EUROPEAN COMMISSION
EUROSTAT

Directorate E: Social and regional statistics and geographical information system
Unit E-2: Living conditions

eurostat

EU-SILC 065/04

DESCRIPTION OF TARGET VARIABLES:
Cross-sectional and Longitudinal

Introduction

AIM

EU-SILC is expected to become the EU reference source for comparative statistics on income distribution and social exclusion at 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 structural indicators on social cohesion for the annual spring report to the European Council.

It will provide 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 cross-sectional data. Longitudinal data will be limited to income information and a limited set of critical qualitative, non-monetary variables of deprivation, aimed at identifying the incidence and dynamic processes of persistence of poverty and social exclusion among subgroups in the population. The longitudinal component will also be more limited in sample size compared to the primary, cross-sectional component. Furthermore, for any given set of individuals, micro-level changes will be 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 will be linkable. Furthermore, modules providing updated information in the field of social exclusion will be included starting from 2005.

TIME REFERENCE

The cross-sectional and the longitudinal data will be produced annually.

REFERENCE POPULATION

The reference population of EU-SILC is all private households and their current members residing in the territory of the 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 introduction of a legal act for EU-SILC was decided by the Directors of social statistics in June 2000. A draft Framework Regulation, prepared by a Task Force together with Eurostat, approved by the Commission in December 2001, was adopted by the European Parliament (EP) in first reading with some minor amendments in May 2002. The common position was approved by the Council at unanimity in March 2003 and the EP approved it in second reading in May 2003. The Framework Regulation was signed by the Council and EP on 16 June 2003 and published in the OJ on 3 July 2003.

In parallel, Eurostat and the MS developed the technical aspects of the instrument. More concretely, 5 Commission Regulations ('Sampling and tracing rules', 'Definitions', 'list of primary target variables', Fieldwork aspects and imputation procedures', 'Quality reports') implementing the Framework Regulation were elaborated. The first four Commission Regulations were approved by the Statistical Programme Committee (SPC) in written procedure in August 2003 and published in the OJ on 17 November 2003. The CR on quality reports was published in OJ on 9 January 2004. In addition, every year a Commission Regulation on the list of secondary target variables will be published. At the time of writing this document the CR on the list of target secondary variables included in the 2005 module and relating to the 'intergenerational transmission of poverty' has been published (OJ 8.1.2004).

The EU-SILC project has been launched in 2003, on the basis of a 'gentlemen agreement' in six MS (Belgium, Denmark, Greece, Ireland, Luxembourg, and Austria) as well as in Norway.

The starting date for the EU-SILC instrument under the Framework Regulation of the EP and of the Council is 2004 for the 12 MS, Estonia, Norway and Iceland, with a derogation for Germany, Netherlands, the UK and 10 New countries with the exception of Estonia to start in 2005 under the condition that they supply comparable data for the year 2004 for the cross-sectional common EU indicators that have been adopted by the Council before 1 January 2003, in the context of the open method of co-ordination.

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.

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

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

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

THE INTEGRATED DESIGN

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

In this way, the cross-sectional and longitudinal data can come from separate sources, i.e., the longitudinal dataset does not need to be "linkable" with the cross-sectional dataset at the micro-level. Of course, such linkage is not precluded, and would normally be possible when the two types of data come from the same source. Depending on the country, micro-data could come from:

- two or more national sources (surveys and/or registers);

- one or more existing national sources 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.

The fundamental characteristic of the integrated design is that the cross-sectional and longitudinal statistics are produced from essentially the same set of sample observations, thus avoiding unnecessary duplications which entirely separate cross-sectional and longitudinal surveys will involve.

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 cumulating 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 last mentioned 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:

- cumulation of data over time, so as to achieve 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 limitation 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 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 last 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 it was mentioned above 'the rotational design' is the most suitable option for EU-SILC cross-sectional component, and due that a 'rotational design' updates the sample every year, Eurostat has recommended this 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 Cohesion Indicator on" 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. In this way, at the population selected the first year need to be followed-up at least 4 years, i.e. the panel duration should be of at least 4 years. For the above mentioned reason Eurostat has recommended a rotational design with 4 sub-samples or replications.

Figures 1 and 2 below illustrate the type of structure which 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

SUCCESSIVE PANELS OF LIMITED DURATION
SAMPLE   Years in survey
1
2
3
4
      TIME
  …..   T-2   T-1   T   T+1   T+2   …..   ….
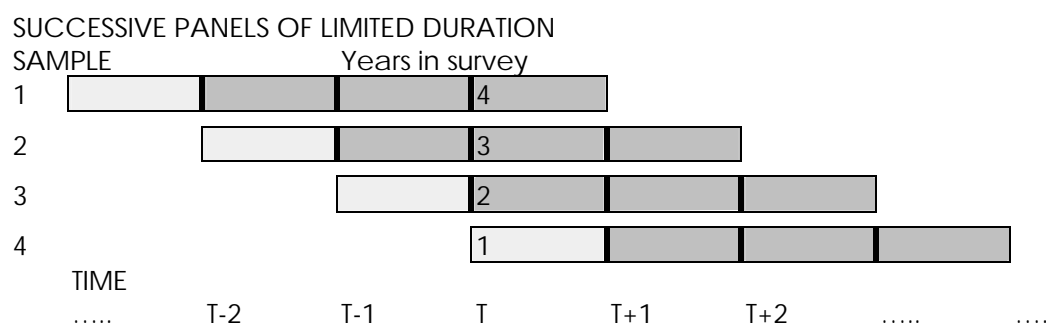
Figure 1 illustrates a simple rotational design (once the system is fully established). The sample for any one year consists of 4 replications, which have been in the survey for 1-4 years (as shown for 'Time = T' in the figure). Any particular replication remains in the survey for 4 years; each year one of the 4 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 started from year 1.

Figure 2. Illustration of the rotation pattern in the first years

PATTERN FROM YEAR 1

SURVEY ROUND (TIME)
    1   2   3   4   5   6   7   …..
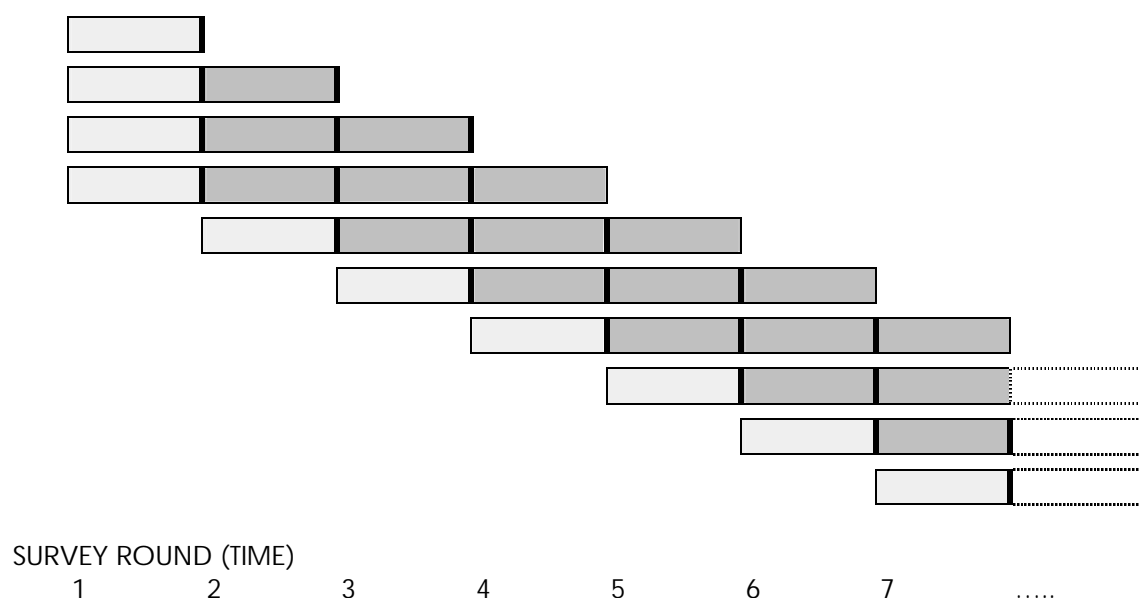
At the beginning, a cross-sectional representative sample of households is selected. It is divided into say 4 sub-samples, each by itself representative of the whole population and similar in structure to the whole sample. One sub-sample is purely cross-sectional and is not followed up after the first round. Respondents in the second sub-sample are requested to participate in the panel for 2 years, in the third sub-sample for 3 years, and in the fourth for 4 years. From year 2 onwards, one new panel is introduced each year, with request for participation for 4 years. In any one year, the sample consists of 4 sub-samples, which together constitute the cross-sectional sample. In year 1 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.

4. By way of exception, paragraphs 1 to 3 shall apply in Germany exclusively to the part of the sample based on probability sampling according to Article 8 of the Regulation of the European Parliament and of the Council (EC) No 1177/2003 concerning Community Statistics on Income and Living Conditions.

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

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 fourth based on probability sampling and for three fourths 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) concerning mainly but not exclusively the detailed collection of household and personal income – 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 for these countries interviewing all household members for set (iii) is not involved. In countries which choose to do so, 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		Set (i): household	Household respondent (HR)	Registers +HR
		Set (ii): all household members	Household respondent*	Registers +HR
Or Household	Household	Set (iii): household and personal income and basic variables	Personal interview (all members 16+)	Registers (all members 16+)
Or Person (aged 16+)		Set (iv): detailed variables		
		All members 16+	Personal interview**	
		Selected respondent		Personal interview

* combined with set (i) household interview
** combined with set (iii) personal interview

In each country, EU-SILC involves the provision of cross-sectional and longitudinal data, 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 (included basic variables).
° (**CS**)   Cross-sectional detailed component
° (**LI**)   Longitudinal income component (included 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:

$$(a) \quad CS \subseteq CI$$

$$(b) \quad LS \subseteq LI$$

… 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 will be as set out in the table I.

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 121.000 households in the EU as a whole (127.000 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 90.000 households (95. 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 shall be taken as 75 % of the figures shown in columns 3 and 4 of the table I, 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 will be as set out in the table II.

Information on income and other data shall also be collected for the household of each selected respondent and for all its members.

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 which are households for which, and for all members of which, all or nearly all the required information has been obtained.

Table I. Minimum effective sample size for countries using a sample of households/address

	Households		Persons aged 16 or over to be interviewed	
	Cross-sectional	**Longitudinal**	**Cross-sectional**	**Longitudinal**
	1	2	3	4
EU-Member States				
Belgium	4750	3500	8750	6500
Czech Republic	4750	3500	10 000	7500
Denmark	4250	3250	7250	5500
Germany	8250	6000	14 500	10 500
Estonia	3500	2750	7750	5750
Greece	4750	3500	10 000	7250
Spain	6500	5000	16 000	12 250
France	7250	5500	13 500	10 250
Ireland	3750	2750	8000	6000
Italy	7250	5500	15 500	11 750
Cyprus	3250	2500	7500	5500
Latvia	3750	2750	8500	6500
Lithuania	4000	3000	9000	6750
Luxembourg	3250	2500	6500	5000
Hungary	4750	3500	10 250	7750
Malta	3000	2250	7000	5250
Netherlands	5000	3750	8750	6500
Austria	4500	3250	8750	6250
Poland	6000	4500	15 000	11 250
Portugal	4500	3250	10 500	7500
Slovenia	3750	2750	9000	6750

Table I. Minimum effective sample size for countries using a sample of households/address

	Households		Persons aged 16 or over to be interviewed	
	Cross-sectional	**Longitudinal**	**Cross-sectional**	**Longitudinal**
	1	2	3	4
Slovakia	4250	3250	11 000	8250
Finland	4000	3000	6750	5000
Sweden	4500	3500	7500	5750
United Kingdom	7500	5750	13 750	10 500
Total of EU Member States	**121000**	**90750**	**251 000**	**187 750**
Iceland	2250	1700	3750	2800
Norway	3750	2750	6250	4650
Total including Iceland and Norway	**127000**	**95200**	**261 000**	**195 200**

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

	Households and selected respondent		Persons aged 16 or over	
	Cross-sectional	**Longitudinal**	**Cross-sectional**	**Longitudinal**
	1	2	3	4
EU-Member States				
Belgium	6500	5000	12000	9250
Czech Republic	7500	5750	15750	12250
Denmark	5500	4250	9500	7250
Germany	11000	8000	19250	14000
Estonia	5750	4500	12750	9500
Greece	7500	5500	15750	11500
Spain	12000	9250	29500	22750
France	10250	7750	19000	14500
Ireland	6000	4500	12750	9750
Italy	11750	8750	25000	18750
Cyprus	5750	4250	13250	9250
Latvia	6500	5000	14750	11750
Lithuania	6750	5000	15250	11250
Luxembourg	5000	3750	10000	7500
Hungary	7750	5750	16750	12750
Malta	5250	4000	12250	9250
Netherlands	6500	5000	11500	8750
Austria	6500	4750	12750	9250
Poland	11250	8500	28250	21250
Portugal	8000	5750	18750	13250
Slovenia	6750	5000	16250	12250
Slovakia	8250	6250	21250	15750

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

	Households and selected respondent		Persons aged 16 or over	
	Cross-sectional	**Longitudinal**	**Cross-sectional**	**Longitudinal**
Finland	5000	3750	8500	6250
Sweden	5750	4500	9500	7500
United Kingdom	10250	8000	18750	14500
Total of EU Member States	189000	142500	399000	300000
Iceland	3000	2000	5000	3250
Norway	4750	3500	8000	6000
Total including Iceland and Norway	196750	344750	412000	309250

Countries using a sample of persons(the selected respondent) must select an extra sample to cover population 14 and 15 years old.

The integrated design (example)

A) Countries using a sample of households address

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

1500						
1500	1500					
1500	1500	1500				
1500	1500	1500	1500			
	1500	1500	1500	1500		
		1500	1500	1500	1500	
			1500	1500	1500	…..
				1500	1500	…..
					1500	…..

SURVEY ROUND (TIME)

1	2	3	4	5	6	…..

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

For every two consecutives years, we have a sample of 4500 households/address for EU-SILC longitudinal component (this sample is based on 3 panels (replications), i.e. each panel has a sample size of 1500). From the 4th year of survey implementation we will have a panel with four longitudinal observations, a panel with 3 and a panel with 2.

B) Countries using a sample of persons

If Poland chooses to select a sample of persons instead a sample of households the required sample size will be 11.250 households (selected respondents) for EU-SILC cross-sectional component and 8.500 for 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). Circumstances of units found to be ineligible or in the uncertain eligibility category 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 more.

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 non-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 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 8 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 4 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 3 months, the total annual sample shall be shared approximately equally 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.

WEIGHTS

Introduction

Sample weights are required to estimate unknown population quantities from information collected on a sample. A common simplified view of the estimation problem is to propose a population model U*, based on the sample observations y_i and the sample weights ω_i, such that U* is a good approximation of U, the target population:
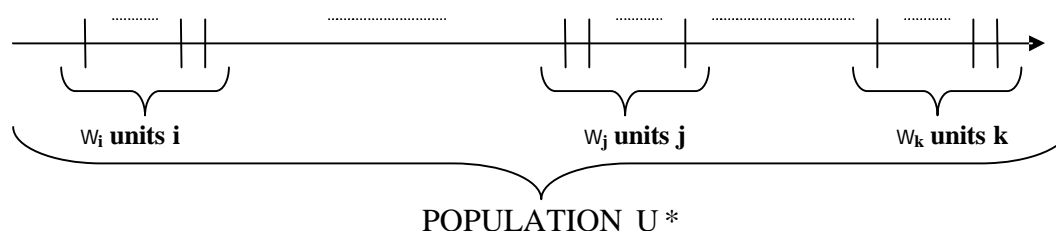
POPULATION U*

The population U* is made up by all the sample units i, replicated ω_i times. Traditionally, the unit i is said to "represent" ω_i units of the target population. Unknown population quantities, such as the total Y of a variable of interest y, are estimated by a linear function of the sample observations y_i, taking into account the sample weights:

$$\hat{Y} = \sum_{i \in s} \omega_i \cdot y_i$$

The objective of this document is to further the concept of sample weights and to provide a systematic procedure to obtain them. We limit us to describe weighting procedures for the units of the sub-samples which appear for the first time in the EU-SILC sample, only in situations where a rotational design is used (see paragraph B). In this case, sample weights are called *"cross-sectional" weights*. Cross-sectional weights are required for all the types of units considered in the EU-SILC survey:

- *The household cross-sectional weights (target variable DB090)* will be used to draw inference on the population of private households at the national and European levels.

- *The personal cross-sectional weights for all household members, of all ages (target variable RB050)* could be used to draw inference about individual basic demographic variables included in the register for the population of all individuals living in private households.

- *The personal cross-sectional weights for all household members aged of 16 and over (target variable PB040)* could be used to draw inference about the variables included in the personal questionnaire.

- *The personal cross-sectional weights for selected respondents (target variable PB060)* apply to situations where a sample of persons (as distinct from a sample of complete households) is used to collect information about more complex non-income variables, as possibly in countries where income and some other information are obtained from registers. These weights are used to draw inference about all the variables defined at the

selected respondent level (these variables refer to detailed labour information, health status, access to health care…….).

An overview of the legal aspects about weights mentioned in the Regulations.

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.

Although the computation of weights is under the responsibility of NSO, Eurostat will seek for minimum common standard by providing guidelines. Upon request and when the need is obvious Eurostat could develop programs to support the computation of the sample weights adapted to national situations. These guidelines aim to ensure minimum convergence between MS practices.

The computation of the cross-sectional weights: a step by step approach

The procedure that will be applied to each sub-sample distinguishes different steps to be applied sequentially. It aims to achieve transparency in order to be reproducible at the Eurostat level. In case of difficulty, it helps to identify the different contributions to the final weights. Three different weighting procedures will be described, according to the type of sampling implemented:

- *Direct sampling of households*

In this case, the sampling unit is the household.

- *Direct sampling of individuals*

We select a sample of persons and we survey the households of the sample persons. This method is often used in the Scandinavian countries where the sample persons reply to all the questions relative to the non-income variables and the rest is compiled from registers.

   - *Indirect sampling of households*

The principle is to select a sample of units which aren't households, but which are "linked" with them. All the members of the households "linked" with *at least one selected unit* will be interviewed.

1. *Direct sampling of households*

Step 1: calculation of the household design weights (target variable DB080)

The *household design weights* are very often used to derive unbiased estimators (Horvitz-Thompson) for parameters of the population such as totals of variables defined at the household level. The design weight of the household k is defined as the inverse of its inclusion probability π_k that is to say the probability that k should belong to the selected sample of households:

$$DB080_k = \frac{1}{\pi_k}$$

Remark: In particular situations, only a part of the sample is used during the fieldwork[1] and the surveyed households are completely randomly selected. It's better to integrate this additional sampling phase into the calculation of the inclusion probability by multiplying the first-phase inclusion probability by the probability that the household should be used during the fieldwork. For example, suppose after having selected the sample of households, we dispatch them completely randomly into 5 sub-groups. During the fieldwork, only 4 groups were used. So, the probability for a household to be used during the data collection is equal to 4/5. Therefore, the inclusion probability of a household is equal to the product of its first-phase inclusion probability by 4/5.

Step 2: correction for non-response at the household level

The objective of this correction is to reduce the bias due to the households which were contacted (DB120=11) but whose interview was rejected (DB135=2).
The reasons for this rejection can be: the household members refuse to cooperate, one of them is unable to respond because of illness or incapacity, the household is temporarily away for the duration of the fieldwork…

Ideally, this step requires to know the response probability of each of the responding households and to re-weight them by the inverse of this probability. Unfortunately, this value is in general unknown, so, we have to estimate it. One possible (simple) solution consists in dividing the sample of households into *classes*. Within each class, we make the assumption that the response probability is constant. So, *the empirical response rate withi n the class* provides an estimate[2] of the response probability for all the households of the class . The

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[1] Because, for example, we have achieved the minimum required effective sample size after surveying only a part of the sample and we have stopped the data collection after that.

[2] It's the estimate of maximum of likelihood

characteristics of the classes may be of two types: those pertaining to sample areas, and those concerning individual households, including both responding and non-responding households.

Area-level characteristics

This refers to characteristics relating to the areas or other aggregates, such as geographic location (administrative divisions), type of place of residence (urban-rural classification), and various socio-economic characteristics of the areas.

Household level characteristics

This refers to characteristics relating to individual households such as tenure status, dwelling type, household size and type, and other characteristics which may be related to the level of household living conditions.

A more sophisticated solution consists in estimating the response probabilities by a *logistic regression (or "logit") model* on auxiliary variables thought as closely linked to non-response. Let x_k a vector of auxiliary variables. The "logit" model is defined by:

$$\log\left(\frac{p_k}{1-p_k}\right) = \bullet^t \cdot x_k$$

where p_k is the response probability of the unit k and β the vector (to be estimated) of the parameters of the model. The vector β is generally estimated by maximum of likelihood. If $\hat{\bullet}$ is an estimate of β, the response probability is given by:

$$p_k^{LOGIT} = \frac{\exp\left(\hat{\bullet}^t \cdot x_k\right)}{1+\exp\left(\hat{\bullet}^t \cdot x_k\right)}$$

Finally, let $\hat{p}_k$ be the estimated response probability of the household k. $DB080_k \times \frac{1}{\hat{p}_k}$ is the weight of the household k after correction for the non-response at the household level

Step 3: calibration of the household weights to external data source(s)

The aim of the procedure of calibration is to improve the accuracy of the estimates by using external known information in the expression of the estimator. Let x_1, x_2...x_p auxiliary variables (called calibration variables) whose values for the responding households are known: let x_{ji} denote the value of the auxiliary variable x_j (j=1...p) on the household i. We suppose also that *the totals of the calibration variables over the whole population are known*. Two situations must be distinguished depending if the auxiliary variable is a numerical one or a character one:

- If x_i is a numerical variable (register income), we know its total over the whole population U :

$$X_i = \sum_{k \in U} x_{ik}$$

- If x_i is a character variable having m_i modalities (grouped age), we know the population counts corresponding to each of the m_i modalities :

$$X_i^r = \sum_{k \in U} 1_i^r(k)$$

where $1_i^r(k) = \begin{cases} 1 & \text{if } x_i(k) = r \quad (r = 1..m_i) \\ 0 & \text{otherwise} \end{cases}$

These totals come from sufficiently reliable external data sources such as, for instance, registers of households.

