



EUROPEAN COMMISSION  
EUROSTAT

Directorate F: Social Statistics  
Unit F-4: Quality of life

**DocSILC065 (2015 operation)**

**METHODOLOGICAL GUIDELINES AND DESCRIPTION OF EU-SILC  
TARGET VARIABLES**

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### **Introductory note**

This document presents methodological guidelines to assist Member States (MSs) in the preparation of the 2014 EU-SILC operation. Moreover, it describes in detail all target variables to be collected in frame of the EU-SILC survey and furthermore all variables included in the ad-hoc modules as well as, when the case arises, additional variables. The Annex of the document presents nomenclatures and classifications used for the description of the variables as well as more detailed information about specific definitions (enterprise and local unit, company car, etc).

The main structure of the document is the following:

- Chapter 1. EU-SILC Methodological Guidelines
  - Introduction
  - General definitions
  - General description
- Chapter 2. Description of EU-SILC Target Variables
  - Household Register (D-File)
  - Personal Register (R-File)
  - Household Data (H-File)
  - Personal Data (P-File)
- Chapter 3. Description of ad-hoc modules
  - 2014 Module on material deprivation (guidelines and questionnaire)
- Annexes

## **Chapter 1. EU-SILC Methodological Guidelines**

## **Introduction**

**AIM**

EU-SILC is the EU reference source for comparative statistics on income distribution and social exclusion at the European level, particularly in the context of the 'Programme of Community action to encourage cooperation between Member States to combat social exclusion' and for producing key policy indicators on social cohesion for the follow up of the EU2020 main target on poverty and social inclusion and flagship initiatives in related domains, e.g. in the context of the European Semester.

It provides two types of annual data:

- Cross-sectional data pertaining to a given time or a certain time period with variables on income, poverty, social exclusion and other living conditions, and
- Longitudinal data pertaining to individual-level changes over time, observed periodically over a four-year period.

The first priority is to be given to the delivery of comparable, timely and high quality data.

The cross-sectional data is collected in two stages:

- An early subset of variables collected by register or interview to assess as early as possible poverty trends.
- A full set of variables provided along with the longitudinal data to produce main key policy indicators on social cohesion.

The Longitudinal data is aimed at identifying the incidence and dynamic processes of the persistence of poverty and social exclusion among subgroups in the population. The longitudinal component is more limited in sample size compared to the cross-sectional component. Furthermore, for any given set of individuals, micro-level changes are followed up only for a limited duration, such as a period of four years.

For both the cross-sectional and longitudinal components, all household and personal data are linkable. Furthermore, modules providing updated information in the field of social exclusion are included from 2005 (a different module is implemented each year) and collected along with the early limited subset of cross-sectional variables.

## **TIME REFERENCE**

The cross-sectional and the longitudinal data are produced annually.

## REFERENCE POPULATION

The reference population of EU-SILC is all private households and their current members residing in the territory of the Member States (MS) at the time of data collection. Persons living in collective households and in institutions are generally excluded from the target population.

Small parts of the national territory amounting to no more than 2% of the national population and the national territories listed below may be excluded from EU-SILC.

### National territories that may be excluded from EU-SILC

Country	Territories
France	French Overseas Departments and territories
Netherlands	The West Frisian Islands with the exception of Texel
Ireland	All offshore islands with the exception of Achill, Bull, Cruit, Gorumna, Inishnee, Lettermore, Lettermullan and Valentia
United kingdom	Scotland north of the Caledonian Canal, the Scilly Islands

**LEGAL BASIS**

The Directors of Social Statistics decided to introduce a legal act for EU-SILC in June 2000. A framework regulation (regulation (EC) n° 1177/2003) was adopted by the Council and European Parliament on 16 June 2003 and published in the Official Journal on 3 July 2003. Following the successive EU enlargements, this regulation was amended by regulation (EC) n° 1553/2005 of 7 September 2005 and regulation (EC) n° 1791/2006 of 20 November 2006.

In parallel, Eurostat and the MS developed the technical aspects of the instrument. The five following Commission regulations that implemented the framework regulation were elaborated upon:

- Definitions: regulation (EC) n°1980/2003 of 21 October 2003, amended by regulation (EC) n° 676/2006) of 2 May 2006;
- Fieldwork aspects and imputation procedures: regulation (EC) n°1981/2003 of 21 October 2003;
- Sampling and tracing rules: regulation (EC) n°1982/2003 of 21 October 2003;
- List of target primary variables: regulation (EC) n°1983/2003 of 21 October 2003;
- Content of intermediate and final quality reports: regulation (EC) n° 28/2004 of 5 January 2004.

In addition, every year a Commission regulation describing the list of secondary target variables (annual modules) is published. At the time of writing this document, the following regulations had been published:

- Module 2005 on the list of target secondary variables relating to the intergenerational transmission of poverty: Commission Regulation (EC) N° 16/2004 of 6 January 2004;
- Module 2006 on the list of target secondary variables relating to social participation: Commission Regulation (EC) N° 13/2005 of 6 January 2005;
- Module 2007 on the list of target secondary variables relating to housing conditions: Commission Regulation (EC) N° 315/2006 of 22 February 2006;
- Module 2008 on the list of target secondary variables relating to over-indebtedness and financial exclusion: Commission Regulation (EC) N° 215/2007 of 28 February 2007;
- Module 2009 on the list of target secondary variables relating to material deprivation: Commission Regulation (EC) N° 362/2008 of 14 April 2008.
- Module 2010 on the list of target secondary variables relating to intra-household sharing of resources: Commission Regulation (EC) N° 646/2009 of 23 July 2009.
- Module 2011 on the list of target secondary variables relating to intergenerational transmission of disadvantages: Commission Regulation (EU) N° 481/2010 of 1 June 2010.
- Module 2012 on the list of target secondary variables relating to housing conditions: Commission Regulation (EU) N° 1157/2010 of 9 December 2010.

- Module 2013 on the list of target secondary variables relating to wellbeing: Commission Regulation (EU) N° 62/2012 of 24 January 2012.
- Module 2014 on the list of target secondary variables relating to material deprivation: Commission Regulation (EU) N° 112/2013 of 7 February 2013.

In addition, an ESSC Agreement has been passed at the Working Party 2012 concerning further variables that are to be collected in 2013 on Material Deprivation.

The EU-SILC project was launched in 2003, on the basis of a 'gentlemens' agreement' in six Member States (Belgium, Denmark, Greece, Ireland, Luxembourg, and Austria) as well as in Norway.

The start date for the EU-SILC instrument under the Framework Regulation was 2004 for 12 Member States<sup>1</sup>, Estonia, Norway and Iceland. A derogation was provided in the cases of Germany, the Netherlands, the UK and nine of the then ten new Member States (all except Estonia) permitting them to begin in 2005 under the condition that they supply comparable data for the year 2004 for the common EU indicators that have been adopted by the Council in the context of the open method of co-ordination.

Bulgaria and Turkey started the full implementation of the EU-SILC instrument in 2006 while Romania and Switzerland began to implement it in 2007. Croatia started in 2011.

Three further countries (Montenegro, the former Yugoslav Republic of Macedonia (FYROM) and Serbia), were in test implementation at the time of writing this document.

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<sup>1</sup> Belgium, Denmark, Ireland, Greece, Spain, France, Italy, Luxembourg, Austria, Portugal, Finland and Sweden.

**TIMELY AND FLEXIBLE**

Since improving timeliness has been one of the tool's core objectives, and because it is universally recognised that the longitudinal dimension takes more time in data production, priority has been given to the delivery of timely and comparable cross-sectional data. More recently, as a consequence of the economic and financial crisis, the need for timely EU-SILC data became even more prominent. As a consequence, an early delivery of material deprivation, economic constraint and similar variables is being implemented just after the year of data collection. Moreover, it is also aimed at carrying out the delivery of both cross-sectional and longitudinal data around the middle of the year following those of data collection. At that time, if not avoidable, countries may provide data with provisional or missing longitudinal weights. In that case, a second delivery of the data with final longitudinal weights must be carried out later on.

Another characteristic is flexibility in terms of data sources and sampling design. Eurostat strongly encourages the use of existing data sources, whether they be surveys or registers or the use of national sampling design.

Nevertheless, Eurostat recommends an integrated design for those countries planning to launch a new operation. This design aims to be the most cost-effective and efficient in terms of both cross-sectional and longitudinal requirements.

On the other hand, the integration of the new instrument into established national statistical systems is recommended and should be promoted.

## THE INTEGRATED DESIGN

As mentioned above, one characteristic of EU-SILC is flexibility in terms of sampling design.

Depending on the country, micro-data could come from:

- One or more existing national sources whether combined or not with a new survey;
- A new harmonised survey to meet all EU-SILC requirements.

The only constraint is that for both the cross-sectional and longitudinal components, all household and personal data will be linkable.

An integrated design ('the rotational design') for those countries that launched a new survey was proposed by Eurostat.

Rotational design refers to the sample selection based on a number of subsamples or replications, each of them similar in size and design and representative of the whole population. From one year to the next, some replications are retained, while others are dropped and replaced by new replications.

### Why an integrated design?

Annual cross-sectional estimates can be produced from:

- Independent samples from year to year; or
- A long-term panel (i.e. retaining the same sample from one year to the next), or
- A rotational design - i.e. a combination of the above two - rotating a part of the sample from one year to the next and retaining the other part unchanged.

Cross-sectional estimates for a single year are essentially unaffected by the pattern of rotation (theoretically, modest improvements may be achieved with partial overlaps using special estimation procedures).

In principle, annual cross-sectional estimates can be produced using independent (non-overlapping) samples each year. The major consideration favouring independent samples is that such a system avoids the cumulation of respondent burden which repeated interviewing of the same units would involve. The statistical advantage is that the data can be cumulated over survey years more efficiently to obtain larger sample sizes, permitting more detailed analysis and, even more importantly, greater spatial breakdown for the production of regional (subnational) estimates. Independent annual samples may succeed in achieving better response rates, and in any case are free from the cumulative effect of sample attrition over time. The latter aspect also makes the control and implementation of the sample less complex. The main disadvantage of independent samples is the greater sampling error involved in the measurement of year-to-year net change and trends. Independent samples also tend to have higher fieldwork costs than overlapping samples re-using the same units: this is because of the higher costs of selecting and locating new sample units.

The other extreme would be to use a fixed panel, i.e. using the same sample from year to year. The advantages and disadvantages are just the opposite of those noted above for independent annual samples. Cumulative respondent burden and sample attrition, as well as the greater complexity in control and follow-up of the lag sample, are major problems. The high positive correlations preclude efficient cumulation of the data over time. However, for

the same reason, the system is efficient for the measurement of net change over time. In any case, gross i.e. micro-level changes can be measured only on the basis of a panel of observations.

The appropriate pattern of rotation is determined primarily on the basis of a compromise between the two objectives:

- The cumulation of data over time, so as to achieve an increased sample size, which favours maximum rotation i.e. independent samples; and
- The measurement of change over time, which favours maximum overlap.

The effect of departures from these patterns depends on the correlation over time.

In the case of EU-SILC, the measurement of trends (changes over time) is likely to be clearly more important than cumulating data over years, favouring large overlaps ( $P$ ) from one year to the next. However, as noted above, there are practical limitations in continuing with the same sample, i.e. having large overlaps ( $P$  close to 1.0) from year to year.

A rotational sample design appears to be the most suitable option for a cross-sectional survey, without precluding the other options in particular circumstances.

The longitudinal component of EU-SILC will consist of selecting an initial sample, then following up with individuals in that sample annually over time, i.e. for the annual longitudinal component the sample must of course be related over time, allowing only the following two options:

- A long-term panel (i.e. retaining the same sample from one year to the next), or
- A rotational design - i.e. a combination of the above two - rotating a part of the sample from one year to the next and retaining the other part unchanged.

For the combined cross-sectional and longitudinal components, the options are given by the ‘intersection’ of the above two sets, i.e. a rotational design or a long-term design.

Due to the fact that, as mentioned above, ‘the rotational design’ is the most suitable option for the EU-SILC cross-sectional component, and a ‘rotational design’ updates the sample every year, Eurostat has recommended the rotational design for countries that start a new survey.

On the other hand, the most important objectives of the longitudinal component of EU-SILC is to allow the calculation of the *Social Inclusion Indicator* at the “*persistent-risk-of poverty rate*”. This indicator is computed as the percentage of the population living in households where the equivalised disposable income was below the 60% threshold for the current year and at least two out of the preceding three years. In this way, at the population selected for the first year need to be followed-up at least every four years, i.e. the panel duration should be of at least four years. For the above-mentioned reason Eurostat has recommended the use of a rotational design with four sub-samples or replications.

Figures 1 and 2 below illustrate the type of structure that has been recommended by Eurostat. This structure will be suitable for meeting the combined cross-sectional and longitudinal requirements.

**Figure 1. Illustration of a simple rotational design**

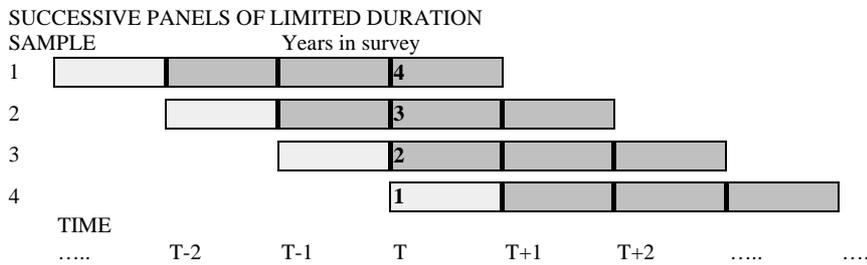
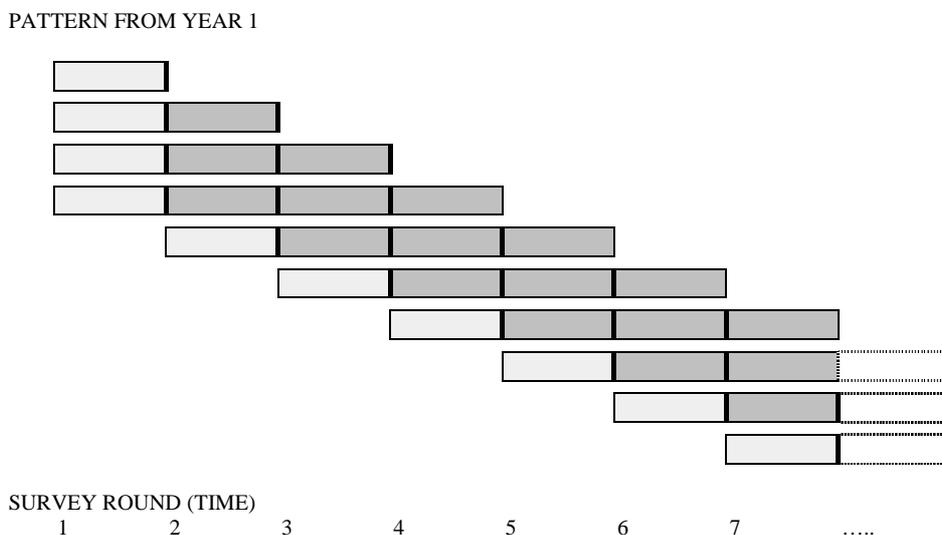


Figure 1 illustrates a simple rotational design (once the system is fully established). The sample for any one year consists of four replications, which have been in the survey for 1-4 years (as shown for 'Time = T' in the figure). Any particular replication remains in the survey for four years; each year, one of the four replications from the previous year is dropped and a new one added. Between year T and T+1 the sample overlap is 75%; the overlap between year T and year T+2 is 50%; and it is reduced to 25% from year T to year T+3, and to zero for longer intervals.

For EU-SILC, such a 'linear' rotation pattern is the simplest and most appropriate in so far as the main interest is in monitoring year-to-year changes.

Figure 2 illustrates how a rotation pattern may be implemented from year one.

**Figure 2. Illustration of the rotation pattern in year one**



At the beginning, a cross-sectional representative sample of households is selected. It is divided into say four sub-samples, each by itself representative of the entire population and similar in structure to the entire sample. One sub-sample is purely cross-sectional and is not followed up after the first round. Respondents in the second sub-sample are requested to participate in the panel for two years, in the third sub-sample for three years, and in the fourth for four years. From year 2 onwards, one new panel is introduced each year, with request for

participation for four years. In any one year, the sample consists of four sub-samples, which together constitute the cross-sectional sample. In the first year they are all new samples; in all subsequent years, only one is new sample. In year 2, three are panels in the second year; in year 3, one is a panel in the second year and two in the third year; in subsequent years, one is a panel for the second year, one for the third year, and one for the fourth (final) year.

**SELECTION OF THE SAMPLE**

According to the Commission Regulation on sampling and tracing rules, the selection of the sample will be drawn according to the following requirements:

1. For all components of EU-SILC (whether survey or register based), the cross-sectional and longitudinal (initial sample) data shall be based on a nationally representative probability sample of the population residing in private households within the country, irrespective of language, nationality or legal residence status. All private households and all persons aged 16 and over within the household are eligible for the operation.
2. Representative probability samples shall be achieved both for households, which form the basic units of sampling, data collection and data analysis, and for individual persons in the target population.
3. The sampling frame and methods of sample selection shall ensure that every individual and household in the target population is assigned a known and non-zero probability of selection.

Article 8 of the EU-SILC Regulation of the European Parliament and of the Council notes:

1. The cross-sectional and longitudinal data shall be based on nationally representative probability samples.
2. By way of exception to paragraph 1, Germany shall supply cross-sectional data based on a nationally representative probability sample for the first time for the year 2008. For the year 2005, Germany shall supply data for one-quarter based on probability sampling and for three-quarters based on quota samples, the latter to be progressively replaced by random selection so as to achieve fully representative probability sampling by 2008.

For the longitudinal component, Germany shall supply for the year 2006 one-third of longitudinal data (data for year 2005 and 2006) based on probability sampling and two-thirds based on quota samples. For the year 2007, half of the longitudinal data relating to years 2005, 2006 and 2007 shall be based on probability sampling and half on quota sample. After 2007 all of the longitudinal data shall be based on probability sampling.

## SURVEY UNITS

In terms of the units involved, four types of data are involved in EU-SILC:

- (i) Variables measured at the household level;
- (ii) Information on household size and composition and basic characteristics of household members;
- (iii) Income and other more complex variables termed ‘basic variables’ (education, basic labour information and second job) measured at the personal level, but normally aggregated to construct household-level variables; and
- (iv) Variables collected and analysed at the person-level ‘the detailed variables’ (health, access to health care, detailed labour information, activity history and calendar of activities’).

For set (i)-(ii) variables, a sample of households including all household members is required.

Among these, sets (i) and (ii) will normally be collected from a single, appropriately-designated respondent in each sample household – using a household questionnaire for set (i) and a household member roster for set (ii). Alternatively, some or all of these may be compiled from registers or other administrative sources.

Set (iii) concerns mainly, but not exclusively, the detailed collection of household and personal income – this must be collected directly at the person level, covering all persons in each sample household. In most countries, i.e. in the so-called ‘survey countries’, these income variables will be collected through personal interviews with all adults aged 16+ in each sample household. This collection will be normally combined with that for set (iv) detailed variables, since the latter also must also be collected directly at the person level.

By contrast, in ‘register countries’, set (iii) variables will be compiled from registers and other administrative sources, thus avoiding the need to interview all members (adults aged 16+) in each sample household.

Set (iv) variables will normally be collected through direct personal interview in all countries. These are too complex or personal in nature to be collected by proxy; nor are they available from registers or other administrative sources. For the ‘survey countries’, this collection will normally be combined with that for set (iii) variables as noted above – consequently both normally based on a sample of complete households, i.e. covering all persons aged 16+ in each sample household.

However, from the substantive requirements of EU-SILC, it is *not essential* that – in contrast to set (iii) variables – set (iv) variables be collected for all persons in each sample household. It is possible to do this collection on a representative sample of persons (adult members aged 16+), such as by selecting one such person per sample household. It is expected that this option will normally be followed in ‘register countries’, since it is not required that these countries interview all household members for set (iii). In those countries which choose to take a representative sample of persons, the sampling process involved will be the selection of *persons* (usually one adult member aged 16+ per household) directly or through a sample of households. The selected individuals may be termed ‘**selected respondents**’. Randomised selection procedures must be used to ensure that a representative sample of persons is obtained from the representative sample of households.

Table 1 summarises the type of survey units for sampling, analysis and data collection involved in EU-SILC. The ultimate units used in the sample selection may be addresses, households or persons, each unit selected with a known probability. From these, it is always necessary to construct a sample of households, the probability of each household in the sample being determined through its association (or identity, as the case may be) with units in the sample selected. The analysis units can be households, all members, adult members, or possibly a subsample of adult members; these are the units to which the information collected pertains. Their probabilities of selection (or the corresponding sample weights) are determined through their association with the sample household. The collection unit refers to the person or source providing the information.

**Table 1. Survey units for sampling, analysis, and data collection**

Sampling unit		Analysis units	Collection unit/source		
Selected	constructed		'survey country'	'register country'	
Address  Or Household  Or <i>Person</i> (aged 16+)	<i>Household</i>	Set (i): household	Household respondent (HR)	Registers +HR	
		Set (ii): all household members	Household respondent*	Registers +HR	
		Set (iii): household and personal income and basic variables	Personal interview (all members 16+)	Registers (all members 16+)	
		Set (iv): detailed variables			
		All members 16+	Personal interview**		
		<i>Selected respondent</i>		Personal interview	

\* combined with set (i) household interview

\*\* combined with set (iii) personal interview

In each country, EU-SILC involves the provision of longitudinal data in which cross-sectional data is included, both for 'income and basic variables' (I) and 'detailed variables' (S). Combining these dimensions gives four basic data components in EU-SILC:

- (CI) Cross-sectional income component (including basic variables)
- (CS) Cross-sectional detailed component
- (LI) Longitudinal income component (including basic variables).
- (LS) Longitudinal detailed component

Substantive requirements of EU-SILC impose certain conditions on the samples for these components. The basic (essential, minimum) condition which must be satisfied by any data structure in EU-SILC can be expressed as:

$$\begin{array}{l} (a) \quad CS \subseteq CI \\ (b) \quad LS \subseteq LI \end{array}$$

... the basic condition of EU-SILC data structure.

The basic condition means that the detailed data must be collected on the same sample as the income data, or on a subsample of the latter. The condition applies separately to both the cross-sectional and longitudinal components.

**SAMPLE SIZE**

On the basis of various statistical and practical considerations and the precision requirements for the most critical variables, the minimum effective sample sizes to be achieved were defined. These are presented in the Annex II of the Framework Regulation (and its subsequent revisions) and in Table 2 hereafter.

Sample size for the longitudinal component refers, for any pair of consecutive years, to the number of households successfully interviewed in the first year in which all, or at least a majority, of the household members aged 16 or over are successfully interviewed in both the years.

For the cross-sectional component, the plans are to achieve the minimum effective sample size of around 135.000 households in the EU as a whole (141.000 including Iceland and Norway). The allocation of the EU sample among countries represents a compromise between two objectives: the production of results at the level of individual countries, and production for the EU as a whole. Requirements for the longitudinal data will be less important. For this component, an effective sample size of around 101.000 households (106.000 including Iceland and Norway) is planned.

Member States using registers for income and other data may use a sample of persons (selected respondents) rather than a sample of complete households in the interview survey. The minimum effective sample size in terms of the number of persons aged 16 or over to be interviewed in detail, is in this case taken as 75 % of the figures shown in columns 3 and 4 of Table 2, for the cross-sectional and longitudinal components respectively.

The minimum effective sample size to be achieved for those countries selecting a sample of persons rather than a sample of households or addresses will be as set out in Table 3 hereafter.

The reference is to the effective sample size, which is the size required if the survey were based on simple random sampling (design effect in relation to the 'risk of poverty rate' variable = 1.0). The actual sample sizes will have to be larger to the extent that the design effects exceed 1.0 and to compensate for all kinds of non-response. Furthermore, the sample size refers to the number of valid households — these are households for which, alongside their all members, all or nearly all the required information has been obtained.

For countries with a sample of persons, design, information on income and other data shall be collected for the household of each selected respondent and for all its members.

**Table 2. Minimum effective sample size for countries (based on the use of a sample of households/addresses)**

EU-Member States	Households		Persons aged 16 or over to be interviewed	
	Cross-sectional	Longitudinal	Cross-sectional	Longitudinal
Belgium	4 750	3 500	8 750	6 500
Bulgaria	4 500	3 500	10 000	7 500
Czech Republic	4 750	3 500	10 000	7 500
Denmark	4 250	3 250	7 250	5 500
Germany	8 250	6 000	14 500	10 500
Estonia	3 500	2 750	7 750	5 750
Ireland	3 750	2 750	8 000	6 000
Greece	4 750	3 500	10 000	7 250
Spain	6 500	5 000	16 000	12 250
France	7 250	5 500	13 500	10 250
Croatia	4 250	3 250	9 250	7 000
Italy	7 250	5 500	15 500	11 750
Cyprus	3 250	2 500	7 500	5 500
Latvia	3 750	2 750	7 650	5 600
Lithuania	4 000	3 000	9 000	6 750
Luxembourg	3 250	2 500	6 500	5 000
Hungary	4 750	3 500	10 250	7 750
Malta	3 000	2 250	7 000	5 250
Netherlands	5 000	3 750	8 750	6 500
Austria	4 500	3 250	8 750	6 250
Poland	6 000	4 500	15 000	11 250
Portugal	4 500	3 250	10 500	7 500
Romania	5 250	4 000	12 750	9 500
Slovenia	3 750	2 750	9 000	6 750
Slovakia	4 250	3 250	11 000	8 250
Finland	4 000	3 000	6 750	5 000
Sweden	4 500	3 500	7 500	5 750
United Kingdom	7 500	5 750	13 750	10 500
<b>Total of EU Member States</b>	135 000	101 500	282 150	210 850
Iceland	2 250	1 700	3 750	2 800
Norway	3 750	2 750	6 250	4 650
<u>Switzerland</u>	<u>4500</u>		<u>3250</u>	
<u>Turkey</u>	<u>7750</u>		<u>5750</u>	
<u>Montenegro</u>	<u>3250</u>		<u>2500</u>	
<u>FYROM</u>	<u>3750</u>	<u>11500</u>	<u>3000</u>	<u>8750</u>

Serbia	4500		3500	
<b>Total</b>	<b>164750</b>		<b>310150</b>	

Deleted: including Iceland and Norway

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Table 3. Minimum effective sample size for countries using a sample of persons

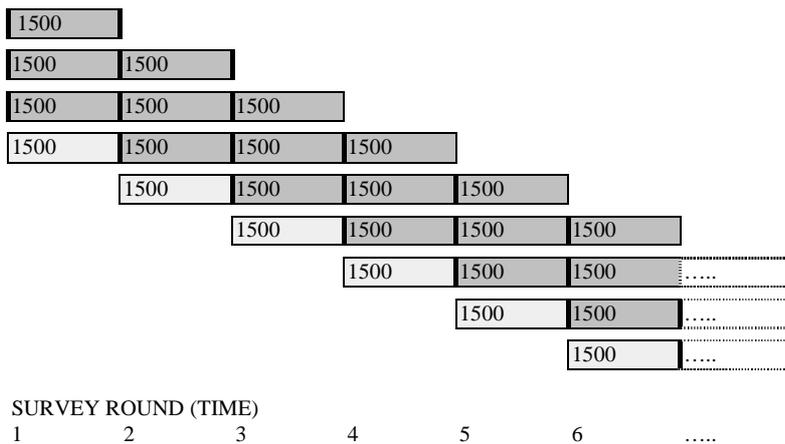
EU-Member States	Households / Persons aged 16 or over to be interviewed in <u>detail</u>		Persons aged 16 or over to be covered	
	Cross-sectional	Longitudinal	Cross-sectional	Longitudinal
Denmark	5 500	4 250	9 500	7 250
Netherlands	6 500	5 000	11 500	8 750
Slovenia	6 750	5 000	16 250	12 250
Finland	5 000	3 750	8 500	6 250
Sweden	5 750	4 500	9 500	7 500
<b>Non-EU countries</b>				
Iceland	3 000	2 000	5 000	3 250
Norway	4 750	3 500	8 000	6 000

Countries using a sample of persons (selected respondents) must select an extra sample to cover the population of 14 and 15 year olds.

## The integrated design (example)

### A) Countries using a sample of household addresses

Take the case of Poland. The sample size requirements for the cross-sectional component is 6000 and for the longitudinal component (two consecutive years) it is 4500.



In the columns we can read the cross-sectional component and in the rows, the longitudinal component. Every year we have a sample of 6000 households for the cross-sectional component.

For every two consecutive years, we have a sample of 4500 households/addresses for the EU-SILC longitudinal component (this sample is based on three panels (replications), i.e. each panel has a sample size of 1500). From the fourth year of the survey implementation we will have a panel with four longitudinal observations, a panel with three and a panel with two.

### B) Countries using a sample of persons

If Poland chooses to select a sample of persons instead of a sample of households, the required sample size will be 11.250 households (selected respondents) for the EU-SILC cross-sectional component and 8.500 for the EU-SILC longitudinal component. In this case, each panel will have a sample size of approximately 2850 households.

**SAMPLE IMPLEMENTATION**

The following rules about sample implementation are laid down in the CR on fieldwork aspects and imputation procedures.

1. Each Member State shall follow appropriate procedures to maximise the response rates achieved, in accordance with its own "best practices". In the case of an interview survey, at least three call-backs shall be made before a household or individual is accepted as non-responding, unless there are conclusive reasons (such as a definite refusal to co-operate, circumstances endangering the safety of the interviewer, etc.) why this cannot be done.
2. EU-SILC shall be based on the selection and implementation of a probability sample. As a rule, the units enumerated in the survey shall be exactly the same units as those selected for the purpose in accordance with the sampling design, i.e. not substituted for by other units.
3. Records shall be kept of the outcome of each household and person selected for the sample, distinguishing (i) eligible units successfully enumerated, (ii) eligible units not successfully enumerated, (iii) selected units not found to be eligible for the survey and, (iv) units not successfully enumerated where the eligibility status could not be determined. Reasons for the failure to successfully enumerate eligible units shall be recorded, identifying at least the main categories such as non-contact, refusal, and incapacity to respond (such as being ill). In circumstances where units are found to be ineligible, or in the uncertain eligibility category, these shall also be recorded.
4. The proxy rate shall be kept as limited as possible for the income personal variables and for any variables required for at least one household member aged 16 or over.
5. In the cross-sectional component and in the first year of each panel constituting the longitudinal component, controlled substitutions may be allowed only where the response rate falls below 60% and one of the following situations arises:
  - address not contacted because it cannot be located or is inaccessible, or,
  - address contacted but interview not completed because the household refuses to co-operate, the entire household is temporarily away, or the household is unable to respond.

No substitutions shall be allowed for second and subsequent waves of a panel in the longitudinal component.

Procedures shall be followed to ensure that the process of substitution is controlled to the maximum extent possible. These include the use of a design which ensures that substitutes are selected so as to match the substituted units closely for important characteristics. The substitutions shall be allowed only after special efforts have been made to convince of refusals, and properly scheduled call-backs have been made to other non-respondents. A household shall not be substituted by another non-sample household at the same address.

**SURVEY DURATION AND TIME**

The following rules about survey duration and time are laid down in the CR on fieldwork aspects and imputation procedures.

1. The interval between the end of the income reference period and the time of the interview for the respondent concerned shall be limited to eight months as far as possible. This applies both to the household and personal samples, and irrespective of whether the reference period used is fixed in terms of calendar dates for the whole sample or is a moving reference period determined according to the timing of the interview for the household or person concerned.
2. By way of exception to paragraph 1, if the income variables are collected from registers, the interval between the end of the income reference period and the time of interview for current variables shall be limited to 12 months.
3. Where all the data are collected through field interviewing and a fixed income reference period is used, the total duration of the data collection of the sample shall be limited to four months as far as possible.
4. Where the data are collected through field interviewing using a moving income reference period and the fieldwork duration exceeds three months, the total annual sample shall be shared equally (approximately) between the fieldwork months. In this case, the total fieldwork duration for the cross-sectional component and each wave of the longitudinal component shall not exceed 12 months.
5. For the longitudinal component, the collection or compilation of data, for a given unit (household or person), between successive waves shall be kept as close as possible to 12 months.

## WEIGHTING

### I. Introduction

The objective of the present section is to outline a unified structure for the whole weighting procedure of the standard integrated EU-SILC design, covering the initial sample and its cross-sectional and longitudinal development. Such an integrated structure is possible and desirable, given that different parts of the EU-SILC design are inter-related.

According to the Commission Regulation on sampling and tracing rules (EC No 1982/2003, §7.4): *Weighting factors shall be calculated as required to take into account the units' probability of selection, non-response and, as appropriate, to adjust the sample to external data relating to the distribution of households and persons in the target population, such as by sex, age (five-year age groups), household size and composition and region (NUTS II level), or relating to income data from other national sources where the Member States concerned consider such external data to be sufficiently reliable.*

On the other hand, the Framework Regulation (No 1177/2003) pointed out in its article 10 that: *Member States shall transmit to the Commission (Eurostat) in the form of micro-data files weighted cross-sectional and longitudinal data which has been fully checked, edited and imputed in relation to income.*

### II. Weighting for the first year of each sub-sample

#### 1. Design weights (Household weights DB080 and "Selected respondent" weights PB070)

These weights are of methodological interest, but are not used in substantive analysis. Actually, the design weights need to be defined for all selected units, and not only for responding units. DB080 is computed as follows:

- In the case that households are sampled (or addresses or other units containing households):

$$DB080_h = 1 / (\text{probability of selection of } h)$$

- In the case that persons are sampled:

$$DB080_h = 1 / \Sigma (\text{probabilities of selection of eligible persons in } h)$$

“Eligible persons” are persons who are given a non-zero probability in the selection procedure, such as persons aged 14+ or 16+. In the particular situation where the probability of selection is the same for all eligible persons in each household, the denominator is simply the number of such persons in the household multiplied by the probability of selection.

When households or persons are selected from lists that contain “blanks”, i.e. non-existing or unoccupied structures, the unit not being a private household, the household or person listed does not exist..., it is important to ensure that the selection probabilities are computed correctly. For instance, if there are N listings which contain N' actual units, and an equal probability sample of n listing yielding 'n' actual units is selected, then the selection probability is:

$$\begin{aligned} \pi_i &= \frac{n}{N'} \text{ if } N' \text{ is known} \\ &= \frac{n}{N} \text{ otherwise (the most common case)} \end{aligned}$$

PB070 is defined only when a sample of persons is used, for the selected respondent  $k$ :

$$PB070_k = 1 / (\text{probability of selection of the selected respondent } k)$$

## 2. Adjustments for non-response

The principle is to adjust the household design weights to allow for the bias that is caused when all measured variables are missing for some of the sample households. The main reasons for not having information are that the household refuses to cooperate or is temporarily away. However, other factors may cause household non-response: the data collected are of insufficient quality, the questionnaire has been lost... Non-response is particularly critical when the non-responding households over-represent survey characteristics, which may create substantial bias in the estimates. For instance, one can assume that households with high incomes would be less willing to cooperate for income surveys than those households with low incomes.

This step involves estimating response rates or propensities to respond as functions of characteristics available for responding and non-responding households, as well as characteristics of the areas where the households are located. Basically, the design weights have to be inflated by the inverse of the response propensities in order to compensate for the loss of units in the sample.

A classical procedure consists of modifying the design weights by a factor inversely proportional to the response rate within each "homogeneous group", wherein the response probabilities are assumed to be equal:

$$DB080_h^{(N)} = DB080_h \cdot \frac{1}{R_k}$$

Where  $R_k$  denotes the (weighted) response rate in the group  $k$  the household  $h$  belongs to:

$$R_k = \frac{\text{sum of design weights of responding units in cell } k}{\text{sum of design weights of selected units in cell } k}$$

Numerous, very small weighting cells can result in a large variation in  $R_k$  values and should be avoided. On the other hand, if only a few broad classes are used, this may capture little variation in the response rates across the sample – making the whole re-weighting process ineffective. On practical grounds, cells of an average size of 100-300 units may be recommended.

An alternative way to estimate response probabilities is to use a regression-based approach. Using an appropriate model such as *logit* regression, response propensities can be estimated as a function of auxiliary variables, which are available for both responding and non-responding cases. When many auxiliary variables are available, this approach is preferable to the classical procedure described above. A very important point when using the regression approach is to ensure that weights assigned are confined to be within reasonable limits.

In dealing with the effect of non-response, it is of crucial importance to identify responding and non-responding units correctly:

- Selected units which turn out to be non-eligible or non-existent must be excluded and not counted as non-responding.

- Imputation has to be made for units with unknown status, i.e. when it is not clear whether they are non-eligible or non-respondents. Every unit has to be assigned uniquely to one category or the other.
- In surveys where substitution has been allowed, non-responding original units for which successful substitutions have been made are to be considered as 'responding units' in the computation of response rates for the purpose of determining non-response weights.

When a sample of persons is involved, exactly the same non-response adjustment, as above for the household level, applies to the selected respondent too. Let  $DB080^{(N)}$  be household weight after final non-response adjustment; with this, the selected respondent non-response weight is given by:

$$PB070^{(N)} = PB070 \cdot \left[ \frac{DB080^{(N)}}{DB080} \right]$$

This follows from the fact that household and personal non-responses always occur together according to EU-SILC interview acceptance procedures. The household interview or data compilation is accepted only when the personal interview has been accepted for the selected respondent.

### 3. Adjustment to external sources (calibration): SILC target variables DB090 and PB060

The key feature of this step is the modification of the household weights  $DB080^{(N)}$  to reproduce characteristics from the sample population, namely totals and category frequencies. For example, in a human population survey, age and sex are natural ancillary variables. The distribution of the human population by age and sex is often known from other statistical sources such as a census or a population register and by proper modification of the survey weights, the population structure may be exactly reproduced by the sample. For variables in the survey correlated with the ancillary information, improved precision in estimates is usually obtained on application of the new calibrated weights.

More precisely, suppose that there exist  $J$  auxiliary variables  $x_1 \dots x_j \dots x_J$ , called calibration variables, with known population totals (for the numerical variables) or marginal counts (for the categorical variables). Without loss of generality, we can assume that all the calibration variables are numerical (otherwise, we consider the 0/1 variables for each category).

We seek new household weights  $DB090$  that are "as close as possible" (as determined by a certain distance function) to the initial weights  $DB080^{(N)}$ . These new weights are calibrated on the totals  $X_j$  of the  $J$  auxiliary variables; in other words they verify the calibration equations:

$$\forall j=1 \dots J \quad \sum_{k \in S} DB090_k \cdot x_{jk} = X_j$$

$$\text{Where } DB090_k = g_k \times DB080^{(N)}$$

The SAS macro CALMAR, developed in the French Statistical Office (INSEE), can calculate calibrated weights.

When using CALMAR, it is recommended to use a bounded method and to impose lower and upper bounds LO and UP on the weight adjustment factors  $g_k$ , usually referred to as  $g$ -weights. In practice, one has to bear in mind that the choice of the bounds is not free and directly depends on the calibration variables that are chosen: the limits must be adjusted taking into account the differences between the estimates based on the "old" initial weights

and the benchmark totals that the new weights are to reproduce, so CALMAR can find a solution within the constraints applied to the problem. In practice, those limits are determined by some "guess and check": we start with a small interval [LO,UP] and we enlarge it until CALMAR finds a solution. Applying calibration bounds prevents negative and extreme weights. Extreme weights can lead to unexpected values especially for domain estimates. Negative weights are not acceptable from a practical point of view.

At this stage, Eurostat recommends an "integrative" calibration. The idea is to use both household and individual external information in a single-shot calibration at household level. The individual variables are aggregated at household level by calculating household totals such as the number of males/females in the household, the number of persons aged of 16 and over.....The calibration is then conducted at household level using household variables and the individual variables in their aggregated form. This technique ensures "consistency" between household and individual estimates by making the household and the individual weights equal.

In the framework of calibration, it is critical that the external control variables are strictly comparable to the corresponding survey variables, the distribution of which is being adjusted. For instance, EU-SILC micro data must not be calibrated on the basis of ILO LFS counts if ILO status is not measured properly in EU-SILC.

When a sample of persons is involved, the final household weights DB090 determined above can be used to compute the corresponding weights PB060 for the selected respondents:

$$PB060 = PB070 \cdot \left[ \frac{DB090}{DB080} \right]$$

#### **4. Personal weights (SILC target variables RB050 and PB040)**

The calibrated household weight is assigned to each of its members  $RB050_{j=hh} = DB090_h$ . The weights PB040 are derived simply by filtering RB050 to the persons who have received an individual questionnaire (PB040 = RB050). This is based on the fact that for responding households, all the individual questionnaires are completed. Indeed, if individual non-response is restricted, Eurostat recommends imputing individual records — at least for individual income components. In this case, personal weights should not be adjusted for individual non-response and consistency between total income and income components is preserved.

### **III. Computation of base weights (SILC target variables RB060, PB050 and PB080)**

The base weights are the backbone of the computation of both cross-sectional weights and longitudinal weights. They are computed and updated for a single panel and, as such, they will rarely be used for estimating population parameters. The cross-sectional and longitudinal weights are obtained by combining the base weights in an appropriate way, which will be described later.

In the following example, we consider a panel (sub-sample, rotation group) selected fresh at time  $t=1$  from population  $P_1$ , and then enumerated for a total of 4 waves,  $t=1$  to 4. Let  $s_1$  be the sample of all persons in the households enumerated at  $t=1$ .

For each person in this set, we define the personal base weight at wave  $t=1$  as:

$$\omega_1^{(RB)} = RB060 = RB050$$

Similarly, we define (when applicable) the personal base weight at wave  $t=1$  for selected respondents as:

$$\omega_1^{(SB)} = PB080 = PB060$$

In each subsequent wave, persons will have left the population between years  $t$  and  $t+1$ , due to death, migration out of the country, movement out of the private household sector to an institution or collective household, or will have become excluded from the target population for any other reason. We also have to deal with total non-response (attrition) when, for a person who still is in the target population, the measured variables are missing. Some possible causes of missingness are:

- No contact
- Refusal to participate in the survey
- Information not available
- Inability to trace a unit that has moved
- Lost questionnaires

"Base weights" at subsequent waves are obtained by adjusting for attrition base weights from wave 1. In general, in order to determine base weight  $\omega_t^{(RB)}$  ( $t = 2, 3$  or  $4$ ) from known  $\omega_{t-1}^{(RB)}$ , we can use the following procedure. Consider the set of persons, denoted  $s_t$ , enumerated at  $(t-1)$  who are still in-scope at  $t$ . For each person  $j$  in this set, we define the following binary variable:

- $r_j=1$  if the person is in  $s_t$ , i.e. is successfully enumerated at  $t$
- $r_j=0$  otherwise, i.e. the person is not successfully enumerated at  $t$

Using a logit model, for instance, we can determine the response propensity  $p_j$  of each person in the above set as a function of a vector of auxiliary variables  $V_j$ :

$$p_j = \Pr(R_j = 1 | V_j)$$

Where  $R_j$  is a random indicator of response, whose realisation is  $r_j$ . For any person  $j$  in  $s_t$ , the required weight is:

$$RB060 = \omega_{t,j}^{(RB)} = \frac{\omega_{t-1,j}^{(RB)}}{p_j} \text{ for wave } t > 2.$$

The application of the above procedure requires that for each person enumerated at  $(t-1)$ , the person's status at  $t$  is known precisely. This means that each person in the panel at  $(t-1)$  can be classified into one of the following categories uniquely:

1. Enumerated at  $t$
2. Remains in the population, but not enumerated at  $t$
3. Moves out of the population

In practice, for a proportion (of non-enumerated persons), it cannot be determined whether they belong to (2) or (3). Each such person has to be assigned to one or the other of these two groups on the basis of some appropriate exogenous information or model. This may be done, for instance, on the basis of a logit regression model determining the person's propensity to remain in the population as a function of a set of auxiliary variables.

In so far as the most non-response occurs at the household level, a majority of the relevant auxiliary variables will be geographical and household level variables (region, household size and type, tenure); also constructed variables (household income, household work status, ...).

Some personal variables are also likely to be useful (gender, age, employment status,...) – the sort of variables correlated with persons moving to new address, setting up a new household, remaining traceable, etc. The main difference from similar adjustment for non-response at wave 1 is that a great deal is known about non-respondents at subsequent waves, in so far as those persons have been enumerated previously.

There are certain (small) categories of households and individuals which, according to EU-SILC rules, are not followed up. Examples are households that are not enumerated at wave 1 or for two consecutive waves thereafter, or even not enumerated at a single wave for some specified reason. Furthermore, persons below a certain age (under 14, or under 16 in some countries) are not followed up if they move “alone”, i.e. without being accompanied by an adult sample person. For the present purpose, all these categories are treated as non-respondents – even if these have not been recorded as such in the survey because of particular EU-SILC tracing rules. The above applies to all household members covered in R-file, including persons aged 16+, and irrespective of whether an initial sample of households or persons has been used.

For the personal interview sample (P-file), the above provide the starting weights but a further adjustment is required depending on the type of the sample. For a sample of households, the adjustment arises from within-household non-response (which in most countries is very small). First, base weights  $\omega^{(RB)}$  are applied to the completed (and accepted) personal interview sample. Then the results are calibrated on gender and age (in single years) according to the distribution of the R-file sample aged 16+ weighted by the same base weights. The resulting weights  $\omega^{(PB)} = PB050$  for the completed individual interview sample are these post-calibration weights. The result is that the P-file sample gives the same age-sex distribution, as the R-file sample for persons aged 16+.

For a sample of persons, there is no “within household non-response”. For income and other data compiled for all household members aged 16+, the already computed base weights are used unchanged, which gives PB050=RB060.

For non-income variables collected via the personal interview with selected respondents (one per household), the personal interview data weighted by:

$$PB080 = \omega_t^{(SB)} = \omega_{t-1}^{(SB)} \cdot \left\{ \frac{\omega_t^{(RB)}}{\omega_{t-1}^{(RB)}} \right\}, t \geq 2,$$

are calibrated on gender and age (in single years) according to the distribution of the total sample aged 16+ weighted differently, namely by  $\omega^{(RB)}$ . The resulting weights for the completed individual interview sample are these post-calibration weights.

There remain some additional categories of persons to be considered:

- Children born to sample women. They receive the weight of the mother.
- Persons moving into sample households from outside the survey population. They receive the average of base weights of existing household members.
- Persons moving into sample households from other non-sample households in the population – these are “co-residents” and are given zero base weight.

These are also persons who had a base weight to begin with who were not enumerated for the first wave, and who were subsequently returned as those sample persons not enumerated in wave 2 but returned in wave 3; and those who were not enumerated in wave 3 but returned in wave 4. Since during their absence, base weights of other persons in the sample are adjusted to take into account that absence, on return these persons cannot be re-assigned a positive



- $\omega'_4^{(RB)}$  These are a modification of base weights  $\omega_4^{(RB)}$  at  $t = 4$ , as will be defined below.

We use a simple procedure to estimate first adjustment to the base weights  $\omega_4^{(RB)}$ :

$$\omega_4'^{(RB)} = \left( \frac{\omega_3'^{(RB)}}{\omega_3^{(RB)}} \right) \cdot \omega_4^{(RB)}.$$

Then, in the same way as going from  $\omega_3^{(RB)}$  to  $\omega_3'^{(RB)}$  to accommodate returnees at  $t = 3$ , we go from  $\omega_4^{(RB)}$  to  $\omega_4'^{(RB)}$ , adjusting for returnees at  $t = 4$ .

In order to put the four cross-sections together we first multiply the weights of units according to their origin (initial population or immigrants at previous wave) in order to take into account the number of times the subpopulation they refer to is represented in the different panels. We have:

- $P_Y - (IN_Y^{(new)} + IN_{Y-1}^{(new)} + IN_{Y-2}^{(new)})$  by  $4/4=1$
- $IN_{Y-2}^{(new)}$  by  $4/3$
- $IN_{Y-1}^{(new)}$  by  $4/2=2$
- $IN_Y^{(new)}$  by  $4/1=4$

Let  $\omega_j$  be the weight of unit  $j$  after the above-mentioned modification. Within a household, each member  $j$  has been assigned a weight  $\omega_j$ , except for "co-residents", i.e. for every household members who are ineligible for inclusion in the panel, for whom  $\omega_j=0$ . An average of these weights over all household members (including co-residents) is assigned to each member (including co-residents). We recommend applying this averaging process to all households, including households that do not contain a co-resident. Finally, the four panels are combined and the weights are scaled by a factor of 4:

$$\omega'_j = \omega_j / 4$$

The final step will be to calibrate these weights against external standards; using the approach already described in II. Integrative calibration will ensure that members in the same household all receive the same weight. Household cross-sectional weight is the same as the average personal cross-sectional weight: DB090=RB050

By replacing  $\omega^{(RB)}$  by  $\omega^{(PB)}$  throughout, we obtain the personal cross-sectional weight PB040. Similarly, by replacing it with  $\omega^{(SB)}$ , we obtain the selected respondent cross-sectional weight PB060.

**Remark: trimming**

Trimming refers to recoding of extreme weights to more acceptable values. The objective of trimming is to avoid excessive increase in variance due to weighting, and possibly give rise to influential data, even though the process introduces some bias. The aim is to seek a trimming procedure which reduces the mean squared error. Basically, at each step of the weighting procedure, the distribution of the resulting weight adjustments should be checked.

There is no rigorous procedure for general use to determine the limits for trimming. While more sophisticated approaches are possible, it is desirable to have a simple and practical

approach. Such an approach may be quite adequate for the purpose if the permitted limits are wide enough.

The following simple procedure is recommended with:

- $\omega_i^{(1)}$  = weight before adjustment (non-response, calibration...)
- $\omega_i^{(2)}$  = weight determined after adjustment
- $\bar{\omega}^{(1)}, \bar{\omega}^{(2)}$  their respective mean values,

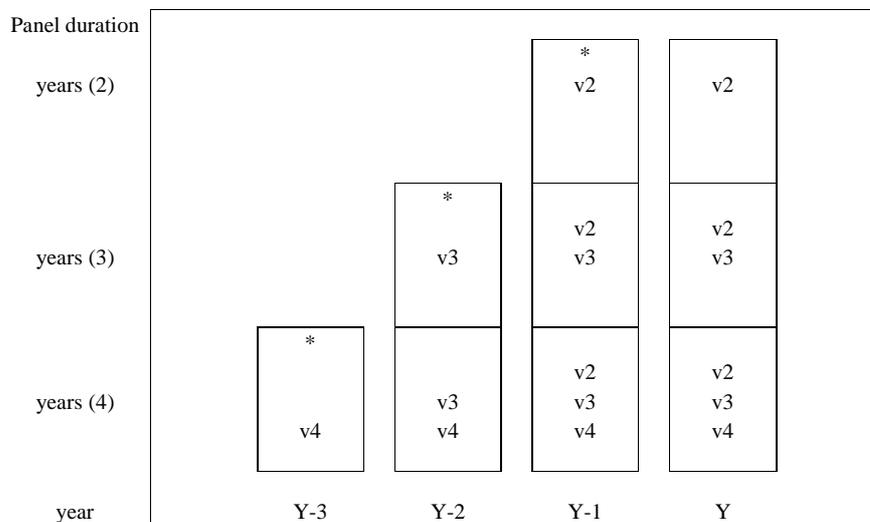
Any computed adjusted weights outside the following limits should be recoded to the boundary of these limits:

$$1/C \leq \frac{\omega_i^{(2)} / \bar{\omega}^{(2)}}{\omega_i^{(1)} / \bar{\omega}^{(1)}} \leq C$$

A reasonable value for the parameter is  $C=3$ . Since trimming alters the mean value of the weights, the above adjustment may be applied iteratively, with the mean re-determined after each cycle. Typically, a very small number of cycles should suffice.

#### **V. Longitudinal weights (SILC variables RB062, RB063 and RB064)**

We consider the longitudinal data set delivered each year, after EU-SILC year 2, when the normal rotational system has been established. The set consists of three panels of duration: two, three and four years as shown below. We will refer to each panel by its current duration.



\* Panel selected. Each square represents an annual data set. V2-V4: longitudinal variables to be defined.

These are three longitudinal data sets of different durations which are of interest:

- Longitudinal set of a two-year duration, involving annual data from year (Y-1) and Y. All the three panels 2, 3 and 4, contribute to this set. In the diagram, V2 stands for the required longitudinal weight to be used in the analysis of these data. The diagram also shows the annual data sets for which this variable is required.

- Longitudinal set of a three year duration, involving annual data from years (Y-2) to Y. Panels 3 and 4 contribute to this set. V3 is the required longitudinal weight for the analysis of this set. The annual data sets for which this variable is required are shown in the diagram.
- Longitudinal set of a four year duration. Only panel 4 with data from years (Y-3) to Y contributes to this set. V4 is the required longitudinal weight for its analysis.

**Longitudinal set of a two-year duration, for the most recent period (Y-1) to Y (variable RB062)**

Sample from panel	Weight	Population not represented *
(2)	$\omega_2^{(RB)}$	-
(3)	$\omega_3^{(RB)}$	$IN_{Y-1}^{(new)}$
(4)	$\omega_4^{(RB)}$	$IN_{Y-1}^{(new)} + IN_{Y-2}^{(new)}$

\* IN : entrants in the year preceding Y, forming separate households.

To ensure proper representation of the special groups identified in the final column, we first multiply the weights assigned to cases:

- $IN_{Y-1}^{(new)}$  by 3
- $IN_{Y-2}^{(new)}$  by 3/2

Then the required target variables can be computed as follows:  $RB062_j = \frac{\omega_j}{3}$  where  $\omega_j$  is the weight for any unit j as defined above.

**Longitudinal set of a three-year duration, for (Y-2) to Y (variable RB063)**

Sample from panel	Weight	Population not represented *
(3)	$\omega_3^{(RB)}$	
(4)	$\omega_4^{(RB)}$	$IN_{Y-2}^{(new)}$

After multiplying the weights assigned to cases in  $IN_{Y-2}^{(new)}$  by 2, the required target variable for all the longitudinal units of interest can be computed as:

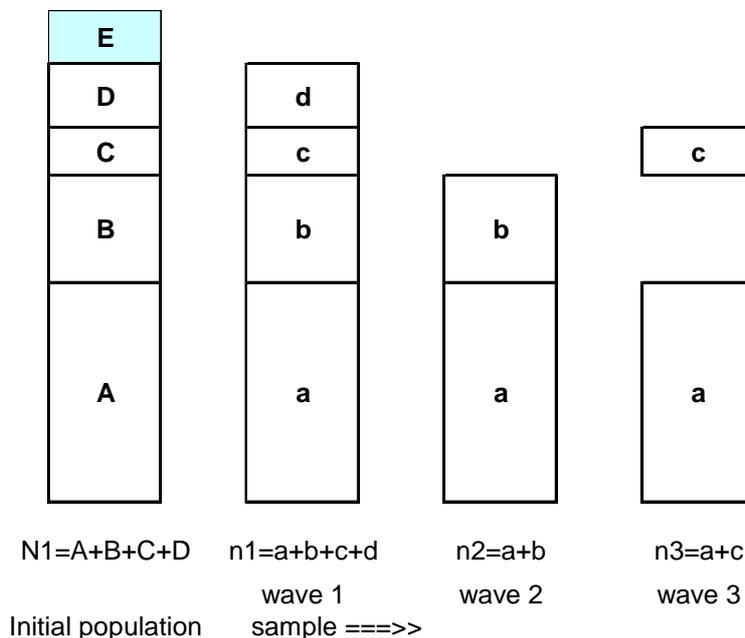
$$RB063_j = \frac{\omega_j}{2}$$

**Longitudinal set of a four-year duration, for (Y-3) to Y (variable RB064)**

For the four year panel, (Y-3) to Y: the modified base weights  $\omega_4^{(RB)}$  directly give the required target weights.

Only panel 4 with data from years (Y-3) to Y contributes to this set and the longitudinal weight is given by  $\omega_4^{(RB)}$ .

This weight is not equal to RB060. For example, members with RB110 = 4 in the last wave will have RB064 equal to zero while RB060 will be equal to the weight of the mother.

**Weighting of re-entries**

A sample is selected from the initial population at wave 1. We conceptualise the population as being divided into five parts, A to E, according to its potential response status.

A = part of the population which potentially responds for all three waves, W=1 to 3.

B = potential respondents at W=1 and W=2, but not at W=3

C = potential respondents at W=1 and W=3, but not at W=2 (re-entries)

D = potential respondents at W=1, but not at any subsequent wave

E = potential non-respondents at W=1.

The latter- mentioned group (E) are not followed up in EU-SILC. They only affect the sample weights at W=1, but not thereafter. Hence they are of no further interest in this note.

Let us assume for simplicity that all quantities above refer to the 'longitudinal' population, i.e. to all units at wave 1 that remain in-scope at waves 2 and 3.

