
Chapter 5

Data processing

This chapter outlines English Housing Survey (EHS) data processing procedures and gives details of the main derived variables and data outputs.

Overview

- 5.1 The EHS has a number of quality assurance measures in place which take place throughout the annual survey process, beginning at the point of data collection, both through the CAPI system and through surveyors validating their forms using the online system developed by BRE (details below). As the data are collated, processed and modelled, additional validation procedures are undertaken.

Editing

Interview data

- 5.2 The CAPI has numerous checks built into the program to identify obvious discrepancies so that they can be resolved by the interviewer during the interview. The discrepancies are resolved by either correcting a data entry error or by clarifying a response directly with the respondent. The CAPI checks include:
- Range checks – e.g. if an unusually high/low weekly rent is entered
 - Conflicting answers to different questions – e.g. if the number of years living in the current accommodation is greater than the respondent's age.
- 5.3 There are two types of checks:
- Hard checks – where the interviewer cannot continue with the interview until they have changed the data entered in some way to remove the inconsistency. Hard checks are used when the inconsistency is impossible as with the example of the number of years living in current accommodation being greater than the respondent's age.
 - Soft checks (signals) – where the interviewer is told about the error but they can ignore it and move on to the next question. Soft checks are used when an answer is unlikely but not impossible, e.g. if a respondent says

they have more than 5 bathrooms. These checks are used to get the interviewer to confirm that the answer is correct and is not a data entry error, checking the answer with the respondent if appropriate.

Physical survey data

- 5.4 For the physical survey, a system of data validation was introduced as part of the move to using digital pens. The process is subject to continuous development and operates as a three-stage process.
- 5.5 Firstly, a large number of checks are built into the EHS surveyors' website as surveys are uploaded. These include:
- range checks – where the entered answer fell outside a valid range of responses
 - logic checks – where a combination of responses to certain questions were not logically consistent (e.g. to check that the sum of 'tenths of area' across rows added up to ten)
 - consistency checks – to determine whether linked responses in different parts of the form were consistent with each other (e.g. that detailed room data was only entered where a room had been coded as existing), and
 - plausibility checks – to determine whether a response was reasonable given that there was not a well-defined range of possible answers (e.g. ceiling height of a room entered as 24 metres instead of 2.4 metres)
- 5.6 Surveyors also visually check all pages to ensure that the digital pen entries mirror those on the paper form i.e. that handwritten numbers have not been misinterpreted by the software.
- 5.7 Secondly, the CADS Housing Surveys Regional Managers check the data and where necessary discuss with surveyors to agree on a final set of responses.
- 5.8 Once all EHS physical surveys have been submitted by the surveyors for the survey year, BRE undertakes a number of consistency and plausibility checks on the raw physical survey data. The purpose of these checks is to firstly detect and eliminate certain logical inconsistencies that would cause problems for modelling and secondly to identify highly implausible answers, which if deemed necessary after investigation, are corrected. In some cases the raw EHS physical survey data is altered following these consistency and plausibility checks as outlined below.
- **Levels checks** – data may be inconsistent with regard to the number of storeys in the building, and the floor occupied by the dwelling. The BRE checks test for the following possible errors:

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- A room on a level that does not exist (e.g. 3rd floor of a three storey module)
 - A room on a level that is not part of the flat (e.g. room on the 3rd floor but flat on the 2nd floor)
 - A measured level that is not part of the module (e.g. dimensions for 3rd floor when the dwelling only has three storeys)
 - A flat on a level that does not exist (e.g. flat on the 3rd floor when the module only has three storeys).
 - Cross checks for presence of a habitable attic/basement and number of floors.
- **Plausible dimensions** – checks are carried out on the dimensions, to identify any floor area that seems too large or too small. Where a reliable measurement is missing, BRE will attempt to work out the data from any measurements thought to be correct, or failing this by estimating the dimensions as best as possible from the photographs.
 - **Non permissible values** – on rare occasions a dimension may happen to be equal to a value that is reserved for special purposes. The numbers 77, 88 and 99 are reserved to indicate the section not applicable, question not applicable, or unknown. When these figures occur as real measurements, they are reduced by one.
 - **Incorrect number of flats** – the dimensions of the surveyed flat are checked against the total floor area of the survey module to identify if the number of flats per module seems realistic.
 - **Incorrect roof type** – certain roof types (chalet and mansard) can only occur where the dwelling has an attic. On occasions surveyors may mistake steep pitched roofs for chalet roofs. In this situation, the data for pitched and chalet roofs is swapped over.
 - **Implausible wall areas** – where a dwelling seems to have a wall area that is too high or too low the data is checked. The surveyor's judgement is deemed correct unless there is clear evidence (e.g. from photographic evidence) to amend the data.

Comparison edits

5.9 A further important quality check involves comparing interview survey data with the corresponding physical survey data for each case. Possible discrepancies between the two parts of the survey are flagged, investigated and recoded as applicable. This information is used to check:

- that the correct sampled dwelling was visited at both the interview survey and the physical survey, and

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- any inconsistencies in key variables (e.g. tenure, property type) between the two different parts of the survey. Where possible other information within the survey (e.g. other variables, interviewer's and surveyor's comments, photo of the property) is checked to help decide what information is correct.