Let d_i the household design weight of i corrected for the non-response at the household level. The idea of the calibration procedure is to calculate new household weights $\bullet_k$ (usually depending on the sample s of households), called "calibrated" (or final) weights, such as the two following properties are satisfied:

- The "calibrated" weights are "not very different" from the initial weights d_k[1], which is strictly equivalent to have the ratios between the final weights and the initial weights, called the *g-weights*, "not very different" from 1.

- The totals X_j of the auxiliary variables are estimated *with no variance* from the final weights.

On the mathematical point of view, we consider a *"function of distance"* G (.). This function will control that the g-weights don't too vary from 1. G is supposed to be:
- Positive
- Continuously differentiable on a neighbourhood of 1
- Strictly convex
- G(1)=G'(1)=0

Under these assumptions, the "calibrated" weights ω_k satisfy the following problem of optimisation subject to constraints:

$$(P) \quad \begin{cases} \text{Minimum} \sum_{k \in S} d_k \cdot G\left(\dfrac{\bullet_k}{d_k}\right) \\ \text{Subject to :} \sum_{k \in s} \bullet_k \cdot x_{rk} = X_r \quad \text{for all r from 1 to p} \end{cases}$$

The software CALMAR[2] finds a solution depending on the choice of the function G. Different methods can be carried out by CALMAR:

- The linear method

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[1] The interest of this condition is to limit the bias

[2] CALMAR (CALage sur MARges) is a SAS macro, developed by the INSEE, which implements the procedure of calibration

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- The raking ratio method
- The "logit" method
- The linear truncated method
- Hyperbolic sinus (only with the last version)

The "logit" and linear truncated methods are particular cases of *bounded methods*: the interest is the g-weights are bounded by two fixed in advance values LO<1 and UP>1. In other words, when a bounded method is used, an additional constraint is added in the problem (P) of calibration: the g-weights must be between LO and UP. The advantage is the g-weights don't too vary from 1 if LO and UP are chosen so that [LO,UP] is small. However, if the interval is too small, the problem won't have any solution because the constraints are too strong. In practice, to determine good values for LO and UP, we make several trials of CALMAR. We start with a very small interval [LO,UP] and we extend it "manually" till the software provides a solution. Before that, it could be useful to use a non-bounded method in order to "estimate" suitable values for the bounds.

Eurostat recommends an *"integrative" calibration*. The idea is to use calibration variables defined at both household and individual level. The individual variables are aggregated at the household level by calculating household totals such as the number of male/female in the household, the number of persons aged of 16 and over…..After that, the calibration is done at the household level using the household variables and the individual variables in their aggregate form. The advantage of this technique is to ensure a consistency between household and individual estimates because (see the next step) all household members will have the same household cross-sectional weight as personal cross-sectional weight.

Recommended calibration variables at the household level (see annex 1):

- Household size
- Tenure status
- Region (NUTS II) (see annex 1)

Recommended calibration variables at the personal level (see annex 1):

- Distribution of population by age (five years age group) and sex.

MS can also adjust the sample to external income data, when they consider such external data to be sufficiently reliable. The weights obtained after this procedure of calibration are the *household cross-sectional weights* (target variable DB090).

Step 4: calculation of the personal cross-sectional weights for all household members (target variable RB050)

If the integrative calibration is used and because *all the household members are registered*, the personal cross-sectional weight RB050 is equal, for all the members of a given household k, to its cross-sectional weight DB090:

Let i a member of the household k Hence, $RB050_i = DB90_k$ is the personal weight of the household member i

Step 5: calculation of the personal cross-sectional weights for all household members aged of 16 and over (target variable PB040)

The calculation of the personal cross-sectional weights for all household members aged of 16 and over requires a correction for individual non-response within each household. The aim is to limit the bias due to the persons who refused to reply to the personal questionnaire. One possible solution consists first in estimating the response probability of the respondent household members aged of 16 and over given that their household is respondent (db135=1). This estimation can be obtained easily by computing the ratio of the number of household members aged of 16 and over by the number of household members aged 16 and over who have replied to the questionnaire.

After that, it would be interesting to calibrate the personal weights corrected for individual non-response to registered file data. This method has the advantage to ensure a consistency between register data and personal data estimates. For example, suppose you publish a table with the estimated number of persons in each activity status (PL030) per age group (16-25, 25-49 and 50+):

	PL030=1	PL030=2	………..	PL030=9	
16-25					(1)
25-49					(2)
≥ 50					(3)

All these estimates are calculated for the persons aged 16 and over so, the weights PB040 are involved. In the margin (1), we have the estimated number of persons aged between 16 and 25. That value has been calculated with the weights PB040. In the same way, in the cells (2) and (3), we have the estimated numbers of persons, calculated with PB040, aged between 25 and 49 and aged 50 and over.

These three previous estimations can be calculated in another way than with the personal data weights (PB040), because we can also consider them as personal register information and, therefore, use the personal cross-sectional weights for all household members (RB050). These two methods should lead to the same estimates.

That's why, by calibrating at the persons aged 16 and over to totals like the number of persons aged between 16 and 25, the total number of males/females…… and by calibrating the weights for all household members (RB050) *to the same totals*, we'll obtain the same estimates in the two situations and it will therefore prevent us from problems like those encountered in the table.

2. *Direct sampling of individuals*

A sample of persons (called the *"selected respondents"*) is selected from a frame of persons aged of 16 and over. The household of each selected respondent is interviewed:

- The selected respondent will reply to all the questions on the non-income variables.
- Concerning the income variables and other related variables, the information will be compiled from registers and will be recorded for all household members aged 16 and over.

In this situation, here are the steps to calculate the sample weights:

1. The personal design weights for selected respondent (target variable PB070)

2. The household design weights (target variable DB080)

Let h be a sampled household. Therefore, the design weight of h is equal to:

$$DB080_h = \frac{\sum_{i \in h \cap s} PB070_i}{NHM_h^{16+}}$$

where:
- s is the sample of selected respondents
- NHM_h^{16+} is the number of members of h aged of 16 and over.

The next four steps are similar to those described when a sample of households was drawn:

3. Correction for non-response at the household level

4. "Integrative" calibration of the household weights to external data source(s) (The household cross-sectional weights (target variable DB090))

Calibration variables will be defined at both household and personal level. It's also recommended to integrate in the calibration auxiliary variables defined at the selected respondent level. If x if such a variable and X its known total, we use in the procedure the value of X and we must replace x by a new variable y, derived from x and defined at the household level. For a household h, we can use the following definition for y:

$$y_h = NHM_h^{16+} \times \left(\sum_{\substack{i \in h \cap s \\ i \text{ respondent to} \\ \text{the questionnaire}}} x_i \right)$$

- s is the sample of selected respondents
- NHM_h^{16+} is the number of members of h aged of 16 and over.

5. The personal cross-sectional weights for all household members (target variable RB050)

6. The personal cross-sectional weights for all household members aged of 16 and over (target variable PB040)

We have DB090=RB050=PB040. The reason is within a household only the selected respondent replies to the interview. The rest of the information is compiled from registers. So, the survey design makes individual non-response doesn't exist.

7. *The personal cross-sectional weights for selected respondent (target variable PB060)*

If an "integrative" calibration , with auxiliary variables defined at the selected respondent level, was used, we have, for a selected respondent i:

$$\boxed{PB060_i = DB090_{M(i)} \times NHM_{M(i)}^{16+}}$$

where M(i) is the household of i.

3. Indirect sampling of households

The principle is to select a sample of units which aren't households, but which are "linked" to them. All the members of the households "linked" to at least one selected unit will be interviewed. An indirect sampling is necessary if we don't have any sampling frame of households, or the ones we have aren't sufficiently reliable. This sampling technique can also be used in panel surveys where its great interest is to provide cross-sectional estimates at the household level (because all the household members are surveyed).

Example: a sampling of selected respondents can be considered an indirect sampling of households[1]. In this case, a person is "linked" to a household if an only if he/she is one of its members.

The difficulty of this situation is that the computation of the household design weights is generally impossible because the inclusion probabilities can't be calculated. In the situation of a selected respondents' sampling, the inclusion probability of a household is equal to the probability that *at least one of its members aged of 16 and over* should be selected as selected respondent. If there is more than 1 person in the household aged of 16 and over, this step requires the multiple inclusion probabilities (probability that p given units, with p>1, should be selected together in the sample), generally unknown.

To solve this problem of weighting, we can use the *Generalized Weight Share Method*. This technique provides household design weights such as totals of household variables are unbiasedly estimated. Let U the sampling population, with M elements, where a sample s is selected. The "link" between the elements of U and the households is represented by a dichotomic variable L(.,.) such as:

$$L(j,h) = \begin{cases} 1 & \text{if the unit j of U is linked with the household h} \\ 0 & \text{otherwise} \end{cases}$$

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[1] However, in a selected respondents' sampling, we look for estimates at the selected respondent level whereas it isn't the case in a general indirect sampling of households where we don't look for estimates at the level of the sampling population. This difference explains why these two types of samplings are described in distinct paragraphs and not as a whole.

So, the design weight of the household h given by the Generalized Weight Share Method is:

$$DB080_h = \frac{\sum_{j \in s} L(j,h) \cdot \frac{1}{\pi_j}}{\sum_{j=1}^{M} L(j,h)} = \sum_{j \in s} \left(\frac{L(j,h)}{\sum_{j=1}^{M} L(j,h)} \right) \cdot \frac{1}{\pi_j} \quad (*)$$

where π_j is the inclusion probability of the unit j. After having computed the household design weights, the procedure to be applied is the same as these described in the case of a direct sampling of households:

   i.   *Correction for non-response at the household level*

   ii.   *"Integrative" calibration of the household weights to external data source(s) (The household cross-sectional weights (target variable DB090))*

   iii. *The personal cross-sectional weights for all household members (target variable RB050)*

   iv.   *The personal cross-sectional weights for all household members aged of 16 and over (target variable PB040)*

ABOUT THE VARIABLES OF CALIBRATION

For the Member States, the choice of the calibration variables which will be used in the calibration is free. However, to have an efficient calibration, these variables should have a relation with the income. For example, the following variables can be chosen:

Calibration variables at the household level

The sample of households is to have the same structure as the total population by:

Household size:

HS = 1	1 household member
HS = 2	2 household members
HS = 3	3 household members
HS = 4	4 or more household members

The number of household members is calculated in each household as the number of people with RB030.

Tenure status:

TS = 1	Owner or accommodation is provided rent free
TS = 2	Tenant

Where
    TS = 1 if HH020 = 1 or 4
    TS = 2 if HH020 = 2 or 3

Region (NUTS II):

    (See Annex 1)

Calibration variables at the personal level

The sample of individuals is to have the same structure as the total population by age and sex:

Distribution of population by age (five years age group) and sex:

The number of household members belonging to each sex-age group will be calculated within each household.

SEX = 1	0 • AGE < 16
	16 • AGE < 20
	20 • AGE < 25
	25 • AGE < 30
	30 • AGE < 35
	35 • AGE < 40
	………………
	………………
	65 • AGE < 70
	70 • AGE < 75
	AGE • 75
SEX = 2	0 • AGE < 16
	16 • AGE < 20
	20 • AGE < 25
	25 • AGE < 30
	30 • AGE < 35
	35 • AGE < 40
	………………
	………………
	65 • AGE < 70
	70 • AGE < 75
	AGE • 75

where SEX = RB090

Calculation of age

If the income reference period = previous calendar year

AGE = (RB010-1) –RB080   (in particular, if RB010=RB080 then AGE = -1)

If the income reference period is different than the previous calendar year

If $MM_{\text{end of the income reference period}}$ • RB070
   • AGE= $YYYY_{\text{end of the income reference period}}$ − RB080

If $MM_{\text{end of the income reference period}}$ < RB070
   • AGE= $YYYY_{\text{end of the income reference period}}$ − RB080-1

Note:

In order to calibrate according to marginal distributions, information from external sources on the distribution of the population of households and persons have to be available.

The reference date of the external data should be as close as possible to the survey reference date. In this way, the household level variables are to be referred to the fieldwork 'reference period', and the personal level variables are to be referred to the end of the income reference period.

In any case is possible to calibrate using valid information at year t < t'.

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 Cohesion Indicator on" 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 which 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, in the same way as the cross-sectional survey. This initial sample is then followed-up over time (for a minimum of duration of 4 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 in the initial sample any changes in the target population and to follow-up individuals over time. The sample for the EU-SILC longitudinal component at any given time (year) will in general 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 not containing such individuals. With the possible exception of sample supplements added specially for the purpose, the last 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 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 meant 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), 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 to 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 than 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' to a new household containing no member aged 14+ from their original household. Also, 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 new-born 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 4-year duration, it has been decided not to follow-up new born 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+ from their original household.

Hence it is not sufficient to confine the selection to persons aged 16+ within each household for the purpose of follow-up. *For a 4-year panel, the selection should at least cover persons aged 14+*.

Longer the duration of the panel, more necessary it would be 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 8 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.

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

- Persons 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. Household and income information should nevertheless be collected for such households, normally using registers.

- If panels of duration longer than four years are employed, the age limit for the selection of individuals would need to lowered further.

- The size of the sample selected would need to be appropriately increased to achieve the required number of interviews with persons aged 16+.

Non-respondents

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

For a short panel of 4 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. Non - enumerated 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 recommendations only household after 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 interview will be conducted with persons aged 16+, and in the case a sample of complete households is used, with all persons 16+ (whether sample persons or coresidents) 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 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+ temporarily in a collective household or institution but 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 actual or intended duration of 6 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 that case, 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. 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 has not been contacted the first year or two consecutives years due to the reasons mentioned above, the sample person may be dropped from the survey).

9. Also will be dropped from the survey sample persons aged 14 + who 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 not containing a sample person (aged 14+).

11. For former residents (''the former household members''), who spent at least 3 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 8 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 1.Rules for the follow-up of sample persons, sample households and co-residents

Sample persons	To be
Moving 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 no longer members of a private household, or those who have moved outside the national territory covered in the survey	Dropped from the survey

Sample households	To be
Non enumerated a single year due to the impossibility to locate 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 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	Dropped
Co-residents	**To be**
Living in a household containing at least one sample person	Followed
Living in a household not containing any sample person	Dropped

Note: For more detail information see Annex 6

Organisation of the tracing

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

As 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 interviewers 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 coming to the address of the household in 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 and the new address of the movers.

If the interviewer is not able to get the new address, then an attempt has to 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 follow 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 households members in 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 on 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 diverse sources in a number of forms. The discussion is concerned with the problem of imputation for item non-response, particularly with 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 the members of a household.

The discussion is confined to cross-sectional context only. Editing and imputation of longitudinal data involves to take into account auxiliary values from 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 types of reasons for impute missing data, one may be called statistical and 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 only to cases with complete information.

This, however, is not a general 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 correction 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 absence of information on whole units (households and/or persons) selected into 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 with self-defined current activity status', which requires information on the activity status of all household members.
The most important of this class of variables concern components of household income. It 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 1, two types of approaches (which may be used in combination) are mentioned: imputation and weighting.

Table 1. Treating missing data

Missing data	Compensating measures	
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 some type of modelling, rather than purely statistical imputation.

EU-SILC target variables for imputation

According with EU-SILC Framework Regulation :'MS shall transmit to the Commission (Eurostat) in the form of microdata 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.

Also 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 needed as a guide 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 which the procedure should have, and some procedures are better than other in terms of those properties.
The procedure should preserve variation of and correlations between variables. Methods that incorporate into the imputed values some 'error component' are preferable to those which simply impute a predicted value. Similarly, methods which 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. Special techniques such as multiple

imputation or methods using neural networks may be ruled out in view of this consideration, despite some desirable statistical properties they may have.

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 in aggregating personal level income variables to construct the corresponding variables at the household level. Otherwise, income of individuals not interviewed is not added up into the total household income.
The same applies to other variables constructed at the household level through aggregation of person-level variables.
One possible approach to dealing with the 'partial unit non-response' problem would be full imputation of missing personal interviews.
Adjustment of sample weights can provide a simpler alternative, however.
A simplified procedure , such as it was applied in the case of ECHP , is justified on the ground 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 AVAILIBITY

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 which 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.

Cross-sectional component

Member States shall transmit the micro-data files relating to year of survey N to the Commission (Eurostat), preferably within eleven months after the end of the data collection. The extreme deadline for the transmission of micro-data to Eurostat shall be 30 November (N+1) for Member States where data are collected at the end of year N or through a continuous survey or through registers and 1 October (N+1) for other Member States.

Together with the micro-data files, Member States shall transmit social cohesion indicators based on the cross-sectional sample of year N that shall be included in the annual Spring report of year (N+2) to the European Council.

The dates of transmission of data also apply for the transmission of comparable data for cross-sectional common EU indicators for Member States, which start annual collection of data after 2004 in compliance with article 4(2) of the Framework Regulation.

Micro-data files at Community level for data collected up to year N shall be made available for scientific purposes by the end of February N+2.

Table 1: Dates for transmission and publication/dissemination of cross-sectional data

Year of survey	Deadline for transmission of the data and the social cohesion indicators	Transmission of indicators from Eurostat to the Commission	Dissemination of micro-data	Publication of annual report of social cohesion
N	• *Preferably 11 months after the end of the data collection* • *1 October year N+1* • *exceptions until 30 November year N+1*	*Mid December[1] year N+1 to be published beginning of year N+2*	*End February year N+2*	*End June year N+2*
2003	1 Oct 2004 (30 Nov 2004)	Mid Dec 2004	none	none
2004	1 Oct 2005 (30 Nov 2005)	Mid Dec 2005	End Feb 2006	End Jun 2006
2005	1 Oct 2006 (30 Nov 2006)	Mid Dec 2006	End Feb 2007	End Jun 2007
2006	1 Oct 2007 (30 Nov 2007)	Mid Dec 2007	End Feb 2008	End Jun 2008
…..				

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[1] Transmission should happen before end of November, but there is a conflict with the exceptions of transmission of the data to Eurostat. Therefore data that arrives end of November at Eurostat, can be considered only if it is completely correct.

Longitudinal component

Member States shall transmit the micro-data files up to year N to the Commission (Eurostat) preferably within fifteen months after the end of the fieldwork. The mandatory deadline for the transmission of micro-data to Eurostat shall be the end of March (N+2), each year starting from the second year of EU-SILC. The first transmission of data, covering longitudinally linked data for the survey years 2004 and 2005, for Member States starting annual data collection in 2004; for the survey years 2005 and 2006, for Member States starting annual data collection in 2005, shall take place respectively by end March 2007 and 2008. The next transmission shall cover the first three survey years 2004-2006 (2005-2007) and shall take place respectively by end March 2008 and 2009. Thereafter, each year longitudinal data covering the preceding four survey years (revised from previous releases as necessary) shall be provided.

For the longitudinal component, micro-data files at Community level for data collected up to year N shall be made available for scientific purposes by the end of July N+2. The first issue of longitudinal micro-data files for those Member States which start the data collection in 2004 shall cover 2004 and 2005 and shall take place at the end of July 2007. The second issue in July 2008 shall cover years 2004-2006, for those Member States which start the data collection in 2004, and years 2005 and 2006, for those Member States which start the data collection in 2005. The third issue in July 2009 shall cover years 2004-2007, for those Member States which start the data collection in 2004; 2005-2007 for those Member States which start data collection in 2005. Thereafter, each July release shall cover longitudinal data at Community level for the four most recent years available.

Table 2: Dates for transmission and dissemination of longitudinal data

Year of survey	Deadline for transmission of the data	Years to transmit (and to disseminate)	Dissemination of micro-data
N	• *Preferably 15 months after the of the data collection* • *31 March year N+2*	*N-3, N-2, N-1, N*	*End July year N+2*
2004	No transmission	none	none
2005	31 Mar 2007	2004, 2005	End Jul 2007
2006	31 Mar 2008	2004, 2005, 2006	End Jul 2008
2007	31 Mar 2009	2004, 2005, 2006, 2007	End Jul 2009
2008	31 Mar 2010	2005, 2006, 2007, 2008	End Jul 2010
2009	31 Mar 2011	2006, 2007, 2008, 2009	End Jul 2011
…..			

The table refers to Member States starting the longitudinal component in 2004. Member States which have started in 2003 should diminish the year in the table by 1, Member States which start only in 2005 should add 1 to the year.

Sample to be transmitted

Rotational panel scheme with 4 subsamples

Under a rotational panel scheme with 4 subsamples, Member States shall annually transmit in year N+2 not only the rotational subsample up to year N with four year duration to the Commission (Eurostat), but also the current rotational subsamples with shorter duration (3 years and 2 years).

In this way, the Commission (Eurostat) will yearly get 3 over 4 subsamples that will cover at least the most recent 2 years. From the third year of data transmission, the Commission (Eurostat) will get 3 over 4 subsamples that will respectively cover the four, three and two most recent years. Each year all the subsamples will be transmitted together.

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

The Commission (Eurostat) will annually make available for scientific purposes micro-data files at Community level of these subsamples. In this way, the Commission (Eurostat) will yearly make 3 over 4 subsamples that will cover at least the most recent 2 years available for scientific purposes. From the third year of data dissemination, 3 over 4 subsamples that will respectively cover the four, three and two most recent years will be disseminated.