2. Suppose that  $w_1$ , the (person-level) weights at wave  $W=1$ , have been appropriately determined taking into account the design weights, non-response at wave 1, and any calibration adjustments.

Therefore, wave 2 weights,  $w_2$ , can be determined from the wave 1 weights,  $w_1$ , by taking into account non-response between waves 1 and 2. For instance, conditional on appropriately selected auxiliary variables, we determine response propensities

$$r_{12} = P(n_2|n_1),$$

where the right-hand side is an abbreviation indicating the propensity, for the  $n_1$  sample units, to be present in sample  $n_2$ <sup>1</sup>. With the previous wave weights  $w_1$  modified as

$$(1) \quad w_2 = w_1 / P(n_2|n_1),$$

the achieved sample ( $n_2=a+b$ ) at wave 2 with weights  $w_2$  represents the population  $N_1$ , just as does  $n_1$  with the original weights  $w_1$ . Similarly, with weights at wave 2 modified as

$$(2) \quad w_3 = \frac{w_2}{P(a|n_2)} = \frac{w_1}{P(a|n_2)P(n_2|n_1)},$$

the 'longitudinal' sample  $a$  with weights  $w_3$  represents the population  $N_1$ , just as  $n_2$  does with weights  $w_2$ , and  $n_1$  with the original weights  $w_1$ .

3. The objective is to determine weights  $w_3'$  such that  $n_3=(a+c)$  represents the population  $N_1$ . Clearly, in terms of the propensity to be conditional on being in  $(a+c)$ , weights  $w_3$  and  $w_3'$  relate as:

$$w_3 = w_3' / P(a|n_3), \text{ giving}$$

$$(3) \quad w_3' = w_3 \cdot P(a|n_3) = \frac{w_2 \cdot P(a|n_3)}{P(a|n_2)} = \frac{w_1 \cdot P(a|n_3)}{P(a|n_2)P(n_2|n_1)}$$

As noted, the response propensities are determined conditional on appropriately-selected auxiliary variables. Generally, we use auxiliary variables referring to wave 1 for estimating  $P(n_2|n_1)$ , to wave 2 for estimating  $P(a|n_2)$ , and to wave 3 for estimating  $P(a|n_3)$ . This means that the three propensities in (3) are defined only for units common to all the three waves, namely for set  $a$ . Therefore, (3) can be used to define the required weights only for units in set  $a$ .

For the remaining units ( $c$ ) in sample  $n_3$ , we may use the following slightly approximate solution.

4. An alternative to (3) is

$$(4) \quad w_3'' = w_1 / P(n_3|n_1).$$

The objective of (4) is the same as that of (3): to provide weights such that  $n_3=(a+c)$  represents the population  $N_1$ . However, (4) is less precise than (3), as it goes directly from wave 1 to wave 3 and disregards information specific to wave 2. However, it is determinable for all units  $n_3=(a+c)$ .

<sup>1</sup> As noted above, strictly this refers to units from sample  $n_1$  which are *still in scope* of the target population at  $n_2$ .

**We can use (3) for units in the larger set a, and (4) for the remaining (re-entries) c.**

5. The introduction of wave 4 causes no further complication in EU-SILC. For units which are enumerated in both waves 3 and 4, we have the required wave 4 weights analogous to (1):

$$w_4 = w_3' / P(n_4 | n_3).$$

For units enumerated in waves 2 and 4, but not in wave 3, we have the required wave 4 weights analogous to (4):

$$w_4 = w_2 / P(n_4 | n_2).$$

Note that in accordance with EU-SILC follow-up rules for non-response, no cases are retained in wave 4 which were not enumerated in both waves 2 and 3. Hence no further complications are involved.

## TRACING RULES

The main objective of the longitudinal component of EU-SILC is to study changes over time at individual level, such as transitions from school to work and from work to retirement, flows into and out of economic activity and work and, above all, changes in the level of income and poverty of individuals and households.

One of the most important objectives of the longitudinal component of EU-SILC is to allow the calculation of the *Social Inclusion Indicator* “*at persistent-risk-of poverty rate*”. This indicator is computed as the percentage of the population living in households where the equivalised disposable income was below the 60% threshold for the current year and at least two out of the preceding three years. The population consists of all the persons that have been living for four years in private households.

As a consequence, it is necessary in the longitudinal component of EU-SILC to trace individuals on a minimum of a four-year period.

Longitudinal surveys require a set of procedures that indicate who is traced and interviewed through time.

### Target population

In each wave, the longitudinal component of EU-SILC should ideally represent the current target population, i.e. the population of all persons living in private households within the national territory of the country concerned. Excluded from the target population are persons living in collective households and in institutions. For practical reasons, small parts of the national territory (the excluded areas) may also not be covered in the survey.

In practice, the target population that can be covered will differ in certain respects from the above as a result of the manner in which the longitudinal sample is constructed. The longitudinal component of EU-SILC will comprise one or more panels. Each panel will begin with the selection of an initial sample representing the target population at the time of its selection. This initial sample is then followed-up over time (for a minimum duration of four years; or the duration may be longer or indefinite depending upon the design adopted in the country), according to specified tracing rules defined below. The objective of the tracing rules is to reflect any changes in the target population in the initial sample and to follow-up individuals over time. The sample for the EU-SILC longitudinal component at any given time (year) will typically consist of (i) follow-up of the initial sample(s) selected at earlier times, plus (ii) any new ‘initial sample’ selected at the time concerned. The latter covers ‘rotational designs’, as well as any supplements which may be added to the sample from time to time to compensate for panel attrition.

Thus, depending on the tracing rules, the longitudinal sample at any given time may not exactly represent the current ‘cross-sectional’ target population. The type of demographic changes which need to be reflected include births to individuals in the original population, movements of persons from outside the original population (from collective households, institutions or abroad) into private households containing individuals from that population, and into new private households that do not contain such individuals. With the possible exception of sample supplements added specially for the purpose, the latter-mentioned category of in-migrants is generally not covered by the panel tracing procedures. Deducted from the population are individuals who have died, moved out of scope (abroad or outside the private household sector), or who have become ineligible for other reasons.

**Initial sample and sample persons**

As already mentioned in ‘Survey units’, the information collected in EU-SILC pertains to the following types of units. This applies to both the cross-sectional and longitudinal components.

1. Households, for the collection of household level variables
2. All household members, for the collection of demographic and other basic information on household members, including on household size and composition
3. All household members aged 16+, for the collection of income and basic information
4. Selected respondents, which may include all members aged 16+ or a random subsample thereof (usually one such person per household), for the collection of detailed information, and
5. Former household members (for the longitudinal component only), on whom some elementary information on activity status and time spent in the household during the income reference period may be collected.

The information for Set 4 concerns ‘detailed’ variables which must be collected through a personal interview in all countries, irrespective of whether or not registers are used for other purposes. EU-SILC permits two types of samples for this purpose:

- An initial sample of ‘complete’ households, i.e. covering all persons in each household. Among these, only persons aged 16+ at the time are eligible for the detailed personal interview.
- A random sample of persons. Again, only persons aged 16+ at the time are eligible for the detailed personal interview.

Both these schemes are intended to represent the entire target population of persons (and hence also all private households) at the time of sample selection. They differ only in the type of sample selected from that population.

Set 4 defines samples for the other sets. These consist of all households containing at least one Set 4 person (Set 1) or all current members of these households (Set 2). Among current members, only persons aged 16+ at the end of the income reference period are eligible for the collection of income and related information under Set 3.

Individuals selected for the purpose of Set 4 are termed sample persons. These are all or a subset of persons in the initial sample which are followed up over the duration of the panel to obtain the longitudinal sample of observations. Thus, in principle, all members of households in the initial sample of ‘complete’ households are sample persons. For an initial sample of persons, the term applies only to the individuals selected (normally one per sample household). Other individuals in sample households are termed co-residents. A sample household is defined as a household containing at least one sample person.

For those countries where a sample of complete households is selected, exactly the same information (all Sets 1-4) is required from sample persons and from co-residents. For countries using a random sample of persons (normally one person per household), Sets 1-3 apply to sample persons as well as co-residents in the households, while the personal interview (Set 4) applies only to the sample persons.

**Follow-up of sample persons**

To study changes over time at individual level, it is necessary that all sample persons are followed-up over time, despite the fact that they may move to a new location during the life of

the panel. However, in the implementation of EU-SILC, some restrictions will be applied for practical reasons, as explained below.

### **Movement**

Ideally, all sample persons once selected should be followed up at whatever new place they move to. However, for cost and other practical reasons, it has been decided that in EU-SILC persons moving only within the confines of the target population as defined above will be followed-up: in other words, *person remaining or moving within private households in the national territory covered in the survey*. Sample persons moving to a collective household or to an institution, moving to national territories not covered in the survey, or moving abroad (to a private household, collective household or institution, within or outside the EU), would normally not be traced. The only exception would be the continued tracing of those moving temporarily (for actual or intended duration of less than 6 months) to a collective household or institution within the national territory covered, who are still considered a member of the household.

### **Age range**

The longitudinal sample must also remain representative of all age groups in the population. This means that in principle, persons of all ages should be followed up. However, in view of cost and other practical considerations, separate follow-up may be restricted to persons above a certain age. The appropriate choice of the age cut-off will depend on the type of EU-SILC design adopted by the country.

The minimum EU-SILC requirements are for a follow-up of individuals in the longitudinal sample for a period of four years. For panels of such short duration, it is acceptable (in view of cost and other practical reasons) *to separately follow-up only persons aged 14 or over at the time of selection of the initial sample for a panel*.

The practical effect of this limitation is that children aged under 14 in the initial sample will not be covered in the longitudinal sample – but only if they move ‘independently’ from their original household to a new household containing no member aged 14+. Since households in the longitudinal sample include all private households containing at least one sample person, when the follow-up is confined to sample persons above a certain age (such as 14+), the resulting sample will fall short of the ideal by excluding households which contain only sample person(s) below that age limit (and no older sample persons).

In addition, to reflect demographic changes in the population accurately, it is also necessary that provision is made to include newborn children into the sample. This can be achieved by including children born to sample women also as sample persons and following them up using the normal procedures. For short panels of a four-year duration, it has been decided not to follow up newborn children. This results in under-coverage of babies who move to households containing no person aged 14+ from their original household – a circumstance which should be rare in EU countries.

The implication of these restrictions on the follow-up of children is that longitudinal (persistent) poverty among them cannot be estimated exactly. However, as noted, the approximation will be confined to children moving into new households not containing any person aged 14+.

Hence it is not sufficient to confine the selection to persons aged 16+ within each household for the purpose of follow-up. *For a four-year panel, the selection should at least cover persons aged 14+.*

The longer the duration of the panel, the greater the necessity to lower the age limit above which all sample persons will need to be followed. It is recommended that if the panel duration exceeds say eight years, the follow-up covers persons of all ages, including children born to sample women during the course of the panel survey.

As noted earlier, two types of sample designs are possible under EU-SILC for the detailed personal interview survey: a sample of 'complete' households, in which all persons aged 16+ are eligible for the detailed personal interview; or a sample of persons, in which normally one person aged 16+ is selected per sample household for the purpose of a detailed personal interview.

It is important to emphasise that in the design employing a sample of persons, the inclusion of persons aged under 16 is a more critical requirement than that in a sample of complete households. This is because in a sample of persons, those aged under 16 can enter the interview sample on achievement of age 16 only if they were already selected into the sample for this purpose.

It is consequently recommended by Eurostat, for countries using a sample of persons (register countries) to select a sample of persons aged 14+ in case of a four-year panel and to bring their household into the sample:

- The selected persons aged 14+ (i.e. the selected respondents) are the only ones to be followed up if they move
- Selected respondents aged 14-15 at the time of selection will not be interviewed in detail till they reach the age of 16 – but must be followed-up (traced) even though no detailed personal interviews at all is involved in the household (they are 'activated' for interviewing when they reach the age of 16). Household and income information should nevertheless be collected for such households, normally using registers.
- The size of the selected sample would need to be appropriately increased to achieve the required number of interviews with persons aged 16+.

If panels of longer than a four-year duration, the age limit for the selection of individuals would need to be reduced further.

### **Non-respondents**

A household that refuses interview may be dropped from the sample. Any sample persons are automatically dropped from further follow-up.

For a short panel of a four-years duration, a household which has not been enumerated for two consecutive years or non-contacted the first year of the panel (due to the impossibility of accessing address, because the whole household is temporarily away or is unable to respond due to incapacity or illness) may be dropped, along with any sample person in it. Households that are non-enumerated for a single year due to the impossibility of locating the address, the address being non-residential or unoccupied, lost (no information on what happened to the household) may be dropped.

In countries using panels of longer duration, more thorough follow-up procedures are recommended because of the greater danger of panel attrition. As a general recommendation, only those household that produce two *consecutive* non-interviews may be dropped.

### **Precise tracing rules**

Based on the above, the EU-SILC tracing rules are summarised below:

1. Children aged under 14 will not be traced if they move to a new household containing no sample person aged 14+. In this sense, they are not considered 'sample persons'. Sample persons aged 14+ will be normally traced.
2. Detailed interviews will be conducted with those persons aged 16+, and in the case a sample of complete households is used, with all persons aged 16+ (whether sample persons or co-residents) in the household.
3. Sample persons aged 14+ who have moved to another private household within the country are traced to the new location. Those aged 16+ are interviewed.
4. Strictly, the reference here is to the territory of the country included in the target population. Those moving to certain small and specified excluded areas are dropped from the survey, as are persons moving out of the country.
5. Sample persons aged 14+ who reside temporarily in a collective household or institution but who are still considered as members of a private household are traced and, if aged 16+, are to be interviewed by proxy.
6. However, sample persons aged 14+ who have moved to a collective household, are institutionalised or moved abroad on a permanent or indefinite basis, for an actual or intended duration of six months or more, or for a short stay but who cannot be considered a member of any private household, are dropped from the survey. (In such cases, the following information should be recorded from someone who was a member of the person's household at the previous wave: to where did the person move, date of movement, number of months spent in the household during the income reference period and main activity status during the income reference period).
7. For sample persons who died, no information other than date of death, number of months spent in the household during the income reference period and main activity status during the income reference period will be collected.
8. For sample persons aged 14+ who have not been contacted in the previous wave because of the impossibility to access the address (for atmospheric reasons) or because the whole household was temporary absent or unable to respond (illness, incapacitated,...) or for other reasons, a new contact will be attempted in the present wave. If the sample person has not been contacted the first year or two consecutive years due to the reasons mentioned above, the sample person may be dropped from the survey.
9. Sample persons aged 14+ will also be dropped if they have not been contacted because of the impossibility to locate the address or because the address was non-residential or unoccupied, lost (no information on what happened to the survey) and who (or whose household) refused to co-operate.
10. Co-residents are included in EU-SILC as long as they continue to live with a sample person. Personal information is required, using normal procedures, if aged 16+. However, co-residents are not traced if they move to a household that does not contain a sample person (aged 14+).
11. For former residents ("the former household members"), who spent at least three months in the household during the income reference period, the following information will be required (only initial households): number of months spent in the household during the income reference period and main activity status during the income reference period.

12. The age cut-off of 14 years will be lowered if panels of duration longer than four years are used. Persons of all ages in the initial sample (including children born to sample women) should be treated as sample persons to be followed-up in panels of duration exceeding eight years.

The age refers to the age that person is in the first wave of each panel.

The following table summarize the follow-up of sample persons, sample households and co-residents:

**Table 4. Rules for the follow-up of sample persons, sample households and co-residents**

<b>Sample persons</b>	<b>Action:</b>
Persons move to a private household within the national territory covered in the survey	Followed to the new location of the household
Other persons temporarily away but who are still considered as members of the household	Covered in the household they belong to
Persons who are no longer members of a private household, or who have moved outside the national territory covered in the survey	Dropped from the survey
<b>Sample households</b>	<b>Action</b>
Non-enumerated for a single year due to impossibility of locating the address, the address being non-residential or unoccupied, lost (no information on what happened to the household), or the household refusing to co-operate	Dropped
Non-contacted in the first year of the panel or non-contacted two consecutive years due to the impossibility to access the address, because the whole household is temporarily away or is unable to respond due to incapacity or illness or for other reasons	Dropped
<b>Co-residents</b>	<b>Action</b>
Living in a household containing at least one sample person	Followed to new location
Living in a household not containing any sample person	Dropped

### **Organisation of the tracing**

For countries where a sample of households/address was selected, the tracing will be done from the addresses that exist in the previous wave.

Due to the fact that the main risk of attrition in a panel survey is linked to the movers, measures to avoid this risk have to be taken by the NDUs to collect the maximum possible information when a sample person is moving. The NDUs have to establish special procedures to trace all moving/split-off households.

Most importantly, every effort is to be made to trace moving people before the interviewer's visit. Several measures can be taken, e.g. (a) asking about intention or expectation of move at the previous interview; (b) contact by mail or phone in the intervening period between the waves; (c) requesting the household to inform of a move (with appropriate financial incentives) etc.

In order to be able to trace moving/split households, the first task of the interviewer, when visiting the address of the household in the previous wave, is to get all the information for the identification of the household and on the changes in the household composition. It is important to obtain the date, reason of move and the new address of the movers.

If the interviewer is unable to obtain the new address, then an attempt must be made by the supervisor and/or by the central team. It is recommended that within each NDU, at least one person is concerned only with finding the new addresses of these households in the population, using the postal system/other sources.

Another proposal which may be considered is to use specialised interviewers for following the movers: they could be paid more, and have a closer relationship with the supervisor.

#### **Information to be collected**

In the initial household, the 'whole' information required for current household members, basic information for former household members and also basic information on household members in a previous wave that are no longer household members, will be collected.

In the split-off household, only the 'whole' information required for current household members will be collected.

The 'whole' information required for current household members, the basic information for former household members and the basic information on household members in previous waves that are no longer household members, are laid down in the Commission Regulation on the list of target primary variables.

Where a sample person is in the survey for more than one year, information will be obtained regarding whether the person remained at the same address or moved to a different address from one year to the next.

## IMPUTATION

In EU-SILC, missing data problems can arise from the fact that there are diverse sources in a number of forms. This discussion concerns the problem of imputation for item non-response, particularly the problem encountered in constructing total household income in the presence of missing information on some income components. Similar problems arise when the information is available on some but not all members of a household.

The discussion is confined to the cross-sectional context only. Editing and imputation of longitudinal data involves taking into account auxiliary values from the current wave, previous and future waves (countries using a rotational or long-term panel will apply a common imputation method for the cross-sectional and longitudinal component).

There are two reasons for imputing missing data; one may be referred to as statistical and the other practical. The statistical reason of imputation is to minimise the mean squared error of survey estimates, in particular the non-response bias component that arises when the pattern of missing data is not random. The practical reasons concern consistency between the results from different analyses (which may handle – and be affected – differently by the problem of missing data), and the convenience of not having to deal with the missing data problem at the analysis stage.

In certain situations, such as when the incidence of item non-response is low and/or when the non-response happens not to be selective, it may be a reasonable option to ignore the problem and confine the analysis to those cases that have complete information.

However, this is not a typical option in the case of EU-SILC. This is because total household income is made up of a large number of components. In a large proportion of the cases, information on some but not all components may be available. It is not acceptable to reject a case if the information is incomplete, as that would result in the loss of much valuable information. Hence it is essential to impute missing values in the income variables where that can be reasonably done. Furthermore, since the total income of a household is made-up of incomes of its individual members, it is also necessary to take into account the problem of missing individual interviews within otherwise completed households.

### Missing data in EU-SILC

#### **Coverage and sample selection errors**

These arise for instance when units in the target population are not represented (whether implicitly or explicitly) in the sampling frame, or when the unit selection probabilities are distorted, or other sample selection errors occur. Generally, such distortions are extremely difficult to correct. Some corrections may be possible on the basis of information external to the sampling frame. Such adjustments are variously called bench-marking, post-stratification, calibration, etc.

#### **Unit non-response**

This refers to the absence of information on whole units (households and/or persons) selected for the sample. Normally the impact of unit non-response is reduced by attaching appropriate weights to the responding cases. Some of the information for weighting comes from within the survey, such as information on units' selection probabilities, and unit non-response rates for different subgroups in the sample. This may be called 'weighting' proper. In addition,

weighting normally also makes use of external control distributions of population characteristics (e.g. by household size, location, age and sex, activity status). This is similar to the bench-marking, post-stratification or calibration mentioned above.

### Partial unit non-response

EU-SILC involves two levels of units of analysis: household and persons. In analysis involving the distribution units at either of these levels, non-response can be dealt with through weighting. However, a special feature of EU-SILC is that a number of variables at the household level are not collected directly with the household as the unit, but are constructed by aggregating information on individual members of the household. An example is the variable 'number of economically active members in the household according to self-defined current activity status', which requires information on the activity status of all household members.

The most important of this class of variables concerns the component of household income. This can be constructed only if information on income is available for all members of the household. The term 'partial unit non-response' is introduced to describe the situation where some but not all individual members of a household selected for the survey have been successfully enumerated. Two possible approaches of dealing with this problem are: (i) adjustment of sample weights of enumerated individuals in the household with the objective of compensating for members not enumerated; or (ii) construction of the required variables for each non-enumerated person in the household through imputation.

### Item non-response

This refers to the situation when a sample unit has been successfully enumerated, but not all the required information has been obtained.

In certain situations, such as when the incidence of item non-response is low, it may be a reasonable option to ignore the problem and confine the analysis only to cases with complete information. However, as noted above, this is not an option in the case of EU-SILC.

In Table 5, two types of approaches (which may be used in combination) are mentioned: imputation and weighting.

**Table 5. Treating missing data**

<b>Missing data</b>	<b>Compensating measures</b>	
Coverage and sample selection errors	Bench-marking, post-stratification, calibration	
Unit non-response	Bench-marking, post-stratification, calibration	Weighting
'Partial' unit non-response	Weighting	Imputation
Item non-response	Imputation	Weighting
Target variables (gross income components)		Modelling

### The construction of target income variables

EU-SILC requires income components to be in the gross form. Components which are available (collected) as net amounts still have to be converted to the required gross form. These present a different 'missing value' problem. Most likely, the appropriate approach will be modelling or microsimulation, rather than purely statistical imputation.

**EU-SILC target variables for imputation**

According to the EU-SILC Framework Regulation: ‘MS shall transmit to the Commission (Eurostat) in the form of micro-data files weighted cross-sectional and longitudinal data which has been checked, edited and **imputed in relation to the income**’.

The Commission Regulation on sampling and tracing rules mentions, in relation to the imputation:

- 1. Where non-response to income variables at component level results missing data, appropriate methods of statistical imputation shall be applied,*
- 2. Where any gross income variable at component level is collected directly, appropriate methods of statistical imputation and/or modelling shall be applied to obtain the required target variables.*
- 3. When non-response to an individual questionnaire occurs within a sample household, appropriate statistical procedures for weighting, or imputation shall be used to estimate the total income of the household.*

Furthermore, the Commission Regulation in fieldwork aspects and imputation procedures refers to the imputation as follows:

- 1. The procedure applied to the data should preserve variation of and correlation between variables. Methods that incorporate ‘error components’ into the imputed values shall be preferable to those that simply impute a predicted value.*
- 2. Methods which take into account the correlation structure (or other characteristics of the joint distribution of the variables) shall be preferable to the marginal or univariate approach.*

**Desirable characteristics of an imputation procedure**

A set of rules is required to provide a guide on how to generate acceptable imputation results. The quality of the results always requires considerable amounts of good judgement during the imputation process, in the identification of patterns, in the selection of the appropriate techniques, choice of auxiliary variables, etc.

Various approaches to the imputation of missing values are possible. It is neither necessary nor possible to insist on any particular methodology in the case of EU-SILC. However, there are clearly some desirable properties that the procedure should have, and some procedures are better than others in terms of those properties.

The procedure should preserve the variation of, and correlations between, variables. Methods that incorporate some ‘error component’ into the imputed values are preferable to those that simply impute a predicted value. Similarly, methods that take into account the correlation structure (or other characteristics of the joint distribution of the variables) are preferable to the marginal or univariate approach which deals with the imputation of each variable separately. On the other hand, it is also desirable to limit the complexity or the computational work involved in the construction of the imputations.

**Partial unit non-response:****Adjusting for personal interview non-response within interviewed households**

It is necessary to correct for the effect of non-responding individuals within a household when aggregating personal level income variables to construct the corresponding variables at the household level. Otherwise, income of individuals not interviewed is not accounted for when calculating the household's total income.

The same applies to other variables constructed at the household level through the aggregation of person-level variables.

One possible approach to dealing with the 'partial unit non-response' problem would be the full imputation of missing personal interviews.

However, the adjustment of sample weights can provide a simpler alternative.

A simplified procedure, such as it was applied in the case of ECHP, is justified on the grounds that only a small proportion (around 3% overall) of the households were affected by the problem, though of course it could substantially affect the data for particular households.

## TRANSMISSION OF DATA AND DATA AVAILABILITY

### Deadlines

According to article 10 'Transmission of data' and Article 12 'Access for scientific purposes to EU-SILC confidential data' of the Framework Regulation of the European Parliament and of the Council concerning Community statistics on income and living conditions (EU-SILC):

Member States shall transmit to the Commission (Eurostat), in the form of micro-data files, weighted cross-sectional and longitudinal data that has been fully checked, edited and imputed in relation to income.

Member States shall transmit the data in electronic form, in conformity with an appropriate technical format to be adopted in accordance with the procedure laid down in article 14.

To fulfil the need of an early assessment of changes in the field of poverty, it was agreed to send a subset of the micro datafiles. This subset would allow, among others, the calculation of "severe material deprivation" indicators. This subset of micro datafiles is called "early transmission". It contains only data from current household members and from last year.

In order to simplify the collection of cross-sectional and longitudinal micro data, it was agreed to reconcile both components in the same microdata files. This micro datafile delivery is called "regular transmission"

The transmission and dissemination of the data is summarised in the following table

Transmission type	Deadline for transmission of the data	Transmission of indicators from Eurostat to the Commission	Dissemination of micro-data
Early transmission	By the end of year of survey N	Early material deprivation indicators by the end of January N+1	None
Regular transmission	By the end of June of survey year N+1	Cross-sectional indicators by the end of August of survey year N+1	Cross-sectional data: End of February of year of survey N+2 **
2 <sup>nd</sup> regular transmission (optional)*	By the end of november of survey year N+1	Longitudinal indicators by the end of December of survey year N+1	Longitudinal data: End of July of year of survey N+2 **

\* This transmission can be envisaged if member states are not ready to provide final longitudinal weights at the deadline of regular transmission

\*\* Would you refer to "User database" documents to see the exact content of cross-sectional and longitudinal releases

***Sample to be transmitted******Rotational panel scheme with four subsamples***

Under a rotational panel scheme with four subsamples, Member States shall annually transmit not only the rotational subsample up to year N with a four year duration to the Commission (Eurostat), but also the current rotational subsamples with shorter duration (three, two and one year). Each year all the four subsamples will be transmitted together.

For each subsample, data of the previous years will be updated according to the longitudinal controls.

**Subsamples to transmit to Eurostat for year of survey N**

Year of survey	Subsample 1	Subsample 2	Subsample 3	Subsample 4	Subsample 1'	Subsample 2'	Subsample 3'	Subsample 4'
Year N-3	▨	▨	▨	▨				
Year N-2		▨	▨	▨	▨			
Year N-1			▨	▨	▨	▨		
Year N				▨	▨	▨	▨	

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▨	Subsamples to be transmitted in regular transmission
▨	Subsamples to be transmitted in early transmission
▨	Subsamples not to be transmitted

***Sample to be disseminated***

The Commission (Eurostat) will annually make available for scientific purposes, the micro-data files of these subsamples at the Community level. In this way, the Commission (Eurostat) will make four subsamples from year of survey N available for scientific purposes as cross-sectional user database.

**Cross-sectional data**

Year of survey	Subsample 1	Subsample 2	Subsample 3	Subsample 4	Subsample 1'	Subsample 2'	Subsample 3'	Subsample 4'
Year N-3				▨				
Year N-2				▨	▨			
Year N-1				▨	▨	▨		
Year N				▨	▨	▨	▨	

▨	Subsamples to be disseminated
▨	Subsample not to be disseminated

the Commission (Eurostat) will make three out of four subsamples that will cover at least the most recent two to four years available for scientific purposes as longitudinal user database.

**Longitudinal data**

Year of survey	Subsample 1	Subsample 2	Subsample 3	Subsample 4	Subsample 1'	Subsample 2'	Subsample 3'	Subsample 4'
Year N-3				▨				
Year N-2				▨	▨			
Year N-1				▨	▨	▨		
Year N				▨	▨	▨	▨	▨

▨	Subsamples to be disseminated
▨	Subsample not to be disseminated

***Panel scheme (pure panel)***

Under a panel scheme such as ECHP, Member States will transmit updated longitudinal data on an annual basis, covering the preceding four survey years to the Commission (Eurostat), the two first data transmissions will cover respectively the two and three most recent years.

If new households (not split off households) are added to the panel (substitute the loss of other panel households, ...), the new households should be considered the same way as a new subsample in a rotational survey. They should only be transmitted when they cover at least two years.

**Files to transmit to Eurostat**

The target variables will be sent to EUROSTAT in four different files:

1. Household Register (D)
2. Personal Register (R)
3. Household Data (H)
4. Personal Data (P)

The household register file (D) must contain every selected household, including those where the address could not be contacted or those households could not be interviewed.

In the other files, records related to a household will only exist if the household has been contacted AND has a completed household interview in the household data file (H) and at least one member has complete data in the personal data file (P). This member must be the selected respondent if this mode of selection is used.

The personal register file (R) must contain a record for every person currently living in the household or temporarily absent. In the longitudinal component it must also contain a record for every person registered in the R-file of the previous year or who has lived in the household for at least three months during the income reference method.

The personal data file (P) must contain a record for every eligible person for whom the information could be completed from interview and/or registers.

**Format and Transmission*****Format***

The files must be in CSV-format (comma separated values). The following rules apply:

- Header row (first record with the variable names)
- Delimiter of variables is comma (,)
- Decimal separator is point (.)
- Character values must NOT be enclosed by quotes
- Blank variables are represented by nothing between the commas (...,...)
- The first three variables should be Year, Country and ID (for the rest of the variables no fixed order is required)

e.g.

DB010,DB020,DB030,DB040,DB040\_F,DB050,DB060,DB050\_F,DB060\_F,DB090,DB090\_F,...

2003,BE,1,BE01,1,,,-2,-2,1.25,1,...

2003,BE,2,BE05,1,536,,1,-2,1.12345,1,...

2003,BE,3,BE01,1,,,-2,-2,1,1,...

***Means of transmission***

The means to send the data to Eurostat will be Stadium from the first year of the survey onwards. Stadium requires an installation on both sides (at Eurostat and in the Member States).

**Register Files in EU-SILC**

To complete the register files focusing on the variables and their values see **Error! Reference source not found.**

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## General definitions

**DEFINITIONS**

**For the cross-sectional and longitudinal components of EU-SILC, the following definitions will be applied:**

**Year of survey**

The year in which the survey-data collection, or most of the collection, is carried out.

**Fieldwork period**

The period of time in which the survey component is collected.

**Reference period**

The period of time to which a particular item of information relates.

**Cross-sectional data**

The data pertaining to a given time or a certain time period. The cross-sectional data may be extracted either from a cross-sectional sample survey with or without a rotational sample or from a pure panel sample survey (on condition that cross-sectional representativeness is guaranteed); such data may be combined with register data (data on persons, households or dwellings compiled from a unit-level administrative or statistical register).

**Target primary areas**

The subject areas that are to be collected on an annual basis.

**Target secondary areas**

The subject areas that are to be collected every four years or less.

**Gross income**

The total monetary and non-monetary income received by the household over a specified 'income reference period', before deduction of income tax, regular taxes on wealth, employees', self-employed and unemployed (if applicable) compulsory social insurance contributions and employers' social insurance contributions, but after the inclusion of inter-household transfers received.

**Disposable income**

Gross income less income tax, regular taxes on wealth, employees', self-employed and unemployed (if applicable) compulsory social insurance contributions, employers' social insurance contributions and inter-household transfers paid.

**Collective household**

A non-institutional collective dwelling such as a boarding house, dormitory in an educational establishment or other living quarters shared by more than five persons without sharing household expenses. This also include persons living as lodgers in households with more than five lodgers.

**Institution**

Refers to an old peoples' home, health care institutions, religious institutions (convents, monasteries), correctional and penal institutions. Basically, institutions are distinguished from collective households, in that the residents of former have no individual responsibility for their housekeeping. In some cases, old an people's home can be considered as a collective household on the basis of this last rule.

**Age**

The age at the end of the income reference period except for the childcare and non-income related variables where the age refers to the age at the time of interview.

**The following definitions will be applied for the longitudinal component of EU-SILC:****Longitudinal data**

The data pertaining to individual-level changes over time, observed periodically over a certain duration. The longitudinal data may come either from a cross-sectional survey with a rotational sample where individuals once selected are followed-up or from a pure panel survey; it may be combined with register data.

**Initial sample**

The sample of households or persons at the time it is selected for inclusion in EU-SILC.

**Sample persons**

All or a subset of the members of the households in the initial sample who are above a certain age.

**Age limit used to define sample persons**

In the case of a four-year panel, this age limit shall not be higher than 14 years. In countries with a four-year panel using a sample of addresses or of households, all household members aged 14 and over in the initial sample shall be sample persons. In countries with a four-year panel using a sample of persons, this shall involve the selection of at least one such person per household.

The above-mentioned minimum age limit shall be lower in case of a longer panel duration. For a panel duration exceeding eight years, members of all ages in the initial sample shall be sample persons, and children born to sample women during the time the mother is in the panel, shall be included as sample persons.

**Panel duration**

The number of years over which sample persons, once selected into the sample, belong to the panel to obtain or compile longitudinal information.

**Rotational design**

The sample selection based on a number of sub-samples or replications, each of them similar in size and design and representative of the entire population. From one year to the next, some replications are retained, while others are dropped and replaced by new replications.

In the case of a rotational design based on four replications with a rotation of one replication per year, one of the replications shall be dropped immediately after the first year, the second shall be retained for two years, the third for three years, and the fourth shall be retained for 4

years. From the second year onwards, one new replication shall be introduced each year and retained for four years.

### **Sample household**

A household containing at least one sample person. A sample household shall be included in EU-SILC for the collection or compilation of detailed information if it contains at least one sample person aged 16 or above.

### **Co-residents or non-sample persons**

Co-residents are all current residents of a sample household other than those defined above as sample persons.

### **Entire household**

A sample household is said to be entire (complete) if it remains as one household, without forming an additional household and without the household disappearing, even though there may have been changes in its composition from the previous wave due to deaths, members moving out of scope or co-resident leaving the household, people joining the household, or births.

### **Initial/Split-off household**

A sample household from wave  $x$  is said to have been 'split' if its sample persons from wave  $x$  reside at the time of wave  $x+1$  in more than one private household within the national territories included in the target population.

When a split has occurred, one (and only one) of the resulting households shall be defined as the "initial" household, while one or more of the others are termed "split-off" households.

The following approach shall be followed in order to distinguish between "initial" and "split-off" households:

- If any sample person of the wave  $x$  still lives at the same address as the last wave, then his/her household shall be defined as the "initial" household. All sample persons who have moved shall form one or more "split-off" households;
- If no sample person lives at the address of the last wave, then the household of the sample person who had the lowest person number in the register for the last wave shall be the initial household. In the case in which this person is no longer alive or in a private household within the national territory of the target population, the initial household shall be the household of the sample person with the lowest person number.

### **Fusion**

Sample persons from different sample households from the previous wave who join together to form a new household.

## INCOME DATA

One of the main EU-SILC objectives is to produce comparable and timely cross-sectional and longitudinal data on **income** and on the **level and composition of poverty** and social exclusion.

The measure of poverty in the EU is based on the disposable income—to study income distribution and compare income between European Countries the total gross and the gross income at component level are required.

The first step to be resolved in setting up a conceptual framework for income distribution analysis is the choice of reference period over which income should be measured. It is useful to start from first principles and recall that one of the concepts which we are trying to capture is current economic well-being, for which disposable income—what households have available to spend or save—is a proxy. The question then arises as to the best choice of reference period over which to measure household income such that it most closely represents ‘current economic well-being’. A further consideration is that the income variable may be required for two distinct purposes: (i) in its own right, to measure the distribution of income across households, and (ii) as a classificatory and/or substantive variable to be used in conjunction with other social indicators, in particular the indicators of social exclusion. The ideal reference period for the first purpose may not be the same as for the second and compromise may be required.

The spectrum of choices of reference period ranges from lifetime income to income received over the most recent period—say the last week or month. ‘Annual’ income lies between these two extremes and is the concept most commonly adopted—for example, it is the recommendation of the Canberra Group. However ‘annual’ can be interpreted in a variety of ways and in order to achieve comparability between countries it is important that the same interpretation is used throughout. Later it is discussed how a 12-month reference period can be interpreted and applied. However, the two extremes of the spectrum—lifetime and current income—will be examined below because they can clarify the choices which have to be discussed in defining annual income.

### Lifetime income

The proposition here is that a household’s current economic well-being today is determined not just by income in the most recent period, but also by past experience—and indeed by future expectations. A university student may have the expectation of a good job and so their low income whilst they are studying may be a poor indicator of their ‘true’ position within the income distribution. (Indeed their earnings potential may enable them to take out loans which enable them to sustain a lifestyle in excess of that which their current income could support.) At the other end of the lifecycle, a retired person may not only benefit from income from savings set aside during their working lives—which would in any case be reflected in their current income—but may also be drawing down some of their savings to finance current consumption. (Dissaving of this kind will not be captured in the EU definition of disposable income.) In addition, they may benefit from past consumption made possible by past earnings. For example, their ownership of consumer durables may be higher than their current income would allow. Past income or future expectations may also influence social exclusion in less direct ways: for example, a person’s social position within their community.

Even during their working lives, people may have incomes that fluctuate considerably from year to year, so that to focus on the income of any particular year—let alone a particular week or month—would give a misleading impression of their position within the income distribution. The self-employed, particularly farmers, exemplify this. A self-employed farmer may experience years when yields are high and markets are buoyant, followed by years of poor weather and of depressed world prices. They may be able to smooth the resulting fluctuations in income so that fluctuations in their consumption are not so pronounced, for example by managing their personal borrowing and saving and/or their investment in their business so that a certain standard of living may be maintained throughout. However, the ability to do this will depend on how well future income can be forecast and will not always be possible for this and other reasons, such as how the overall level of income compares with that of essential expenditure in the good years.

Similar remarks can be made about the individual that experiences a number of periods of unemployment throughout their working life. Their economic well-being may not be dictated solely by their economic status at a point in time. The person who has a well-paid job now but has experienced unemployment in the past might not necessarily be as ‘well-off’ as someone on the same salary but with no such episodes. For example, they may have different perceptions of job security which may affect their expenditure patterns and thus their economic well-being.

Lifetime income will tend to smooth out such fluctuations, and therefore will generally be more equally distributed than incomes measured over a shorter period.

However, to what extent do people in practice manage their finances so that lifetime income is a better indicator of current economic well-being than income over a period closer to the current time? It is debatable as to the extent that the person who is now on benefit income is affected by the fact that they have held down a well-paid job in the past, and vice versa. Even for the elderly, the provision that they made for their retirement during their working lives may be perfectly well captured by their current income from pensions (however financed) and interest income from savings. The benefit they obtain from living in a property which they own outright will also be captured in current income through imputed rent. If lifetime rather than current income is used as a classificatory variable alongside social exclusion indicators such as current ability to afford a certain standard of food and clothing, counter-intuitive results are bound to be obtained.

There are also considerable conceptual problems in defining lifetime incomes. For example, what discount rate, or rates, should be used? Forecasts have to be made of future income flows to produce complete lifetime profiles. For today’s children, this involves a complex series of assumptions about future levels of human capital, the returns to that capital, and the type and amount of work effort by individuals.

In addition there are numerous practical difficulties in the measurement even of cumulative income received up to the point of interview, in addition to those introduced by the need to make forecasts. Although in countries where income data are obtained from registers it may be possible to construct cumulative income flows with a reasonable degree of accuracy, the problems of recall will be considerable where data are obtained through interview surveys. (For simplicity, these two groups of countries will henceforth be referred to, respectively, as ‘register’ and ‘survey’ countries.) Some very long-running panel surveys may be able to supplement the data collected on income at each wave with data on periods covered in previous waves and possibly with retrospective questions to cover periods before the survey began, but here again there will be recall problems.

### Current income

At the other end of the spectrum from lifetime income, lies current income, what an individual has available to spend or save 'today'. In practice, this means the income received over a short period in the immediate past, such as during the last week or month. Such a short reference period is meaningful only on the assumption that people spend or save what they get virtually instantaneously and that they do not smooth their expenditure to take account of the irregular nature of some income flows.

For a person with stable, regular monthly or weekly income flows, for example the employee on a fixed salary or a retired person on pension income, current income defined in this way may represent a reasonable picture of their current economic well-being. Even in such cases, it can be argued that there may be some influence from past income experiences. For example, the person who has recently got a job after a period of unemployment may be paying off debts incurred whilst out of work. The retired person may, as already discussed, be running down their savings to finance current expenditure.

However, virtually everyone will have some income flows that are irregular. Is it reasonable to assume that they are spent immediately, affecting economic well-being only at the time of receipt? Two factors are likely to affect the reasonableness of this assumption: the size of the receipt and whether it is expected by the recipient and can therefore be taken into account in their budgeting. The Canberra Group recommends excluding large amounts, such as inheritances and lump sum retirement payments, from income in any case, and regarding them as capital transfers. Small amounts that are one-time or irregular, such as cash gifts from relatives or unexpected bonuses, will probably be spent virtually immediately. However, there are a number of important income components which are irregular in the sense of not being received as frequently as salaries or benefit income but which are not unexpected. For example, property income received annually or bi-annually is likely to influence current budgeting even if not received during the most recent accounting period.

We have already seen that self-employment income may also be erratic over time, and this is true not just over a person's lifetime but also over shorter periods. Many self-employed people experience 'lumpy' income flows over quite short periods, and have to ensure that sufficient money is set aside to finance consumption over periods during which perhaps no income at all may be received. Seasonal workers also experience irregular flows of employment income. For example, the ski instructor may be able to earn sufficient in a few months to support themselves for the rest of the year. Both the seasonal worker and the self-employed person are in effect setting up short-term patterns of saving and dis-saving to cope with irregular income flows. Even amongst employees receiving regular monthly or weekly wages and salaries, some may receive annual bonuses or have the possibility of overtime working only at certain times of the year. It would be misleading to take income over the most recent week or month as an estimate of the current economic well-being of any of these groups, whenever that period happened to fall.

To be able to manage one's finances in these situations implies the expectation of a certain stability of income, albeit over a longer period than that which might be considered the 'current' period. For the casual worker on low wages however, there may be no such possibility of income/expenditure management: for them the financial pressures may be such that income is in fact spent as soon as it is received. Although it may therefore appear that current income might be a reasonable representation of a person's current economic well-being, this may nevertheless not be the case. If the income received over the last period is atypical, it may give an overly optimistic (or pessimistic) view.

Thus the use of a relatively short accounting period for income, such as a month or a week, will accentuate the influence of short-run fluctuations, and at the aggregate level will lead to income distribution estimates which imply a greater level of inequality than is the case when income is measured over a longer period.

These arguments lead to the conclusion that income should be measured over a period longer than the immediate past.

### **Annual income**

An annual accounting framework is most commonly adopted for income distribution analysis. It represents a compromise between the two extremes just discussed: it is not subject to the same level of fluctuation as income in the immediate past, but it does not raise the measurement problems of lifetime income. Most direct taxes use an annual accounting framework, as do many of the more intermittent income components such as property income. A twelve-month reference period is also the common period for which owners of small enterprises derive a measure of profit or loss for their business, and it also enables income from seasonal activities to be captured.

However, the term 'annual' is open to a variety of interpretations and for comparable data to be compiled across the EU, we have to be very clear about how it is to be defined. The main choices are between:

- A fixed twelve-month period preceding the survey period, for which data are most readily available; or
- A moving twelve month period immediately preceding the time of data collection/compilation for each respondent or unit in the survey.

In the above, the 'survey period' refers to the time during which the information is collected/compiled for the sample as a whole. The concept applies whether the income data are obtained through interview surveys or registers. In practice it may vary from a short duration of a few weeks or months, to a whole year as in continuous annual surveys.

The reference period is the time to which the information relates. The reference period may be fixed, i.e. defined in terms of specified calendar dates, the same for all respondents/units in the sample; or it may be a moving reference period, defined as a specified duration immediately preceding the particular time of data collection for each sample unit. In the latter case, the exact calendar period to which the data relate would generally vary from one sample unit to another. Furthermore, the information aggregated over the sample units will be unevenly distributed over a period longer than the length of the moving reference period (equalling in fact to the sum of the survey and reference period lengths).

Each type of reference period has its own advantages as discussed below.

We will first consider situations where income data are obtained through interview surveys ('survey countries'). The situation is quite different in countries where income data are obtained from registers.

### **Fixed twelve-month reference period**

The major advantage of using a fixed reference period is that it provides information related to a defined time period that is the same for all respondents. The most appropriate choice will be the period for which income records are most readily available overall (i.e. for most survey units) —meaning in most circumstances the tax year. The fact that respondents are able to

consult records that provide complete data over the twelve month period will greatly aid data quality.

This is the preferred option: for most EU Member States, respondents will have records most readily available for the tax year, which is typically the calendar year. Thus the option equates, for the majority of countries, to the calendar year preceding interview.

In all countries, greater flexibility is required in the case of the self-employed.

There are also disadvantages in using a fixed reference period, whether it refers to the tax year or the preceding calendar year. How serious these disadvantages are depends on the timing and duration of the data collection period. With a long gap between the income reference period and the time of data collection, a major disadvantage is that other variables, for example those measuring household composition, economic activity status and social exclusion, are measured at the time of interview and might not relate well to income measured over a period considerably in the past. Such variables can only sensibly be related to current income, which cannot be constructed if data are only collected for a fixed period in the past.

The disadvantages become most clear when we consider a continuous survey where the fieldwork is spread over all 12 months. In this case some respondents would be interviewed up to 12 months after the end and as much as 24 months from the beginning of the reference period, seriously magnifying recall problems. Furthermore, in order to capture work-related transitions and for income-checking purposes, an activity log of up to 24 months will be needed if current income is to be collected as well as calendar year totals. Hence at least in continuous surveys, the use of a fixed reference period would not be appropriate.

#### **Moving 12-month period preceding the interview**

The second option, of using a 1-month moving reference period immediately preceding the interview, has the major advantage of matching most closely with the circumstances of the household at the time of interview as measured by other variables. It is the 12-month period closest to the time of interview and might therefore be expected to minimise recall problems—though it will not of course eliminate them and may cause difficulties if the records the respondent has available refer to another period such as the tax year. In countries where reliance is best placed on tax record data, this option will not provide as accurate income data as the method whereby the tax year is used as the fixed reference period.

Another disadvantage of using a moving reference period is that it results in information relating to different times for different respondents in the sample, and also to different reference periods for different countries depending the timing and duration of fieldwork.

However, if the fieldwork can be carried out over a short period shortly after the end of the tax (or calendar) year, this option becomes very similar to the first method of using a fixed reference period.

If fieldwork is spread over a period of time, such as over all 12 months of the year in a continuous survey, the differences between the actual reference periods will be maximised among different respondents within a single country. This effect has to be taken into account when aggregating the data. Nevertheless, despite this problem, a moving reference period is generally the appropriate choice in a continuous survey. As noted above, the use of a fixed reference period would tend to result in large response errors and burden (which in addition are uneven among respondents in the survey).

### **Registers**

So far, this discussion has concentrated on considerations for survey countries. For register countries, the arguments around respondent recall and resulting data quality do not, of course, apply. For them, the choice is reduced to that between the period closest to that at which other variables are measured or that which corresponds with the period that makes most sense from an administrative point of view (e.g. as used for tax or other administrative systems).

For the EU-SILC, the use of the preceding calendar year as the income reference period has been considered as the appropriate choice in these countries. Some of the non-income EU-SILC variables may be obtained from interview surveys rather than registers, and the problem of mismatch between those and income data will remain, depending on the time lag between the two.

### **Total annual income or modified annual income?**

Whichever choice of 12 month period is made, there is a further decision to be taken about whether 'annual' income is to be defined as total income over that 12 month period or whether only some components are to be measured over 12 months whilst for others more emphasis is to be placed on the level of receipts over a current or relatively short period closest to the time of interview. The latter will here be termed 'modified' annual income.

From the point of view of most accounting frameworks, for example the national accounts, the term 'annual income' is defined as total income received over a 12-month period. Why might one wish to deviate from this convention? There are three main arguments when the data are collected through interview surveys:

- For some components, current income may provide a better picture of current economic well-being, particularly if income is to be analysed against other variables measured at the time of interview, whilst for other components annual (total) income may be more appropriate;
- For some components, data quality may be improved by taking income received in a short recent period and multiplying it by an appropriate factor ( $=12 / \text{length of the reference period used in months}$ ) to obtain an estimate of annual income, rather than asking respondents to reconstruct their income receipts over a 12 month period;
- Even when it may result in some reduction in data quality, simpler or approximate procedures may be preferred so as to limit respondent burden.

At most, only the first of these applies to register countries.

Taking the first of these arguments, the contention here is that if a person has experienced changes in income over a year—for example, they may have moved from employment into retirement or unemployment or vice versa—it is only their current economic status, and therefore their current income, which best describes their current economic well-being. Previous statuses and the income flows resulting from them should be ignored as irrelevant to the situation at the time of interview. For intermittent but regular income components, such as property income, measurement over the year is still appropriate—the recipient can be assumed to still be benefiting from them even if there happened to be no receipts in the most recent period. Thus a modified total income measure would take current values of some components (for example benefit income, wages and salaries) multiplied up to produce an annualised figure, and add to it total annual income for those components that are intermittent over the year (for example property income, earnings from seasonal work). For self-employment income, there may be no choice but to take total annual income for the most

recent period for which the respondent has produced annual accounts. If these accounts are for a year some time in the past, it may be necessary to apply an inflation factor and possibly other adjustments to reflect any changes in trading conditions. There are nevertheless particular problems in capturing data on self-employment income that accurately reflect the position of the respondent within the income distribution.

The second and third arguments, about data quality and respondent burden, are purely pragmatic. These stem from the well-known and documented problems of respondent recall when asked to reconstruct detailed income data for a period as long as 12 months in situations where the respondent has no records available to consult. A more accurate estimate of annual income may be obtained, at least for some components, by taking the most recent receipts and annualising them in the way already described. However, it may be possible to ask some questions to establish whether the most recent receipts are in any way atypical for the past year and if so, in what way they were atypical. From this, it may then be possible to adjust the 'annualised income' to take account of this.

There are a number of implications of the modified income concept. Because tax payments are usually made on an annual, tax-year basis, tax paid on modified annual income should as a rule be modelled rather than collected at interview.

There are other more minor considerations. For example, it may no longer be possible to compare survey-based estimates of income aggregates with those from other sources, such as tax records or national accounts, as part of the robustness assessment process since the time periods will no longer correspond.

It should also be recognised that the resulting distribution of income may be more unequal than if total annual income were used, since, as recognised in this paper, the longer the period over which income is measured, the lesser is the degree of dispersion that is likely to be observed. This is not an argument either for or against the use of modified income, simply an implication of its use. The impact on income dispersion will in any case be less than if a current income concept were used.

#### **Conclusion about the income reference period**

Clearly, if the purpose of data collection were solely to produce income distribution statistics, the same fixed reference period used for respondents in all Member States would be preferred as this would ensure maximum comparability. Also, in so far as the calendar year coincides with the tax year and countries wish respondents to refer extensively to tax returns in providing information at interview, the use of the calendar year as reference period will provide better quality data.

However, it is also necessary to recognise two important problems with this choice, which tend to be less serious with the "12-month moving reference period preceding the interview" approach. Firstly, the time lag between the reference period and fieldwork weakens the match between income (which refers to a period in the past) and other related variables (which measure the current situation) such as housing, employment status and social exclusion. If current income is not collected in addition to the fixed period total, it will be impossible to relate current labour market status to income for those households that have experienced a work-related income transition between the reference period and the time of interview. In principle, this problem applies equally whether the information is collected through interview surveys or from registers.

The second problem is the loss in data quality in interview surveys as a result of the longer recall period, compared to the use of a moving reference period of the 12 months immediately preceding the interview.

To reduce the impact of both these problems, it is desirable to undertake the survey early in the New Year, and to minimise the fieldwork duration – i.e. to make the conditions of data collection as similar as possible to the "12-month moving reference period preceding the interview" approach.

There are circumstances in which the above conditions cannot be met, making the choice of a moving reference period more appropriate:

- If data collection takes place using a continuous survey, i.e. with fieldwork spread out over all 12 months of the year. Clearly, the use of a fixed reference period will not be appropriate in this design unless it can be certain that respondents will continue to have ready access to the necessary records, as the recall periods will become prolonged and, furthermore, greatly variable among respondents in the same survey.
- Some countries have an established tradition of using the moving 12 months reference period in income surveys, and/or do not rely on extensive use of tax records in the collection of information.
- In certain circumstances, it may be impossible to start the survey early in the new year, and a moving 12-month reference period would be desirable to reduce recall problems.

In respect of the second of the two choices—annual versus modified income—the recommendation is for the total annual income concept.

The collection of total annual income presents no problem in register countries, and should be feasible in terms of data quality also in countries where a fixed calendar (tax) year period has been chosen as reference period and most of the income information is available from respondents' tax documents.

However, it has to be recognised that the modified income concept is less demanding, and may be accepted in exceptional cases where full collection of total annual income is not considered feasible and an established national tradition favouring this choice exists. In this case, the extent to which the comparability with other countries may be affected must be assessed. In the UK at least, the effect has been found to be minor in terms of income distribution statistics.

Taking into account the previous discussion the EU-SILC framework regulation, article 4 concludes:

- The income reference period will be a 12-month period. This maybe a fixed 12-month period (such as the previous calendar or tax year) or a moving 12-month period (such as the 12 months preceding the interview) or be based on a comparable measure.
- If a fixed income reference period is used, fieldwork for the survey component shall be carried out over a limited period as close as possible to the income reference period or to the tax declaration period so as to minimise time lag between income and current variables.

***Income data to be delivered (collected) in EU-SILC***

As was discussed above, 'total disposable income', 'total gross income' and 'gross income at component level' are required in EU-SILC.

Nevertheless, some of MS can not deliver, from the beginning of the survey, all of EU-SILC requirements regarding income.

The EU-SILC Commission Regulation specified the requirements about income as well as the Derogations given to some of Members States:

1. A key objective of EU-SILC is to deliver robust and comparable data on total disposable household income, total disposable household income before transfers (except old age and survivor's benefits; including old age and survivor's benefits), total gross income and gross income at component level;
2. This objective will be reached in two steps, in that Member States will be allowed to postpone the delivery of some of the above data until after the first year of their operations. The only data for which delivery will not be compulsory is from the first year of the operation are as follows:
  - Non-monetary components of employee (with the exception of company cars that is to be calculated as from the first year of the operation) and self-employed income, imputed rent and interest payments that shall be optional from the first year of the operation and compulsory from 2007;
  - Gross employers' social insurance contributions shall only be included from 2007 if results of feasibility studies are positive
3. By way of exception to paragraph 2, Greece, Spain, France, Italy and Portugal ( at the time of writing this document two other countries Latvia and Poland have also requested a derogation) may be exempt from to the requirement that they deliver any gross income data as from the first year of their operation. Nevertheless, these countries will be required to do their utmost best to deliver this data as soon as possible and definitely no later than 2007.

In the meantime, the Commission will carry out in-depth feasibility studies on this topic in co-operation with countries and provide technical assistance to initially help countries meet this gross data requirement.

Countries will report each year on their progress in performing net/gross conversion in their quality reports.

4. In the case that Greece, Spain, France, Italy and Portugal cannot deliver a gross income data component as from the first year of their operation, the corresponding net income component shall be required.

In this way, an income component shall always be recorded in the same form (gross, net of tax on income at source and social contributions, net of tax on income at source, net of tax on social contributions) according to the usual specification for this income component in the country.

In case a given income component is collected as the sum of subcomponents, some of them gross and the others net, the total amount will have to be recorded (and imputed where necessary) either in a gross or net form in accordance with the usual specification for this income component in the country (preferably in gross form).

If an income component is collected for all households within a country in both forms—gross and net—both should be provided to Eurostat.

