

Peru 2004: Original Survey Information

Summary table

Generic information	
Name of survey	National Household Survey (Encuesta Nacional de Hogares- ENAHO)
Institution responsible	National Institute of Statistics and Informatics (Instituto Nacional de Estadística e Informática - INEI)
Main objective	Generate indicators and conduct assessments of the living conditions of the population. Measure the coverage of social programs. Provide information to the public and private sector, as well as to academic researchers.
Survey structure	Cross-sectional with a panel component. Continuous collection of data.
Frequency	Yearly
Survey year / Wave	ENAHO – 2004
Coverage	Private dwellings and their inhabitants in urban and rural areas across the country.
Sampling	
Sampling design	Probabilistic, random, stratified, multi-staged and [de areas]
Sampling frame	1999-2000 pre-Census and the corresponding cartographic material.
Final sample size	20,084 dwellings in the integrated sample; 6,146 dwellings in the panel sample.
Collection	
Collection period	Continuous (January to December 2004)
Instruments and main contents	6 questionnaires. ENAHO01: Characteristics of dwellings, households and household members; household expenditures, social programs, citizen participation; interview with the household head or the spouse. ENAHO01A: Education, health, employment and income of household members; interview with individual informants. ENAHO01B: Opinion on governance, democracy and transparency; direct interview with the household head. ENAHO02: Income from agricultural production; interview to each farmer. ENAHO03: Community questionnaire, marginal urban and rural areas; interview with qualified respondent. ENAHO04: Income of self-employed workers.
Definitions	
Household	Group of persons, related by kinship or not, that habitually live and eat in the same dwelling, occupying it in part or in whole, and that care for vital needs together. Included in this group are those persons regarded as members of the household by the household head for reasons of affection.
Household head	
Data quality aspects	
Unit response rate	91.4% in the December 2004 sample.
Item non-response / imputation	First stage: Imputation of qualitative variables (Hot Deck technique) for household members that did not answer modules 300, 400 and 500. Second stage: Imputation of quantitative variables (Average Matrices technique [técnica de Matrices Promedio]).
Weighting	Basic sampling expansion factor and adjustment factors for non-response.
Labour market information	
Source	Interview
Reference period	Week prior to the interview date.
Definition of employment	Four criteria are used: A) Persons 14 years old upward who performed any economic activity during the reference period. B) Persons who hold a job but did not work the previous week due to vacation, strike, sickness leave, maternity leave, etc., all of them paid. C) Self-employed workers who were temporarily absent from work during the reference period, but the business continued to operate. D) Persons not meeting the previous conditions who worked for pay (either monetary or in kind) in any economic activity for at least one hour. The definition of employed includes those persons that worked at least 15 hours as unremunerated family workers, paid or unpaid interns, and police and military personnel.
Treatment of military personnel	Identifiable via occupation codes.
Income	
Source	Interview
Reference period	Ordinary labor income: previous day, week, fortnight or month; in-kind labor income; extraordinary income for dependent work and income from farm activity: last 12 months; income of self-employed or employer: last month or last 12 months; income from regular transfers: last 6 months; income from rents, social programs or other extraordinary income: last 12 months; pension system: day of the interview.
Unit of collection	Individual
Unit of time	Monetary or in-kind income of dependent worker: declaration of frequency and amount. Monetary or in-kind income of self-employed worker: previous month. Extraordinary income: last 12 months. Rents and regular transfers: declaration of frequency and amount.
Restrictions	None

Gross/net	Dependent workers declare total earnings, contributions to social security system, taxes (not specified), other deductions (judicial, loans from cooperatives, etc) and spendable income. The rest are net incomes.
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This document is based on the Technical Datasheet, Dictionary and Work Plan of the National Household Survey on Living Conditions and Poverty – ENAHO 2004.

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A. General Characteristics

Official name of the survey/data base:

National Household Survey on Living Conditions and Poverty (Encuesta Nacional de Hogares sobre Condiciones de Vida y Pobreza – ENAHO).

Administrative Unit responsible for the survey:

National Institute of Statistics and Informatics (Instituto Nacional de Estadística e Informática – INEI)

National Office of Censuses and Surveys

<http://www.inei.gob.pe>

The National Household Survey (ENAHO) is an on-going survey program launched in 1995 by the National Institute of Statistics and Informatics (INEI) via the National Office of Censuses and Surveys. Between 1997 and 2002, the INEI implemented the Program for Improvement of Surveys and Measurement of Living Conditions (Programa de Mejoramiento de Encuestas y de la Medición de las Condiciones de Vida - MECOVI), under the financial and technical auspices of the Inter-American Development Bank (IDB), the World Bank, and the Economic Commission for Latin America and the Caribbean (ECLAC), with the goal of strengthening and improving the household survey system.