Tables 3a to 3e illustrate the case of a Member State which starts the longitudinal survey in 2004:

Table 3a: Subsamples to transmit to Eurostat in year 2007

Year of survey	Subsample 1[1]	Subsample 2	Subsample le 3	Subsample 4	Subsample 1'	Subsample 2'	Subsample 3'	Subsample 4'
2004	‖‖‖	▓	▓	▓				
2005		▓	▓	▓	‖‖‖			
2006								
2007								
2008								
2009								

Table 3b: Subsamples to transmit to Eurostat in year 2008

Year of survey	Subsample 1	Subsample 2	Subsample le 3	Subsample 4	Subsample 1'	Subsample 2'	Subsample 3'	Subsample 4'
2004			▓	▓				
2005			▓	▓	▓			
2006			▓	▓	▓	‖‖‖		
2007								
2008								
2009								

▓▓▓	Subsamples to transmit
‖‖‖‖	Subsample not to transmit, because it does not cover at least 2 years

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[1] Needs to be collected for the cross-sectional component in the case of an integrated survey

Table 3c: Subsamples to transmit to Eurostat in year 2009

Year of survey	Subsample 1	Subsample 2	Subsample 3	Subsample 4	Subsample 1'	Subsample 2'	Subsample 3'	Subsample 4'
2004				▓				
2005				▓	▓			
2006				▓	▓	▓		
2007				▓	▓	▓	‖	
2008								
2009								

Table 3d: Subsamples to transmit to Eurostat in year 2010

Year of survey		Subsample 4	Subsample 1'	Subsample 2'	Subsample 3'	Subsample 4'	Subsample 1''	Subsample 2''
2004								
2005			▓					
2006			▓	▓				
2007			▓	▓	▓			
2008			▓	▓	▓	‖		
2009								

Table 3e: Subsamples to transmit to Eurostat in year 2011

Year of survey		Subsample 4	Subsample 1'	Subsample 2'	Subsample 3'	Subsample 4'	Subsample 1''	Subsample 2''
2004								
2005								
2006					▓			
2007					▓	▓		
2008					▓	▓	▓	
2009					▓	▓	▓	‖

▓	Subsamples to transmit
‖	Subsample not to transmit, because it does not cover at least 2 years

Panel scheme (pure panel)

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

If during the panel new households (not split off households) are added to panel (substitute the loss of other panel households, …), the new households should be considered the same way than a new subsample in a rotational survey. They should only be transmitted when they cover at least 2 years.

Files to transmit to Eurostat

The target variables will be sent to EUROSTAT in 4 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, 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 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 living at least 3 months in the household 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). Most
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 on.
Stadium requires an installation on both sides (at Eurostat and in the Member States).

Register Files in EU-SILC
To fill in the register files focusing on the variables and their values see Annex 6.

General definitions

DEFINITIONS

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

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

Fieldwork period
 Means the period of time in which the survey component is collected.

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

Cross-sectional data
Means 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
Means the subject areas to be collected on an annual basis.

Target secondary areas
Means the subject areas to be collected every four years or less.

Gross income
Means 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 including inter-household transfers received.

Disposable income
Means 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
Refers to 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. Also included are persons living as lodgers in households with more than five lodgers.

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

Age
Refers to the age at the end of the income reference period.

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

Longitudinal data
Means 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
Refers to the sample of households or persons at the time it is selected for inclusion in EU-SILC.

Sample persons
Means all or a subset of the members of the households in the initial sample who are over a certain age.

Age limit used to define sample persons
In 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
Means 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
Refers to the sample selection based on a number of sub-samples 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.
        In the case of a rotational design based on 4 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 3 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 4 years.

Sample household
Means 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 more.

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 (whole) if it remains as one household, without forming an additional household and without the household disappearing, even though there might 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
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 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 while 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 what is 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 needed.

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 will be 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 been 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 which fluctuate considerably from year to year, so that to focus on the income of any particular year - let alone a particular week or month – will 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 who experiences a number of periods of unemployment through 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 to what extent 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 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 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 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 the 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 which 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 might therefore appear that current income might be a reasonable representation of their 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 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, 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 which 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 which 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 normally is 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 twelve month period preceding the interview

The second option, of using a 12 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 twelve 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 one of using the tax year 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 soon after the end of the tax (or calendar) year, this option becomes very similar to the first one 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 in aggregating the data. Despite this problem, however, 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

This discussion has concentrated so far 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 which 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 give 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 / 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 still to 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 which 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 in any case particular problems in capturing data on self-employment income which 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. They stem from the well-known and documented problems of respondent recall if 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. It may however be possible to ask some questions which establish whether the most recent receipts are in any way atypical for the past year and in what way. It may then be possible to adjust '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 less the degree of dispersion 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 months 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 12 months immediately preceding the interview.

To reduce 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 months 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 months 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 EU-SILC framework regulation in its 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 deliverer, from the beginning of the survey, all of EU-SILC requirements about 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 as 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 moment of written this document two other countries Latvia and Poland have asked for a derogation) may be allowed not to deliver any gross income data as from the first year of their operation. These countries will, however, do their utmost best to deliver this data as soon as possible and definitively 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 can not 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 according with the usual specification for this income component in the country and preferably gross.

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)	Child care
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 health care
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 following reference periods for different items:

- At selection: this term is usually used with variables related with the sample design and it refers at time that the sample is selected
- Constant
- Current
- Income reference period: the income reference period shall be a twelve-month period. This may be a fixed twelve-month period (such as the previous calendar or tax year) or a moving twelve-month period (such as the twelve months preceding the interview). Limited departures from this definition are allowed for Member States having a different tradition in their national statistics, as long as the impact on comparability is marginal.
- Last twelve months: this refers to the twelve months period preceding the interview.
- Since last year: since last interview.
- Working life: period of time between the time that person started his/her labour activity and now.
- Childcare reference period : the childcare reference period shall be a typical (usual) week from January to June of the year of the survey (year N; school period N-1/N). (If the date of the survey is before the school summer holidays, the childcare reference period shall be a typical week in the period from January to the date of the survey). 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 between each other, then the information should be given for the first week before the end of the reference period which is not affected by holidays or other special circumstances (e.g. illness).

Other periods of time as reference week (refers the period 'from Monday to Sunday' of the week before the interview date), 4 previous weeks (refers to the previous 4 weeks ending with the reference week), etc are used in the data collection and they are defined in each item.

UNITS

Household

Private Household is 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 the essentials of living.

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 household 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 6 months or more

for category (6)

- currently has no private address elsewhere and their actual or intended duration of stay is less than 6 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 6 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 6 months or more at the new place of residence.

Account has to 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 6 months or more will be considered a household member, even though the person has not yet stayed in the household for 6 months, and has in fact spent a majority of that time at some other place of residence. Similarly, a persons who has moved out of the household to some other place of residence with the intention to stay away for 6 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 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. The former household members will be included only in 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 on 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

- Constructed
- Frame
- Frame, register or interviewer
- Frame, register or sample design
- Household respondent
- Household respondent or register
- Interviewer
- Personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers
- Personal interview, proxy or registers

The <u>household respondent</u> 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 the 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 give the information.

For the second and following waves of the longitudinal component of EU-SILC, 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 give the information.

Priority (3): a 'non-sample person' aged 16 and over.

For the <u>information on all of household members 16 and over</u> the following modes of data collection are stipulated:

- For basic data, education and labour information: personal interview, proxy on a normal procedure or registers
- For income variables: personal interview (proxy as an exception for persons temporarily away or in incapacity) or extraction from registers

For the <u>information on at least a household member 16 and over</u> (the selected respondent), i.e., health and detailed labour information, only personal interview, proxy as an exception (for person temporarily away or incapacity), or extraction from register will be permitted.

When by special circumstances (absence, illness, incapacity, ...) the individual may not directly provide the information that is requested, through personal interview, it will be chosen:
- to make a personal interview with another member of the household trained to facilitate the data (proxy)
- to make a telephone interview with the individual (CATI or telephone)
- to leave the questionnaire in the household to be self-administered by respondent.

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

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

The target variables will be sent to EUROSTAT in 4 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 (longitudinal only)), 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 or 13 => 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. In the <u>longitudinal</u> component (initial household) this file must contain also a record for every person moved out or died since previous wave and for every person who lived in the household at least three months during the income reference period and was not recorded otherwise 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 or 13).

VARIABLE NAMES

The variable names are composed of 3 parts:
- 1st character: file
- 2nd 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 not to create 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 2 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 gives 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
     - Variable is filled: 1 or 2 positive flags and, for most variables, an imputation factor concatenated together
     - Variable is NOT filled: negative flag (= reason why variable is not filled)

IDENTIFICATION NUMBERS AND RECORD OF PERSONS

Identification Numbers

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

Construction
- Household number : 1 - 999999 (maximum 6 digits)
- Household ID (cross-sectional) : = Household number
- Household ID (longitudinal) : = Household number + split number (2 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 is still 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 (2 digits)
    Personal number: for every new person in the household add 1 to 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 he/she is recorded as a household member. In the cross-sectional component, and in new households in the longitudinal component, it should correspond to the person's line position in 'the household register'.

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

Example

Cross-sectional
    Household number = 123
    Household ID = 123
    Personal ID (person 1) = 12301
    Personal ID (person 2) = 12302
    Personal ID (person 3) = 12303

Longitudinal

Household	**WAVE 1**	**WAVE 2**	**WAVE 3**	**WAVE 4**
	Jean Mary Elaine Lucas Peter	Jean Mary	Jean	Jean
			Mary Marcus	Mary Marcus
		Elaine Lucas Anne	Elaine Lucas Anne	Elaine
				Lucas Anne
		Peter Sara	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 her sister 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 live in wave 1 at the same address) and keeps the household number and the split number.

The household composed of Elaine, Lucas and Anne is one split-off household, keeps the same household number but has a different split number '01'. The personal ID assigned to Anne is the Household ID =12301 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.

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.

Rests of 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 plus add one to the highest used person number (for all the years of the survey and the Household ID). As the household exited from previous wave and for this household numbers 01-05 person number was already assigned, the person number for Marcus is 06.
The household composed by Jean is the split-off household, 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 had already 2 split the, new one will be 3.
Wave 4:
Elaine moved out to Nice.
Lucas and Anne moved out to Nancy.
Rests 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 keeps the household number and the split number. The household composed by Jean and Anne is the split-off household, 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 had already 3 split the new one will be 4.

Record of Persons
For determining the household identification numbers, it is necessary in case of household split 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 data collection purpose.
When a household split from wave x to wave x+1, it will be in the initial household where all information about the moving of the persons from previous wave will be collected (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 live at the same address than in wave 1. In this household information about moving of the persons from 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 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	Member-ship 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	Member-ship 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	Member-ship Status
A	05	123-00-05	12	1930	1	1	2
B	01	123-02-01	03	1926	2	2	3

Notes

All labour information refers to the MAIN JOB (current or last job if the person is inactive or unemployed and has worked before) if it is not explicitly stated that it refers to second, etc. jobs

Household Register (D-file)

DB010: Year of the survey

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: interviewer

Values
year (4 digits)

DB020: Country

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: constant
Unit: household
Mode of collection: frame

Values	
BE	Belgique/Belgïe
DK	Danmark
DE	Deutschland
GR	Elláda
ES	España
FR	France
IE	Ireland
IT	Italia
LU	Luxembourg
NL	Nederland
AT	Österreich
PT	Portugal
FI	Suomi
SE	Sverige
UK	United Kingdom
BG	Bulgaria
CY	Cyprus
CZ	Czech republic
EE	Estonia
HU	Hungary
LV	Latvia
LT	Lithuania
MT	Malta
PL	Poland
RO	Romania
SK	Slovak republic
SI	Slovenia
IS	Iceland
NO	Norway
CH	Switzerland

DB030: Household ID

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional [and longitudinal]
Reference period: current
Unit: household
Mode of collection: frame, register or interviewer

Values	
ID number	*see construction in chapter 'General description'*

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

DB040: Region

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: frame, register or interviewer

Values
NUTS 2   *see annex 1*

Flags
-1   Missing 1   filled

DB050: Primary strata

[Primary strata as used in the selection of the sample]
BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: at selection
Unit: household
Mode of collection: frame, register or sample design

Values	
1 - 9999	primary strata

Flags	
1	filled
-2	not applicable

This variable applies only to sampling designs **which start with a stratification of the population**. It provides an identification number to each stratum involved in this step. If the sampling design doesn't start with a stratification of the population, DB050 will be filled in with a blank and the flag DB050_F will be take the modality -2 (not applicable). This variable will be recorded only the first time the household appears in the survey.

Stratification consists in dividing the population into non-overlapping subpopulations called strata. A probability sample is selected in each stratum. The selections in the different strata are independent.

DB060: PSU-1 (first stage)

DB062: PSU-2 (second stage)

[PSU-1 (first stage) as used in the selection of the sample]
[PSU-2 (second stage) as used in the selection of the sample]
BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: at selection
Unit: household
Mode of collection: frame, register or sample design

Values	
1 - 9999	PSU (see below the required format)
Flags	
1	filled
-2	not applicable

These ones apply to sampling designs where a direct sampling of households is impossible or impractical. In this case, a **multistage sampling** is required: the population elements are first grouped into disjoint subpopulations, called **primary sampling units (PSUs)**. A probability sample of PSUs is drawn (first–stage sampling). In each sampled PSU, we can repeat the previous procedure: we divide each PSU into subpopulations, called **secondary sampling units (SSUs)** and we draw a sample of SSUs in each PSU (second-stage sampling). A multistage sampling consists of 3 or more sampling stages. The sampling units in the last–stage sampling will be the households.

DB060 is the identification number of the selected PSUs. If there's no sampling stage, this variable will take a blank and the flag DB060_F the modality -2 (not applicable). In the same way, DB062 identifies the selected SSUs. If there is at the most one sampling stage, DB062 takes a blank and the flag DB062_F -2 (not applicable).

If the sampling has more than 3 stages, it's also necessary to identify the units selected from the third stage[1]. That's why we have to define, for $i \geq 3$, the variables DB06i as the identification numbers of the units sampled at the stage i. In particular, this definition includes stratification, because stratification can be regarded as a sampling stage, where all the units are selected. In this case, DB06i are the identification numbers of each stratum. The variables DB06i will have to follow the same rules that for DB060 and DB062 and they will be sent to Eurostat in the case that sampling has more than 3 stages.
As used in the selection of the sample.
Like DB050, all the variables DB060, DB062….DB06i…will be recorded only the first time the household appears in the survey.

---

[1] Except the last-stage sampling units, that is the households. These ones are identified by the target variable DB030 (Household ID)

Required format

In principle, according to the regulation, these weights had to be coded with 4 digits as maximum. But, that cause problems if the number of PSU is bigger than 9999. That's why, in practice, the PSU will be coded between 1 and 99999.

DB070: Order of selection of PSU

[Order of selection of PSU as used in the selection of the sample]
BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: at selection
Unit: household
Mode of collection: frame, register or sample design

Values	
	1 - 9999 order of selection of PSU (see below the required format)
Flags	
1	filled
-2	not applicable

This is relevant if primary sampling units are selected using a **systematic sampling**. In this situation, the order of the selection of the units by the systematic sampling is essential to variance calculations. Obviously, when some other sampling scheme has been used, DB070 takes a blank and the flag DB070_F the modality -2 (not applicable).

If a systematic sampling is implemented to select units at other sampling stages, it's also necessary to transmit the variable DB07(i-1), that is the order of the selection of the units of stage i (i>1).

These variables will be recorded only the first time the household appears in the survey.

Required format

In principle, according to the regulation, these weights had to be coded with 4 digits as maximum. But, that cause problems if the number of PSU is bigger than 9999. That's why, in practice, the order of selection of PSU will be coded between 1 and 99999.

DB075: Rotational group

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: constructed

Values	
1 - 8	which subsample belongs to
Flags	
1	filled
-2	na (no rotational design is used)

The rotational group is only required for those countries using a rotational design.

Rotational design:

Refers to the sample selection based on a number of sub-samples 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.

In case of a rotational design based on 4 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 3 years, and the fourth shall be retained for 4 years. From the second year onwards: each year one new replication shall be introduced and retained for 4 years.

Rotational 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.

DB080: Household design weight

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: constructed

Values	
0+ (format 2.5)	weight (see below the required format)
Flags (cross-sectional)	
1	filled
Flags (longitudinal)	
1	filled
-2	na (household not first time in survey or split off household)

The household design weights are defined for each sampled household as the inverse of the inclusion probability. This variable must be recorded each year the household appears in the survey:

First year in the survey

The computation of the inclusion probabilities and, so, of the household design weights is easy by using the sampling design.

From the second year (cross-sectional component using a rotational panel or pure panel)

From the second year, the computation of the inclusion probabilities is in general not feasible. Therefore, we have to apply the **Generalized Weight Share Method** to the household cross-sectional weights (DB090) obtained at the first year in order to calculate the design weights.

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, household design weights will be coded with at least one integer and 5 decimals.

See Weights

DB090: Household cross-sectional weight

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: constructed

Values	
0+ (format 2.5)	weight (see below the required format)
Flags	
1	filled

The household cross-sectional weights are obtained after adjustment of the design weights DB080 in order to correct the non-response at the household level and to improve the accuracy of the estimates, by calibration to true known totals. This variable must be recorded each year the household appears in the survey and be filled for all the households of the sample.

In particular, if a household is not accepted for database (DB135 not 1), the household cross-sectional weights must take value 0.

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, household design weights will be coded with at least one integer and 5 decimals.

See Weights

DB100: Degree of urbanisation

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: constructed

Values	
1	densely populated area
2	intermediate area
3	thinly populated area
Flags	
1	filled

LFS concept:
Densely populated area
This is a contiguous set of local areas, each of which has a density superior to 500 inhabitants per square kilometre, where the total population for the set is at least 50,000 inhabitants.
Intermediate area
This is a contiguous set of local areas, not belonging to a densely-populated area, each of which has a density superior to 100 inhabitants per square kilometre, and either with a total population for the set of at least 50,000 inhabitants or adjacent to a densely-populated area.
Thinly-populated area
This is a contiguous set of local areas belonging neither to a densely-populated nor to an intermediate area.
(Labour force survey – Methods and definitions – 1998 edition)

According to the Labour Force Survey recommendations, a set of local areas totalling less than 100 square kilometres, not reaching the required density, but entirely enclosed within a densely-populated or intermediate area, is to be considered to form part of that area. If it is enclosed within a densely-populated area and an intermediate area it is considered to form part of the intermediate area.

The "local area" corresponds to the following entities in the respective States :
Belgique/Belgie: Commune/Gemeente; Danmark: Kommuner; Deutschland: Gemeinde; Ellada: Demotiko diamerisma/Koinotiko diamerisma; España, Municipio France: Commune, Ireland: DED / ward, Itali Commune, Luxembourg Commune, Nederland: Gemeente, Österreich: Gemeinde,Portugal: Freguesias, Suomi / Finland: Kunnat, Sverige :Kommuner, United Kingdom :Ward, Czech Republic: OBCE, Estonia: VALD+ALEV+LINN; Hungary: TELEPULES; Latvia: PAGAST+ PILSETAS; Poland: GMINY+MIASTA; Slovenia: OBCINAH; Slovakia: OBCE A MESTA; Lithuania: Seniunija; Cyprus: Demos/Koinotites; Malta: Localities; Bulgaria: Naseleni miasti; Romania: Comuni, Municipii, Orasi; Iceland: SVEITARFÉLAG; Norway: KOMMUNER

DB110: Household status

BASIC DATA (Basic household data including degree of urbanisation)
Longitudinal
Reference period: current
Unit: household
Mode of collection: interviewer

Values
Household from previous wave
1   At the same address as last interview
2   Entire household moved to a private household within the country
Household no longer in-scope
3   Entire household moved to a collective household or institution within the country
4   Household moved outside the country
5   Entire household died
6   Household does not contain sample person
Address non-contacted
7   Address non-contacted(unable to access, lost-no information on record on what happened to the household-)
New household for this wave
8   Split-off household
9   New address added to the sample this wave or **first wave**
Fusion
10   Fusion

Flags
1   filled

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 anymore 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 different reasons.

Address non-contacted (unable to access, lost/no information on record on 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.

<u>New address added to the sample this wave or first wave</u>: 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 loss due to non-response).

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

Initial contact with the address

It is recommended that a letter is sent before 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-contacts 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(longitudinal component)

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 the household to 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, reason of and the new address of any movers.

- If the interviewer is not able to get the new address, then an attempt has to be made by their 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 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 know 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 interviewers area. Where the address is outside of the interviewers area, the interviewer should advise their supervisor of the change of address.

DB120: Contact at address

[Record of contact at address]
BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: interviewer

Values	
11	address contacted
Address non-contacted	
21	address cannot be located
22	address unable to access
23	address does not exist or is non-residential address or is unoccupied or not principal residence

Flags (cross-sectional)	
1	filled
-1	missing

Flags (longitudinal)	
1	filled
-1	missing
-2	na (DB110 not = 2, 8 or 9)

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 available information, it is not possible to locate the address despite special efforts made to locate the sampled address.
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 are 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

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: interviewer

Values	
11	household questionnaire completed
Interview not completed	
21	refusal to co-operate
22	entire household temporarily away for duration of fieldwork
23	household unable to respond (illness, incapacity…)
24	other reasons

Flags	
1	filled
-1	missing
-2	na (DB120 not = 11 and DB110 not = 1)

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, for any reason refuses at a later date.

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 temporarily away, the interviewer shall ensure that all necessary attempts to contact the household have been done (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 and so on.

In case of a one-person household that is unable to respond 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 give 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; in other case the interviewer should come back to the household during the fieldwork period in the area.