## General Description

**DOMAINS and AREAS**Households

BASIC DATA (B)	Basic household data including degree of urbanisation
INCOME (Y)	Total household income (gross and disposable)
	Gross income components at household level
SOCIAL EXCLUSION (S)	Housing and non-housing related arrears
	Non-monetary household deprivation indicators, including problems in making ends meet, extent of debt and enforced lack of basic necessities
	Physical and social environment
LABOUR INFORMATION (L)	Childcare
HOUSING (H)	Dwelling type, tenure status and housing conditions
	Amenities in dwelling
	Housing costs

Persons

BASIC DATA (B)	Basic personal data
	Demographic data
EDUCATION (E)	Education, including highest ISCED level attained
LABOUR INFORMATION (L)	Basic labour information on current activity status and on current main job, including information on last main job for unemployed
	Basic information on activity status during income reference period
	Total number of hours worked on current second/third ... jobs
	Detailed labour information
	Activity history
	Calendar of activities
HEALTH (H)	Health, including health status and chronic illness or condition
	Access to healthcare
INCOME (Y)	Gross personal income, total and components at personal level

**REFERENCE PERIODS**

Reference period: period of time to which a particular item of information relates.

EU-SILC uses the following reference periods for different items:

- At selection: this term is usually used with variables related to the sample design and it refers to the time that the sample is selected.
- Constant
- Current
- Income reference period: the income reference period shall be a 12-month period. This may be a fixed 12-month period (such as the previous calendar or tax year) or a moving 12-month period (such as the twelve months preceding the interview). Limited departures from this definition are permitted for those Member States that traditionally follow a different time period in their national statistics, as long as the impact on comparability is marginal.
- Previous 12 months: this refers to the 12-month period preceding the interview.
- Since last year: since the last interview.
- Working life: period of time between the time that person started his/her labour activity and the present time.
- Childcare reference period: the childcare reference period shall be a typical (usual) week around the interview. If the date of the survey is before or during the school summer holidays, the childcare reference period shall be a typical week in the period from January to the date of the survey, as possible to the date of interview. A “typical week” should be understood as one which is representative of the period as a whole. If it is difficult to identify a typical week because weeks differ too much, then the information should be provided for the first week before the end of the reference period that is not affected by holidays or other special circumstances (e.g. illness).

Other periods of time such as the reference week (refers the period ‘from Monday to Sunday’ of the week before the interview date), the four previous weeks (refers to the previous four weeks ending with the reference week), etc are used in the data collection and they are defined in each item.

**UNITS****Household**

Private Household: defined as a person living alone or a group of people who live together in the same private dwelling and share expenditures, including the joint provision of living essentials.

**Household member**

Subject to the further and specific conditions shown below, the following persons must, if they **share household expenses**, be regarded as household members.

1. Persons usually resident, related to other members
2. Persons usually resident, not related to other members
3. Resident boarders, lodgers, tenants
4. Visitors
5. Live-in domestic servants, au-pairs
6. Persons usually resident, but temporarily absent from dwelling (for reasons of holiday travel, work, education or similar)
7. Children of the household who are being educated away from home
8. Persons absent for long periods, but having household ties: persons working away from home
9. Persons temporarily absent but having household ties: persons in hospital, nursing home, boarding school or other institution

**Further conditions for inclusion as household members are as follows:**

For categories (3) (4) (5):

- Currently has no private address elsewhere or their actual or intended duration of stay is six months or more

For category (6):

- Currently has no private address elsewhere and their actual or intended duration of stay is less than six months

For categories (7) and (8), irrespective of the actual or intended duration of absence, the person:

- Currently has no private address elsewhere, is the partner or child of a household member, and continues to retain close ties with the household and considers this address to be his/her main residence

And for category (9):

- The person has clear financial ties to the household and the actual or expected duration of absence from the household is less than six months

Shares in household expenses include benefiting from expenses (e.g. children, persons with no income) as well as contributing to expenses. If expenses are not shared, then the person constitutes a separate household at the same address.

A person will be considered a usually resident member of the household if he/she spends most of his/her daily night-rest there, evaluated over the past six-months. Persons forming new

households or joining existing households will normally be considered members at their new location; similarly, those leaving to live elsewhere will no longer be considered members of the original household. The above-mentioned 'past six-month' criteria will be replaced by the intention to stay for a period of six months or more at the new place of residence.

Account must be taken of what may be considered as 'permanent' movements in or out of households. Thus a person who has moved into a household for an indefinite period or with the intention to stay for a period of six months or more, will be considered a household member, even though the person has not yet resided in the household for six months, and has in fact spent a majority of that time at some other place of residence. Similarly, a person who has moved out of the household to some other place of residence with the intention to stay away for six months or more, will no longer be considered a member of the previous household.

If the person who is temporarily absent is in private accommodation, then whether they are members of this (or their other) household depends on the length of their absence. Exceptionally, certain categories of persons with very close ties to the household may be included as members irrespective of the length of absence, provided they are not considered members of another private household.

In the application of these criteria, the intention would be to minimise the risk that individuals who have two private addresses at which they might potentially be enumerated are not double-counted in the sampling frame. Similarly, the intention would be to minimise the risk of some persons being excluded from membership of any household, even though in reality they belong to the private household sector.

#### **Former household member**

The term former household member refers to a person who is not a current member of the household and who has not been recorded as a household member in that household in a previous wave, but who lived in the household for at least three months during the income reference period.

The former household members will be included only in the EU-SILC longitudinal component.

#### **Selected respondent**

If income information is available from population registers, and a sample of persons (rather than households or addresses) is selected, then one household member aged 16 or over (the person selected into the sample) may be the selected respondent. In this situation, detailed individual-level information on labour situation, health and access to health would be collected for one adult, rather than all adults in the household.

#### **Household member 16 and over**

In countries where a sample of households or addresses is selected, all persons aged 16 and over at the end of the income reference period will be selected for personal interview.

**MODES OF COLLECTION**

The information included in the SILC project can either be extracted from registers or be collected from interviews.

In case of interviews, five modes of data collection are possible:

1. Face-to-face personal interview (PAPI)
2. Face-to-face personal interview (CAPI)
3. Telephone interview (CATI)
4. Self-administered by respondent
5. Proxy interview

In the EU-SILC legal basis, priority is given to face-to-face personal interviews (PAPI or CAPI) over other modes of data collection.

For the countries where a sample of persons, as opposed to a sample of addresses/households, is selected (i.e. in the 'registers' countries), the systematic use of telephone interviews has been allowed on a gentlemen's agreement basis. This has been made possible because the interview duration is much shorter in this situation given that part of the information is extracted from registers.

It is only under special circumstances (absence, illness, incapacity, ...) where the individual is unable to directly provide the requested information through personal interview, that a personal interview with another member of the household (proxy), a telephone interview with the individual or a self-administration of the questionnaire by the respondent are the recommended methods.

Proxy interviews are to be especially avoided for both income variables, health and detailed labour information.

If the information is carried out through personal interview with another member of the household or is self-administered by the respondent, the interviewer, if possible, should try to arrange a later interview with that person or, if this is not possible, to contact him/her by phone in order to check the accuracy of the information provided in the questionnaire.

In the case that a proxy interview is carried out, the identification number of the person who has provided the information must be recorded.

**D-, R-, H- and P-FILES**

The target variables will be sent to EUROSTAT in four different files:

1. Household Register (D)
2. Personal Register (R)
3. Household Data (H)
4. Personal Data (P)

The household register file (D) must contain every household (selected + substituted + split off), also those where the address could not be contacted or which could not be interviewed.

In the other files, records related to a household will only exist if the household has been contacted (DB120 = 11 or DB110 = 1) AND has a completed household interview in the household data file (H) (DB130 = 11) AND at least one member has complete data in the personal data file (P) (RB250 = 11, 12, 13 or 14 => DB135 = 1). This member must be the selected respondent (RB245 = 2) if this mode of selection is used.

The personal register file (R) must contain a record for every person

- currently living in the household or temporarily absent or
- that has moved out or died since the previous wave or
- lived in the household at least three months during the income reference period and who was not otherwise recorded in the register of this household.

The personal data file (P) must contain a record for every eligible person (RB245 = 1, 2 or 3) for whom the information could be completed from interview and/or registers (RB250 = 11, 12, 13 or 14).

## VARIABLE NAMES

The variable names are composed of three parts:

- 1<sup>st</sup> character: file
- 2<sup>nd</sup> character: domain
- 3 digits: sequential number

If there is character at end, the same variable has been split for some reason.

## FLAGS

1. Variables and flags must be filled in a coherent way.
2. The flag value '-2' is in most (but not all) cases dependent on the value of one or more other variables.
3. The flag value '-3' (non-selected respondent) is only valid in those countries which use these feature.

### Rules

In order to avoid creating two sorts of variables (and to have the possibility to add further flags if necessary), all variables except the key variables will be completed by a flag-variable. The flag-variable is always filled with a value.

- All variables will be completed by a flag variable (the flag-variable name is the variable name with the suffix "\_F").  
**Exemption:** the key variables (year of survey [xB010], country [xB020] and IDs [xB030, RB040]) will NOT have a flag-variable.
- All the flag-variables are filled with a value.
- There are two types of flags:
  1. Negative numbers (special codes)
    - The variable is blank (no value)
    - The flag variable specifies the reason why the main variable is blank (codes are the same for all variables)
  2. Positive numbers (including zero)
    - The variable is filled with a correct value
    - The flag-variable provides supplementary information to the value of the main variable (codes may be different by variable or group of variables)
- Number of digits:
  1. Most variables (except income variables) have a one digit flag
    - Variable is filled: positive flag (= 1) and no supplementary information is necessary/possible
    - Variable is NOT filled: negative flag (= reason why variable is not filled)
  2. Income variables (see the next section)

**INCOME FLAGS****Income flags: Total household income variables**

	Income flag/Total household income variables: HY010, HY020, HY022, HY023
<b>Transmission type</b>	Regular
<b>Reference period</b>	-
<b>Unit</b>	Household
<b>Mode of collection</b>	Constructed
<b>Values</b>	0 – 99999 Integer, usually 5 positions

**Construction**

Specific values:

- 0 No income
- 1 Missing (not allowed for most income component)

Otherwise income flag is the concatenation of various digits:

- 1<sup>st</sup> digit*: collected net or gross
- 2<sup>nd</sup> digit*: imputation method
- 3<sup>rd</sup> and following digits*: imputation factor (collected/recorded)

1<sup>st</sup> digit – Collected net or gross digit

- 1 Net
- 2 Gross
- 3 Net and gross (part of the component collected net, part gross)
- 4 Unknown

2<sup>nd</sup> digit – Imputation method digit (refer to the main source of imputation used for the components)

- 0 no imputation
- 1 deductive imputation
- 2 statistical imputation
- 3 gross/net conversion

3<sup>rd</sup> and following digit – Imputation factor

Imputation factor = collected value / recorded value (in percent with no decimal)

*Example:* if the collected value is 912 Euros and the recorded value after imputation is 1000 Euros then the three digits for the imputation factor will be 091.

**Income flags: Gross income variables**

	Income flag/Gross income components: HY040G, HY050G, HY060G, HY070G, HY080G, HY081G, HY090G, HY100G, HY110G, HY0120G, HY130G, HY131G, HY170G, PY010G, PY020G, PY021G, PY050G, PY080G, PY090G, PY100G, PY110G, PY120G, PY130G, PY140G, PY200G
<b>Transmission type</b>	Regular
<b>Reference period</b>	-
<b>Unit</b>	-
<b>Mode of collection</b>	Constructed
<b>Values</b>	0 – 99999 Integer, usually 5 positions

Deleted: , HY145G

**Construction**

Specific values:

0 No income

~~-1~~ Missing (not allowed for most income component)~~-2~~ Not applicable (PL040 not equal to 3 or MS has other source to calculate the gender pay gap or to analyse it)(only for PY200G)~~-4~~ Missing (amount included in another income component)(only for HY120, PY020, PY021, PY100, PY110, PY120, PY130)

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Otherwise income flag is the concatenation of various digits:

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*1<sup>st</sup> digit*: collected net or gross*2<sup>nd</sup> digit*: imputation method*3<sup>rd</sup> and following digits*: imputation factor (collected/recorded)*1<sup>st</sup> digit* – Collected net or gross digit1 Net of tax on income at source and social contributions (only "1" for HY100, HY120)

2 Net of tax on income at source

3 Net of tax on social contributions

4 Gross

5 Unknown

6 Mix (parts of the component collected according to different ways)

*2<sup>nd</sup> digit* – Imputation method digit

0 no imputation

1 deductive imputation

2 statistical imputation

3 gross/net conversion

*3<sup>rd</sup> and following digits* – Imputation factor

Imputation factor = collected value / recorded value (in percent with no decimal)

**Income flags: Net income variables**

<b>Domain/Area</b>	Income flag/Net income components: HY040N, HY050N, HY060N, HY070N, HY080N, HY081N, HY090N, HY100N, HY110N, HY0120N, HY130N, HY131N, HY145N, HY170N, PY010N, PY020N, PY021N, PY050N, PY080N, PY090N, PY100N, PY110N, PY120N, PY130N, PY140N
<b>Transmission type</b>	Regular
<b>Reference period</b>	-
<b>Unit</b>	-
<b>Mode of collection</b>	Constructed
<b>Values</b>	0 – 99999 Integer, usually 5 positions

**Construction**

Specific values:

- 0 No income
- 1 Missing (not permitted for most income components)
- 4 Missing (amount included in another income component)(only for HY120, PY020, PY021, PY100, PY110, PY120, PY130)
- 5 Not filled - variable of gross series is filled

Otherwise income flag is the concatenation of various digits:

- 1<sup>st</sup> digit*: collected net or gross (only "1" for HY100, HY120, HY145)
- 2<sup>nd</sup> digit*: type of net recorded value
- 3<sup>rd</sup> digit*: imputation method
- 4<sup>th</sup> and following digits*: imputation factor (collected/recorded)

1<sup>st</sup> digit – Collected net or gross digit

- 1 Net of tax on income at source and social contributions
- 2 Net of tax on income at source
- 3 Net of tax on social contributions
- 4 Gross
- 5 Unknown

2<sup>nd</sup> digit – Type of net recorded value digit

- 1 Net of tax on income at source and social contributions
- 2 Net of tax on income at source
- 3 Net of tax on social contributions
- 5 Unknown
- 6 Mix (parts of the component collected according to different methods)

3<sup>rd</sup> digit – Imputation method digit

- 0 No imputation
- 1 Deductive imputation
- 2 Statistical imputation
- 3 Gross/net conversion

4<sup>th</sup> and following digits – Imputation factor

Imputation factor = collected value / recorded value (in percent with no decimal)

**Explanations*****Collected net or gross digit***

If the amount is the same in gross and net value because the concerned income component is not taxed at all, then the 'collected net or gross' digit should be put to 'four', ie 'gross', for the flag of both the net and gross income component variables.

***Imputation digit***

**Deductive method**: one or a few subcomponents of the income variables is/are obtained by modelling the component using individual/household characteristics, for instance childrens' allowances can be computed on the basis of the age of the child.

**Statistical imputation**: the recorded value is obtained by a statistical/probabilistic model in which parameters are estimated from the data. It includes random hot deck, random model/regression, predictive regression, mean/median imputation, last observation carried forward, distance matching (including sequential hot deck) methods.

**Gross/Net conversion**: the component is obtained directly from corresponding net/gross component using a taxation model, possibility using iterative algorithm. In this particular case, it is expected that both Gross and Net variables exist in the data base.

The new imputation digit aims to allow distinguishing between uncontrolled item non response and controlled data collection strategies. The former is used for quality assessment of the survey.

***Imputation factor***

Imputation factor is non-negative. It is expressed as a percentage without a decimal. It is not bounded.

**IDENTIFICATION NUMBERS AND RECORD OF PERSONS*****Identification numbers***

Compared to previous years, cross-sectional identifiers do not exist anymore. The identifiers in the new reconciled file format are the same as the longitudinal identifiers in the former longitudinal file format and follows the same following rules:

During the survey, every household will receive a household number. This number is the base upon which to construct the Household ID and the Personal ID. It should be a sequential number and should not contain other information. It must NOT contain any information that conflicts with confidentiality rules. This number must be unique for all the years of the survey.

**Construction**

- Household number : 1 - 999999 (maximum six digits)
- Household ID : = Household number + split number (two digits)

The split number for the first wave will always take value '00'.

In the case of the household remaining entire, it keeps the Household number and Split number from one wave to the next.

In the case of a split-off, the initial household will keep the Household number and Split number from one wave to the next. The other households, i.e. the split-off households will keep the same Household number, but will be assigned the next available unique Split number in sequence.

In the case of a fusion of two sample households, if the new household remains at a previous address, it shall retain the Household number and Split number of the household that was at that address in the previous wave. If the new household is at a new address, the Household number and Split number of the household of the sample person who now has the lowest person number in 'the household register' will be retained.

- Personal ID : = Household ID + personal number (two digits)

Personal number: for every new person in the household add 1 to the highest-used persons number (for all the years of the survey and the Household ID)

It refers to the number assigned in 'the household register' to the person the first time that he/she is recorded as a household member. It should correspond to the person's line position in 'the household register'.

Household ID and Personal ID never change, not even when the person moves to another household.

No links are needed between the split-off household and the initial household.

Examples:

	WAVE 1	WAVE 2	WAVE 3	WAVE 4
<b>Household</b>	Jean Mary Elaine Lucas Peter	Jean Mary	Jean	Jean
		Elaine Lucas Anne	Mary Marcus	Mary Marcus
		Peter Sara	Elaine Lucas Anne	Elaine Lucas Anne
				Elaine Lucas Anne
			Peter Sara	Peter Sara

## Wave 1:

Household number = 123

Split = 00

Household ID (original)= 12300

*Lives in Paris, is composed of five members all of them sample persons :*

Line	Person number	First name	Personal id
A	01	Jean	123-00-01
B	02	Mary	123-00-02
C	03	Elaine	123-00-03
D	04	Lucas	123-00-04
E	05	Peter	123-00-05

Wave 2:

Jean and Mary stay in the same accommodation.

Elaine and Lucas moved out to Metz. They live with their aunt Anne (a co-resident).

Peter moved out to his sister's house, Sara (a co-resident). They live in Bordeaux.

Household number = 123 Split = 00

Household ID (original and initial)= 12300

Line	Person number	First name	Personal id
A	01	Jean	123-00-01
B	02	Mary	123-00-02

Household number =123 Split = 01

Household ID (split)= 12301

Line	Person number	First name	Personal id
A	03	Elaine	123-00-03
B	04	Lucas	123-00-04
C	01	Anne	123-01-01

Household number =123 Split = 02

Household ID (split)= 12302

Line	Person number	First name	Personal id
A	05	Peter	123-00-05
B	01	Sara	123-02-01

**Observation:** There are two splits. The household composed of Jean and Mary is the initial household (they lived at the same address in wave 1) and keeps the household number and the split number.

The household composed of Elaine, Lucas and Anne is one split-off household; it keeps the same household number but has a different split number '01'. The personal ID assigned to Anne is the Household ID =12301 adding one to the highest used person number (for all the years of the survey and the Household ID), as the household did not exist in previous wave the person number is 01.

The household composed of Peter and Sara is one split-off household, keeps the same household number but has a different split number '02'(add 1 to the highest split). The personal ID assigned to Sara is the Household ID =12302 plus add one to the highest used person number (for all the years of the survey and the Household ID), as the household did not exist in previous wave the person number is 01.

Wave 3:

Jean and Mary divorced. Mary stays at home with a new partner Marcus. Jean moved out to a new household in the same city. The rests of the households from wave 2 stay at the same accommodation and with the same composition.

Household number = 123

Split = 00

Household ID (original and initial)= 12300

Line	Person number	First name	Personal id
A	02	Mary	123-00-02
B	06	Marcus	123-00-06

Household number = 123

Split = 03

Household ID (split)= 12303

Line	Person number	First name	Personal id
A	01	Jean	123-00-01

Household number =123

Split = 01

Household ID = 12301

Line	Person number	First name	Personal id
A	03	Elaine	123-00-03
B	04	Lucas	123-00-04
C	01	Anne	123-01-01

Household number =123

Split = 02

Household ID = 12302

Line	Person number	First name	Personal id
A	05	Peter	123-00-05
B	01	Sara	123-02-01

**Observation:** There is a split. The household composed of Mary and Marcus is the initial household (she lives at the same address) and keeps the household number and the split number. The personal ID assigned to Marcus is the Household ID =12300 adding 1 to the highest used person number (for all the years of the survey and the Household ID). As the

household exited from the previous wave, and for this household numbers 01-05 person number was already assigned, the person number assigned to Marcus is 06.

The household composed by Jean is the split-off household; this keeps the same household number but has a different split number. The split number is formed by adding to 1 to the highest-used split number (for all the years of the survey). Because we have already had two splits the new split number will be 3.

Wave 4:

Elaine moved out to Nice.

Lucas and Anne moved out to Nancy.

Rest of households from wave 2 stay at the same accommodation and with the same composition.

Household number = 123

Split = 00

Household ID (original)= 12300

Line	Person number	First name	Personal id
A	02	Mary	123-00-02
B	06	Marcus	123-00-06

Household number = 123

Split = 03

Household ID = 12303

Line	Person number	First name	Personal id
A	01	Jean	123-00-01

Household number =123

Split = 01

Household ID (initial)= 12301

Line	Person number	First name	Personal id
A	03	Elaine	123-00-03

Household number =123

Split = 04

Household ID (split)= 12304

Line	Person number	First name	Personal id
A	04	Lucas	123-00-04
B	01	Anne	123-01-01

Household number =123

Split = 02

Household ID = 12302

Line	Person number	First name	Personal id
A	05	Peter	123-00-05
B	01	Sara	123-02-01

**Observation:** There is a split. The household composed of Elaine is the initial household (she had the smallest line in the register in previous wave) and retains the household number and the split number. The household composed of Jean and Anne is the split-off household and keeps the same household number but has a different split number. The split number is formed adding to 1 to the highest used split number (for all the years of the survey), as we have already had three splits, the new split number will be 4.

### Record of Persons

For determining the household identification numbers, it is necessary in the case of household splits to distinguish between the *initial household* (household that split remains identical to the parent household) and *split-off households*.

The initial household will be also very useful for the purpose of data collection.

When a household is split from wave  $x$  to wave  $x+1$ , all information about the moving of the persons from the previous wave will be collected from the initial household (i.e. in the initial household, the full information required for current household members, the basic information for former household members and the basic information on household members in the previous wave that are no longer household members will be collected).

In the split-off household, only the full information required for current household members will be collected.

In the previous example, in wave 2, the initial household is the household composed of Jean and Mary, because they lived at the same address in wave 1. In this household, information about the moving away of the persons from the previous wave will be collected.

The household composed of Elaine, Lucas and Anne is a split household. In this household, only information on current households members will be collected.

The household composed of Peter and Sara is also a split household. But only information about these members will be collected if nobody was living in the household during the income reference period as a former household member.

## Household ID = 12300

#		RB030	RB070	RB080	RB090	RB100	RB110
Line	Person number	Personal Id	Month of Birth	Year of Birth	Sex	Sample person or co-resident	Membership Status
A	01	123-00-01	05	1959	1	1	1
B	02	123-00-02	02	1962	2	1	1
C	03	123-00-03	01	1980	2	1	5
D	04	123-00-04	09	1982	1	1	5
E	05	123-00-05	12	1930	1	1	5

## Household ID = 12301

#		RB030	RB070	RB080	RB090	RB100	RB110
Line	Person number	Personal Id	Month of Birth	Year of Birth	Sex	Sample person or co-resident	Membership Status
A	03	123-00-03	01	1980	2	1	2
B	04	123-00-04	09	1982	1	1	2
D	01	123-01-01	05	1963	2	2	3

## Household ID = 12302

#		RB030	RB070	RB080	RB090	RB100	RB110
Line	Person number	Personal Id	Month of Birth	Year of Birth	Sex	Sample person or co-resident	Membership Status
A	05	123-00-05	12	1930	1	1	2
B	01	123-02-01	03	1926	2	2	3



## **Chapter 2. Description of EU-SILC Target variables**

## **Household Register (D-file)**

**DB010: Year of the survey**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>Year</i> (four digits)
<b>Flags</b>	-

**Description**

-

**DB020: Country**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation	
<b>Transmission type</b>	Early and regular	
<b>Reference period</b>	Constant	
<b>Unit</b>	Household	
<b>Mode of collection</b>	Frame	
<b>Values</b>	<i>BE</i>	Belgique/België
	<i>BG</i>	Bulgaria
	<i>CZ</i>	Czech Republic
	<i>DK</i>	Denmark
	<i>DE</i>	Deutschland
	<i>EE</i>	Estonia
	<i>IE</i>	Ireland
	<i>EL</i>	Elláda
	<i>ES</i>	España
	<i>FR</i>	France
	<i>HR</i>	Croatia
	<i>IT</i>	Italia
	<i>CY</i>	Cyprus
	<i>LV</i>	Latvia
	<i>LT</i>	Lithuania
	<i>LU</i>	Luxembourg
	<i>HU</i>	Hungary
	<i>MT</i>	Malta
	<i>NL</i>	Nederland
	<i>AT</i>	Österreich
	<i>PL</i>	Poland
	<i>PT</i>	Portugal
	<i>RO</i>	Romania
	<i>SI</i>	Slovenia
	<i>SK</i>	Slovak Republic
	<i>FI</i>	Suomi
	<i>SE</i>	Sverige
	<i>UK</i>	United Kingdom
	<i>CH</i>	Switzerland
	<i>IS</i>	Iceland
	<i>NO</i>	Norway
	<i>ME</i>	Montenegro
	<i>MK</i>	FYROM
	<i>RS</i>	Serbia
	<i>TR</i>	Turkey
<b>Flags</b>	-	

**Description**

-

**DB030: Household ID**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Frame, register or interviewer
<b>Values</b>	<i>ID number</i> - see construction in chapter General Description
<b>Flags</b>	-

**Description**

Every household will receive a household number. This number is the base upon which to construct the Household ID and the Personal ID. It should be a sequential number and should not contain other information. It must NOT contain any information that conflicts with confidentiality rules. This number must be unique for all the years of the survey.

**DB040: Region**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Frame, Register or interviewer
<b>Values</b>	NUTS (2 digits / See <b>Error! Not a valid result for table.</b> )
<b>Flags</b>	1 Filled according to NUTS-13 -1 Missing

Deleted: 10

**Description**

This variable refers to the region of the residence of the household at the date of interview.

*Difference with EU-SILC Regulation:*

The Regulation refers to the classification NUTS-03. However, COMMISSION REGULATION (EU) No [2015/2381](#) of 17 [December 2015](#), amending annexes to Regulation (EC) No 1059/2003 of the European Parliament and of the Council on the establishment of a common classification of territorial units for statistics (NUTS)<sup>1</sup> states that all data transmission as of 1/1/2012 should be made according to NUTS-13.

Deleted: 31

Deleted: 2011

Deleted: January

Deleted: 1

Deleted: 0

<sup>1</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:013:0003:0054:EN:PDF>

**DB050: Primary strata** [*Primary strata as used in the selection of the sample*]

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	At selection
<b>Unit</b>	Household
<b>Mode of collection</b>	Frame, Register or sample design
<b>Values</b>	1 – 99999
<b>Flags</b>	1 Filled 2 Self-representing PSU 3 Collapsed stratum due to single PSU (only for households selected in the stratum with the single PSU) -2 Not applicable (no stratification)

**Description**

DB050 provides an identification code for the strata in case the target population (or a part thereof) is stratified at the first stage of the sample design. Stratifying a population means dividing it into non-overlapping subpopulations, called strata. Independent samples are then selected within each stratum. DB050 refers only to explicit strata, in the case of systematic sampling of PSUs, implicit stratification will be accounted for through the use of DB070. In order to facilitate the computation of the standard errors for the common EU indicators, for the equivalised disposable income, for the unadjusted gender pay gap and for a list of income components, countries should<sup>1</sup> fill in this variable (in the case of stratification) for ALL panels and waves in the file, and not only the first one of the sub-sample (being the year of the selection of the concerned household). The recorded information, however, always refers to the situation at the time of the selection of the concerned household.

The above definition applies also to the new-entries from the second wave onwards.

All primary strata receive a unique value which remains the same for the entire duration of EU-SILC (make sure the value is consistent for all EU-SILC waves). The information in DB050 should enable the identification of ALL explicit primary strata, a combination with other variables (such as DB040) should not be necessary to identify all strata, given that DB040 should refer to the moment of interview rather than the moment of selection.

Self-representing PSUs are PSUs selected with a probability of 1. Therefore, for variance estimation purposes they must be considered to be a stratum rather than a PSU. As a result, in the case of self-representing PSUs, a separate, unique, value is assigned to DB050 for its identification and the flag variable receives code 2 for all households selected within this PSU. The stratum code for this self-representing PSU is unique and remains the same for the entire duration of EU-SILC.

If strata in the sample consist of only 1 PSU selected among a larger number of PSUs in the stratum population, or if strata in the sample contain only one PSU (among a larger number of selected PSUs) with respondents, primary strata have to be collapsed such that every stratum consists of at least two PSUs. For doing so, strata should be grouped with strata that are most similar in terms of the variables of interest for the analysis of EU-SILC. The decision of which strata are collapsed should be based on information that is available on the sampling frame. Preferably, strata similar in terms of average income are collapsed. If this information

<sup>1</sup> Agreement during the Living Conditions Working Group meeting in June 2009.

is not available, the following information is used, ordered from most preferred to least preferred: [average income, rate of employment, unemployment rate, degree of urbanisation, average age of the population]. The stratum code of the collapsed stratum is equal to the stratum code of the stratum that before collapsing already contained more than one PSU. The households selected in the stratum with the single PSU receive flag code 3.

**DB060: Primary sampling units (PSU)** [*PSU as used in the selection of the sample*]

**DB062: Secondary sampling units (SSU)** [*SSU as used in the selection of the sample*]

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	At selection
<b>Unit</b>	Household
<b>Mode of collection</b>	Frame, Register or sample design
<b>Values</b>	1 – 99999
<b>Flags</b>	1       Rotation is implemented at PSU level (the PSU rotates in and out of the sample) 2       Rotation is implemented at SSU or household level (The PSU remains in the sample for the entire duration of EU-SILC) -2      Not applicable (no first or second sampling stage)

#### Description

If direct-element sampling is either impossible (lack of sampling frame) or its implementation too expensive (the population is widely distributed geographically), multi-stage selections can be done. Firstly, the population is divided into disjoint sub-populations, called **primary sampling units (PSUs)**. A sample of PSUs is then selected (first-stage sampling). Secondly, each sampled PSU is divided itself into disjoint sub-populations, called **secondary sampling units (SSUs)**. SSUs are then independently drawn from each PSU (second-stage sampling) and so on.

DB060 (DB062) provides identification codes for the selected PSUs (SSUs). Every selected PSU should receive a value that is unique across all PSUs that have ever been selected in EU-SILC, and which remains the same for the entire duration of EU-SILC. In the case that the same PSU (SSU) is selected several times ('multiple hits'), the PSU (SSU) receives a unique value for every hit. The flag variable indicates whether rotation is implemented at the PSU level such that PSUs rotate in and out of the sample (flag value 1), or whether rotation is implemented within PSUs while the PSUs themselves remain in the sample for the entire duration of EU-SILC (flag value 2). If the first stage of the sample design consists of a selection of households, households receive a unique code for variable DB060 that remains the same for the entire duration of EU-SILC. In the latter case split-off households keep their original value at the moment of selection for variable DB060.

In case there is at least a third stage of selection, additional variables DB06i (i=3) shall be transmitted as identification numbers for the units sampled at stage i. ~~(except for households, which are identified by the variable DB030, and for strata, identified by DB050).~~ In the particular situation where more than one household can share the same dwelling, dwellings must be regarded as clusters of households and then coded accordingly, as the units that are selected at the ultimate stage. In order to facilitate the computation of the standard errors for the common EU indicators, for the equivalised disposable income, for the unadjusted gender pay gap and for a list of income components, countries should<sup>1</sup> fill in this (these) variable(s) (in the case of clustering) for ALL waves in the file, and not only the first one of the sub-

<sup>1</sup> Agreement during the Living Conditions Working Group meeting in June 2009.

sample (being the year of the selection of the concerned household). The recorded information, however, **always refers to the situation at the time of the selection** of the concerned household.

The above definition applies also to the new-entries from the second wave onwards.

In the case of self-representing PSUs (for a definition see variable DB050), secondary sampling units should be treated as if they were primary sampling units and receive a unique code for variable DB060. If households are selected at the second stage, they receive a unique value for variable DB060 that remains the same for the entire duration of EU-SILC. In the latter case split-off households keep their original value at the moment of selection for variable DB060. The identification of the self-representing units themselves is implemented in variable DB050.

**DB070: Order of selection of PSU** [*Order of selection of PSU as used in the selection of the sample*]

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	At selection
<b>Unit</b>	Household
<b>Mode of collection</b>	Frame, Register or sample design
<b>Values</b>	1 – 99999
<b>Flags</b>	<p>-2 Not applicable (no systematic selection)</p> <p>Or a combination of two digits:</p> <p>First digit: fixed or changing order of selection</p> <p>1 order on sampling frame is fixed for all EU-SILC survey years</p> <p>2 order on sampling frame may change over time</p> <p>Second digit: probability of selection of PSUs</p> <p>1 PSUs have an equal probability of selection (within explicit strata)</p> <p>2 PSUs have an unequal probability of selection (within explicit strata)</p> <p>e.g. the order of PSUs on the sampling frame remains fixed for the entire duration of EU-SILC and PSUs are selected with a probability equal to their size: the flag is equal to 12</p>

**Description**

If primary sampling units (or households in case of direct-element sampling) are selected systematically, DB070 contains the rank of selection of those units. If PSUs rotate in and out of the sample, this rank should correspond to the rank on the sampling frame, such that PSUs newly selected in the sample could be grouped together on the basis of the order of all PSUs on the sampling frame. The value for DB070 of every selected PSU remains the same for the entire duration of EU-SILC. This information is important for variance estimation purposes because a systematic drawing from a judiciously ordered sampling frame may substantially reduce sampling errors.

If systematic selections have been performed at other sampling stages, additional variables DB070( $i-1$ ), that is the order of the selection of the units of stage  $i$  ( $i > 1$ ), shall be transmitted too.

In order to facilitate the computation of the standard errors for the common EU indicators, for the equivalised disposable income, for the unadjusted gender pay gap and for a list of income components, countries should<sup>1</sup> fill in this (these) variable(s) (in the case of systematic selection) for ALL panels and waves in the file, and not only the first one of the sub-sample (being the year of the selection of the concerned household). The recorded information,

<sup>1</sup> Agreement during the Living Conditions Working Group meeting in June 2009

however, always refers to the situation at the time of the selection of the concerned household. The above definition also applies to the newentries from the second wave onwards.

**DB075: Rotation group**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Constructed
<b>Values</b>	1 – 9
<b>Flags</b>	1 Filled -2 Not applicable (no rotational design used)

**Description**

This variable shall be filled only for the countries using a rotational design.

Rotational design

Refers to any sample selection which is based on a fixed number of sub-samples, called replications, each representative of the target population at the time of their selection. Each year, one sub-sample rotates out and a new one is drawn as a substitute.

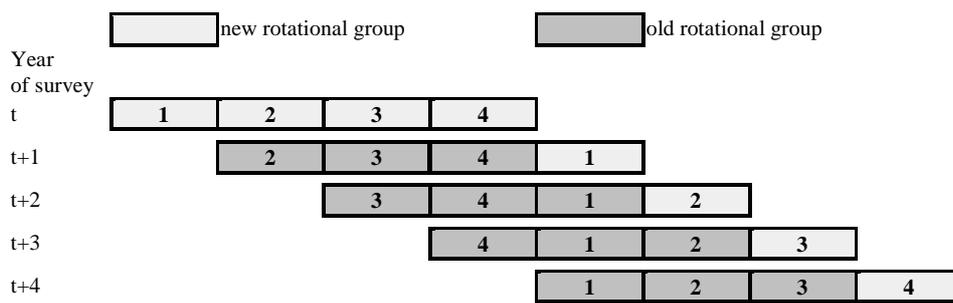
In the case of a rotational design based on four replications with a rotation of one replication per year, one of the replications shall be dropped immediately after the first year, the second shall be retained for two years, the third for three years, and the fourth shall be retained for four years. From the second year onwards: each new year one replication shall be introduced and retained for four years.

Rotation group

Each replication is called a rotational group and the information on the group to which the household belongs is especially useful for controlling the implementation of the sample over time.

Regarding the numbering of the rotation groups over time, it is recommended that each rotation group keeps the same number across years (see figure hereafter):

## PATTERN FOR ENUMERATION OF ROTATIONAL GROUPS



**DB080: Household design weight**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Constructed
<b>Values</b>	0 ( <i>format 2.5</i> ) weight (see below for required format)
<b>Flags</b>	1 Filled -2 Not applicable (not first year in the survey or split off)

**Description**

*See construction of weights in chapter 'WEIGHTING'.*

*First year of each sub-sample*

Household design weights are defined for all sampled households, and not only for the responding units. They allow inference from the initial sample to the household population. In general, they are calculated as the inverses of the inclusion probabilities.

*From second year onwards (case of a rotational panel)*

The above definition applies only to the new entries.

For the households which are not surveyed for the first time, no values are to be given for the design weight and these are to be flagged -2 (not applicable).

*Required format*

In principle, according to the regulation, these weights had to be coded with two integers and five decimals. But, that cause problems if the weights have at least three integers. That's why, in practice, household design weights will be coded with at least one integer and five decimals.

**DB090: Household cross-sectional weight**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Constructed
<b>Values</b>	0 (format 2.5) weight (see below for required format)
<b>Flags</b>	1 Filled -7 Not applicable: DB010 ≠ last year

**Description**

*See construction of weights in chapter 'WEIGHTING'.*

The household cross-sectional weights are the final estimation weights. Only the households that are accepted to the database (DB135 = 1) have a cross-sectional weight, the others are assigned a weight of 0. The calibration is done taking all rotational groups together

Required format

In principle, according to the regulation, these weights had to be coded with two integers and five decimals. But, that cause problems if the weights have at least three integers. That is why, in practice, household cross-sectional weights will be coded with at least one integer and five decimals.

In the regular transmission (reconciled file format) this variables should be filled in only for the records related to the last year of operation.

**DB095: Household longitudinal weight**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Constructed
<b>Values</b>	0 ( <i>format 2.5</i> ) weight (see below for required format)
<b>Flags</b>	1 Filled -2 Not applicable (DB110 equal 9) and DB010 = last year

**Description**

*See construction of weights in chapter 'WEIGHTING'.*

The household longitudinal weights are the final estimation weights. Only the households that are accepted to the database (DB135 = 1) have a longitudinal weight, the others are assigned a weight of 0. The calibration is done taking all rotational groups separately

Required format

In principle, according to the regulation, these weights had to be coded with two integers and five decimals. But, that cause problems if the weights have at least three integers. That is why, in practice, household longitudinal weights will be coded with at least one integer and five decimals.

**DB100: Degree of urbanisation**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation	
<b>Transmission type</b>	Early and regular	
<b>Reference period</b>	Current	
<b>Unit</b>	Household	
<b>Mode of collection</b>	Constructed	
<b>Values</b>	1	Densely-populated area
	2	Intermediate area
	3	Thinly-populated area
<b>Flags</b>	-1	Missing (allowed only from wave 2 onwards)
	1	Filled

**Description**

To fill in this variable, the new DEGURBA classification has to be used starting from 2012 operation. The new classification is based on grid cells and a complete overview of the methodology<sup>1</sup> can be found on CircaBC under the classifications section. The complete list of municipalities with their corresponding code (A : Densely-populated area, code B : Intermediate area, code C : Thinly-populated area, see below) can also be found into the EU-SILC group of CircaBC.

This variable must be filled in for every household in wave 1. From wave 2 onwards, a missing value (flag -1) is allowed for extreme cases (like moving house).

**Densely populated area:** Contiguous grid cells of 1km<sup>2</sup> with a density of at least 1 500 inhabitants per km<sup>2</sup> and a minimum population of 50 000

**Intermediate area:** Clusters of contiguous grid cells of 1km<sup>2</sup> with a density of at least 300 inhabitants per km<sup>2</sup> and a minimum population of 5 000

**Thinly-populated area:** Grid cells outside urban clusters

<sup>1</sup> A complete documentation, including correspondence tables can be found at [http://ec.europa.eu/eurostat/ramon/miscellaneous/index.cfm?TargetUrl=DSP\\_DEGURBA](http://ec.europa.eu/eurostat/ramon/miscellaneous/index.cfm?TargetUrl=DSP_DEGURBA)

**DB110: Household status**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	Household from previous wave <i>1</i> At the same address as last interview <i>2</i> Entire household moved to a private household within the country Household no longer in-scope <i>3</i> Entire household moved to a collective household or institution within the country <i>4</i> Household moved outside the country <i>5</i> Entire household died <i>6</i> Household does not contain sample person Address non-contacted <i>7</i> Household unable to access (due to for example climatic conditions) <i>11</i> Lost household (no information on record on what happened to the household) New household for this wave <i>8</i> Split-off household <i>9</i> New address added to the sample this wave or first wave Fusion <i>10</i> Fusion
<b>Flags</b>	<i>1</i> Filled

**Description**

**The household is at the same address as last interview:** This situation appears when at least one of the sample persons lives at the same address as in the previous wave.

**Entire household moved to a private household within the country:** This situation appears when no sample persons lives at the same address as in the previous wave, but when the household moved to a private household within the country.

**Entire household moved to a collective household or institution within the country:** This situation appears when all the sample persons moved to a collective household or institution within the country.

**Household moved outside the country or to territories not covered by the survey:** This situation appears when all the sample persons moved outside the country or to territories not covered by the survey.

**Entire household deceased:** This situation occurs when all the sample persons have died.

**Household does not contain sample person:** This situation appears when sample persons are no longer in scope for a variety of reasons.

**Address non-contacted** while distinguishing between unable to access and lost/no information on record as to what happened to the household

**Split-off households:** New household split off from the household since previous wave and not considered as the initial household.

**New address added to the sample in this wave or first wave:** This is where it is the first time this household is recorded in the survey and is not a split off household (first wave, new household introduced into the sample in order to maintain the sample size because of loss due to non-response).

**Fusion:** This situation appears when sample persons from different sample households from the previous wave join together to form a new household. The household that disappears will be coded as 'fusion'. The household that keeps the identification number will be coded as: '1' (if it stays at the same address as in the last interview), as 2 (if the entire household moved to a private household within the country), etc.

#### Initial contact with the address

It is recommended that a letter is sent prior to visiting the household to inform them that they have been selected to participate in the survey, the main characteristics of the survey and to request a visit to undertake an interview.

Where possible, it is recommended to make an appointment by phone in order to reduce non-contact due to absence of the person from the home, illness etc.

If the interviewer has any difficulty in finding an address there are several sources which may be helpful such as the local post office, the City Hall, the police, etc.

Where known, the telephone number of the household should be included in the interviewer instructions.

#### Second, third and so on contacts

A major risk of attrition in a longitudinal survey is linked to either individuals or the entire household moving between waves. Special procedures need to be established to trace all moving/split-off households. These procedures can relate to the interviewers organisation or to the central organisation:

- In order to be able to trace people or households who move between waves, several measures can be taken by the interviewer, e.g. (a) asking at each interview about any intention or expectation of a move before the next interview; (b) contacting them by mail or phone in the intervening period between waves; (c) requesting that the household inform the interviewer if a move takes place with appropriate financial incentives; (d) where a move is likely to occur, asking for the name and address of a friend or relative who could inform the interviewer about the new location.
- For those countries using a sample of addresses or households, the first task at each interview is to get all the information for the identification of the household members and on any changes in the household composition. It is important to obtain the date of move, the reason for the move and the new address of any movers.

- If the interviewer is unable to obtain the new address, then their supervisor and/or the central team must make an attempt to do so. It is recommended that within each NDU, at least one person is concerned only with finding the new addresses of these households in the population, using the postal system/other sources if feasible.
- In relation to household moves, one proposal is to use specialised or more experienced interviewers who will have a closer relationship with the supervisor.
- The interviewer shall try to contact neighbours, population registers or whatever other source of information in order to discover the situation of the sample persons who lived there.

Once the new address has been obtained, the interviewer shall try to locate the household at the new address if within the interviewer's area. Where the address is outside of the interviewer's area, the interviewer should advise their supervisor of the change of address.

**DB120: Contact at address**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<p>11 Address contacted</p> <p>Address non-contacted:</p> <p>21 Address cannot be located</p> <p>22 Address unable to access</p> <p>23 Address does not exist or is non-residential address or is unoccupied or not principal residence</p>
<b>Flags</b>	<p>1 Filled</p> <p>-1 Missing</p> <p>-2 Not applicable (DB110 not equal to 2, 8 or 9)</p>

**Description**

This variable need only be filled in when DB110 = 2, 8, 9. Otherwise, no values are to be given for this variable and it must be flagged -2 (not applicable).

**Address contacted:** When a household has its main residence at the sampled address which can be located, the status is recorded as 'address contacted' where it is possible to gain access to the address. When an entire, or a part of, the household (split-off household) has moved to a private household within the country, the status is recorded as 'address contacted' where it is possible to gain access to the new address.

**Address cannot be located:** This occurs when, with the information available, it is not possible to locate the address despite special efforts being made to do so.

**Address unable to access:** This occurs when it is not possible to access the address due to weather factors (like flooding etc.) or geographic factors, for example, there may be no access roads. The cause of the lack of access should not be only temporary.

**Address does not exist, is non-residential, is unoccupied or is not a principal residence:** An address is non-residential if it is used for different purposes than those of a principal residence (business, shop, vacation home, etc).

An address does not exist if the building has been demolished.

An address is unoccupied or empty if nobody is currently living there.

*For those countries selecting a sample of persons, for example from a population register, the goal is to contact the persons wherever they live. The status 'address does not exist, is non-residential, is unoccupied or is not principal residence' should not be relevant. In case of the death of the selected respondent, the household can be classified as 'address is unoccupied'.*

**DB130: Household questionnaire result**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>11</i> Household questionnaire completed Interview not completed: <i>21</i> Refusal to co-operate <i>22</i> Entire household temporarily away for duration of fieldwork <i>23</i> Household unable to respond (illness, incapacity...) <i>24</i> Other reasons
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable (DB120 not equal to 11 and DB110 not equal to 1)

**Description**

This variable need only be filled in when DB120 = 11 or when DB110 = 1. Otherwise, no values are to be given for this variable and it must be flagged -2 (not applicable).

**Household questionnaire completed:** A household questionnaire is considered as completed if most of its variables have been filled in.

**Interview not completed:** As mentioned in the Commission Regulation on Fieldwork aspects and Imputation procedures, in the case of an interview survey, at least three call-backs shall be made before a household is accepted as non-responding (interview not completed), unless there are clear and strong reasons (such as a definite refusal to co-operate, circumstances endangering the safety of the interviewer, etc.) why this cannot be done.

*The interview has not been completed for some of the following reasons:*

- *Refusal to co-operate*

The household refuses to give information either from the beginning of the interview or having initially agreed to provide the information, refuses to do so at a later date (for any reason).

The interviewers should do their best to obtain co-operation not only by explaining the survey, but also by calling back again when an appointment is broken.

- *Entire household temporarily away for duration of fieldwork*

An entire household is temporarily away when all its household members are temporarily away and will not return during the fieldwork period in the area.

Before declaring a household as being temporarily away, the interviewer shall ensure that all necessary attempts to contact the household have been made (visiting the household at different hours, different days, calling by phone, etc).

- *Household unable to respond (illness, incapacity, etc.)*

This situation appears when either all household members are unable to respond to the interview or are unable to self-administer the questionnaires due to incapacity, illness etc.

In the case where a one-person household is unable to respond to or to self-administer the questionnaire due to incapacity or illness, the interviewer should, if feasible, try to contact someone outside the household who is able to help or provide the information of the incapacitated person.

The interviewer shall only assign the code 'household unable to respond' when the illness or incapacity is not temporary; where the illness or incapacity is temporary, the interviewer should return to the household during the fieldwork period in the area.

- *Other reasons*

This item refers to any situation that is not referred to above, either because all the household members do not know the language or all of them are illiterate and so on, and nobody outside the household can provide the information.

**DB135: Household interview acceptance**

<b>Domain/Area</b>	Basic data/Basic household data including degree of urbanisation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	1 Interview accepted for database 2 Interview rejected
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (DB 130 not equal to 11)

**Description**

The interview shall be accepted for the database if at least one of the personal interviews is completed.

In those countries for which a selected respondent is chosen for the personal interview, the interview of the selected respondent must be completed.

The household interview shall be rejected for the database if no personal interview is completed.



## **Personal Register (R-file)**

**RB010: Year of the survey**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>year</i> (4 digits)
<b>Flags</b>	-

**Description**

-

**RB020: Country**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Frame
<b>Values</b>	BE Belgique/België BG Bulgaria CZ Czech republic DK Denmark DE Deutschland EE Estonia IE Ireland EL Elláda ES España FR France HR Croatia IT Italia CY Cyprus LV Latvia LT Lithuania LU Luxembourg HU Hungary MT Malta NL Nederland AT Österreich PL Poland PT Portugal RO Romania SI Slovenia SK Slovak republic FI Suomi SE Sverige UK United Kingdom  CH Switzerland IS Iceland NO Norway ME Montenegro MK FYROM RS Serbia TR Turkey
<b>Flags</b>	-

**Description**

-

**RB030: Personal ID**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Frame, register or interviewer
<b>Values</b>	<i>ID number</i> See construction in chapter 'General description'
<b>Flags</b>	-

**Description**

**RB031: Year of immigration**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Frame, register or interviewer
<b>Values</b>	<i>1890-year of the survey</i>
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (no immigration for the person)

**Description**

Note: If the person immigrated before 1890 the variable will be filled in with the value 1890.

The purpose of this variable is two-fold<sup>1</sup>:

- 1) To identify the people who entered the country in the last years (maximum duration = length of the rotational panel) to know if these people were in the sample frame at the time of the sample selection (for longitudinal weighting purposes);
- 2) To study the population of migrants in a broad sense, i.e. to evaluate the size and major characteristics of the people who entered the country when recording the last entry in the country.

The considered period of immigration should be the period since the person was born. If there are major problems encountered in obtaining the information, the considered period can be limited to the panel duration of EU-SILC survey (i.e. the [previous four years]).

In the case of an altered boundary where the person lives at the same address, this is not considered as immigration and the flag -2 should be used.

Reintegration into the country of origin or into the country of birth is considered as immigration for this variable.

Only immigration between countries should be considered, immigration between regions within a country should not be taken into account.

<sup>1</sup> It was agreed during the 2009 Living Conditions Working Group meeting that the collection of this variable would start from the 2010 operation onwards.. Nevertheless, it was kindly asked that countries fill in this variable from the 2008 operation onwards as much as possible, given the knowledge that in the majority of cases this information should be easily obtained from population registers.

**RB040: Current household ID**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Frame, register or interviewer
<b>Values</b>	<i>ID number</i> see DB030
<b>Flags</b>	-

**Description**

-

**RB050: Personal cross-sectional weight**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> ) weight (see below the required format)
<b>Flags</b>	1 filled -2 Not applicable (RB110 not equal to 1, 2, 3 or 4) -7 Not applicable RB010 ≠ last year

**Description**

*See construction of weights in chapter 'WEIGHTING'.*

**Required format**

In principle, according to the regulation, these weights had to be coded with 2 integers and 5 decimals. But, that cause problems if the weights have at least 3 integers. That's why, in practice, personal cross-sectional weights will be coded with at least one integer and 5 decimals.

In the regular transmission (reconciled file format) this variables should be filled in only for the records related to the last year of operation.

**RB060: Personal base weight**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> ) weight (see the required format below )
<b>Flags</b>	1 Filled

**Description**

*See construction of weights in chapter 'WEIGHTING'*

The personal base weight can have the value 0, namely for non-panel persons and for first wave.

Required format

In principle, according to the regulation, these weights must be coded with two integers and five decimals. However, doing so would cause problems where the weights have at least three integers. Therefore, in practice, personal base weights will be coded with at least one integer and five decimals.

**RB062: Longitudinal weight (two-year duration)**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> ) weight
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (only 1 year trajectory for the individual, i.e. individual in first wave)

**Description**

*See construction of weights in chapter 'WEIGHTING'.*

**RB063: Longitudinal weight (three-year duration)**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> ) weight
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (less than three-year trajectory for the individual, i.e. individual in first or second wave)

**Description**

*See construction of weights in chapter 'WEIGHTING'.*

**RB064: Longitudinal weight (four-year duration)**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> ) weight
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (less than four-year trajectory for the individual, i.e. individual in first, second or third wave)

**Description**

*See construction of weights in chapter 'WEIGHTING'*

**RB070: Month of birth**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 12 month
<b>Flags</b>	1 Filled -1 Missing

**Description**

-

**RB080: Year of birth**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>1890 – year of the survey</i>
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

-

**RB090: Sex**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>1</i> Male <i>2</i> Female
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

-

**RB100: Sample person or co-resident**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 Sample person 2 Co-resident
<b>Flags</b>	1 Filled -1 Missing

**Description**

**Sample persons:** This refers to all, or a subset of, the members of the households in the initial sample who are over a certain age.

**Initial sample:** Refers to the sample of households or persons at the time it is selected for inclusion in EU-SILC.

**Age limit used to define sample persons:** In the case of a four-year panel, this age limit shall not be higher than 14 years. In countries with a four-year panel using a sample of addresses or of households, all household members aged 14 and over in the initial sample shall be sample persons.

In countries with a four-year panel using a sample of persons, this shall involve the selection of at least one such person per household. For an initial sample of persons, the term applies only to the individuals selected (normally one per sample household).

The above-mentioned minimum age limit shall be lower in the case of a longer panel duration. For a panel duration that exceeds eight years, members of all ages in the initial sample shall be sample persons, and children born to sample women during the time the mother is in the panel shall be included as sample persons.

**Co-residents or non-sample persons** are all current residents of a sample household other than those defined above as sample persons.

**Sample household** means a household containing at least one sample person.

Implementation

For countries selecting a sample of households (addresses) and using the Eurostat integrated design, each sub-sample will be a panel and it will be followed over the course of four years.

In the first wave of each four-year panel, all household members aged 14 and over will be a **sample person**. Household members aged less than 14 will be **co-residents**.

In the second wave and so forth, the co-residents will be those household members that are aged less than 14 (at the moment of the sample selection) plus household members who joined a sample household after the first wave.

**RB110: Membership status**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<p><i>For current household members</i></p> <p>1 Was in this household in previous waves or current household member</p> <p>2 Moved into this household from another sample household since previous wave</p> <p>3 Moved into this household from outside sample since previous wave</p> <p>4 Newly born into this household since last wave</p> <p><i>Not current household members (only for regular transmission. In the Early transmission, cases when RB110&gt;4 have to be removed)</i></p> <p>5 Moved out since previous wave or last interview if not contacted in previous wave</p> <p>6 Died</p> <p>7 Lived in the household at least three months during the income reference period and was not recorded in the register of this household</p>
<b>Flags</b>	<p>1 Filled</p> <p>-1 Missing</p>

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**Description****First year that the initial household is included in the survey**

1 For current household members

**Following years**Initial household

1 For current household members that were household members in previous waves.

2 For current household members that were not household members of this household in previous waves but who moved into this household from another sample household since the previous wave.

3 For current household members that were not household members of this household in previous waves but who have moved into this household from outside the sample since the previous wave.

4 For those newly born into this household since previous wave.

5 Not current household members that were household members of this household in previous waves but have moved out since previous wave or last interview if not contacted in previous wave.

6 Those who were household members in previous waves and who have died since

previous wave or last interview if not contacted in previous wave.

7 For former household members that have never been recorded as current household members in previous waves.

Split-off households

2 For current household members that moved into this household from another sample household since previous wave.

3 For current household members that moved into this household from outside sample since previous wave.

*The code 7 is not to be used for former household members in the case of split-off households because it is too difficult to handle in this case.*

Note:

Why introduce the former household members? In order to assess the impact of changes in household composition on social exclusion, it is important to have basic information on changes in composition. This would allow the classification of changes due to death, marital breakdown, young adults leaving home, birth of children, etc.

However, the code 7 must be only used from wave 2 onwards (it is not for use in wave 1) and only for the initial household (not split-off households).

The term 'former household member' refers to a person who is not a current member of the household and was not recorded as a household member in that household in previous wave, but who lived in the household for at least three months during the income reference period.

Persons who have not registered by mistake at the moment of data collection will be coded as 3.

**RB120: Moved to** [*Location where the person moved*]

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>1</i> To a private household in the country <i>2</i> To a collective household or institution in the country <i>3</i> Abroad <i>4</i> Lost
<b>Flags</b>	<i>1</i> Filled -2 Not applicable (RB110 not equal to 5)

**Description**

People moving to a private/collective household or institution within the country but to national territories excluded from EU-SILC will be coded as 3.

