

Guatemala 2006: Original Survey Information

Summary Table

| Generic information | |
|----------------------------------|---|
| Name of survey | National Survey of Living Conditions (Encuesta Nacional de Condiciones de Vida – ENCOVI) 2006 |
| Institution responsible | National Institute for Statistics (Instituto Nacional de Estadística – INE), Directorate of Censuses and Surveys |
| Main objective | To know and assess the living conditions of the population. To determine Guatemala's poverty levels and their determinants. To assess the evolution of a number of social indicators. |
| Survey structure | Cross-sectional |
| Frequency | No regular frequency. The survey was carried out once before in 2000. |
| Survey year / Wave | ENCOVI 2006 |
| Coverage | All persons residing in those households classified as private. |
| Sampling | |
| Sampling design | Two-staged, probabilistic, stratified and of conglomerates. |
| Sampling frame | Population and Housing Census of 2002, which was cartographically updated in 2005. |
| Final sample size | 13,686 households and 68,739 individuals. |
| Collection | |
| Collection period | Between March and September 2006. |
| Instruments and main contents | <p>ENCOVI uses 35 questionnaires that covers the following themes/ topics:</p> <p>Housing: Size, quality and stability of the dwelling, levels of overcrowding. Access, use, quality and cost of basic services; forms and security of tenure; maintenance costs and reforms. Community involvement and recreation.</p> <p>Social participation: Existing levels of social capital in the community; levels of participation in development programs and activities.</p> <p>Citizenship participation and adverse situations: Identification documents and citizen participation as well as adverse situations faced by the household.</p> <p>Participation and benefits in programs of social assistance: Participation of household members in welfare programs, and the benefits received.</p> <p>Demographic structure and migration: Structure, composition and size of households and family associated. Educational attainment and occupations of parents not residing in the household.</p> <p>Residential and labor migrations.</p> <p>Health: Child care, breastfeeding, food subsidies, immunization levels, presence of respiratory diseases and diarrhea. Health status of the population; demand, access, quality and barriers to health services and medical care (prevention and treatment); types of services; expenditures by disease; accidents and treatments; health insurance.</p> <p>Education: Demand for education services, subsidies, annual and monthly tuition expenses, transportation, books, materials, etc. Coverage and years of schooling; quality of education, internal efficiency; school attendance. Job training.</p> <p>Use of free time: Time dedicated to productive and non-productive activities, to housework and home maintenance, to education and recreation, etc.</p> <p>Labor market and labor income: Economic activities of the population; participation and characteristics of the labor market; employment and unemployment; formal and informal sector; income levels and sources; transfers, remittances, pensions, and monetary or in-kind aid. The labor market and the most vulnerable groups.</p> <p>Fertility and maternal health: Live births and surviving children. Pre-natal care (check-ups) and childbirth care. Pregnancy and childbirth expenses.</p> <p>Consumption expenditures, other income and household assets: Expenditures on food, beverages, household goods and services. Production for own consumption, and goods obtained as gifts, donations or by barter. Inventory of household assets. Bank savings, loans, purchases on credit, and non-labor income.</p> <p>Household appliances: Availability of kitchen appliances; personal and recreational items, etc.</p> <p>Household businesses: Characteristics of household businesses.</p> <p>Agricultural and forestry activities: Area sown and harvested; inputs used in crop production. Livestock and forestry activities.</p> <p>Bank savings, loans and purchases on credit: Loans requested and granted; purchase on credit and bank savings.</p> |
| Definitions | |
| Household | Person or groups of persons, related by kinship or not, who live together under one roof to provide and meet their food/nutritional needs. Domestic servants who are habitual residents of the dwelling (and their families who eat and sleep with them in the same dwelling) as well as pensioners, are considered members of the household. |
| Household head | Habitual resident of the dwelling, recognized as such by the other members of the household. |
| Data quality aspects | |
| Unit response rate | 80.10% |
| Item non-response / imputation | Not performed. |
| Weighting | The expansion factor is the basic sampling weight, estimated at the household level. The levels of desegregation for the expanded results are: national, national urban, national rural, regions and departments. |
| Labour market information | |
| Source | Interview |
| Reference period | Last week (week preceding the date of interview), last month, last 12 months and last 4 weeks. The reference period is clearly established on each question. |
| Definition of employment | Persons 10 years and older who reported having worked for at least 1 hour during the reference week of the survey (worked or conducted any economic activity). |
| Treatment of military personnel | Military personnel are not specifically identified. |
| Income | |
| Source | Interview |
| Reference period | Last month, last 12 months and last 4 weeks (reference period is clearly established on each question). |

| | |
|--------------------|--|
| Unit of collection | Individual |
| Unit of time | Salaries and commissions are reported on a monthly basis. Bonds, bonuses and payments in kind are reported for last 12-month period. |
| Restrictions | No explicit restrictions. |
| Gross/net | The gross income is reported. Figures from direct taxes and contributions to the Guatemalan Social Institute, reported by the patient, is presented separately |

This document is based on the Interviewer's Manual of Technical Procedures to the National Survey of Living Conditions (*Encuesta Nacional de Condiciones de Vida – ENCOVI 2006*), National Institute for Statistics (INE).