- *Other reasons*

This item refers to whatever situation not referred 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

BASIC DATA (Basic household data including degree of urbanisation)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: interviewer

Values	
1	interview accepted for database
2	interview rejected

Flags	
1	filled
-1	missing
-2	na (DB130 not = 11)

Household interview acceptance

Interview accepted for database

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

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

Rejected

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

Personal Register (R-file)

RB010: Year of the survey

BASIC DATA (Basic personal data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members (of any age) and former household members
Mode of collection: Interviewer

Values

    year (4 digits)

RB020: Country

BASIC DATA (Basic personal data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members (of any age) and former household members
Mode of collection: frame

Values	
BE	Belgique/Belgïe
DK	Danmark
DE	Deutschland
GR	Ellada
ES	España
FR	France
IE	Ireland
IT	Italia
LU	Luxembourg
NL	Nederland
AT	Österreich
PT	Portugal
FI	Suomi
SE	Sverige
UK	United Kingdom
BG	Bulgaria
CY	Cyprus
CZ	Czech republic
EE	Estonia
HU	Hungary
LV	Latvia
LT	Lithuania
MT	Malta
PL	Poland
RO	Romania
SK	Slovak republic
SI	Slovenia
IS	Iceland
NO	Norway
CH	Switzerland

RB030: Personal ID

BASIC DATA (Basic personal data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members (of any age) and former household members
Mode of collection: Frame, register or interviewer

Values (cross-sectional)
ID number   see construction in chapter 'General description'

RB040: Current household id

BASIC DATA (Basic personal data)
Longitudinal
Reference period: current
Unit: all current household members (of any age) and former household members
Mode of collection: Frame, register or interviewer

Values	
ID number	*see DB030*

RB041: Personal id

BASIC DATA (Basic personal data)
Cross-sectional
Reference period: last wave
Unit: all current household members (of any age)
Mode of collection: Frame, register or interviewer

Values	
ID number	*see identification numbers*
Flags	
1	filled
-2	n.a. (first wave)

This new variable will be filled in for countries using a rotational panel or a pure panel to provide cross-sectional data.
This variable will be coded with 7 digits. The first 6 digits correspond to the Personal id (variable RB030) of the previous wave or last interview, if not contacted in previous wave. The digit 7 corresponds to the last wave (number) that person was contacted. If the person has never been contacted the variable will be coded as 0.

RB050: Personal cross-sectional weight

BASIC DATA (Basic personal data)
Cross-sectional
Reference period: constant
Unit: all current household members (of any age)
Mode of collection: constructed

Values	
0+ (format 2.5)	weight (see bellow the required format)
Flags	
1	filled

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, household design weights will be coded with at least one integer and 5 decimals.

See Weights

RB060: Personal base weight

BASIC DATA (Basic personal data)
Longitudinal
Reference period: constant
Unit: all current household members (of any age) and former household members
Mode of collection: constructed

Values	
0+ (format 2.5)	weight (see bellow the required format)
Flags	
1	filled

The construction of RB060 will be provided in an updated version of this document

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, household design weights will be coded with at least one integer and 5 decimals.

RB070: Month of birth

BASIC DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members (of any age) and former household members
Mode of collection: household respondent or register

Values	
1 - 12	month
Flags	
1	filled
-1	missing

RB080: Year of birth

BASIC DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members (of any age) and former household members
Mode of collection: household respondent or register

Values	
1890-year of the survey	
Flags	
1	filled
-1	missing

Note: If the person is born before 1890 the variable will be filled in with the value 1890

RB090: Sex

BASIC DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members (of any age) and former household members
Mode of collection: household respondent or register

Values		
1	Male	
2	Female	
Flags		
1	filled	
-1	missing	

RB100: Sample person or co-resident

BASIC DATA (Basic personal data)
Longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values		
1	sample person	
2	co-resident	
Flags		
1	filled	
-1	missing	

Sample persons:

Means 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 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 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.

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 household (address) and using the Eurostat integrated design each sub-sample will be a panel and it will be followed during 4 years.

In the first wave of each 4 year-panel, all household members aged 14 and over will be **<u>sample person</u>**. Household members aged less than 14 will be **<u>co-residents</u>**.

In the second wave and so on , the co-residents will be the household members aged less than 14 (at the moment of the sample selection) plus household members who join a sample households after the first wave.

Note: This variable also will be filled in the cross-sectional component for those countries using a rotational panel or a pure panel and from this design they provide the cross-sectional data.

RB110: Membership status

BASIC DATA (Demographic data)
Longitudinal
Reference period: current
Unit: all current household members (of any age) and former household members
Mode of collection: household respondent or register

Values	
	For current household members
1	Was in this household in previous waves or current household member
2	Moved into this household from another sample household since previous wave
3	Move into this household from outside sample since previous wave
4	Newly born into this household since last wave
	Not current household members
5	Moved out since previous wave or last interview if not contacted in previous wave
6	Died
7	Lived in the household at least three months during the income reference period and was not recorded in the register of this household

Flags	
1	filled
-1	missing

First year the initial household is in the survey

1   For current household members
7   For former 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 they moved into this household from another **sample** household since previous wave.
3   For current household members that were not household members of this household in previous waves but they move into this household from **outside sample** since previous wave.
4   For newly born into this household since last wave.
5   Not current household members that were household members of this household in previous waves and that moved out since previous wave or last interview if not contacted in previous wave.
6   They were household members in previous waves and that 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.

Note:

Why to 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 change of composition. This would allow the classification of changes due to death, marital breakdown, young adults leaving home, birth of children, etc.

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 not having register by mistake at the moment of data collection, they will be coded as 3.

RB120: Moved to

[To where did the person move]
BASIC DATA (Demographic data)
Longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values	
1	To a private household in the country
2	To a collective household or institution in the country
3	Abroad
4	Lost

Flags	
1	filled
-2	na (RB110 not = 5)

Note:
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]
BASIC DATA (Demographic data)
Longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values	
1 -12	month

Flags	
1	filled
-1	missing
-2	na (RB110 not = 5 or 6)

RB150: Year moved out or died

[Year when the person moved out or died]
BASIC DATA (Demographic data)
Longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values
year (4 digits)

Flags
1   filled
-1   missing
-2   na (RB110 not = 5 or 6)

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

BASIC DATA (Demographic data)
Longitudinal
Reference period: income reference period
Unit: all current household members (of any age) and former household members
Mode of collection: household respondent or register

Values	
0 - 12	number of months
Flags	
1	filled
-1	missing
-2	na (RB110 not = 5 or 6 or 7)

RB170: Main activity status during the income reference period

BASIC DATA (Demographic data)
Longitudinal
Reference period: income reference period
Unit: all current household members (of any age) and former household members
Mode of collection: household respondent or register

Values	
1	At work
2	Unemployed
3	In retirement or early retirement
4	Other inactive person
Flags	
1	filled
-1	missing
-2	na (RB110 not = 5 or 6 or 7)

The main activity status during the income reference period was 'at work' if the respondent worked (or was in paid apprenticeship or training) the majority of weeks during the income reference period.
If the main activity was not 'a job or business', the status is self-defined.
If a person spend the same number of weeks in different activities, priority should be given to economic activity ('main activity job or business') over non-economic activity and over inactivity.
At work : A person is at work if he/she works at least 1 hour during the week.
In retirement or early retirement : A person is in retirement or early retirement if he/she left his/her work for age or other reason.

RB180: Month moved in

[Month when the person moved in]
BASIC DATA (Demographic data)
Longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values	
1 -12	month
Flags	
1	filled
-1	missing
-2	na (RB110 not = 3)

RB190: Year moved in

[Year when the person moved in]
BASIC DATA (Demographic data)
Longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values
year (4 digits)

Flags	
1	filled
-1	missing
-2	na (RB110 not = 3)

RB200: Residential status

BASIC DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values	
1	currently living in the household
2	temporarily absent

Flags (cross-sectional)	
1	filled
-1	missing

Flags (longitudinal)	
1	filled
-1	missing
-2	na (RB110 not = 1, 2, 3 or 4)

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.

Temporary 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

BASIC DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values	
1	at work
2	unemployed
3	in retirement or early retirement
4	other inactive person
Flags (cross-sectional)	
1	filled
-1	missing
Flags (longitudinal)	
1	filled
-1	missing
-2	na (RB110 not = 1, 2, 3 or 4)

At work : A person is at work if he/she works at least 1 hour during the reference week.
If the status is not "at work" it is self-defined.
In retirement or early retirement: A person is in retirement or early retirement if he/she left his/her work for age or other reason.
If a person is doing more than one activity during the reference week, priority should be given to economic activity ('job or business') over non-economic activity and over inactivity.
If a household member is on military service, variable RB210 will be coded as 4.

RB220: Father ID

BASIC DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values
Personal Id of father

Flags (cross-sectional)	
1	filled
-1	missing
-2	na (father is not a household member)

Flags (longitudinal)	
1	filled
-1	missing
-2	na (father is not a household member) or (RB110 not = 1, 2, 3 or 4)

Note:
The variable RB220 as well as variable RB230 have been included in EU-SILC in order to calculate the household composition. RB220 includes step/adoptive/foster father.
If a person is living in the with his/her step-father, the personal id of his/her step-father will be provided as the personal id of the father.

RB230: Mother ID

BASIC DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values	
	Personal Id of mother
Flags (cross-sectional)	
1	filled
-1	missing
-2	na (mother is not a household member)
Flags (longitudinal)	
1	filled
-1	missing
-2	na (mother is not a household member) or (RB110 not = 1, 2, 3 or 4)

Note:
The variable RB220 as well as variable RB230 have been included in EU-SILC in order to calculate the household composition. RB230 includes step/adoptive/foster mother.
If a person is living in the with his/her step-mother, the personal id of his/her step-mother will be provided as the personal id of the mother.

RB240: Spouse/partner ID

BASIC DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values
Personal Id of spouse/partner

Flags (cross-sectional)	
1	filled
-1	missing
-2	na (spouse/partner is not a household member)

Flags (longitudinal)	
1	filled
-1	missing
-2	na (spouse/partner is not a household member) or (RB110 not = 1, 2, 3 or 4)

Includes married people and partners in consensual union (with or without a legal basis)

RB245: Respondent status

BASIC DATA (Basic personal data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members (of any age)
Mode of collection: household respondent or register

Values
All household members aged 16 and over are interviewed   1   current household member aged 16 and over   *Only selected household member aged 16 and over is interviewed*   2   selected respondent   3   not selected respondent   *Households members aged less than 16 at the time of interview*   4   not eligible person

Flags (cross-sectional)
1   filled

Flags (longitudinal)
1   filled   -2   na (RB110 not = 1, 2, 3 or 4)

For countries using a sample of households or address 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.
Note: the new born will be coded as 4

RB250: Data Status

BASIC DATA (Basic personal data)
Cross-sectional and longitudinal
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: interviewer

Values
Information or interview completed
11   information completed only from interview
12   information completed only from registers
13   information completed from both: interview and registers
Interview not completed, though contact made
21   individual unable to respond (illness, incapacity, etc) and no proxy possible
22   failed to return self-completed questionnaire
23   refusal to co-operate
Individual not contacted because
31   person temporarily away and no proxy possible
32   no contact for other reasons
Information or interview not completed
33   information not completed: reason unknown

Flags
1   filled
-2   na (RB245 not = 1,2 or 3)

RB260: Type of interview

BASIC DATA (Basic personal data)
Cross-sectional and longitudinal
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Interviewer

Values	
1	face to face interview-PAPI
2	face to face interview-CAPI
3	CATI, telephone interview
4	self-administered by respondent
5	proxy interview

Flags	
1	filled
-1	missing
-2	na (RB250 not = 11 or 13)

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]
BASIC DATA (Basic personal data)
Cross-sectional and longitudinal
Reference period: current
Unit: selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: interviewer

Values	
	Personal Id of proxy
Flags	
1	filled
-1	missing
-2	na (RB260 not = 5)

RL010: Education at pre-school
RL020: Education at compulsory school

LABOUR INFORMATION (Child care)
Cross-sectional
Reference period: usual week
Unit: all current household members not over 12 years old
Mode of collection: interviewer

Values	
0 - 99	Number of hours of education during an usual week

Flags	
1	filled
-1	missing
-2	na (**RL010**: person is not admitted to pre-school because of her age, is at compulsory school or is more than 12 years old)
	(**RL020**: person is not admitted to compulsory school because of her age or is more than 12 years)

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 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 have to be included : primary and eventually secondary schools shall be included (children up to 12 years old at the 31/12/N-1).
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 code one hour.
(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 cared for usually 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 cared usually 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 cared usually by somebody belonging to the school organization (e.g. canteen), the hours are classified in RL010/RL020.

If during lunch time they are cared usually by a nanny, grand mother,… , they should be classified in the other variables (RL040-050-060) depending on the usual carer.

School transportation
The time spent on the "school transportation" should be included in RL010/RL020 if someone belonging to the school organization is taking care of children during the school transportation.

If children are cared usually by a nanny, grand mother,… , during the "school transportation" they should be classified in the other variables (RL040-050-060) depending on the usual carer.

RL030: Child care at centre-based services

[Child care at centre-based services outside school hours (before/after)]
LABOUR INFORMATION (Child care)
Cross-sectional
Reference period: usual week
Unit: all current household members not over 12 years old
Mode of collection: interviewer

Values	
0 - 99	Number of hours of child care during an usual week

Flags	
1	filled
-1	missing
-2	na (**RL030**: person is neither at pre-school nor at school or is more than 12 years old)

This variable concerns only the 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 : should be reported the hours of care only before and after school. 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 can be or not at the school place.
Cultural and sportive activities outside school (here after school hours) such as club, music lessons … shall not be included as far as they are not used as a childcare service but rather for the child leisure.
The hours shall be rounded to the nearest hour. If less than one hour, then code one hour.
Children going to the school in the morning and in a centre in the afternoon, the hours in centre are coded in RL030 (before/after school for school going children).

RL040: Child care at day-care centre

RL050: Child care by a professional child-minder at child's home or at child-minder's home

RL060: Child care by grand-parents, others household members (outside parents), other relatives, friends or neighbours

LABOUR INFORMATION (Child care)
Cross-sectional
Reference period: usual week
Unit: all current household members not over 12 years old
Mode of collection: interviewer

Values	
0 - 99	Number of hours of child care during an usual week

Flags	
1	filled
-1	missing
-2	na (**RL040, RL050, RL060**: person is more than 12 years old)

In RL040 are included all kind of <u>care organised/controlled by a structure</u> (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). These kinds of care are often delivered within the social welfare system especially for children under 3.
The care can be full time or part time, even for few hours.
Cultural and sportive activities (such as club) shall not be included as far as they are not used as a childcare service but rather for the child leisure.
Special day-care of children with special needs are included.
Organised/controlled child-minders, e.g. 'assistante maternelle' should be included in variable RL040.
RL040 'day care centre' corresponds for children too young to be at school (or at pre school) but also for school (pre school) going children cared for a day per week when school is closed. The organised family care is included.

In RL050 there are <u>direct arrangements between the carer and the parents</u>: parents are often employers, <u>pay</u> directly the carer. "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.
Baby sitters and "au pair" are also included here.
The care can be at the child's home or at the childminder's home.

RL060 refers to <u>unpaid care</u> (free or informal arrangements such as exchange of services).
The <u>difference between RL050 and RL060</u>: RL050 globally refers to paid care (with rare exceptions ; e.g. "au pair" 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 31/12/N-1.
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 code one hour.

Note: See RL010 and RL020 for "lunch time " and "school transportation"

RL070: Children cross-sectional weight for child care

BASIC DATA (Basic personal data)
Cross-sectional
Reference period: constant
Unit: all current household members (of any age)
Mode of collection: constructed

Values	
0+ (format 2.5)	weight (see bellow the required format)

Flags	
1	filled
-2	n.a. (children born in year N or persons aged more than 12 years old at the 31/12/N-1)

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 to be considered for childcare data.

For the cross-sectional survey, 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 up to 12. In order to ensure a correct distribution for children by age, it might be better to calculate specific children cross-sectional weights[1].

The proposal IS NOT to scale and calculate new weights for children taking into account non response, household and individual variables, region, children ages…[2]

The proposal is to adjust the distribution of children <u>for each year of age</u>. 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 agree with the same information from some more reliable external source (age distribution of children aged 0 to 12 in private households).

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[1] 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 …).

[2] in accordance to the Commission Regulation on sampling and tracing rules (e.g. adjustment for varying sampling probabilities, for non response at the household level, of distribution of households, individuals and children by various characteristics to external source …). This possibility is more complicated and may be not necessary (even not preferable in some cases).

D_n = children aged n at the 31/12/N-1 (N=year of the survey; n=0 to 12)[1]

For children born in N-1 and before:
Children 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 31/12/N-1 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:
- The sum of children 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.

Required format

In principle, 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, household design weights will be coded with at least one integer and 5 decimals.

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[1] 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).

Household Data (H-file)

HB010: Year of the survey

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: interviewer

Values
year (4 digits)

HB020: Country

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: constant
Unit: household
Mode of collection: Frame

Values	
BE	Belgique/Belgïe
DK	Danmark
DE	Deutschland
GR	Ellada
ES	España
FR	France
IE	Ireland
IT	Italia
LU	Luxembourg
NL	Nederland
AT	Österreich
PT	Portugal
FI	Suomi
SE	Sverige
UK	United Kingdom
BG	Bulgaria
CY	Cyprus
CZ	Czech republic
EE	Estonia
HU	Hungary
LV	Latvia
LT	Lithuania
MT	Malta
PL	Poland
RO	Romania
SK	Slovak republic
SI	Slovenia
IS	Iceland
NO	Norway
CH	Switzerland

HB030: Household ID

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: constant
Unit: household
Mode of collection: frame or register or interviewer

Values
ID number   see DB030

HB040: Day of household interview

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: Interviewer

Values	
1 - 31	day

Flags	
1	filled
-1	missing

HB050: Month of household interview

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: Interviewer

Values	
1 - 12	month
Flags	
1	filled
-1	missing

HB060: Year of household interview

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: Interviewer

Values
year (4 digits)

Flags
1　　　　filled

HB070: Person responding the household questionnaire

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: Interviewer

Values	
Personal ID	
Flags	
1	filled
-1	missing

The <u>household respondent</u> 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 the 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 give the information.

For the second and following waves of the longitudinal component of EU-SILC, 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 give 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

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: Interviewer

Values
Personal ID

Flags
1   filled
-1   missing
-2   only HB090: na (no second responsible)

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.

HB100: Number of minutes to complete the household questionnaire

BASIC PERSONAL DATA (Basic household data)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: Interviewer

Values	
1 - 90 minutes	
Flags	
1 filled	
-1 missing	

HH010: Dwelling type

HOUSING (Dwelling type, tenure status and housing conditions)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	detached house
2	semi-detached or terraced house
3	apartment or flat in a building with less than 10 dwellings
4	apartment or flat in a building with 10 or more dwellings
5	some other kind of accommodation

Flags	
1	filled
-1	missing

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 one 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 need not necessarily 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 hat or a cave are included.

A building with two entrance 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.

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 includes accommodations that are situated in buildings that are for use other than housing (schools, …) and fixed habitations like a hut or a cave.

HH020: Tenure status

HOUSING (Dwelling type, tenure status and housing conditions)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values		
	1	Owner
	2	Tenant or subtenant paying rent at prevailing or market rate
	3	Accommodation is rented at a reduced rate (lower price that the market price)
	4	accommodation is provided free

Flags		
	1	filled
	-1	missing

Owner

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 owner if he possesses a title deed independently if the house is fully paid or not. Revessionary owner should be considered as owner.

Tenant or subtenant paying rent at prevailing or market rate

Tenant/subtenant, paying rent at prevailing or market rent covers the case even when the rent is wholly recovered from housing benefits or other sources, including public, charitable, or private sources. Also, 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 reduce 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 3 (Accommodation rented at below market price).
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 2 and 3.
At 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 paying 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'.

<u>Empirical importance of length of tenure is a separate issue</u>

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 2 and 3 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 who benefits more than another), all renting households (other than those belonging to a clearly distinct 'reduced-rent' sector) should be coded in category 2 (prevailing rent) on the tenure variable, and length of tenure collected as a separate item. If there is a clearly distinct 'reduced-rent' sector, of course, these should be coded as category 3 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 3 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.

<u>Accommodation provided rent free</u>

Accommodation is provided rent-free applies only when there is no rent to be paid, such as when the accommodation comes with the job[1], 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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[1] If the accommodation is provided free to a 'civil servent' the variable HH020 will take value 4 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

HOUSING (Dwelling type, tenure status and housing conditions)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1 - 9	number of rooms
10	10 or more rooms
Flags	
1	filled
-1	missing

Room

A room is defined as a space of a housing unit of at least 4 square meters such as normal bedrooms, dining rooms, living rooms and habitable cellars and attics with a high over 2 meters and accessible from inside the unit.

Kitchens are not counted unless the cooking facilities are in a room used for other purposes; only exclude it if the space is used <u>only</u> for cooking. Thus for example, 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 rooms: bathrooms, toilets, corridors, utility rooms and lobbies. Verandas, lounges and conservatories do count only if they are used all year round.

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 1 household all rooms are counted for the owner/tenant except those exclusively used by the other households.

HH031: Year of contract or purchasing or installation

HOUSING (Dwelling type, tenure status and housing conditions)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values
year (4 digits)

Flags	
1	filled
-1	missing
-2	n.a. (MS using objective national methods to calculate imputed rent)

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[1]. If a person bought the house after living there as tenant the year of purchasing will be considered. 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 free.

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[1] A person is owner if he possesses a title deed independently if the house is fully paid or not.

HH040: Leaking roof, damp walls/floors/foundation, or rot in window frames or floor

HOUSING (Dwelling type, tenure status and housing conditions)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no

Flags	
1	filled
-1	missing

Whether, in the judgement of the household respondent, the dwelling has a problem with a leaking roof, damp ceilings, dampness in the walls, floors or foundation or rot in window frames and doors.

HH050: Ability to keep home adequately warm

HOUSING (Dwelling type, tenure status and housing conditions))
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags	
1	filled
-1	missing

This question is about 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

HOUSING (Housing costs)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1 - 999999.99	rent

Flags	
1	filled
-1	missing
-2	na (HH020 not = 2 or 3)

The variable refers to the **total monthly** current rent 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. Also the regular repairs and maintenance and other services related to the dwelling should 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

The amount provided will be in national currency.