**RB140: Month moved out or died** [*Month when the person moved out or died*]

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 -12 month
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (RB110 not equal to 5 or 6)

**Description**

-

**RB150: Year moved out or died** [*Year when the person moved out or died*]

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	year ( <i>4 digits</i> )
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable (RB110 not equal to 5 or 6)

**Description**

-

**RB160: Number of months in household during the income reference period**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	0 - 12 number of months
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (RB110 not equal to 5 or 6 or 7)

**Description**

-

**RB170: Main activity status during the income reference period**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members (of any age) and former household members
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>1</i> At work <i>2</i> Unemployed <i>3</i> In retirement or early retirement or has given up business <i>4</i> Other inactive person
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable (RB110 not equal to 5 or 6 or 7)

**Description**

The status should be self-defined (see explanations given for variable PL031).

**Work:** See explanations provided for variable PL031.

**Unemployed:** Early retirement for economic reasons can be included here according to the respondent's feeling, i.e. a person in early retirement for economic reasons will be included here if he/she classifies him/herself as being unemployed.

**Retirement, early retirement:** A person is in retirement or early retirement if he/she left his/her work for age. Early retirement due to enough seniority is also to be included.

However, early retirement due to economic reasons is classified according to the respondent's feeling, i.e. a person in early retirement for economic reasons will be included here only if he/she classifies him/herself as being retired.

**Other inactive:**

This category includes the corresponding categories from variables PL031:

- Pupil, student, further training, unpaid work experience
- Permanently disabled or/and unfit to work
- In compulsory military or community service
- Fulfilling domestic tasks and care responsibilities
- Other inactive person

**Deleted:** In compulsory military community or service

**RB180: Month moved in** [*Month when the person moved in*]

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 -12 month
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (RB110 not equal to 3)

**Description**

-

**RB190: Year moved in** [*Year when the person moved in*]

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	year ( <i>4 digits</i> )
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (RB110 not equal to 3)

**Description**

-

**RB200: Residential status**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 Currently living in the household 2 Temporarily absent
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (RB110 not equal to 1, 2, 3 or 4)

**Description**

**Currently living in the household:** A household member is currently living in the household if he/she spends at least a night-rest in the household during the interview duration.

**Temporarily absent:** A household member is temporarily absent if he/she does not spend at least a night-rest in the household during the interview duration because he/she is:

- In hospital/nursing home
- In full-time educational institute
- Military service or equivalent
- Other institution (prison etc.)
- Working out of town
- On travel
- Other reasons

**RB210: Basic activity status**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>1</i> At work <i>2</i> Unemployed <i>3</i> In retirement or early retirement or has given up business <i>4</i> Other inactive person
<b>Flags</b>	<i>1</i> Filled -1 Missing -2 Not applicable (RB110 not equal to 1, 2, 3 or 4)

**Description**

The status should be self-defined (see explanations given for variable PL031).

For explanations of categories, see RB170.

**RB220: Father ID**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>Personal ID</i> of father
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable ((father is not a household member) OR (RB110 not equal to 1, 2, 3 or 4))

**Description**

The variables RB220 and RB230 have been included in EU-SILC in order to calculate the household composition. RB220 includes step/adoptive/foster fathers.

If a person is living in the household with his/her step-father, the personal ID of his/her step-father will be provided as the personal ID of the father.

In the case of same-sex couples, the notion of father and mother can be replaced by parent 1 and parent 2 (ignore then the error on the sex in the error lists). Nevertheless the children in these couples must be treated the same way as for heterosexual couples and therefore the law plays a major role in terms of determining when a partner can be considered as a parent.

**RB230: Mother ID**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>Personal ID</i> of mother
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable ((mother is not a household member) OR (RB110 not equal to 1, 2, 3 or 4))

**Description**

The variables RB220 and RB230 have been included in EU-SILC in order to calculate the household composition. RB230 includes step/adoptive/foster mothers.

If a person is living in the household with his/her step-mother, the personal ID of his/her step-mother will be provided as the personal ID of the mother.

In the case of same-sex couples, the notion of father and mother can be replaced by parent 1 and parent 2 (ignore then the error on the sex in the error lists). Nevertheless the children in these couples must be treated the same way as for heterosexual couples and therefore the law plays a major role in terms of determining when a partner can be considered as a parent.

**RB240: Spouse/partner ID**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>Personal ID</i> of spouse/partner
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable ((spouse/partner is not a household member) OR (RB110 not equal to 1, 2, 3 or 4))

**Description**

Includes married people and partners in a consensual union (with or without a legal basis).

**RB245: Respondent status**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<p>All household members aged 16 and over are interviewed</p> <p>1 Current household member aged 16 and over</p> <p>Only selected household member aged 16 and over is interviewed</p> <p>2 Selected respondent</p> <p>3 Non-selected respondent</p> <p>Households members aged less than 16 at the end of the income reference period</p> <p>4 Ineligible person</p>
<b>Flags</b>	<p>1 Filled</p> <p>-2 Not applicable (RB110 not equal to 1, 2, 3 or 4)</p>

**Description**

For countries using a sample of households or addresses, only values 1 and 4 are applicable.

For countries using a sample of persons (selected respondent), only the values 2, 3 and 4 are applicable.

The age refers to the age at the end on the income reference period.

*The newborn will be coded as 4*

**RB250: Data status**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent where applies
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<p>Information or interview completed:</p> <p><i>11</i> Information completed only from interview</p> <p><i>12</i> Information completed only from registers</p> <p><i>13</i> Information completed from both: interview and registers</p> <p><i>14</i> Information completed from full-record imputation</p> <p>Interview not completed, though contact made:</p> <p><i>21</i> Individual unable to respond (illness, incapacity, etc) and no proxy possible</p> <p><i>22</i> Failed to return self-completed questionnaire</p> <p><i>23</i> Refusal to co-operate</p> <p>Individual not contacted because:</p> <p><i>31</i> Person temporarily away and no proxy possible</p> <p><i>32</i> No contact for other reasons</p> <p>Information or interview not completed:</p> <p><i>33</i> Information not completed: reason unknown</p>
<b>Flags</b>	<p><i>1</i> Filled</p> <p><i>-2</i> Not applicable (RB245 not equal to 1, 2 or 3)</p>

**Description**

-

**RB260: Type of interview**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent where applies
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<p><i>Before 2014 (RB010&lt;2014)</i></p> <p>1      <i>face to face interview-PAPI</i>  2      <i>face to face interview-CAPI</i>  3      <i>CATI, telephone interview</i>  4      <i>self-administered by respondent</i>  5      <i>proxy interview</i></p> <p><i>From 2014 onwards (RB010&gt;2013)</i></p> <p>1      Face to face interview-PAPI  2      Face to face interview-CAPI  3      CATI, telephone interview  4      Self-administered by respondent  5      Computer assisted web interviewing-CAWI  6      Face to face interview-PAPI with proxy  7      Face to face interview-CAPI with proxy  8      CATI, telephone interview with proxy  9      Self-administered by respondent with proxy  10     Computer assisted web interviewing-CAWI with proxy</p>
<b>Flags</b>	<p>1      Filled  -1     Missing  -2     Not applicable (RB250 not equal to 11 or 13) or RB245=3</p>

**Description**

Proxy interview refers to personal interview with another member of the household.

**RB270: Personal ID of proxy** [*Personal ID of person who filled in the individual questionnaire*]

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent where applies
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>Personal ID</i> of proxy
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable ((RB260 not equal to 6, 7, 8, 9, 10) AND RB010 > 2013) OR ( RB260 ne 5 AND RB010 < 2014))

**Description**

-

**RL010: Education at pre-school****RL020: Education at compulsory school**

<b>Domain/Area</b>	Labour information/Childcare
<b>Transmission type</b>	Regular
<b>Reference period</b>	Usual week
<b>Unit</b>	All current household members not over 12 years old (age at the date of interview)
<b>Mode of collection</b>	Interviewer
<b>Values</b>	0 - 99 Number of hours of education during an usual week
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable RB110 not equal to 1, 2, 3 or 4 (RL010: person is not admitted to pre-school because of his or her age, is at compulsory school, or is more than 12 years old ) (RL020: person is not admitted to compulsory school because of his or her age, or is more than 12 years)

**Description**

**Education at pre-school:** Pre-school or equivalent (e.g. kindergarten, nursery school ...). The educational classification to be used is ISCED Level 0. Special pre-schools or equivalents for children who have special needs (handicapped, ...) shall be included in as far as they are considered as pre-school (level 0). If they are not, they shall not be reported here (reported for example in RL040 for day-care centre).

**Education at compulsory school:** "Compulsory" school shall be understood as a mean to separate school from pre-school, but all the school hours must be included; primary and eventually secondary schools shall be included (children up to 12 years old at the day of interview).

The meals at (pre-)school shall be included in the number of hours for the usual days the child eats at (pre-)school.

If more than 99 hours, the code used is 99. The hours shall be rounded to the nearest hour. If less than one hour, then one hour is coded.

(RL010>0 and RL020>0) is not possible; a positive number of hours both at pre-school and at school is incompatible.

**Children stay over at pre-school and primary school during the lunch time:** If during the lunch time, children are usually cared for by their mother or father at the school place (or elsewhere), these hours are not counted in the variables of childcare since their parents are present.

If during lunch time they are usually cared for by other parents at the school place (or elsewhere), these should be classified in RL060 (if parents not paid).

If during lunch time they are usually cared for by somebody belonging to the school organisation (e.g. canteen), the hours are classified in RL010/RL020.

If during lunch time they are usually cared for by a nanny, grandmother,... , they should be

classified in the other variables (RL040-050-060) depending on the usual carer.

**School transportation:** The time spent on “school transportation” should be included in RL010/RL020 if someone belonging to the school organisation is taking care of the children during school transportation.

If children are usually cared for by a nanny, grandmother,... , during “school transportation” they should be classified in the other variables (RL040-050-060) depending on the usual carer.

**RL030: Childcare at centre-based services** [*Childcare at centre-based services outside school hours (before/after)*]

<b>Domain/Area</b>	Labour information/Childcare
<b>Transmission type</b>	Regular
<b>Reference period</b>	Usual week
<b>Unit</b>	All current household members not over 12 years old (age at the date of interview)
<b>Mode of collection</b>	Interviewer
<b>Values</b>	0 - 99 Number of hours of childcare during an usual week
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable RB110 not equal to 1, 2, 3 or 4 (person is neither at pre-school nor at school or is more than 12 years old)

**Description**

This variable concerns only those children who are at pre-school or at school in the childcare reference period (RL010>0 or RL020>0).

Centre-based services outside (pre-)school hours: only the hours of care before and after school should be reported. For example, a school-going child who doesn't go to school on Wednesday and who is cared for by a day-care centre: these hours of care shall be reported in RL040.

The services may be on the school premises or elsewhere.

Cultural and sporting activities outside school (here after school hours) such as a club, music lessons ... shall not be included as far as they are not used as a childcare service but rather for the child's leisure.

The hours shall be rounded to the nearest hour. If less than one hour, then one hour is coded. For children attending school in the morning and a centre in the afternoon, the hours in the centre are coded as RL030 (before/after school for school going children).

**RL040: Childcare at day-care centre****RL050: Childcare by a professional child-minder at child's home or at child-minder's home****RL060: Childcare by grand-parents, other household members (outside parents), other relatives, friends or neighbours**

<b>Domain/Area</b>	Labour information/Childcare
<b>Transmission type</b>	Regular
<b>Reference period</b>	Usual week
<b>Unit</b>	All current household members not over 12 years old (age at the date of interview)
<b>Mode of collection</b>	Interviewer
<b>Values</b>	0 - 99 Number of hours of childcare during an usual week
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable RB110 not equal to 1, 2, 3 or 4 (person is more than 12 years old)

**Description**

**RL040:** RL040 includes all kind of care organised/controlled by a structure (public, private). This means that the parents and the carer are not the only persons involved in the care, that there are no direct arrangements between the carer and the parents in the sense that there is an organised structure between them (which is often the carer's employers). For example, a centred-base day care, organised family day care, a crèche, ... The place of the care can be a centre or the carer's home (e.g. organised family care).

This should also include the qualified childminders organised and controlled by a structure, even if they are directly paid by the parents, like the 'assistante maternelle' in France.

These kinds of care are often delivered within the social welfare system especially for children under the age of three. RL040 corresponds to the care for children too young to be at school (or at pre school) but also for children attending school (pre school) and cared for a day per week when school is closed.

The care can be full time or part time, even for few hours.

Cultural and sporting activities (such as a club) shall not be included in as far as they are not used as a childcare service but instead for the child's leisure.

Special day-care for children with special needs is included.

**RL050:** In RL050 there are direct arrangements between the carer and the parents; there is no structure which organises or controls the care. Parents are often employers, pay the carer directly, but furthermore there are no controls over the qualification of the childminder by an organised structure. "Professional" childminder shall be understood as a person for whom looking after the child represents a job of work or paid activity. The term "professional" does not content a notion of qualification or of quality of the care.

Babysitters and “au pairs” are also included here.

The care can be at the child’s home or at the childminder’s home.

**RL060:** RL060 refers to unpaid care (free or informal arrangements such as exchange of services).

**Difference between RL050 and RL060:** RL050 globally refers to paid care (with rare exceptions; e.g. “au pairs” are not always paid with money but paid in kind, if the parents receive benefits which cover the amount of the care, the care is considered here as a paid care) whereas RL060 refers to unpaid care (free or exchange of services).

Example: if a neighbour or a friend is the carer and if he is paid for that, then the number of hours of care shall be reported in RL050.

The care can be at the child’s home or at the relative, friend or neighbour’s home.

Children up to 12 years old at the day of interview.

If more than 99 hours, the code used is 99. The hours shall be rounded to the nearest hour. If less than one hour, then one hour is coded.

*Note:* See RL010 and RL020 for “lunch time “ and “school transportation”

**RL070: Childrens' cross-sectional weight for childcare**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members (of any age)
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ (format 2.5) weight
<b>Flags</b>	1 Filled -2 Not applicable RB110 not equal to 1, 2, 3 or 4 (persons aged more than 12 years old at the date of interview) -7 Not applicable RB010 ≠ last year

**Description**

In the EU-SILC, in addition to the four usual types of units involved which are “household”, “household member”, “household member 16+” and “selected respondent”, “child” is another type of unit that needs to be considered for childcare data. This type of unit is not defined by any regulation.

The personal cross-sectional weight (applicable to all household members, of all ages (target variable RB050) may be used for the childcare data. However, the calculation of this weight probably does not take into account external control age-distributions for children aged 12 and under. In order to ensure a correct distribution for children by age, it may be better to calculate specific cross-sectional weights for children<sup>1</sup>.

The proposal IS NOT to scale and calculate new weights for children taking into account non-response, household and individual variables, region, children ages...etc.

The proposal is to adjust the distribution of children for each year of age. This involves the adjustment of personal cross-sectional weights so as to make the distribution, according to age characteristics, of the children covered in the sample tally with the same information from a more reliable external source (age distribution of children aged 0 to 12 in private households).

$D_n$  = children aged n at the day of interview (n=0 to 12)<sup>2</sup>

Childrens' cross-sectional weight for  $D_n$  (n= 0 to 12):  $w_i = w'_i * N'_n / N_n$

$w'_i$  = personal cross-sectional weight for the child i

$N'_n$  = sum of personal cross-sectional weights for children aged n at the day of interview in the database

$N_n$  = number of children in the demographic population aged n at the 31/12/N-1 (estimated from external source)

Notes:

<sup>1</sup> This will also enlarge the possibilities for analysis of the detailed data on childcare (estimate total numbers of children cared for, global proportions among all children ...).

<sup>2</sup> Note for 0 year old: this includes children born in year N-1. Children born in year N are excluded (aged (-1) at the 31/12/N-1; difficult to take them into account to ensure comparable data between countries because of differences in the dates of the surveys in year N).

- The sum of childrens' cross-sectional weights will correspond to the estimation of the number of children in the population.
- The sample size of children will be checked before childcare data are published.



## **Household Data (H-file)**

**HB010: Year of the survey**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	Year ( <i>four digits</i> )
<b>Flags</b>	-

**Description**

-

**HB020: Country**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	Household
<b>Mode of collection</b>	Frame
<b>Values</b>	<i>BE</i> Belgique/België <i>BG</i> Bulgaria <i>CZ</i> Czech republic <i>DK</i> Denmark <i>DE</i> Deutschland <i>EE</i> Estonia <i>IE</i> Ireland <i>EL</i> Elláda <i>ES</i> España <i>FR</i> France <i>HR</i> Croatia <i>IT</i> Italia <i>CY</i> Cyprus <i>LV</i> Latvia <i>LT</i> Lithuania <i>LU</i> Luxembourg <i>HU</i> Hungary <i>MT</i> Malta <i>NL</i> Nederland <i>AT</i> Österreich <i>PL</i> Poland <i>PT</i> Portugal <i>RO</i> Romania <i>SI</i> Slovenia <i>SK</i> Slovak republic <i>FI</i> Suomi <i>SE</i> Sverige <i>UK</i> United Kingdom  <i>CH</i> Switzerland <i>IS</i> Iceland <i>NO</i> Norway <i>ME</i> Montenegro <i>MK</i> FYROM <i>RS</i> Serbia <i>TR</i> Turkey
<b>Flags</b>	-

**Description**

-

**HB030: Household ID**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	Household
<b>Mode of collection</b>	Frame or register or interviewer
<b>Values</b>	<i>ID number</i> see DB030
<b>Flags</b>	-

**Description**

-

**HB040: Day of household interview**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	1 - 31 Day
<b>Flags</b>	1 Filled -1 Missing

**Description**

-

**HB050: Month of household interview**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>1 - 12</i> Month
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

-

**HB060: Year of household interview**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	Year ( <i>four digits</i> )
<b>Flags</b>	1 Filled

**Description**

-

**HB070: Person responding the household questionnaire**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>Personal ID</i>
<b>Flags</b>	1 Filled -1 Missing

**Description**

The household respondent is the person from whom household-level information is obtained. Given that the household-level response is going to be attributed to all household members, it is essential that the information be collected from someone who can, in some sense, 'speak for' the household.

For instance, if the 'selected respondent' is the 16-year old son or daughter, this person is highly unlikely to be able to provide good quality information on such issues as mortgage or rent payments, housing costs, income from family and other benefits.

The household respondent will be chosen according to the following priorities:

Priority (1): the person responsible for the accommodation

Priority (2): a household member aged 16 and over who is the best placed to provide the information.

For the second and following waves, the household respondent will be chosen according to the following list of priority:

Priority (1): the household respondent in the last wave

Priority (2): a 'sample person' aged 16 and over giving priority to the person responsible for the accommodation or the best placed to provide the information.

Priority (3): a 'non-sample person' aged 16 and over.

**HB080: Person 1 responsible for the accommodation****HB090: Person 2 responsible for the accommodation**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>Personal ID</i>
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> (for HB090 only) not applicable - no second person responsible for the accommodation

**Description**

The person responsible for the accommodation is the person owning or renting the accommodation. If the accommodation is provided free, the person to whom the accommodation is provided is the responsible person.

If two persons share responsibility for the accommodation, the ID of the oldest is registered in HB080 and the other in HB090. If more than two persons share the responsibility, only the IDs of the two oldest persons are registered.

If the person owning the accommodation is a child or if the person owning or renting the accommodation does not belong to the household, then the person who is "financially responsible" for the accommodation will be taken to be the person who is responsible for the purpose of the survey.

**HB100: Number of minutes to complete the household questionnaire**

<b>Domain/Area</b>	Basic data/Basic household data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>1 - 90</i> Minutes
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

-

**HH010: Dwelling type**

<b>Domain/Area</b>	Housing/ Dwelling type, tenure status and housing conditions	
<b>Transmission type</b>	Regular	
<b>Reference period</b>	Current	
<b>Unit</b>	Household	
<b>Mode of collection</b>	Household respondent	
<b>Values</b>	<i>1</i>	Detached house
	<i>2</i>	Semi-detached or terraced house
	<i>3</i>	Apartment or flat in a building with less than 10 dwellings
	<i>4</i>	Apartment or flat in a building with 10 or more dwellings
	<i>5</i>	Some other kind of accommodation
<b>Flags</b>	<i>1</i>	Filled
	<i>-1</i>	Missing

**Description**

**Building:** A building is defined as any independent structure containing one or more dwellings, rooms or other spaces, covered by a roof and enclosed within external walls or dividing walls which extend from the foundations to the roof. Thus a building may be a detached dwelling, apartment building, etc. National practices differ with respect to the treatment of row houses, in that some countries count each row house in the unit as an individual building whereas other countries count all the row houses in the unit as collectively constituting a single building. It is recommended that countries follow the former practice by counting each house in the row house unit as an individual building.

This is generally defined as a room or suite of rooms and its accessories (e.g. lobbies, corridors) in a permanent building or structurally separated part thereof, which, by the way it has been built, rebuilt or converted, is designed for habitation by one private household. It should have separate access to the street, direct or via a garden or grounds, or to a common space within the building (staircase, passage, gallery, etc.), but it does not necessarily need to have a bathroom or toilet available for the exclusive use of its occupants. Accommodations that are situated in buildings that are for use other than housing (schools,...) and fixed habitation like a hut or a cave are included.

A building with two entrances will be considered as one single building if one can access all apartments from both entrances; otherwise, it will be two separate buildings.

**House:** House means that no internal space or maintenance and other services are normally shared with other dwellings. Sharing of a garden or other exterior areas is not precluded.

**Detached:** Detached means the dwelling has no common walls with another dwelling.

**Semi-detached:** Semi-detached refers to two dwellings sharing at least one wall, and 'terraced' refers to a row of (more than two) joined-up dwellings.

**Apartments or flats:** Apartments or flats in a building normally share some internal space or maintenance and other services with other units in the building.

**Other kind of accommodation:** Other kinds of accommodation include accommodations that are situated in buildings that are for use other than housing (schools, ...) and fixed habitations like a hut or a cave.

**HH021: Tenure status**

<b>Domain/Area</b>	Housing/ Dwelling type, tenure status and housing conditions	
<b>Transmission type</b>	Early and regular	
<b>Reference period</b>	Current	
<b>Unit</b>	Household	
<b>Mode of collection</b>	Household respondent	
<b>Values</b>	1	Outright owner
	2	Owner paying mortgage
	3	Tenant or subtenant paying rent at prevailing or market rate
	4	Accommodation is rented at a reduced rate (lower price than the market price)
	5	Accommodation is provided free
<b>Flags</b>	1	Filled
	-1	Missing

**Description**

This variable replaces, from the 2010 operation onwards, the variable HH020 as defined in the EU-SILC Regulation.<sup>1</sup>

**Ownership:** The owner of the accommodation should be a member of the household. If for instance the accommodation is provided by a relative (such as by parents to their children) who is not a member of the household, then one of the other categories should be ticked, depending on whether or not rent is paid by this household. A person is an owner if he/she possesses a title deed independently of whether the house is fully paid or not. A reversionary owner should be considered as the owner.

**Outright owner:** The owner is considered as 'outright owner' when he/she has no more mortgage to pay for his/her main dwelling.

An owner who has to pay a mortgage only for a second dwelling and/or for repairs, renovation, maintenance, etc. should be treated as 'outright owner'.

**Owner paying mortgage:** An owner is considered as an 'owner paying mortgage' when he/she has to pay a mortgage to buy the main dwelling.

A mortgage for buying a second dwelling should not be considered here, as well as mortgage to obtain money for housing purposes like repairs, renovations and maintenance, or for non-housing purposes.

**Difference between outright owner and owner paying a mortgage:** The selection of the mortgages to take into account in order to make the distinction between 'outright owner' and 'owner paying mortgage' fits the rules for the selection of the mortgages to take into account for the variable HH070 (Housing costs), that is "*included only in the case of a mortgage taken for the purpose of buying the main dwelling*".

The first priority is to make reference to the current situation for the mortgage. However, if this information is not available, reference can be made to the situation during the income reference period, using for instance the variable "Interest paid on mortgage" (HY100).

<sup>1</sup> An agreement was made at the Living Conditions Working Group meeting in June 2009, that the variable HH020 will be replaced by the variable HH021 with five answer categories. In 2010, the LC WG agreed to suppress HH020 and to keep only HH021 from the 2011 operation onwards.

If the owner has already fully paid the principal of the mortgage and only the interest remains outstanding, the risk of eviction probably remains and consequently in this case the owner cannot be treated as outright owner and should be considered as an owner paying mortgage.

**Tenant or subtenant paying rent at prevailing or market rate:** Tenant/subtenant, paying rent at prevailing or market rent covers also the situation whereby the rent is wholly recovered from housing benefits or other sources, including public, charitable, or private sources. No distinction is made here when the accommodation is directly rented from a 'landlord', or as a subtenant renting from someone who himself is a tenant.

**Accommodation is rented at a reduced rate (lower price than the market price):** The key issue is the distinctiveness of the 'prevailing' and 'reduced-rent' sectors.

In some countries, there is a fairly clear distinction between the market or private sector renters and subsidised or public sector renters. Reduced-rate renters would include those (a) renting social housing, (b) renting at a reduced rate from an employer and (c) those in accommodation where the actual rent is fixed by law. All tenants in this situation would be included in category 4 (Accommodation rented at a reduced rate).

If there is a clear, nationally meaningful distinction between the market or prevailing rent and 'reduced-rent' sectors, along these lines, it should be used to distinguish between categories 3 and 4.

At the other extreme, there is no clear distinction between a 'prevailing rent' and 'reduced-rent' sector in rental accommodation: there is no (or almost no) market sector in rents, either because virtually every household owns their home, because all tenants live in social housing, all (or most tenancies) are long-term with restrictions on rent increases, or all rents are fixed. If this is the case, the concept of market rent does not have a real empirical meaning in the country: at least in terms of trying to usefully distinguish a group paying market rents from a group that pays rents below that value.

In a situation where there is no clear distinction between a 'prevailing rent' rent sector and a 'reduced rent' sector, all renters would be classified as 'tenant or subtenant paying rent at prevailing or market rate'.

*Empirical importance of length of tenure is a separate issue*

At one extreme, duration of tenure is empirically ignorable: either all tenancies are short or there is no/little association between length of tenancy and rent paid beyond what might be expected from market forces (i.e. reduced turnover costs to the landlord). At the other end of the spectrum is the Belgian situation where there is a strong (and legally binding) association between duration of tenancy and level of rent.

In effect, there may be a continuum between categories 3 and 4 on the tenure variable, rather than a clear cut distinction, based on the length of time the household has rented the accommodation.

Length of tenure is a separate dimension from the nature of the tenancy, and should be handled by adding a separate item. The proposed handling of the housing tenure item in this context is as follows:

If the national situation is one where *all* tenants benefit from lower rents based on length of tenancy (or there is no readily distinguishable group that benefits more than another), all renting households (other than those belonging to a clearly distinct 'reduced-rent' sector)

should be coded in category 3 (prevailing rent) on the tenure variable, and length of tenure collected as a separate item. If there is a clearly distinct 'reduced-rent' sector this should be coded as category 4 on the tenure variable.

If the national situation is one where only some tenants (in fixed-rent accommodation, for instance) benefit from lower rents based on length of tenancy, these tenants should be coded as category 4 on the tenure variable (reduced rent).

Length of tenancy refers to the length of time the household has been renting the accommodation. It is different from the length of the lease.

**Accommodation provided rent-free:** 'Accommodation provided rent-free' applies only when there is no rent to be paid, such as when the accommodation comes with the job<sup>1</sup>, or is provided rent-free from a private source.

The situation when rent is recovered from housing benefit or other sources is covered in the previous category.

*Note:* Households who pay part rent and part mortgage for their accommodation should be classified as 'owners' if they possess a title deed.

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<sup>1</sup> If the accommodation is provided free to a 'civil servant' the variable HH021 will take value 5 when the government is owner of the dwelling as well as when the government has rented the dwelling and they provide it rent-free.

**HH030: Number of rooms available to the household**

<b>Domain/Area</b>	Housing/ Dwelling type, tenure status and housing conditions
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	<i>1 – 9.9</i> Number of rooms <i>10</i> 10 or more rooms
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

**Room:** A room is defined as a space of a housing unit of at least four square meters such as normal bedrooms, dining rooms, living rooms and habitable cellars, attics, kitchens and other separated spaces used or intended for dwelling purposes with a high over two metres and accessible from inside the unit.

Kitchens are only excluded if the space is used only for cooking. A single room used as kitchen-cum-dining room is included as one room in the count of rooms.

The following space of a housing unit does not count as a room: bathroom, toilet, corridor, utility room, lobby and veranda.

A room used solely for business use is excluded, but is included if shared between private and business use.

If the dwelling is shared by more than one household and some rooms are shared with other households (within the same dwelling), the number of shared rooms should be divided by the number of households and the equal share should be added to each household. This variable can consequently be coded with one decimal. In the case of several households sharing a unique room, the variable is coded to 1 (zero is difficultly interpretable).

**HH031: Year of contract or purchasing or installation**

<b>Domain/Area</b>	Housing/ Dwelling type, tenure status and housing conditions
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	Year ( <i>four digits</i> )
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (MS using objective national methods to calculate imputed rent)

**Description**

The idea is to collect, through variable HH031, the “seniority” i.e. the number of years of occupation of the dwelling. As an approximate measure of the seniority, the variable ‘year of contract or purchase or installation’ is proposed. This variable is defined as follows:

- The year of signing the contract for tenants or subtenants paying rent at market price or at lower price than the market price. If the tenant/subtenant renews the contract under new conditions, the variable refers to the renewal date.
- The year of purchasing for the owners<sup>1</sup>. If a person bought the house after living there as tenant, the year of purchasing will be taken. If the person inherits the accommodation the question refers to the year of inheritance.
- The year of installation is required if the accommodation is provided rent-free or no year of contract or purchasing can be given. If accommodation is provided free the information required refers to the year of installation of the person who has been living longer than the others have; this person is the person who has the right of enjoying the accommodation for free.

<sup>1</sup> A person is an owner if he/she possesses a title deed, regardless of whether the house is fully paid or not.

**HH040: Leaking roof, damp walls/floors/foundation, or rot in window frames or floor**

<b>Domain/Area</b>	Housing/ Dwelling type, tenure status and housing conditions
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

**Description**

Format of the question:

*Do you have any of the following problems with your dwelling/accommodation?*

- A leaking roof*
- Damp walls/floors/foundation*
- Rot in window frames or floor*

The aim of the question is to obtain an objective measure of the condition of the dwelling; whether the dwelling has a problem with a leaking roof and/or damp ceilings, dampness in the walls, floors or foundation and/or rot in window frames and doors.

**HH050: Ability to keep home adequately warm**

<b>Domain/Area</b>	Housing/ Dwelling type, tenure status and housing conditions
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

**Description**

Format of the question:

*Can your household afford to keep its home adequately warm?*

This question is about affordability (ability to pay) to keep the home adequately warm, regardless of whether the household actually needs to keep it adequately warm.

**HH060: Current rent related to occupied dwelling**

<b>Domain/Area</b>	Housing/ Housing cost
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 - 999999.99 Rent
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (HH021 not equal to 3 or 4)

**Description**

The variable refers to the total monthly rent that is currently paid on the main residence of the household.

The rent refers to the monthly amount paid for the use of an unfurnished dwelling. Rentals also include payments for the use of a garage to provide parking in connection with the dwelling.

Other payments which are made at the same time as the rent (such as for electricity, heating etc.), should be excluded. Regular repairs and maintenance and other services related to the dwelling should also be excluded.

Only rent related to the principal residence is taken into account.

In cases where part of the rent may be paid through a housing benefit (either paid to the tenant or paid directly to the landlord), the rent paid refers to the total rent payable: that is to the amount paid by the tenant from his or her own income plus the amount paid by housing benefit.

For example, if:

- The owner requires a rent for the dwelling: 700 €
- The household pays the owner (from their own resources): 500 €
- The housing allowances (paid directly to the owner or through the household): 200 €

then: HH060 = 700 € (= 500 € + 200€)

The amount provided should be in the national currency.

**HH061: Subjective rent** [*Subjective rent related to non-tenant paying rent at market price*]

<b>Domain/Area</b>	Housing/ Housing cost
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 - 999999.99 Rent
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (HH021 = 3) or (MS do not use subjective method to calculate imputed rent)

**Description**

Information is collected from owner-occupiers (as well as for the accommodation provided rent-free or accommodation rented at a reduced rate) on what they estimate to be the potential monthly market rent of their dwelling. The amount refers to the value of the rental of an unfurnished dwelling; it also includes payments for the use of a garage to provide parking in connection with the dwelling.

Payments such as for electricity, heating etc., should be excluded. Regular repairs and maintenance and other services related to the dwelling should also be excluded.

The amount provided should be in the national currency.

**HH070: Total housing cost** [*Total housing cost (including electricity, water, gas and heating)*]

<b>Domain/Area</b>	Housing/ Housing cost
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 - 999999.99 Housing cost
<b>Flags</b>	1 Filled -1 Missing

**Description**

The term housing cost refers to monthly costs connected with the household's right to live in the accommodation. The costs of utilities (water, electricity, gas and heating) resulting from the actual use of the accommodation are also included.

Only housing costs that are actually paid are taken into account.

Components that must be included in housing costs:

**Owners:** Mortgage interest payments<sup>1</sup> (net of any tax relief), gross of housing benefits (i.e. housing benefits should not be deducted from the total housing cost), structural insurance, mandatory services and charges (sewage removal, refuse removal, etc.), regular maintenance and repairs<sup>2</sup>, taxes, and the cost of utilities (water, electricity, gas and heating).

**Tenants (at market price):** Rental payments, gross of housing benefits (i.e. housing benefits should not be deducted from the total housing cost), structural insurance (if paid by the tenants), services and charges (sewage removal, refuse removal, etc.) (if paid by the tenants), taxes on dwelling (if applicable), regular maintenance and repairs<sup>1</sup> and the cost of utilities (water, electricity, gas and heating).

**Tenants (at reduced price):** Rental payments, gross of housing benefits (i.e. housing benefits should not be deducted from the total housing cost), structural insurance (if paid by the tenants), services and charges (sewage removal, refuse removal, etc.) (if paid by the tenants), taxes on dwelling (if applicable), regular maintenance and repairs<sup>1</sup> and the cost of utilities (water, electricity, gas and heating).

**Rent free:** gross of housing benefits (i.e. housing benefits should not be deducted from the total housing cost), structural insurance (if paid by the rent-free tenant), services and charges (sewage removal, refuse removal, etc.) (if paid by the rent-free tenant), taxes on dwelling (if applicable), regular maintenance and repairs<sup>1</sup> and the cost of utilities (water, electricity, gas and heating).

<sup>1</sup> Included only in case of mortgage taken for the purpose of buying the main dwelling

<sup>2</sup> Only the regular maintenance and repairs should be included. According to the COICOP/HBS: 'regular maintenance or repairs of the dwelling are distinguished by two features: first, they are activities that have to be undertaken regularly in order to maintain the dwelling in good working order; second, they do not change the dwelling's performance, capacity or expected service life.'

For example, in the case of tenants at reduced price, if:

- The household has to pay for the charges (electricity, water, etc): 300 €
- The owner requires a rent for the dwelling: 700 €
- The household pays the owner (from their own resources): 500 €
- The housing allowances are paid directly to the owner or through the household: 200 €

then:

- $HH060 = 700 \text{ €} (= 500 \text{ €} + 200 \text{ €})$
- $HH070 = 1000 \text{ €} (= 500 \text{ €} + 200 \text{ €} + 300 \text{ €})$

The total housing cost (HH070) should be greater than the current rent related to the occupied dwelling (HH060).

It is necessary to impute a value of housing cost items that are not included in the rent but which are paid, such as the cost of the utilities, sewage removal, structural insurance, etc. This imputation may be possible using a cell average from an external source, such as HBS.

It is necessary to spread over the 12 months of the year, those expenses that are seasonal (for example 'heating') or those for which the payment is different for different months of the year.

*See EU-SILC DOC 105 (How to separate interest mortgage from capital)*

**HH071: Mortgage principal repayment** [*Monthly principal repayment of mortgage*]

<b>Domain/Area</b>	Housing/ Housing cost
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 - 999999.99 Mortgage principal repayment (national currency) 0 No mortgage principal repayment
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (HH021 not equal 2)

**Description**

The term mortgage principal repayment (net of any tax relief) refers to monthly payments connected with the households' total housing cost.

The same definition applies for inclusion or not of the mortgage as for variable HH070. The repayments will be included only in the case of a mortgage taken for the purpose of buying the main dwelling. Mortgages for the main dwelling taken to obtain money for other purposes should be excluded. Mortgages taken for the purpose of buying a second dwelling should also be excluded.

Mortgage interest payments and other mortgage payments, such as mortgage protection insurance, should be excluded.

Only those amounts that are actually paid have to be taken into account.

**HH081: Bath or shower in dwelling**

<b>Domain/Area</b>	Housing/ Amenities in dwelling
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes, for sole use of the household 2 Yes, shared 3 No
<b>Flags</b>	1 Filled -1 Missing

**Description**Format of the question:

*Is there a shower unit or a bathtub in your dwelling?*

This variable replaces, from the 2008 operation onwards, the variable HH080 defined in the EU-SILC Regulation<sup>1</sup>.

A shower unit or bathtub outside the dwelling are not to be considered in this item. On the other hand, it is not required that the shower unit or the bath occupy a separate room.

<sup>1</sup> The Living Conditions Working Group agreed during its meeting in 2010 to suppress HH080 and to keep only HH081 from the 2011 operation onwards.

**HH091: Indoor flushing toilet for sole use of household**

<b>Domain/Area</b>	Housing/Amenities in dwelling
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes, for sole use of the household 2 Yes, shared 3 No
<b>Flags</b>	1 Filled -1 Missing

**Description**Format of the question:

*Is there an indoor flushing toilet in your dwelling?*

This variable replaces, from the 2008 operation onwards, the variable HH090 defined in the EU-SILC Regulation<sup>1</sup>.

Flushing toilets outside the dwelling are not to be considered in this item. On the other hand, flushing toilets in a room where is also a shower unit or a bath should be counted.

<sup>1</sup> The Living conditions Working Group agreed during its meeting in 2010 to suppress HH090 and to keep only HH091 from the 2011 operation onwards.

**HS011: Arrears on mortgage or rental payments** [*Whether the household has been in arrears on mortgage or rental payments in the past 12 months*]

<b>Domain/Area</b>	Social exclusion / Housing and non-housing related arrears
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Past 12 months
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes, once 2 Yes, twice or more 3 No
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (outright owner or rent free during the last 12 months)

**Description**

Format of the question:

*In the past twelve months, has the household been in arrears, i.e. has been unable to pay on time due to financial difficulties for:*

*(a) rent*

*(b) mortgage repayment*

*for the main dwelling?*

This variable replaces, from the 2008 operation onwards, the variable HS010 defined in the EU-SILC Regulation<sup>1</sup>.

The variable records whether the household has been in arrears in the past 12 months, that is, was unable to pay on time (as scheduled) the rent and/or the mortgage payment for the main dwelling.

If the household manages to pay through borrowing (from bank, relatives or friends) it is considered in the same way as if the household had managed to pay using its own resources.

Loans for decoration, maintenance, refurbishment etc are excluded.

However, cases of loans concerning major repairs or other expenses in relation to the main dwelling which cannot be separated from the loan that was used to purchase or to build the main dwelling, could be included in variable HS011. Under these circumstances, the focus is put on the risk for the household of losing its main dwelling (being evicted).

Any other type of housing loan (e.g. related to the second dwelling), which is not included in the variable HS011, will be included in variable HS031.

<sup>1</sup> The Living conditions Working Group agreed during its 2010 meeting to suppress HS010 and to keep only HS011 starting from the 2011 operation.

**HS021: Arrears on utility bills** [*Whether the household has been in arrears on utility bills in past 12 months*]

<b>Domain/Area</b>	Social exclusion/Housing and non-housing related arrears
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last 12 months
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes, once 2 Yes, twice or more 3 No
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (no utility bills)

**Description**

**Format of the question:** *In the past twelve months, has the household been in arrears, i.e. has been unable to pay the utility bills (heating, electricity, gas, water, etc.) of the main dwelling on time due to financial difficulties?*

This variable has replaced the variable HS020 as defined in the EU-SILC Regulation<sup>1</sup> from the 2008 operation onwards,.

The variable records whether the household has been in arrears in the past 12 months, that is, unable to pay on time (as scheduled) utility bills (heating, electricity, gas, water, etc..) for the main dwelling.

The question refers to financial difficulties, therefore, for example, if the household was unable to pay on time once/twice or more as result of lack of money, HS021 = 1/2, otherwise (illness,...) HS021 = 3.

Telephone bills should not be considered as utility bills in this item. However sewage and rubbish bills are taken into account in this item.

If the household manages to pay through borrowing (from bank, relatives or friends), it is considered the same as if the household had managed to pay through its own resources.

<sup>1</sup> The Living conditions Working Group agreed during its 2010 meeting to suppress HS020 and to keep only HS021 starting from the 2011 operation.

**HS031: Arrears on hire purchase installments or other loan payments** [*Whether the household has been in arrears on hire purchase instalments or other loan payments (non housing-related debts) in past 12 months*]

<b>Domain/Area</b>	Social exclusion / Housing and non-housing related arrears
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last 12 months
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes, once 2 Yes, twice or more 3 No
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (no hire purchase instalments and no other loan payments)

**Description**

Format of the question: *In the past twelve months, has the household been in arrears on hire purchase instalments or other loan payments, i.e. has been unable to pay these on time due to financial difficulties?*

*\* Please note that mortgage instalments for main dwelling are excluded.*

This variable replaces the variable HS030 defined in the EU-SILC Regulation<sup>1</sup> from the 2008 operation onwards.

The variable records whether the household has been in arrears in the past 12 months, that is, unable to pay on time (as scheduled) repayments for hire purchase or other non-housing loans.

**Other loans** include all types of commercial credits, for instance for decoration, maintenance, refurbishment, credit cards/ store cards, catalogue mail order, loans of any kind of for technical equipment (i.e. cars, motorcycles), housing equipment, education loans, holidays (holiday packages plus time-share holidays).

If the household manages to pay through borrowing (from bank, relatives or friends) it is considered in the same way as if the household manages to pay through own resources.

For further information or required technical details, a bank overdraft and a negative balance at the "end of the month statement" should not, normally, enter in consideration when estimating the arrears status of the household except if not paying has direct consequence for the household situation (fine, disruption of service in case the household does not ensure minimum/full repayment).

Mortgage instalments for the main dwelling are excluded.

<sup>1</sup> The Living conditions Working Group agreed during its 2010 meeting to suppress HS030 and to keep only HS031 starting from the 2011 operation.

### HS040: Capacity to afford paying for one week annual holiday away from home

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

#### Description

**Format of the question:** *Can your entire household afford to go for a week's annual holiday, away from home, including stays in a second dwelling or with friends/relatives?*

This question focuses mainly on the affordability of some aspects of living standards. The wording of the question refers to the affordability and to the actual meaning 'ability to pay' i.e. 'the household has the resources to afford...' regardless of whether the household wants it. The answer is YES if, according to the household respondent, the whole household can afford to go for a week's annual holiday away from home. If the household can (only) afford holidays by using its 'social network' (friends, etc.) or can afford subsidised holidays (government schemes), or its second dwelling, the answer should be YES. These cases are included in this particular variable because it is not possible to specify the amount that is required for a household to have a week's holiday every year; in many cases, where the household makes use of its second dwelling for holidays or stays with friends, it could still generate cost and also, the case of subsidized holidays is in fact considered as an 'invisible' part of the household's income. Cases where the household cannot go e.g. because of 'shortage of time' are not included (the answer should be YES).

If at least one household member cannot afford to go for holidays, the answer should be NO (e.g. in cases where parents can afford to send children to a summer camp but cannot afford to go for a holiday for themselves, or where a grown-up son or daughter can afford a holiday but other household members cannot).

Please note that in cases where the household contains elderly members or members with health problems who have the resources to afford a week's annual holiday but for other reasons they cannot go or follow the other members of the household, the answer should be YES.

'Whole household' does not mean that the members of the household have to go on holiday all together and at the same time.

If the household finances its holidays through borrowing (from bank, relatives or friends) it is considered in the same way as if the household manages to pay through its own resources.

'One week' means seven days.

**HS050: Capacity to afford a meal with meat, chicken, fish (or vegetarian equivalent) every second day**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

**Description**

Format of the question: *Can your household afford a meal with meat, chicken, fish (or vegetarian equivalent) every second day?*

The variable records whether, according to the household respondent, the household can afford a meal with meat, chicken or fish (or equivalent vegetarian) every second day, regardless if the household wants it.

If the household manages to pay through borrowing (from bank, relatives or friends) it is considered in the same way as if the household manages to pay through its own resources.

**HS060: Capacity to face unexpected financial expenses**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

**Description**

Format of the question: *Can your household afford an unexpected required expense (amount to be filled) and pay through its own resources?*

The variable records whether, according to the household respondent, the household can face itself unexpected financial expenses.

**‘Own resources’ means:**

- Your household does not ask for financial help from anybody;
- Your account has to be debited within the required period;
- Your situation regarding potential debts is not deteriorated.

You do not pay through own resources if you pay in instalments (or by taking a loan) expenses that you previously used to pay in cash.

**Required expenses:** A required expense could be different across countries but examples are surgery, a funeral, major repairs in the house, replacement of durables like washing machine, car.

For the calculation of the **amount that should be filled** in the questionnaire, the national at-risk-of-poverty threshold has to be used per single consumption unit, which means it has to be used independently of the size and structure of the household. A ratio of 1/12 of the above value is used in the questionnaire. This value can be rounded but the difference between calculated value and rounded value cannot exceed 5% (for example; a calculated value of 136 can be rounded to 140 but not to 150).

The calculation for year ‘n’ comes from year ‘n-2’ EU-SILC data.

For year 1 and 2, appropriate national data has to be used.

**A general guideline for interviewers on overdraft and credit cards should be added.**

**HS070: Do you have a telephone (including mobile phone)?**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No – cannot afford 3 No – other reason
<b>Flags</b>	1 Filled -1 Missing

**Description**Format of the question:

*Does your household have a telephone (fixed landline or mobile)?*

*If you do not have a telephone:*

*(a) Would you like to have it but cannot afford it, or*

*(b) Do you not have one for other reasons e.g. you do not want or need it.*

The variable records whether the household has a telephone (including mobile phone) or whether the household does not have a telephone because it cannot afford it (enforced lack) or for other reasons. 'Enforced lack' implies that the item is something that the household would like to have, but cannot afford.

Possession of the item does not necessarily imply ownership: the item may be rented, leased or provided on loan.

In the case of mobile telephones, the household should be considered to possess the item if any member possesses it.

**HS080: Do you have a colour TV?**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No – cannot afford 3 No – other reason
<b>Flags</b>	1 Filled -1 Missing

**Description**Format of the question:

*Does your household have a colour TV?*

*If you do not have a colour TV:*

*(a) Would you like to have it but cannot afford it, or*

*(b) Do you not have one for other reasons e.g. you do not want or need it.*

The variable records whether the household has a colour TV or whether the household does not have a colour TV because it cannot afford it (enforced lack) or for other reasons. 'Enforced lack' implies that the item is something that the household would like to have, but cannot afford.

Possessing the item does not necessarily imply ownership: the item may be rented, leased, provided on loan or shared with other households in (e.g.) a complex apartment and not necessarily owned. If the item is shared between households, the answer is YES if there is adequate/easy access (i.e. household can use the durable whenever it wants) and NO otherwise.

In the case of a colour television, the household is considered to possess it if any member possesses it.

**HS090: Do you have a computer?**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No – cannot afford 3 No – other reason
<b>Flags</b>	1 Filled -1 Missing

**Description**Format of the question:

*Does your household have a computer?*

*If you do not have a computer:*

*(a) Would you like to have it but cannot afford it, or*

*(b) Do you not have one for other reasons e.g. you do not want or need it.*

The variable records whether the household has a computer or whether the household does not have a computer because it cannot afford it (enforced lack) or for other reasons. ‘Enforced lack’ implies that the item is something that the household would like to have, but cannot afford.

Possessing the item does not necessarily imply ownership: the item may be rented, leased, provided on loan or shared with other households in (e.g.) a complex apartment and not necessarily owned. If the item is shared between households, the answer is YES if there is adequate/easy access (i.e. household can use the durable whenever it wants) and NO otherwise.

In the case of a computer, the household is considered to possess it if any member possesses it.

A computer includes a portable computer or a desktop computer, but does not include machines dedicated to video games that do not have any broader functionality.

If a computer is provided ONLY for work purposes, this does not count as possessing the item.

**HS100: Do you have a washing machine?**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No – cannot afford 3 No – other reason
<b>Flags</b>	1 Filled -1 Missing

**Description**Format of the question:

*Does the household have a washing machine<sup>1</sup>?*

*If you do not have a washing machine:*

*(a) Would you like to have it but cannot afford it, or*

*(b) Do you not have one for other reasons e.g. you do not want or need it.*

The variable records whether the household has a washing machine or whether the household does not have a washing machine because it cannot afford it (enforced lack) or for other reasons. 'Enforced lack' implies that the item is something that the household would like to have, but cannot afford.

Possessing the item does not necessarily imply ownership: the item may be rented, leased, provided on loan, or shared with other households in (e.g.) a complex apartment. If the item is shared between households, the answer is YES if there is adequate/easy access (i.e. household can use the durable whenever it wants) and NO otherwise.

In the case of a washing machine, the household is considered to possess it if any member possesses it.

<sup>1</sup> An automatic washing machine or a washer-dryer or a non-automatic 'twin-tub'.

**HS110: Do you have a car?**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No – cannot afford 3 No – other reason
<b>Flags</b>	1 Filled -1 Missing

**Description**Format of the question:

*Does your household have a car/van for private use?*

*If you do not have a car/van:*

*(a) Would you like to have it but cannot afford it, or*

*(b) Do you not have one for other reasons e.g. you do not want or need it.*

The variable records whether the household has a car or whether the household does not have a car because it cannot afford it (enforced lack) or for other reasons. 'Enforced lack' implies that the item is something that the household would like to have, but cannot afford.

Possessing the item does not necessarily imply ownership: the item may be rented, leased, provided on loan, or shared with other households. If the item is shared between households, the answer is YES if there is adequate/easy access (i.e. household can use the durable whenever it wants) and NO otherwise.

In the case of a car, the household is considered to possess it if any member possesses it.

A company car or van which is available to the household for private use counts as possessing the item. A car or van provided ONLY for professional purposes, should not be considered as possessing the item.

Motorcycles are excluded.

**HS120: Ability to make ends meet**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators	
<b>Transmission type</b>	Early and regular	
<b>Reference period</b>	Current	
<b>Unit</b>	Household	
<b>Mode of collection</b>	Household respondent	
<b>Values</b>	1	With great difficulty
	2	With difficulty
	3	With some difficulty
	4	Fairly easily
	5	Easily
	6	Very easily
<b>Flags</b>	1	Filled
	-1	Missing

**Description**Format of the question:

*A household may have different sources of income and more than one household member may contribute to it. Thinking of your household's total income, is your household able to make ends meet, namely, to pay for its usual necessary expenses?*

The objective is to assess the respondents' feeling about the level of difficulty experienced by the household in making ends meet.

The respondent's assessment should be based on the household's total income. There should be a reference in the national questionnaires as well as in the interviewers' guidelines that all income sources are to be taken into account (possibly irregular) and that 'more than one household member may contribute to it'. It is however acceptable that this reference is dropped if this question follows other questions on the household's total income and the concept is clear to respondents.

Additionally, in the guidelines for interviewers, it can be specified that income refers to 'net' income i.e. to income after the deduction of tax and social insurance.

As 'making ends meet' does not exist in some languages, it is to be defined as paying usual necessary expenses and should be included both in the national questionnaires and in the guidelines for interviewers.

The usual necessary expenses of the household should include housing related costs but exclude business and farm work costs. This clarification is to be given in the interviewers' guidelines.

In order to guarantee the maximum comparability Member States should use the same scale proposed in the given order.

**HS130: Lowest monthly income to make ends meet**

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1- 999999.99 Lowest income
<b>Flags</b>	1 Filled -1 Missing

**Description**

**Format of the question:** *In your opinion, what is the very lowest net monthly income that your household would have to have in order to make ends meet, that is to pay its usual necessary expenses?*

*Please answer in relation to the present circumstances of your household, and what you consider to be usual necessary expenses (to make ends meet).*

The objective is that the respondent provides their own assessed indication of the lowest net monthly income (in national currency) that the household would need to 'make ends meet' and that should be clearly indicated/specified both in the national questionnaires and in the related interviewers' guidelines.

This question is to be included in the questionnaire after questions corresponding to variables HS140, HS150 and HS120.

Both aspects of present composition and usual necessary expenses of the household should be clearly indicated/specified in the national questionnaires and in the interviewer guidelines.

The answer of the respondent to this question should refer to the household's total net monthly income. In the guidelines for interviewers a definition of net income should be given, 'net' income referring to income after the deduction of tax and social insurance.

The usual necessary expenses of the household should include housing-related costs but exclude business and farm work costs. This clarification is to be given in the interviewers' guidelines.

**HS140: Financial burden of the total housing cost** [*Total housing cost is a financial burden to the household*]

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 A heavy burden 2 A slight burden 3 Not a burden at all
<b>Flags</b>	1 Filled -1 Missing -2 Missing (no housing costs)

**Description**

**Format of the question:** *Please consider your total housing costs including mortgage repayment (instalment and interest) or rent, insurance and service charges (sewage removal, refuse removal, regular maintenance, repairs and other charges). To what extent are these costs a financial burden to you?*

*Please note: Only actual paid housing costs have to be taken into account*

*Would you say they are:*

- a) A heavy burden;*
- b) A slight burden;*
- c) No burden at all.*

The objective is to assess the respondent's feeling about the extent to which housing costs are a financial burden to the household. That should be clearly indicated/specified both in the national questionnaires and in the related interviewers' guidelines.

Total mortgage repayments including instalments and interest are to be taken into account for owners and actual rent for renters. In addition, service charges (sewage removal, refuse removal, regular maintenance, repairs and other charges) are to be considered.

Only those housing costs that are actually paid have to be taken into account, i.e. the variable should cover what the household should actually pay and should not take into account the accumulation of arrears over past periods.

With regards the definition of Housing costs, please refer to explanations given for variable HH070.

**HS150: Financial burden of the repayment of debts from hire purchases or loans** [*Repayment of debts from hire purchases or loans other than mortgage or loan connected with the house are a financial burden to the household*]

<b>Domain/Area</b>	Social exclusion/Non-monetary household deprivation indicators
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1      Repayment is a heavy burden 2      Repayment is somewhat a burden 3      Repayment is not a burden at all
<b>Flags</b>	1      Filled -1     Missing -2     Missing (no repayment of debts)

**Description**

**Format of the question:** *Do you or anyone in your household have to repay debts from any credit card, hire purchase or other loans (that is, excluding mortgage repayments or other loans connected with the purchase of main dwelling)?*

*If yes, to what extent is the repayment of such loans a financial burden for your household?*

*Would you say it is:*

- a) A heavy burden;*
- b) Somewhat a burden;*
- c) Not a burden at all*

The objective is to assess the respondent's feeling about the extent to which the repayment of non-housing related debts are a financial burden to the household. That should be clearly indicated/specified both in the national questionnaires and in the related interviewers' guidelines.

'Non-housing related debts' include any loans for consumer items or services (car, holiday, furniture, durable etc.) and credit card debt.

Mortgage repayments or loans connected with the purchase of the main dwelling are excluded.

'Do you or anyone in your household' should be explicitly mentioned in the questionnaire and the interviewers' explanatory notes.

**HS160: Problems with the dwelling: too dark, not enough light**

<b>Domain/Area</b>	Social exclusion/Physical and social environment
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

**Description**

Format of the question: *Is your dwelling too dark, meaning is there not enough day-light coming through the windows?*

The objective is to assess whether the respondent feels ‘the dwelling being too dark, not enough day-light’ to be a problem for the household. No common objective standards as to what a ‘problem’ refers to are implied. The question asks whether the household feels that there is a problem with most of the rooms being too dark (not necessarily all of the rooms).

It is recommended to consider the dwelling as ‘too dark, without enough day-light’ in the situation of a sunny day, which means that artificial lighting is not to be taken into account.

**HS170: Noise from neighbours or from the street** [*Noise from neighbours or noise from the street (traffic, business, factories, etc.)*]

<b>Domain/Area</b>	Social exclusion / Physical and social environment
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

**Description**

Format of the question: *Do you have any of the following problems related to the place where you live: too much noise in your dwelling from neighbours or from outside (traffic, business, factory, etc.)?*

The objective is to assess whether the respondent feels 'noise from neighbours or from outside' to be a problem for the household (not the fact of whether they are bothered by the problem). No common standards as to what constitutes a problem are defined.

A reference to the dwelling should be clearly indicated both in the national questionnaires and in the national interviewer guidelines.

Both aspects of noise from neighbours and outside are to be covered and specified in the question as well as in the interviewers' guidelines.

In relation to the 'noise from neighbours', no details are to be included in the question itself; in the interviewers' guidelines, noise from neighbours could be described as noise from neighbouring apartments, staircase or water pipe.