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A. General Characteristics

Official name of the survey/data base:

National Survey of Living Conditions (Encuesta Nacional de Condiciones de Vida – ENCOVI) 2006.

Administrative [entity?] responsible for the survey:

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| National Institute for Statistics (Instituto Nacional de Estadística – INE) Directorate of Censuses and Surveys http://www.ine.gob.gt |
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The ENCOVI-2006 is the second *National Survey of Living Conditions* that INE administers. This survey was designed with the purpose of knowing the changes in poverty levels and the determinants that influence these changes with respect to the results of the ENCOVI-2000, which was the first such survey of such characteristics conducted in Guatemala.

The objectives of the ENCOVI are:

- To know and assess the living conditions of the population and the factors that determine those conditions at the national and departmental level.
- To provide information to design strategies for poverty reduction, social programs, and the modernization and decentralization of the State.

- To generate information for the improvement of the mechanisms of targeting public expenditures, and the national budget and investments.

B. Population, sample size and sampling methods

Population coverage

All persons that at the time of the survey were residents in those households classified as private.

Sample size

The initial size of the sample was 16,775 dwellings (some dwellings contain more than one household). The final sample consists of 13,686 households and 68,739 individuals.

Sample design

The sampling frame for the master sample was developed based on data from the Population and Housing Census of 2002, which was cartographically updated in 2005. The coverage of the survey is national and covers the political-administrative division of the country. The following are the main features of the sample design:

1. Two-staged
2. The primary sampling units (PSUs) are the cartographic areas or clusters of dwellings (with probabilities proportional to size in the first stage)
3. The secondary sampling units are compact segments of 6 dwellings each (2 were selected per sector)
4. Stratified, with systematic selection, without replacement
5. The inferential or estimation process is valid only for the study domains and their integrations [integraciones].
6. The inferential validity of the estimates is guaranteed with a confidence level of 95% and a relative accuracy between 10 and 12%

C. Data collection

Collection period

Data were collected between March and September 2006.

Reference period

The reference period varies according to the section of the survey to be considered:

Socio-demographic characteristics: For the physical characteristics of dwellings and households, and type of services, the reference period is the *day of the interview*. For the

[disposición] and spending on services, the reference period is the *past month* or the *last month* a payment was made. For Section C “Housing Improvements” and section F “Grants”, the reference period is the *last twelve months*. For section "G" the reference period is the period between hurricane Stan (October 2005) and the day of the interview.

Welfare programs: For participation and benefits in social assistance programs, the reference period is the *last 12 months* household residents may have received benefits.

Education: The reference period for most of the questions is the *current school year*, which is defined as the period of time spent in school activities between January to December and includes the mid-year break. For the educational level achieved, the reference period is the day of the interview; that is, the maximum level achieved by members of the household at the time the interview takes place in that household.

For questions regarding expenditures on education, two reference periods are used:

- a) Annual spending at the beginning of the school year, and
- b) Monthly spending

Employment, activity status, and income: Depending on the question, the reference periods are: last week (week preceding the date of interview), last month, last 12 months and last 4 weeks.

Other income: For section A "Non-labor Income", the reference period is the last 3 months. Example: If the survey is conducted on November 20, the past three months would be August, September and October. For Section B “Incomes other than those declared”, the reference period is the last 12 months to the day of the interview.

Expenditures and Production for Own Consumption: For questions P3, P4, P7 and P8 of Section A “Expenditures and consumption of food, beverages and tobacco”, the reference period is the last 12 months. For questions P5 and P9, the calendar month is used, while for questions P6 and P10 the reference period is the past 15 days from the day prior to the interview. For Section B "Expenditures on transportation, communication, food away from home, household goods and personal care”, the reference periods used are *last week*, *last month*, and *last 12 months*.

Household appliances: The reference period is day of the interview.

Agricultural/Farm activities: The reference period is the past 12 months preceding the date of the survey.

Data collection

Given the amount of information to gather on the ENCOVI, data collection was carried out in two rounds, each addressing different sections of the survey. In the first round, information about all household members was collected. In the second round, the questions referred to expenditures, businesses, assets and agricultural production. An [interval] was

set between rounds to allow households to prepare detailed information about their consumption expenditures.

The ENCOVI uses several instruments to collect information:

- (1) Household Questionnaire – Main collection instrument. It includes variables referred to the dwelling the household is settled in, to households as social groups, and to all the members of the household. This questionnaire is comprised of 17 sections with questions about individuals; household expenditures, appliances and businesses; and agricultural production units (APU).
- (2) Prices Questionnaire – It collects 2 price quotations for food and beverages, and 2 price quotations for toiletry and cleaning products.
- (3) Equivalences Questionnaire – It registers amounts and presentations of the products that comprise the food basket, and their equivalences with respect to reference units.
- (4) FC-01 – Route of the interviewer.