HH061: Subjective rent

[Subjective rent related to non-tenant paying rent at market price]
HOUSING (Housing costs)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1 - 999999.99	rent

Flags	
1	filled
-1	missing
-2	na (HH020 not = 1 or 3 or 4) or (MS do not use subjective method to calculate imputed rent)

Information is collected from owner-occupiers (accommodation is provided rent free or accommodation is rented at a reduce rate) on what the estimate the potential **monthly** market rent of their dwelling. The amount refers to the value of the rental of 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. Also the regular repairs and maintenance and other services related to the dwelling should be excluded.

The amount provided will be in national currency.

HH070: Total housing cost

[Total housing cost (including electricity, water, gas and heating)]
HOUSING (Housing costs)
Cross-sectional
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
0 - 999999.99	housing cost
Flags	
1	filled
-1	missing

The term housing cost refers to **monthly** costs connected with the households 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.

Components that have to be included in housing costs:

OWNERS: Mortgage interest payments (net of any tax relief), structural insurance, mandatory services and charges (sewage removal, refuse removal, etc.), regular maintenance and repairs[1], taxes, and the cost of utilities(water, electricity, gas and heating).

TENANTS (at market price): Rent payments, gross of housing benefits (i.e. housing benefits included), structural insurance (if paid for the tenants), services and charges (sewage removal, refuse removal, etc.) (if paid for the tenants), taxes on dwelling (if applicable), regular maintenance and repairs[1] and the cost of utilities (water, electricity, gas and heating).

TENANTS(at reduce price) or **RENT FREE**: imputed rent (housing benefits included),structural insurance (if paid for), services and charges (sewage removal, refuse removal, etc.) (if paid for), taxes on dwelling (if applicable), regular maintenance and repairs[1] and the cost of utilities (water, electricity, gas and heating).

It is necessary to impute a value of housing cost items not included in the rent but paid like cost of the utilities, sewage removal, structural insurance, etc. These 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)

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[1] 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.

HH080: Bath or shower in dwelling

HOUSING (Amenities in dwelling)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags (cross-sectional)	
1	filled
-1	missing
Flags (longitudinal)	
1	filled
-1	missing
-2	na (MS using objective national methods to calculate imputed rent)

Whether the dwelling has proper room with a bath or a shower
In the longitudinal survey compulsory only for Member States using Eurostat recommended regression method or subjective method for imputed rent.

HH090: Indoor flushing toilet for sole use of household

HOUSING (Amenities in dwelling)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags (cross-sectional)	
1	filled
-1	missing
Flags (longitudinal)	
1	filled
-1	missing
-2	na (MS using objective national methods to calculate imputed rent)

If more than one household live in the dwelling and only one indoor flushing toilet is available, the variable is to be coded 1 (yes).
In the longitudinal survey compulsory only for Member States using Eurostat recommended regression method or subjective method for imputed rent.

HS010: Arrears on mortgage or rent payments

[Whether the household has been in arrears on mortgage or rent payments in last 12 months]
SOCIAL EXCLUSION (Housing and non-housing related arrears)
Cross-sectional and longitudinal
Reference period: last 12 months
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags	
1	filled
-1	missing
-2	not applicable (outright owner or rent free during the last twelve months)

Whether the household has been in arrears at any time in the last 12 months that is, unable to pay as scheduled either rent or mortgage payment for the main dwelling.
If the household is unable to pay as schedule as result of lack of money, HS010 = 1, otherwise(illness,…) HS010 = 2.
Loans for decoration, maintenance, refurbishment,… are excluded

HS020: Arrears on utility bills

[Whether the household has been in arrears on utility bills (electricity, water, gas) in last 12 months]
SOCIAL EXCLUSION (Housing and non-housing related arrears)
Cross-sectional and longitudinal
Reference period: last 12 months
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags	
1	filled
-1	missing
-2	na (no utility bills)

Whether the household has been in arrears at any time in the last 12 months that is, unable to pay as scheduled utility bills such as for electricity, water or gas for the main dwelling.
If the household is unable to pay as schedule as result of lack of money, HS020 = 1, otherwise(illness,…) HS020 = 2.

HS030: Arrears on hire purchase instalments or other loan payments

[Whether the household has been in arrears on hire purchase instalments or other loan payments (non housing-related debts) in last 12 months]
SOCIAL EXCLUSION (Housing and non-housing related arrears)
Cross-sectional and longitudinal
Reference period: last 12 months
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags	
1	filled
-1	missing
-2	na (no hire purchase instalments and no other loan payments)

Whether the household has been in arrears at any time in the last 12 months that is, unable to pay as scheduled repayments for hire purchase or other non-housing loans. Housing-related loans are excluded.

Other loans for decoration, maintenance, refurbishment etc. and problems on repayments of credit cards are included. The presence of a bank overdraft does not count as arrears for the purpose of this item.

If the household is unable to pay as schedule as result of lack of money, HS030 = 1,
otherwise(illness,…) HS030 = 2.

HS040: Capacity to afford paying for one week annual holiday away from home

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no

Flags	
1	filled
-1	missing

This question is about <u>ability </u>to pay, regardless of whether the household actually want the item. The answer is 'yes' if, according to the household respondent, the household can afford to pay for a week's annual holiday away from home. If the household can only afford a holiday staying with friends or relatives (i.e. not paying for accommodation), the answer should be 'No'.

If one (or some) household member(s) can afford paying for a holiday, but most household members cannot, the answer should be 'No'. Thus, in cases where parents can afford to send children to a summer camp but cannot afford to pay for a holiday for themselves, or where a grown-up son or daughter can afford a holiday but other household members cannot, the answer should be 'No'.

One week is 7 days.

The amount that the household is able to pay is inappropriate to evaluate the capacity of a household to afford paying for one week annual holiday.

HS050: Capacity to afford a meal with meat, chicken, fish (or vegetarian equivalent) every second day

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags	
1	filled
-1	missing

Whether, according to the household respondent, the household can afford a meal with meat, chicken or fish (or equivalent vegetarian) every second day, if wanted

HS060: Capacity to face unexpected financial expenses

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no

Flags	
1	filled
-1	missing

Whether, according to the household respondent, the household can to face itself unexpected financial expenses.

Wording:

Could your household afford an unexpected required expense of (*amount to be filled*) with its own resources?

Explanations / Instructions

Own resources mean:
Your household cannot ask for financial help from anybody
Your account has to be debited within one month
Your situation regarding potential debts doesn't being deteriorated. You cannot intend to pay on instalments or with a loan the usual expenses previously paid cash.

Amount calculation

The national poverty threshold is calculated as described in doc SILC131/04 under Primary indicators / At-risk-of-poverty rate (after social transfer) / Calculation of at-risk-of-poverty threshold.
Only the poverty threshold per one consumption unit has to be used independently of the size and structure of the household

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 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)

HS070: Do you have a telephone (including mobile phone)?

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no - cannot afford
3	no - other reason
Flags	
1	filled
-1	missing

Whether the household have 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?

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no - cannot afford
3	no - other reason

Flags	
1	filled
-1	missing

Whether the household have 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.

Possession of the item does not necessarily imply ownership: the item may be rented, leased or provided on loan.

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?

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no - cannot afford
3	no - other reason
Flags	
1	filled
-1	missing

Whether the household have 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.

Possession of the item does not necessarily imply ownership: the item may be rented, leased or provided on loan.

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 but without any broader functionality.

If a computer is provided ONLY for work purpose, this does not count as possession of the item.

HS100: Do you have a washing machine?

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no - cannot afford
3	no - other reason

Flags	
1	filled
-1	missing

Whether the household have 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.

Possession of 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 .

In the case of a washing machine, the household is considered to possess it if any member possesses it.

A washing machine includes an automatic washing machine or a non-automatic 'twin-tub'.

HS110: Do you have a car?

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no - cannot afford
3	no - other reason
Flags	
1	filled
-1	missing

Whether the household have 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.

Possession of the item does not necessarily imply ownership: the item may be rented, leased or provided on loan.

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 a possession of this item.

If a car or van is provided ONLY for work purpose, this does not count as possession of the item.

Motorcycles are excluded.

HS120: Ability to make ends meet

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	with great difficulty
2	with difficulty
3	with some difficulty
4	fairly easily
5	easily
6	very easily
Flags	
1	filled
-1	missing

The household respondent's assessment of the level of difficulty experienced by the household in making ends meet.
A household may have different source of income and more than one household member may contribute to it. Thinking of the household's total monthly income, the idea is with which level of difficulty the household is able to pay its usual expenses.

HS130: Lowest monthly income to make ends meet

SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1- 999999.99	lowest income

Flags	
1	filled
-1	missing

The household respondent's perception of the lowest net monthly income (in national currency) the household would need to 'make ends meet'.
The household respondent's own perception of 'making ends meet' should be used.
The question should be answered in relation to the household's present composition and expenses.
'Net' income refers to income after the deduction of tax and social insurance.

Wording, explanations and place in the questionnaire:

Wording:
In your opinion, what is the very lowest net monthly income that your household would have to have in order to make ends meet?
Please answer in relation to the present circumstances of your household, and what you consider as "making ends meet"

Explanations / Instructions
Thinking of the household basic needs, according to his size (including housing related debts but excluding business and farm work costs) what is the very minimum amount of money the household need every month to pay its usual expenses. 'Net' income refers to income after the deduction of tax and social insurance.

Position in the questionnaire
After HS140, HS150 and HS120

HS140: Financial burden of the total housing cost

[Total housing cost is a financial burden to the household]
SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	A heavy burden
2	Somewhat a burden
3	not burden at all

Flags	
1	filled
-1	missing

The extent to which housing costs are a financial burden to the household.
Housing costs: see 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]
SOCIAL EXCLUSION (Non-monetary household deprivation indicators)
Cross-sectional and longitudinal
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	Repayment is a heavy burden
2	Repayment is somewhat a burden
3	Repayment is not a burden at all

Flags	
1	filled
-1	missing
-2	not applicable (no repayment of debts)

The extent to which the repayment of non-housing related debts are a financial burden to the household. Non-housing related debts include: loans for consumer items or services (car, holiday, durable etc.), hire-purchase repayments, credit card or charge card repayments.

HS160: Problems with the dwelling: too dark, not enough light

SOCIAL EXCLUSION (Physical and social environment)
Cross-sectional
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags	
1	filled
-1	missing

The objective is to assess whether the respondent feels 'the dwelling to dark, not enough light' to be a problem for the household. No common objective standards as to what a 'problem' are implied. If they feel they have a problem with <u>any</u> of their rooms being too dark, not necessarily all of them. It is recommended to consider the dwelling as 'too dark', not enough light' in the situation of a sunny day.

HS170: Noise from neighbours or from the street

[Noise from neighbours or noise from the street (traffic, business, factories, etc.]
SOCIAL EXCLUSION (Physical and social environment)
Cross-sectional
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags	
1	filled
-1	missing

The objective is to assess whether the respondent feels 'noise from neighbours or from street' to be a problem for the household. No common standards what is a problem are defined.

HS180: Pollution, grime or other environmental problems

[Pollution, grime or other environmental problems in area caused by traffic or industry]
SOCIAL EXCLUSION (Physical and social environment)
Cross-sectional
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no
Flags	
1	filled
-1	missing

The objective is to assess whether the respondent feels ' pollution, grime , …' to be a problem for the household. No common standards what is a problem are defined.
Area refers to the place situated close to the place of residence (where you usually shop, walk, the way home).

HS190: Crime violence or vandalism in the area

SOCIAL EXCLUSION (Physical and social environment)
Cross-sectional
Reference period: current
Unit: household
Mode of collection: household respondent

Values	
1	yes
2	no

Flags	
1	filled
-1	missing

The objective is to assess whether the respondent feels 'crime, violence or vandalism in the area' to be a problem for the household. No common standards what is a problem are defined. Area refers to the place situated close to the place of residence (where you usually shop, walk, the way home).

HY010: Total household gross income

INCOME (Total household income (gross and disposable))
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: constructed

Values
-999999.99 - 999999.99   income (national currency) without inflation factor

Flags

	Net/gross at data collection
0	no income
1+if	net
2+if	gross
3+if	net and gross (part of components collected net, part gross)
4+if	unknown
	To values 1,2,3,4 must be concatenated the imputation factor (if)
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-5	not filled: no conversion to gross is done (Allowed only as long as gross income components are not mandatory)

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); gross non-cash employee income (PY020G); employers' social insurance contributions (PY030G); gross cash benefits or losses from self-employment (including royalties) (PY050G); value of goods produced for own consumption (PY070G); unemployment benefits (PY090G); old-age benefits (PY100G); survivor' benefits (PY110G), sickness benefits (PY120G); disability benefits (PY130G) and 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); 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)) less interest paid on mortgage (HY100G).

Note: Due to the fact that non-monetary income components (with the exception of the company car) as well as interest paid on mortgage and employers social insurance contributions are not mandatory from the beginning of the survey and to the fact that the common cross-sectional EU indicators based on EU-SILC will be calculated, for comparability reasons, on the basis of 'monetary income', until the non-monetary income components be collected in all of MS the total household income(gross/disposable) will be computed without taking account the non-monetary components (with the exception of company car) as well as the employers' social insurance contributions and the interest paid on mortgage .However, these components , when collected from the beginning of the survey,

will be recorded at component level in their respective codes, i.e. PY020G; PY070G; HY030G; PY030G and 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

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INCOME (Total household income (gross and disposable))
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: constructed

Values	
-999999.99 - 999999.99	income (national currency) without inflation factor

Flags	
	Net/gross at data collection
0	no income
1+if	net
2+if	gross
3+if	net and gross (part of components collected net, part gross)
4+if	unknown
	To values 1,2,3,4 must be concatenated the imputation factor (if)
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)

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); gross non-cash employee income (PY020G); employers' social insurance contributions (PY030G); gross cash benefits or losses from self-employment (including royalties) (PY050G); value of goods produced for own consumption (PY070G); unemployment benefits (PY090G); old-age benefits (PY100G); survivor' benefits (PY110G), sickness benefits (PY120G); disability benefits (PY130G) and 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); 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 (**employer's social insurance contributions(PY030G); ; interest paid on mortgage (HY100G); regular taxes on wealth (HY120G); regular inter-household cash transfer paid (HY130G); tax on income and social insurance contributions (HY140G)**)**.

The variable HY140G includes tax adjustments-repayment/receipt on income, income tax at source and social insurance contributions (if applicable).

Or as:

The sum for all household members of net (of income tax at source and of social contributions) personal income components (employee cash or near cash income (PY010N); non-cash employee income (PY020N); cash benefits or losses from self-employment (PY050N); value of goods produced for own consumption (PY070N); unemployment benefits (PY090N); old-age benefits (PY100N); survivor' benefits (PY110N); sickness benefits (PY120N); disability benefits (PY130N) and education-related allowances (PY140N)) **plus** net (of income tax at source and of social contributions) income components at household level (imputed rent(HY030G); income from rental of a property or land (HY040N); family/children related allowances (HY050N); social exclusion not elsewhere classified (HY060N); housing allowances (HY070N); regular inter-household cash transfers received (HY080G); interests, dividends, profit from capital investments in unincorporated business (HY090N); income received by people aged under 16 (HY110N)) **minus** (interest paid on mortgage (HY100G); regular taxes on wealth (HY120G); regular inter-household cash transfer paid (HY130G); repayment/receipt for tax adjustments on income (HY145N)).

Or as:

The sum for all household members of personal income components **plus** income components at household level, of which some are net (net of income tax, net of social contributions or net of both) and others gross or all of them net but some of them net of tax at source, others net of social contributions or net of both, once the tax on income and social insurance contributions (HY140N), the regular taxes on wealth and the regular inter-household cash transfer paid, the contributions to individual private pension plans and the employers' social insurance contributions are deducted.

In this case, HY140N could include repayment/receipt for tax adjustments, income tax at source and social insurance contributions for some income components.

Total disposable household income before social transfers except old-age and survivor' benefits (HY022) is defined as:

The total disposable income (HY020) **minus** total net transfers plus old age benefits (PY100N) and survivor' benefits (PY110N) (i.e. total disposable income (HY020) minus unemployment benefits (PY090N); sickness benefits (PY120N); disability benefits (PY130N); education-related allowances (PY140N); family/children related allowances (HY050N); social exclusion not elsewhere classified (HY060N) and housing allowances (HY070N)).

Total disposable household income before social transfers including old-age and survivor' benefits (HY023) is defined as:

The total disposable income (HY020) **minus** total net transfers (unemployment benefits (PY090N); old-age benefits (PY100N); survivor' benefits (PY110N); sickness benefits (PY120N); disability benefits (PY130N); education-related allowances (PY140N); family/children related allowances (HY050N); social exclusion not elsewhere classified (HY060N) and housing allowances (HY070N).

Note: Due to the fact that non-monetary income components (with the exception of the company car) as well as interest paid on mortgage and employers social insurance

contributions are not mandatory from the beginning of the survey and to the fact that the common cross-sectional EU indicators based on EU-SILC will be calculated, for comparability reasons, on the basis of 'monetary income', until the non-monetary income components be collected in all of MS the total household income(gross/disposable) will be computed without taking account the non-monetary components (with the exception of company car) as well as the employers' social insurance contributions and the interest paid on mortgage .However, these components , when collected from the beginning of the survey, will be recorded at component level in their respective codes, i.e. PY020N; PY070N; HY030N; PY030N and HY100N .

HY025: Within-household non-response inflation factor

INCOME (Total household income (gross and disposable))
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: constructed

Val	
1.00000 - 5.00000	factor

Flags	
1	filled
-1	missing

Factor by which it is necessary to multiply the total gross income, the total disposable income or the total disposable income before social transfers to compensate the non-response in individual questionnaires. It is necessary to correct the effect of non-responding individuals within a household otherwise, income of individuals not interviewed is not added up into the total household income.

One possible approach to dealing with the 'partial unit non-response' problem would be full imputation of missing personal interviews. Adjustment of sample weights can provide a simpler alternative, however, a simplified procedure , such as it was applied in the case of ECHP , is justified on the ground 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. At the moment any decision was taken on how to calculate that factor.

HY030G/HY030N: Imputed rent

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	income (national currency)
0	no income

Flags	
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)
-5	not filled: variable of net (…..G) / gross (…..N) series is filled

Mandatory only from 2007 on.

Imputed rent

The imputed rent refers to the value that shall be imputed for all households that do not report 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) 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 subsidies received from the government or from a non-profit institution (if owner occupied or 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.

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.

Eurostat recommends using Regression method.

HY040G/HY040N: Income from rental of a property or land
HY090G/HY090N: Interest, dividends, profit from capital investments in unincorporated business

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	income (national currency)
0	no income

Flags **HY…G**	
	Net/gross at data collection
0	no income
1+if	net of tax on income at source and social contributions
2+if	net of tax on income at source
3+if	net of tax on social contributions
4+if	gross
5+if	unknown
	To values 1,2,3,4 must be concatenated the imputation factor (if)
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-5	not filled: variable of net series is filled

Flags **HY…N**	
	Net/gross at data collection
0	no income
1+nc+if	net of tax on income at source and social contributions
2+nc+if	net of tax on income at source
3+nc+if	net of tax on social contributions
4+nc+if	gross
5+5+if	unknown
	To values 1,2,3,4,5 must be concatenated a second flag:
	Net recorded (nc)
{1,2,3,4}+**1**+if	net of tax on income at source and social contributions
{1,2,3,4}+**2**+if	net of tax on income at source
{1,2,3,4}+**3**+if	net of tax on social contributions
5+**5**+if	unknown
	To values 1,2,3,5 must be concatenated the imputation factor (if)
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-5	not filled: variable of gross series is filled

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:

> (1)   Interest, dividends, profits from capital investment in an unincorporated business (HY090G)/ (HY090N)
>
> (2)   Income from rental of a property or land (HY040G)/ (HY040N)

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.

> *Recommendations*:

> Due that has been noted during the pilot survey that is difficult to collect interest from accounts,…Eurostat recommends for improving the collection of this variable to not only give the respondents the possibility to give the exact amount but also to choose among ranges of values.

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 correspond to the gross income components but the tax at source or the social insurance contributions or both are deducted.

HY050G/HY050N: Family/Children related allowances
HY060G/HY060N: Social exclusion not elsewhere classified
HY070G/HY070N: Housing allowances

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	income (national currency)
0	no income
Flags	
see HY040G/HY040N	

Social benefits

Social benefits[1] are defined as current transfers received during the **income reference period**[2] by households intended to relieve them from the financial burden of a number of risk 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:

–   Coverage is compulsory (under law, regulation or a collective bargaining agreement) for the group in question;

–   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 to risk of the people protected).

The Social benefits collected a household level are the following:

§Family/children related allowance (HY050G)/ (HY050N)

§Housing allowances (HY070G)/ (HY070N)

§Social exclusion not elsewhere classified (HY060G)/ (HY060N)

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[1] The social benefits included in EU-SILC, with the exception of housing benefits, are restricted to cash benefits.

[2] In order to get a closer measure to 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 received before the income reference period could be taken into account and imputed according to Eurostat recommendations.

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)' (PY080G)).

Family/children related allowance (HY050G)

The Family/children Function refers to benefits that:

– provide financial support to households for bringing up children[1];

– 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 case of childbirth or adoption;

– Parental leave benefit: benefit paid to either mother or father in 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 help with the costs of raising children;

– 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 can not 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 schemes, 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)).

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[1] The benefits received with the salary for bringing up children are included under HY050

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.

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 the 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 National Resistance. These pensions should be classified under 'old age function'. Any one who is old enough to have been in the resistance must be over 70.

The net income series correspond to the gross income components but the tax at source or the social insurance contributions or both are deducted.