Reference is to be made to 'noise from outside' and 'not to noise from the street':

- 'Noise from outside' should be made explicit in the question;
- In the national questionnaires, traffic, businesses, factories, etc. should be specified in brackets;
- In the interviewers' guidelines, 'noise from outside' should be described as noise linked to traffic (street or road, plane, railway), linked to business, factories, agricultural activities, clubs and yard.

This question should be included as an item under a single question.

**HS180: Pollution, grime or other environment problems**

*[Pollution, grime or other environmental problems in area caused by traffic or industry]*

<b>Domain/Area</b>	Social exclusion/Physical and social environment
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

**Description**

Format of the question: *Do you have any of the following problems related to the place where you live: pollution, grime or other environmental problems in the local area such as: smoke, dust, unpleasant smells or polluted water?*

The objective is to assess whether the respondent feels ‘pollution, grime, etc...’ to be a problem for the household (not the fact of whether they are bothered by the problem). No common standards as to what constitutes a problem are defined.

A reference to the area (place situated close to the place where you live) should be clearly indicated both in the national questionnaires and in the national interviewers' guidelines.

Examples: A detailed list of examples (road dust, exhaust gases of vehicles; smoke, dust or unpleasant smells from factories; unpleasant smells of wastes or sewerage; polluted water from water pipe as well as polluted river) is proposed for inclusion only in the interviewers' guidelines, not in national questionnaires.

An explicit reference to the specific problem caused by traffic or industry is not to be included in the national questionnaires, but is to be included in the interviewers' guidelines.

This question should be included as an item under a single question.

**HS190: Crime, violence or vandalism in the area**

<b>Domain/Area</b>	Social exclusion/Physical and social environment
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing

**Description**

**Format of the question:** *Do you have any of the following problems related to the place where you live: crime, violence and vandalism in the local area?*

The objective is to assess whether the respondent feels 'crime, violence or vandalism' to be a problem for the household (not the fact of whether they are bothered by the problem). No common standards as to what constitutes a problem are defined.

A reference to the area (situated close to the place where you live) should be clearly indicated both in the national questionnaires and in the national interviewers' guidelines.

A clear definition is to be provided for defining 'Crime': Translation of the word 'crime' is to be carefully checked as it has a different meaning in different languages.

A clear footnote will be provided for defining 'crime'. Crime is to be defined as a deviant behaviour that violates prevailing norms, specifically, cultural standards prescribing how humans ought to behave normally. A legalistic approach is not to be used (this is not defined as any blameworthy act or oversight banned by law and penalised by the State).

Examples are only to be given in the interviewers' guidelines and can include thefts, illegal activities.

This question should be included as an item under a single question.

**HY010: Total household gross income**

<b>Domain/Area</b>	Income/Total household income (gross and disposable)	
<b>Transmission type</b>	Regular	
<b>Reference period</b>	Income reference period	
<b>Unit</b>	Household	
<b>Mode of collection</b>	Constructed	
<b>Values</b>	-999999.99 - 999999.99	Income (national currency) without inflation factor
<b>Flags</b>	<i>See chapter 'Income flags'</i>	

**Description**

**Difference with the EU-SILC Regulations:** Pensions received from individual private plans (other than those covered under ESSPROS) (PY080G)/(PY080N) are treated as a component of property income, and should be included in the total household gross income (HY010) <sup>1</sup>.

Inclusion of PY080 in HY010 should be implemented by countries from the 2011 operation onwards.

Total gross household income (HY010) is computed as:

- The sum for all household members of gross personal income components
  - Gross employee cash or near cash income (PY010G),
  - Company car (PY021G),
  - Gross cash benefits or losses from self-employment (including royalties) (PY050G),
  - Pensions received from individual private plans (other than those covered under ESSPROS) (PY080G),
  - Unemployment benefits (PY090G),
  - Old-age benefits (PY100G),
  - Survivor' benefits (PY110G),
  - Sickness benefits (PY120G),
  - Disability benefits (PY130G),
  - Education-related allowances (PY140G);
- Plus gross income components at household level
  - ~~imputed rent (HY030G),~~
  - Income from rental of a property or land (HY040G),
  - Family/children related allowances (HY050G),
  - Social exclusion not elsewhere classified (HY060G),
  - Housing allowances (HY070G),

<sup>1</sup> This follows a recommendation from the TF on methodological issues. The Indicator Sub Group (ISG) agreed in 2010 to include PY080 in the income definition and consequently in the computation of OMC indicators.

- Regular inter-household cash transfers received (HY080G),
- Interests, dividends, profit from capital investments in unincorporated business (HY090G),
- Income received by people aged under 16 (HY110G));

That means:

$HY010 = HY040G + HY050G + HY060G + HY070G + HY080G + HY090G + HY110G +$   
[for all household members]( $PY010G + PY021G + PY050G + PY080G + PY090G +$   
 $PY100G + PY110G + PY120G + PY130G + PY140G$ ).

*Note:* The new income components are mandatory from the 2007 operation onwards, i.e. the non-monetary income components, as well as interest paid on mortgage and employers' social insurance contributions, with the exception of the company car and the pensions received from individual private plans (other than those covered under ESSPROS), are not included in the computation of the aggregated income variables and in the computation of the EU indicators (OMC indicators) until a final decision of the ISG concerning the inclusion of these components has been taken. However, these components have to be recorded at component level in their respective codes, i.e. PY020G, PY030G, HY170G, HY030G, HY100G.

**HY020: Total disposable household income****HY022: Total disposable household income before social transfers other than old-age and survivor's benefits****HY023: Total disposable household income before social transfers including old-age and survivor's benefits**

<b>Domain/Area</b>	Income/Total household income (gross and disposable)	
<b>Transmission type</b>	Regular	
<b>Reference period</b>	Income reference period	
<b>Unit</b>	Household	
<b>Mode of collection</b>	Constructed	
<b>Values</b>	-999999.99 - 999999.99	Income (national currency) without inflation factor
<b>Flags</b>	<i>See chapter 'Income flags'</i>	

**Description**

**Difference with the EU-SILC Regulations:** Pensions received from individual private plans (other than those covered under ESSPROS) (PY080G)/(PY080N) are treated as a component of property income, and should be included in the total disposable household income (HY020)<sup>1</sup>.

Inclusion of PY080 in HY020, HY022 and HY023 should be implemented by countries from the 2011 operation onwards.

**Total disposable household income (HY020)** can be computed as:

- The sum for all household members of gross personal income components
  - Gross employee cash or near cash income (PY010G),
  - Company car (PY021G),
  - Gross cash benefits or losses from self-employment (including royalties) (PY050G),
  - Pensions received from individual private plans (other than those covered under ESSPROS) (PY080G),
  - Unemployment benefits (PY090G),
  - Old-age benefits (PY100G),
  - Survivor' benefits (PY110G),
  - Sickness benefits (PY120G),
  - Disability benefits (PY130G),
  - Education-related allowances (PY140G);

<sup>1</sup> This follows a recommendation from the TF on methodological issues. The Indicator Sub Group (ISG) agreed in 2010 to include PY080 in the income definition and consequently in the computation of OMC indicators.

- Plus gross income components at household level
  - Income from rental of a property or land (HY040G),
  - Family/children related allowances (HY050G),
  - Social exclusion not elsewhere classified (HY060G),
  - Housing allowances (HY070G),
  - Regular inter-household cash transfers received (HY080G),
  - Interests, dividends, profit from capital investments in unincorporated business (HY090G),
  - Income received by people aged under 16 (HY110G));
- Minus
  - Regular taxes on wealth (HY120G),
  - Regular inter-household cash transfer paid (HY130G),
  - Tax on income and social insurance contributions (HY140G).

The variable HY140G includes the income taxes paid during the income reference period, the tax adjustments-repayment/receipt received or paid during the income reference period and the social insurance contributions paid during the income reference period.

That means:  $HY020 = HY010 - HY120G - HY130G - HY140G$ .

**Total disposable household income before social transfers except old-age and survivor' benefits (HY022)** is defined as:

- The total disposable income (HY020);
- Minus total transfers
- Plus old age benefits (PY100G) and survivor' benefits (PY110G).

Or as:

- The total disposable income (HY020);
- Minus:
  - Unemployment benefits (PY090G),
  - Sickness benefits (PY120G),
  - Disability benefits (PY130G),
  - Education-related allowances (PY140G);
  - Family/children related allowances (HY050G),
  - Social exclusion not classified elsewhere (HY060G),
  - Housing allowances (HY070G).

That means:

$HY022 = HY040G + HY080G + HY090G + HY110G - HY120G - HY130G - HY140G +$   
 [for all household members]( $PY010G + PY021G + PY050G + PY080G + PY100G +$   
 $PY110G$ )

**Total disposable household income before social transfers including old-age and survivor' benefits (HY023)** is defined as:

- The total disposable income (HY020);
- Minus total transfers:
  - Unemployment benefits (PY090G),
  - Old-age benefits (PY100G),
  - Survivor' benefits (PY110G),
  - Sickness benefits (PY120G),
  - Disability benefits (PY130G),
  - Education-related allowances (PY140G);
  - Family/children related allowances (HY050G),
  - Social exclusion not elsewhere classified (HY060G),
  - Housing allowances (HY070G).

That means:

$HY023 = HY040G + HY080G + HY090G + HY110G - HY120G - HY130G - HY140G +$   
[for all household members](PY010G + PY021G + PY050G + PY080G)

*Note:* The new income components are mandatory from 2007 operation onwards, i.e. the non-monetary income components, as well as interest paid on mortgage and employers social insurance contributions, with the exception of the company car and the pensions received from individual private plans (other than those covered under ESSPROS), are not included in the computation of the aggregated income variables and in the computation of the EU indicators (OMC indicators) until a final decision of the ISG concerning the inclusion of these components has been taken. However, these components have to be recorded at component level in their respective codes, i.e. PY020G, PY030G, HY170G, HY030G, HY100G.

**HY030G/HY030N: Imputed rent**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Estimated
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	0 No income 1 Income (variable is filled) -1 Missing (As missing values are imputed, this code is only acceptable if imputation is not possible) <u>-5 (only for net values) Not filled: gross (.....N) series is filled</u>

**Description**

This variable is mandatory only from 2007 onwards.

The imputed rent refers to the value that shall be imputed for all households that do not report themselves as paying full rent, either because they are owner-occupiers or they live in accommodation rented at a lower price than the market price, or because the accommodation is provided rent-free.

The imputed rent shall be estimated only for those dwellings (and any associated buildings such a garage) that are used as a main residence by the households.

The value to impute shall be the equivalent market rent that shall be paid for a similar dwelling as that occupied, less any rent actually paid (in the case where the accommodation is rented at a lower price than the market price), less any minor repair or refurbishment expenditure which the owner-occupier households make on the property of the type that would normally be carried out by landlords. Costs for heating, water electricity, etc. are excluded. Repair leading to improvements or fixing major problems of the dwelling are also excluded.

Depreciation (consumption of fixed capital) shall not be taken into account because it is likely to be offset or superseded by variation of the market value of the dwelling. These latter are not covered in EU-SILC.

The market rent is the rent due for the right to use an unfurnished dwelling on the private market, excluding charges for heating, water, electricity, etc. By extension, private market also includes the market that is regulated by government regulations.

Several methods for estimating 'gross'<sup>1</sup> imputed rent are available:

- a. The regression/stratification method based on actual rents;
- b. The user cost method based on the estimation of cost incurred for homeownership by foregoing the opportunity to invest in financial assets from which real income flows are created in the form of income from interest and dividends;
- c. The self-assessment method;

<sup>1</sup> i.e. before deduction of owner cost for maintenance and minor repairs

d. The administrative assessment method, generally for fiscal purposes;

For the sake of comparability among countries, a regression/stratification method should be applied, except for duly justified cases, in particular when the private rental market represents less than 10% of the market or when the regression method is statistically unreliable. The self-assessed value used as direct estimate of the market price value of the dwelling is not acceptable. The method used for fiscal purposes is not usually adapted.

The use of the regression method requires further development in order to ensure the minimum comparability with EU-SILC recommended method, in particular the determination of capital to be taken into account when the owner has a mortgage.

The regression/stratification method is based on the estimation of market rent using appropriate econometric model/stratification criteria, which makes use of the available data on the private market rent. The source can be the EU-SILC sub-sample of full rent tenants or any other reliable external source.

Variables to be taken into account are likely to be country-specific, although some variables like localisation and urbanisation, size of dwelling (in square meter and in number of rooms), amenities (bathroom, balcony, garden, ...) are likely to be common to all models.

The estimated model should seek to predict the average market rent taking into account the physical characteristics of the dwelling but not the market rent of a new contract for such a dwelling. Therefore, the age of the contract does not seem to be an interesting predictor for such a model. The quality of the model will be evaluated in light of its ability to fit the actual distribution of the market rent of a similar dwelling. The use of the subjective rent as a latent of a hidden variable is not excluded a priori. In this case, the model would appear as a model for correcting the subjective rent.

If there is a strong deviation between the rental market sample and the owner-occupied sample, it is likely that the Heckmann correction should be tested for reducing selection bias.

Different models used by countries will be made available on circa for information.

**Difference with the EU-SILC Regulations:** Accommodation provided for free or at a reduced rent by the employer to the employees as the main residence of the household, should be included in the non-cash employee income (PY020), and consequently not included under the variable imputed rent (HY030). When an employee occupies an employer-owned dwelling for free or at a reduced cost, the corresponding part of the imputed rent that is not paid by the employee should be recorded in employment income in kind (PY020) and not taken into account as part of the imputed rent (HY030).

On the other hand, cash subsidies received from the employer for dwelling costs should be counted as employment income (PY010).

The housing subsidies received from the government or from a non-profit institution should not be deducted from the imputed rent. These subsidies should be accounted for in housing allowances (HY070).

Housing subsidies and reduced rent based on an employment contract should not interfere with computation of imputed rent.

**HY040G/HY040N: Income from rental of a property or land****HY090G/HY090N: Interest, dividends, profit from capital investments in unincorporated business**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

Gross means that neither taxes nor social contributions have been deducted at source.

**Property income:** Property income is defined as the income received, less expenses, occurring during the income reference period by the owner of a financial asset or a tangible non-produced asset (land) in return for providing funds to, or putting the tangible non-produced asset at the disposal of, another institutional unit.

The property income is broken down into:

- a. Interest, dividends, profits from capital investment in an unincorporated business (HY090);
- b. Income from rental of a property or land (HY040);
- c. Pensions received from individual private plans (other than those covered under ESSPROS) (PY080).

**Interest, dividends, profits from capital investment in an unincorporated business (HY090G):** Interest (not included in the profit/loss of an unincorporated enterprise), dividends, profits from capital investment in an unincorporated business refer to the amount of interest from assets such as bank accounts, certificates of deposit, bonds, etc, dividends and profits from capital investment in an unincorporated business, in which the person does not work, received during the income reference period (less expenses incurred).

*Recommendation:* The respondents should not only be given the opportunity to provide the exact amount, but also the option to choose from among a range of values<sup>1</sup>.

**Income from rental of a property or land (HY040G):** Income from rental of a property or land refers to the income received, during the income reference period, from renting a property (for example renting a dwelling - not included in the profit/loss of unincorporated enterprises-, receipts from boarders or lodgers, or rent from land) after deducting costs such as mortgage interest repayments, minor repairs, maintenance, insurance and other charges.

The net income series corresponds to the gross income components but the tax at source or the social insurance contributions or both are deducted.

<sup>1</sup> The aim is to improve the data collection (given that pilot surveys showed the difficulty to collect interest from accounts).

**Difference with EU-SILC Regulations:** Contributions to individual pension plans (PY035G)/ (PY035N) should not be deducted from the household's total disposable income.

Pensions received from individual private plans (other than those covered under ESSPROS) (PY080G) are treated as a component of property income, and should be included in the household's total gross income (HY010) and in the household's total disposal income (HY020).

Pensions received from individual private plans (other than those covered under ESSPROS) (PY080G)/(PY080N) are treated as a component of property income, and should be included in total household gross income (HY010) and in total disposable household income (HY020)<sup>1</sup>. Inclusion of PY080 in HY020, HY022 and HY023 should be implemented by countries from the 2011 operation onwards.

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<sup>1</sup> This follows a recommendation from the TF on methodological issues. The Indicator Sub Group (ISG) agreed in 2010 to include PY080 in the income definition and consequently in the computation of OMC indicators.

**HY050G/HY050N: Family/Children-related allowances****HY060G/HY060N: Social exclusion not elsewhere classified****HY070G/HY070N: Housing allowances**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

**Social benefits:** Social benefits<sup>1</sup> are defined as current transfers received during the income reference period<sup>2</sup> by households intended to relieve them from the financial burden of a number of risks or needs, made through collectively-organised schemes, or outside such schemes by government units and NPISHs.

It includes the value of any social contributions and income tax payable on the benefits by the beneficiary to social insurance schemes or to tax authorities.

In order to be included as a social benefit, the transfer must meet one of two criteria:

- a. Coverage is compulsory (under law, regulation or a collective bargaining agreement) for the group in question;
- b. It is based on the principle of social solidarity (i.e. if it is an insurance-based pension, the premium and entitlements are not proportional to the individual's exposure to risk of the people protected).

The Social benefits collected at the household level are the following:

- Family/children related allowance (HY050G)/ (HY050N)
- Housing allowances (HY070G)/ (HY070N)
- Social exclusion not elsewhere classified (HY060G)/ (HY060N)

Social benefits exclude:

- Benefits paid from schemes into which the recipient has made voluntary payments only, independently of his/her employer or government (which are included under 'Pensions from individual private plans (other than those covered under ESSPROS)')

<sup>1</sup> The social benefits included in EU-SILC, with the exception of housing benefits, are restricted to cash benefits.

<sup>2</sup> In order to get a closer measure of the well-being of the household, the lump-sum benefits received during the income reference period shall be treated according to Eurostat technical recommendations. In the same way, lump-sums received before the income reference period could be taken into account and imputed according to Eurostat recommendations.

(PY080G)).

**Family/children related allowance (HY050G):** The Family/children Function refers to benefits that:

- Provide financial support to households for bringing up children<sup>1</sup>;
- Provide financial assistance to people who support relatives other than children

It includes:

- Income maintenance benefit in the event of childbirth: flat-rate or earnings-related payments intended to compensate the parent for loss of earnings due to absence from work in connection with childbirth for the period before and/or after confinement or in connection with adoption;
- Birth grant: benefits normally paid as a lump sum or by instalments in the case of childbirth or adoption;
- Parental leave benefit: benefit paid to either mother or father in the case of interruption of work or reduction of working time in order to bring up a child, normally of a young age;
- Family or child allowance: periodical payments to a member of a household with dependent children to assist with the costs of raising children;
- Alimonies or supports paid by government (central or local) if the spouse for some reason does not pay the alimony/child support. The amount paid by the government should not be recorded in variables HY080 and HY081;
- Other cash benefits: benefits paid independently of family allowances to support households and help them meet specific costs, such as costs arising from the specific needs of lone parent families or families with handicapped children. These benefits may be paid periodically or as a lump-sum.

It excludes:

- Payments made by employers to an employee in lieu of wages and salaries through a social insurance scheme when unable to work through maternity leave where such payment cannot be separately and clearly identified as social benefits (These payments are included under 'gross employee cash or near cash income' (PY010G)).
- Additional payments made by employers to an employee to supplement the maternity leave pay entitlement from a social insurance scheme, where such payments cannot be separately and clearly identified as social benefits (These payments are included under 'gross employee cash or near cash income' (PY010G)).

**Housing allowances (HY070G):** The Housing Function refers to interventions by public authorities to help households meet the cost of housing. An essential criterion for defining the scope of a Housing allowance is the existence of a qualifying means-test for the benefit.

<sup>1</sup> The benefits received with the salary for bringing up children are included under HY050.

It includes:

- Rent benefit: a current means-tested transfer granted by a public authority to tenants, temporarily or on a long-term basis, to help with rent costs.
- Benefit to owner-occupiers: a means-tested transfer by a public authority to owner-occupiers to alleviate their current housing costs: in practice often help with paying mortgages and/or interest.

It excludes:

- Social housing policy organised through the fiscal system (that is, tax benefits).
- All capital transfers (in particular investment grants).

**Social exclusion not elsewhere classified (HY060G):** Social benefits in the function 'social exclusion not elsewhere classified' refer to the 'socially excluded' or to 'those at risk of social exclusion'. General as this is, target groups may be identified (among others) as destitute people, migrants, refugees, drug addicts, alcoholics, victims of criminal violence.

It includes:

- Income support: periodic payments to people with insufficient resources. Conditions for entitlement may be related not only to personal resources but also to nationality, residence, age, availability for work and family status. The benefits may have a limited or an unlimited duration; they may be paid to the individual or to the family, and provided by central or local government;
- Other cash benefits: support for destitute and vulnerable persons to help alleviate poverty or assist in difficult situations. These benefits may be paid by private non-profit organisations.

It excludes:

- Pensions for persons who participated in the National Resistance. These pensions should be classified under 'old age function'. Anyone who is old enough to have been in the resistance must be over 70.

*The net income series corresponds to the gross income components but the tax at source or the social insurance contributions or both are deducted.*

**HY051G: Family/Children-related allowances (Contributory and means-tested)****HY061G: Social exclusion not elsewhere classified (Contributory and means-tested)****HY071G: Housing allowances (Contributory and means-tested)**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	2 : filled with mixed components 1 : filled with only contributory and means-tested components 0: No income -1 : missing -2 : N/A This scheme doesn't exist at national level -7: N/A HB010 < last year

**Description**

See the detailed description of variables HY050, HY060 and HY070.

The "Contributory" and "Means-tested" definitions are the same as applied in ESSPROS. For further details, see ESSPROS manual<sup>1</sup>.

Contributory schemes are social protection schemes that require the payment of contributions, by the protected persons or by other parties on their behalf, in order to secure individual entitlement to benefits. Contributory schemes are sometimes referred to as social insurance schemes. By convention, all non-autonomous schemes that employers run in favour of their employees, former employees and their dependants are classified as contributory schemes.

Means-tested social benefits are social benefits which are explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level.

If flag 2 is used, please fill in comments in the associated metadata file

<sup>1</sup> ESSPROS manual can be found at:

[http://epp.eurostat.ec.europa.eu/portal/page/portal/product\\_details/publication?p\\_product\\_code=KS-RA-12-014](http://epp.eurostat.ec.europa.eu/portal/page/portal/product_details/publication?p_product_code=KS-RA-12-014)

**HY052G: Family/Children-related allowances (Contributory and non means-tested)****HY062G: Social exclusion not elsewhere classified (Contributory and non means-tested)****HY072G: Housing allowances (Contributory and non means-tested)**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	2 : filled with mixed components 1 : filled with only contributory and non means-tested components 0: No income -1 : missing -2 : N/A This scheme doesn't exist at national level -7: N/A HB010 < last year

**Description**

See the detailed description of variables HY050, HY060 and HY070.

The "Contributory" and "non means-tested" definitions are the same as applied in "ESSPROS".

Contributory schemes are social protection schemes that require the payment of contributions, by the protected persons or by other parties on their behalf, in order to secure individual entitlement to benefits.

Contributory schemes are sometimes referred to as social insurance schemes. By convention, all non-autonomous schemes that employers run in favour of their employees, former employees and their dependants are classified as contributory schemes

Non Means-tested social benefits are social benefits which are NOT explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level.

If flag 2 is used, please fill in comments in the associated metadata file

**HY053G: Family/Children-related allowances (Non-contributory and means-tested)****(HY063G: Social exclusion not elsewhere classified (Non-contributory and means-tested))****HY073G: Housing allowances (Non-contributory and means-tested)**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	2: filled with mixed components 1 : filled with only "Non-contributory and means-tested" components 0: No income -1 : missing -2 : N/A This scheme doesn't exist at national level -7: N/A HB010 < last year

**Description**

*See the detailed description of variables HY050, HY060 and HY070.*

*The "Non-contributory" and "means-tested" definitions are the same as applied in ESSPROSS.*

Non-contributory schemes are social protection schemes in which eligibility to benefits is not conditional on the payment of contributions by the protected persons or by other parties on their behalf.

Means-tested social benefits are social benefits which are explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level.

*If flag 2 is used, please fill in comments in the associated metadata file*

**HY054G: Family/Children-related allowances (Non-contributory and non means-tested)****HY064G: Social exclusion not elsewhere classified (Non-contributory and non means-tested)****HY074G: Housing allowances (Non-contributory and non means-tested)**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	2: filled with mixed components 1 : filled with only "Non-contributory and non means-tested" components 0: No income -1 : missing -2 : N/A This scheme doesn't exist at national level -7: N/A HB010 < last year

**Description**

See the detailed description of variables HY050, HY060 and HY070.

The "Non-contributory" and "non means tested" definitions are the same as applied in ESSPROS.

Non-contributory schemes are social protection schemes in which eligibility to benefits is not conditional on the payment of contributions by the protected persons or by other parties on their behalf.

Non Means-tested social benefits are social benefits which are NOT explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level.

If flag 2 is used, please fill in comments in the associated metadata file

### HY080G/HY080N: Regular inter-household cash transfer received

<b>Domain/Area</b>	Income /Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

#### Description

This item is classified under current transfer received.

**Regular inter-household cash transfers** received refer to regular monetary amounts received, during the income reference period, from other households or persons. They should refer to regular payment received, even if once a year, available to finance (regular) consumption expenditure.

Inter-household transfers should be:

- Regular, i.e. transfer receipts must be to some extent be anticipated or relied on;
- Current, i.e. available for consumption during the income reference period.

Regular can correspond to two different timescales:

- a. It could be an annual amount received every year or over several years; or
- b. It could be periodic receipts (e.g. monthly) over a short period embedded in the income reference period (e.g. a semester).

The definition of regular does not refer to precise timing and does not require strong periodicity.

It includes:

- Compulsory alimony and child support;
- Voluntary alimony and child support received on a regular basis;
- Regular cash support from persons other than household members;
- Regular cash support from households in other countries.

It excludes:

- Free or subsidised housing provided by another household (which is included under 'Imputed rent' (HY030G));
- Inheritances and other capital transfers, i.e. transfers received from other households which the household does not consider as being wholly available for consumption within the income reference period;

- Gifts and other large, one-time and unexpected cash flows, such as “lump sums” to buy a car, a house, ... or to be saved for long-term consumption (more than one year ahead);
- Alimonies or supports paid by government (central or local) if the spouse for some reason does not pay the alimony/child support. The amount paid by the government should be recorded in the family allowances (variable HY050).

Editing should be used to limit measurement error (for both alimonies and others) and to avoid capital transfer. If meaningful, it can be based on a maximal threshold expressed as a fraction of disposable income. A good practice could be to collect capital transfers in parallel so as to avoid having to collect them in regular transfers.

*The net income series corresponds to the gross income components but the tax at source or the social insurance contributions or both are deducted.*

**Difference with the EU-SILC Regulations:** The inter-household transfers should be measured using the following standard approach: to separate data collection of alimonies from other transfers (cash support from relatives, cash support from the rest of the world).

In line with the Regulation, the variable HY080G/HY080N collects the sum of both components. For analysis purpose, a new variable is created collecting only alimonies (HY081G/HY081N).

**HY081G/HY081N: Alimonies received (compulsory + voluntary)**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

As inter-household transfers, **alimonies** should be regular and current (see explanations for HY080).

Alimonies include:

- Compulsory alimony and child support;
- Voluntary alimony and child support received on a regular basis.

Alimonies concern receipts for children and former spouse/husband which can be national or come from abroad.

Alimonies exclude:

- Regular cash support (other than alimonies) from persons other than household members;
- Regular cash support (other than alimonies) from households in other countries;
- Free or subsidised housing provided by another household (which is included under 'Imputed rent' (HY030G));
- Inheritances and other capital transfers, i.e. transfers received from other households which the household does not consider as being wholly available for consumption within the income reference period;
- Gifts and other large, one-time and unexpected cash flows, like "lump sums" to buy a car, a house, ... or to be saved for long term consumption (more than one year ahead);
- Alimonies or supports paid by government (central or local) if the spouse for some reason does not pay the alimony/child support. The amount paid by the government should be recorded in the family allowances (variable HY050).

By construction HY080G >= HY081G

**HY100G/HY100N: Interest repayments on mortgage**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS' 1st digit: collected net or gross is always '1'

**Description**

**Interest paid on mortgage** refers to the total gross amount, before deducting any tax credit or tax allowance, of mortgage interest on the main residence of the household during the income reference period.

It excludes:

- Any other mortgage payments, either interest or principal, made at the same time, such as mortgage protection insurance or home and contents insurance;
- Payments on mortgages to obtain money for housing purposes (e.g. repairs, renovations, maintenance etc.) or for non-housing purposes.
- Repayments of the principal or capital sum.

*The net income series corresponds to the gross income components but the tax at source or the social insurance contributions or both are deducted.*

*See EU-SILC Doc 105 (How to separate interest from principal)*

**HY110G/HY110N: Income received by people aged under 16**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

**Income received by people aged under 16** is defined as the gross income received by all household members aged under 16 during the income reference period.

It excludes:

- Transfers between household members;
- Income collected at the household level (i.e. variables HY040G, HY050G, HY060G, HY070G, HY080G, and HY090G).

*The net income series corresponds to the gross income components but the tax at source or the social insurance contributions or both are deducted.*

**HY120G/HY120N: Regular taxes on wealth**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>1 - 999999.99</i> Income (national currency) <i>0</i> No income
<b>Flags</b>	<i>See chapter 'INCOME FLAGS'</i> 1st digit: collected net or gross is always '1'  Other value allowed: <i>-4</i> Amount included in another income component

**Description**

**Regular taxes on wealth** refers to taxes that are payable periodically on the ownership or use of land or buildings by owners, and current taxes on net wealth and on other assets (jewellery, other external signs of wealth). The regular taxes on wealth provided will be those paid during the income reference period.

It includes any interest charged on arrears of taxes due and any fines imposed by taxation authorities, paid during the income reference period and property taxes paid directly to the taxation authority by tenants during the income reference period.

It excludes:

- Intermittent taxes such as inheritance taxes, death duties or taxes on gifts inter vivo.
- Taxes assessed on holdings of property, land or real estate when these holdings are used as a basis for estimating the income of their owners (these taxes are included under 'Tax on income and social insurance contributions' (HY140G)).
- Taxes on land, buildings or other assets owned or rented by enterprises and used by them for production (these taxes are considered as taxes on production and they are deducted from the market output of self-employment income to build the component 'Gross cash benefits or losses from self-employment' (including royalties) (PY050G)).

**HY130G/HY130N: Regular inter-household cash transfer paid**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

**Regular inter-household transfers paid** refer to regular monetary amount paid, during the income reference period, to other households. They should refer to regular payments, even once a year, out of income.

Inter-household transfers should be:

- Regular, i.e. transfer payments must be to some extent be anticipated or relied on;
- Current, i.e. out of the income from the income reference period.

Regular can correspond to two different time scales:

- a. It could be an annual amount paid every year or over several years;
- b. It could be periodic payments (e.g. monthly) over a short period embedded in the income reference period (e.g. a semester).

The definition of regular does not refer to precise timing and does not require strong periodicity.

Regular inter-household transfers paid includes:

- Compulsory alimony and child support;
- Voluntary alimony and child support paid on a regular basis;
- Regular cash support to persons other than household members;
- Regular cash support to households in other countries.

Regular inter-household transfers paid excludes:

- Capital transfers and money drawn from saving.

Editing should be used to limit measurement error (for both alimonies and others) and to avoid capital transfer. If meaningful, it can be based on a maximal threshold expressed as a fraction of disposable income. A good practice could be to collect capital transfer in parallel so as to avoid having to collect them in regular transfers.

*The net income series corresponds to the gross income components but the tax at source or the social insurance contributions or both are deducted.*

In the case of tax deductions, the paid amount of the regular cash transfer should be recorded

in HY130G while HY130N should take into account the tax deductions and repayments.

**Difference with the EU-SILC Regulations:** The inter-household transfers should be measured using the following standard approach: to separate data collection of alimonies from other transfers (cash support from relatives, cash support from the rest of the world).

In line with the Regulation, the variable HY130G/HY130N collects the sum of both components. For an analysis purpose, a new variable is created collecting only alimonies (HY131G/HY131N).

**HY131G/HY131N: Alimonies paid (compulsory + voluntary)**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

As inter-household transfers, **alimonies** should be regular and current (see explanations for HY130).

Alimonies include:

- Compulsory alimony and child support;
- Voluntary alimony and child support paid on a regular basis.

Alimonies concern payments for children and a former spouse/husband which can be national or abroad.

Alimonies exclude:

- Regular cash support (other than alimonies) to persons other than household members;
- Regular cash support (other than alimonies) to households in other countries;
- Capital transfers and money drawn from saving.

By construction HY130G >= HY131G

As for HY130, in case of tax deductions, the paid amount of the regular cash transfer should be recorded in HY131G, while HY131N should take into account the tax deductions and repayments.

**HY140G/HY140N: Tax on income and social contributions**

<b>Domain/Area</b>	Income/Gross income components at household level	
<b>Transmission type</b>	Regular	
<b>Reference period</b>	Income reference period	
<b>Unit</b>	Household	
<b>Mode of collection</b>	Household respondent or register	
<b>Values</b>	-999999.99 - 999999.99	Income (national currency)
	0	No income
<b>Flags</b>	0	No income
	<i>concat(1, if)</i>	Variable is filled Concatenate the imputation factor ( <i>if</i> ) to 1, where <i>if</i> = <i>collected value/recorded value</i>
	-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
	-5	<i>(only for net values) Not filled: gross (.....N) series is filled</i>

**Description**

**Tax on income** refers to taxes on income, profits and capital gains. They are assessed on the actual or presumed income of individuals, households or the tax-unit. They include taxes assessed on holdings of property, land or real estate when these holdings are used as a basis for estimating the income of their owners. Taxes related to pensions received from individual private plans (other than those covered under ESSPROS) should also be taken into account.

Taxes on income include:

- Taxes on individual, household or tax-unit income (income from employment, property, entrepreneurship, pensions, etc.), including taxes deducted by employers (pay-as-you earn taxes), other taxes at source and taxes on the income of owners of unincorporated enterprises paid during the income reference period;
- By way of exception, Member States using data from registers and other Member States, for which this is the most suitable way, can report taxes on 'income received' in the income reference year, if it only marginally affects comparability;
- Tax reimbursement received during the income reference period related to tax paid for the income received during the income reference period or for income received in previous years. This value will be taken into account as a reduction of taxes paid; and
- Any interest charged on arrears of taxes due and any fines imposed by taxation authorities.

Taxes on income exclude:

- Fees paid for hunting, shooting and fishing

**Social insurance contributions** refer to contributions by employees', the self-employed and if applicable, the unemployed, retired paid during the income reference period to either mandatory government or employer-based social insurance schemes (pension, health, etc.).

**HY145N: Repayments/receipts for tax adjustment**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	-999999.99 – -1      Receipts (national currency) 1 - 999999.99      Repayments (national currency) 0                      No income
<b>Flags</b>	<i>See chapter 'INCOME FLAGS'</i> 1st digit: collected net or gross is always '1'

**Description**

**Repayments/receipts for tax adjustments** refer to the money paid to/received from Tax Authorities related to the income received.

This applies only in cases where taxes at source are deducted from income received and the Tax Authorities compare the amount of taxes of income paid at source with the taxes that correspond to those paid over the total income received for the 'tax unit'. If the 'tax unit' has paid more taxes in advance than those that correspond to the income received, the Tax Authorities reimburse money to the tax unit. These reimbursements can refer to tax paid for the income received during the income reference period or for income received in previous years.

If the 'tax unit' has paid less taxes in advance than those that correspond to the income received, then the 'tax unit' will have to pay more taxes ( tax adjustments) to the Tax Authorities.

This variable will be filling when the country has recorded only net income at the component level. If the income at component level is reported gross or some of the components are reported gross and some net of tax, adjustments will be included, in general, under the variable HY140G.

**HY170G/HY170N: Value of goods produced for own consumption**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99      Income 0                      No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

This variable was introduced from the 2010 operation onwards. It replaces the variable PY070 (with the same guidelines)<sup>1</sup>.

The new variable name "HY170" should be used for all waves, even those preceding 2010.

This variable is mandatory only from 2007 onwards.

**Gross value of goods produced for own consumption (HY170G):** The value of goods produced for own consumption refers to the value of food and beverages produced and also consumed within the same household.

The value of goods produced for own consumption shall be calculated as the market value of goods produced deducting any expenses incurred in the process of production.

The value of food and beverages shall be included when they are a significant component of the income at national level or they constitute a significant component of the income of particular groups of households.

It excludes:

- Value of household services,
- Any production for sale and any withdrawals from a business by a self-employed person (these values are included under 'Gross income benefits or losses from self-employment' (including royalties) (PY050G)).

This variable 'value of goods produced for own consumption (HY170)' only refers to alimentation products (food and beverages). Other products which can be used for own consumption, like wood, should be, according to the EU-SILC Regulations, excluded from this variable.

**Net value of goods produced for own consumption (HY170N):** The net income component corresponds to the gross income components, but the tax at source, the social insurance contributions or both ( if applicable) are deducted.

Comments

This income component includes the value of all goods produced and consumed within the same household. Any households may engage in such production without being categorised as

<sup>1</sup> In order to avoid data collection problems, namely double reporting, the TF on Methodological issues recommended alteration to the collection level of the value of goods produced for own consumption. This should no longer be collected at the individual level, but instead at the **household** level. The proposal was agreed by the Living Conditions Working Group.

an unincorporated enterprise, but any production for sale (and any withdrawals from a business by a self-employed person) have already been included in PY050(G)/(PY050N).

Thus this item should include, e.g. the value of potatoes produced in the family garden and then consumed by the household, but not the value of any potatoes which are sold (or given) to a neighbour. The value of any sales should be classified as (monetary) self-employment income (any gifts are inter-household transfers in kind and therefore excluded from the EU-SILC). In fact any remunerative hobbies – for example, pigeon keeping, water-colour painting – should be regarded as a form of casual self-employment and any profits should be recorded as such.

There are very few goods other than fruit and vegetables that EU households produce and consume themselves. Some hobbies, for example weaving cloth, painting pictures, may result in additional goods for the household to consume which otherwise they might have bought, but the income element is likely to be very small once all costs have been deducted. Indeed, there is a fine line between regarding such activities purely as leisure or as productive. This may also be true of fruit and vegetable growing.

Although for some households in some countries, the ability to produce and consume their own garden produce may appear to make a real contribution to their economic well-being, even then it is debatable whether the level of profit is significant once the cost of all inputs has been deducted. Note that if the household is in fact running a farm or small-holding then the value of any of their own produce which they consume themselves will already have been taken into account in the measurement of their (monetary) income from self-employment.

In principle the valuation of goods produced for own consumption is relatively straightforward. Respondents are usually asked to provide information on the quantities of each type of good consumed and a market price is then applied. However, this involves additional data collection and office editing.

For some EU Member States and for some categories of households, the value of goods produced for own consumption doesn't constitute a significant component of income. In this case, related information does not need to be collected for this category of households and reported in the EU-SILC variable.. The importance of this component should be assessed on an objective and empirical basis using for instance HBS results or National Accounts. This should be documented in the Quality Report.



## **Personal Data (P-file)**

**PB010: Year of the survey**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Interview
<b>Values</b>	<i>year</i> (four digits)
<b>Flags</b>	-

**Description**

-

**PB020: Country**

<b>Domain/Area</b>	Basic data / Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Frame
<b>Values</b>	<i>BE</i> Belgique/België <i>BG</i> Bulgaria <i>CZ</i> Czech republic <i>DK</i> Denmark <i>DE</i> Deutschland <i>EE</i> Estonia <i>IE</i> Ireland <i>EL</i> Elláda <i>ES</i> España <i>FR</i> France <i>HR</i> Croatia <i>IT</i> Italia <i>CY</i> Cyprus <i>LV</i> Latvia <i>LT</i> Lithuania <i>LU</i> Luxembourg <i>HU</i> Hungary <i>MT</i> Malta <i>NL</i> Nederland <i>AT</i> Österreich <i>PL</i> Poland <i>PT</i> Portugal <i>RO</i> Romania <i>SI</i> Slovenia <i>SK</i> Slovak republic <i>FI</i> Suomi <i>SE</i> Sverige <i>UK</i> United Kingdom  <i>CH</i> Switzerland <i>IS</i> Iceland <i>NO</i> Norway <i>ME</i> Montenegro <i>MK</i> FYROM <i>RS</i> Serbia <i>TR</i> Turkey
<b>Flags</b>	-

**Description**

-

**PB030: Personal ID**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Frame, register or interviewer
<b>Values</b>	<i>ID number</i> See construction in chapter 'General definitions'
<b>Flags</b>	-

**Description**

-

**PB040: Personal cross-sectional weight** [*Personal cross-sectional weight (all household members aged 16 and over)*]

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> )      Weight (see below the required format)
<b>Flags</b>	1      Filled -7      Not applicable: PB010 ≠ last year

**Description**

See construction of weights in chapter [Introduction](#)

**Required format**

In principle, according to the regulation, these weights had to be coded with two integers and five decimals. However, that causes problems if the weights have at least three integers. That's why, in practice, personal cross-sectional weights will be coded with at least one integer and five decimals.

In the regular transmission (reconciled file format) this variables should be filled in only for the records related to the last year of operation.

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**PB050: Personal base weight** [*Personal base weight (all household members aged 16 and over)*]

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> )      Weight (see below the required format)
<b>Flags</b>	1      Filled

**Description**

See construction of weights in chapter [Introduction](#)

The personal base weight can have the value 0, namely for non-panel persons and for first wave.

**Required format**

In principle, according to the regulation, these weights had to be coded with two integers and five decimals. However, that causes problems if the weights have at least three integers. That's why, in practice, weights will be coded with at least one integer and five decimals.

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**PB060: Personal cross-sectional weight for selected respondent**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> )      Weight (see below the required format)
<b>Flags</b>	1      Filled -2      Not applicable (country does not use the selected respondent model) -3      Non-selected respondent -7      Not applicable: PB010 ≠ last year

**Description**

See construction of weights in chapter [Introduction](#)

**Required format**

In principle, according to the regulation, these weights had to be coded with two integers and five decimals. However, that causes problems if the weights have at least three integers. That's why, in practice, weights will be coded with at least one integer and five decimals.

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**PB070: Personal design weight for selected respondent**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ (format 2.5)      Weight (see below the required format)
<b>Flags</b>	1      Filled -2      Not applicable (country does not use the selected respondent model) -3      Non-selected respondent

**Description**

See construction of weights in chapter [Introduction](#).

**Required format**

In principle, according to the regulation, these weights had to be coded with two integers and five decimals. However, that causes problems if the weights have at least three integers. That's why, in practice, personal design weights will be coded with at least one integer and five decimals.

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**PB080: Personal base weight for selected respondent**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Constructed
<b>Values</b>	0+ ( <i>format 2.5</i> )      Weight (see below the required format)
<b>Flags</b>	1      Filled -2      Not applicable (country does not use the selected respondent model) -3      Non-selected respondent (if country uses the selected respondent model)

**Description**

See construction of weights in chapter [Introduction](#)

The personal base weight can have a value of 0, namely for non-panel persons and for first wave.

**Required format**

In principle, according to the regulation, these weights had to be coded with two integers and five decimals. However, that causes problems if the weights have at least three integers. That's why, in practice, personal base weights will be coded with at least one integer and five decimals.

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**PB090: Day of the personal interview**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Interviewer
<b>Values</b>	1 - 31 Day
<b>Flags</b>	1 Filled -1 Missing

**Description**

If the data is extracted from registers, the date corresponds to the date of the extraction.

**PB100: Month of the personal interview**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Interviewer
<b>Values</b>	1 - 12 Month
<b>Flags</b>	1 Filled -1 Missing

**Description**

If the data is extracted from registers, the date corresponds to the date of the extraction.

**PB110: Year of the personal interview**

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Interviewer
<b>Values</b>	<i>year</i> (Four digits)
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

If the data is extracted from registers, the date corresponds to the date of the extraction.

**PB120: Minutes to complete the personal questionnaire** [*Number of minutes to complete the personal questionnaire*]

<b>Domain/Area</b>	Basic data/Basic personal data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent where applies
<b>Mode of collection</b>	Interviewer
<b>Values</b>	1 – 90 Minutes
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (information only extracted from registers)

**Description**

-

**PB130: Month of birth**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	1 – 12 Month
<b>Flags</b>	1 Filled -1 Missing

**Description**

-

**PB140: Year of birth**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<i>year</i> (Four digits)
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

-

**PB150: Sex**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	1 Male 2 Female
<b>Flags</b>	1 Filled -1 Missing

**Description**

-

**PB160: Father ID**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<i>Personal ID of the father</i>
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable (father is not a household member)

**Description**

See RB220: Father ID

**PB170: Mother ID**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<i>Personal ID of the mother</i>
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable (mother is not a household member)

**Description**

See RB230: Mother ID

**PB180: Spouse/partner ID**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<i>Personal ID of the spouse/partner</i>
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable (person has no spouse/partner or spouse/partner is not a household member)

**Description**

See RB240: Spouse/partner ID

**PB190: Marital status**

<b>Domain/Area</b>	Basic data/Demographic data	
<b>Transmission type</b>	Regular	
<b>Reference period</b>	Current	
<b>Unit</b>	All current household members aged 16 and over	
<b>Mode of collection</b>	Personal interview, proxy or register	
<b>Values</b>	<i>1</i>	Never married
	<i>2</i>	Married
	<i>3</i>	Separated
	<i>4</i>	Widowed
	<i>5</i>	Divorced
<b>Flags</b>	<i>1</i>	Filled
	<i>-1</i>	Missing

**Description**

Marital status is the conjugal status of each individual in relation to the marriage laws of the country (i.e. de jure status). It therefore does not necessarily correspond with the actual situation of the household in terms of co-habitation, arrangements, etc.

Some countries have a legal framework for registering partnerships (in most countries these are same-sex partnership and they have a legal status parallel to married couples). Such information has also to be treated in a harmonised way and it is proposed to treat them as married and to classify them under code 2 when the relationship still exists, otherwise as 3-5 as appropriate (legal separation or death of one of the partners or so on).

**PB200: Consensual Union**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<i>1</i> Yes, on a legal basis <i>2</i> Yes, without a legal basis <i>3</i> No
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

This variable takes into account the consensual unions with or without a legal basis, where the consensual union with a legal basis includes both married couples and registered partners. For answer modalities 1 "yes, on a legal basis" and 2 "yes, without a legal basis", both partners have to live in the same household. Modality 1 corresponds to married, legal spouses or registered partners, while modality 2 corresponds to "de facto" partners.

**PB210: Country of birth**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Constant
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<i>Country code (See Annex 2: Classification of Countries)</i>
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing

**Description**

Country of birth is defined as the country of residence of the mother at the time of birth.

To be in line with the guidelines for the implementation of the core variables in EU social surveys, the variable country of birth shall refer to the current (at the time of survey) national boundaries and not to the boundaries in place at the time of birth.

To apply this definition, information that covers only on the 'country' of birth may be insufficient. More detailed information on the locality could be required if the boundaries of the country have changed. When data are collected by interview, the respondent can be asked additional questions. When data are derived from administrative registers, it is more difficult to ensure that the recommendation is followed. If detailed information on the place of birth exists in the register, country of birth should be re-coded so that the place of birth is coded according to the current national borders.

In the case of countries that no longer exist (such as parts of the former Soviet Union or others), the present-day borders of the country should be used.

If a person was born in a place that currently belongs to a country different from the country that the place belonged to at the time of birth, the 'country' to which the place currently belongs (at the time of the survey) should be recorded.

An important exception concerns people born in a place that is now outside the national territory, but who feel that they have always been a national citizen, the country of birth should be recorded as according to this citizenship. For instance, Finnish citizens born in former Finnish territories before the end of the 2nd World War, which currently belong to Russia, the country of birth should be recorded as Finland.

**PB220A: Citizenship 1****PB220B: Citizenship 2**

<b>Domain/Area</b>	Basic data/Demographic data
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<i>Country code (See Annex 2: Classification of Countries)</i>
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (no second citizenship) - only PB220B

**Description**

Citizenship is defined as the particular legal bond between the individual and his/her State acquired by birth or naturalisation, whether by declaration, choice, option, marriage or other means according to the national legislation. It generally corresponds to the country that issues the passport.

When a person has multiple citizenship, the two main citizenships should be collected. For persons with multiple citizenship and where one citizenship is the country of residence, that citizenship should be coded.

People that have only one citizenship will be coded as -2 for PB220B.

Citizenship shall refer to the current (at the time of survey) national boundaries and not the boundaries at the time of the reference period. To apply this definition, information only on citizenship may be insufficient. More detailed information on the current country is needed if the boundaries of the country have been changed. In the case of citizenships that no longer exist, the present-day borders of the country should be used.

**PE010: Current education activity**

<b>Domain/Area</b>	Education/Current education and highest ISCED level attained
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	1 In education 2 Not in education
<b>Flags</b>	1 Filled -1 Missing

**Description**

The question is whether the person is currently participating in a formal educational programme. An educational programme, as defined under ISCED-2011, is “A coherent set or sequence of educational activities designed and organized to achieve pre-determined learning objectives or accomplish a specific set of educational tasks over a sustained period.” (UNESCO Institute for Statistics, 2012, p. 8).

The person’s participation in this programme may be on a full-time attendance basis, a part-time attendance basis or by correspondence course.

This variable only covers the formal education system (including schools, colleges and universities) that corresponds to the programmes covered by the questionnaires used in the UOE data collection (administrative data collection, common for UNESCO, OECD and Eurostat).

Formal education is defined in ISCED 2011 as “education that is institutionalised, intentional and planned through public organizations and recognised private bodies, and – in their totality – constitute the formal education system of a country. Formal education programmes are thus recognised as such by the relevant national education or equivalent authorities, e.g. any other institution in cooperation with the national or sub-national education authorities. Formal education consists mostly of initial education. Vocational education, special needs education and some parts of adult education are often recognised as being part of the formal education system.

If the interviewee is enrolled as a student or an apprentice in a programme within the formal education system the answer will be 1.

This includes modules (short programmes/courses) which may be part of a longer regular education programme that are taken and completed, providing graduates with the corresponding academic credit, independent of whether the person continues to complete the full programme or not. The level of short programmes/courses will be the same as the programme of which they form part.

For apprentices who are in a period of 'on-the-job training' or alternate 'on-the-job' and 'in-school learning' within the framework of an alternate (e.g. dual) programme, the answer is code 1, since the person is enrolled in a qualifying programme.

Persons who have begun a program of study, who are not taking part at present because of a semester or summer break, but who are intending to return to education after a semester or

summer break, should be coded as 'in education'.

The following adult programmes cannot be classified using ISCED-2011:

- vocational education organised by a firm without leading to an official qualification recognised as equivalent to the qualification of the formal education system;
- any non-formal education that does not lead to an qualification recognised as equivalent to the qualification of the formal education system;
  - individual cultural activities for leisure.

**PE020: ISCED level currently attended**

<b>Domain/Area</b>	Education/Current education and highest ISCED level attained
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<p><i>Before 2014(PB010&lt;2014)</i></p> <p>0 pre-primary education  1 primary education  2 lower secondary education  3 (upper) secondary education  4 post-secondary non tertiary education  5 first stage of tertiary education (not leading directly to an advanced research qualification)  6 second stage of tertiary education (leading to an advanced research qualification)</p> <p><i>From 2014 onwards(PB010&gt;2013)</i></p> <p>00 Early childhood education  10 Primary education  20 Lower secondary education  30 Upper secondary education (not further specified)  <b>Only for people 16-34:</b>  <b>34</b> General education  <b>35</b> Vocational education</p> <p>40 Post-secondary non tertiary education (not further specified)  <b>Only for people 16-34:</b>  <b>44</b> General education  <b>45</b> Vocational education</p> <p>50 Short cycle tertiary  60 Bachelor or equivalent  70 Master or equivalent  80 Doctorate or equivalent</p>
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PE010 not equal to 1)

**Description**

This variable is to be recorded for any person being currently in education. The education could be full-time or part-time attendance or by correspondence course. The person needs not necessarily see their main activity as being 'in education'.

If the respondent is enrolled in several educational programmes, he or she should only give information on the highest level of educational programme.

Level of education attended is recorded according to ISCED 2011 (International Standard Classification of Education) which includes 9 levels (for more information, please see <http://www.uis.unesco.org/Education/Documents/isced-2011-en.pdf>).

Only for people aged 16-34 and for ISCED levels 3 and 4, the more detailed information (on orientation of the programme) is required.

The main tool which should help in coding of national educational programmes to ISCED 2011 is the national ISCED integrated mapping, prepared by the statisticians of education. This mapping classifies in ISCED all national formal education programmes and qualifications.

**PE030: Year when highest level of education was attained**

<b>Domain/Area</b>	Education/Current education and highest ISCED level attained
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<i>year</i> (Four digits)
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable ((PE040=000 AND PB010 > 2013) OR (PE040_F=-2 AND PB010 < 2014))

**Description**

The year when the highest level of education was attained (education was successfully completed) will be specified.

See also guidelines for PE040: Highest ISCED level attained.

For a person who has never completed primary education, the variable should remain empty with the flag -2.

**PE040: Highest ISCED level attained**

<b>Domain/Area</b>	Education/Current education and highest ISCED level attained
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or register
<b>Values</b>	<p><i>Before 2014(PB010&lt;2014)</i></p> <p>0 pre-primary education  1 primary education  2 lower secondary education  3 (upper) secondary education  4 post-secondary non tertiary education  5 first stage of tertiary education (not leading directly to an advanced research qualification)  6 second stage of tertiary education (leading to an advanced research qualification)</p> <p><i>From 2014 onwards(PB010&gt;2013)</i></p> <p>000 Less than primary education  100 Primary education  200 Lower secondary education  300 Upper secondary education (not further specified)</p> <p><b>Only for people 16-34:</b>  34 General education  340 without distinction of direct access to tertiary education  342 partial level completion and without direct access to tertiary education  343 level completion, without direct access to tertiary education  344 level completion, with direct access to tertiary education</p> <p>35 Vocational education  350 without distinction of direct access to tertiary education  352 partial level completion and without direct access to tertiary education  353 level completion, without direct access to tertiary education  354 level completion, with direct access to tertiary education</p> <p>400 Post-secondary non-tertiary education (not further specified)</p> <p><b>Only for people 16-34:</b>  440 General education</p>

	<b>450 Vocational education</b>
	500 Short cycle tertiary 600 Bachelor or equivalent 700 Master or equivalent 800 Doctorate or equivalent
<b>Flags</b>	1 Filled -1 Missing -2 non applicable (the person has never been in education) can only be used <i>before 2014</i> (PB010<2014)

**Description**

The educational attainment level of an individual is the highest ISCED level successfully completed, the successful completion of educational programme being validated by a recognised qualification (or credential), i.e. a qualification officially recognized by the relevant national education authorities.

The classification to be used for this variable is the International Standard Classification of Education (ISCED 2011) which includes 9 categories for educational attainment (please see: <http://www.uis.unesco.org/Education/Documents/isced-2011-en.pdf>).

The main tool to be used for the coding of educational attainment is the national ISCED integrated mapping. This mapping classifies in ISCED all national educational programmes and formal qualifications (educational attainment).

The expression 'level successfully completed' must be associated with obtaining a certificate (qualification). Eurostat recommends for all household surveys to use "diploma approach" in the collection of data on educational attainment, e.g. to ask about the diploma obtained.

In cases where there is no certification (e.g. in primary education), successful completion must be associated with full attendance or the acquired competences to access the upper level.

When determining the highest educational level, both general and vocational education should be taken into consideration. In the case of double qualifications obtained at the same level, the most recent one should be coded for this variable.

Persons who have not completed their studies (dropped-out) should be coded according to the highest level they have successfully completed.

For all questions related to the measurement of educational attainment according to the ISCED 2011, please consult the methodological guidelines available on: <https://circabc.europa.eu/w/browse/2ac28e82-eaeb-4caf-9626-90560837a2a7>

**PH010: General health**

<b>Domain/Area</b>	Health/Self-perceived general health: How a person perceives his/her health in general	
<b>Transmission type</b>	Early and regular	
<b>Reference period</b>	Current	
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)	
<b>Mode of collection</b>	Personal interview (proxy as an exception)	
<b>Values</b>	1	Very good
	2	Good
	3	Fair
	4	Bad
	5	Very bad
<b>Flags</b>	1	Filled
	-1	Missing
	-3	Non-selected respondent

**Description**

The question corresponding to this variable is the first question of the Minimum European Health Module (MEHM). All three questions included in MEHM should be asked in the recommended order and with no inclusion of any other health status related questions before or between MEHM questions as it could have impact on results. MEHM could be introduced to respondents using a short introduction<sup>1</sup>: “I would now like to talk to you about your health”.

The measurement of self-perceived health is, by its very nature, subjective. The notion is restricted to an assessment coming from the individual and not from anyone else, whether an interviewer, healthcare professional or relative. Self-perceived health is influenced by impressions or opinions from others, but is the result after these impressions have been processed by the individual relative to their own beliefs and attitudes.