D. Definition of the survey units

Household

Person or groups of persons, related by kinship or not, who live together under one roof to provide and meet their food/nutritional needs. Domestic servants who are habitual residents of the dwelling (and their families who eat and sleep with them in the same dwelling) as well as pensioners, are considered members of the household.

Household head

Habitual resident of the dwelling, recognized as head by the other members of the household, either because of the nature of his/her responsibilities; his/her decision-making role in the household; prestige; family relationship or kinship; or economic, social or cultural reasons.

E. Contents

The ENCOVI covers the following topics:

- **Housing:** Size, quality and stability of the dwelling, levels of overcrowding. Access, use, quality and cost of basic services; forms and security of tenure; maintenance costs and reforms. Community involvement and recreation.
- **Social participation:** Existing levels of social capital in the community; levels of participation in development programs and activities.

- **Citizenship participation and adverse situations:** Identification documents and citizen participation as well as adverse situations faced by the household.
- **Participation and benefits in programs of social assistance:** Participation of household members in welfare programs, and the benefits received.
- **Demographic structure and migration:** Structure, composition and size of households and family associated. Educational attainment and occupations of parents not residing in the household.
- **Residential and labor migrations.**
- **Health:** Child care, breastfeeding, food subsidies, immunization levels, presence of respiratory diseases and diarrhea. Health status of the population; demand, access, quality and barriers to health services and medical care (prevention and treatment); types of services; expenditures by disease; accidents and treatments; health insurance.
- **Education:** Demand for education services, subsidies, annual and monthly tuition expenses, transportation, books, materials, etc. Coverage, years of schooling; quality of education, internal efficiency; school attendance. Job training.
- **Use of free time:** Time dedicated to productive and non-productive activities, to housework and home maintenance, to education and recreation, etc.
- **Labor market and labor income:** Economic activities of the population; participation and characteristics of the labor market; employment and unemployment; formal and informal sector; income levels and sources; transfers, remittances, pensions, and monetary or in-kind aid. The labor market and the most vulnerable groups.
- **Fertility and maternal health:** Live births and surviving children. Pre-natal care (check-ups) and childbirth care. Pregnancy and childbirth expenses.
- **Consumption expenditures, other income and household assets:** Expenditures on food, beverages, household goods and services. Production for own consumption, and goods obtained as gifts, donations or by barter. Inventory of household assets. Bank savings, loans, purchases on credit, and non-labor income.
- **Household appliances:** Availability of kitchen appliances; personal and recreational items, etc.
- **Household businesses:** Characteristics of household businesses.
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F. Quality of the data

Unit response rate

Interviews were completed successfully for 80.1% of households in the initial sample. A 1.6% of the 19.9% of unsuccessful interviews was due to lack of response (temporary absence, refusal to respond, incomplete interviews). The remaining 18.3% was due to problems of the sampling frame (empty dwellings, temporary-occupancy dwellings, dwellings in construction, etc.).

Data processing and coding

Rigorous systems for supervision, tracking and monitoring were implemented at every level and stage of the collection process to ensure proper application of the methodology, standards and procedures of the survey, and to ensure the production of information with high quality standards.

The collection of the survey was assisted by laptops for quick entry of data from the questionnaires and to ensure internal consistency via verification of erroneous data in situ. This feature enabled the production of a list of errors that was used to revisit households and correct missing or inconsistent information.

The consistency and validity of the information collected was supervised by analysts and survey planners during visits to the field along the data collection period. They verified the survey was conducted following the approved methodology. There were also technical audits to each work team during fieldwork.

Finally, the process of analysis of internal consistency and validation of results was carried out, with data from previous surveys, macroeconomic data, international studies and administrative records. In this context, the quality of information was assessed from the statistical point of view, checking that the magnitude of absolute and relative errors was within an acceptable range, which was defined at the time of establishing the research objectives and other parameters indicated.

Item non-response imputation

Not performed.

Expansion Factors

The expansion factor is the basic sampling weight, estimated at the household level, and with the role of expanding the sample into the total population. The levels of disaggregation for the expanded results are: national, national urban, national rural, regions and departments.

G. Uses of the survey

Publications

-Poverty Assessment, World Bank (in progress)

Poverty and Distribution of Income

According to the results presented by INE, there has been a reduction in the levels of total and extreme poverty between 2000 and 2006. The Gini coefficient, calculated with measures of consumption, dropped from 48 in 2000 to 45 in 2006.

| Indicators | Survey Year | |
|------------------|-------------|------|
| | 2000 | 2006 |
| Total Poverty | 56 | 51 |
| Extreme Poverty | 15.7 | 15.2 |
| Gini Coefficient | 48 | 45 |

Source: INE 2007