

ANNEX III

Information to be reported by the NCBs describing the features of the country survey

1. In accordance with Article 3(4), NCBs must report to the ECB information describing the features of the country surveys as set out in Sections 1 to 9.

Section 1 – Sampling design

Part 1 – General information

2. NCBs must provide the following general information regarding the sampling design.
 - (a) Whether (Yes/No/Partly) the sample was selected according to a probabilistic scheme.
 - (b) Whether (Yes/No) the sample was stratified and, if yes, a description of the stratification criteria. In addition, if the necessary information for the output variable SD0100 (stratum) is not transmitted to the ECB, NCBs must also indicate the number of strata.
 - (c) Total number of sampling stages.
 - (d) For each of the sampling stages (up to three):
 - (i) type of sampling units: geographical area, address, household, other (in this case further specifications must be provided);
 - (ii) selection method: simple random sampling, stratified sampling, probability proportional to size, systematic sampling, other (in this case further specifications must be provided);
 - (iii) total number of selected units;
 - (iv) name of the sampling frame.
 - (e) Information about subsequent sampling stages, above three (if any).
 - (f) Final sampling units: address, household, individual, other (in this case further specifications must be provided).
 - (g) Description of the sampling frame(s): source, units, age, updates, coverage of the population.
 - (h) Excluded groups (i.e. parts of the population that are not covered by the sampling design, if any): population in institutions (i.e. persons living in e.g. retirement homes, military accommodation, prisons or boarding schools), homeless, other (in this case further specifications must be provided).
 - (i) Whether (Yes/No) the wealthy were over-sampled and, if yes:
 - (i) which criteria were used to determine the wealthy oversampled group (multiple answers possible): income, consumption, dwelling characteristics (e.g. size, price), geographical area; other (in this case further specifications must be provided);
 - (ii) how the oversampling rate was determined;
 - (iii) auxiliary source(s) used for over-sampling (e.g. tax sources, registers).

- (j) Whether (Yes/No) substitutions were allowed and, if yes, the total number of substituted households in the sample.
- (k) Whether (Yes/No) the sample has a panel component.

Part 2 – Panel/rotational sample component (to be reported only by countries whose survey has a panel component)

3. NCBs (whose survey has a panel component) must provide the following information regarding the panel/rotational sample component.
 - (a) The first year of the panel component.
 - (b) If the necessary information (for respondents and non-respondents) for the output variable SB0100 (interview final outcome code) is not transmitted to the ECB, NCBs must provide information on: the number of households that have been re-contacted from previous waves, households that have been re-contacted from previous waves as a percentage of all contacted households, the mean attrition rate from one wave to the next.
 - (c) The sample structure over time: pure panel, pure panel with refresher sample, rotating design, other (in this case further specifications must be provided). If a rotating design is used, specify the duration of the panel in years.
 - (d) An explanation of the panel tracing rules.

Part 3 – Any other relevant information (optional)

4. NCBs must also provide any other information related to the sampling design which they deem relevant.

Section 2 – Sample structure and survey outcome statistics

Part 1 – Sample sizes and non-response

5. If the necessary information for the output variable SB0100 (interview final outcome code) is not transmitted to the ECB, NCBs must provide the following information relating to sample sizes and non-response:
 - (a) *gross sample size*, defined as follows:
 - (i) survey without a panel component: total number of final sampling units drawn from the sampling frames in the current wave (irrespective of their eligibility and whether or not they cooperate with the survey);
 - (ii) survey with a panel component: total number of final sampling units drawn from the sampling frames in the current wave (irrespective of their eligibility and whether or not they cooperate with the survey) plus number of households from the previous wave re-contacted in the current wave;

- (b) *total number of eligible cases* (denominator of the response rate), which includes both the cases with known eligibility and those with unknown eligibility, but which have been treated ex-post as eligible;
- (c) *total number of cases with unknown eligibility*;
- (d) *total number of non-responding households*, of which *total number of non-contacted households*, *total number of refusals* and *total number of other reasons for non-response* (e.g. language barrier, illness or incapacity);
- (e) *net sample size* corresponding to the number of completed household interviews.