The reference is to health in general rather than the present state of health, as the question is not intended to measure temporary health problems. It is expected to include the different dimensions of health, i.e. physical, social and emotional functioning and biomedical signs and symptoms. It omits any reference to an age as respondents are not specifically asked to compare their health with others of the same age or with their own previous or future health state.

Five answers categories are proposed. Two (very good and good) are at the upper end of the scale and two (bad and very bad) are at the lower. It is also important to note that the intermediate category ‘fair’ should be translated into an appropriately neutral term (nor good, nor bad), as far as possible keeping in mind cultural interpretations, in the various languages<sup>2</sup>.

<sup>1</sup> The introduction is proposed to be used in the European Health Interview Survey (EHIS) in face-to-face mode of data collection.

<sup>2</sup> As a reference for translating answer categories for PH010 model question official translations of Commission Regulation (EU) No 141/2013 of 19 February 2013 implementing Regulation (EC) No 1338/2008 of the European Parliament and of the Council on Community statistics on public health and health and safety at work, as regards statistics based on the European Health Interview Survey (EHIS) (Annex I) can be used:

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32013R0141:EN:NOT>

For this question a proxy should be avoided and used only as an exception.

It is recommended to implement the question in the following way:

HS.1 How is your health in general? Is it...

RUNNING PROMPT

- Very good  1
- Good  2
- Fair  3
- Bad  4
- Very bad  5

(and possibly:

- Don't know  8
- Refusal to answer  9)

### PH020: Suffer from any chronic (long-standing) illness or condition

<b>Domain/Area</b>	Health/ Long-standing health problem: Suffer from any illness or health problem of a duration of at least six months
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception)
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing -3 Non-selected respondent

#### Description

The question corresponding to this variable is part of the Minimum European Health Module (MEHM). It should be asked just after the PH010 question and just before the PH030 question. It should not be used as a filter question for the PH030 variable.

It is necessary to keep in mind that the recommended wording contains 'alternatives'. For instance:

- 'chronic' or 'longstanding' should be chosen according to what is 'best understood' in a country/language.
- it is intended to ask if people 'have' a chronic condition, not if they really suffer from it. But it seems that in some countries/languages it would be strange to use the word 'have' and that the verb 'suffer' means the same as 'have'.
- 'health problem' seems not to be understood in some countries/languages and therefore 'illness or condition' is the alternative.

The words "disability, handicap, impairment" should not be included in the question as synonyms for "illness or health problem".

The main characteristics of a chronic condition are that it is permanent and may be expected to require a long period of supervision, observation or care. Longstanding illnesses or health problems should have lasted (or recurred) or are expected to last (recur) for 6 months or more; therefore temporary problems are not of interest.

Rather than adding further details to the question wording, interviewees should be instructed to be as inclusive as possible in answering the question. This means that the following would all be included:

- problems that are seasonal or intermittent, even where they 'flare up' for less than six months at a time (for instance allergies);
- chronic problems not considered by the respondent as very serious; severity doesn't play a role in this variable;
- problems that have not been diagnosed by a doctor (to exclude these would mean permitting those with better access to medical services to declare more problems);
- a longstanding disease that doesn't bother the respondent and/or is kept under control with medication (for instance people with a high blood pressure);
- not only problems of ill-health or diseases but also pain as well as ill-health caused by

injuries/accidents, congenital conditions, birth defects, etc.

Specification of the concepts presented above or stating concrete examples of diseases or chronic conditions in the question should be avoided.

For this question a proxy should be limited as much as possible but is allowed.

It is recommended to implement the question in the following way:

HS.2 Do you have any longstanding illness or health problem?

- Yes  1
- No <sup>1</sup>  2

(and possibly:

- Don't know  8
- Refusal  9)

---

<sup>1</sup> If in some languages the wording 'longstanding illness or health problem' was difficult to translate and implement, the following wording of the question could be introduced: '*Do you have any longstanding illness or longstanding health problem? By longstanding I mean illnesses or health problems which have lasted, or are expected to last, for 6 months or more*'. It would be useful to test first the effect of this addition to the question. Depending on results, the wording may be added to the national question or only included in the instructions for the interviewers, etc. The translation and testing should be coordinated with the national EHIS team.

**PH030: Limitation in activities because of health problems**

*[General activity limitation: Limitation in activities people usually do because of health problems for at least the past six months]*

<b>Domain/Area</b>	Health/Health, including health status and chronic illness or condition
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception)
<b>Values</b>	1 Yes, strongly limited 2 Yes, limited 3 No, not limited
<b>Flags</b>	1 Filled -1 Missing -3 Non-selected respondent

**Description**

The model question is part of the Minimum European Health Module (MEHM). It should be asked just after the PH020 question and should not be filtered by the PH020 question.

The purpose of the instrument is to measure the presence of long-standing limitations, as the consequences of such long-standing limitations (e.g. care, dependency) are more serious.

The variable measures the respondent's self-assessment of whether he/she is hampered in "activities people usually do", by any on-going physical or mental health problem, illness or disability. As for PH020 consequences of injuries/accidents, congenital conditions and birth defects, etc., shall be covered.

An activity is defined as: 'the performance of a task or action by an individual' and thus activity limitations are defined as 'the difficulties the individual experience in performing an activity'.

Limitations should be due to a health-related cause and it is not meant to measure limitations due to financial, cultural or other none health-related causes.

People with longstanding limitations due to health problems have passed through a process of adaptation which may have resulted in a reduction of their activities. To identify existing limitations a reference is necessary and therefore the activity limitations are assessed against a generally accepted population standard, relative to cultural and social expectations by referring only to activities people usually do. The question should clearly show that the reference is to the activities people usually do and not to the own activities. Neither a list with examples of activities nor a reference to the age group of the subject is included in the question. This is a self-perceived health question and gives no restrictions by culture, age, gender or the subjects own ambition.

Specification of health concepts (e.g. physical and mental health) should be avoided.

The period of at least the past 6 months is strictly related to the duration of the activity limitation and not of the health problem. The limitations must have started at least six months ago and still exist at the moment of the interview. This means that a positive answer

("severely limited" or "limited but not severely") should be recorded only if the person is currently limited and has been limited in activities for at least the past 6 months.

New limitations which have not yet lasted 6 months but are expected to continue for more than 6 months shall not be taken into consideration (opposite to PH020). The reason is that for long-standing diseases or health problems it is in general established from medical knowledge about diseases/illness whether they are longstanding or not. If a person is diagnosed having, e.g., diabetes, he/she knows from the first day that it is not curable, so long-standing. At this stage he/she also knows that it may be controlled or not so it might have consequences or not but he/she doesn't know yet about it. Consequently, for the consequences it is a matter of experience from the individual, whether his or her diabetes will have disabling consequences. Only past experience can provide the answer.

The response categories include 3 levels to better differentiate severity. 'Severely' means that performing or accomplish an activity - that people usually do – can hardly be done or only with extreme difficulty.

For this question a proxy should be limited as much as possible but is allowed.

It is recommended that this question is implemented in the following way:

HS.3 For at least the past six months, to what extent have you been limited because of a health problem in activities people usually do?

Would you say you have been ...

**RUNNING PROMPT**

- Severely limited  1
- Limited but not severely or  2
- Not limited at all?  3

(and possibly:

- Don't know  8
- Refusal  9)

This adapts the terms of the SILC questions by changing "strongly" into "severely".

**PH040: Unmet need for medical examination or treatment [Unmet need for medical examination or treatment during the last 12 months]**

<b>Domain/Area</b>	Health/Access to health care
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Past 12 months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception)
<b>Values</b>	1 Yes, there was at least one occasion when the person really needed examination or treatment but did not receive it 2 No, there was no occasion when the person really needed examination or treatment but did not receive it
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable: the person did not really need any medical examination or treatment -3 Non-selected respondent

**Description**

There were very large differences between the EU countries in terms of the proportion of people with free access to health care. In countries where all or nearly all persons are covered, access to health care may still be limited by the existence of waiting lists and other forms of rationing.

The aim of the variable is to capture the restricted access to medical care via the person's own assessment of whether he or she needed medical examination or treatment, but didn't get it, experienced a delay in getting it or didn't seek for it.

Delay in getting care can be treated as unmet need if considered by respondents as important. However, a specification of time reference between emerging the need for the service and the time of having the service is not possible as for different health conditions/problems different time references would be needed. It is up to respondents to consider if the delay was too long and if they consider it as unmet need.

Medical care refers to individual health care services (medical examination or treatment) provided by or under direct supervision of medical doctors (ISCO-08 code 221 group on general and specialist medical practitioners), traditional and complementary medical professionals (ISCO-08 code 2230) or equivalent professions according to national health care systems.

**Included:**

- medical mental health care;
- prevention if perceived by respondents as important. For example, a national health care system guarantees regular preventive medical check-ups but the respondent is not able to make an appointment and perceives the situation as jeopardizing his/her health.

**Excluded:**

- self-medication (taking prescribed or non-prescribed drugs);

- dental care.

Care provided for different purposes (curative, rehabilitative, long-term health care) and by different modes of provision (inpatient, outpatient, day, and home care) should all be included.

It is recommended that the question is implemented in the following way:

**PH040\_Q1: Was there any time during the past 12 months when you really needed medical examination or treatment (excluding dental) for yourself?**

Yes (I really needed at least at one occasion medical examination or treatment)  1

No (I did not need any medical examination or treatment)  2

**FILTER:** If PH040\_Q1 = 1 then GO TO PH040\_Q2. Else GO TO PH060\_Q1.

**PH040\_Q2: Did you have a medical examination or treatment each time you really needed?**

Yes (I had a medical examination or treatment each time I needed)  1

No (there was at least one occasion when I did not have a medical examination or treatment)  2

**FILTER:** If PH040\_Q2 = 2 then GO TO PH050\_Q1. Else GO TO PH060\_Q1.

**Recommendations on the model question(s):**

- In order to ensure that only relevant health-state-related needs (health problems) are taken into account (in situations perceived by respondent as worrying or possibly causing additional health problems or further significantly deteriorating his/her health), the question should include 'really' (... when you really needed ...);
- In order to make sure that only consultations needed on the person's own behalf rather than on behalf of children, spouse, etc., the question should include 'for yourself';
- Both 'examination and treatment' shall be asked as both terms might be perceived differently by the respondents and the intention is to include all contacts with medical professionals (including diagnostic and preventive check-ups);
- Not to include any other questions related to unmet needs before or between the model questions;
- To follow the proposed order of all the questions and the answer categories;
- Depending on the national context, the model question can explicitly ask for exclusion of dental examination or treatment if there is a worry that respondents could consider it as part of medical care. This should especially be taken in account when questions on unmet needs for medical care are asked before questions on unmet needs for dental care.

**Construction of PH040 variable from the model questions:**

- PH040 = 1 if PH040\_Q1 = 1 and PH040\_Q2 = 2
- PH040 = 2 if PH040\_Q1 = 1 and PH040\_Q2 = 1
- PH040 = missing and flag -2 if PH040\_Q1 = 2.

**PH050: Main reason for unmet need for medical examination or treatment**

<b>Domain/Area</b>	Health/Access to health care
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Past 12 months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception)
<b>Values</b>	<i>1</i> Could not afford to (too expensive) <i>2</i> Waiting list <i>3</i> Could not take time because of work, care for children or for others <i>4</i> Too far to travel/no means of transportation <i>5</i> Fear of doctor/hospitals/examination/ treatment <i>6</i> Wanted to wait and see if problem got better on its own <i>7</i> Didn't know any good doctor or specialist <i>8</i> Other reasons
<b>Flags</b>	<i>1</i> Filled -1 Missing -2 Not applicable (PH040 not equal to 1) -3 Non-selected respondent

**Description**

This is a follow-up variable to the previous one. It aims to capture the dimension of restricted access to health care by including not only formal health care coverage (by insurance or universal coverage), but also restrictions due to rationing, waiting lists, the ability to afford care, and other reasons.

It is recommended that the question is implemented in the following way:

**PH050\_Q1: What was the main reason for not having a medical examination or treatment?**

- |  |                          |          |
|--|--------------------------|----------|
| Could not afford to (too expensive)                                  | <input type="checkbox"/> | <b>1</b> |
| Waiting list   | <input type="checkbox"/> | <b>2</b> |
| Could not take time because of work, care for children or for others | <input type="checkbox"/> | <b>3</b> |
| Too far to travel or no means of transportation                      | <input type="checkbox"/> | <b>4</b> |
| Fear of medical doctors, hospitals, examination or treatment         | <input type="checkbox"/> | <b>5</b> |
| Wanted to wait and see if problem got better on its own              | <input type="checkbox"/> | <b>6</b> |
| Didn't know any good medical doctor                                  | <input type="checkbox"/> | <b>7</b> |
| Other reasons  | <input type="checkbox"/> | <b>8</b> |

Recommendations on the model question(s):

- To follow the proposed order of the answer categories;
- All the answer categories are recommended to be read during the interview (to be sure that the main reason is answered based on all possible options).

Explanations for the reasons of unmet needs:

- **Could not afford to (too expensive):**
  - The issue on the perception of “Could not afford to (too expensive)” should be tackled in order to not to include interpretations about “too expensive” which are relative (more expensive than before, etc.) but relate only to the fact that the person could not pay the price, not having money enough for this;
  - The fact that the price is not covered by an insurance fund is in particular an important element to be taken into account and coded under this answer category if the respondent could not afford to pay for the treatment/examination himself or herself.
- **Waiting list:**
  - This answer is to be used for people who were actually on a waiting list and, at the same time, were not helped even though the need for care was urgent, for respondents experiencing delay in getting appointment soon enough to meet their need of care, as well as for respondents who were discouraged from seeking care because of perceptions of the long waiting times;
  - Excluded: waiting time to see a doctor on day of appointment (the time spend in the waiting room), being on waiting list for planned (non-urgent) care if the need is not seen as urgent;
- **Too far to travel or no means of transportation:**
  - Excluded: could not afford the cost of transport.

**PH060: Unmet need for dental examination or treatment [Unmet need for dental examination or treatment during the last 12 months]**

<b>Domain/Area</b>	Health/Access to healthcare
<b>Transmission type</b>	Regular
<b>Reference period</b>	Past12 months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception)
<b>Values</b>	1 Yes, there was at least one occasion when the person really needed dental examination or treatment but did not receive it 2 No, there was no occasion when the person really needed dental examination or treatment but did not receive it
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable: the person did not really need any dental examination or treatment -3 Non-selected respondent

**Description**

There were very large differences between the EU countries in terms of the proportion of people with free access to dental care. In countries where all or nearly all persons are covered, access to health care may still be limited by the existence of waiting lists and other forms of rationing.

The aim of the variable is to capture unmet needs for dental care via the person's own assessment of whether he or she needed dental examination or treatment, but didn't get it, experienced a delay in getting it or didn't seek for it.

Delay in getting care can be treated as unmet need if considered by respondents as important. However, a specification of time reference between emerging the need for the service and the time of having the service is not possible as for different health conditions/problems different time references would be needed. It is up to respondents to consider if the delay was too long and if they consider it as unmet need.

Dental care refers to individual health care services provided by or under direct supervision of stomatologists (dentists) (ISCO-08 code 2261). Health care provided by orthodontists is included.

**Included:**

- prevention if perceived by respondents as important. For example, a national health care system guarantees regular preventive medical check-ups but the respondent is not able to make an appointment and perceives the situation as jeopardizing his/her health.

**Excluded:**

- self-medication (taking prescribed or non-prescribed drugs);
- medical care.

It is recommended that the question is implemented in the following way:

**PH060\_Q1: Was there any time during the past 12 months when you really needed dental examination or treatment for yourself?**

- Yes (I really needed at least at one occasion dental examination or treatment)  1  
No (I did not need any dental examination or treatment)  2

**FILTER:** If PH060\_Q1 = 1 then GO TO PH060\_Q2. Else GO TO [next module].

**PH060\_Q2: Did you have a dental examination or treatment each time you really needed?**

- Yes (I had a dental examination or treatment each time I needed)  1  
No (there was at least one occasion when I did not have a dental examination or treatment)  2

**FILTER:** If PH060\_Q2 = 2 then GO TO PH070\_Q1. Else GO TO [next module].

**Recommendations on the model question(s):**

- In order to ensure that only relevant dental health needs are taken into account (in situations perceived by respondent as worrying or possibly causing additional health problems or further significantly deteriorating his/her dental health), the question should include 'really' (... when you really needed to consult...);
- In order to make sure that only consultations needed on the person's own behalf rather than on behalf of children, spouse, etc., the question should include 'for yourself';
- Both 'examination and treatment' shall be asked as both terms might be perceived differently by the respondents and the intention is to include all contacts with dental professionals (including diagnostic and preventive check-ups);
- Not to include any other questions related to unmet needs before or between the model questions;
- To follow the proposed order of all the questions and the answer categories.

**Construction of PH060 variable:**

- PH060 = 1 if PH060\_Q1 = 1 and PH060\_Q2 = 2
- PH060 = 2 if PH060\_Q1 = 1 and PH060\_Q2 = 1
- PH060 = missing and flag -2 if PH060\_Q1 = 2

**PH070: Main reason for unmet need for dental examination or treatment**

<b>Domain/Area</b>	Health/Access to healthcare
<b>Transmission type</b>	Regular
<b>Reference period</b>	Past 12 months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception)
<b>Values</b>	<i>1</i> Could not afford to (too expensive) <i>2</i> Waiting list <i>3</i> Could not take time because of work, care for children or for others <i>4</i> Too far to travel/no means of transportation <i>5</i> Fear of doctor(dentist)/hospitals/examination/ treatment <i>6</i> Wanted to wait and see if problem got better on its own <i>7</i> Didn't know any good dentist <i>8</i> Other reasons
<b>Flags</b>	<i>1</i> Filled -1 Missing -2 Not applicable (PH060 not equal to 1) -3 Non-selected respondent

**Description**

This is a follow-up question to the previous one. It aims to capture the dimension of restricted access to dental care by including not only formal health care coverage (by insurance or universal coverage), but also restrictions due to rationing, waiting lists, the ability to afford care, and other reasons.

It is recommended that the question is implemented in the following way:

**PH070\_Q1: What was the main reason for not having a dental examination or treatment?**

- |   |                          |          |
|---|--------------------------|----------|
| <b>Could not afford to (too expensive)</b>                                  | <input type="checkbox"/> | <b>1</b> |
| <b>Waiting list</b>   | <input type="checkbox"/> | <b>2</b> |
| <b>Could not take time because of work, care for children or for others</b> | <input type="checkbox"/> | <b>3</b> |
| <b>Too far to travel or no means of transportation</b>                      | <input type="checkbox"/> | <b>4</b> |
| <b>Fear of dentists, hospitals, examination or treatment</b>                | <input type="checkbox"/> | <b>5</b> |
| <b>Wanted to wait and see if problem got better on its own</b>              | <input type="checkbox"/> | <b>6</b> |
| <b>Didn't know any good dentist</b>   | <input type="checkbox"/> | <b>7</b> |
| <b>Other reasons</b>  | <input type="checkbox"/> | <b>8</b> |

**Recommendations on the model question(s):**

- To follow the proposed order of the answer categories;
- All the answer categories are recommended to be read during the interview (to be sure that the main reason is answered based on all possible options).

**Explanations for the reasons of unmet needs:**

- **Could not afford to (too expensive):**
  - The issue on the perception of “Could not afford to (too expensive)” should be tackled in order to not to include interpretations about “too expensive” which are relative (more expensive than before, etc.) but relate only to the fact that the person could not pay the price, not having money enough for this;
  - The fact that the price is not covered by an insurance fund is in particular an important element to be taken into account and coded under this answer category if the respondent could not afford to pay for the treatment/examination himself or herself;
- **Waiting list:**
  - This answer is to be used for people who were actually on a waiting list and, at the same time, were not helped even though the need for care was urgent, for respondents experiencing delay in getting appointment soon enough to meet their need of care, as well as for respondents who were discouraged from seeking care because of perceptions of the long waiting times;
  - Excluded: waiting time to see a dentist or on day of appointment (the time spend in the waiting room), being on waiting list for planned (non-urgent) care if the need is not seen as urgent;
- **Too far to travel or no means of transportation:**
  - Excluded: could not afford the cost of transport.

**PL015: Whether person has ever worked**

<b>Domain/Area</b>	Labour information/Basic labour information on current and past activity status
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or registers
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PL031 = 1, 2, 3 or 4)

**Description**

Vacation jobs taken by students, from which they return to studies or to other non-work situations are disregarded, as well as any other casual job undertaken from time to time. Part-time jobs that the person may have engaged in while still in school or university are not included. However, if the person works or has worked in formal regular work, during his/her studies, this work should be considered.

Normally, having ever worked refers to persons who have worked on a full or part-time time basis for at least six months.

**PL020: Actively looking for a job** [*Actively looking for a job in the previous four weeks*]

<b>Domain/Area</b>	Labour information/Basic labour information on current activity status
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Past four weeks
<b>Unit</b>	All current household members aged between 16 and the standard retirement age
<b>Mode of collection</b>	Personal interview, proxy or registers
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PL031 = 1, 2, 3 or 4 or older than the standard retirement age)

**Description**

This variable only applies to persons not currently working, where "working" refers to the self-defined status as recorded in PL031: Self-defined current economic status.

However, people above the standard retirement age are not covered by this variable. In these cases, the variable is coded as -2.

The period of reference for this variable is the past four weeks ending with the reference week.

The answer will be 'yes' if the person has been actively looking for a job over the past four weeks.

The answer 'yes' should be recorded only if the person has used an active method for seeking a job. Passive methods should be coded as 'no'.

Education and training are considered as ways of improving employability but not as methods of seeking work.

Persons who found a job that began later, i.e. within a period of at least three months should be coded 'yes'.

Active methods for looking for a job:

- Having been in contact with a public employment office to find work, whoever took the initiative (renewing registration for administrative reasons only is not an active step);
- Having been in contact with a private agency (temporary work agency, firm specialising in recruitment, etc.) to find work;
- Applying to employers directly;
- Asking among friends, relatives, unions, etc., to find work;
- Placing or answering job advertisements;
- Studying job advertisements;
- Taking a recruitment test or examination or being interviewed;
- Looking for land, premises or equipment;
- Applying for permits, licences or financial resources.

**PL025: Available for work** [*Are you available for work in the next two weeks*]

<b>Domain/Area</b>	Labour information/Basic labour information on current activity status
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or registers
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 filled -1 Missing -2 Not applicable (PL020 not equal to 1)

**Description**

This covers a person that is currently available for work, i.e. were available for paid employment or self-employment before the end of the two weeks following the reference week.

'Currently available' means that if a job were found at the time of the interview, the person would be able to start working within two weeks. Testing for availability in the two weeks after the interview is considered more appropriate than testing during the reference week, because some persons may be unavailable for work during the reference week due to obstacles that might have been overcome had they known that a job was available to them.

Persons who found a job to start later, i.e. within a period of at least three months, should be coded 'yes'.

**PL031: Self-defined current economic status**

<b>Domain/Area</b>	Labour information/Basic labour information on current activity status and on current job	
<b>Transmission type</b>	Early and regular	
<b>Reference period</b>	Current	
<b>Unit</b>	All current household members aged 16 and over	
<b>Mode of collection</b>	Personal interview, proxy or registers	
<b>Values</b>	1	Employee working full-time
	2	Employee working part-time
	3	Self-employed working full-time (including family worker)
	4	Self-employed working part-time (including family worker)
	5	Unemployed
	6	Pupil, student, further training, unpaid work experience
	7	In retirement or in early retirement or has given up business
	8	Permanently disabled or/and unfit to work
	9	<del>In compulsory military or community service</del>
	10	Fulfilling domestic tasks and care responsibilities
	11	Other inactive person
<b>Flags</b>	1	Filled
	-1	Missing

**Deleted:** In compulsory military community or service

**Description**

This variable replaces, from the 2009 operation onwards, the variable PL030 defined in the EU-SILC Regulation<sup>1</sup>.

**The self-declared current ‘main activity status’:** The concept of ‘current’ implies that any definitive changes in the activity situation are taken into account. For instance, if a person has lost a job or has retired recently, or the activity status has otherwise changed in a definitive manner, then the situation as of the time of the interview should be reported. In this sense, ‘current’ overrides any concept of averaging over any specific reference period.

The target variable captures the person’s own perception of their main activity at present. It differs from the ILO concept to the extent that people’s own perception of their main status differs from the strict definitions used in the ILO definitions. For instance, many people who would regard themselves as full-time students or homemakers may be classified as ILO-employed if they have a part-time job. Similarly, some people who consider themselves ‘unemployed’ may not meet the strict ILO criteria of taking active steps to find work and being immediately available.

The self-declared main activity status is, in principle, determined on the basis of how most time is spent, but no criteria have been specified explicitly.

If the person combines different part-time jobs as an employee that result in the equivalent hours of a full-time job, the person should consider his/herself as employee working full time (modality 1). The same holds if the person has a main job as an employee and an additional

<sup>1</sup> An agreement was reached during the Living Conditions Working Group meeting in June 2008 that the variable PL030 will be replaced by the variable PL031 with slightly different answering categories in order to harmonise labour variables. In 2010, the LC WG agreed that from the 2011 operation onwards, they would suppress PL030 and retain only PL031.

"small" (in terms of hours) second job as a self-employed person, both jobs being remunerated in what would be considered, together, as the remuneration for a full-time equivalent role.

**Work:** 'Work' means any work for pay or profit. Pay includes cash payments or 'payment in kind' (payment in goods or services rather than money).

Self-employed persons with a business, farm or professional practice are also considered to be working if one of the following applies:

- A person works in his own business, professional practice or farm for the purpose of earning a profit, even if the enterprise is failing to make a profit;
- A person spends time on the operation of a business, professional practice or farm even if no sales were made, no professional services were rendered, or nothing was actually produced (for example, a farmer who engages in farm maintenance activities; an architect who spends time waiting for clients in his/her office; a fisherman who repairs his boat or nets for future operations; a person who attends a convention or seminar);
- A person is in the process of setting up a business, farm or professional practice; this includes the buying or installing of equipment, and ordering of supplies in preparation for opening a new business;
- An unpaid family worker is said to be working if the work contributes directly to a business, farm or professional practice owned or operated by a related member of the same household.

Seasonal workers: During the off-season, seasonal workers cannot be considered as having a formal attachment to their high-season job—because they do not continue to receive a wage or salary from their employer even though they may have an assurance of return to work.

Maternity and paternity leave: Maternity leave is first given to the mother (but may include the leave of the father in the case of a transfer of the entitlements) and corresponds to the compulsory period of the leave stipulated by national legislation to ensure that mothers have sufficient rest, before and after childbirth, or for a period that is specified according to national circumstances.

People on maternity leave should always be considered as working.

The idea of having an additional category in the national questionnaire is seen as good practice.

Parental leave: Parental leave can be taken either by the mother or the father and is the interruption of work in the case of childbirth or bringing up a child of a young age. It corresponds to the period when parents receive "parental leave benefit". People on full-time parental leave should be treated as not working.

Layoffs: A person who is laid off is one whose written or unwritten contract of employment, or activity, has been suspended by the employer for a specified or unspecified period at the end of which the person concerned has a recognised right or recognised expectation to recover employment with that employer.

Layoffs are classified as working if they receive  $\geq 50\%$  of their wage or salary from their employer or have an assurance of return to work within a period of three months.

Employee: Employees are defined as persons who work for a public or private employer and

who receive compensation in the form of wages, salaries, fees, gratuities, payment by results or payment in kind; non-conscripted members of the armed forces are also included.

An employee is usually working for an outside employer, but a son or daughter, for example, who is working in a parent's firm and receives a regular monetary wage is classified here as an employee.

- A woman looking after children in her own home is classified as an employee if she is paid to do this by the local authority (or any other public administration) and if she doesn't take any decision affecting the enterprise (e.g. schedules or number of children). She is classified as self-employed if she undertakes such work privately.
- Apprentices, or trainees receiving remuneration should be considered as employees.
- Priests (of any kind of religion) are considered as employees
- Persons who are simultaneously working in their own professional practice and for a public or private employer (e.g. doctors with their own practice and working in a hospital) should be classified according to the where they work the greater number of hours.

**Self-employed:** *Self-employed* persons are defined as persons who work in their own business, professional practice or farm for the purpose of earning a profit.

Members of producers' co-operatives should be considered as self-employed if in the co-operative, each member takes part on an equal footing with other members in determining the organisation of production, sales and/or other work of the establishment, the investments and the distribution of the proceeds of the establishment amongst their members.

**Family worker:** Family workers are persons who help another member of the family run an agricultural holding or other business, provided they are not considered as employees.

Persons working in a family business or on a family farm without pay should be living in the same household as the owner of the business or farm, or in a slightly broader interpretation, in a house located on the same plot of land and with common household interests. Such people frequently receive remuneration in the form of fringe benefits and payments in kind. However, this applies only when the business is owned or operated by the individual themselves or by a relative. Thus, unpaid voluntary work undertaken for charity should not be included.

This category includes:

- A son or daughter working in the parents' business or on the parents' farm without pay;
- A wife who assists her husband in his business, e.g. a haulage contractor, without receiving any formal pay;

**Full-time/part-time:** The distinction between full-time and part-time work should be made on the basis of a spontaneous answer provided by the respondent. It is impossible to establish a more exact distinction between part-time and full-time work, due to variations in working hours between Member States and also between branches of industry. By checking the answer with the number of hours usually worked, it should be possible to detect and even to correct implausible answers, since part-time work will hardly ever exceed 35 hours, while full-time work will usually start at about 30 hours.

As mentioned above, if the person combines different part-time jobs as an employee that amount together to the equivalent of full-time work, the person should consider his/herself as employee working full-time.

**Retirement, early retirement:** See RB170: Main activity status during the income reference period

**PL035: Worked at least one hour during the previous week**

<b>Domain/Area</b>	Labour information/Basic labour information on current activity status and on current job	
<b>Transmission type</b>	Regular	
<b>Reference period</b>	Previous week	
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)	
<b>Mode of collection</b>	Personal interview, proxy or registers	
<b>Values</b>	1	Yes
	2	No
<b>Flags</b>	1	Filled
	-1	Missing
	-2	Not applicable (person is not employee or MS has other source to calculate the gender pay gap)
	-3	Non-selected respondent

**Description**

A person is considered as **working** if he/she did any work for pay or profit during the reference week or if he/she was not working but had a job or business from which he/she was absent during the reference week.

***Did any work for pay or profit during the reference week (LFS definition)***

'Work' means any work for pay or profit during the reference week, even for as little as one hour. Pay includes cash payments or "payment in kind" (payment in goods or services rather than money), whether payment was received in the week the work was done or not. Anyone who receives wages for on-the-job training which involves the production of goods or services is also counted as working. Self-employed persons with a business, farm or professional practice are also considered to be working if one of the following applies:

- A person works in his own business, professional practice or farm for the purpose of earning a profit, even if the enterprise is failing to make a profit;
- A person spends time on the operation of a business, professional practice or farm even if no sales were made, no professional services were rendered, or nothing was actually produced (for example, a farmer who engages in farm maintenance activities; an architect who spends time waiting for clients in his/her office; a fisherman who repairs his boat or nets for future operations; a person who attends a convention or seminar);
- A person is in the process of setting up a business, farm or professional practice; this includes the buying or installing of equipment, and ordering of supplies in preparation for opening a new business. An unpaid family worker is said to be working if the work contributes directly to a business, farm or professional practice owned or operated by a related member of the same household. Unpaid family work is any task that directly contributes to the operation of the family farm or business.

*Conscripts performing some work for pay or profit during the reference week or not should always be coded 2.*

*Persons who work on their own small agriculture farm, who do not sell their products, but produce only for their own consumption should be coded 2*

The classification as to employment is made; then, with regards as to whether code 1 should be ticked, depends on whether it falls within the production boundaries. When this production is included in the Member State's national accounts, the underlying employment must be identified. This depends on the relative quantitative importance of the production of agricultural products for country's own consumption in relation to the total supply of these products in a country (ESA 3.08).

***Was not working but had a job or business from which he/she was absent during the reference week (LFS definition)***

*(all the cases below are considered as "working")*

*Employees*

A job exists if there is a definite and pre-scheduled arrangement between an employer and employee for regular work (that is, every week or every month), regardless as to whether the work is full-time or part-time. The number of hours of work done each week or each month may vary considerably, but as long as some work is done on a regular and scheduled basis, a job is considered to exist.

*Long-term absence from work.*

If the total absence from work (measured from the last day of work to the day on which the paid worker will return) has exceeded three months, then a person is considered to have a job only if he/she continues to receive 50% of their wage or salary from their employer. If this is not the case, they should be coded 2 in PL035.

*Seasonal workers*

Off-season, seasonal workers cannot be considered as having a formal attachment to their high-season job—because they do not continue to receive a wage or salary from their employer although they may have an assurance that they can return to work when high season returns. If they are not at work during off-season, they should be coded 2 in PL035.

*Maternity and paternity leave*

Maternity leave is first given to the mother (but may include the leave of the father in the case of a transfer of the entitlements) and corresponds to the compulsory period of the leave stipulated by national legislation to ensure that mothers have sufficient rest before and after childbirth, or for a period to be specified according to national circumstances.

Parental leave can be taken either by the mother or the father and is the interruption of work in the case of childbirth or to bring up a child of young age. It should correspond to the period when parents receive "parental leave benefit".

People on maternity leave should always be coded 1 in PL035.

People on full-time parental leave should be treated as a case of long-term absence from work.

*For unpaid family workers*

The unpaid family worker can be said to have a job (code 1 in PL035) even if they are not at work if there is a definite commitment by the employer (a related household member) to

accept his/her return to work and the total absence does not exceed a period of three months. On this point, Eurostat diverges from the ILO recommendation. If the period of absence exceeds three months persons should be coded 2 in PL035.

*For self-employed persons*

If self-employed persons are classified as being absent from work, then they are regarded as being in employment (code 1 in PL035) only if they can be said to have a business, farm or professional practice. This is the case if one or more of the following conditions are met:

- Machinery or equipment of significant value, in which the person has invested money, is used by him or his employees in conducting his business;
- An office, store, farm or other place of business is maintained;
- There has been some advertisement of the business or profession by listing the business in the telephone book, displaying a sign, distributing cards or leaflets, etc;

If none of these conditions is met, then the person is regarded as not being in employment and therefore should be coded 2 in PL035.

*Was not working because on lay-off*

A person on lay-off is one whose written or unwritten contract of employment, or activity, has been suspended by the employer for a specified or unspecified period at the end of which the person concerned has a recognised right or recognised expectation to recover employment with that employer.

A lay-off is classified as employment (code 1 in PL035) if the person receives 50% of their wage or salary from their employer or has an assurance of return to work within a period of three months.

A lay-off is classified as unemployment (code 2 in PL035) if the person receives less than 50% of their wage or salary from their employer, doesn't have assurance of return to work or has an agreed date of return for which the date of return falls after a period of three months and if the person is "available to start work in two weeks" and has "searched for a job in the last four weeks".

Persons who find a job to start in the future should always be coded 2 in PL035.

*Slack work for technical or economic reasons*

A person in slack work for technical or economic reasons should have a formal attachment to his/her job and should be coded 1 in PL035.

**PL040: Status in employment**

<b>Domain/Area</b>	Labour information/Basic labour information on current activity status and on current main job, including information on last main job for previously active people
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current/last situation
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or registers
<b>Values</b>	1 Self-employed with employees 2 Self-employed without employees 3 Employee 4 Family worker
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PL015 not equal to 1 and PL031 not equal to 1,2,3 or 4)

**Description**

This variable refers to the main job, namely the current main job for people at work (PL031 = 1, 2, 3 or 4) or the last main job for people who do not have a job (PL031 not = 1, 2, 3 or 4 and PL015 = 1).

If multiple jobs are held or were held, the main job should be the one with the greatest number of hours usually worked.

**Self-employed with employees:** Self-employed persons with employees are defined as persons who work in their own business, professional practice or farm for the purpose of earning a profit, and who employ at least one other person.

If people working in the business, professional practice or farm, are not paid then he/she should be considered as being self-employed without staff.

**Self-employed without employees:** Self-employed persons without employees are defined as persons who work in their own business, professional practice or farm for the purpose of earning a profit, and who do not employ any other person.

Nevertheless he/she may engage members of his/her own family or apprenticed without payment. In this category one can find farmers working alone or using the assistance of members of family.

In particular:

- A woman who looks after one or more children that are not her own on a private basis and who receives payment for this service is a self-employed;
- A freelancer should be classified as self-employed, although a person who has been regularly retained by a single employer for some time may also be regarded as an employee.

**Employee:** Employees are defined as persons who work for a public or private employer and who receive compensation in the form of wages, salaries, fees, gratuities, payment by results or payment in kind; non-conscripted members of the armed forces are also included.

An employee is usually working for an outside employer, but a son or daughter, for example, who is working in a parent's firm and receives a regular monetary wage is classified here as an employee.

- A woman looking after children in her own home is classified as an employee if she is paid to do this by the local authority (or any other public administration) and if she doesn't take any decision affecting the enterprise (e.g. schedules or number of children) but as a self-employed if she does it privately;
- Apprentices, or trainees receiving remuneration should be considered as employees;
- Priests (of any kind of religion) are considered as employees;
- Persons who are simultaneously working in their own professional practice and for a public or private employer (e.g. doctors with their own cabinet and working in a hospital) should be classified according to the status where they work the longer number of hours.

**Family worker:** Family workers are persons who help another member of the family to run an agricultural holding or other business, provided they are not considered as employees.

Persons working in a family business or on a family farm without pay should be living in the same household as the owner of the business or farm, or in a slightly broader interpretation, in a house located on the same plot of land and with common household interests. Such people frequently receive remuneration in the form of fringe benefits and payments in kind. However, this applies only when the business is owned or operated by the individual themselves or by a relative. Thus, unpaid voluntary work undertaken for charity should not be included.

This category includes:

- A son or daughter working in the parents' business or on the parents' farm without pay;
- A wife who assists her husband in his business, e.g. a haulage contractor, without receiving any formal pay.

**Members of producers' co-operatives:** Members of producers' co-operatives should be considered as self-employed if in the co-operative, each member takes part on an equal footing with other members in determining the organisation of production, sales and/or other work of the establishment, the investments and the distribution of the proceeds of the establishment amongst their members.

In the case of co-operative hired workers, these workers have an employment contract that gives them a basic remuneration (which is not directly dependent upon the revenue of the co-operative) and these workers are identified as employees of the co-operative.

Even if the co-operative has employees (e.g. an accountant), the members of the co-operative should be considered as "self-employed without employees" because the co-operative as an institution (and not any of its members) is the employer.

**PL051: Occupation (ISCO-08 (COM))**

<b>Domain/Area</b>	Labour information/Basic labour information on current activity status and on current main job, including information on last main job for <del>unemployed</del> previously active people
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current/last situation
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or registers
<b>Values</b>	<i>ISCO Code 08</i> (2 digits / see Annex 4: ISCO: International Standard Classification of Occupations)
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PL015 not equal to 1)

**Description**

The EU-SILC Regulation refers to the classification ISCO-88. However, from the 2011 operation onwards, the classification ISCO-08 should be used<sup>1</sup>. For the 2011 operation, coding according to both classifications ISCO-88 and ISCO-08 was conducted but no back-casting was required. The double reporting should only be performed for 2011. From the 2012 operation onwards, only the new classification ISCO-08 should be used.

This variable refers to the main job, namely the current main job for people at work (PL031 = 1, 2, 3 or 4) or the last main job for people who do not have a job (PL031 not = 1, 2, 3 or 4 and PL015 = 1).

If multiple jobs are held or were held, the main job should be the one in which the greatest number of hours usually worked.

Interviewers, when asking the ISCO code, should refer, if applicable, to the code given the preceding year(s) in order to avoid too many (and unjustified) changes in the value of this variable from one year to another.

The basis for the classification is the nature of the job itself and the level of skill required. A job is defined as the set of tasks and duties to be performed. Skills are the abilities to carry out the tasks and duties of a job. Skills consist of two dimensions: skill level and domain specialisation. The skill level is related to the level of educational attainment. The questions needed for the classification by occupation are the job title associated with the main job and a further description of the tasks and duties.

For a few occupations, information on the size of workplace (the local unit of activity) is needed).

This should be coded according to the ISCO-08 (COM) classification provided in Annex 4: ISCO: International Standard Classification of Occupations.

<sup>1</sup> The Living Conditions Working Group agreed in December 2009 by written consultation to use the double coding according to ISCO-88 and ISCO-08 in the 2011 operation, and the sole use of ISCO-08 from the 2012 operation onwards. This is in line with the Commission recommendation on the ISCO classification.

**PL060: Number of hours usually worked per week in main job**

<b>Domain/Area</b>	Labour information/Basic information on current activity status and on current main job
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or registers
<b>Values</b>	1 - 99 Number of hours
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PL031 not = 1, 2, 3 or 4) -6 Hours varying (when an average for over four weeks is not possible)

**Description**

If multiple jobs are held, the main job should be the one in which the greatest number of hours are usually worked. Persons having changed job during the reference week should regard the job at the end of the reference week as their main job.

The number of hours corresponds to the number of hours the person normally works in his/her main job. This covers all hours including extra hours, either paid or unpaid, which the person normally works, but excludes the travel time between the home and the place of work as well as the main meal breaks (normally taken at midday).

Persons who usually also work at home (within the definitions given below) are asked to include the number of hours they usually work at home. Apprentices, trainees and other persons in vocational training are asked to exclude the time spent in school or other special training centres.

Some persons, particularly the self-employed and family workers, may not have usual hours, in the sense that their hours vary considerably from week to week or month to month. When the respondent is unable to provide a figure for usual hours for this reason, the average of the hours actually worked per week over the past four weeks is used as a measure of usual hours. Code -6 is applied to those cases where neither the number of usual hours, nor an average number of hours worked over the past four weeks, can be established.

For self-employed people, in particular, normal hours may also include work done at home, such as planning, record-keeping and so on.

Apprentices, trainees and other persons in vocational training should exclude the time spent in school or other special training centres.

***Persons who usually also work at home***

This concept applies to many self-employed people, for example in artistic or professional activities, who work wholly or partly at home, often in a part of their living accommodation set aside for the purpose. However, if the place of work comprises a separate unit (for example, a doctor's surgery or tax consultant's practice) which is adjacent to the person's home but contains a separate entrance, then work performed there should not be considered to be

conducted "at home". Similarly, a farmer is not to be regarded as working "at home" when he is occupied in fields or buildings adjacent to his house. In the case of employees, "working at home" should be interpreted strictly in terms of formal working arrangements, where it is mutually understood by the employee and the employer that a certain part of the work is to be conducted at home. Such an arrangement may be explicitly included in the terms of employment, or may be recognised in other ways (for example, if the employee explicitly notifies the employer of this work by completing a timesheet, or by requesting additional payment or other form of compensation). This arrangement is also recognised if an employee is equipped with a computer in his/her home in order to perform his/her work. Other typical examples of "working at home" include travelling salesmen who prepare at home for appointments with clients which are then held at the clients' offices or homes, or persons who do typing or knitting work which on completion is sent to a central location.

"Working at home" does not cover cases where employees carry out tasks at home (because of personal interest or pressure of time), which under their working arrangements might equally have been performed at their place of work.

**PL073: Number of months spent at full-time work as employee**  
**PL074: Number of months spent at part-time work as employee**  
**PL075: Number of months spent at full-time work as self-employed (including family worker)**  
**PL076: Number of months spent at part-time work as self-employed (including family worker)**  
**PL080: Number of months spent in unemployment**  
**PL085: Number of months spent in retirement or early retirement**  
**PL086: Number of months spent as disabled or/and unfit to work**  
**PL087: Number of months spent studying**  
**PL088: Number of months spent in compulsory military service**  
**PL089: Number of months spent fulfilling domestic tasks and care responsibilities**  
**PL090: Number of months spent in other inactivity**

<b>Domain/Area</b>	Labour information/Basic information on activity status during income reference period
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers or deducted from PL211 variables
<b>Values</b>	0 - 12 Number of months
<b>Flags</b>	1 Filled -1 Missing -5 Missing value because the definition of this variable is not used (PL088 and PL089 only)

#### Description

The status is self-defined and the same definitions apply as for variable PL031 (see PL031 for definitions and explanations). In particular, if the person combines different part-time jobs as an employee leading to an equivalent full-time work, the person should consider his/herself as an employee working full-time.

If more than one type of activity occurs in the same month, priority should be given to economic activity ("main activity: work") over non-economic activity and over inactivity. On the basis of this principle, the following rules may be used:

- If the respondent worked, at least two weeks of the month, then variables PL073 to PL076 should be filled in;
- If more than one of the other situations apply in the same month, the respondent will select one on the basis of self-assessment. The criterion of most time spent may be useful where applicable.

Regarding variable PL087, the concept of a "month spent studying" should be understood in a

broad sense. It should include the time spent as a "pupil, student, further training, unpaid work experience" in order to correspond to category "6" of PL031.

**Retirement, early retirement:** See RB170: Main activity status during the income reference period

**Values:** In principle, according to the regulation, these variables take values of between 1 and 12. However, that causes problems if the number of months spent at full-time work is, for example, 12. In this case, variables PL074, PL076,....PL090 should take value 0.

**PL100: Total number of hours usually worked in second, third, ... jobs**

<b>Domain/Area</b>	Labour information/ Total number of hours worked on current second/third ... jobs
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview, proxy or registers
<b>Values</b>	1 - 99 Number of hours
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (person does not have a second job or PL031 not equal to 1, 2, 3 or 4)

**Description**

The number of hours usually worked in second, third...jobs should be recorded.

See also PL060: Number of hours usually worked per week in main job

**PL111: NACE Rev.2**

<b>Domain/Area</b>	Labour information/Detailed labour information
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	NACE Rev.2 Code (2 digits / See Annex 3: NACE - Statistical Classification of Economic Activities)
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PL031 not equal to 1, 2, 3 or 4) -3 Non-selected respondent

**Description**

The EU-SILC Regulation refers to the classification NACE Rev1.1. However, from the 2008 operation onwards, the classification NACE Rev.2 should be used<sup>1</sup>. The NACE is the standard classification used at national and EU-level for both economic and social statistics. Economic activities are characterised by the input of goods or services, a production process and the output of products.

**The economic activity of the local unit of the main job for respondents who are currently at work:** This variable refers to the main job. If multiple jobs are held, the main job should be the one with the greatest number of hours usually worked.

This should be coded according to the NACE classification provided in Annex 3: NACE - Statistical Classification of Economic Activities, which is based upon the Statistical Classification of Economic Activities.

Two types of questions can be used to obtain data on economic activity. The first type of question consists of the name and the address of the firm where a person is working. The second type of question asks the respondent to describe the economic activity and the kind of products or services supplied by the firm where (s)he works.

In the first type of question, the name and address of the firm allows the linking of the survey responses with a database of all firms in a country, the statistical Business Register.

**Local Unit:** The "local unit" to be considered is the geographical location where the job is predominantly carried out or, in the case of itinerant occupations, can be said to be based; normally it consists of a single building, part of a building, or, at the largest, a self-contained group of buildings. The "local unit" is therefore the group of employees of the enterprise who are geographically located at the same site. See Annex 5: The enterprise and local unit for more information about "local unit".

<sup>1</sup> Agreement during the Living Conditions Working Group meeting in June 2008 and Commission Regulation (EC) N° 973/2007 of 20 August 2007 amending certain EC Regulations on specific statistical domains implementing the statistical classification of economic activities NACE Revision 2

**PL120: Reason for working less than 30 hours** [*Reason for working less than 30 hours (in main and other jobs)*]

<b>Domain/Area</b>	Labour information/Detailed labour information
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	<p>1 Undergoing education or training</p> <p>2 Personal illness or disability</p> <p>3 Wants to work more hours but cannot find a job(s) or work(s) of more hours</p> <p>4 Do not want to work more hours</p> <p>5 Number of hours in all job(s) are considered as a full-time job</p> <p>6 Housework, looking after children or other persons</p> <p>7 Other reasons</p>
<b>Flags</b>	<p>1 Filled</p> <p>-1 Missing</p> <p>-2 Not applicable (Not (PL031 = 1, 2, 3 or 4, and PL060 + PL100 &lt; 30))</p> <p>-3 Non-selected respondent</p>

**Description**

This variable is intended to capture the concept of underemployment (working fewer hours than the person would prefer because they cannot find a job working more hours; see for example Working Group on Employment Statistics, 2001b). The target variable in EU-SILC will not capture a fully-harmonised definition of underemployment, however: to do so would require a larger number of items than the space constraints would permit. The cut-off filter for the EU-SILC item is set relatively high (at 30 hours for all of the jobs) so as to capture as many as possible of those who would wish to work a greater number of hours.

*Note:* In the case of teachers, hours worked should be considered as the hours of teaching, those dedicated to preparation of classes, study, research as well as hours of compulsory attendance in the centre of studies.

Variable PL120 refers to the main reason for working less than 30 hours. In this way, only one response must be ticked. In cases where more than one reasons apply and it is not clear which is the main reason, the list should be treated in order of priority, with code 1 having the highest priority and code 7 as lowest priority.

**PL130: Number of persons working at the local unit**

<b>Domain/Area</b>	Labour information/Detailed labour information
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	<i>1 - 10</i> Exact number (if between 1 and 10) <i>11</i> Between 11 and 19 persons <i>12</i> Between 20 and 49 persons <i>13</i> 50 persons and more <i>14</i> Do not know but less than 11 persons <i>15</i> Do not know but more than 10 persons
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable (PL031 not equal to 1, 2, 3 or 4) <i>-3</i> Non-selected respondent

**Description**

This variable refers to the main job. If multiple jobs are held or were held, the main job should be considered as the one in which the greatest number of hours are usually worked.

Person him(her)self should be included in number, as should the employer

For definition of local unit see PL100: Total number of hours usually worked in second, third, ... jobs and Annex 5: The enterprise and local unit.

**PL140: Type of contract**

<b>Domain/Area</b>	Labour information/Detailed labour information	
<b>Transmission type</b>	Regular	
<b>Reference period</b>	Current/last situation	
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)	
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers	
<b>Values</b>	1	Permanent job/work contract of unlimited duration
	2	Temporary job/work contract of limited duration
<b>Flags</b>	1	Filled
	-1	Missing
	-2	Not applicable (PL040 not equal to 3)
	-3	Non-selected respondent
	-4	Not applicable because the person is employee (PL040=3) but does not have a contract

**Description**

This variable refers to the main job (current if PL031=1, 2, otherwise it refers to the last main job). If multiple jobs are held or were held, the main job should be the one in which the greatest number of hours are usually worked.

This question is addressed only to employees. In the majority of Member States, most jobs are based on written work contracts. However in some countries such contracts exist only for specific cases (for example in the public sector, for apprentices, or for other persons undergoing some formal training within an enterprise). Taking into account these different institutional arrangements, the notions of "temporary job" and "work contract of limited duration" (likewise "permanent job" and "work contract of unlimited duration") describe situations which under different institutional frameworks can be regarded as similar. A job may be regarded as temporary if it is understood by both the employer and the employee that the termination of the job is determined by objective conditions such as reaching a certain date, completion of an assignment or return of another employee who has been temporarily replaced. In the case of a work contract of limited duration, the condition for its termination is generally mentioned in the contract.

To be included in these groups are:

- Persons with a seasonal job;
- Persons engaged by an employment agency or business and hired out to a third party for the carrying out of a "work mission" (unless there is a work contract of unlimited duration with the employment agency or business);
- Persons with specific training contracts. If there exists no objective criterion for the termination of a job or work contract, these should be regarded as being permanent or of unlimited duration.

Here, the actual employment is time-limited under an agreement - not that the respondent has, for example, considered stopping work in order to travel or attend college. Students with jobs that they only intend to keep for as long as they are studying, are thus not in a time-limited job.

Respondents who have a contract to do their job, which may be renewed, for example, once a

year, should be coded according to whether or not the respondents themselves consider their job to be of an unlimited duration.

A contract for a probationary period when the contract finishes automatically at the end of the probationary period, necessitating a new contract if the person continues to be employed by the same employer, is to be considered a 'temporary job'.

**PL150: Managerial position**

<b>Domain/Area</b>	Labour information/Detailed labour information
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current/last situation
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	1 Supervisory 2 Non-supervisory
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PL040 not equal to 3) -3 Non-selected respondent

**Description**

This variable refers to the current job if PL031=1, 2, otherwise it refers to the last main job).

**Supervisory:** Supervisory responsibility includes the formal responsibility for supervising a group of other employees (other than apprentices), whom the respondent supervises directly, sometimes when doing some of the work that (s)he supervises. It implies that the supervisor or foreman takes charge of the work, directs the work and sees that it is properly conducted.

**PL160: Change of job since last year**

<b>Domain/Area</b>	Labour information/Detailed labour information
<b>Transmission type</b>	Regular
<b>Reference period</b>	Since last year (since last interview, if applicable)
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (PL031 not equal to 1, 2, 3 or 4) -3 Non-selected respondent

**Description**

This variable asks whether the individual left a job or changed from one job to another since the last interview (or last 12 months for the first year of data collection).

For employees, a change of job means a change of employer, not moving from one set of duties to another with the same employer. Nevertheless, a change of contract with the same employer is still considered as a change of job.

For the self-employed, a change of job means a change in the nature of the activity performed (or moving between employee and self-employed status). Completing one contract and beginning another does not constitute a change of job for the self-employed.

**PL170: Reason to change**

<b>Domain/Area</b>	Labour information/Detailed labour information
<b>Transmission type</b>	Regular
<b>Reference period</b>	Since last year (since last interview, if applicable)
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	<p>1 To take up or seek better job</p> <p>2 End of temporary contract</p> <p>3 Obligated to stop by employer (business closure, redundancy, early retirement, dismissal etc.)</p> <p>4 Sale or closure of own/family business</p> <p>5 Childcare and care for other dependents</p> <p>6 Partner's job required us to move to another area or marriage</p> <p>7 Other reasons</p>
<b>Flags</b>	<p>1 Filled</p> <p>-1 Missing</p> <p>-2 Not applicable (PL160 not equal to 1)</p> <p>-3 Non-selected respondent</p>

**Description**

The main reason the person left a job since last year.

**To take up or seek better job:** Better job should be understood in a broad sense; it covers better wage, better work conditions, less commuting, etc.

**End of temporary contract:** This code is used for employees who declare that their last job was temporary and came to an end, or that they had a formal work contract which was completed. This also applies to seasonal and casual jobs.

**Obligated to stop by employer:** It covers a number of situations, such as being dismissed or made redundant, closures of the employer's business, or early retirement due to economic factors (labour market problems, difficulties in specific sectors of the economy, etc.). Termination for other reasons - such as due to end of contract (and refusal by employer to renew it), retirement at normal age, or retirement 'by own choice' i.e. not as a result of economic factors such as market problems, or due to closure of own business in the case of the self-employed - are included in other response categories.

**Other reasons:** This code is used where none of the codes 1-6 apply, including those cases where the person has resigned from his job for reasons (such as personal dissatisfaction, retired from his/her job at the normal retirement age, respondent left his/her job because of personal health) not covered by any of the other codes.

**PL180: Most recent change in the individual's activity status**

<b>Domain/Area</b>	Labour information/Detailed labour information
<b>Transmission type</b>	Regular
<b>Reference period</b>	Since last year (since last interview, if applicable)
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	<i>1</i> Employed - unemployed <i>2</i> Employed - retired <i>3</i> Employed - other inactive <i>4</i> Unemployed - employed <i>5</i> Unemployed - retired <i>6</i> Unemployed - other inactive <i>7</i> Retired - employed <i>8</i> Retired - unemployed <i>9</i> Retired - other inactive <i>10</i> Other inactive - employed <i>11</i> Other inactive - unemployed <i>12</i> Other inactive - retired
<b>Flags</b>	<i>1</i> Filled -1 Missing -2 Not applicable (no change since last year) -3 Non-selected respondent

**Description**

This variable collects whether there is a change in the respondent's activity status since the last interview (or last 12 months for the first year of data collection).

If there has been more than one change in the individual activity status, the most recent change should be recorded.

The status is self-defined and the same definitions as for variable PL031 apply (see PL031 for definitions and explanations).

**PL190: When began first regular job**

<b>Domain/Area</b>	Labour information/Activity history
<b>Transmission type</b>	Regular
<b>Reference period</b>	Working life
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	8 - 65 Age
<b>Flags</b>	1 Filled -1 Missing -2 Not applicable (person never worked i.e. (PL031 not equal to 1, 2, 3 or 4 AND PL015 not equal to 1)) -3 Non-selected respondent

**Description**

Dynamic analysis of the employment situation requires measures extending over time. This requires measures that are more stable and more directly enumerated than the conventional labour force survey measures defined with reference to a short reference period, such as one week (Verma, 1999 and 1999a). EU-SILC follows the concept of self-declared or main activity status.

A selected subset of items is to be included in EU-SILC which would allow to obtain an overview of the person's total (lifetime) work experience and of their recent unemployment experience.