Houses in Multiple Occupation (HMO) Edits

- 5.10 The identification of HMOs is critical in order to help ensure the accuracy of the weighting for the sample dwelling. A procedure exists to enable the monitoring, reconciliation and validation of cases which have been flagged as HMOs by NatCen Social Research interviewers and/or CADS Housing Surveys surveyors.
- 5.11 Cases are flagged as HMOs depending upon responses to certain key questions in the household questionnaire. Interviewers are trained in applying the EHS household definition and assessing the type of occupancy in complex situations, particularly in making the distinction between a group of sharers forming one household and separate households sharing facilities. Where necessary, reference is made to a check list of supplementary questions on the HMO Rules Card issued to interviewers (Annex 5.1) to determine whether an address should be classified as an HMO.
- 5.12 Where the responses to the interview questions lead to the dwelling being flagged as an HMO, and the dwelling is eligible for a physical survey, the CADS Housing Surveys Regional Manager is notified. The Regional Manager will contact the interviewer to discuss the layout and occupation of the premises. The purpose of this contact is twofold:
- To confirm, as far as possible, that the address is an HMO for EHS purposes
 - To determine whether the case is one that should be visited by the regional manager personally, as a complex HMO, or whether it should be allocated to a surveyor.
- 5.13 There will be occasions when a physical surveyor considers that a referred address appears to be an HMO despite not being flagged as such by the NatCen interviewer. In such cases, the surveyor will treat the case as an HMO, and a reconciliation process is applied to the interview and physical data during the final data validation stage.
- 5.14 CADS Housing Surveys Regional Managers compile and maintain a database of all cases they know to be HMOs. These cases are reviewed by NatCen and BRE for data validation as part of the comparison edits process.
- 5.15 A record of all address changes are recorded by interviewers and/or Regional Managers for HMO cases as part of a comprehensive system for recording

address changes for all issued cases. This feeds into the address file supplied to DCLG at the end of fieldwork.

Coding

- 5.16 After the interview, the data is coded and edited by trained coders and editors at NatCen Social Research. An edit program is utilised, which includes coding of open answers and back-coding of responses as appropriate.
- 5.17 For example, interview respondents are asked how they pay for their electricity at HmpyElec2, and the respondent is shown eight possible answers (e.g. direct debit) on a card. If their payment method is not on the list the interviewer will code 'other' and is asked to enter the details of the payment method at a follow up question (Hmelothr). After the interview, the coder will look at the details given at Hmelothr and check it against the eight answer codes to see whether it could be classified as one of these payment methods and if it can they will change the answer as appropriate.
- 5.18 Job details are also coded to the Standard Occupation Classification (SOC) and Standard Industry Coding (SIC).
- 5.19 Error reports are referred back to the original questionnaire documents by experienced editors and individual corrections are specified until reruns of the edit program confirm that the data are clean. Coders record queries in a standardised way and these are examined by the supervision team on completion of each batch of work.
- 5.20 After the coding and editing stage further internal consistency checks on the data are carried out by a data manager and the data is corrected where appropriate.

Derived variables

- 5.21 A full list of derived and geo-demographic variables can be found in Annex 5.2. Further details on the derivation of these variables are available in the EHS Data Dictionary, publicly available on the UK Data Archive (<http://ukdataservice.ac.uk/>).
- 5.22 Some geo-demographic variables (local authority and postcode) are not included in the publicly available dataset (details below). Approved researchers can make an application to the Secure Data Service to access these variables for legitimate research purposes.

5.23 The following geo-demographic variables were added to the data:

- gorEHCS – Government office region (ordered according to the previous English House Condition Survey)
- GorEHS – Government office region (EHS order)
- region3x – overall region of England
- rumorph – rurality (morphology COA1)
- rucontxt – rurality (context COA)
- rucombin – rurality (combined COA)
- lmd1010 – IMD 2011 decile ranking of areas (lower layer SOA²)

Modelling

5.24 The derivation of some of the derived variables involves complex modelling. A detailed description of how the more complex derived variables are defined and modelled is covered in Annexes to this chapter:

- Annex 5.3: Accessibility indicators
- Annex 5.4: Household indicators
- Annex 5.5: Housing and neighbourhood conditions
- Annex 5.6: Energy efficiency

Space

5.25 **Floor area** – The EHS also models total useable floor area at the dwelling (see variable ‘floorx’ in the Data Dictionary for further modelling details). It is important to recognise that there is no standard definition on useable floor area, with some different methodologies to the EHS in existence. A more extensive review of technical documentation for this modelling will be undertaken for next year’s report.

5.26 **Bedroom size** – For those homes where a separate bedroom did not exist, bedroom dimensions were taken from the living room where its function is recorded as a living room, dining room or bedsit. For the 13 cases with no separate bedroom and living room function was coded as not applicable, bedroom size is coded as not applicable. A further 21 cases are coded as unknown as, although a separate bedroom exists, it was not inspected and

¹ Census output areas, see <http://www.ons.gov.uk/ons/guide-method/geography/beginner-s-guide/census/output-area--oas-/index.html>

² Super output areas, see <http://www.ons.gov.uk/ons/guide-method/geography/beginner-s-guide/census/output-area--oas-/index.html>

hence dimensions not recorded. Extreme values were observed but not amended as it was not possible to determine if these values legitimate without extensive analysis. Banded area was not based on percentiles as cut-off values were too close and instead more sensible cut-offs were used.