Part 2 – Survey outcome statistics

6. If the necessary information for the output variable SB0100 (interview final outcome code) is not transmitted to the ECB, NCBs must provide information on the following survey outcome statistics:
- (a) response rate (%) corresponding to the interviewed households divided by the eligible units;
 - (b) contact rate (%) corresponding to the contacted households divided by the eligible units;
 - (c) cooperation rate (%) corresponding to the interviewed households divided by the contacted units;
 - (d) refusal rate (%) corresponding to the households that refused divided by the eligible units.

Part 3 – Any other relevant information (optional)

7. NCBs must also provide any other information related to sample structure and survey outcome statistics which they deem relevant.

Section 3 – Concepts and definitions

Part 1 – Reference periods

8. NCBs must specify the reference period of the statistical information referring to:
- (a) balance sheet/wealth output variables, e.g. ‘date of interview’ (for each individual household) or a fixed date preceding the first interview (for all households), e.g. 31 December YYYY;
 - (b) income output variables, ‘12 months preceding interview’ (for each individual household) or the calendar year preceding the first interview (for all households), e.g. YYYY;
 - (c) consumption output variables, ‘12 months preceding interview’ (for each individual household) or the calendar year preceding the first interview (for all households), e.g. YYYY;
 - (d) demographic and employment output variables.

Part 2 – Income output variables

9. NCBs must provide information on whether the income output variables collected are (i) gross, (ii) net of income taxes, (iii) net of income taxes and social contributions or (iv) other (in this case further specifications must be provided).

Part 3 – Definition of output variables: significant methodological departures

10. NCBs must provide a description of any significant methodological differences in the content of the output variables transmitted to the ECB compared to the descriptions of the output variables in Annex I, Part 2.
11. NCBs must indicate the identifier(s)/name(s) of the output variables and describe the deviation(s) from the output variables' definitions (e.g. HI0100, Monthly amount spent on food at home. Output variable also includes food outside home).

Section 4 – Data collection

Part 1 – Fieldwork aspects

12. NCBs must provide the following information regarding the fieldwork:
- (a) organisations responsible for the fieldwork: NCB, national statistical institute (NSI) and/or survey company (including the name of the survey company);
 - (b) organisations responsible for reviewing/editing the data: NCB, NSI and/or survey company;
 - (c) whether (Yes/No) the households were recontacted in the event of potential errors/inconsistencies;
 - (d) start and end of the fieldwork period;
 - (e) summary statistics on the interview duration in minutes: median, mean, inter-quartile range, minimum and maximum.

In addition, if the necessary information for the output variable SA0900 (Mode of interview) is not transmitted to the ECB, NCBs must provide information on the:

- (f) distribution of the completed interviews by mode of data collection (in % of all the completed interviews) for: computer-assisted personal interview (CAPI), computer-assisted telephone interview (CATI), pencil-and-paper personal interview (PAPI), computer-assisted web-based interview (CAWI), self-administered, and other.

Part 2 – Interviewers (recruitment, training, workload, compensation)

13. NCBs must provide the following information regarding the interviewers:
- (a) final number of interviewers;
 - (b) organisations in charge of recruiting the interviewers: NCB, NSI, survey company, other (in this case further specifications must be provided);

- (c) interviewers' employment status: employee of the organisation responsible for the fieldwork, freelancer, other (in this case further specifications must be provided);
- (d) interviewer training mode: face-to-face or remote;
- (e) average number of training hours per interviewer;
- (f) payment and incentive schemes for interviewers (multiple answers possible): hourly rate, per completed interview, assignment fee, regular fixed salary, bonus arrangements, other (in this case further specifications must be provided).

Part 3 – Questionnaire design and testing

14. NCBs must provide the following information regarding the questionnaire design and testing:

- (a) whether (Yes/No) a pilot survey was conducted in order to pre-test the questionnaire;
- (b) whether laboratory or other pre-testing of the questionnaire was undertaken, i.e. evaluation by an expert group, focus groups, cognitive testing or behavioural coding of interviews or other (in this case further specifications must be provided);
- (c) languages into which the questionnaire was translated.