Some of the items of information will need to be collected only once for each person: such as the item on when the person started their first regular job, and the number of years since that time that has been spent at work.

**Age when started first regular job:** It is designed to permit the calculation of the total potential time the person could have spent in the labour force. It is the age at which the person began their first regular job.

Vacation jobs taken by students, from which they return to studies or to other non-work situations are disregarded, as well as any other casual job undertaken from time to time. Part-time jobs that the person may have engaged in while still in school or university are not included. However, if the person works or worked in formal regular work, during his/her studies, this work should be considered.

Normally, the job considered should be the first one that lasted for at least six months, unless it was terminated by a period of unemployment or by another job.

**PL200: Number of years spent in paid work** [*Number of years spent in paid work (as employee or self-employee)*]

<b>Domain/Area</b>	Labour information / Activity history
<b>Transmission type</b>	Regular
<b>Reference period</b>	Working life
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers
<b>Values</b>	0 - 65 Number of years
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> Not applicable (person never worked i.e. (PL031 not equal to 1, 2, 3 or 4 AND PL015 not equal to 1)) <i>-3</i> Non-selected respondent

**Description**

This indicator provides a summary measure of the labour force experience of the individual.

This covers the number of years since the respondent started their first regular job, that they have spent at work, whether as an employee or self-employed.

When a person had a job, but was temporarily absent because of maternity leave, injury or temporary disability, slack work for technical or economic reasons, ... the related period is to be taken into account in the computation of the number of years spent in paid work.

'At work' is self-defined. In cases where there is doubt, such as when the person spent a number of years working on a part-time basis, the person's own perception of whether their main activity was 'at work' or something else should be taken. If a person retires and continues to have a paid work at the same time, this time period should only be taken into account if the person declares him/herself as working. If this person considers him/herself as retired, then the computed number of years spent in paid work stops with the retirement of the person.

*See also* PL190: When began first regular job

**PL211A: Main activity in January****PL211B: Main activity in February****PL211C: Main activity in March****PL211D: Main activity in April****PL211E: Main activity in May****PL211F: Main activity in June****PL211G: Main activity in July****PL211H: Main activity in August****PL211I: Main activity in September****PL211J: Main activity in October****PL211K: Main activity in November****PL211L: Main activity in December**

<b>Domain/Area</b>	Labour information/Calendar of activities	
<b>Transmission type</b>	Regular	
<b>Reference period</b>	Income reference period	
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)	
<b>Mode of collection</b>	Personal interview (proxy as an exception) or registers	
<b>Values</b>	<i>1</i>	Employee working full-time
	<i>2</i>	Employee working part-time
	<i>3</i>	Self-employed working full-time (including family worker)
	<i>4</i>	Self-employed working part-time (including family worker)
	<i>5</i>	Unemployed
	<i>6</i>	Pupil, student, further training, unpaid work experience
	<i>7</i>	In retirement or in early retirement or has given up business
	<i>8</i>	Permanently disabled or/and unfit to work
	<i>9</i>	<u>In compulsory military or community service</u>
	<i>10</i>	Fulfilling domestic tasks and care responsibilities
	<i>11</i>	Other inactive person
<b>Flags</b>	<i>1</i>	Filled
	<i>-1</i>	Missing
	<i>-3</i>	Non-selected respondent

**Deleted:** In compulsory military community or service

**Description**

This variable replaces, from the 2009 operation onwards, the variable PL210 as defined in the EU-SILC Regulation<sup>1</sup>.

<sup>1</sup> An agreement was made during the Living Conditions Working Group(WG) meeting in June 2008 that the variables PL210 will be replaced by the variable PL211 with slightly different labelling in order

The status is self-defined and the same definitions as for variable PL031 apply (see PL031 for definitions and explanations). In particular, if the person combines different part-time jobs as an employee which result in the same hours as an equivalent full-time job, the person should consider his/herself as employee working full-time (code 1 should be ticked for the month).

If more than one type of activity occur in the same month, priority should be given to economic activity (“main activity: work”) over non-economic activity and over inactivity. On the basis of this principle, the following rules may be used:

- If the respondent worked, at least during two weeks of the month, then code 1, 2, 3 or 4 should be ticked for the month;
- If more than one of the other codes apply in the same month, the respondent will select one on the basis of self-assessment. The criterion of most time spent may be useful where applicable.

See also PL040: Status in employment.

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to harmonise labour variables. In 2010, the LC WG agreed to suppress PL210 and to keep only PL211 from the 2011 operation onwards.

**PY010G/PY010N: Employee cash or near cash income**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

Gross means that neither taxes nor social contributions have been deducted at source.

If the gross value is a conversion from the net, the corresponding net variables should also be filled. If both net and gross values are collected, both should be recorded.

**Employee income:** Employee income is defined as the total remuneration, in cash or in kind, payable by an employer to an employee in return for work done by the latter during the income reference period.

The employee income is broken down into:

- (1) Gross employee cash or near cash income (PY010G);
- (2) Gross non-cash employee income (PY020G);
- (3) Employers' social insurance contributions (PY030G).

**Gross employee cash or near cash income (PY010G):** This refers to the monetary component of the compensation of employees in cash payable by an employer to an employee. It includes the value of any social contributions and income taxes payable by an employee or by the employer on behalf of the employee to social insurance schemes or tax authorities.

Gross employee cash or near cash income includes the followings items:

- Wages and salaries paid in cash for time worked or work done in main and any secondary or casual job(s);
- Remuneration for time not worked (e.g. holiday payments);
- Enhanced rates of pay for overtime;
- Fees paid to directors of incorporated enterprises;
- Piece rate payments;
- Payments for fostering children;
- Commissions, tips and gratuities;
- Supplementary payments (e.g. thirteenth month payment);

- Profit sharing and bonuses paid in cash;
- Additional payments based on productivity;
- Allowances paid for working in remote locations (regarded as part of the conditions of the job);
- Allowances for transport to or from work;
- Additional payments made by employers to their employees or former employees and other eligible persons to supplement the sick, disability, maternity leave or survivor's pay entitlement from social insurance schemes, where such payments cannot be separately and clearly identified as social benefits (in case these payment can be identified they should be included in appropriate benefits variables instead);
- Payments made by employers to an employee in lieu of wages and salaries through a social insurance scheme when unable to work through sickness, disability or maternity leave where such payment cannot be separately and clearly identified as social benefits.

It excludes:

- Reimbursements made by an employer for work-related expenses (e.g. business travel);
- Severance and termination pay to compensate employees for employment ending before the employee has reached the normal retirement age for that job and redundancy payments (they are included under 'unemployment benefits' (PY090G));
- Allowances for purely work-related expenses such as those for travel and subsistence or for protective clothes;
- Lump sum payments at the normal retirement date (included under 'old age benefits' (PY100G));
- Union strike pay.

*Notes:*

Family allowance for marriage should be included in PY010.

Employers' social insurance contributions are excluded.

**Payments for fostering children:** This refers to the amount of money that the government or NPISHs give to families for taking care of children. These children live in a family instead of living in an institution. The family is not the real family. The children do not have the legal status of 'children of the family'.

Cash housing allowances paid by the employer should be included in PY010.

***Net employee cash or near cash income (PY010N):*** The net income component corresponds to the gross income component but the tax at source, the social insurance contributions, or both, are deducted.

**PY020G/PY020N: Non-Cash employee income**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'  Additional value allowed -4 Amount included in another component

**Description**

**Gross non-cash employee income (PY020G):** Refers to non-monetary income components which may be provided free or at reduced price to an employee as part of the employment package by an employer<sup>1</sup>.

Gross non-cash employee income includes:

- Company car and associated costs (e.g. free fuel, car insurance, taxes and duties as applicable) provided for either private use or both private and work use;
- Free or subsidised meals, luncheon vouchers;
- Reimbursement or payment of housing-related expenses (e.g. Gas, electricity, water, telephone or mobile telephone bills);
- Other goods and services provided free or at a reduced price by the employer to their employees, when they are a significant component of the income at national level or they constitute a significant component of the income of particular groups of households;
- The value of goods and services provided free shall be calculated according to the market value of these goods and services. The value of the goods and services provided at reduced price shall be calculated as the difference between the market value and the amount paid by the employee.

In order not to overestimate the benefit received from goods provided by the employer, such as a laptop and phone, it can be envisaged that the market price to buy the product be divided by three or four (assuming that three or four years is the 'life duration' of the phone or laptop). For more expensive goods, such as a tractor or lawn mower, a division by a greater number, for example 10, can be envisaged, corresponding to a 'life duration' of 10 years. Different 'life duration periods' for different categories of goods can be consequently envisaged.

<sup>1</sup> If any goods or services are provided for both private and work use, then private use, as a proportion of total use, must be estimated and applied to the total value

This excludes:

- The cost of providing any of these goods and services by the employer if they are only required for the employees to carry out their work;
- Accommodation services at a place of work which cannot be used by the households to which the employees belong;
- Accommodation provided free or at reduced rent to an employee as the secondary residence of the household;
- Allowances paid to employees for the purchase of tools, equipment, clothes etc. needed exclusively or primarily for their work;
- Special meals or drinks necessitated by exceptional working conditions;
- Any goods or services provided to employees at the place of work or required because of the nature of their work (e.g. a medical examination required for work).

***Net non-cash employee income (PY020N):*** The net income component corresponds to the gross income components but the tax at source, the social insurance contributions, or both, are deducted.

*See Annex 7: Company car about the company car.*

***Difference compared to the EU-SILC Regulations:*** Accommodation provided free or at reduced rent by the employer to the employees as the main residence of the household should be included in the non-cash employee income, and consequently not under the variable "imputed rent" (HY030).

**PY021G/PY021N: Company car**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99 Income (national currency) 0 No income
<b>Flags</b>	<i>See chapter 'INCOME FLAGS'</i> Additional value allowed -4 Amount included in another component

**Description**

For explanation, see Annex 7: Company car.

**PY030G: Employer's social insurance contribution****PY031G: Optional employer's social insurance contributions**

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	<i>1 - 999999.99</i> Amount (national currency) <i>0</i> No contribution
<b>Flags</b>	<i>0</i> No income <i>1</i> Income (variable is filled) <i>-1</i> Missing

**Description**

The employers' social insurance contributions should be recorded from 2007<sup>1</sup>.

**Employers' social insurance contributions (PY030G):** Employers' contributions are defined as payments made, during the income reference period, by employers for the benefits of their employees to insurers (social security funds and private funded schemes) covering statutory, conventional or contractual contributions in respect of insurance against social risks.

- Employers' contributions to private retirement (pension) plans;
- Employers' contributions to private health insurance;
- Employers' contributions to life insurance;
- Employers' contributions to other employer insurance schemes (e.g. disability);
- Employers' contributions to government insurance (social security) schemes (including payroll taxes levied for social insurance purposes).

It is required that this distinguishes between two types of employers' social insurance contribution:

- Legal/mandatory contributions covering traditionally legal old age pension schemes, legal health insurance, unemployment ... These contributions are common to most employed persons and can be deducted from wages received according to published rules;
- Optional contributions made by employers on the basis of contractual or specific sectoral arrangements. These are more heterogeneous, limited to some employees and depending on the sector and the size of businesses. Typical examples are contributions to private pension plans, additional health insurance and term life insurance. This type of contribution seems to remain limited in importance in most countries, sometimes non-existent, but this type of contribution is likely to grow rapidly in the future with the reform of social protection systems.

<sup>1</sup> Following the results of feasibility studies conducted.

From 2007 onwards, 'Employers' social insurance contributions' (PY030G) are included in the list of primary target variables of the EU-SILC instrument. In the situation where it represents at least 90% of the total amount of the social contributions of employers (compulsory + optional), variable PY030G should collect only the compulsory (legal) contributions of the employers.

In the situation where a country is due to collect an optional (non-compulsory) contribution, variable PY030G will gather the total contributions (mandatory + optional) and a new variable PY031G will collect the optional part so that flexibility is allowed when carrying out comparative analysis on the datasets.

The documentation of coverage of the components collected should be an integral part of the final quality reports where the relative part of the optional contribution should be monitored. External sources for this purpose are likely to be national accounts and/or labour cost surveys.

The need and the feasibility to impute fictitious employer's social contribution for categories of persons for which no real contribution is paid (civil servant, unemployed ...) must be assessed.

### PY035G/PY035N: Contributions to individual private pension plans

<b>Domain/Area</b>	Income/Gross income components at household level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Household respondent or register
<b>Values</b>	1 - 999999.99 Amount (national currency) 0 No contribution
<b>Flags</b>	0 No contribution 1+if Variable is filled - <i>Value 1 must be concatenated to the imputation factor (if), where if = collected value/recorded value</i> -1 Missing (Because missing values are imputed, this code is only acceptable if not imputation is possible) <u>-5 (only for net values) Not filled: variable of the gross series is filled</u>

#### Description

**Contributions made, during the income reference period, to individual private pension plans:** This refers to the pensions policies taken out by individual households on their own initiative and for their own benefit, independently of their employers or government and outside any social insurance scheme.

These contributions represent the counterpart to regular pensions from individual private plans (other than those covered under ESSPROS) (PY080G) related to old age, survivors, sickness, disability and unemployment.

The schemes that need to be taken into account in variable PY035 are 'other insurance' (with the exception of life insurance schemes). Other insurance provides individual institutional units exposed to certain risks with financial protection against the consequences of the occurrence of specified events. It is also a form of financial intermediation in which funds are collected from policyholders and invested in financial and other assets which are held as technical reserves to meet future claims arising from the occurrence of the events specified in the insurance policies.

Other insurance policies held by households may cover the same risks or needs as those covered by social insurance schemes. However, other insurance policies held by households are distinguished from social insurance policies by the fact that they are taken out on the individual households' own initiative and for their own benefit, independently of their employers or government.

**Difference from the EU-SILC Regulations:** Contributions to individual pension plans (PY035G)/ (PY035N) should not be deducted from the total household disposable income.

Pensions received from individual private plans (other than those covered under ESSPROS) (PY080G)/(PY080N) are treated as a component of property income, and should be included

in the total household gross income (HY010) and in the total disposable household income (HY020)<sup>1</sup>. Inclusion of PY080 in HY020, HY022 and HY023 should be implemented by countries from the 2011 operation onwards.

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<sup>1</sup> This follows a recommendation from the TF on methodological issues. The Indicator Sub Group (ISG) agreed in 2010 to include PY080 in the income definition and consequently in the computation of OMC indicators.

**PY050G/PY050N: Cash benefits or losses from self-employment**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99 Benefits -999999.99 - -1 Losses 0 No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

Self-employment income: Self-employment income is defined as the income received, during the income reference period, by individuals, for themselves or in respect of their family members, as a result of their current or former involvement in self-employed work. Self-employed work covers those jobs where the remuneration is directly dependent upon the profits (or the potential for profits) derived from the goods and services produced (where own consumption is considered to be part of profits). The self-employed make the operational decisions affecting the enterprise, or delegate such decisions while retaining responsibility for the welfare of the enterprise. (In this context 'enterprise' includes one-person operations). The remuneration of hobbies shall be regarded as self-employment.

If the income collected or compiled corresponds to a time period earlier than the reference period, basic adjustments shall be applied to update the data to the income reference period.

Self-employment income is broken down into:

- a. Gross cash benefits or losses from self-employment (including royalties) (PY050G);
- b. Value of goods produced for own consumption (HY170G).

Gross cash benefits or losses from self-employment (including royalties) (PY050G)

This includes:

- Net operating profit or loss accruing to working owners of, or partners in, an unincorporated enterprise, less interest on business loans;
- Royalties earned on writing, inventions, and so on not included in the profit/loss of unincorporated enterprises;
- Rentals from business buildings, vehicles, equipment, etc not included in the profit/loss of unincorporated enterprises, after deduction of related costs such as interest on associated loans, repairs and maintenance and insurance charges.

It excludes:

- Directors fees earned by owners of incorporated enterprises (which are included under 'Gross employee cash or near cash income' (PY010G));

- Dividends paid by incorporated enterprises (which are included under ‘Interest, dividends, profits from capital investment in an unincorporated business’ (HY090G));
- Profits from capital invested in an unincorporated enterprise in which the person does not work (‘sleeping partners’) (it is included under ‘Interest, dividends, profits from capital investment in an unincorporated business’ (HY090G));
- Rent from land and receipts from boarders or lodgers (which are included under ‘Income from rental of a property or land’ (HY040G));
- Rentals from dwellings that are not included in the profit/loss of unincorporated enterprises (which are included under ‘Income from rental of a property or land’ (HY040G)).

In practice, if the self-employed person or business prepares annual accounts for tax purposes, the gross income benefits/losses shall be calculated as net operating benefits/losses shown on this tax account for the most recent 12 month period, before deduction of taxes on income and compulsory social insurance contributions.

In the absence of annual accounts, either for tax purposes or as a business account, the alternative approach to measure self-employment income shall be to collect the amount of money (and goods) drawn out of the business for personal use (for consumption or saving, including the market value of goods produced or purchased by the business but taken for personal use).

Net cash benefits or losses from self-employment (including royalties) (PY050N)

The net income component corresponds to the gross income components but the tax at source, the social insurance contributions or both ( if applicable) are deducted.

#### Comments

**Royalties:** Royalties are regarded as income from self-employment because they are a return to the royalty-holder for effort expended.

**Difficulties in detecting the self-employed:** Who are the self-employed? The guidelines for interpretation for the EU-SILC, based on ILO recommendations<sup>1</sup>, provided an overview of the central distinction between self-employment and employee status. The difference is determined by:

- The nature of the economic risk undertaken by the person concerned;
- The mode of remuneration;
- The type of authority enjoyed, and the authority to which the respondent is subject;

There is also a discussion of some of the more complex types of cases. For instance, employees responsible for paying their own social insurance and tax contributions, but who are employees in other respects, should be considered as employees. Outworkers should be considered as employees if (a) there exists an explicit or implicit contract or agreement of employment and (b) the remuneration depends basically on the time worked or the amount

<sup>1</sup> R. Hussmanns and F. Mehran and V. Verma: *Surveys of Economically Active Population, Employment, Unemployment and Underemployment: An ILO Manual on Concepts and Methods*. Geneva: International Labour Office, 1990.

produced. However, an outworker should be considered as being self-employed if (a) there is no such contract or agreement and the decision as to the markets, scale of operation and finance is in the hands of the outworker or (b) the person's remuneration is a function of receipts or profits from the sale of his/her products or services.

*Summary of distinction between employee and self-employed status*

	Employee	Self-employed
Economic Risk	No (or very little) capital investment	Has capital investment (not a necessary condition, e.g.. Professional practice)
Mode of remuneration	Wage or salary based on hours worked or amount produced	Profit, amount depending on sales of produce or service
Type of authority 1 (autonomy)	Existence of implicit or explicit contract/agreement of employment	No such contract or agreement
Type of authority 2 (control)	No (or very little) say in decisions on markets, scale of operation and finances	Final decision on markets, scale of operation and finances

Among the self-employed, those who employ paid employees are defined as 'employers', while those without paid employees are defined as 'own-account workers'. Often a distinction is made between 'own-account workers' and 'unpaid family workers'. However, in an enterprise in which members of a household are engaged jointly, this distinction can be culturally (especially gender) biased, and in any case arbitrary. Furthermore, the income may not be strictly 'individual', as for example in the case of a household enterprise in which several members of the household are engaged jointly. For the purpose of EU-SILC, both of these groups are to be considered as being 'self-employed', i.e. as sharing self-employment income from the enterprise.

On the other hand, there are growing numbers of self-employed who do not consider themselves to be "running a business" and for whom therefore concepts such as gross revenue or even annual profit or loss have very little meaning. For this reason, some experimentation has been carried out, for example in the UK, to distinguish different groups of self-employed people and to try to tailor questions more closely to their circumstances (see Martin et al, 1996). For some people, such as casual workers and sub-contractors, their remuneration is more akin to employment income than to gross revenue – they have very few, if any, of the outgoings listed above (such as operating costs). They may even be uncertain about their employment status – whether they are in fact self-employed or employees. In the UK, it was found that the best way to distinguish this type of self-employed person from one who is in fact running a business was whether they prepared annual accounts for the tax authority.

If they do not prepare such accounts, it is more appropriate to use a concept akin to that of earnings from employment to capture their income.

*Measurement of income from self-employment*

It is universally acknowledged that self-employment income is one of the most problematic elements of household income to define and to measure accurately. These difficulties result not only in inaccurate income data but also in lack of comparability both across time and across countries. While it is unrealistic to suppose that all the difficulties can be solved in the context of EU-SILC, the aim should be to draw on current best practice and 'state of the art', so that accuracy and comparability of the information on income from self-employment is

improved.

There is also evidence that self-employment is becoming *more prevalent* in the EU and that it is becoming more *heterogeneous* in its nature. The types of occupation in which the self-employed are engaged have diversified. More women are becoming self-employed and more employees are taking on subsidiary work on a self-employed basis. Many of the new self-employed are engaged in the service sector, but the skill level of these jobs varies widely from low paid jobs on temporary contracts to high paid and specialised jobs in the banking and financial services and in information technology. The terms under which people work are also becoming more diverse. The traditional self-employed person running a business, perhaps with a few employees, is joined by people in casual work or involved with sub-contracting. The measurement framework adopted needs to factor in all these possibilities.

Given the conceptual difficulties in defining self-employment income, it is perhaps not surprising that the collection of accurate income information from the self-employed is one of the most problematic areas for surveys:

- The self-employed often have accounting practices which make it difficult for them to provide accurate responses to survey questions (e.g. they may not separate their business and personal finances);
- Their financial and accounting framework does not relate well to that used by statisticians in constructing national accounts or household income analysis;
- The self-employed are less likely than the employed to respond to income surveys, and self-employment income variables are subject to higher levels of item non-response;
- Not only are the self-employed less likely than employees to respond to surveys, those that do respond are more likely to under-report their income;
- The growth in self-employment as a secondary activity for employees creates additional problems. Unless such secondary activities are properly covered in an income survey with questions that are just as detailed as those for the primary employment, this too will be a source of under-reporting.

#### *Conclusion*

It must be accepted that measurement of income from self-employment is one of the most difficult areas for income distribution analysis. However, the following strategies are recommended which may result in improved estimates:

- The categorisation of the self-employed according to (i) whether they consider that they are running a business or (ii) that they have "work" (a job), and the use of a concept akin to that of earnings for the latter group;
- The collection of data on drawings (in the absence of annual accounts, either for tax purposes or as a business account);
- Updating profit/loss data which are for a time period earlier than the reference period to using an appropriate index.
- Development of procedures for estimating self-employment income net of income tax and social security contributions, procedures which may differ from those used for other income components.



**PY080G/PY080N: Pension from individual private plans**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99      Income (national currency) 0                      No income
<b>Flags</b>	See chapter 'INCOME FLAGS'

**Description**

**Gross Regular pensions from individual private plans (other than those covered under ESSPROS) (PY080G):** Regular pensions from private plans (other than those covered under ESSPROS) refer to pensions and annuities received, during the income reference period, in the form of interest or dividend income from individual private insurance plans, i.e. fully organised schemes where contributions are at the discretion of the contributor independently of their employers or government.

It includes:

- Old age, survivors, sickness, disability and unemployment pensions received as interest or dividends from individual insurance private plans.

It excludes:

- Pensions from mandatory government schemes;
- Pensions from mandatory employer-based schemes.

**Net Regular pensions from individual private plans (other than those covered under ESSPROS) (PY080N):** The net income component corresponds to the gross income components but the tax at source, the social insurance contributions or both ( if applicable) are deducted.

**Difference with the EU-SILC Regulations:** Contributions to individual pension plans (PY035G)/ (PY035N) should not be deducted from the household's total disposable income.

Pensions received from individual private plans (other than those covered under ESSPROS) (PY080G)/(PY080N) are treated as a component of property income, and should be included in total gross household income (HY010) and in the total disposable household income (HY020)<sup>1</sup>. Inclusion of PY080 in total disposable income variables (HY020, HY022 and HY023) should be implemented by countries from the 2011 operation onwards.

<sup>1</sup> This follows a recommendation from the TF on methodological issues. The Indicator Sub Group (ISG) agreed in 2010 to include PY080 in the income definition and consequently in the computation of OMC indicators.

**PY090G/PY090N: Unemployment benefits****PY100G/PY100N: Old-age benefits****PY110G/PY110N: Survivor' benefits****PY120G/PY120N: Sickness benefits****PY130G/PY130N: Disability benefits****PY140G/PY140N: Education-related allowances**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99            Income (national currency) 0                            No income
<b>Flags</b>	<i>See chapter 'INCOME FLAGS'</i>  Additional value allowed for PY100G/PY100N, PY110G/PY110N, PY120G/PY120N, PY130G/PY130N : -4            Amount included in another component

**Description**

**Social benefits:** Social benefits<sup>1</sup> are defined as current transfers received by households during the income reference period<sup>2</sup>, which are intended to relieve them from the financial burden of a number of risks or needs, made through collectively-organised schemes, or outside such schemes by government units and NPISHs.

These include the value of any social contributions and income tax payable on the benefits by the beneficiary to social insurance schemes or to tax authorities.

The Social benefits collected at the individual level are the following:

- Unemployment benefits (PY090G)/ (PY090N);
- Old-age benefits (PY100G)/ (PY100N);
- Survivor' benefits (PY110G)/ (PY110N);
- Sickness benefits (PY120G/PY120N);

<sup>1</sup> The social benefits included in EU-SILC, with the exception of housing benefits, are restricted to cash benefits.

<sup>2</sup> In order to obtain a more accurate measure of the well-being of the household, the lump-sum benefits received during the income reference period shall be treated according to Eurostat technical recommendations. In the same way, lump-sum payments received before the income reference period could be taken into account and imputed according to Eurostat recommendations.

- Disability benefits (PY130G/PY130N);
- Education related allowances (PY140G/PY140N);

Social benefits exclude:

- Benefits paid from schemes into which the recipient has made only voluntary payments, independently of his/her employer or government (which are included under 'Pensions from individual private plans (other than those covered under ESSPROS)' (PY080G)).

*Comments:* Although the ESSPROS classification is used for social benefits in the EU-SILC income definition, not all elements of ESSPROS itself are included.

**ESSPROS:** In the EU, a classification of social benefits has been developed which depends on the risks or needs which may give rise to the payment of social benefits. The distinction based on source is secondary. The logic behind this is that from the social exclusion perspective, the risk or need being met by the scheme is more important than the source of the transfer. This system is known as the European System of integrated Social Protection Statistics (ESSPROS), and was developed in the late 1970s in response to the need for a specific instrument of statistical observation of social protection in EC Member States. It has since been revised and updated.

In order to be included as a social benefit (under ESSPROS), the transfer must meet one of two criteria:

- Coverage is compulsory (under law, regulation or a collective bargaining agreement) for the group in question; or
- It is based on the principle of social solidarity (i.e. if it is an insurance-based pension, the premium and entitlements are not proportional to the individual exposure of the people protected). The principle of social solidarity is a feature of all non-contributory schemes.

Difficult borderline cases arise when the law allows people to leave a general social insurance scheme managed by the state social security fund in order to acquire protection through other channels – known as 'contracting out'. The fact that coverage is compulsory by law (though no particular scheme is specified), or that an insurance policy replaces a government scheme, is not sufficient to classify it as social protection. In these cases, the criterion of social solidarity can be a useful guide.

The list of risks and needs that may give rise to social protection is fixed by convention in the ESSPROS methodology as follows:

- Sickness/Healthcare
- Disability
- Old age
- Survivors
- Family/children
- Unemployment

- Housing
- Social exclusion not classified elsewhere

These are normally termed 'functions' of social protection. They represent the areas that are believed to be most relevant in the European context. These functions define the primary purposes for which resources and benefits are provided, irrespective of the legislative or institutional structures behind them. This enables comparable statistics to be produced despite the fact that the institutions, regulations and social traditions of Members States vary widely.

Functions are therefore defined in terms of their end-purpose, rather than in terms of particular branches of social protection or pieces of legislation. Thus for example, the benefits granted by a pension fund cannot simply be classified in their entirety under the Old Age function, because some benefits may relieve the recipient from needs related to the death of a breadwinner (and thus belong to the Survivors function) or the loss of the physical ability to engage in economic and social activities (and thus belong to the Disability function).

The main differences between EU-SILC and ESSPROS are:

- The EU-SILC definition of social benefits includes the function education while ESSPROS does not;
- The ESSPROS definition covers both current and capital transfers whereas the EU-SILC definition covers current transfers only;
- The ESSPROS definition covers certain reductions on taxes where they meet the general criteria for social protection schemes and certain other criteria;
- The EU-SILC definition covers only cash benefits (with the exceptions of housing).

Full details of the most recent version of ESSPROS, including a detailed guide to the interpretation of each function, may be found in the ESSPROS Manual, 2008 Edition (Eurostat, 2008).

The ESSPROS classification scheme has many merits in providing a breakdown of social benefits according to the purposes for which they are paid, irrespective of the legislative or institutional structures behind them. However, it is not possible to collect data directly according to this classification because of its unfamiliarity to survey respondents. Therefore, data must be collected in ways that are familiar to respondents, with correspondence tables used to map the national social benefit system onto ESSPROS. In order for this mapping to be as accurate as possible, it is important that the survey provides comprehensive prompts to the respondent to ensure that all benefit receipts are reported, that each can be correctly ascribed to a particular social protection scheme and that this information is properly recorded in the questionnaire.

**Unemployment benefits (PY090G):** Unemployment benefits refer to benefits that:

- Replace, in whole or in part, income lost by a worker due to the loss of gainful employment;
- Provide a subsistence (or better) income to persons entering or re-entering the labour market;
- Compensate for the loss of earnings due to partial unemployment;

- Replace, in whole or in part, income lost by an older worker who retires from gainful employment before the legal retirement age because of job cuts made by their employer for economic reasons;
- Contribute to the cost of training or re-training people looking for employment; or
- Help unemployed persons meet the cost of travelling or relocating to obtain employment.

These include:

- **Full unemployment benefits:** benefits compensating for loss of earnings where a person is capable of working and available for work but is unable to find suitable employment, including persons who had not previously been employed;
- **Partial unemployment benefits:** benefits compensating for the loss of wages or salary due to formal short-time working arrangements, and/or intermittent work schedules, irrespective of their cause (business recession or slow-down, breakdown of equipment, climatic conditions, accidents and so on), and where the employer/employee relationship continues;
- **Early retirement for labour market reasons:** periodic payments to older workers who retire before reaching standard retirement age due to unemployment or to job reductions caused by economic measures such as the restructuring of an industrial sector or of a business enterprise. These payments normally cease when the beneficiary becomes entitled to an old age pension.
- **Vocational training allowance:** payments by social security funds or public agencies to targeted groups of persons in the labour force who take part in training schemes intended to develop their employability;
- **Mobility and resettlement benefits:** payments by social security funds or public agencies to unemployed persons to encourage them to move to another locality or change their occupation in order to seek or to obtain work;
- **Severance and termination payments:** benefits compensating employees for employment that ends before the employee has reached the normal retirement age for that job;
- **Redundancy compensation:** capital sums paid to employees who have been dismissed through no fault of their own by an enterprise that is ceasing to operate or cutting down its activities.
- **Other cash benefits:** other financial assistance, particularly payments made to the long-term unemployed.

It excludes:

- Family allowances paid for dependent children (which are included under 'Family/children related allowances' (HY050G)).

**Unemployment benefits (PY090N):** The net income component corresponds to the gross income components but the tax at source, the social insurance contributions, or both, (if applicable) are deducted.

*Comments about unemployment benefits:* There are two concepts related to vocational training allowance under the unemployment benefit function:

- The vocational training allowance, i.e. payment by social security funds or public agencies to targeted groups of persons in the labour force who take part in training schemes intended to develop their potential for employment. This is considered as benefit in cash and thus included in PY090;
- A benefit (in kind) related to vocational training, i.e. payments by social security funds or public agencies to institutions that provide training courses to unemployed people. These benefits are excluded from EU-SILC.

**Old age benefits (PY100G):** The Old Age function refers to the provision of social protection against the risk linked to old age, loss of income, inadequate income, lack of independence in carrying out daily tasks, reduced participation in social life, and so on.

Old age benefits cover benefits that provide a replacement income when the person retires from the labour market or which guarantee a certain income when a person has reached a prescribed age.

These include:

- **Old age pensions:** periodic payments intended to maintain the income of the beneficiary after retirement from gainful employment at the standard age, or to supplement the income of old persons;
- **Anticipated old age pensions:** periodic payments intended to maintain the income of beneficiaries who retire before the standard age as defined in the relevant scheme or in the scheme of reference. This may occur with or without a reduction of the normal pension;
- **Partial retirement pensions:** periodic payments of a portion of the full retirement pension to older workers who continue to work but who reduce their working hours or for whom the income from a professional activity is below a defined ceiling;
- **Care allowances:** benefits paid to old people who need frequent or constant assistance to help them meet the additional costs of obtaining care that is required to assist them in old age (other than medical care) when the benefit is not a reimbursement of certified expenditure;
- Disability cash benefits paid after the standard retirement age;
- Lump-sum payments at the normal retirement date;
- **Other cash benefits:** other periodic and lump-sum benefits paid upon retirement or on account of old age, such as capital sums paid to people who do not fully meet the requirements for a periodic retirement pension, or who were members of a scheme designed to provide only capital sums at retirement.

These exclude:

- Family allowances for dependent children (which are included under 'family/children

related allowances' (HY050G));

- Early retirement benefits paid for labour market reasons or in the case of reduced capacity to work (they are included respectively under 'unemployment benefits' (PY090G) or under 'disability benefits' (PY130G));
- Benefits paid to old people who need frequent or constant assistance to help them meet the additional costs of additional costs of care associated with old age when the benefits are reimbursed against a certified expenditure.

**Survivor's benefits (PY110G):** Survivors' benefits refer to benefits that provide a temporary or permanent income to people below the retirement age who have suffered from the loss of their spouse, partner or next-of-kin, usually when the latter represented the main breadwinner for the beneficiary.

Survivors eligible for benefit may be the spouse or ex-spouse of the deceased person, his or her children, grandchildren, parents or other relatives. In some cases, the benefit may also be paid to someone outside the family.

A survivor's benefit is normally granted on the basis of a derived right, that is, a right originally belonging to another person whose death is a condition for granting the benefit.

It includes:

- **Survivor's pension:** periodic payments to people whose entitlement derives from their relationship with a deceased person protected by a scheme (widows, widowers, orphans and similar) (even after the standard retirement age);
- **Death grant:** a single payment to someone whose entitlement derives from their relationship with a deceased person (widows, widowers, orphans and similar);
- **Other cash benefits:** other periodic or lump-sum payments made by virtue of a derived right of a survivor.

It excludes:

- Family allowances for dependent children (These benefits are included under Family/children related allowance (HY050G));
- Funeral expenses;
- Additional payments made by employers to other eligible persons to supplement the survivors' benefits pay entitlement from a social insurance scheme, where such payments cannot be separately and clearly identified as social benefits (those payments are included under 'gross employee cash or near cash income' (PY010G));

*Note:* periodic payments to people whose entitlement derives from their relationship with a deceased person during a war are included in PY110. Survivor's benefits paid after the standard retirement age are included under 'old age benefits'

**Sickness benefits (PY120G):** Sickness benefits refer to cash benefits that replace, in whole or in part, the loss of earnings during a temporary inability to work due to sickness or injury.

Sickness benefits include:

- **Paid sick leave:** flat-rate or earnings-related payments intended to compensate the protected person, in full or in part, for the loss of earnings caused by their temporary inability to work due to sickness or injury. These benefits may be paid by autonomous social protection schemes, but they may also be provided by the employer in form of a continued payment of wages and salaries during the period of sickness;
- Paid leave in case of sickness or injury of a dependent child;
- Other cash benefits: miscellaneous payments made to protected people in connection with sickness or injury;

It excludes:

- Cash benefits that replace the loss of earnings during a temporary inability to work in the case of pregnancy (these benefits are included under 'family/children related allowance (HY050G));
- Cash benefits that replace loss of earnings during temporary inability to work in the case of disability (these benefits are included under 'disability benefits' (PY130G));
- Payments made for employers to an employee in lieu of wages and salaries through a social insurance scheme when unable to work due to sickness, where such payment cannot be separately and clearly identified as social benefits (these payments are included under 'gross employee cash or near cash income' (PY010G));
- Additional payments made by employers to an employee to supplement the sickness leave pay entitlement from a social insurance scheme, where such payments cannot be separately and clearly identified as social benefits (those payments are included under 'gross employee cash or near cash income' (PY010G)).

**Disability benefits (PY130G):** Disability benefits refer to benefits that provide an income to persons below the standard retirement age whose ability to work and earn is impaired beyond a minimum level laid down by legislation by a physical or mental disability.

Disability is the full or partial inability to engage in economic activity or to lead a normal life due to a physical or mental impairment which is likely to be either permanent or to persist beyond a minimum prescribed period.

It includes:

- **Disability pension:** periodic payments intended to maintain or support the income of someone below the standard retirement age who suffers from a disability which impairs his or her ability to work or earn beyond a minimum level laid down by legislation;
- **Early retirement in the case of a reduced ability to work:** periodic payments to older workers who retire before reaching standard retirement age as a result of reduced ability to work. These pensions normally cease when the beneficiary becomes entitled to an old age pension;
- **Care allowance:** benefit paid to disabled people who are below the standard

retirement age who need frequent or constant assistance to help them meet the additional costs of care related to their disability (other than medical care). The benefit must not be a reimbursement of certified expenditure;

- **Economic integration of the handicapped:** allowances paid to disabled people when they undertake work adapted to their condition, normally in a sheltered workshop, or when they undergo vocational training;
- Disability benefits to disabled children in their own right, irrespective of dependency;
- Other cash benefits: periodic and lump-sum payments not falling under the above headings, such as occasional income support and so on.

It excludes:

- Benefits provided to replace, in whole or in part, earnings during temporary incapacity to work due to sickness or injury (these benefits are included under 'sickness benefits' (PY120G));
- Family allowances paid to recipients of disability benefits (these benefits are included under 'family/children related allowances' (HY050G));
- Benefits paid to the surviving dependants of disabled people, such as pensions (these benefits are included under 'Survivors benefits' (PY110G));
- Benefits that are a reimbursement of certified expenditure;
- Disability cash benefits paid after the standard retirement age (these benefits are included under 'old age benefits' (PY100G));
- Payments made by employers to an employee or former employee in lieu of wages and salaries through a social insurance scheme when unable to work through disability where such payment cannot be separately and clearly identified as social benefits (these payments are included under 'gross employee cash or near cash income' (PY010G));
- Additional payments made by employers to an employee or former employee to supplement the disability leave pay entitlement from a social insurance scheme, where such payments cannot be separately and clearly identified as social benefits (those payments are included under 'gross employee cash or near cash income' (PY010G));

*Note:* periodic payment intended to maintain or support the income of someone below the standard retirement age who suffers from a disability obtained during a 'war' are included under PY130. Disability cash benefits paid after the standard retirement age are included under 'old age benefits' (PY100G)).

*Comments:* See PY090G/PY090N: Unemployment benefits

**National system of pensions:** ESSPROSS points out that in the majority of MSs, the old-age disability and survivors' functions take part of consistent group of benefits organised like a own system. This group is often known as the 'National System of Pensions'

According to ESPROSS recommendations, all these benefits should be recorded as old-age

benefits for people above retirement age as established in the reference national scheme.

For people below the retirement age, a question should be asked in order to separate the different types of benefits.

***Survivors function:*** The survivors' function should include not only the survivors' pension from the National insurance scheme, but also survivors' pensions from occupational pensions.

***Social benefits:*** See PY090G

***Education-related allowances (PY140G):*** Education allowances refer to grants, scholarships and other assistance for education that is received by students.

***Comments:*** See PY090G

*The net income component corresponds to the gross income components, but the tax at source, the social insurance contributions, or both, if applicable) are deducted.*

**PY091G: Unemployment benefits (Contributory and means-tested)****PY101G: Old-age benefits (Contributory and means-tested)****PY111G: Survivor' benefits (Contributory and means-tested)****PY121G: Sickness benefits (Contributory and means-tested)****PY131G: Disability benefits (Contributory and means-tested)****PY141G: Education-related allowances (Contributory and means-tested)**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99      Income (national currency) 0                      No income
<b>Flags</b>	2 : filled with mixed components 1 : filled with only contributory and means-tested components 0: No income -1 : missing -2 : N/A This scheme doesn't exist at national level -7: N/A PB010 < last year

**Description**

See the detailed description of variables PY090, PY100, PY110 PY120 PY130 and PY140.

The "Contributory" and "Means-tested" definitions are the same as applied in ESSPROS<sup>1</sup>.

Contributory schemes are social protection schemes that require the payment of contributions, by the protected persons or by other parties on their behalf, in order to secure individual entitlement to benefits. Contributory schemes are sometimes referred to as social insurance schemes. By convention, all non-autonomous schemes that employers run in favour of their employees, former employees and their dependants are classified as contributory schemes.

Means-tested social benefits are social benefits which are explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level.

*If flag 2 is used, please fill in comments in the associated metadata file*

<sup>1</sup> ESSPROS manual can be found at:

[http://epp.eurostat.ec.europa.eu/portal/page/portal/product\\_details/publication?p\\_product\\_code=KS-RA-12-014](http://epp.eurostat.ec.europa.eu/portal/page/portal/product_details/publication?p_product_code=KS-RA-12-014)

**PY092G: Unemployment benefits (Contributory and non means-tested)****PY102G: Old-age benefits (Contributory and non means-tested)****PY112G: Survivor' benefits (Contributory and non means-tested)****PY122G: Sickness benefits (Contributory and non means-tested)****PY132G: Disability benefits (Contributory and non means-tested)****PY142G: Education-related allowances (Contributory and non means-tested)**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99      Income (national currency) 0                      No income
<b>Flags</b>	2 : filled with mixed components 1 : filled with only contributory and non means-tested components 0: No income -1 : missing -2 : N/A This scheme doesn't exist at national level -7: N/A PB010 < last year

**Description**

See the detailed description of variables PY090, PY100, PY110 PY120 PY130 and PY140.

The "Contributory" and "non means-tested" definitions are the same as applied in ESSPROS.

Contributory schemes are social protection schemes that require the payment of contributions, by the protected persons or by other parties on their behalf, in order to secure individual entitlement to benefits.

Contributory schemes are sometimes referred to as social insurance schemes. By convention, all non-autonomous schemes that employers run in favour of their employees, former employees and their dependants are classified as contributory schemes

Non Means-tested social benefits are social benefits which are NOT explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level.

*If flag 2 is used, please fill in comments in the associated metadata file*

**PY093G: Unemployment benefits (Non-Contributory and means-tested)**

**PY103G: Old-age benefits (Non-Contributory and means-tested)**

**PY113G: Survivor' benefits (Non-Contributory and means-tested)**

**PY123G: Sickness benefits (Non-Contributory and means-tested)**

**PY133G: Disability benefits (Non-Contributory and means-tested)**

**PY143G: Education-related allowances (Non-Contributory and means-tested)**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99      Income (national currency) 0                      No income
<b>Flags</b>	2 : filled with mixed components 1 : filled with only Non-contributory and means-tested components 0: No income -1 : missing -2 : N/A This scheme doesn't exist at national level -7: N/A PB010 < last year

#### **Description**

*See to the detailed description of variables PY090, PY100, PY110 PY120 PY130 and PY140.*

*The "Non-contributory" and "means-tested" definitions are the same as applied in ESSPROS.*

Non-contributory schemes are social protection schemes in which eligibility to benefits is not conditional on the payment of contributions by the protected persons or by other parties on their behalf.

Means-tested social benefits are social benefits which are explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level.

*If flag 2 is used, please fill in comments in the associated metadata file*

**PY094G: Unemployment benefits (Non-contributory and non means-tested)**

**PY104G: Old-age benefits (Non-contributory and non means-tested)**

**PY114G: Survivor' benefits (Non-contributory and non means-tested)**

**PY124G: Sickness benefits (Non-contributory and non means-tested)**

**PY134G: Disability benefits (Non-contributory and non means-tested)**

**PY144G: Education-related allowances (Non-contributory and non means-tested)**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Income reference period
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99      Income (national currency) 0                      No income
<b>Flags</b>	2 : filled with mixed components 1 : filled with only Non-contributory and non means-tested components 0: No income -1 : missing -2 : N/A This scheme doesn't exist at national level -7: N/A PB010 < last year

#### **Description**

*See the detailed description of variables PY090, PY100, PY110 PY120 PY130 and PY140.*

*The "Non-contributory" and "non means tested" definitions are the same as applied in ESSPROS.*

Non-contributory schemes are social protection schemes in which eligibility to benefits is not conditional on the payment of contributions by the protected persons or by other parties on their behalf.

Non Means-tested social benefits are social benefits which are NOT explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level.

*If flag 2 is used, please fill in comments in the associated metadata file*

**PY200G: Gross monthly earnings for employees**

<b>Domain/Area</b>	Income/Gross personal income, total and components at personal level
<b>Transmission type</b>	Regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over
<b>Mode of collection</b>	Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
<b>Values</b>	1 - 999999.99      Income (national currency) 0                      No income
<b>Flags</b>	<i>See chapter 'INCOME FLAGS'</i>  Additional value allowed: -2      Not applicable (PL040 not equal to 3 or MS has other source to calculate the gender pay gap or to analyse it)

**Description**

The gross amount refers to the amount before tax and social insurance contributions are deducted.

It refers to the monthly amount in the main job for employees.

It includes usual paid overtime, tips and commission but excludes income from investments-assets, savings, stocks and shares .

If a person receives, as a part of a salary, supplementary payments (13th or 14th month payments), or payments such as holiday pay, profit share, bonuses, these payments should be taken into account on a monthly basis.

Only monetary earnings should be taken into account.

See PY010G/PY010N: Employee cash or near cash income.

## Chapter 3. Description of ad-hoc modules

**2015 Module on Social and cultural participation and Material deprivation (guidelines and questionnaire)**

### **Unit:**

The target variables relate to two types of units:

Individual: all variables except for the one related to the “Financial stress”.

Household: variable related to the “Financial stress”.

### **Mode of data collection:**

For the variable applying at household level, the mode of data collection is personal interview with the household respondent.

For variables applying at individual level, the mode of data collection is personal interview with all current household members aged 16 and over or, if applicable, with each selected respondent.

The age refers to the age at the end of the income reference period.

Given the type of information to be collected, only personal interviews (proxy interviews as an exception for persons temporarily absent or incapacitated) are allowed.

### **Reference period:**

The target variables relate to three types of reference periods:

Last twelve months: for the variables related to the “Participation in cultural and sport event” and “Formal and informal social participation”.

Usual: for the variables related to the “Practise of artistic activities” and “Integration with relatives, friends and neighbours”.

Current: for the variables related to the “Material deprivation”.

### **Data transmission:**

The target secondary variables should be sent to the Commission (Eurostat) in the Household Data File (H-file) and in the Personal Data File (P-file) after the target primary variables.

**PS010: Going to the cinema**

<b>Domain/Area</b>	Social and cultural participation/ Participation in cultural or sport event
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last twelve months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> At most 3 times <i>2</i> More than 3 times <i>3</i> No - cannot afford it <i>4</i> No - lack of interest <i>5</i> No - no cinema nearby <i>6</i> No - other reasons
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 $\neq$ last year

**Description**

The number of times the respondent went to the cinema, during the last twelve months.

If the answer is “No” the most important reason should be selected.

The term “nearby” does not have to be understood only as physical distance but also in terms of accessibility. E.g. if a cinema is located 10 kilometres from the respondent’s dwelling but it is easily accessible by the public transport, it should be considered nearby.

Warning:

Different modalities compared to 2006 module

**PS020: Going to live performances**

<b>Domain/Area</b>	Social and cultural participation/ Participation in cultural or sport event
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last twelve months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> At most 3 times <i>2</i> More than 3 times <i>3</i> No - cannot afford it <i>4</i> No - lack of interest <i>5</i> No - no live performances nearby <i>6</i> No - other reasons
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 ≠ last year

**Description**

The number of times, during the last twelve months, the respondent went to any live performance, whether it was performed by professionals or amateurs. Going to live performances to watch one's own children should be included. Live performances include theatre plays, concerts, operas, ballet, dance performances, etc. Street performances should also be included; however only organised events should be counted. E.g. if the respondent was passing by somebody playing an instrument, this is not counted; on the other hand if the respondent attended a concert played in the park, this should be included.

Visits to live sport events should not be included.

Participation of the respondent in live performances is excluded.

If the answer is "No" the most important reason should be selected.

The term "nearby" does not have to be understood only as physical distance but also in terms of accessibility. E.g. if a theatre is located 10 kilometres from the respondent's dwelling but it is easily accessible by the public transport it should be considered nearby.

Warning:

Different modalities compared to 2006 module

**PS030: Visits to cultural sites**

<b>Domain/Area</b>	Social and cultural participation/ Participation in cultural or sport event
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last twelve months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> At most 3 times <i>2</i> More than 3 times <i>3</i> No - cannot afford it <i>4</i> No - lack of interest <i>5</i> No - no cultural sites nearby <i>6</i> No - other reasons
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 ≠ last year

**Description**

The number of times, during the last twelve months, the respondent visited cultural sites such as historical monuments, museums, art galleries, archaeological sites, etc.

Only visits whose purpose is to become acquainted with cultural or historical content of the site, either planned or spontaneous, should be included.

If the answer is “No” the most important reason should be selected.

The term “nearby” does not have to be understood only as physical distance but also in terms of accessibility. E.g. if a museum is located 10 kilometres from the respondent’s dwelling but it is easily accessible by the public transport it should be considered nearby.

Warning:

Different modalities compared to 2006 module

**PS040: Attendance to live sport events**

<b>Domain/Area</b>	Social and cultural participation/ Participation in cultural or sport event
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last twelve months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> At most 3 times <i>2</i> More than 3 times <i>3</i> No - cannot afford it <i>4</i> No - lack of interest <i>5</i> No - no live sport events nearby <i>6</i> No - other reasons
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 ≠ last year

**Description**

The number of times, during the last twelve months, the respondent attended a live sport event whether it was performed by professionals or amateurs. Attending an event to watch one's own children should be included. Only organised events should be included, i.e. watching one's own children playing football on the playground is excluded.

Respondent's participation in live sporting events is excluded.

If the answer is "No" the most important reason should be selected. The term "nearby" does not have to be understood only as physical distance but also in terms of accessibility. E.g. if a stadium is located 10 kilometres from the respondent's dwelling but it is easily accessible by the public transport it should be considered nearby.

Warning:

Different modalities compared to 2006 module

**PS041: Practice of artistic activities**

<b>Domain/Area</b>	Social and cultural participation/Practice of artistic activities
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Usual
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> Daily <i>2</i> Every week (not every day) <i>3</i> Several times a month (not every week) <i>4</i> Once a month <i>5</i> At least once a year (less than once a month) <i>6</i> Never
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 ≠ last year

**Description**

The frequency with which the respondent usually practices some of the artistic activities such as play an instrument, compose music, sing, dance, act, photograph, make video, draw, paint, carve or do other visual arts, handcraft, write poems, short stories, fiction, etc.

Only activities performed as a hobby should be included. It is not important if the activities are organised or not.

If the respondent performs more than one activity, the time spent on all of them should be counted.

All activities performed as respondent's professional activity are excluded.

Warning:

New variable

**PS050: Frequency of getting together with family (relatives)**

<b>Domain/Area</b>	Social and cultural participation/ Integration with relatives, friends and neighbours
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Usual
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> Daily <i>2</i> Every week (not every day) <i>3</i> Several times a month (not every week) <i>4</i> Once a month <i>5</i> At least once a year (less than once a month) <i>6</i> Never
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> NA (No relatives) <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 $\neq$ last year

**Description**

The frequency with which the respondent usually gets together with family during a usual year. Only relatives who don't live in the respondent's household should be considered.

If the respondent meets his/her relatives once a year during holidays or feasts, the answer shall be "at least once a year".

To get together means spending some time with relatives at home or elsewhere. It can be talking or doing some kind of activities together. Merely encountering someone by chance is not considered as "being together".

If the respondent gets together with many relatives all meetings should be counted.

Family (relatives) should be understood in its widest meaning. It includes father/mother/children, siblings, grandparents, aunts, uncles, cousins, nephews, nieces, families-in-law, etc.

**PS060: Frequency of getting together with friends**

<b>Domain/Area</b>	Social and cultural participation/ Integration with relatives, friends and neighbours
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Usual
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> Daily <i>2</i> Every week (not every day) <i>3</i> Several times a month (not every week) <i>4</i> Once a month <i>5</i> At least once a year (less than once a month) <i>6</i> Never
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> NA (No friends) <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 $\neq$ last year

**Description**

The frequency with which the respondent usually gets together with friends during a usual year. Only friends who don't live in the respondent's household should be considered.

If the respondent meets his/her friends once a year during holidays or feasts, the answer shall be "at least once a year".

To get together means spending time with friends at home or elsewhere. It can be talking or doing some kind of activities together. Merely encountering someone by chance is not considered as "being together".

If the respondent gets together with many friends all meetings should be counted.

Friends should be understood in the widest meaning, as people the respondent enjoys being with and with whom he/she shares private matters.

Getting together with friends for professional matters only is excluded.

**PS070: Frequency of contacts with family (relatives)**

<b>Domain/Area</b>	Social and cultural participation/ Integration with relatives, friends and neighbours
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Usual
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> Daily <i>2</i> Every week (not every day) <i>3</i> Several times a month (not every week) <i>4</i> Once a month <i>5</i> At least once a year (less than once a month) <i>6</i> Never
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> NA (No relatives) <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 ≠ last year

**Description**

The frequency with which the respondent is usually in contact with family during a usual year. Contact can be made by telephone, sms, letter, fax, Internet (e-mail, Skype, Facebook, FaceTime or other social networks and other Internet communication tools), etc. Only relatives who don't live in the respondent's household should be considered. It should be real contact, e.g. a letter or a conversation. Sharing or viewing photos is not a real contact and is excluded.

If the respondent is in contact with many relatives all of them should be counted.

Family (relatives) should be understood in its widest meaning. It includes father/mother/children, siblings, grandparents, aunts, uncles, cousins, nephews, nieces, families-in-law, etc.

**PS080: Frequency of contacts with friends**

<b>Domain/Area</b>	Social and cultural participation/ Integration with relatives, friends and neighbours
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Usual
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> Daily <i>2</i> Every week (not every day) <i>3</i> Several times a month (not every week) <i>4</i> Once a month <i>5</i> At least once a year (less than once a month) <i>6</i> Never
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-2</i> NA (No friends) <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 $\neq$ last year

**Description**

The frequency with which the respondent is usually in contact with friends during a usual year. Contact can be made by telephone, sms, letter, fax, Internet (e-mail, Skype, Facebook, FaceTime or other social networks and other Internet communication tools), etc. Only friends who don't live in the respondent's household should be considered. It should be real contact, e.g. a letter or a conversation. Sharing or viewing photos is not a real contact and is excluded.

If the respondent is in contact with many friends all of them should be counted.

Friends should be understood in the widest meaning, as people the respondent enjoys being with and with whom he/she shares private matters.

**PS081: Communication via social media**

<b>Domain/Area</b>	Social and cultural participation/ Integration with relatives, friends and neighbours
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Usual
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> Daily <i>2</i> Every week (not every day) <i>3</i> Several times a month (not every week) <i>4</i> Once a month <i>5</i> At least once a year (less than once a month) <i>6</i> Never
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 ≠ last year

**Description**

The frequency with which the respondent participates actively in social networking sites, such as community-based web sites, online discussions forums, chat rooms and other social spaces online. Active participation means not only joining social networks but also contributing actively to the discussion. Posting messages, photos, “likes”, etc. is also included. The nature of the issue discussed in the network should not be taken into account.

A social media should be understood as any website that enables users to create public profiles within that website and form relationships with other users (not necessarily friends or people really close to him/her) of the same website who access their profile. The examples of such social media can be: Facebook, My Space, LinkedIn, Twitter etc.

Warning:

New variable

**PS090: Help from others**

<b>Domain/Area</b>	Social and cultural participation/ Integration with relatives, friends and neighbours
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Usual
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing -2 NA (No relatives, friends, neighbours) -3 Not selected respondent -7 Not applicable: PB010 ≠ last year

**Description**

The respondent's ability to ask for help (any kind of help: moral, material or financial) from any relatives, friends or neighbours. Both relatives and friends should be understood in their widest meaning. The question is about the possibility for the respondent to ask for help whether the respondent needs it or not.

Only people who don't belong to the respondent's household should be considered.

**PS091: Personal matters (anyone to discuss with)**

<b>Domain/Area</b>	Social and cultural participation/ Integration with relatives, friends and neighbours
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Usual
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No
<b>Flags</b>	1 Filled -1 Missing -3 Not selected respondent -7 Not applicable: PB010 ≠ last year

**Description**

The presence of at least one person the respondent can discuss personal matters with. The potential is of having somebody to discuss personal matters with, whether the respondent needs it or not. It can be anybody, including household members and not necessarily family or friends.