Imputation

- 5.27 As part of the modelling processes, it is sometimes necessary for any missing data that may exist to be substituted with imputed values. The imputation of missing data is more prevalent with the interview survey data than the physical survey data. This is because the interview survey data is based on information provided by the householder and the householder can choose to refuse questions (no answer) or they may not know the answer to particular questions (do not know) leading to missing values. The physical survey data is based upon a physical inspection of the property and there are limited sections of the physical survey form where the trained surveyor can select unknown (missing) as an option, the most notable is the loft inspection, where surveyors cannot always obtain access.
- 5.28 Imputation of data also takes place in the modelling of derived variables where a value provided in the raw data falls outside of consistency/plausibility checks. Such values are interrogated and only changed when it is almost certain that the data are incorrect. See Annexes 5.3, 5.4, 5.5, and 5.6 for further details.
- 5.29 Examples of imputation that occurred in the modelling of EHS 2012 derived variables are as follows (figures are based upon weighted data):
- In the modelling of the EHS 2012 complex interview survey derived variables 43% of the full sample had some form of income imputation (the highest imputation rate amongst all of the derived variables due to the sensitive nature of the questions), 14% of renters had imputed weekly rents and 19% of households with a mortgage had their weekly mortgage payments imputed. These imputations were due to a combination of missing raw data and values which are implausible.
 - In the modelling of the EHS 2012 dimensions of the property e.g. derivation of floor area, external wall area etc. a total of 83 cases in the paired single year had some form of alteration to the raw physical survey data following consistency and plausibility checks on the raw physical survey data.
 - In the derivation of loft insulation (which also feeds into SAP09 energy modelling and the modelling of Decent Homes), for the EHS 2012 single year paired sample, 9% of dwellings with a loft were imputed a value for loft insulation due to either the property having a flat roof or no access to

the loft space was possible during the physical inspection of the property. This is the largest imputation rate in the derivation of the energy efficiency rating.

5.30 Treatment of any missing cases from the raw physical and interview data analysed for EHS reports are detailed in the annual reports where appropriate.

Data outputs

5.31 The following SPSS datasets are produced annually, Table 5.1.

Table 5.1 List of annual datasets

Physical datasets	Interview datasets	Detailed datasets	Derived datasets (paired sample)	Derived datasets (full household sample)
Amenity.sav	Attitudes.sav	Actual costs.sav	general.sav	generalfs.sav
Around.sav	Contact.sav	Dimensions.sav	physical.sav	interviewfs.sav
Chimney.sav	Disability.sav	Energy performance.sav	interview.sav	
Commac.sav	Dwelling.sav	Full sample equivalised income.sav		
Common.sav	Employment.sav	HHSRS.sav		
Damppc.sav	Energy.sav	Standardised costs.sav		
Doors.sav	Fire.sav			
Dormers.sav	Firstimp.sav			
Elevate.sav	HhldType.sav			
Firstimp.sav	Identity.sav			
Flatdets.sav	Income.sav			
Hhsrs.sav	Landlord.sav			
HQ.sav	Other.sav			
Interior.sav	Owner.sav			
Introoms.sav	People.sav			
Numflats.sav	ReasTnO.sav			
Plotlvl.sav	Renter.sav			
Roofcov.sav	Rooms.sav			
Rooffeat.sav	SecondHomes.sav			
Roofstru.sav	Vacant.sav			
Services.sav	WaitList.sav			
Shape.sav				
Shared.sav				
Structure.sav				
Wallfin.sav				
Wallstru.sav				
Windows.sav				

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- 5.32 The data, user guides and supporting documentation are publicly available on the UK Data Archive (<http://ukdataservice.ac.uk/>). Datasets can be downloaded in SPSS and SAS format.
- 5.33 Prior to releasing the data in the UK Data Archive, all identifiable variables are removed to maintain the confidentiality of respondents. Some response categories are also condensed and several variables are top coded for disclosure control reasons.

Annex 5.1: HMO rules card

Determining Houses in Multiple Occupation ('HMOs')

The following supplementary questions will help determine whether the dwelling is an HMO. Count the number of "yes" responses to the **key questions** and **additional questions** then use the table below to determine whether the pattern of responses indicates that the dwelling is an HMO or instead identifies the dwelling as a single household/shared household (i.e. NOT an HMO).

Key questions (ranked in order):

1. Does the landlord find new tenants to fill any rooms that become vacant (as opposed to the remaining tenants fulfilling this function)?
2. Does the landlord bear the cost of any shortfall in rent if one or more tenants defaults or vacates (as opposed to the remaining tenants having to pay)?
3. Did the occupiers come to rent the house separately (as opposed to a single group of renters)?

Additional questions (not in any ranking order):

4. Do the tenants identify themselves as multiple households?
5. Is there a large group of occupiers (i.e. more than 5 persons)?
6. Is there a separate tenancy agreement for each occupant (as opposed to a joint tenancy)?
7. Do individual tenants keep their rooms locked, excluding other tenants from their accommodation?
8. Has there been a large turnover of occupiers since the commencement of the tenancy? (Say more than 40% over last 18 months.)
9. Is there a mix of different types of occupants at the premises? (e.g. they are not all students)

Pattern of responses	Meaning
6+ questions answered 'Yes'	= bed-sits (which collectively would form an HMO)
4-5 questions answered 'Yes' including at least 1 'key question'	= bed-sits (which collectively would form an HMO)
4-5 questions answered 'Yes' but not any 'key questions'	= single household/shared house (i.e. NOT an HMO)
Less than 4 questions answered 'Yes'	= single household/shared house (i.e. NOT an HMO)

Annex 5.2: List of derived variables

5.34 This Annex includes a full list of derived and geo-demographic variables, Annex Tables 5.2.1, 5.2.2 and 5.2.3. Further details on the derivation of these variables are available in the EHS Data Dictionary, publicly available on the UK Data Archive (<http://ukdataservice.ac.uk/>).