Part 4 – Contact strategies and non-response prevention

15. NCBs must provide the following information regarding contact strategies and non-response prevention:

- (a) type of advance information used: no advance information, introduction letter, brochure, press release, link to data collection webpage, other (in this case further specifications must be provided);
- (b) minimum number of required contacts;
- (c) incentives given to the respondents: monetary, non-monetary, no incentives used;
 - (i) In the event of monetary incentives, amount given;
 - (ii) In the event of non-monetary incentives, type of incentives (e.g. gifts, lottery tickets).

Part 5 – Fieldwork auditing

16. NCBs must provide the following information regarding fieldwork auditing:

- (a) organisations in charge of fieldwork auditing;
- (b) outcome of the verification of contacts/non-response: no verification, verification with no significant issues detected, verification with significant issues detected (in this case further details must be provided);
- (c) outcome of the verification of data authenticity: no verification, verification with no significant issues detected, verification with significant issues detected (in this case further details must be provided).

Part 6 – Use of other data sources for data collection

17. NCBs must indicate if they used sources other than interviews to collect or construct the output variables specified in Annex I (excluding the sources used in imputation for item non-response).

If yes, possible sources are registers, statistical matching, other (in this case further specifications must be provided).

Part 7 – Any other relevant information (optional)

18. NCBs must also provide any other information related to data collection which they deem relevant.

Section 5 – Data processing and editing

Part 1 – General information

19. NCBs must indicate what general database management system they use to store and process data (e.g. SAS, Stata, SPSS).
20. NCBs must indicate what sample/case management system they use. This refers to an electronic tool designed to automatically store and link different sources of information useful for the organisation and documentation of the fieldwork procedures.

Part 2 – Coding and editing

21. NCBs must provide the following information regarding coding and editing:
- (a) how often comments made by interviewers are reviewed and used in the editing process: systematically, in most cases, sporadically or never;
 - (b) types of rules used (multiple answers possible): logical, consistency rules, range, ratio, balance (e.g. the total income is equal to the sum of the different income components), outliers, macro editing, impact of specific observations on aggregates, other (in this case further specifications must be provided);
 - (c) whether (Yes/No) data from registers are used in editing.

Part 3 – Any other relevant information (optional)

22. NCBs must also provide any other information related to data processing and editing which they deem relevant.

Section 6 – Weighting

Part 1 – Household design weights (output variable SD0300)

23. NCBs must provide the following information regarding household design weights:
- (a) whether (Yes/No) household design weights are constructed as the inverse of their selection probability;
 - (b) description of the construction (if applicable);

- (c) if the necessary information for the output variable SD0300 (household design weight) is not transmitted to the ECB, the following summary statistics on the household design weights must be provided: mean, sum, minimum, maximum, standard deviation and coefficient of variation (%).

Part 2 – Weighting adjustments for unit non-response based on sample-level information

24. NCBs must provide the following information regarding weighting adjustments for unit non-response:
- (a) whether (Yes/No) the design weights were adjusted by explicitly estimating the household response propensities from auxiliary information available both for the respondents and the non-respondents;
 - (b) the adjustment method used: regression-based modelling (e.g. logit, probit), response homogeneous cells, other (in this case further details must be provided);
 - (c) description of the auxiliary information used in the adjustment;
 - (d) description of the external sources used in the adjustment.

Part 3 – Calibration to external sources

25. NCBs must provide the following information regarding calibration to external sources:
- (a) calibration method: cell-based post-stratification, generalised regression, calibration or generalised calibration approach to external controls, other (in this case further details must be provided);
 - (b) external variables used in the calibration: age, sex, household size, region, other (in this case further details must be provided);
 - (c) description of external sources used in the calibration.

Part 4 – Weight trimming, or any other post-survey adjustments

26. NCBs must indicate whether (Yes/No) any other post-survey weight adjustments (including weight trimming or winsorizing) were implemented. If yes, a description of the adjustments must be provided.

Part 5 – Final household weights and weight ratios

27. If the necessary information for the output variables HW0010 (household weight) and SD0300 (case design weight) is not transmitted to the ECB, NCBs must provide the following summary statistics:
- (a) on the household final weights: mean, sum, minimum, maximum, standard deviation and coefficient of variation (%);
 - (b) on the ratios between the household final weights and the household design weights: mean, minimum and maximum.