The ENAHO is one of the main sources of information for the analysis of Peru's demographic, social and economic situation. For this reason, the employment and income modules of the survey are applied every quarter, as they are considered the pillars to explain changes in the living conditions of the population. To evaluate changes over time, the ENAHO has a panel component, carried out in the second and fourth quarters. With the objective of improving the quality of the information collected, since 2003 the sample of the last quarter of the year 2002 is divided into 12 sub-samples and each of them is

randomly assigned to every month of the year since May 2003. This procedure promotes data collection adequately distributed in time and space.

The main objectives of the ENAHO are:

- To generate annual indicators to allow study of the evolution of poverty, welfare and living conditions of (Peruvian) households.
- To conduct annual assessments of the population's living conditions and poverty levels.
- To measure the scope of social programs developed with the aim to improve the population's living standards.
- To provide information to the public and private sector, as well as to academic researchers.
- To allow comparability across similar investigations with respect to the variables investigated.

B. Population, sample size and sampling methods

Population coverage

Private dwellings and their inhabitants in urban and rural areas of the country. Excluded from the study are persons residing in collective dwellings such as hospitals, army barracks, police stations, hotels, asylums, monasteries, prisons, etc. Also excluded are members of the armed forces that reside in barracks, camps, ships, etc.

Sample size

In 2004, the annual sample selection reached 20,084 dwellings (11,909 in the urban area and 8,175 in the rural area). The panel sample was comprised of 6,146 dwellings. However, 23,419 dwellings (23,900 households) were registered from the field. Of them, 19,103 dwellings (19,502 households) were actually interviewed; 1,285 (1,367 households) refused to be interviewed or were absent; and 3,031 had sample design problems (abandoned dwellings or not private households).

In the urban area, 6 dwellings are selected per cluster, while in the rural area 8 dwellings are selected per cluster.

Sampling design

The sampling frame is based on statistical information from the 1999-2000 Pre-Census and the corresponding cartographic material.

Sampling is probabilistic, stratified, multi-staged and [\[de areas\]](#). In the urban area the sampling units are:

Primary Sampling Unit (PSU): Urban population center with 2.000 inhabitants or more.

Secondary Sampling Unit (SSU): Cluster with an average of 80 private dwellings.

Tertiary Sampling Unit (TSU): Private dwelling.

In the rural area, the sampling units are:

Primary Sampling Units (PSU) are of two kinds:

_Population center [centro poblado urbano] with more than 500 but less than 2000 inhabitants.

_Rural registration area [Área de Empadronamiento Rural (AER)] with an average of 100 private dwellings.

Secondary Sampling Units (SSU) are of two kinds:

_Cluster with an average of 80 private dwellings.

_Private dwelling

Tertiary Sampling Unit (TSU): private dwelling.

The total sample is randomly [sub]divided into 12 sub-samples, randomly assigning each sub-sample to each month.

C. Data collection and acquisition

Collection period

Continuous (January to December 2004)

Reference period

The reference period varies according to the type of information being collected:

Characteristics of Dwelling and Household:

- Date of the interview
- Past 15 days
- Past month
- Past 12 months

Characteristics of Household Members:

- Date of the interview
- Habitual residence: Past 30 days
- Employment status: Past 7 days

Education

- Date of the interview
- Past 30 days
- Current year (2005)
- Past 12 months

Health

- Date of the interview
- Past 4 weeks
- Past 3 months
- Past 12 months

- Past 36 months (3 years)

Employment

- Employment status: Past week (calendar week prior to the date of interview)
- Employed and unemployed: Past week
- Total number of hours
- Previous job of unemployed or not in the labor force: Last job performed
- Work experience: Past 24 months

Labor Income

- Ordinary: previous day, week, fortnight or month
- In-kind: Past 12 months
- Extraordinary for dependent work: Past 12 months
- Income from farm activity: Past 12 months
- Income of self-employed worker or employer: Previous month / Past 12 months

Other Incomes

- Incomes from regular transfers [transferencias corrientes]: Past 6 months
- Incomes from property rents: Past 12 months
- Other extraordinary incomes: Past 12 months
- Pension System: Date of the interview
- Social Programs: Past 12 months

Expenditures

- Past 15 days
- Previous month
- Past 3 months
- Past 12 months

Social Programs

- Past 3 months
- Past 12 months

Citizen Participation

- Date of the interview

Community Module for qualified informants

- Funding of social programs: Day of the interview
- Infrastructure of population center

Module on Opinion

- Governance: - Date of the interview / Past 12 months
- Democracy: - Date of the interview
- Household perception: - Date of the interview / Past year
- Living standard / Adverse situations: - Date of the interview / Past 12 months
- Education of the parents of the household head: - Date of the interview

Data collection

Data collection is carried out on a continuous basis. The collection instrument is the direct interview. Respondents are the household head, his/her spouse, bread-winners, persons 12 years old upward, and authorities or representatives of population center.