HY080G/HY080N: Regular inter-household cash transfer received

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	income (national currency)
0	no income
Flags	
see HY040G/HY040N	

This item is classified under current transfer received.

Regular inter-household cash transfers received (HY080G)

Regular inter-household cash transfers received refer to regular monetary amounts received, **during the income reference period**, from other households or persons.

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)).

The net income series correspond to the gross income components but the tax at source or the social insurance contributions or both are deducted.

HY100G/HY100N: Interest repayments on mortgage

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	income (national currency)
0	no income

Flags	
0	no income
1+if	variable is filled
	*To value **1** must be concatenated the imputation factor (if)*
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-5	Not filled: variable of the net/gross series is filled

Interest paid on mortgage (HY100G)

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 correspond 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

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	income (national currency)
0	no income
Flags	
see HY040G/HY040N	

Income received by people aged under 16 (HY110G)

Income received by people aged under 16 is defined as the gross income received by all household members aged under sixteen **during the income reference period**.

It excludes:

–   Transfers between household members;

–   Income collected at household level (i.e. variables HY040G, HY050G, HY060G, HY070G, HY080G, and HY090G).

The net income series correspond 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

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	income (national currency)
0	no income

Flags	
0	no income
1+if	variable is filled
	*To value **1** must be concatenated the imputation factor (if)*
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-4	Amount included in another income component
-5	Not filled: variable of the net/gross series is filled

Regular taxes on wealth (HY120G)/ (HY120N)

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

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	income (national currency)
0	no income
Flags	
see HY040G/HY040N	

Regular inter-household cash transfers paid (HY130G)

Regular inter-household transfers paid refer to regular monetary amount paid, **during the income reference period**, to other households.

Regular inter-household transfers paid include:

–   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.

The net income series correspond to the gross income components but the tax at source or the social insurance contributions or both are deducted.

HY140G/HY140N: Tax on income and social contributions

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	tax (national currency)
0	no income

Flags	
0	no income
1+if	variable is filled
	*To value **1** must be concatenated the imputation factor (if)*
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-5	Not filled: variable of the net/gross series is filled

Tax on income and social insurance contributions (HY140G) / (HY140N)

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 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 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 enterprise 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.

– 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 refers to employees', self-employed and if applicable unemployed, retirement and so on contributions 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

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
-999999.99 – -1	receipts (national currency)
1 - 999999.99	repayments (national currency)
0	no income

Flags	
0	no income
1+if	variable is filled
	To value 1 must be concatenated the imputation factor (if)
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)

Repayments/receipts for tax adjustments refer to the money paid to/received from Taxes Authorities related to the income received.

This applies only in the cases when taxes at source were deducted from income received and the Tax Authorities compare the amount of taxes of income paid at source with the taxes which corresponded be paid over the total income received for the 'tax unit'. If the 'tax unit' has paid in advance more taxes 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 in advance less taxes than those that correspond to the income received, in this case the 'tax unit' will have to paid more taxes (tax adjustments) to the Tax Authorities.

This variable will be filling when the country has recorded only net income at component level. If the income at component level is reported gross or some of the components are gross and some nets the tax adjustments will be included, in general, under the variable HY140G.

Personal Data (P-file)

PB010: Year of the survey

BASIC PERSONAL DATA (Basic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: Interviewer

Values
year (4 digits)

PB020: Country

BASIC PERSONAL DATA (Basic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: frame

Values	
BE	Belgique/Belgïe
DK	Danmark
DE	Deutschland
GR	Ellada
ES	España
FR	France
IE	Ireland
IT	Italia
LU	Luxembourg
NL	Nederland
AT	Österreich
PT	Portugal
FI	Suomi
SE	Sverige
UK	United Kingdom
BG	Bulgaria
CY	Cyprus
CZ	Czech republic
EE	Estonia
HU	Hungary
LV	Latvia
LT	Lithuania
MT	Malta
PL	Poland
RO	Romania
SK	Slovak republic
SI	Slovenia
IS	Iceland
NO	Norway
CH	Switzerland

PB030: Personal ID

BASIC PERSONAL DATA (Basic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: Frame, register or interviewer

Values	
ID number	*See construction in chapter 'General description'*

PB040: Personal cross-sectional weight

[Personal cross-sectional weight (all household members aged 16 and over)]
BASIC PERSONAL DATA (Basic data)
Cross-sectional
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: constructed

Values	
0+ (format 2.5)	weight (see bellow the required format)
Flags	
1	filled

See construction of weights in chapter 'Introduction'

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, household design weights will be coded with at least one integer and 5 decimals.

PB050: Personal base weight

[Personal base weight (all household members aged 16 and over)]
BASIC PERSONAL DATA (Basic data)
Longitudinal
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: constructed

Values	
0+ (format 2.5)	weight (see the bellow required format)
Flags	
1	filled

The construction of PB050 will be provided in an updated version of this document

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, household design weights will be coded with at least one integer and 5 decimals.

PB060: Personal cross-sectional weight for selected respondent

BASIC PERSONAL DATA (Basic data)
Cross-sectional
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: constructed

Values	
	0+ (format 2.5) weight (see bellow the required format)
Flags	
1	filled
-3	not selected respondent

See construction of weights in chapter 'Introduction'

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, household design weights will be coded with at least one integer and 5 decimals.

PB070: Personal design weight for selected respondent

BASIC PERSONAL DATA (Basic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: constructed

Values	
0+ (format 2.5) weight	
Flags	
1 filled -3 not selected respondent	

See construction of weights in chapter 'Introduction'

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, household design weights will be coded with at least one integer and 5 decimals.
The construction of PB070 for EU-SILC longitudinal component will be provided in an updated version of this document

PB080: Personal base weight for selected respondent

BASIC PERSONAL DATA (Basic data)
Longitudinal
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: constructed

Values	
0+ (format 2.5) weight (see bellow the required format)	
Flags	
1	filled
-3	not selected respondent

The construction of PB070 for EU-SILC longitudinal component will be provided in an updated version of this document

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, household design weights will be coded with at least one integer and 5 decimals.

PB090: Day of the personal interview

BASIC PERSONAL DATA (Basic data)
Cross-sectional and longitudinal
Reference period: current
Unit:All current household members aged 16 and over
Mode of collection: Interviewer

Values	
1 - 31	day

Flags	
1	filled
-1	missing

If the data is extracted from registers the date corresponds to the date of the extraction

PB100: Month of the personal interview

BASIC PERSONAL DATA (Basic data)
Cross-sectional and longitudinal
Reference period: current
Unit: All current household members aged 16 and over
Mode of collection: Interviewer

Values	
1 - 12	month
Flags	
1	filled
-1	missing

If the data is extracted from registers the date corresponds to the date of the extraction

PB110: Year of the personal interview

BASIC PERSONAL DATA (Basic data)
Cross-sectional and longitudinal
Reference period: current
Unit: All current household members aged 16 and over
Mode of collection: Interviewer

Values
year (4 digits)

Flags	
1	filled
-1	missing

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]
BASIC PERSONAL DATA (Basic data)
Cross-sectional and longitudinal
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Interviewer

Values	
1 – 90	minutes

Flags	
1	filled
-1	missing
-2	na (information only extracted from registers)

PB130: Month of birth

BASIC PERSONAL DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or register

Values	
1 - 12	month

Flags	
1	filled
-1	missing

PB140: Year of birth

BASIC PERSONAL DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or register

Values
year (4 digits)

Flags
1   filled
-1   missing

Note: If the person is born before 1890 the variable will be filled in with the value 1890

PB150: Sex

BASIC PERSONAL DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or register

Values	
1	Male
2	Female
Flags	
1	filled
-1	missing

PB160: Father ID

BASIC PERSONAL DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values
Personal Id of father

Flags	
1	filled
-1	missing
-2	na (father is not a household member)

See RB220

PB170: Mother ID

BASIC PERSONAL DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values
Personal Id of mother

Flags	
1	filled
-1	missing
-2	na (mother is not a household member)

See RB230

PB180: Spouse/partner ID

BASIC PERSONAL DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values
Personal Id of spouse/partner

Flags	
1	filled
-1	missing
-2	not applicable (person has no spouse/partner or spouse/partner is not a household member)

See RB240

PB190: Marital status

BASIC PERSONAL DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1	Never married
2	Married
3	Separated
4	Widowed
5	Divorced

Flags	
1	filled
-1	missing

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 classified them under code 2 when the relation still exists, else as 3-5 as appropriated (legal separation or death of one of partners or so on).

PB200: Consensual Union

BASIC PERSONAL DATA (Demographic data)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1	yes, on a legal basis
2	yes, without a legal basis
3	no

Flags	
1	filled
-1	missing

Both partners have to live in the same household
With legal basis = legal spouse or registered partner
Without legal basis = "de facto" partner

PB210: Country of birth

BASIC PERSONAL DATA (Demographic data)
Cross-sectional
Reference period: constant
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values
Country code (See annex 2)

Flags
1   filled
-1   missing

Country of birth is defined as the country of residence of the mother at the time of birth.

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' which the place belonged to at the moment of birth should be recorded.

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.

PB220A: Citizenship 1
PB220B: Citizenship 2

BASIC PERSONAL DATA (Demographic data)
Cross-sectional
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values
Country code (See annex 2)

Flags	
1	filled
-1	missing
-2	only PB220B: na (no second citizenship)

Citizenship is defined as the particular legal bond between the individual and his/her State acquired by birth or naturalisation, whether by declaration, option, marriage or other means according to the national legislation. It corresponds to the country of which the passport is used.

When a person has multiple citizenship, the two main citizenship should be collected.

For persons with multiple citizenship and where one of the citizenship is the one of the country of residence, that citizenship should be coded.

People that do have citizenship will be coded as -2.

PE010: Current education activity

EDUCATION (Education, including highest ISCED level attained)
Cross-sectional
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1	in education
2	not in education

Flags	
1	filled
-1	missing

The concept is whether the person is currently participating in an educational program. An educational program, as defined under ISCED-97, is "an array or sequence of educational activities, which are organised to accomplish a pre-determined objective or a specified set of educational tasks" (UNESCO, 1999, p. 5).

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 regular education system (formal education, including schools, colleges and universities).

Formal education is defined as education and training with the following characteristics:
-   purpose and format are predetermined.
-   provided in the system of schools, colleges, universities and other educational institutions
-   it normally constitutes a continuous ladder of education.
-   it is structured in terms of learning objectives, learning time and learning support
-   it is normally intended to lead to a certification recognised by national authorities qualifying for a specific education/programme).
-   corresponds to the programmes covered by the UOE-questionnaires.

In the interviewee is enrolled as a student or an apprentice in a programme within the regular education system the answer will be 1.

This includes modules (short programmes/courses) which may be part of a longer regular education programme and are taken and completed, giving to their graduates the corresponding academic credit, independent of whether the person continues to complete the full programme or not. The level of the short programmes/courses will be the same as the programme of which they form part.

For apprentices who are in a period of only '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 can not be classified using ISCED-97:
- vocational education organized by a firm without leading to an official award or certification
- any non-formal education without leading to an official award or certification
- individual cultural activities for leisure

PE020: ISCED level currently attended

EDUCATION (Education, including highest ISCED level attained)
Cross-sectional
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
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)
Flags	
1	filled
-1	missing
-2	na (PE010 not = 1)

This variable is to be recorded for any person currently in education. The education could be full-time or part-time attendance or by correspondence course and the person needs not necessarily see their main activity as 'in education'.

Level is recorded according to the International Standard Classification of Education 1997 and consists of only levels without destination or orientation .

If the respondent is enrolled in several educational programmes, he or she should only give information on the most higher educational programme.

PE030: Year when highest level of education was attained

EDUCATION (Education, including highest ISCED level attained)
Cross-sectional
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
year (4 digits)	
Flags	
1	filled
-1	missing
-2	na (the person has never been in education)

The year when the highest level of education was attained will be specified.
If the person has never been in education will be classified as '–2'.

PE040: Highest ISCED level attained

EDUCATION (Education, including highest ISCED level attained)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
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)

Flags	
1	filled
-1	missing
-2	na (the person has never been in education)

Educational attainment of a person is the highest level of an educational programme the person has successfully completed and the study field of this programme. The educational classification to be used is the International Standard Classification of Education (ISCED 1997) coded according to the seven ISCED-97 categories. The basic unit of classification in ISCED-1997 is the educational programme. Educational programmes are defined "on the basis of their educational content as an array or sequence of educational activities, which are organised to accomplish a pre-determined objective or a specified set of educational tasks". ISCED-1997 provides an improved set of criteria for assigning individual programmes to 'levels' of education. The more practical steps for the coding according to ISCED-97 will be found in the ISCED-97 manual published by UNESCO in November 1997.

The expression 'level successfully completed' must be associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance.

When determining the highest level, both general and vocational education/training should be taken into consideration.

Persons who have not completed their studies should be coded according to the highest level they have completed.

Persons with no education (illiterate) should be coded -2.

PH010: General health

HEALTH (Health, including health status and chronic illness or condition)
Cross-sectional and longitudinal
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	very good
2	good
3	fair
4	bad
5	very bad

Flags	
1	filled
-1	missing
-3	not selected respondent

The measurement of self-perceived health (SPH) is, by its very nature, subjective. The notion is restricted to an assessment coming from the individual and not from anyone outside that individual, whether an interviewer, health care worker or relative. SPH 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 function and biomedical signs and symptoms. It omits any reference to an age. It is not time limited.

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, as far as possible keeping in mind cultural interpretations, in the various languages.

For this question a proxy should be limited as much as possible.

PH020: Suffer from any a chronic (long-standing) illness or condition

HEALTH (Health, including health status and chronic illness or condition)
Cross-sectional and longitudinal
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values		
1	yes	
2	no	
Flags		
1	filled	
-1	missing	
-3	not selected respondent	

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 they '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 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.

Rather than adding further details to the question wording, interviewers should be instructed to be as inclusive as possible in answering to PH020. 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;
-   problems not seem by the respondent as very serious (hay fever again): the item on severity or limitation would 'screen out' less serious problems at the second stage;
-   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);
-   problems that the respondent treats him self or herself (e.g. with over-the-counter drugs);
-   problems that have lasted (or recurred), or are expected to last (recur) over a six moth period or longer.

For this question a proxy should be limited as much as possible.

PH030: Limitation in activities because of health problems

[Limitation in activities people usually do because of health problems for at least the last 6 months]
HEALTH (Health, including health status and chronic illness or condition)
Cross-sectional and longitudinal
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	yes, strongly limited
2	yes, limited
3	no, not limited

Flags	
1	filled
-1	missing
-3	not selected respondent

The person's self-assessment of whether they are hampered in their daily activity by any ongoing physical or mental health problem, illness or disability.
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 condition.
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. 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 purpose of the instrument is to measure the presence of long-standing limitations, as the consequences of these limitations (e.g. care, dependency) are more serious. A 6 months period is often used to define chronic or long-standing diseases in surveys.
The period of at least the last 6 months is relating to the limitation. The answer to this question is yes (1 or 2) if the person is currently limited and has been limited in activities for at least the last 6 months.
In the response categories, a distinction is made in three levels of severity (yes strongly limited, yes limited, no not limited).
If the problem is seasonal or recurring the interviewee has to think in general over the at least the last six months (or coming six months if condition has just developed), would you say it has limited you strongly, somewhat or not at all.

PH040: Unmet need for medical examination or treatment

[Unmet need for medical examination or treatment during the last 12 months]
HEALTH (Access to health care)
Cross-sectional
Reference period: last twelve months
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	yes, there was at least one occasion when the person really needed examination or treatment but did not
2	no, there was no occasion when the person really needed examination or treatment but did not

Flags	
1	filled
-1	missing
-3	not selected respondent

There were very large differences between the EU countries in terms of the proportion of people with free access to health care or medically. 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 person's own assessment of whether he or she needed to consult a medical specialist, but was not able to.

In principle, there is no need to explicitly exclude General Practitioners. If access is genuinely open, then it is only at the stage of access to the 'specialist' examination and treatment that restrictions will show up. If there were problems in access to a GP, we would certainly want to include this.

Regarding the inclusion of other types of treatment, one strategy is to use a form of wording to make clear that we want to include what is regarded as mainstream medicine in the country, i.e. the kinds of things covered by medical insurance. The key concern is with restrictions in access to what would generally be regarded in the society as appropriate treatment for a health condition. Countries will differ in terms of the extent to which specialists such as chiropractors, specialists in acupuncture and so on, have become 'mainstream'. This may be best accomplished by using an interviewer prompt.

We would also suggest adding the word 'personally' to make sure that the consultation/treatment was on the person's own behalf rather than on behalf of children. If this is not clarified, any comparison between men and women or between parents and non-parents might be confounded.

PH050: Main reason for unmet need for medical examination or treatment

HEALTH (Access to health care)
Cross-sectional
Reference period: last twelve months
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	Could not afford to (too expensive)
2	Waiting list
3	Could not take time because of work, care for children or for others
4	Too far to travel/no means of transportation
5	Fear of doctor/hospitals/examination/ treatment
6	Wanted to wait and see if problem got better on its own
7	Didn't know any good doctor or specialist
8	Other reasons

Flags	
1	filled
-1	missing
-2	na (PH040 not = 1)
-3	not selected respondent

This is a follow-up question to the previous one. It aims 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.

In the proposed classification for this item, option 2 (length of the waiting list) should be used for people who were actually on a waiting list and were not helped, for respondents who were discouraged from seeking care because of perceptions of the long waiting lists, as well as people who have 'applied' and are still waiting to see a medical specialist.

'Not covered by insurance' should be coded as 'could not afford to' if the respondent could not afford to pay for the treatment/examination himself or herself.

PH060: Unmet need for dental examination or treatment

[Unmet need for dental examination or treatment during the last 12 months]
HEALTH (Access to health care)
Cross-sectional
Reference period: last twelve months
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	yes, there was at least one occasion when the person really needed dental examination or treatment but did not
2	no, there was no occasion when the person really needed dental examination or treatment but did not

Flags	
1	filled
-1	missing
-3	not selected respondent

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 the person's own assessment of whether he or she needed to consult a dentist, but was not able to.

We would suggest adding the word 'personally' to make sure that the consultation/treatment was on the person's own behalf rather than on behalf of children. If this is not clarified, any comparison between men and women or between parents and non-parents might be confounded.

PH070: Main reason for unmet need for dental examination or treatment

HEALTH (Access to health care)
Cross-sectional
Reference period: last twelve months
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	Could not afford to (too expensive)
2	Waiting list
3	Could not take time because of work, care for children or for others
4	Too far to travel/no means of transportation
5	Fear of doctor(dentist)/hospitals/examination/ treatment
6	Wanted to wait and see if problem got better on its own
7	Didn't know any dentist
8	Other reasons

Flags	
1	filled
-1	missing
-2	na (PH060 not = 1)
-3	not selected respondent

This is a follow-up question to the previous one. It aims 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.

In the proposed classification for this item, option 4 (length of the waiting list) should be used for people who are discouraged from seeking care because of perceptions of the length of wait, as well as people who have 'applied' and are still waiting to see a dentist.

PL015: Person has ever worked

LABOUR INFORMATION (Basic labour information on current activity status and on current main job, including information on last main job for unemployed)
Cross-sectional
Reference period: current
Unit: selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1	yes
2	no

Flags	
1	filled
-1	missing
-2	na (PL030 = 1 or 2)
-3	not selected respondent

Vacations jobs undertaken by students, from which they return to studies or to other non-work situation, and any other casual work undertaken from time to time are disregarded.
Normally, having ever worked refers to persons who worked on full or partial time basis for at least 6 months

PL020: Actively looking for a job

[Actively looking for a job in previous 4 weeks]
LABOUR INFORMATION (Basic labour information on current activity status and on current main job, including information on last main job for unemployed)
Cross-sectional and longitudinal
Reference period: previous 4 weeks
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1	yes
2	no
Flags	
1	filled
-1	missing
-2	na (PL030 = 1 or 2)

Applies only to persons not currently working.
The period of reference for this variable is the last four weeks ending with the reference week.
The answer will be 'yes' is the person is actively working for a job in previous four weeks.
The answer 'yes' should be recorded only if the person has used an active method for looking for a job. Passive methods should be coded 'no'.
Education and training are considered as ways of improving employability but not as methods of seeking work.
Persons who found a job to start later, i. e. within a period of at least 3 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 2 weeks]
LABOUR INFORMATION (Basic labour information on current activity status and on current main job, including information on last main job for unemployed)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1	yes
2	no
Flags	
1	filled
-1	missing
-2	na (PL020 = 2) (See below)

If the person 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 3 months should be coded 'yes'.

Note: The flags will take the following values:
 1   filled
-1   missing
-2   n.a.(PL020 not equal 1).

PL030: Self-defined current economic status

LABOUR INFORMATION (Basic labour information on current activity status and on current main job, including information on last main job for unemployed)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1	Working full time
2	Working part-time
3	Unemployed
4	Pupil, student, further training, unpaid work experience
5	In retirement or in early retirement or has given up business
6	Permanently disabled or/and unfit to work
7	In compulsory military community or service
8	Fulfilling domestic tasks and care responsibilities
9	Other inactive person

Flags	
1	filled
-1	missing

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 changed otherwise 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 the most time spent, but no criteria have been specified explicitly.

The information should be coded using a single question and not derived from different questions in from the questionnaire. This question shouldn't in any case precede the questions on 'worked at least an hour', 'actively looking for a job in the previous 4 weeks' and 'are you available for work in the next 2 weeks'.

Work

"Work" means any work for pay or profit, even for as little as one hour per week. Pay includes cash payments or "payment in kind" (payment in goods or services rather than

money). Also counted as working is anyone who receives wages for on-the-job training which involves the production of goods or services (ESA 11.13 f). 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 although 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 before and after childbirth have sufficient rest, or for a period to be specified according to national circumstances. People in maternity leave should always be considered as working.