28. If the survey has a panel component, NCBs must explain the weighting procedure, i.e. how the sampling weights for the newly selected households are combined with the weights from the previous wave (weighting share method, any other combination).

Part 6 – Replicate weights

29. NCBs must provide the following information regarding replicate weights (output variable WR\$\$\$\$):
- (a) method used to calculate the replicate weights: rescaling bootstrap, other (in this case further details must be provided);
 - (b) calibration margins: total number of households, total number of persons, number of persons by sex, number of persons by age group, other (in this case further details must be provided).

Part 7 – Any other relevant information (optional)

30. NCBs must also provide any other information related to weighting which they deem relevant.

Section 7 – Imputation procedures

Part 1 – General information

31. NCBs must indicate the software tools used for imputation (i.e. SAS, Stata or other and, if other, which tool) and the organisations responsible for the imputation (i.e. NCB, NSI, survey company, other and, if other, which organisation).

Part 2 – Technical information about the imputation procedures

32. NCBs must provide the following technical information regarding imputation procedures.
- (a) Whether (Yes/No) weights were used in the imputation models and, if yes, whether they were used as weighted regression and/or as covariates.
 - (b) Whether (Yes/No) there was a limit for the number of collected observations below which missing values were not imputed. If yes, the limit must be specified.
 - (c) Procedures used in the event that imputation was not performed due to a low number of collected observations: values left as missing, values estimated (e.g. as the mean/median of the collected observations), output variable pooled with other output variables in order to get a sufficient number of observations and then imputed, other (in this case further details must be provided). If several procedures were used, NCBs must specify to which output variables the procedures apply.
 - (d) Description of the procedure in the selection of covariates that are good predictors of the output variable of interest: automatic selection of covariates (with pre-specified limits used in correlation/regression models) with limited editing, automatic pre-selection of covariates and case-by-case evaluation of individual output variables, evaluation of individual output

- variables on a case-by-case basis to select covariates, other (in this case further details must be provided).
- (e) Indication of output variables that were included (apart from variables that are good predictors): variables explaining non-response, variables that are good predictors of covariates used for other covariates, variables that according to economic theory are expected to be good predictors of the variable of interest, all parent variables of child variables included as covariates, other (in this case further details must be provided).
 - (f) Description of the identification of outlier values during the imputation process.
 - (g) Description of the evaluation of consistencies between individual output variables during the imputation process (e.g. initial and outstanding value of a loan/mortgage).
 - (h) Number of observations that were manually edited after the final run of the imputation program, based on each of following criteria:
 - (i) 'outlier' values;
 - (ii) consistencies between individual output variables (such as initial and outstanding value of a loan/mortgage);
 - (iii) answers collected in ranges that were considered unreliable;
 - (iv) others (including further specifications).
 - (i) Regarding observations for which the respondent did not provide any point or range value, NCBs must indicate if bounds were introduced and if observations were imputed as the upper or lower value of the bound.
 - (j) Whether (Yes/No) outlier observations were excluded as covariates in the models and, if yes, how many observations were concerned;
 - (k) Number of covariates used in the imputation model of each of the following output variables:
 - (i) value of household main residence (HMR) (HB0900);
 - (ii) amount still owed for first HMR collateralised loan (HB1701);
 - (iii) value of savings accounts (HD1210);
 - (iv) employee income (PG0100).

Part 3 – Any other relevant information (optional)

33. NCBs must also provide any other information related to imputation procedures which they deem relevant.

Section 8 – Disclosure control and national dissemination

Part 1 – Disclosure control

34. NCBs must report to the ECB information describing the methods and procedures used for data anonymisation at national level prior to submitting the statistical information to the ECB.

Part 2 – Data dissemination

35. NCBs must provide information on the first national release of results (link, date and type of release).

Section 9 – Additional information from national evaluations

36. NCBs must provide additional information available from national evaluations (not covered by Sections 1 to 8). This may include documents/references to methodological documentation available (e.g. national quality reports, independent methodological studies, comparisons with external sources).