Annex Table 5.2.1: interview11+12.sav and interviews12.sav

accomhh	type of accommodation for household (interviewfs only)
accomhh1	type of accommodation for household & if not self-contained (interviewfs only)
agehrp2x	age of household reference person - 2 band
agehrp4x	age of household reference person - 4 band
agehrp6x	age of household reference person - 6 band
agehrpx	age of HRP - continuous
agen16	number of persons under 16 in household (interviewfs only)
ageoldbx	age of oldest person in household - banded
ageoldx	age of oldest person in household
agepartx	age of partner - continuous
ager	report age categories (interviewfs only)
AHCinceq	AHC equivalised weekly income (modified OECD scale)
AHCinceqv5	AHC equivalised income quintiles (weighted by peoplegross)
AHCinceqv60h	AHC: below 60% of median income (weighted by peoplegross)
ALLincx	annual gross income of the HRP and partner inc. income from housing benefit and LHA
amthbenx	weekly housing benefit
bedrqx	no. of bedrooms required by the household (2006 definition)
bedstdx	bedroom standard (2006 definition)
BHCinceq	BHC equivalised weekly income (modified OECD scale)
BHCinceqv5	BHC equivalised income quintiles (weighted by peoplegross)
BHCinceqv60h	BHC: below 60% of median income (weighted by peoplegross)
Buyresh	year HRP bought present accommodation (interviewfs only)
Cohabhrp	if HRP is cohabiting (interviewfs only)
Cohabprt	if HRP partner is cohabiting (interviewfs only)
emphrp3x	working status of HRP (primary) - 3 categories
emphrpx	employment status (primary) of HRP
empprt3x	working status of partner (primary) - 3 categories
empprt	employment status (primary) of Partner
equityr	equity in home (based on respondent valuation only)
equityr5	equity in home (based on respondent valuation only)
ethhrp2x	ethnic origin of HRP - 2 categories
ethhrp4x	ethnic origin of HRP - 4 categories
ethhrp8x	ethnic origin of HRP - 8 categories
ethprt	ethnic group of hrp's partner (interviewfs only)
famnumx	number of family units in hhold
FreeLeas	freehold or leasehold
ftbuyer	ilf first-time buyer (interviewfs only)

GrossA	age group & sex of youngest person in household (interviewfs only)
hatentp	type of housing association tenancy (interviewfs only)
hhbensx	household on means tested bens or tax credits with a relevant income below the threshold
hhcomp1	household composition (interviewfs only)
hhcompx	household composition
hhempx	employment status of HRP and partner combined
hhinc5x	all households - income in 5 bands
hhincflg	imputations used to create net total hhold income
hhincx	EHS Basic Income (annual net household income (HRP + Partner) including savings)
hhitsick	anyone in hhold have < illness or disability?
hhsizex	number of persons in the household
hhtype11	household type - full 11 categories
hhtype6	household type - 6 categories
hhtype7	household type - 7 categories
hhvulx	household vulnerable - on means tested or certain disability related benefits?
housbenx	household (HRP + partner) receives any housing benefit?
hpregdis	HRP or partner registered disabled?
HYEARGRx	household gross annual income (inc. income from all adult household members)
JOINTINCx	annual gross income of the HRP and partner
lenown	length of ownership (years)
lenownb	length of ownership to date of survey
lenres	length of residence (interview 11+12 only)
lenresb	length of residence
lenres2	length of residence
LHArqx	no. of bedrooms required by the household (2011 definition)
LHAstdx	bedroom standard (2011 definition)
loncoupx	single householder or with partner
market_rent	tenancy types of renters
mortwkx	weekly mortgage payments
nbatha	if shares a bathroom, shower room or WC (interviewfs only)
NBedsX	total no of bedrooms household actually has
ncouple	number of couples in household (interviewfs only)
NDEPCHILD	number of dependent children in household
NEmp	number of employed persons in household (interviewfs only)
NInac	number of economically inactive persons in household (interviewfs only)
nkita	if shares a kitchen (interviewfs only)
nliving	if shares other room (living room) (interviewfs only)
NLpar	number of lone parent families in household (interviewfs only)
NoUnits1	banded number of family units in household (interviewfs only)
nrooms1a	number of rooms available to household grouped (interviewfs only)
nroomsa	number of rooms available to household (interviewfs only)
nshare	if shares any part of accommodation (interviewfs only)
Nsing	number of one-person family units in household (interviewfs only)

nssech	NS-SEC Socio-economic Classification – HRP (interviewfs only)
nssecp	NS-SEC Socio-economic Classification - HRP's partner (interviewfs only)
NStud	number of students in household (interviewfs only)
NUnemp	number of unemployed persons in household (interviewfs only)
NXDEPCH	number of non-dependent children in household (interviewfs only)
olderx	no. of people aged 60 plus who are HRP or partner
otherfam	additional families present in household
othfam1p	type of additional families in household
Owntype	type of ownership
Prevten	previous Tenure (interviewfs only)
pyngbx	age band of youngest person in household
pyngx	age of youngest person in household
rentExS	total weekly rent excluding the cost of services
rentExSflg	rent excluding services changed/imputed
rentflg	rent/housing benefit changed/imputed
rentwvx	total weekly rent payable (rent plus housing benefit)
sexhrp	Sex of household reference person
sexprt	Sex of hrp's partner
SFT	number of FT workers in HHLd (interviewfs only)
sharer	if shares accommodation with other household (interviewfs only)
studhrp	if HRP is a full time student (interviewfs only)
Studprt	if HRPs Partner is a full time student (interviewfs only)
tenex	extended tenure of household
tenure1	tenure Group 1 (interviewfs only)
tenure2	tenure Group 2 (interviewfs only)
tenure3	tenure Group 3 (interviewfs only)
tenure4	tenure Group 4 (interviewfs only)
totkitsa	number of unshared kitchens (interviewfs only)
workless	household with no one of working age employed - ILO defn