Warning:

New variable

**PS100: Participation in informal voluntary activities**

<b>Domain/Area</b>	Social and cultural participation/ Formal and informal social participation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last twelve months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> Yes <i>2</i> No – lack of interest <i>3</i> No – lack of time <i>4</i> No – other reason
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 ≠ last year

**Description**

If the respondent, during the last twelve months, undertook any informal unpaid activities that were not arranged by any organisation.

It includes such activities as:

- helping other people, including family members not living in the same household (e.g. cooking for others; taking care of people in hospitals/at home; taking people for a walk, shopping, etc)
- helping animals (e.g. taking care of homeless, wild animals)
- other informal voluntary activities such as cleaning a beach, a forest etc.

Any activity that respondent undertakes for his/her household or in his/her work are excluded.

Activities undertaken within charitable organisations should also be excluded.

**PS101: Participation in formal voluntary work**

<b>Domain/Area</b>	Social and cultural participation/ Formal and informal social participation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last twelve months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No – lack of interest 3 No – lack of time 4 No – other reason
<b>Flags</b>	1 Filled -1 Missing -3 Not selected respondent -7 Not applicable: PB010 ≠ last year

**Description**

If the respondent, during the last twelve months, did any unpaid non-compulsory work for or through an organisation, a formal group or a club. It also includes unpaid work for charitable or religious organisations.

Attending meetings connected with these activities is included.

Unpaid non-compulsory work should be understood as volunteer work conducted to help other people, the environment, animals, the wider community, etc.

Unpaid internship in the company that makes profit is excluded.

Warning:

New variable

**PS102: Active citizenship**

<b>Domain/Area</b>	Social and cultural participation/ Formal and informal social participation
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Last twelve months
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No – lack of interest 3 No – lack of time 4 No – other reason
<b>Flags</b>	1 Filled -1 Missing -3 Not selected respondent -7 Not applicable: PB010 ≠ last year

**Description**

If the respondent, during the last twelve months, participated in activities related to active citizenship, such as participation to the activities of a political party or a local interest group, participation in a public consultation, peaceful protest including signing a petition, participation in a demonstration, writing a letter to a politician, writing a letter to the media. Active participation via Internet (e.g. petition, letter, etc.) should be taken into account.

Attending meetings connected with these activities is included.

There should be no mention or discussion of political affiliation or the nature of the activities undertaken. Voting should not be considered as active citizenship (in some countries voting is compulsory).

Warning:

New variable

**HD080: Replacing worn-out furniture**

<b>Domain/Area</b>	Material deprivation/Financial stress
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	Household
<b>Mode of collection</b>	Household respondent
<b>Values</b>	<i>1</i> Yes <i>2</i> No - household cannot afford it <i>3</i> No - other reason
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-7</i> Not applicable: HB010 <2013

**Description**

The term "furniture" corresponds to the objects such as tables, chairs, beds, desks, dressers, cupboards, etc. kept in the dwelling to make it suitable or comfortable for living or working in. Second-hand furniture can be taken into account.

This variable is different from the EU-SILC core HS060 "Capacity to face unexpected financial expenses" which aims to capture problems of shortage of money and where, about the time scale, the focus is on the short term. The list of concerned expenses is also different as this variable HD080 only refers to furniture.

**PD020: Replace worn-out clothes by some new (not second-hand) ones**

<b>Domain/Area</b>	Material deprivation/Basic needs
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No - cannot afford it 3 No - other reason
<b>Flags</b>	1 Filled -1 Missing -3 Not selected respondent -7 Not applicable: PB010 <2013

**Description**

The focus is on the replacement of the worn out clothes by some new clothes (such as suit, winter coat, pullover, etc.). The variable refers to worn out clothes, not to old-fashioned ones.

**PD030: Two pairs of properly fitting shoes (including a pair of all-weather shoes)**

<b>Domain/Area</b>	Material deprivation/Basic needs
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No - cannot afford it 3 No - other reason
<b>Flags</b>	1 filled -1 Missing -3 Not selected respondent -7 Not applicable: PB010 <2013

**Description**

The concept of shoes has to be understood in a broad sense. It could include boots, sandals, etc. according to the climatic conditions of the concerned country.

On the other hand, all-weather shoes could be defined as any daily life shoes with the exception of sandals and boots.

**PD050: Get-together with friends/family (relatives) for a drink/meal at least once a month**

<b>Domain/Area</b>	Material deprivation/Leisure and social activities
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No - cannot afford it 3 No - other reason
<b>Flags</b>	1 Filled -1 Missing -3 Not selected respondent -7 Not applicable: PB010 <2013

**Description**

**Friends:** Friends should be understood in the widest meaning as people the respondent enjoys being with and with whom the respondent shares private matters.

**Family (relatives):** The family, or relatives, should be understood in its widest meaning. It includes father/mother/children, siblings, grandparents, aunts, uncles, cousins, nephews, nieces, families-in-law, etc.

**To get together for a drink/meal:** To get-together for a drink/meal means spending time eating and/or drinking with friends or family (relatives) at home or elsewhere (restaurant, pub, etc.). Getting together with friends for professional matters only is excluded.

The "No - cannot afford it" answer for getting together for a drink/meal refers to the financial exclusion/ deprivation.

The "No - other reason" answer for this variable refers to another type of exclusion, namely the social exclusion.

This formulation is thought to be more adapted in a cross national perspective because having friends at home is not the main way to have social relation in all countries. This variable aims to take into account the multi-cultural specificities as well as the financial and social aspects of deprivation.

**PD060: Regularly participate in a leisure activity**

<b>Domain/Area</b>	Material deprivation/Leisure and social activities
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No - cannot afford it 3 No - other reason
<b>Flags</b>	1 Filled -1 Missing -3 Not selected respondent -7 Not applicable: PB010 <2013

**Description**

**Regularly**

The term "regularly" is linked to the considered activity(ies) and is to be self-defined by the respondent. However, a "yes" answer should imply that leisure activities (all together) are done several times per year.

**Leisure activity**

The considered activity(ies) such as sport, cinema, concert, etc should occur outside home. This(these) would cost some money for entrance and/or travel costs (e.g. swimming), for purchase costs (e.g. riding a bicycle) or for participating costs in an organised play events (e.g. football club fees)..

Formal organisation of activities is not an important element.

**PD070: Spend a small amount of money each week on yourself**

<b>Domain/Area</b>	Material deprivation/Leisure and social activities
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	1 Yes 2 No - cannot afford it 3 No - other reason
<b>Flags</b>	1 Filled -1 Missing -3 Not selected respondent -7 Not applicable: PB010 <2013

**Description**

To spend a small amount of money on yourself means to freely spend money, e.g., to go to the movies, to buy a small object, to buy a magazine, a small book, a cake, an ice-cream in summer or other small things to eat, cigarettes, to go to the hairdresser, etc.

The "Yes" answer means that the person can afford to spend this money without having to consult anyone.

**PD080: Internet connection for personal use at home**

<b>Domain/Area</b>	Material deprivation/Durables
<b>Transmission type</b>	Early and regular
<b>Reference period</b>	Current
<b>Unit</b>	All current household members aged 16 and over or selected respondent (where applies)
<b>Mode of collection</b>	Personal interview
<b>Values</b>	<i>1</i> Yes <i>2</i> No - cannot afford it <i>3</i> No - other reason
<b>Flags</b>	<i>1</i> Filled <i>-1</i> Missing <i>-3</i> Not selected respondent <i>-7</i> Not applicable: PB010 <2013

**Description**

The **internet access** can be via Smartphone (e.g. BlackBerry/iPhone), other wireless handheld device (tablet, etc ...), video games console, laptop, desktop computer, TV etc.

Example of internet activities for personal use: social networking, sending/receiving emails, using services related to travel and accommodation, creating web pages, blogs, Internet banking, reading or downloading online music, video, news etc, looking for information, telephoning or making video calls, buying/Selling goods or services, taking part in online consultations or voting on civic or political issues etc.

The household member is considered to have internet connection for personal use at home only if all the needs for personal use he/she are fully fulfilled by this connection.

**PROPOSAL FOR A CORRESPONDING QUESTIONNAIRE**

**MATERIAL DEPRIVATION**

**In the household questionnaire**

<b>HD080</b>	<b>Could you tell me if your household replace worn-out furniture?</b>
1	Yes
2	No - household cannot afford it
3	No - other reason

**In the individual questionnaire**

<b>Could you tell me if you have or do the following?</b>					
		Yes	No - cannot afford it	No - other reason	Not selected respondent
PD020	Replace worn-out clothes by some new (not second-hand) ones?	1	2	3	flag -3
PD030	Have two pairs of properly fitting shoes (including a pair of all-weather shoes)?	1	2	3	flag -3
PD050	Could you tell me if you get together with friends/family (relatives) for a drink/meal at least once a month?	1	2	3	flag -3
PD060	Could you tell me if you regularly participate in a leisure activity such as sport, cinema, concert, etc.?	1	2	3	flag -3
PD070	Spend a small amount of money each week on yourself (without having to consult anyone)?	1	2	3	flag -3
PD080	Have access to Internet for personal use at home?	1	2	3	flag -3

**SOCIAL AND CULTURAL PARTICIPATION**

<b>PS010</b>	<b>Thinking about the last twelve months, did you go to the cinema?</b>
1	Yes
2	No
-3	Not selected respondent
<b>YES - how many times?</b>	
1	At most 3 times
2	More than 3 times
<b>NO - why not (please give only the most important reason)?</b>	
1	Cannot afford it
2	Lack of interest
3	No cinema nearby

Chapter 3 : Description of ad hoc modules
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4	Other reasons
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<b>PS020</b>	<b>Thinking about the last twelve months, did you attend any other live performances such as theatre plays, concerts, operas, ballet, dance performances etc. presented by professionals or amateurs?</b>
1	Yes
2	No
-3	Not selected respondent
	<b>YES - how many times?</b>
1	At most 3 times
2	More than 3 times
	<b>NO - why not (please give only the most important reason)?</b>
1	Cannot afford it
2	Lack of interest
3	No live performances nearby
4	Other reasons

<b>PS030</b>	<b>Thinking about the last twelve months, did you visit cultural sites such as historical monuments, museums, art galleries, archaeological sites, etc.?</b>
1	Yes
2	No
-3	Not selected respondent
	<b>YES - how many times?</b>
1	At most 3 times
2	More than 3 times
	<b>NO - why not (please give only the most important reason)?</b>
1	Cannot afford it
2	Lack of interest
3	No cultural sites nearby
4	Other reasons

<b>PS040</b>	<b>Thinking about the last twelve months, did you attend a live sport event with professionals or amateurs?</b>
1	Yes
2	No
-3	Not selected respondent
	<b>YES - how many times?</b>
1	At most 3 times
2	More than 3 times
	<b>NO - why not (please give only the most important reason)?</b>
1	Cannot afford it
2	Lack of interest
3	No live sport events nearby
4	Other reasons

Chapter 3 : Description of ad hoc modules

<b>How often do/are you usually:</b>									
		Daily	Every week (not every day)	Several times a month (not every week)	Once a month	At least once a year (less than once a month)	Never	Not applicable	Not selected respondent
PS050	Get together with your family (relatives)?	1	2	3	4	5	6	-2 (no relatives)	flag -3
PS060	Get together with your friends?	1	2	3	4	5	6	-2 (no friends)	flag -3
PS070	Contact your family (relatives) (by telephone, sms, letter, fax, Internet etc.)?	1	2	3	4	5	6	-2 (no relatives)	flag -3
PS080	Contact your friends (by telephone, sms, letter, fax, Internet etc.)?	1	2	3	4	5	6	-2 (no friends)	flag -3
PS041	Practice some of the following activities such as play an instrument, sing, dance, act, photograph, paint, carve, handcraft, write poems, etc. as a hobby?	1	2	3	4	5	6	-	flag -3
PS081	Active in any of social networking websites (e.g. Facebook, My Space, LinkedIn, Twitter etc.)?	1	2	3	4	5	6	-	flag -3

<b>PS090</b>	<b>Do you have any relatives, friends or neighbours that you can ask for help?</b>
1	Yes
2	No
-2	No relatives, friends, neighbours
-3	Not selected respondent

<b>PS091</b>	<b>Do you have anyone to discuss personal matters with?</b>
1	Yes
2	No
-3	Not selected respondent

Chapter 3 : Description of ad hoc modules

<b>PS101</b>	<b>Thinking about the last twelve months, did you do any unpaid non-compulsory work (or provide services) for or through an organisation, a formal group or a club?</b>
1 2 -3	Yes No Not selected respondent
	<b>NO - why not (please give only the most important reason)?</b>
1 2 3	Lack of interest Lack of time Other reason

<b>PS100</b>	<b>Thinking about the last twelve months, did you give some time to any informal unpaid activities (e.g. helping other people, helping animals etc.), that were not arranged by any organisation?</b>
1 2 -3	Yes No Not selected respondent
	<b>NO - why not (please give only the most important reason)?</b>
1 2 3	Lack of interest Lack of time Other reason

<b>PS102</b>	<b>Thinking about the last twelve months, did you participate actively in the activities of a political party or local interest group, in a public consultation, in a demonstration, in a peaceful protest including signing a petition, writing a letter to a politician or to the media, etc.?</b>
1 2 -3	Yes No Not selected respondent
	<b>NO - why not (please give only the most important reason)?</b>
1 2 3	Lack of interest Lack of time Other reason

# Annexes

**Annex 1: NUTS (NUTS-13)****CodeCountry Level 2****1) EU Member States****ÖSTERREICH**

AT11	Burgenland (A)
AT12	Niederösterreich
AT13	Wien
AT21	Kärnten
AT22	Steiermark
AT31	Oberösterreich
AT32	Salzburg
AT33	Tirol
AT34	Vorarlberg
ATZZ	Extra-Regio

**BELGIQUE-BELGIË**

BE10	Région de Bruxelles-Capitale / Brussels Hoofdstedelijk Gewest
BE21	Prov. Antwerpen
BE22	Prov. Limburg (B)
BE23	Prov. Oost-Vlaanderen
BE24	Prov. Vlaams-Brabant
BE25	Prov. West-Vlaanderen
BE31	Prov. Brabant Wallon
BE32	Prov. Hainaut
BE33	Prov. Liège
BE34	Prov. Luxembourg (B)
BE35	Prov. Namur
BEZZ	Extra-Regio

**BULGARIA**

BG31	Severozapaden
BG32	Severen tsentralen
BG33	Severoiztochen
BG34	Yugoiztochen
BG41	Yugozapaden
BG42	Yuzhen tsentralen
BGZZ	Extra-Regio

**KYPROS / KIBRIS**

CY00	Kypros / Kibris
CYZZ	Extra-Regio

**CESKA REPUBLIKA**

CZ01	Praha
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CZ02	Stredni Cechy
CZ03	Jihozapad
CZ04	Severozapad
CZ05	Severovychod
CZ06	Jihovychod
CZ07	Stredni Morava
CZ08	Moravskoslezsko
CZZZ	Extra-Regio

**DEUTSCHLAND**

DE11	Stuttgart
DE12	Karlsruhe
DE13	Freiburg
DE14	Tübingen
DE21	Oberbayern
DE22	Niederbayern
DE23	Oberpfalz
DE24	Oberfranken
DE25	Mittelfranken
DE26	Unterfranken
DE27	Schwaben
DE30	Berlin
DE40	Brandenburg
DE50	Bremen
DE60	Hamburg
DE71	Darmstadt
DE72	Gießen
DE73	Kassel
DE80	Mecklenburg-Vorpommern
DE91	Braunschweig
DE92	Hannover
DE93	Lüneburg
DE94	Weser-Ems
DEA1	Düsseldorf
DEA2	Köln
DEA3	Münster
DEA4	Detmold
DEA5	Arnsberg
DEB1	Koblenz
DEB2	Trier
DEB3	Rheinessen-Pfalz
DEC0	Saarland
DED2	Dresden
DED4	Chemnitz
DED5	Leipzig
DEE0	Sachsen-Anhalt
DEF0	Schleswig-Holstein
DEG0	Thüringen
DEZZ	Extra-Regio

**DANMARK**

DK01	Hovedstaden
DK02	Sjælland
DK03	Syddanmark
DK04	Midtjylland
DK05	Nordjylland
DKZZ	Extra-Regio

**EESTI**

EE00	Eesti
EEZZ	Extra-Regio

**ESPAÑA**

ES11	Galicia
ES12	Principado de Asturias
ES13	Cantabria
ES21	País Vasco
ES22	Comunidad Foral de Navarra
ES23	La Rioja
ES24	Aragón
ES30	Comunidad de Madrid
ES41	Castilla y León
ES42	Castilla-La Mancha
ES43	Extremadura
ES51	Cataluña
ES52	Comunidad Valenciana
ES53	Illes Balears
ES61	Andalucía
ES62	Región de Murcia
ES63	Ciudad Autónoma de Ceuta
ES64	Ciudad Autónoma de Melilla
ES70	Canarias
ESZZ	Extra-Regio

**SUOMI / FINLAND**

FI19	Länsi-Suomi
FI1B	Helsinki-Uusimaa
FI1C	Etelä-Suomi
FI1D	Pohjois- ja Itä Suomi
FI20	Åland
FIZZ	Extra-Regio

**FRANCE**

FR10	Île de France
FR21	Champagne-Ardenne
FR22	Picardie
FR23	Haute-Normandie
FR24	Centre
FR25	Basse-Normandie

FR26	Bourgogne
FR30	Nord - Pas-de-Calais
FR41	Lorraine
FR42	Alsace
FR43	Franche-Comté
FR51	Pays de la Loire
FR52	Bretagne
FR53	Poitou-Charentes
FR61	Aquitaine
FR62	Midi-Pyrénées
FR63	Limousin
FR71	Rhône-Alpes
FR72	Auvergne
FR81	Languedoc-Roussillon
FR82	Provence-Alpes-Côte d'Azur
FR83	Corse
FR91	Guadeloupe
<u>FRA2</u>	Martinique
<u>FRA3</u>	Guyane
<u>FRA4</u>	Réunion
FRZZ	Extra-Regio

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**ELLADA**

<u>EL51</u>	"Anatoliki Makedonia, Thraki"
<u>EL52</u>	Kentriki Makedonia
<u>EL53</u>	Dytiki Makedonia
<u>EL61</u>	Thessalia
<u>EL54</u>	Ipeiros
<u>EL62</u>	Ionia Nisia
<u>EL63</u>	Dytiki Ellada
<u>EL64</u>	Stereia Ellada
<u>EL65</u>	Peloponnisos
EL30	Attiki
EL41	Voreio Aigaio
EL42	Notio Aigaio
EL43	Kriti
ELZZ	Extra-Regio

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**MAGYARORSZAG**

HU10	Kozep-Magyarország
HU21	Kozep-Dunántul
HU22	Nyugat-Dunántul
HU23	Del-Dunántul
HU31	Eszak-Magyarország
HU32	Eszak-Alföld
HU33	Del-Alföld
HUZZ	Extra-Regio

**IRELAND**

IE01 Border, Midland and Western  
IE02 Southern and Eastern  
IEZZ Extra-Regio

**HRVATSKA**

HR01 Sjeverozapadna Hrvatska  
HR02 Sredisnja i Istocna (Panonska) Hrvatska  
HR03 Jadranska Hrvatska

**ITALIA**

ITC1 Piemonte  
ITC2 Valle d'Aosta/Vallée d'Aoste  
ITC3 Liguria  
ITC4 Lombardia  
ITF1 Abruzzo  
ITF2 Molise  
ITF3 Campania  
ITF4 Puglia  
ITF5 Basilicata  
ITF6 Calabria  
ITG1 Sicilia  
ITG2 Sardegna  
ITH1 Provincia Autonoma Bolzano/Bozen  
ITH2 Provincia Autonoma Trento  
ITH3 Veneto  
ITH4 Friuli-Venezia Giulia  
ITH5 Emilia-Romagna  
ITI1 Toscana  
ITI2 Umbria  
ITI3 Marche  
ITI4 Lazio  
ITZZ Extra-Regio

**LIETUVA**

LT00 Lietuva  
LTZZ Extra-Regio

**LUXEMBOURG (GRAND-DUCHÉ)**

LU00 Luxembourg (Grand-Duché)  
LUZZ Extra-Regio

**LATVIJA**

LV00 Latvija  
LVZZ Extra-Regio

**MALTA**

MT00 Malta  
MTZZ Extra-Regio

**NEDERLAND**

NL11	Groningen
NL12	Friesland (NL)
NL13	Drenthe
NL21	Overijssel
NL22	Gelderland
NL23	Flevoland
NL31	Utrecht
NL32	Noord-Holland
NL33	Zuid-Holland
NL34	Zeeland
NL41	Noord-Brabant
NL42	Limburg (NL)
NLZZ	Extra-Regio

**POLSKA**

PL11	Lodzkie
PL12	Mazowieckie
PL21	Malopolskie
PL22	Slaskie
PL31	Lubelskie
PL32	Podkarpackie
PL33	Swietokrzyskie
PL34	Podlaskie
PL41	Wielkopolskie
PL42	Zachodniopomorskie
PL43	Lubuskie
PL51	Dolnoslaskie
PL52	Opolskie
PL61	Kujawsko-Pomorskie
PL62	Warminsko-Mazurskie
PL63	Pomorskie
PLZZ	Extra-Regio

**PORTUGAL**

PT11	Norte
PT15	Algarve
PT16	Centro (PT)
PT17	<u>Área Metropolitana de Lisboa</u>
PT18	Alentejo
PT20	Região Autónoma dos Açores
PT30	Região Autónoma da Madeira
PTZZ	Extra-Regio

Deleted: Lisboa

**ROMANIA**

RO11	Nord-Vest
RO12	Centru
RO21	Nord-Est
RO22	Sud-Est
RO31	Sud - Muntenia

RO32 Bucuresti - Ilfov  
 RO41 Sud-Vest Oltenia  
 RO42 Vest  
 ROZZ Extra-Regio

**SVERIGE**

SE11 Stockholm  
 SE12 Östra Mellansverige  
 SE21 Småland med öarna  
 SE22 Sydsverige  
 SE23 Västsverige  
 SE31 Norra Mellansverige  
 SE32 Mellersta Norrland  
 SE33 Övre Norrland  
 SEZZ Extra-Regio

**SLOVENIJA**

~~SI03~~ Vzhodna Slovenija  
~~SI04~~ Zahodna Slovenija  
 SIZZ Extra-Regio

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**SLOVENSKA REPUBLIKA**

SK01 Bratislavsky kraj  
 SK02 Zapadne Slovensko  
 SK03 Stredne Slovensko  
 SK04 Vychodne Slovensko  
 SKZZ Extra-Regio

**UNITED KINGDOM**

UKC1 Tees Valley and Durham  
 UKC2 Northumberland and Tyne and Wear  
 UKD1 Cumbria  
 UKD3 Greater Manchester  
 UKD4 Lancashire  
 UKD6 Cheshire  
 UKD7 Merseyside  
 UKE1 East Yorkshire and North Lincolnshire  
 UKE2 North Yorkshire  
 UKE3 South Yorkshire  
 UKE4 West Yorkshire  
 UKF1 Derbyshire and Nottinghamshire  
 UKF2 Leicestershire, Rutland and Northamptonshire  
 UKF3 Lincolnshire  
 UKG1 Herefordshire, Worcestershire and Warwickshire  
 UKG2 Shropshire and Staffordshire  
 UKG3 West Midlands  
 UKH1 East Anglia  
 UKH2 Bedfordshire and Hertfordshire  
 UKH3 Essex

<del>UKI3</del>	<del>Inner London West</del>
<del>UKI4</del>	<del>Inner London East</del>
<del>UKI5</del>	<del>Outer London - East and North East</del>
<del>UKI6</del>	<del>Outer London - South</del>
<del>UKI7</del>	<del>Outer London - West and North West</del>
UKJ1	Berkshire, Buckinghamshire and Oxfordshire
UKJ2	Surrey, East and West Sussex
UKJ3	Hampshire and Isle of Wight
UKJ4	Kent
UKK1	Gloucestershire, Wiltshire and Bristol/Bath area
UKK2	Dorset and Somerset
UKK3	Cornwall and Isles of Scilly
UKK4	Devon
UKL1	West Wales and The Valleys
UKL2	East Wales
UKM2	Eastern Scotland
UKM3	South Western Scotland
UKM5	North Eastern Scotland
UKM6	Highlands and Islands
UKN0	Northern Ireland
UKZZ	Extra-Regio

**Deleted:** UKI1 . . Inner London  
UKI2 . . Outer London

## **2) EFTA countries**

### **SCHWEIZ/SUISSE/SVIZZERA**

CH01	Région lémanique
CH02	Espace Mittelland
CH03	Nordwestschweiz
CH04	Zürich
CH05	Ostschweiz
CH06	Zentralschweiz
CH07	Ticino

### **ÍSLAND**

IS	Ísland
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### **LIECHTENSTEIN**

LI	Liechtenstein
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### **NORGE**

NO01	Oslo og Akershus
NO02	Hedmark og Oppland
NO03	Sør-Østlandet
NO04	Agder og Rogaland
NO05	Vestlandet
NO06	Trøndelag
NO07	Nord-Norge

**3) Other countries****MONTENEGRO**

ME00 Montenegro

**THE FORMER YUGOSLAV REPUBLIC OF MACEDONIA (FYROM)**

MK00 The Former Yugoslav Republic of Macedonia (FYROM)

**TURKIYE**

TR1	Istanbul
TR21	Tekirdag
TR22	Balikesir
TR31	Izmir
TR32	Aydin
TR33	Manisa
TR41	Bursa
TR42	Kocaeli
TR51	Ankara
TR52	Konya
TR61	Antalya
TR62	Adana
TR63	Hatay
TR71	Kirikkale
TR72	Kayseri
TR81	Zonguldak
TR82	Kastamonu
TR83	Samsun
TR90	Trabzon
TRA1	Erzurum
TRA2	Agri
TRB1	Malatya
TRB2	Van
TRC1	Gaziantep
TRC2	Sanliurfa
TRC3	Mardin

## Annex 2: Classification of Countries

BE	Belgique/Belgie
BG	Bulgaria
CZ	Czech republic
DK	Denmark
DE	Deutschland
EE	Estonia
IE	Ireland
EL	Elláda
ES	España
FR	France
HR	Croatia
IT	Italia
CY	Cyprus
LV	Latvia
LT	Lithuania
LU	Luxembourg
HU	Hungary
MT	Malta
NL	Nederland
AT	Österreich
PL	Poland
PT	Portugal
RO	Romania
SI	Slovenia
SK	Slovak republic
FI	Suomi
SE	Sverige
UK	United Kingdom
CH	Switzerland
IS	Iceland
NO	Norway
ME	Montenegro
MK	The Former Yugoslav Republic of Macedonia (FYROM)
RS	Republic of Serbia
TR	Turkey
OEU	Other European Countries
NAF	North Africa (Algeria, Egypt, Libyan Arab Jamahiriya, Morocco, Sudan, Tunisia, Western Sahara)
WAF	West Africa (Benin, Burkina Faso, Cape Verde, Côte d'Ivoire, Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Mauritania, Niger, Nigeria, Saint Helena, Senegal, Sierra Leone, Togo)
OAF	Other Africa

USA United States  
CAN Canada  
CSA Central and South America

NME Near and Middle East  
(Armenia, Azerbaijan, Bahrain, Georgia, Iraq, Israel, Jordan, Kuwait, Lebanon, Occupied Palestinian Territory, Oman, Qatar, Saudi Arabia, Syrian Arab Republic, United Arab Emirates, Yemen)

OAS Other Asia

OCE Australia and Oceania

OTH Other

**Annex 3: NACE - Statistical Classification of Economic Activities****NACE Rev.1 : To use until the 2008 operation (2008 included)****Section A: Agriculture, hunting and forestry**

- 01 Agriculture, hunting and related service activities
- 02 Forestry, logging and related service activities

**Section B: Fishing**

- 05 Fishing, operation of fish hatcheries and fish farms; service activities incidental to fishing

**Section C: Mining and quarrying**

- 10 Mining of coal and lignite; extraction of peat
- 11 Extraction of crude petroleum and natural gas; service activities incidental to oil and gas extraction excluding surveying
- 12 Mining of uranium and thorium ores
- 13 Mining of metal ores
- 14 Other mining and quarrying

**Section D: Manufacturing**

- 15 Manufacture of food products and beverages
- 16 Manufacture of tobacco products
- 17 Manufacture of textiles
- 18 Manufacture of wearing apparel; dressing and dyeing of fur
- 19 Tanning and dressing of leather; manufacture of luggage, handbags, saddlery, harness and footwear
- 20 Manufacture of wood and of products of wood and cork, except furniture; manufacture of articles of straw and plaiting materials
- 21 Manufacture of pulp, paper and paper products
- 22 Publishing, printing and reproduction of recorded media
- 23 Manufacture of coke, refined petroleum products and nuclear fuel
- 24 Manufacture of chemicals and chemical products
- 25 Manufacture of rubber and plastic products
- 26 Manufacture of other non-metallic mineral products
- 27 Manufacture of basic metals
- 28 Manufacture of fabricated metal products, except machinery and equipment
- 29 Manufacture of machinery and equipment n.e.c.
- 30 Manufacture of office machinery and computers
- 31 Manufacture of electrical machinery and apparatus n.e.c.
- 32 Manufacture of radio, television and communication equipment and apparatus
- 33 Manufacture of medical, precision and optical instruments, watches and clocks
- 34 Manufacture of motor vehicles, trailers and semi-trailers
- 35 Manufacture of other transport equipment
- 36 Manufacture of furniture; manufacturing n.e.c.

37 Recycling

**Section E: Electricity, gas and water supply**

40 Electricity, gas, steam and hot water supply

41 Collection, purification and distribution of water

**Section F: Construction**

45 Construction

**Section G: Wholesale and retail trade; repair of motor vehicles, motorcycles and personal and household goods**

50 Sale, maintenance and repair of motor vehicles and motorcycles; retail sale of automotive fuel

51 Wholesale trade and commission trade, except of motor vehicles and motorcycles

52 Retail trade, except of motor vehicles and motorcycles; repair of personal and household goods

**Section H: Hotels and restaurants**

55 Hotels and restaurants

**Section I: Transport, storage and communication**

60 Land transport; transport via pipelines

61 Water transport

62 Air transport

63 Supporting and auxiliary transport activities; activities of travel agencies

64 Post and telecommunications

**Section J: Financial intermediation**

65 Financial intermediation, except insurance and pension funding

66 Insurance and pension funding, except compulsory social security

67 Activities auxiliary to financial intermediation

**Section K: Real estate, renting and business activities**

70 Real estate activities

71 Renting of machinery and equipment without operator and of personal and household goods

72 Computer and related activities

73 Research and development

74 Other business activities

**Section L: Public administration and defence, compulsory social security**

75 Public administration and defence; compulsory social security

**Section M: Education**

80 Education

**Section N: Health and social work**

85 Health and social work

**Section O: Other community, social and personal service activities**

90 Sewage and refuse disposal, sanitation and similar activities

91 Activities of membership organization n.e.c.

92 Recreational, cultural and sporting activities

93 Other service activities

**Section P: Private households with employed persons**

95 Private households with employed persons

**Section Q: Extra-territorial organisations and bodies**

99 Extra-territorial organizations and bodies

**NACE Rev.2 : To use from the 2008 operation onwards**

**SECTION A — AGRICULTURE, FORESTRY AND FISHING**

01 Crop and animal production, hunting and related service activities

02 Forestry and logging

03 Fishing and aquaculture

**SECTION B — MINING AND QUARRYING**

05 Mining of coal and lignite

06 Extraction of crude petroleum and natural gas

07 Mining of metal ores

08 Other mining and quarrying

09 Mining support service activities

**SECTION C — MANUFACTURING**

10 Manufacture of food products

11 Manufacture of beverages

12 Manufacture of tobacco products

13 Manufacture of textiles

14 Manufacture of wearing apparel

- 15 Manufacture of leather and related products
- 16 Manufacture of wood and of products of wood and cork, except
- 17 Manufacture of paper and paper products
- 18 Printing and reproduction of recorded media
- 19 Manufacture of coke and refined petroleum products
- 20 Manufacture of chemicals and chemical products
- 21 Manufacture of basic pharmaceutical products and pharmaceutical preparations
- 22 Manufacture of rubber and plastic products
- 23 Manufacture of other non-metallic mineral products
- 24 Manufacture of basic metals
- 25 Manufacture of fabricated metal products, except machinery and equipment
- 26 Manufacture of computer, electronic and optical products
- 27 Manufacture of electrical equipment
- 28 Manufacture of machinery and equipment n.e.c.
- 29 Manufacture of motor vehicles, trailers and semi-trailers
- 30 Manufacture of other transport equipment
- 31 Manufacture of furniture
- 32 Other manufacturing
- 33 Repair and installation of machinery and equipment

#### SECTION D — ELECTRICITY, GAS, STEAM AND AIR CONDITIONING SUPPLY

- 35 Electricity, gas, steam and air conditioning supply

#### SECTION E — WATER SUPPLY; SEWERAGE, WASTE MANAGEMENT AND REMEDIATION ACTIVITIES

- 36 Water collection, treatment and supply
- 37 Sewerage
- 38 Waste collection, treatment and disposal activities; materials recovery
- 39 Remediation activities and other waste management services

#### SECTION F — CONSTRUCTION

- 41 Construction of buildings
- 42 Civil engineering
- 43 Specialised construction activities

#### SECTION G — WHOLESALE AND RETAIL TRADE; REPAIR OF MOTOR VEHICLES AND MOTORCYCLES

- 45 Wholesale and retail trade and repair of motor vehicles and motorcycles
- 46 Wholesale trade, except of motor vehicles and motorcycles
- 47 Retail trade, except of motor vehicles and motorcycles

#### SECTION H — TRANSPORTATION AND STORAGE

- 49 Land transport and transport via pipelines
- 50 Water transport

- 51 Air transport
- 52 Warehousing and support activities for transportation
- 53 Postal and courier activities

#### SECTION I — ACCOMMODATION AND FOOD SERVICE ACTIVITIES

- 55 Accommodation
- 56 Food and beverage service activities

#### SECTION J — INFORMATION AND COMMUNICATION

- 58 Publishing activities
- 59 Motion picture, video and television programme production, sound
- 60 Programming and broadcasting activities
- 61 Telecommunications
- 62 Computer programming, consultancy and related activities
- 63 Information service activities

#### SECTION K — FINANCIAL AND INSURANCE ACTIVITIES

- 64 Financial service activities, except insurance and pension funding
- 65 Insurance, reinsurance and pension funding, except compulsory social security
- 66 Activities auxiliary to financial services and insurance activities

#### SECTION L — REAL ESTATE ACTIVITIES

- 68 Real estate activities

#### SECTION M — PROFESSIONAL, SCIENTIFIC AND TECHNICAL ACTIVITIES

- 69 Legal and accounting activities
- 70 Activities of head offices; management consultancy activities
- 71 Architectural and engineering activities; technical testing and analysis
- 72 Scientific research and development
- 73 Advertising and market research
- 74 Other professional, scientific and technical activities
- 75 Veterinary activities

#### SECTION N — ADMINISTRATIVE AND SUPPORT SERVICE ACTIVITIES

- 77 Rental and leasing activities
- 78 Employment activities
- 79 Travel agency, tour operator reservation service and related activities
- 80 Security and investigation activities
- 81 Services to buildings and landscape activities
- 82 Office administrative, office support and other business support

#### SECTION O — PUBLIC ADMINISTRATION AND DEFENCE; COMPULSORY SOCIAL SECURITY

84 Public administration and defence; compulsory social security

**SECTION P — EDUCATION**

85 Education

**SECTION Q — HUMAN HEALTH AND SOCIAL WORK ACTIVITIES**

86 Human health activities

87 Residential care activities

88 Social work activities without accommodation

**SECTION R — ARTS, ENTERTAINMENT AND RECREATION**

90 Creative, arts and entertainment activities

91 Libraries, archives, museums and other cultural activities

92 Gambling and betting activities

93 Sports activities and amusement and recreation activities

**SECTION S — OTHER SERVICE ACTIVITIES**

94 Activities of membership organisations

95 Repair of computers and personal and household goods

96 Other personal service activities

**SECTION T — ACTIVITIES OF HOUSEHOLDS AS EMPLOYERS;  
UNDIFFERENTIATED GOODS- AND SERVICES-PRODUCING ACTIVITIES OF  
HOUSEHOLDS FOR OWN USE**

97 Activities of households as employers of domestic personnel

98 Undifferentiated goods- and services-producing activities of private households for own use

**SECTION U — ACTIVITIES OF EXTRATERRITORIAL ORGANISATIONS AND BODIES**

99 Activities of extraterritorial organisations and bodies

## **Annex 4: ISCO: International Standard Classification of Occupations**

### **ISCO-08 : To use from the 2011 operation onwards**

Please refer to:

<http://www.ilo.org/public/english/bureau/stat/isco/isco08/index.htm>

## Annex 5: The enterprise and local unit

### The enterprise

The concept of enterprise is based on those of 'legal units' and 'institutional units'.

#### *Combination of legal units*

"The *enterprise* is the smallest combination of *legal units* [defined below] that is an organisational unit producing goods and services, which benefits from a certain degree of autonomy in decision-making, especially for the allocation of its current resources..... An enterprise may be a sole legal unit." However, under certain circumstances, it can "correspond to a grouping of several legal units. Some legal units, in fact, perform activities exclusively for other legal units and their existence can only be explained by administrative factors (e.g. tax reasons), without them being of any economic significance. A large proportion of the legal units with no persons employed also belong to this category. In many cases the activities of these legal units should be seen as ancillary activities of the parent legal unit they serve, to which they belong and to which they must be attached to form an enterprise used for economic analysis.

Hence to constitute the enterprise unit, use is made of legal units that exercise, wholly or partially, a productive activity. *Legal units* include: "legal persons whose existence is recognised by law independently of the individuals or institutions which may own them or are members of them"; and "natural persons who are engaged in an economic activity in their own right". The legal unit always forms, either by itself or sometimes in combination with other legal units, the legal basis for the statistical unit known as the 'enterprise'.

#### *Institutional units.*

"In the corporate enterprises sector, the enterprise corresponds to the institutional units used in the ESA. Similar institutional units also exist in the general government and private non-profit institutions sectors". Here, the *institutional unit* refers to "an elementary economic decision-making centre characterised by uniformity of behaviour and decision-making autonomy in respect of its principal function. A unit is regarded as constituting an institutional unit if it has decision-making autonomy in respect of its principal function and keeps a complete set of records". This includes public and private companies and public corporations; agencies of general government; and co-operatives or partnerships, public enterprises, non-profit institutions etc., recognised as independent legal entities. Also included are other quasi-corporate enterprises (sole proprietorships and other partnerships and public enterprises) "in so far as their economic and financial behaviour can be separated from that of their owners and resembles that of corporate enterprises". Household enterprises - not necessarily keeping a complete set of accounts but by convention deemed to have autonomy of decision-making - also form institutional units. The institutional unit in the household sector covers all activities of households, while the term 'enterprise' is reserved exclusively for their production activities.

#### *Classification by principal activity*

Units such as enterprises or 'local units' are classified in terms of their *economic activity of production*. An 'activity' takes place when "resources such as equipment, labour, manufacturing techniques, information networks of products are combined, leading to the creation of specific goods or services." An activity is characterised by "an input of products

(goods and services), a production process and an output of products”, and is classified by reference to a specific level of NACE Rev.1.

If a unit carries out more than one activity, the following procedure applies to its classification. A distinction is made between *principal activity* and *secondary activities*. For this purpose “all the activities which are not ancillary activities are ranked according to the gross value-added at factor cost that they generate... If no value-added figures are available, other criteria must be used, such as, for example, employment, payroll, turnover and assets, with a view to obtaining the closest possible approximation to the classification which would have been obtained on the basis of value-added.... If one activity accounts for over 50% of the value added, this determines the classification of the unit. In all other cases ... classification is carried out in stages from the highest level of aggregation... [and] at each level [it] must be compatible with the previous level”. In the EU-SILC, information is sought on the nature of economic activity of the local unit only to the second-digit level (section and division) of the classification.

Principal and secondary activities are “backed up by *ancillary activities*, such as, for example, administration, accounts, data processing, process monitoring, purchasing, sales and marketing, warehousing, repairs, transport and renovation. These ancillary activities within a unit are carried out in order to permit or facilitate production by the unit of goods and services for third parties.” The products of ancillary activities do not generate gross fixed capital formation nor do they normally form part of the unit’s end product, and are not themselves supplied to third parties. Examples of ancillary activities include the production of small implements for the unit’s use, own-account transport, sales of own products, or the administrative departments of an enterprise. For the purpose of classification according to type of activity of the enterprise or other economic unit, the general rule is that “the ancillary activity is not taken into account when classifying the activity of the entity by which the ancillary activities are carried out”.

The concept of principal activity applies to any level of units. The EU-SILC seeks information at the *level of the local unit*, as defined below. In the case of a local unit engaged only in ancillary activity, its activity classification is determined by the principal activity of the unit or units that it serves in the enterprise.

### **The local Unit**

An enterprise carries out one or more activities at one or more locations. The *local unit* is “an enterprise or part thereof (e.g. a workshop, factory, warehouse, office, mine or depot) situated in a geographically-identified place. At or from this place, economic activity is carried out for which - save for certain exceptions - one or more persons work (even if only part-time) for one and the same enterprise.” Further explanatory rules include the following.

- A geographically-identified place is interpreted on a strict basis: two units belonging to the same enterprise at different locations (even within the smallest administrative unit of the Member State) are regarded as separate local units;
- If a person works in more than one place or at home, the local unit is taken to be place from which instructions emanate or from where the work is organised.

The concept of a local unit relates to the operational definition of the *establishment* in ISIC Rev.3 as follows. A single local unit may carry out, at a single location, more than one kind of activities. The operational definition of the establishment corresponds to the *local kind-of-activity unit (local KAU)*, i.e. the part of the enterprise KAU which corresponds to a local

unit. As to the definition of an enterprise KAU, it “groups all the parts of an enterprise contributing to the performance of an activity at class level (four digits) of NACE Rev. 1 and corresponds to one or more operational subdivisions of the enterprise”.

**Annex 6: Register files in EU-SILC**

The aim of this annex is to help to fill the register files focusing on the variables and their values.

In the tables on the following pages, a "key variable" is variable that identifies the household and its members and links the different files. "x" means that the variable should be filled with any value of the list of target variables. Values in brackets are values of the corresponding flag-variable.

## 1) Household register (D-file)

Variable	Value		
DB010	YEAR - key variable		
DB020	COUNTRY - key variable		
DB030	HID - key variable		
DB040	x		
DB050	x		
DB060	x		
DB062	x		
DB070	x		
DB075	x		
DB080	x		
DB090	x		
DB100	x		
DB110	1	2,8,9	3,4,5,6,7,10
DB120	[-2]	11	21,22,23,[-1] [-2]
DB130	11	21,22,23,24,[-1]	[-2]
?	Yes	No	
DB135	1	2,[-1]	[-2]

Diagram illustrating the mapping of variables to file types:

- Variables DB110, DB120, DB130, and DB135 are grouped under a bracket labeled "P-File".
- Variables DB110, DB120, DB130, and DB135 are also grouped under a bracket labeled "R-File".
- Variables DB110, DB120, DB130, and DB135 are also grouped under a bracket labeled "H-File".
- The "R-File", "H-File", and "P-File" labels are crossed out with a large 'X'.

At least one* personal interview completed?			
RB245	1,2		3,4
RB250	11,13	12,21,22,23,31,32,33	
	Yes	No	

\* If there is a selected respondent, his/her interview must be completed

YEAR = year of the survey (4 digits)

COUNTRY = country code (2 characters)

HID = household number (up to 6 digits) + 2 digit split number

- Household number must be unique during whole survey
- Split number must be unique per household
- Split number is '00' for a new household (DB110 = 9)
- Households from previous wave (DB110 = 1,2,3,4,5,6,7 or 10) keep their HID
- For every split-off household (DB110 = 8) the next not used split number will be given

If no household interview or no personal interview is completed, then no data for this household must be provided in the R-, H-, and P-File.

Split of a household:

- The household which stays at the same address as in the previous year, keeps the HID (DB110 = 1).
- The split-off household(s) receive(s) an HID with the household number and the next non-used split number (DB110 = 8).
- If no household stays at the same address as in the previous year, then the household with the member that has the lowest 'person number' for that HID in the previous wave keeps the HID (DB110 = 2).

Fusion of two sample households (each household has an own HID from previous year):

- The new household keeps the HID of the household which was at the same address in the previous year (DB110 = 1).
- The other HID will be coded DB110 = 10 and dropped next year.
- If no household stays at the same address as in the previous year, the HID of the previous household of the member with lowest 'person number' in the current year will be chosen.

Follow-up of the households

<i>DB110 (fixed HID)</i>		
<b>year - 1</b>	<b>current year</b>	<b>year + 1</b>
1,2,8,9	1 except DB130 = 21 or DB130_F= -1	1,2,3,4,5,6,7,10 drop
1,2,8,9	2 except DB120 = 21,23 or DB120_F= -1 or DB130 = 21 or DB130_F= -1	1,2,3,4,5,6,7,10 drop
1,2,8,9	3	drop
1,2,8,9	4	drop
1,2,8,9	5	drop
1,2,8,9	6	drop
1,2,8,9	7	drop
na	8 except DB120 = 21,23 or DB120_F= -1 or DB130 = 21 or DB130_F= -1	1,2,3,4,5,6,7,10 drop
na	9 except DB120 = 21,22,23 or DB120_F= -1 or DB130 = 21,22,23,24 or DB130_F= -1	1,2,3,4,5,6,7,10 drop
1,2,8,9	10	drop
except		
<b>2 consecutive years: year - 1 + current year</b>		<b>year + 1</b>
DB120 not = 11 or DB130 not = 11 or DB135 not = 1		drop

## 2) Personal register (R-file)

Variable	Value						
RB010	YEAR - key variable						
RB020	COUNTRY - key variable						
RB030	PID - key variable						
RB040	HID - key variable						
RB050	only cross-sectional						
RB060	x						
RB100	x						
RB070	x						
RB080	x						
RB090	x						
RB110	1,2,4		3	5	6	7	[-1]
RB120	[-2]		[-2]	x	[-2]	[-2]	[-2]
RB140	[-2]		[-2]	x	x	[-2]	[-2]
RB150	[-2]		[-2]	x	x	[-2]	[-2]
RB160	[-2]		[-2]	x	x	x	[-2]
RB170	[-2]		[-2]	x	x	x	[-2]
RB180	[-2]		x				[-2]
RB190	[-2]		x				[-2]
RB200	x						[-2]
RB210	x						[-2]
RB220	x						[-2]
RB230	x						[-2]
RB240	x						[-2]
RB245	1,2,3		4				[-2]
RB250	11,13	12	21,22,23,31,32,33				[-2]
RB260	1,2,3,4,[-1]	5	[-2]				[-2]
RB270	[-2]	x	[-2]				[-2]

P-File

YEAR = year of the survey (4 digits)

COUNTRY = country code (2 characters)

PID = original HID + 2 digit sequential number

- Must be unique during whole survey
- Two digit sequential number must be unique for each household
- Members from previous year (RB110 = 1,2,5 or 6) keep their PID

HID = current HID (= DB030)

Sample person (first-year member of a household)

<i>RB100 (PID first year in survey independent from HID)</i>						
RB100	1					3,4
RB245	1	2	3	4		-
AGE*	-	-	-	<14	14+	-
<b>RB100</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>2</b>

\*Age at end of Income Reference Period for a four-year panel.  
For panels with longer duration, the age decreases.

Members from previous year keep the value of RB100.

Follow-up of the household members

<i>RB110 (fixed PID) in same HID</i>		
year - 1	current year	year + 1
1,2,3,4	1	1,5,6
na	2	1,5,6
na	3	1,5,6
na	4	1,5,6
1,2,3,4	5*	drop
1,2,3,4	6	drop
na	7	na

First year: RB110 = 1

\*RB120 = 1 and RB100 = 1: PID exist also with RB110 = 2

- If DB135 not = 1 in year - 1, then the values of year - 1 correspond to year - 2
- If RB110\_F = -1 the person will normally be dropped in year + 1
- If RB110 = 5 and RB120 = 1 and RB100 = 1 then this PID will be recorded twice in the R-file, but with different RB040 (RB110 = 5 with RB040 of previous year (household where the person moved out) and RB110 = 2 with RB040 of current year (household where the person lives actually))

## Annex 7: Company car

### Different approaches on how to impute a value for the use of a company car

#### 1. Direct approach

##### *1.1. Individual tax assessment of the benefit*

Apparently the simplest and most direct approach is to ask directly for the amount of benefit for which the recipient is assessed for tax purposes.

#### Advantages

- Very simple approach. Only two questions are needed:
  1. Whether there is private use of company car, and if so,
  2. The corresponding amount assessed for tax (this amount should take into account the associated cost).
- Furthermore, no modelling or collection of secondary information is required. (In any case, in the presence of item non-response to the question, the alternative series of questions described below can (and should) be followed for the respondents concerned in the same survey).

#### Drawbacks

- It may be subjected to large levels of non-response and/or response errors; and possibly under-coverage (benefits not being reported, especially if not taxed).
- Secondly, the approach depends entirely on national taxation rules.

##### *1.2. Car allowance*

While the purchase and provision by the employer of an actual vehicle at least partly for private use is the normal form in which the benefit is provided, sometimes the benefit is simply in the form of a regular (such as monthly) cash allowance alongside the normal salary. It is even possible that there is no reference to any specific "company car". In this situation, the direct approach in terms of the additional income as assessed for income tax purposes is the only possible approach.

Another important point to note is that in a survey, a benefit in this form may already have been included in the reported income from work, and care must be taken to avoid double counting.

Sometimes, the employee has to forgo reimbursement of certain travel expenses as a consequence of receiving a car allowance, where the expenses would normally be claimed in the absence of such an allowance. In principle, such expenses should be deducted from the allowance to obtain the *net* level of benefits received. The amount of benefit assessed for tax purposes is again likely to be the most direct and convenient source of this information.

#### 2. Indirect or modelling approaches

The second approach is to begin with obtaining information on characteristics of the company car. These characteristics are then used to determine the "utility" that the recipient derives

from the benefit per unit of time (such as over a year). Exactly which characteristics are collected very much depends on the model or the approach used for this conversion. Basically there are two types of "indirect" approaches:

### 2.1. Conversion using tax rules

One method is to use national tax rules to make this conversion. This differs from the direct approach (A) in that here, *tax-related information is not sought from individual respondents, but is compiled at the macro-level outside the survey* – hence it does not involve increasing the response burden.

#### Advantages

- This approach is less likely to be prone to response, non-response and coverage errors than the direct approach;
- It is still relatively simple: either the characteristics of interest such as make, model and registration year of the car or the associated cost are easily reported<sup>1</sup>.

#### Drawbacks

- Comparability problems (using the value of the benefit as assessed by the tax authorities, since this value is likely to vary by country);
- The approach does depend on national tax rules, and it is not quite in line with the hitherto stated preference for EU-SILC.

### 2.2. Valuation on the basis of accrued saving

An alternative approach would be to evaluate the benefit of private use of a company car in terms of *the amount that the recipient would have to pay over the reference period to enjoy the same benefit from the use of their own vehicle*.

Seen in the above-mentioned terms, the benefit equals the sum of:

- Depreciation** over the reference period in the capital value of the car, *plus*
- Coverage by the employer of other costs which would normally fall on the user of his/her own car. The latter may cover car insurance and possibly maintenance and major repair costs, but would normally exclude fuel and other running costs.

*The idea is not to collect (i) and (ii) from individual respondents, but to use external sources to construct suitable average schedules for these factors.*

#### Advantages

- The approach is independent of national tax rules;
- Its comparability is affected by national differences in prices for identical vehicles, both as a result of differences in sales taxes and in market conditions (these differences can be considered legitimate, as they reflect actual differences in prices, and hence differences in the value of the derived benefit).

#### Drawbacks

<sup>1</sup> The specific characteristics that need to be collected depend on what is required for the application of the tax assessment rules in the country concerned. Normally, it may be simpler to collect information from the respondent on physical characteristics (make, model, year, etc.) of the company car, than on the current prices. If information on prices is needed for the purpose of tax assessment, then it may be compiled externally as a function of the physical characteristics (see B.2)

- The difficulty in constructing a *depreciation schedule*, i.e. a model of the decline in the market value of the car over time.
- It requires a manual codification of the car's model, make, etc to compare with external sources.

### **The depreciation method - how to calculate depreciation schedule**

The main requirement is to construct a 'depreciation model'. The idea is to impute the *amount that the recipient would have to pay over the reference period to enjoy the same benefit from the use of their own vehicle*.

$$\text{Depreciation} = \frac{\text{Purchase prices} - \text{selling prices at } X}{X}$$

Where X = 'the average age of a company car'

*Note.* The selling price could be replaced by the 'residual leasing value at X'.

To calculate the 'purchase price' and the 'selling price', the make, the model, the registration year and other characteristics of the car can be used. As was already mentioned, such characteristics may be more readily collected in the surveys. List prices or manufacturer's recommended retail prices (RRP) are readily available for a wide range of new cars. For instance, the Competition DG produces a list of manufacturers' recommended retail prices by the manufacturer, make and model, in all EU countries. If a type of car is not included in the list, the RRP should be available from the manufacturer's website. If an RRP is not available for a particular country, then it could be estimated based on the price of a similar car or the price relative to other cars in a country with a similar pricing structure. The list price should include VAT and vehicle registration tax.

For calculating 'the average age of a company car', external information from enterprises can be used. If this information is not available, an average of 5 should be taken into consideration.

### **An alternative method**

An alternative method for valuing the benefit of private use of company car in terms of *the amount the recipient would have to pay over the reference period to enjoy the same benefit from the use of own vehicle*, could be the amount paid per year of renting a similar car for X years. This amount could be obtained from external sources (renting companies).

In the estimation of the value to be imputed, it is necessary to take into account whether some of the associated cost (repairs, insurance, etc.) are included.

### ***The extent of use***

Valuation of the benefit derived from the private use of company car also depends on the extent to which the provision is used during the period concerned. In principle, this extent of use is determined by (i) the *duration of use* during the reference period, and (ii) the *intensity of use* during that period.

***Duration of use***

This is easily measured in terms of the number of months during the reference year for which the company car was available for private use. This information may not be required in the following two situations:

1. When the current income concept (rather than the concept of income during the reference year) is used, information on the private use of a company car is also obtained on a current basis, and its value is annualised in the same way as other income components.
2. When the "direct method" (method A described above) is used, it records the total amount of benefit for which the recipient is assessed for tax purposes during the reference period. That itself is the target variable, and hence no further information is required on the duration (or intensity) of private use<sup>1</sup>.

In all other cases, the models described in the preceding section give the "utility per unit of time (year)", which has to be multiplied by the duration of use to obtain the amount of benefit actually received during the income reference period.

***Intensity of use***

It may appear that the aforementioned-mentioned calculation should also take into account the intensity of private use during the period that the vehicle is available for the purpose. The intensity may for instance be measured by the proportion of private use out of the total use of the company car, and/or mileage of private use.

However, even without reference to practical difficulties in obtaining such information in a survey, it can be argued *that it is not necessary or logical to introduce this factor*. The percentage of private use out of total use may, for instance, be determined mainly by the extent to which the employee is required to use the vehicle for work-related purposes, rather than by the extent of private use. Similarly, the mileage of private use may be determined largely by the person's private needs and preferences: restriction on the form or extent of private use is not common for company vehicles provided for the purpose of work. Hence it cannot be assumed that the level of private use of a company car – whatever that level is in the particular circumstances of the person concerned – generally differs in any systematic way from what it would be with a person's own car. The amount of benefit is the money saved from not using one's own car for the purpose.<sup>2</sup>

***Conclusions***

- It is not possible to have a single approach in all countries.

<sup>1</sup> The intention is not to exclude fuel if it is provided free for the PRIVATE use of a company car – certainly not in principle or as a matter of definition. But in practice, probably this provision is not common or at least not significant. In view of the need for simplicity ("Recommendation 1" above), we have indicated that it may be left out. In any case, component (ii) is to be estimated from external data (normally as a function of physical characteristics of the car), and hence if in a country free fuel is a significant part, then an average allowance may include it in the estimation of that component.

<sup>2</sup> The case is not all that dissimilar from the common case of personal computers. The cost of a PC and the rate of its depreciation - and hence in our hedonistic world its "value" to the individual - is the same regardless of whether the person uses it for intensive SAS computations all hours of the day or merely for video games at the weekend.

- Although a method based on the assessment for tax purposes implies relaxing the earlier-stated intention that the approach should not depend on particularities of the national taxation systems, this approach is essentially the one applicable in situations where the information is obtained from registers, or where a regular allowance rather than an actual car is provided; and the approach is well-established in some other countries