Parental leave
Parental leave can be taken either by the mother or the father and is the interruption of work in case of childbirth or to bring up a child of young age. It corresponds to the period when parents receive "parental leave benefit". People in full-time parental leave should be treated as no working.

Layoffs
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.
Lay–offs 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 3 months.

Full-time/part-time

The distinction between full-time and part-time work should be made on the basis of a spontaneous answer given 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.

PL035: Worked at least 1 hour during the previous week

LABOUR INFORMATION (Basic labour information on current activity status and on current main job, including information on last main job for unemployed)
Cross-sectional
Reference period: previous week
Unit: selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values		
	1	Yes
	2	No
Flags		
	1	filled
	-1	missing
	-2	na (Person is not employee or MS has other source to calculate the gender pay gap)
	-3	not selected respondent

A person is considered as working if he/her did any work for pay or profit during the reference week or 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. Also counted as working is anyone who receives wages for on-the-job training which involves the production of goods or services. 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 directly contributing 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 works on their own small agriculture farm, who do not sell their products, but produce only for their own consumption

The classification as employment, and then code 1 should be ticked, depends on whether it falls within the production boundaries. When this production is included in national accounts, underlying employment must be identified. This depends on the relative quantitative importance of the production of agricultural products for 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)

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), 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 the wage or salary from their employer. If this is not the case, they should be coded 2 in PL035.

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 although they may have an assurance of return to work. If they are not at work during the 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 before and after childbirth have sufficient rest, 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 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 in maternity leave should always be coded 1 in PL035.
People in 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) but not be 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 do not exceed a period of 3 months. In this point Eurostat diverges from the ILO recommendation. If the period of absence exceeds 3 months they 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 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.
Lay–offs are classified as employed (code 1 in PL035) if they receive (50% of their wage or salary from their employer or have an assurance of return to work within a period of 3 months.
Lay–offs are classified as unemployed (code 2 in PL035) if they receive less than 50% of their wage or salary from their employer, don't have assurance of return to work or have an agreed date but this date falls after a period of 3 months and if they are "available to start work in 2 weeks" and have "search for a job in the last 4 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

LABOUR INFORMATION (Basic labour information on current activity status and on current main job, including information on last main job for unemployed)
Cross-sectional and longitudinal
Reference period: current/last situation
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1	self-employed with employees
2	self-employed without employees
3	employee
4	family worker

Flags	
1	filled
-1	missing
-2	na (PL030 not = 1 or 2 and PL015 not = 1 and PL035 not = 1)

Status in employment in main job

This variable refers to the main job. 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 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 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 receiving a 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 an 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 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 an hospital) should be classified according to the status where they work a more important 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, that this applies only when the business is owned or operated by the individual themselves or by a relative. Thus, unpaid voluntary work done for charity should not be included.

The 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 a co-operative hired workers and these workers have an employment contract that gives them a basic remuneration (which is not directly dependent upon the revenue of the co-operative), 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.

PL050: Occupation (ISCO-88 (COM))

LABOUR INFORMATION (Basic labour information on current activity status and on current main job, including information on last main job for unemployed)
Cross-sectional and longitudinal
Reference period: current/last situation
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
	ISCO Code (2 digits / see annex)
Flags	
1	filled
-1	missing
-2	na (PL030 not = 1 or 2 and PL015 not = 1 and PL035 not = 1)

This variable refers to the main job (current main job for people at work or last main job for people do not have a job). If multiple jobs are held or were held, the main job should be the one with the greatest number of hours usually worked.

The basis for the classification in the ISCO-88 scheme 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 size group of workplace (the local unit of activity) is needed to code ISCO 88(COM).

This should be coded according to the ISCO-88 (COM) classification provided in annex, which is based upon ISCO-88, International Standard Classification of Occupations, published by the International Labour Force (Geneva, 1990).

PL060: Number of hours usually worked per week in main job

LABOUR INFORMATION (Basic information on activity status during income reference period)
Cross-sectional and longitudinal
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1 - 99	number of hours
Flags	
1	filled
-1	missing
-2	na (PL030 not = 1 or 2 and PL035 not = 1)
-6	Hours varying (even an average over 4 weeks is not possible)

If multiple jobs are held, the main job should be the one with the greatest number of hours 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 done "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 done 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 home in order to perform his 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.

PL070: Number of months spent at full-time work
PL072: Number of months spent at part-time work
PL080: Number of months spent in unemployment
PL085: Number of months spent in retirement
PL087: Number of months spent studying
PL090: Number of months spent in inactivity

[**PL070: Number of months spent at full-time work in income reference period**
PL072: Number of months spent at part-time work in income reference period
PL080: Number of months spent in unemployment in income reference period
PL085: Number of months spent in retirement in income reference period
PL087: Number of months spent studying in income reference period
PL090: Number of months spent in inactivity in income reference period]
LABOUR INFORMATION (Basic information on activity status during income reference period)
Cross-sectional
Reference period: income reference period
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
0 - 12	number of months
Flags	
1	filled
-1	missing

The main activity in a month was "work" if the respondent worked (or was in paid apprenticeship or training) the majority of the weeks of the month.
If the main activity was not "part-time of full-time work" (i.e. the respondent did not work), the status is self-defined.
A person had a job, but was temporarily absent because of maternity leave, injury or temporary disability, slack work for technical or economical reasons, … is considered as 'working'.
If more than one type of activities 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 2 weeks of the month, then variables PL070 or PL072 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.

Retired

Persons who left his/her job for age or other reasons.

Full-time/part-time

The distinction between full-time and part-time work should be made on the basis of a spontaneous answer given 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.

Values

In principle, according to the regulation, these variables take values between 1 and 12. But, that cause problems if the number of months spent at full-time work are f.e.12. In this case, variables PL072….PL090 should take value 0.

PL100: Total number of hours usually worked in second, third… jobs

LABOUR INFORMATION (Total number of hours worked on current second/third … jobs)
Cross-sectional
Reference period: current
Unit: all current household members aged 16 and over
Mode of collection: personal interview, proxy or registers

Values	
1 - 99	number of hours
Flags	
1	filled
-1	missing
-2	na (person does not have a second job or PL030 not = 1 or 2)

The number of hours usually worked in second, third....jobs should be recorded.
See PL060

PL110: NACE

LABOUR INFORMATION (Detailed labour information)
Cross-sectional
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
	NACE Code (2 digits / See annex)
Flags	
1	filled
-1	missing
-2	na (PL030 not = 1 or 2 and PL035 not = 1)
-3	not selected respondent

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, which is based upon ' the Statistical Classification of Economic Activities (NACE Rev.1). The NACE rev. 1, 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.

Two types of questions can be used to obtain the data on the 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.

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 mainly 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 for more information of "local unit"

Note

The European classification of economic activities (NACE) is currently revised. As a consequence, all statistical applications using NACE will have to be changed.

The new NACE regulation will include a specific provision amending other legal acts referring to previous versions of NACE.

There will be one Annex for each amended legal act, specifying the categories (sections, divisions, groups, classes or subclasses) of the new NACE to be considered.

Time table for new NACE regulation

The draft new NACE regulation will be prepared by August 2005.
September 2005 working group on classifications will have the draft regulation for approval.
November 2005 draft regulation will be sent to SPC for information.
December 2005 draft regulation will be sent to inter-service consultation.

Annexes to new NACE regulation covering the amendments of other legal acts should be received by September 2005 at the latest.
Model of such annex will be requested from the Eurostat legal expert and provided to all concerned.

PL120: Reason for working less than 30 hours

[Reason for working less than 30 hours (in main and other jobs)]
LABOUR INFORMATION (Detailed labour information)
Cross-sectional
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	Undergoing education or training
2	Personal illness or disability
3	Want to work more hours but cannot find a job(s) or work(s) of more hours
4	Do not want to work more hours
5	Number of hours in all job(s) are considered as a full-time job
6	Housework, looking after children or other persons
7	Other reasons

Flags	
1	filled
-1	missing
-2	na (PL030 not = 1 or 2 or PL060 + PL100 not < 30)
-3	not selected respondent

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 he case of teachers should be considered as worked the hours of teaching, those dedicated to preparation of classes, study, research as well as the ones of compulsory permanence 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 the last priority.

PL130: Number of persons working at the local unit

LABOUR INFORMATION (Detailed labour information)
Cross-sectional
Reference period: current
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1 - 10	exact number (if between 1 and 10)
11	between 11 and 19 persons
12	between 20 and 49 persons
13	50 persons and more
14	do not know but less than 11 persons
15	do not know but more than 10 persons

Flags	
1	filled
-1	missing
-2	na (PL030 not = 1 and not = 2 and PL035 not = 1)
-3	not selected respondent

This variable refers to the main job. If multiple jobs are held or were held, the main job should be the one with the greatest number of hours usually worked.
Person himself should be included in number, as the employer
For definition of local unit see PL110

PL140: Type of contract

LABOUR INFORMATION (Detailed labour information)
Cross-sectional and longitudinal
Reference period: current/last situation
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	permanent job/work contract of unlimited duration
2	temporary job/work contract of limited duration

Flags	
1	filled
-1	missing
-2	na (PL040 not = 3)
-3	not selected respondent

This variable refers to the main job. If multiple jobs are held or were held, the main job should be the one with the greatest number of hours 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 account of these different institutional arrangements the notions "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 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 permanent or of unlimited duration.

What is involved is the actual employment being time-limited under an agreement - not that he/she has, for example, considered stopping work in order to travel or attend college. Students with jobs which they only reckon to have 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.

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 considered as 'temporary job'.

PL150: Managerial position

LABOUR INFORMATION (Detailed labour information)
Cross-sectional
Reference period: current/last situation
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	supervisory
2	non-supervisory
Flags	
1	filled
-1	missing
-2	na (PL040 not = 3)
-3	not selected respondent

Supervisory

Supervisory responsibility includes formal responsibility for supervising a group of other employees (other than apprentices), whom they supervise directly, some times doing some of the work they supervise. It implies that the supervisor or foreman takes charge of the work, directs the work and sees that it is properly done.

PL160: Change of job since last year

LABOUR INFORMATION (Detailed labour information)
Longitudinal (see note below)
Reference period: since last year
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	yes
2	no

Flags	
1	filled
-1	missing
-2	na (PL030 not = 1 or 2)
-3	not selected respondent

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 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.

Note

For those MS using a 'rotational panel' as well as those MS using a 'pure panel' the variable PL160 will also be provided for EU-SILC cross-sectional component..

PL170: Reason for change

LABOUR INFORMATION (Detailed labour information)
Longitudinal(see note below)
Reference period: since last year
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	To take up or seek better job
2	End of temporary contract
3	Obliged to stop by employer (business closure, redundancy, early retirement, dismissal etc.)
4	Sale or closure of own/family business
5	Child care and care for other dependent
6	Partner's job required us to move to another area or marriage
7	Other reasons

Flags	
1	filled
-1	missing
-2	na (PL160 not = 1)
-3	not selected respondent

The main reason the person left a job since last year.

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.

Obliged to stop by employer

It covers a number of situations, such as 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 applies, including 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.

__Note__

For those MS using a 'rotational panel' as well as those MS using a 'pure panel' the variable PL170 will also be provided for EU-SILC cross-sectional component.

PL180: Most recent change in the individual's activity status

LABOUR INFORMATION (Detailed labour information)
Longitudinal(see note below)
Reference period: since last interview
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	employed - unemployed
2	employed - retired
3	employed - other inactive
4	unemployed - employed
5	unemployed - retired
6	unemployed - other inactive
7	retired - employed
8	retired - unemployed
9	retired - other inactive
10	other inactive - employed
11	other inactive - unemployed
12	other inactive - retired

Flags	
1	filled
- 1	missing
- 2	not applicable (no change since last year)
- 3	not selected respondent

Whether it was a change in the individual activity status the last interview (or last 12 months for the first year of data collection).
If more than one change in the individual activity status the most recent change should be recorded.
If the activity status is not 'employed', the status is self-defined.
Note
For those MS using a 'rotational panel' as well as those MS using a 'pure panel' the variable PL180 will also be provided for EU-SILC cross-sectional component.

PL190: When began first regular job

LABOUR INFORMATION (Activity history)
Longitudinal(see note below)
Reference period: working life
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
8 - 65	age
Flags	
1	filled
-1	missing
-2	na (person never worked)
-3	not selected respondent

Overview

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.

The activity history items are confined to the longitudinal component of EU-SILC. Some of the items of information will need to be collected only once of each person in the longitudinal component: such as the item on when the person started their first regular job, and the number of years since that time spent at work.

Age 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 in other casual job undertaken from time to time.

Part-time jobs the person may have engaged in while still in school or university are not included.

Normally, the job considered should be the first one involving 15 hours or more per week which lasted for at least 6 months, unless it was terminated by a period of unemployment or by another job.

If the person starts working in a formal regular work, during his/her studies, this work should be considered as the first regular job.

Note

For those MS using a 'rotational panel' as well as those MS using a 'pure panel' the variable PL190 will also be provided for EU-SILC cross-sectional component.

PL200: Number of years spent in paid work

[Number of years spent in paid work (as employee or self-employee]
LABOUR INFORMATION (Activity history)
Longitudinal(see note below)
Reference period: working life
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
0 - 65	number of years
Flags	
1	filled
-1	missing
-2	na (person never worked)
-3	not selected respondent

This indicator provides a summary measure of the labour force experience of the individual.
The number of years, since starting the first regular job, that the person has 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 economical reasons, … the related period is to be taken into account.
'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.
See PL190
<u>Note</u>
 For those MS using a 'rotational panel' as well as those MS using a 'pure panel' the variable PL200 will also be provided for EU-SILC cross-sectional component.

PL210A: Main activity on January
PL210B: Main activity on February
PL210C: Main activity on March
PL210D: Main activity on April
PL210E: Main activity on May
PL210F: Main activity on June
PL210G: Main activity on July
PL210H: Main activity on August
PL210I: Main activity on September
PL210J: Main activity on October
PL210K: Main activity on November
PL210L: Main activity on December

LABOUR INFORMATION (Calendar of activities)
Longitudinal (see note below)
Reference period: income reference period
Unit: Selected respondent (where applies) or all current household members aged 16 and over
Mode of collection: Personal interview (proxy as an exception) or registers

Values	
1	Employee (full-time)
2	Employee (part-time)
3	Self-employed (full-time)
4	Self-employed (part-time)
5	Unemployed
6	Retired
7	Student
8	Other inactive
9	Compulsory military service

Flags	
1	filled
-1	missing
-3	not selected respondent

The main activity in a month was "job or business" (codes 1 to 4) if the respondent worked (or was in paid apprenticeship or training) the majority of the weeks.

If the main activity was not "job or business" (i.e. the respondent did not work), the status is self-defined.

A person had a job, but was temporarily absent because of maternity leave, injury or temporary disability, slack work for technical or economical reasons, … is considered as 'working'.

If more than one type of activities occur in the same month, priority should be given to economic activity ("main activity: job or business") 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 2 weeks of the month, (with main activity = 'other than work' in the remainder 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.

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.

Self-employed

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.

Retired

Persons who left his/her job for age or other reasons.

Full-time/part-time

The distinction between full-time and part-time work should be made on the basis of a spontaneous answer given 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.

Note

 For those MS using a 'rotational panel' as well as those MS using a 'pure panel' the variables PL210A-PL210L will also be provided for EU-SILC cross-sectional component.

See PL040

PY010G/PY010N: Employee cash or near cash income

INCOME (Gross personal income, total and components at personal level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: All current household members aged 16 and over
Mode of collection: personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers

Values	
1 - 999999.99	income (national currency)
0	no income

Flags **PY…G**	
	Net/gross at data collection
0	no income
1+if	net of tax on income at source and social contributions
2+if	net of tax on income at source
3+if	net of tax on social contributions
4+if	gross
5+if	unknown
	*To values **1,2,3,4** must be concatenated the imputation factor (if)*
	if = 000.00001 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-5	not filled: variable of net series is filled

Flags **PY…N**	
	Net/gross at data collection
0	no income
1+nc+if	net of tax on income at source and social contributions
2+nc+if	net of tax on income at source
3+nc+if	net of tax on social contributions
4+nc+if	gross
5+5+if	unknown
	*To values **1,2,3,4,5** must be concatenated a second flag:*
	Net recorded (nc)
{1,2,3,4}+**1**+if	net of tax on income at source and social contributions
{1,2,3,4}+**2**+if	net of tax on income at source
{1,2,3,4}+**3**+if	net of tax on social contributions
5+**5**+if	unknown
	*To values **1,2,3,5** must be concatenated the imputation factor (if)*
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-5	not filled: variable of gross series is filled

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 be filled also. 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)

It 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 can not be separately and clearly identified as social benefits.

- 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 can not 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.

<u>Note</u>

Family allowance for marriage should be included in PY010.

The employers social insurance contributions are excluded

Payments for fostering children: It 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'.

<u>Net employee cash or near cash income (PY010N)</u>

The net income component correspond to the gross income components but the tax at source, the social insurance contributions or both are deducted.

PY020G/PY020N: Non-Cash employee income

INCOME (Gross personal income, total and components at personal level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: All current household members aged 16 and over
Mode of collection: personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers

Values	
1 - 999999.99	income (national currency)
0	no income

Flags
see PY010G/PY010N
additional value allowed:
-4   amount included in another component

This variable with the exception of company car will only be collected from 2007.

Gross non-cash employee income (PY020G)

It refers to the 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 [1].
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 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.

It 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;

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[1] If any goods or services are both provided for private and work use, then private use as a proportion of total use has to be estimated and applied to the total value

- Accommodation provided free or at reduced rent by the employer to the employees as the main residence of the household (the imputed value of the accommodation provided free or at reduced rent is included under 'Imputed rent' (HY030G)).

- 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 correspond to the gross income components but the tax at source, the social insurance contributions or both are deducted.

See Annex 7

PY030G: Employer's social insurance contribution

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	amount (national currency)
0	no contribution

Flags	
0	no income
1	income (variable is filled)
-1	missing
-5	not filled: variable of net (…..G) / gross (…..N) series is filled

The employers' social insurance contributions will be only recorded from 2007 if feasibility studies show it is possible.

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).

PY035G/PY035N: Contributions to individual private pension plans

INCOME (Gross income components at household level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: household
Mode of collection: household respondent or register

Values	
1 - 999999.99	amount (national currency)
0	no contribution

Flags	
0	no contribution
1+if	variable is filled
	*To value **1** must be concatenated the imputation factor (if)*
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-5	Not filled: variable of the net/gross series is filled

Other items not considered as part of income:

Under other items not considered as part of income are classified:

-   Contributions to individual pension plans (PY035G)/ (PY035N)

-   Pensions from individual private plans (other than those covered under ESSPROS) (PY080G)/(PY080N)

Contributions to individual private pension plans (PY035G)

Contributions made, during the income reference period, to individual private pension plans 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).

It includes: contributions to individual pensions plans related to old age , survivors, sickness, disability and unemployment.

Comments

Contributions to private pensions plans refers to the pension policies taken out by individual households on their own initiative and from their own benefit, independently of their employers or government and outside any social insurance scheme (i.e. it excludes contributions from mandatory government schemes or from mandatory employers-based schemes).

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 policy holders 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 hey are taken out on the individual households' own initiative and on their own benefit, independently of their employers or government.

PY050G/PY050N: Cash benefits or losses from self-employment

INCOME (Gross personal income, total and components at personal level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: All current household members aged 16 and over
Mode of collection: personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers

Values	
1 - 999999.99	benefits
-999999.99 - -1	losses
0	no income

Flags
see PY010G/PY010N

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-employment jobs. Self-employment jobs are 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 correspond to a time period earlier than the reference period, basic adjustments shall be applied to update the data to the income reference period.

The self-employment income is broken down into:

- Gross cash benefits or losses from self-employment (including royalties) (PY050G)

- Value of goods produced for own consumption (PY070G)

Gross cash benefits or losses from self-employment (including royalties) (PY050G)

It 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 not included in the profit/loss of unincorporated enterprises (which are included under 'Income from rental of a property or land' (HY040G)).

Income from self-employment shall be calculated as:

– Market output (gross revenue to turnover, including the value of goods produced by the enterprise but consumed by the self-employed person or his/her household)

– Plus market value of goods and services bought for the unincorporated enterprise but consumed by the entrepreneur and his/her household members

– Plus property income received in connection with financial and other assets belonging to the enterprise

– Minus intermediate consumption (raw material costs, costs of sales, distribution costs, maintenance costs, administrative expenses etc.)

– Minus compensation of employees (wages, salaries and social security contributions for employees)

– Minus taxes on production and import taxes

– Minus interest paid on business loans

– Minus rents paid on land and other non-produced tangible assets rented by the enterprise

– Minus consumption of fixed capital

> – Plus subsidies

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 correspond 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 on detect self-employed: Who are the self-employed?

The guidelines Interpretation for the EU-SILC, based on ILO recommendations[1], 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 he or she 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 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 produced. However, an outworker should be considered 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.

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[1] 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.

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 finance	Final decision on markets, scale of operation and finance

Among the self-employed, those with 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 these groups are to be considered as '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 outgoing 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, 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 of course 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 self-employment income 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 they 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 has to encompass 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 posses 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 has to 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 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.

PY070G/PY070N: Value of goods produced by own-consumption

INCOME (Gross personal income, total and components at personal level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: All current household members aged 16 and over
Mode of collection: personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers

Values	
1 - 999999.99	income
0	no income
Flags	
see PY010G/PY010N	

Mandatory only from 2007 on.

Value of goods produced for own consumption (PY070G)

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 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)).

Value of goods produced for own consumption (PY070N)

The net income component correspond 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 also consumed within the same household. Any households may engage in such production without being categorised as 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, f.e., 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 which 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.

It is generally accepted that the extent of consumption of own production in most EU Member States is relatively minor.

In conclusion, although possible in theory to collect data with reasonable accuracy, *this income component is recommended to be included in the implemented version of the EU-SILC* but only for those countries which judge that it is important enough to do so.