Annex Table 5.2.2: physical11+12.sav

alltypex	dwelling age and type
area3x	type of area
arnatx	nature of area
attic	attic present in dwelling
basement	basement present in dwelling
boiler	type of boiler
constx	construction type
cstactbx	basic repair costs (actual)
cstactcx	comprehensive repair costs (actual)
cstactux	urgent repair costs (actual)
cststdbx	basic repair costs (per square metre)
cststdcx	comprehensive repair costs (per square metre)
cststdux	urgent repair costs (per square metre)
dampalf	dampness problems in one or more rooms
dampcdf	serious condensation in one or more rooms
damppnf	penetrating damp in one or more rooms
damprsf	rising damp in one or more rooms
dblglaz2	extent of double glazing
dblglaz4	extent of double glazing
dhcosty	cost to make decent (hhsrs model)
dhdisrx	decent homes repair criterion
dhhhsrsx	decent homes HHSRS 15 criterion
dhhhsrsy	decent homes HHSRS 26 criterion
dhmodx	decent homes modern facilities criterion
dhnumy	decent homes: number of criteria failed (hhsrs 15 model)
dhnumz	decent homes: number of criteria failed (hhsrs 26 model)
dhomesy	decent homes - HHSRS 15 model
dhomesz	decent homes - HHSRS 26 model
dhreasny	decent homes criterion not met (hhsrs 15 model)
dhreasnz	decent homes criterion not met (hhsrs 26 model)
dhtcacty	requirement to pass decent homes thermal comfort criterion
dhtcreasy	reason for failing decent homes on thermal comfort?
dhthermy	decent homes thermal comfort criterion
dwage4x	dwelling age
dwage5x	dwelling age
dwage6x	dwelling age
dwage9x	dwelling age
dwtype3x	dwelling type
dwtype7x	dwelling type
dwtype8x	dwelling type
dwtypenx	dwelling type
EPceeb09e	energy efficiency rating band (ehs SAP 2009)
EPceib09e	environmental impact rating band (ehs SAP 2009)

EPceir09e	environmental impact rating (ehs SAP 2009)
floor5x	useable floor area
floorx	useable floor area (sqm)
fuelx	main fuel type
heat4x	main heating system
heat7x	main heating system
housex	dwelling type
loftins4	loft insulation thickness
loftins6	loft insulation thickness
loftinsu	loft insulation thickness with unknowns
loftinsx	loft insulation thickness
loftu4	loft insulation thickness with unknowns
lv1upkpx	poor quality environment - upkeep problems
lv2trafx	poor quality environment - traffic problems
lv3utilx	poor quality environment - utilisation problems
lvanyx	poor quality environment
lvnumx	number of liveability problems present
mainfuel	Main heating fuel
neivisx	Appearance of area
parking	parking provision of survey dwelling
pcavwallx	percentage of external wall area that is cavity masonry
sap09	energy efficiency (SAP09) rating
sap409	energy efficiency (SAP09) rating
secure	secure windows and doors
storeyx	number of floors above ground
sysage	age of heating system
tenure2x	tenure
tenure4x	tenure
tenure8x	tenure
typercov	predominant type of roof covering
typerstr	predominant type of roof structure
typewfin	predominant type of wall finish
typewin	predominant type of window
typewstr2	predominant type of wall structure
wallcavx	type of wall
wallinsx	type of wall and insulation
watersys	water heating system
wins90x	type of wall - post 1990 assumption

Annex Table 5.2.3: general11+12.sav and generalfs12.sav

aagfh12	household weight (2012-13) (generalfs12 only)
aagpd1112	dwelling weight, paired case 2012 (general11+12 only)
aapgh1112	household weight, paired case 2012 (general11+12 only)
fmonth	fieldwork month (generalfs12 only)
fqtr	fieldwork quarter (generalfs12 only)
fyear	fieldwork Year
GorEHCS	government office region
GorEHS	government office region - EHS order
govreg1	government office Region, grouped (generalfs12 only)
imd1010	IMD 2010 decile ranking of areas (lower layer SOA)
paired	whether paired sample case (generalfs12 only)
region3x	overall region of England
rumorph	Rurality classification - morphology (COA)
rucontxt	Rurality classification - context (COA)
rucombin	Rurality classification - combined (COA)
tenure2x	tenure
tenure4x	tenure
tenure8x	tenure
vacantx	Type of vacancy (general11+12 only)
vaclngth	Length of vacancy (general11+12 only)

Annex 5.3: Accessibility indicators

5.35 The EHS collects a good deal of information on whether dwellings possess certain features or attributes to make them more accessible and useable for people with disabilities. In reporting, it focuses on the four aspects that form the basis of the requirements in part M of the Building Regulations, although the EHS cannot exactly mirror the detailed requirements:

- **Level access to main entrance:** there are no steps between the pavement (or any gate) and the entrance door. The path also has a gradient of less than 1:20. Includes level access to the entrance of the survey module for flats with common areas. Level access is analysed for dwellings with a private or shared plot.
- **Flush threshold to main entrance:** the threshold to the main entrance door has no obstruction greater than 15mm. This prevents the threshold from being a trip hazard and allows a wheelchair user to easily enter through the main door.
- **Width of internal doorways and circulation space conforms to Part M:** complies with requirements of Building Regulations.
- **WC at entrance level:** any WC at entrance level as EHS does not indicate whether it is wheelchair accessible.

