Mixed surveys of household and enterprises
Mixed surveys
Introduction

Are conducted in 2 phases:

First phase
A sample of PSUs is selected
Information is obtained from all or a sample of households about economic activities of their members
(Potential) informal sector entrepreneurs are identified -> sample frame for second phase

Second phase
All or a sample of (potential) informal sector entrepreneurs are questioned about their informal sector unit (informal sector survey)

Underlying principle
It is easier to identify informal sector units through their entrepreneurs than through their place where they occur
Because so many are household-based and itinerant
Mixed surveys

Two broad types

Mixed modular surveys

Use an existing household survey in the first phase (base survey)
Sample may or may not be selected considering informality as a critical variable
Second phase survey (to informal entrepreneurs) may be carried simultaneously with first phase survey

Mixed independent surveys

Listing operation in the first phase
Sample is selected considering informality
Mixed modular surveys

Requirements

Existence of suitable “base” survey
- Has to have a labour force component
  - Labour force survey – best choice
  - Multi-purpose survey
  - Household income & expenditure survey

Informality should be a major objective in the sample design

Feasibility of attaching an informal sector module
- With relevant questions to identify informal sector entrepreneurs
  - Bookkeeping, registration, size, payment of taxes, ...
- Use broad criteria to identify “potential” informal entrepreneurs
  - Because there is proxy response, it is better to identify more persons that can be filtered later with the informal sector survey

Consider response burden
### Mixed independent surveys

**Sample design: listing of PSUs (Brasil)**

<table>
<thead>
<tr>
<th>IBGE</th>
<th>Municipal</th>
<th>District</th>
<th>Sub-district</th>
<th>Sector</th>
<th>Control</th>
</tr>
</thead>
<tbody>
<tr>
<td>Urban informal economy</td>
<td>Listing registry page</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Identification of units

<table>
<thead>
<tr>
<th>Line number</th>
<th>Name of place</th>
<th>Number of place</th>
<th>Identification or description of the unit</th>
<th>Type</th>
<th>Name of reference person</th>
<th>Order number</th>
<th>Name of residents who worked last month</th>
<th>In any of their jobs was ...</th>
<th>Activities carried out</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
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<td>01</td>
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<td>02</td>
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<tr>
<td>03</td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Type

<table>
<thead>
<tr>
<th>1 - Individual occupied column</th>
<th>2 - Individual closed</th>
<th>3 - Individual occasional use</th>
<th>4 - Individual unoccupied</th>
<th>5 - Collective</th>
<th>6 - Non-residential</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status column 9</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Activity (columns 10-12)**

<table>
<thead>
<tr>
<th>0 - Agriculture</th>
<th>1 - Mining</th>
<th>2 - Civil construction</th>
<th>3 - Trade and repair</th>
<th>4 - Accommodation and food</th>
<th>5 - Transport, storing and communications</th>
<th>6 - Real estate, rent and services to business</th>
<th>7 - Education, health and social services</th>
<th>8 - Other collective, social and personal services</th>
<th>9 - Other activities</th>
</tr>
</thead>
</table>

Thomas James

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<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
</tr>
</thead>
<tbody>
<tr>
<td>162</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Mixed independent surveys
Sample design: selection of households of informal entrepreneurs

Using uniform rates

Selection is straightforward
Simplifies this stage, given that survey operations are so complex

Aim at fixed sample sizes
To increase control of survey operations
Variations in sample sizes and workloads with a self-weighted sample design may be more serious problem in mixed surveys because data collection is more complex

Sometimes additional stratification is needed
By kind of activity, sex of entrepreneur, type of workplace, type of enterprise
But should be avoided in order to not over complicate operations

Never depart from probability sample!!
Mixed survey
Dual frames: sample design

First survey phase

Base household survey
(e.g., labour force survey, income and expenditure survey, etc.)

or

Listing of all household and household members (within PSUs)

Listing of all visible economic units
(within same or different PSUs)

Fixed premises outside of entrepreneur's dwelling

Second survey phase

Sample frame of entrepreneurs
List of household-based and mobile informal sector entrepreneurs
based on listing of households in PSUs or base household survey

Sample frame of visible economic units
List of visible economic units that belong to the informal sector, based on listing operation within PSUs

Sample design
Selection of a sample of household-based and mobile informal sector entrepreneurs within PSUs

Sample design
Selection of a sample of visible informal sector units in PSUs (separate sample design)

First and second survey phase are consecutive survey operations
## Mixed surveys compared to establishment surveys

<table>
<thead>
<tr>
<th>Establishment survey</th>
<th>Mixed survey</th>
</tr>
</thead>
<tbody>
<tr>
<td>First phase: listing operation of buildings: businesses or dwellings where economic activities are carried out</td>
<td>First phase: household survey or listing operation of dwellings and persons</td>
</tr>
<tr>
<td>First phase: identifies potential informal sector economic units</td>
<td>First phase: identifies potential informal sector entrepreneurs</td>
</tr>
<tr>
<td>Informal sector units are located within selected PSUs; their owners may reside outside</td>
<td>Informal sector entrepreneurs reside within selected PSUs; their economic units may be outside</td>
</tr>
<tr>
<td>Generally target economic units not included in list-based frames</td>
<td>May target all small/unregistered economic units, or only the informal sector</td>
</tr>
<tr>
<td>Establishment surveys use only one frame</td>
<td>Mixed surveys with dual frames use two sample frames</td>
</tr>
</tbody>
</table>