PY080G/PY080N: Pension from individual private plans

INCOME (Gross personal income, total and components at personal level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: All current household members aged 16 and over
Mode of collection: personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers

Values	
1 - 999999.99	income (national currency)
0	no income
Flags	
see PY010G/PY010N	

Other items not considered as part of income:

Under other items not considered as part of income are classified:

- Contributions to individual pension plans (PY035G)/ (PY035N)

- Pensions from individual private plans (other than those covered under ESSPROS) (PY080G)/(PY080N)

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

Regular pensions from individual private plans (other than those covered under ESSPROS) (PY080N)

The net income component correspond to the gross income components but the tax at source, the social insurance contributions or both (if applicable) are deducted.

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

INCOME (Gross personal income, total and components at personal level)
Cross-sectional and longitudinal
Reference period: income reference period
Unit: All current household members aged 16 and over
Mode of collection: personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers

Values	
1 - 999999.99	income (national currency)
0	no income

Flags
see PY010G/PY010N
additional value allowed for PY100G/PY100N, PY110G/PY110N, PY120G/PY120N, PY130G/PY130N :
-4   amount included in another component

Social benefits

Social benefits[1] are defined as current transfers received during the income reference period[2] by households intended to relieve them from the financial burden of a number of risk 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:

– Coverage is compulsory (under law, regulation or a collective bargaining agreement) for the group in question;

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[1] The social benefits included in EU-SILC, with the exception of housing benefits, are restricted to cash benefits.

[2] In order to get a closer measure to 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 received before the income reference period could be taken into account and imputed according to Eurostat recommendations.

– 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 to risk of the people protected).

The Social benefits collected a individual level are the following:

§   Unemployment benefits (PY090G)/ (PY090N)

§   Old-age benefits (PY100G)/ (PY100N)

§   Survivor' benefits (PY110G)/ (PY110N)

§   Sickness benefits (PY120G/PY120N)

§   Disability benefits (PY130G/PY130N)

§   Education related allowances (PY140G/PY140N)

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)' (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.

ESSPROSS

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:

1) coverage is compulsory (under law, regulation or a collective bargaining agreement) for the group in question or

2) 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 and 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/Health care

Disability

Old Age

Survivors

Family/children

Unemployment

Housing

Social exclusion not elsewhere classified

These are normally termed 'functions' of social protection. They represent the areas which are felt to be most relevant in the European context. These functions define the primary purposes for which resources and benefits are provided, irrespective of 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, as 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 ESSPROSS 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 the 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 1996 (Eurostat, 1996).

The ESSPROS classification scheme has many merits in providing a break-down 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. Instead, data have to be collected in terms familiar to respondents and then 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 and that each can be correctly ascribed to a particular social protection scheme, and also 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 reductions 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;

It includes:

– 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 potential for employment.

– Mobility and resettlement: 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 ending 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 or cutting down its activities.

> – Other cash benefits: other financial assistance, particularly payments 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 correspond 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. This 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 aged person retires from the labour market, or guarantee a certain income when a person has reached a prescribed age.
It includes:

> – Old age pensions: periodic payments intended to maintain the income of the beneficiary after retirement from gainful employment at the standard age or support 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 payment of a portion of the full retirement pension to older workers who continue to work but reduce their working hours or whose income from a professional activity is below a defined ceiling.

> – Care allowances: benefit paid to old people who need frequent or constant assistance to help them meet the extra costs of attendance (other than medical care) when the benefit is not a reimbursement of certified expenditure.

–   Survivor's benefits paid after the standard retirement age.

–   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.

–   It excludes:

–   Family allowances for dependent children (which are included under 'Family/children related allowances' (HY050G)).

–   Early retirement benefits paid for labour market reasons or in 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 extra costs of attendance 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 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).

–   Death grant: 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)).

    – Survivor's benefits paid after the standard retirement age (these benefits are included under 'Old age benefits' (PY100G)).

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 loss of earnings during 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 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 loss of earnings during temporary inability to work in 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 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 through sickness where such payment can not be separately and clearly identified as social benefits (these payments are included under 'gross employee cash or near cash income' (PY010G).

    – Additional payments made for employers to an employee to supplement the sickness leave pay entitlement from a social insurance scheme, where such payments can not 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 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 that is likely to be either permanent or to persist beyond a minimum prescribed period.

It includes:

– Disability Pension: periodic payment intended to maintain or support the income of someone below 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 case of 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 below standard retirement age who need frequent or constant assistance to help them meet the extra costs of attendance (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 for employers to an employee or former employee to supplement the disability leave pay entitlement from a social insurance scheme, where such payments can not 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 standard retirement age who suffers from a disability got 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

Other comments

National system of pensions

ESSPROSS points out that in the majority of Member States 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 recommendation, 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 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 survivors' pension from the National insurance scheme, but also survivors' pensions from occupational pensions.

Social benefits
See PY090G

Education-related allowances (PY140G)
Education allowances refers to grants, scholarships and other education help received by students.

Comments
See PY090G

The net income component correspond to the gross income components but the tax at source, the social insurance contributions or both (if applicable) are deducted.

PY200G: Gross monthly earnings for employees

INCOME (Gross personal income, total and components at personal level)
Cross-sectional
Reference period: current
Unit: All current household members aged 16 and over
Mode of collection: personal interview (proxy as an exception for persons temporarily away or in incapacity) or registers

Values	
1 - 999999.99	income (national currency)
0	no income

Flags	
	Net/gross at data collection
0	no income
1+if	net of tax on income at source and social contributions
2+if	net of tax on income at source
3+if	net of tax on social contributions
4+if	gross
5+if	unknown
	To values 1,2,3,4,5 must be concatenated the imputation factor (if)
	if = 000.00000 - 100.00000 = collected value / recorded value
-1	missing (As missing values are imputed this code is only acceptable if not imputation is possible)
-2	na (PL040 not = 3 or MS has other source to calculate gender pay gap or for analyse it)

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 receive as a part of salary supplementary payments (13th or 14th month payments), or payments like holiday pay, profit share, bonuses, ...these payments should be taken into account in a monthly basis.

Only monetary earnings should be taken into account.

See PY010G.

Annexes

Annex 1: NUTS 2

CodeCountry   Level 2

ÖSTERREICH

AT11	Burgenland
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

KYPROS / KIBRIS

CY00	Kypros / Kibris
CYZZ	Extra-Regio

CESKA REPUBLIKA

CZ01	Praha
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
DE41	Brandenburg - Nordost
DE42	Brandenburg - Südwest
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	Rheinhessen-Pfalz
DEC0	Saarland
DED1	Chemnitz
DED2	Dresden
DED3	Leipzig
DEE1	Dessau
DEE2	Halle
DEE3	Magdeburg
DEF0	Schleswig-Holstein
DEG0	Thüringen
DEZZ	Extra-Regio

DANMARK

DK00	Danmark
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
FI13   Itä-Suomi
FI18   Etelä-Suomi
FI19   Länsi-Suomi
FI1A   Pohjois-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
FR92   Martinique
FR93   Guyane
FR94   Réunion
FRZZ   Extra-Regio

ELLADA
GR11   "Anatoliki Makedonia,   Thraki"
GR12   Kentriki Makedonia
GR13   Dytiki Makedonia
GR14   Thessalia
GR21   Ipeiros
GR22   Ionia Nisia
GR23   Dytiki Ellada
GR24   Sterea Ellada
GR25   Peloponnisos
GR30   Attiki
GR41   Voreio Aigaio
GR42   Notio Aigaio
GR43   Kriti
GRZZ   Extra-Regio

MAGYARORSZAG
HU10   Kozep-Magyarorszag
HU21   Kozep-Dunantul
HU22   Nyugat-Dunantul
HU23   Del-Dunantul
HU31   Eszak-Magyarorszag
HU32   Eszak-Alfold
HU33   Del-Alfold
HUZZ   Extra-Regio

IRELAND
IE01   "Border, Midland and Western"
IE02   Southern and Eastern
IEZZ   Extra-Regio

ITALIA
ITC1   Piemonte
ITC2   Valle d'Aosta/Vallée d'Aoste
ITC3   Liguria
ITC4   Lombardia
ITD1   Provincia Autonoma Bolzano/Bozen
ITD2   Provincia Autonoma Trento

ITD3   Veneto
ITD4   Friuli-Venezia Giulia
ITD5   Emilia-Romagna
ITE1   Toscana
ITE2   Umbria
ITE3   Marche
ITE4   Lazio
ITF1   Abruzzo
ITF2   Molise
ITF3   Campania
ITF4   Puglia
ITF5   Basilicata
ITF6   Calabria
ITG1   Sicilia
ITG2   Sardegna
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
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 (P)
PT17   Lisboa
PT18   Alentejo
PT20   Região Autónoma dos Açores
PT30   Região Autónoma da Madeira
PTZZ   Extra-Regio

SVERIGE
SE01   Stockholm
SE02   Östra Mellansverige
SE04   Sydsverige
SE06   Norra Mellansverige
SE07   Mellersta Norrland
SE08   Övre Norrland
SE09   Småland med öarna
SE0A   Västsverige
SEZZ   Extra-Regio

SLOVENIJA
SI00   Slovenija
SIZZ   Extra-Regio

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
UKD2	Cheshire
UKD3	Greater Manchester
UKD4	Lancashire
UKD5	Merseyside
UKE1	East Riding 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
UKI1	Inner London
UKI2	Outer London
UKJ1	"Berkshire, Buckinghamshire and Oxfordshire"
UKJ2	"Surrey, East and West Sussex"
UKJ3	Hampshire and Isle of Wight
UKJ4	Kent
UKK1	"Gloucestershire, Wiltshire and North Somerset"
UKK2	Dorset and SomersetUKK3 Cornwall and Isles of Scilly
UKK4	Devon
UKL1	West Wales and The Valleys
UKL2	East Wales
UKM1	North Eastern Scotland
UKM2	Eastern Scotland
UKM3	South Western Scotland
UKM4	Highlands and Islands
UKN0	Northern Ireland
UKZZ	Extra-Regio

Annex 2: Classification of Countries

BE	Belgique/Belgïe		BG	Bulgaria
DK	Danmark		CY	Cyprus
DE	Deutschland		CZ	Czech republic
GR	Ellada		EE	Estonia
ES	España		HU	Hungary
FR	France		LV	Latvia
IE	Ireland		LT	Lithuania
IT	Italia		MT	Malta
LU	Luxembourg		PL	Poland
NL	Nederland		RO	Romania
AT	Österreich		SK	Slovak republic
PT	Portugal		SI	Slovenia
FI	Suomi			
SE	Sverige		IS	Iceland
UK	United Kingdom		NO	Norway
			CH	Switzerland

EUR   Other European Countries (including Turkey)

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 Rev.1
Statistical Classification Of Economic Activities

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 organizations and bodies

99 Extra-territorial organizations and bodies

Annex 4: ISCO-88 (COM)
International Standard Classification of Occupations

Legislators, senior officials and managers

11 Legislators, senior officials and managers
- Legislators and senior government officials
- Senior officials of special-interest organisations

12 Corporate managers
- Directors and chief executives
- Production and operations managers
- Other specialist managers

13 Managers of small enterprises
- Managers of small enterprises

Professionals

21 Physical, mathematical and engineering science professionals
- Physicists, chemists and related professionals
- Mathematicians, statisticians and related professionals
- Computing professionals
- Architects, engineers and related professionals

22 Life science and health professionals
- Life science professionals
- Health professionals (except nursing)
- Nursing and midwifery professionals

23 Teaching professionals
- College, university and higher education teaching professionals
- Secondary education teaching professionals
- Primary and pre-primary education teaching professionals
- Special education teaching professionals
- Other teaching professionals

24 Other professionals
- Business professionals
- Legal professionals
- Archivists, librarians and related information professionals
- Social science and related professionals
- Writers and creative or performing artists
- Religious professionals
- Public service administrative professionals

Technicians and associate professionals

31 Physical and engineering science associate professionals
- Physical and engineering science technicians
- Computer associate professionals
- Optical and electronic equipment operators
- Ship and aircraft controllers and technicians
- Safety and quality inspectors

32 Life science and health associate professionals
- Life science technicians and related associate professionals
- Health associate professionals (except nursing)
- Nursing and midwifery associate professionals

33 Teaching associate professionals
- Primary education teaching associate professionals
- Pre-primary education teaching associate professionals
- Special education teaching associate professionals
- Other teaching associate professionals

34 Other associate professionals
- Finance and sales associate professionals
- Business services agents and trade brokers
- Administrative associate professionals
- Customs, tax and related government associate professionals
- Police inspectors and detectives
- Social work associate professionals
- Artistic, entertainment and sports associate professionals
- Religious associate professionals

Clerks

41 Office clerks
- Secretaries and keyboard-operating clerks
- Numerical clerks
- Material-recording and transport clerks
- Library, mail and related clerks
- Other office clerks

42 Customer services clerks
- Cashiers, tellers and related clerks
- Client information clerks

Service workers and shop and market sales workers

51 Personal and protective services workers
- Travel attendants and related workers
- Housekeeping and restaurant services workers
- Personal care and related workers
- Other personal services workers
- Protective services workers

52 Models, salespersons and demonstrators
- Fashion and other models
- Shop, stall and market salespersons and demonstrators

Skilled agricultural and fishery workers

61 Skilled agricultural and fishery workers
- Market gardeners and crop growers
- Animal producers and related workers
- Crop and animal producers
- Forestry and related workers
- Fishery workers, hunters and trappers

Craft and related trades workers

71 Extraction and building trades workers
- Miners, shotfirers, stone cutters and carvers
- Building frame and related trades workers
- Building finishers and related trades workers
- Painters, building structure cleaners and related trades workers

72 Metal, machinery and related trades workers
- Metal moulders, welders, sheet-metal workers, structural-metal preparers, and related trades workers
- Blacksmiths, tool-makers and related trades workers
- Machinery mechanics and fitters
- Electrical and electronic equipment mechanics and fitters

73 Precision, handicraft, craft printing and related trades workers
- Precision workers in metal and related materials
- Potters, glass-makers and related trades workers
- Handicraft workers in wood, textile, leather and related materials
- Craft printing and related trades workers

74 Other craft and related trades workers
- Food processing and related trades workers
- Wood treaters, cabinet-makers and related trades workers
- Textile, garment and related trades workers
- Pelt, leather and shoemaking trades workers

Plant and machine operators and assemblers

81 Stationary-plant and related operators
- Mining and mineral-processing-plant operators
- Metal-processing plant operators
- Glass, ceramics and related plant operators
- Wood-processing- and papermaking-plant perators
- Chemical-processing-plant operators
- Power-production and related plant operators
- Industrial robot operators

82 Machine operators and assemblers
- Metal- and mineral-products machine operators
- Chemical-products machine operators
- Rubber- and plastic-products machine perators
- Wood-products machine operators
- Printing-, binding- and paper-products machine operators
- Textile-, fur- and leather-products machine operators
- Food and related products machine operators
- Assemblers
- Other machine operators not elsewhere classified

83 Drivers and mobile plant operators
- Locomotive engine drivers and related workers
- Motor vehicle drivers
- Agricultural and other mobile plant operators
- Ships' deck crews and related workers

Elementary occupations

91 Sales and services elementary occupations
- Street vendors and related workers
- Shoe cleaning and other street services elementary occupations
- Domestic and related helpers, cleaners and launderers
- Building caretakers, window and related cleaners
- Messengers, porters, doorkeepers and related workers
- Garbage collectors and related labourers

92 Agricultural, fishery and related labourers
- Agricultural, fishery and related labourers

93 Labourers in mining, construction, manufacturing and transport
- Mining and construction labourers
- Manufacturing labourers
- Transport labourers and freight handlers

Armed forces

01 Armed forces
- Armed forces

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 belongs 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 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 - 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 which 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, ware housing, 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 normally form part of the unit's end product, and are not themselves supplied to third parties. Examples of ancillary activities include production of small implements for the unit's use, own-account transport, sales of own products, or administrative department 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 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 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 kinds 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 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.

A) Cross-sectional component

1) Household register

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	only longitudinal		
DB120	11		21,22,23,[-1]
DB130	11	21,22,23,24,[-1]	[-2]
?	*Yes*	*No*	
DB135	1	2,[-1]	[-2]

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 = sequential number (up to 6 digits)

- must be unique
- can be reused during the following survey years

If the household interview or no personal interview is completed then no data for this household must be provided in the R-, H-, and P-File.

2) Personal register

Variable	Value				
RB010	YEAR - key variable				
RB020	COUNTRY - key variable				
RB030	PID - key variable				
RB040	only longitudinal				
RB050	x				
RB060	only longitudinal				
RB100	only longitudinal				
RB070	x				
RB080	x				
RB090	x				
RB110	only longitudinal				
RB120	only longitudinal				
RB140	only longitudinal				
RB150	only longitudinal				
RB160	only longitudinal				
RB170	only longitudinal				
RB180	only longitudinal				
RB190	only longitudinal				
RB200	x				
RB210	x				
RB220	x				
RB230	x				
RB240	x				
RB245	1,2,3				4
RB250	11,13		12	21,22,23,31,32,33	[-2]
RB260	1,2,3,4,[-1]	5	[-2]	[-2]	[-2]
RB270	[-2]	x	[-2]	[-2]	[-2]

P-File

YEAR = year of the survey (4 digits)
COUNTRY = country code (2 characters)
PID = HID + 2 digit sequential number
- 2 digit sequential number must be unique per household
- can be reused during the following survey years

B) Longitudinal component

1) Household register

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]

P-File
R-File
H-File

P-File
R-File
H-File

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 the 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 than previous year keeps the HID (DB110 = 1).
- The split-off household(s) receive(s) a HID with the household number and the next not used split number (DB110 = 8).
- If no household stays at the same address than previous year, then the household with the member with 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 in 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 than 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

DB110 (fixed HID)		
year - 1	**current year**	**year + 1**
1,2,8,9	1	1,2,3,4,5,6,7,10
	except DB130 = 21 or DB130_F= -1	drop
1,2,8,9	2	1,2,3,4,5,6,7,10
	except DB120 = 21,23 or DB120_F= -1 or DB130 = 21 or DB130_F= -1	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	1,2,3,4,5,6,7,10
	except DB120 = 21,23 or DB120_F= -1 or DB130 = 21 or DB130_F= -1	drop
na	9	1,2,3,4,5,6,7,10
	except DB120 = 21,22,23 or DB120_F= -1 or DB130 = 21,22,23,24 or DB130_F= -1	drop
1,2,8,9	10	drop

except

2 consecutive years: year - 1 + current year	**year + 1**
DB120 not = 11 or DB130 not = 11 or DB135 not = 1	drop

2) Personal register

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]	[-2]	
RB260	1,2,3,4,[-1]	5	[-2]	[-2]	[-2]	[-2]
RB270	[-2]	x	[-2]	[-2]	[-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
   - 2 digit sequential number must be unique per 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)

RB100 (PID first year in survey independent from HID)					
RB110		1			3,4
RB245	1	2	3	4	-
AGE*	-	-	-	<14	14+	-
RB100	**1**	**1**	**2**	**2**	**1**	**2**

*Age at end of Income Reference Period for a 4 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

RB110 (fixed PID) in same HID		
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 normally will 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

A description of possible approaches

A. Direct approach

A1. 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 be taken 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 also under-coverage (benefits not being reported, especially if not taxed).

- Secondly, that the approach depends entirely on national taxation rules.

A2. 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 along with 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 is needed to avoid double counting. Sometimes, the employee has to forgo reimbursement of certain travel expenses as a consequence of receiving a car allowance, expenses which 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.

B. 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" which the benefit has for the recipient per unit of time (such as over a year). Exactly which characteristics are collected

depends very much on the model or the approach used for this conversion. Basically there are two types of "indirect" approaches:

B1. Conversion using tax rules

One 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 increased response burden.

Advantages

- The approach is also likely to be less 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[1].

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.

B2. Valuation on the basis of accrued saving

An alternative approach would be to valuate 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.*

Seen in the above mentioned terms, the benefit equals the sum of:

(i) **Depreciation** over the reference period in the capital value of the car, *plus*

(ii) 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.

Advantages

- The approach is independent of the national tax rules.

- Its comparability is affected by national differences in prices of the 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

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[1] the specific characteristics 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)

- To construct 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 model, make, etc to compare with external sources.

The depreciation method

How to calculate deprecation schedule?

The main requirement is to construct a 'depreciation model'.

The idea is to impute to the employee the amount the recipient would have to pay over the reference period to enjoy the same benefit from the use of own vehicle.

$$Depreciation = \frac{Purchase\ prices - selling\ prices\ at\ X}{X}$$

Where X = 'the average age of a company car'

Note. The selling price could be replace 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 manufactures recommended retail prices by the manufacturer, make and model, in all the 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 could be considered.

An alternative method

An alternative method for valuating 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 if some of the associated cost (reparations, insurance, etc.) are included.

The extent of use

Valuation of the benefit derived from 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 two special situations:

1. When the current income concept (rather than the concept of income during the reference year) is used, information on private use of 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[1].

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 last mentioned calculation should also take into account the intensity of private use during the period the vehicle is available for the purpose. The intensity may for instance be measured by the proportion of private use in the total use of 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 in 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 persons private needs and preferences: restriction on the form or extent of private use are not common for company vehicles provided for the purpose. Hence it cannot be assumed that the level of private use of 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 ones own car. The amount of benefit is the money saved from not using ones own car for the purpose.[2]

Conclusions

- It is not possible to have a single approach in all of countries.

- Although a method based on the assess 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 actually a car is provided; and the approach is well-established in some other countries.

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[1] The intention is not to exclude fuel if it is provided free for PRIVATE use of 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 be included for it in the estimation of that component.

[2] The case is not all that dissimilar from the common one 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 whether the person uses it for intensive SAS computations all hours of the day or merely for video games at the week-end.