5.36 A home is considered to be fully 'visitible' if it has all of the four features listed above. All these features are assessed directly by the surveyors during the physical survey according to a set of detailed guidelines which are detailed in Annex Table 5.3.1.

Annex Table 5.3.1: Four visitability features

Criterion	Definition										
Level access to main entrance	Surveyors record the number of steps from the front gate/ pavement to the entrance to the dwelling. A 'step' is any planned change in level, excluding the width of the cill at the bottom of the door. Surveyors will only record level access where there are no steps between the gate / pavement and the entrance door to the dwelling for a wheelchair to negotiate. The path must also have a gradient of less than 1 in 20.										
Flush threshold	This is only recorded as present if a wheelchair can be wheeled straight into a dwelling with no step to negotiate or obstruction higher than 15mm. For houses, this will usually be a specified adaptation. For flats, it is the entrance doorway into the flat itself that is assessed. Purpose-built flats are much more likely to have been built with a flush threshold to the entrance door or the flat. Flats on upper or basement floors can be assessed as having a flush threshold if the journey from the entrance to the module to the inside of the dwelling can be negotiated using a suitable lift and there is no step or obstruction higher than 15mm. If the lift is not working, the flat will still have a flush threshold.										
The width of internal doorways and hallways conforms to Part M	<p>This is only recorded as satisfactory if the doors and circulation space serving habitable rooms, kitchen, bathroom or WC comply with Part M regulations, as follows:</p> <table border="1" data-bbox="529 1227 1391 1603"> <thead> <tr> <th>Doorway clear opening width (mm)</th> <th>Corridor/passageway width (mm)</th> </tr> </thead> <tbody> <tr> <td>750 or wider</td> <td>900 (when approach head-on)</td> </tr> <tr> <td>750</td> <td>1200 (when approach not head-on)</td> </tr> <tr> <td>775</td> <td>1050 (when approach not head-on)</td> </tr> <tr> <td>800</td> <td>900 (when approach not head-on)</td> </tr> </tbody> </table>	Doorway clear opening width (mm)	Corridor/passageway width (mm)	750 or wider	900 (when approach head-on)	750	1200 (when approach not head-on)	775	1050 (when approach not head-on)	800	900 (when approach not head-on)
Doorway clear opening width (mm)	Corridor/passageway width (mm)										
750 or wider	900 (when approach head-on)										
750	1200 (when approach not head-on)										
775	1050 (when approach not head-on)										
800	900 (when approach not head-on)										
WC at entrance level	The WC must be located on the same level as the entrance to the house or flat and must be located inside the dwelling.										

5.37 The survey also collects a range of additional data, which can be modelled to provide additional information on the accessibility of the dwelling, for example:

- living room at ground floor or entrance level or space to provide one
- bedroom at ground floor or entrance level or space to provide one
- space for turning wheelchairs in kitchens, dining areas and living rooms

-
- bath/shower at entrance level

5.38 A detailed report on the accessibility of the housing stock and its ease of adaptability for independent living can be found in the EHCS 2007 Annual Report and further technical details can be found in Chapter 11 of the EHCS 2007 Technical Report:
(<http://webarchive.nationalarchives.gov.uk/20120919132719/www.communities.gov.uk/publications/housing/ehcstechnicalreport2007>).

Annex 5.4: Household derived indicators

- 5.39 This Annex focuses on the more complex derived household variables created using EHS interview survey data where the home is occupied and covers the following variables:
- income
 - equivalised income
 - rents and housing benefit
 - modelling of mortgage repayments
 - equity
- 5.40 These complex derived household variables, along with more straight forward household variables e.g. household composition, age of the household reference person (HRP) etc, are used throughout the EHS Reports. They are used in the Households Report, which present results on household circumstances and attitudes to housing, the Profile of English Housing, which present results on the condition, amenities and services, the Energy Efficiency of English Housing and the Fire and Fire Safety Reports.
- 5.41 Checks are made on the derived variables to ensure as far as possible that the data values are reasonable and that missing data have been assigned correctly. Implausible values are investigated and only when it is as certain as possible that the data are incorrect is a change made. To assist in analysis, changes made to the data are flagged in the derived EHS interview variable dataset indicating the nature and extent of any imputation.
- 5.42 All interview based variables are derived from the full annual EHS sample. The EHS Households and Fire and Fire Safety Report are based mainly on one full annual EHS sample, whereas the EHS Profile of English Housing and Energy Efficiency of English Housing Reports are mainly based on two years of data using the paired household sub-sample (i.e. where an EHS household interview survey and a physical inspection of the property are secured).
- 5.43 The EHS datasets containing these household variables are available to users via the UK Data Archive www.data-archive.ac.uk/

Income

- 5.44 The EHS Reports present household/housing related characteristics in relation to various income indicators.
- 5.45 The income indicators used within the EHS Reports are based on the annual income of the HRP and their partner from wages, pensions, savings, and state benefits. The interview survey collects information on the main components of income for the HRP and their partner. These include:
- earnings from regular employment (including government training scheme income) or as self-employed

- income from occupational and private pensions
- income from other private sources such as rent from lodgers, student loans, maintenance payments etc
- state benefits including state pensions
- income from savings and investments

5.46 The income data are thoroughly checked for inconsistencies and errors to make sure as far as possible that the data are reasonable and that missing data has been imputed correctly. Implausible values are interrogated and only changed when it is almost certain that the data are incorrect. Any changes made are flagged indicating the nature and extent of any imputation (variable hhincflg).