D. Definition of survey units

The units of analysis consist of:

_Household's family members [integrantes del hogar familiar]

_Live-in domestic workers (live within employer's household) [modalidad cama adentro], regardless of whether they are paid for their services or not

_Members of a family pension with a maximum of 9 pensioners

_Persons that are not household members but were present in the household during the last 30 days

Out of the scope of investigation are:

_Members of a family pension with 10 or more pensioners

_Live-out domestic workers [modalidad cama afuera]

Household

Group of persons, related by kinship or not, that habitually live and eat in the same dwelling, occupying it in part or in whole, and that care for vital needs together. Included in this group are those persons regarded as members of the household by the household head for reasons of affection (such as godchildren, compadres, godparents, etc.). By exception, a one-person living arrangement is also considered a household.

E. Contents

The ENAHO questionnaire consists of the following sections:

- Module on Housing
- Characteristics of household members
- Module on Education
- Module on Health
- Module on Employment
- Incomes of the Formal and Informal Sector
- Household Expenditures
- Module on Social Programs
- Module on Communities for qualified informants
- Module on Opinion: Governance, democracy and transparency

F. Quality of data

Response rate

According to the monitoring report of the sample for December 2004, the response rate was 91.4%, which implies that in 161 dwellings (8.6%) the household heads were not

interviewed because they rejected the interview or were absent, or because of the obsolescence of the sampling frame (vacant, transitional, destroyed dwellings, and other reasons).

The response rate of national interview from May to December exceeds 91%.

Editing and coding

Local supervisors, national supervisors and macro-region supervisors are in charge of the quality control of fieldwork.

Data entry and processing is done almost concurrently with the fieldwork, with the purpose of giving the interviewers immediate feedback on quality problems of data collected in the field. Each local departmental office [sede departamental] carries out the initial consistency checks of completed questionnaires with the assistance of a technical support system that allows decentralized work. Final consistency checks, and the consolidation and generation of aggregate variables are performed in the central office [sede central].

The information processing system is made up of the [cédulas] control system [sistema de control de cédulas] and the basic data processing system. The system generates a series of reports and indicators to be analyzed to improve the quality of data in the following periods.

Sampling errors of the estimations of the main variables investigated in the survey are calculated on a quarterly basis. The statistical software used for the calculation of variances is CENVAR (Sistema de Cálculo de Varianzas) (System of Variances Calculation).

Imputation

The process of imputation was conducted in 2 stages. In the first stage, qualitative characteristics were assigned to the household members that did not answer modules 300, 400 and 500, leaving the quantitative variables as missing values. In the second stage of the process, values were assigned to the quantitative variables recorded as missing values.

The *Hot Deck* technique was used for imputation of qualitative variables in modules 300, 400 and 500; and the Average Matrices technique [técnica de *Matrices Promedio*] was used for imputation of quantitative variables.

Weighting procedure

The final expansion factor for every observation [registro] has two components: the basic sampling factor and the adjustment factors for non-response.

The basic expansion factor for every household in the sample is determined by the sampling design, and it is equivalent to the inverse of final probability of selection, which in turn results from the product of the probabilities of selection in each sampling stage.

ENAH0's sampling design involves up to 3 sampling stages in which units are selected with probabilities proportional to size, except in the final stage. In the final stage of sampling, a number of dwellings is selected for each cluster considering a segment of selection [intervalo de selección].

Expansion factors adjusting for demographic variables were based on population estimates produced in 2001, as well as on the urban/rural and departmental structures of the 1993 Census.

The post-sampling adjustment for the correction of non-response bias uses the information of the 1999/2000 pre-census which provides key information from capital cities on some variables correlated with income. Based on that source, the primary sampling units were stratified in five socio-economic groups. The post-sampling adjustment consisted in correcting the expansion factors such that the distribution and size of the population corresponds to the socio-economic strata of the sampling frame.

With the integrated sample (panel and cross section) it is possible to work with a yearly inference level for the following geographic levels: National, national Urban, national Rural, each of the 24 departments; Urban Coast, Rural Coast, Urban Sierra, Rural Sierra, Urban Selva, Rural Selva, metropolitan Lima and Callao.

With the panel sample it is possible to work with a yearly inference level for the following geographic levels: National, national Urban, national Rural, Coast, Sierra and Selva.