5.47 Where respondents report receipt of private income sources, e.g. employment, self-employment income, but are unable/refuse to specify an amount, then an estimated amount is assigned according to the methods outlined in Annex Table 5.4.1.

Annex Table 5.4.1: Imputation procedure for private sources

	Type of missing data	Method of imputation
Self-employed	Amount missing	Uses data from the Annual Survey of Hours and Earnings (ASHE) based on age, sex, part-time/full-time , social economic group and geographical location
Regular employment	Amount missing	
Occupational pension	Amount missing	Sample median based on sex and social economic group
Private pension	Amount missing	
Other private sources	Amount missing	Sample median based on working status

5.48 Average values are based on the sample median rather than the sample mean as use of median values better reflects the characteristics of skewed distributions such as are common with income data.

5.49 Where respondents state receipt of particular types of benefits but are unable/refuse to specify an amount, an estimate is inserted based on their theoretical entitlement to the particular benefit. The EHS interview survey incorporates checks on the missing benefit amounts to ascertain whether this were due to the inclusion of the missing amounts with other specified benefits. Use of this data is incorporated into the assessment of missing benefit incomes to avoid double counting of benefit income where this looks

probable. Only households that state they are in receipt of benefits are allocated income from benefits. If they are entitled to other benefits but are not claiming them, then estimates for these are not included.

- 5.50 Information is also collected on savings of the HRP and partner. Where the amount of savings/investment has not been provided, a method based on CHAID analysis is used to estimate the combined savings/investment of the HRP and any partner using predictor variables such as tenure, age/sex of HRP, number of jobs (HRP plus any partner) etc.
- 5.51 When the annual net income measure needs to be derived, Income Tax and National Insurance payable for the HRP and their partner are calculated where applicable according to Income Tax and National Insurance rates and allowances and deducted to give the total net annual income of the HRP and partner.
- 5.52 Low incomes in the dataset are uplifted, the justification being that it is likely the respondent under reported their income, either deliberately or by mistake. Where the calculated income of the HRP and any partner is lower than the household's calculated basic theoretical income support/pension credit entitlement, the income amount is changed as follows. Households in receipt of one or more of the main benefits (excluding child benefit) and with an income below their theoretical income support/pension credit entitlement are allocated their basic income support/pension credit level plus any disability premiums that they might qualify for. Households that are not in receipt of any of the main benefits and with an income below their theoretical income support/pension credit entitlement have their income initially set to missing as it was assumed key components of income had been missed or seriously under-reported. An imputed value is then derived – see below.
- 5.53 Households where the total HRP and partner income is missing have this estimated using the median income for households as defined by working status, social economic group and whether a partner of the HRP is present in the household.
- 5.54 There are two versions of the variable for the annual income of the HRP and any partner. One variable is in terms of gross income i.e. income before tax and National Insurance deductions (labelled JOINTINCx) and the other in terms of net income i.e. with the deduction of Tax and National Insurance where applicable (labelled hhincx). It should be noted that these two income variables do not include any housing related benefits/allowances.
- 5.55 In addition, a variable giving the gross income of the HRP and partner has been created that includes housing benefit/Local Housing Allowance as income (labelled 'ALLincx'). This variable is derived by simply adding together the annual gross income of the HRP and partner (JOINTINCx) and an annualised housing benefit/LHA amount ($amthbenx * 52$). See the section on 'Rents and housing benefit' for the calculation of housing benefit/LHA using EHS data.

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- 5.56 There is also a further gross income variable available, labelled HYEARGRx which is an extension of the gross income of the HRP and any partner. This variable represents the household gross income of the HRP and any partner but also includes the gross income of other adults living within the household that are not part of the primary benefit unit³ e.g. a grown-up child living with their parents or two or more unrelated individuals sharing a house. Note that this income variable does not include any housing related benefits/allowances.
- 5.57 The EHS Reports tend to refer to income in terms of the gross income of the HRP and partner. This is used throughout the Households Report (and associated tables) to relate household income to factors such as tenure and housing benefit receipt. An 'equivalised' income measure is also sometimes used within the EHS Reports. This is an extension of the net income measure outlined in this section and is discussed in detail below.

Equivalised income

- 5.58 A measure known as 'in poverty' is reported on in the EHS Reports and associated tables. This is based upon an income measure that is 'equivalised' before housing costs are taken into account. All analysis makes clear the precise measures being used.
- 5.59 The purpose of income equivalisation is based on the concept that the cost of living varies according to size and type of household. It recognises that, for example, a household of three people requires a higher income than a one person household to achieve the same standard of living. Accordingly an equivalence scale (the modified OECD⁴ scale) is employed, taking each household's size and composition into account, to make sensible comparisons.
- 5.60 Equivalised income measures have been constructed for the EHS in order to assess the relationship between relative poverty and housing conditions and amenities, not to provide estimates of poverty as such. Across Government, poverty is assessed principally through the Households Below Average Income (HBAI)⁵ series. Information on household incomes is not collected in as much detail by the EHS as it is by the Family Resources Survey (the data source for the HBAI series). Therefore there are some limitations to which components can be included in the income measures produced for the EHS. Annex Tables 5.4.2, 5.4.3, 5.4.4 list the HBAI components of the BHC and AHC measures and describe how the information is addressed through the EHS.