G. Uses of the survey

Publications

- Encuesta Nacional de Hogares, 2004. Study Documentation, INEI 2007
- Perú: Características Socio Económicas de los Hogares 1971-72 – 2003-04, INEI 2007
- Perú: Perfil de la Pobreza según Departamentos, 2004-2006, INEI 2007
- Condiciones de vida en los Departamentos del Perú: 2003-2004, INEI 2005
- Condiciones de vida en el Perú: Evolución 1997-2004, INEI 2006
- Condiciones de Vida en el Perú: Evolución 1997-2001, INEI 2003
- Dimensiones de la Pobreza en el Perú, INEI 2002
- Condiciones de vida en los Departamentos del Perú, 2001, INEI 2003
- La Pobreza en el Perú en 2001: Una Visión Departamental, INEI 2002
- ¿Qué sabemos sobre el Desempleo en el Perú?, INEI 2002
- Perú: Características Socio económicas de los Hogares, 1971/72 – 2003/04, INEI 2007
- Patrimonio y las Condiciones de Vida en los Hogares del Perú, INEI 1997
- El Productor Agropecuario, Condiciones de Vida y Situación de Pobreza, INEI 1997
- Determinantes del Acceso a los Servicios de Salud en el Perú, INEI 2000

- Condiciones Socioeconómicas para el Acceso a los Servicios Educativos, INEI
- Características y Factores Determinantes de la Pobreza en el Perú, INEI 2000
- Impacto de los Servicios Públicos de Salud sobre la Productividad y Pobreza, INEI
- Crecimiento Económico y Pobreza en Lima Metropolitana y el resto del País, INEI 2000
- Análisis Comparativo de los Niveles de Vida en el Período 1993-1998, INEI 2000
- Condiciones de Vida y Pobreza en el Perú 1997-1998, INEI 2000
- El Gasto de los Hogares en Salud, INEI 2000
- La Educación y la Circularidad de la Pobreza, INEI 2000
- Salud Reproductiva, Pobreza y Condiciones de Vida en el Perú, INEI 1999
- Perú: Mortalidad Infantil, Pobreza y Condiciones de Vida, INEI 1999
- Factores que Determinan el Ingreso de los Hogares en el Perú, INEI 2000
- Dinámica del Desempleo, INEI 2000
- Determinantes del Ingreso de los Jóvenes que Trabajan, INEI 2000
- Determinantes del Empleo en las Micro y Pequeñas Empresas: 1995-1998, INEI 2000
- Sectores de Trabajo, Productividad y Dinámica Ocupacional, INEI 2000
- Impacto de los Programas de Apoyo Social: 1997-1998, INEI 2000
- Impacto de los Programas de Apoyo Alimentario en las Condiciones de Vida, INEI 2000

Poverty and Income Distribution

Evolution of poverty incidence, by geographic area, 2001-2004 (% with respect to the total population in specific year and geographic area)

Ambito geográfico	2001	2002	2003	2004
	Oct-Dic a/	Oct-Dic a/	May-Dic b/	May-Dic b/
Total país	54.3	53.8	52.2	51.6
Lima Metropolitana 1/	31.8	34.2	33.7	36.6
Resto del país (s/área Metropolitana)	63.3	61.8	59.6	57.7
Área de residencia				
Urbana (c/Lima Metropolitana)	42.0	41.0	39.5	40.3
Urbana (s/Lima Metropolitana)	50.0	46.4	44.1	43.3
Rural	77.1	77.7	75.7	72.5
Región natural				
Costa (c/Lima Metropolitana)	39.0	39.8	37.8	38.4
Costa (s/Lima Metropolitana)	48.1	47.0	43.0	40.8
Sierra	70.6	70.0	68.6	67.7
Selva	69.8	64.9	64.1	59.5

1/ Incluye Provincia de Lima y la Provincia Constitucional del Callao

Fuente: INEI - a/ ENAHO - IV trimestre: 2001 y 2002

b/ ENAHO - Anual: 2003

Evolution of incidence of extreme poverty, by geographic area, 2001-2004 (% with respect to the total population in specific year and geographic area)

Ambito geográfico	2001	2002	2003	2004
	Oct-Dic a/	Oct-Dic a/	May-Dic b/	May-Dic b/
Total país	24.1	24.2	21.9	19.2
Lima Metropolitana 1/	2.0	2.8	2.6	3.4
Resto del país (s/área Metropolitana)	32.9	32.8	29.6	25.6
Área de residencia				
Urbana (c/Lima Metropolitana)	10.2	9.4	8.9	7.9
Urbana (s/Lima Metropolitana)	16.7	14.6	13.9	11.5
Rural	49.8	51.7	45.9	40.3
Región natural				
Costa (c/Lima Metropolitana)	6.0	7.3	6.1	5.5
Costa (s/Lima Metropolitana)	11.1	13.0	10.4	8.1
Sierra	43.2	43.9	40.8	36.5
Selva	42.7	37.0	32.3	26.4

1/ Incluye Provincia de Lima y la Provincia Constitucional del Callao

Fuente: INEI - a/ ENAHO - IV trimestre: 2001 y 2002

b/ ENAHO - Anual: 2003

Source: Living Standards in Peru: Evolution 1997-2004