³ Additional adult household members reported during the EHS interview survey to be living in halls of residence are excluded from the analysis and their income is not considered to be part of the household.

⁴ Organisation for Economic Co-operation and Development

⁵ <http://statistics.dwp.gov.uk/asd/index.php?page=hbai>

Annex Table 5.4.2: BHC Income components in HBAI and EHS

HBAI Income component	Treatment in the EHS
Income from all household members	The EHS collects income data for the Primary Benefit Unit from the respondent (HRP or any partner). Income data for any additional adult household members is also collected.
Net earnings from employment	Collected
Profit or loss from self-employment	Self-employment income is collected in the EHS and it is included as an income component. The EHS does not collect information on negative self-employment income amounts (i.e. if the respondent experienced a self-employment loss) and thus income losses are not included.
Social security benefits and Tax Credits	Collected for the HRP and any partner
Income from occupational and private pensions	Asked about explicitly in EHS interview
Investment income	Collected
Maintenance payments	Would only be picked up as an 'other' source of income
Income from educational grants and scholarships	Would only be picked up as an 'other' source of income
Cash value of certain forms of income in kind	Not collected

Annex Table 5.4.3: BHC deductions in HBAI and EHS

HBAI BHC Income deduction	Treatment in the EHS
Income tax payments	Deducted using standard rules
National Insurance contributions	Deducted using standard rules
Council tax	Deducted based on information from the council tax band for the property and the council tax rate from the local authority
Contributions to occupational pension	Not collected
Insurance premium payments made in case of sudden loss of earnings	Not collected
Maintenance and child support payments	Not included
Parental contributions to students living away from home	Not collected
Student loan repayments	Not collected

Annex Table 5.4.4: AHC deductions in HBAI and EHS

HBAI AHC Income deduction	Treatment in the EHS
Rent	Collected
Water rates, community or council water charges	Not collected
Mortgage interest payments	Some mortgage data collected but not in sufficient detail to be able to derive an accurate mortgage interest variable. Total mortgage repayments used as a proxy.
Structural insurance premiums	Not collected
Ground rent and service charges	Not included

5.61 The HBAI report uses two different equivalised income measures: Before Housing Costs (BHC) and After Housing Costs (AHC). The income components that make up the EHS equivalised BHC income variable include: net income of the HRP and any partner, net income from additional adults in the household, modelled winter fuel payment and the addition of council tax

benefit and housing benefit/Local Housing Allowance. For each household the BHC income measure adds up the income from these specified sources and then deducts the amount of council tax payable. These income sources are outlined in Annex Table 5.4.5 together with the method of calculating each income component. The AHC is derived by deducting rent and mortgage payments from the BHC measure, as outlined in Annex Table 5.4.6.

Annex Table 5.4.5: Income components of the BHC equivalised income

Components of the BHC income measure	Method of calculating the income component
Net income of the HRP and any partner	The income variable hhincx is used. See the section above on 'Income'.
Net income from additional adults in the household	The EHS interview survey collects income data at a basic level for all household members that are 16 or over which is converted to a net amount by deducting the applicable Income Tax and National Insurance
Winter Fuel Payment	The applicable amount of WFP for the household is modelled based on the number of household members that have reached the qualifying age for WFP
Council tax benefit	The BHC income measure includes income from council tax benefit. The EHS interview survey collects information on council tax benefit receipt of the HRP and any partner. Council tax benefit is assigned based on this information combined with knowledge of theoretical eligibility and the amount of council tax due.
Housing benefit/Local Housing Allowance (LHA)	The BHC income measure includes income from Housing benefit/LHA. See the section on 'Rents and housing benefit' for the calculation of housing benefit/LHA using EHS data. The derived variable amthbenx is used.
Deduction of council tax payable	The BHC income measure deducts council tax paid by the household. The amount of council tax paid by the household is modelled using the council tax band of the dwelling and

	<p>information about charges in the relevant local authority area.</p> <p>The council tax band for each dwelling is collected via a data matching exercise undertaken by the Valuation Office Agency. The council tax band information is only for use in the production of statistics.</p>
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Annex Table 5.4.6: Income components of the AHC equivalised income

Components of the AHC income measure	Method of calculating the income component
Deduction of rent	The AHC income measure deducts the amount of rent paid by the household (if applicable). See the section on 'Rents and housing benefit' for the calculation of rent using EHS data. The derived variable RentExS is used.
Deduction of mortgage payment	The AHC income measure deducts the mortgage payments paid by the household (if applicable). See the section on 'Mortgage Payment' for the calculation of mortgage payments using EHS data. The derived variable mortwkx is used.

5.62 The HBAI series and poverty estimates are based on a modified OECD scale (modified so that a couple with no children is considered the reference point and has an equivalence factor equal to unity). The EHS follows this approach and determines the number of 'first' adults (i.e. HRP), other adults, children aged 14 years and over and children under 14 for each sample case in the dataset. This provides the necessary information to be able to apply the OECD equivalisation factors in order to produce an equivalised income, Annex Table 5.4.7.

Annex Table 5.4.7: OECD equivalisation factors

Equivalence scales	Modified OECD scaled to couple without children = 1	
	BHC	AHC
First adult	0.67	0.58
Spouse	0.33	0.42
Subsequent adults	0.33	0.42
Children aged under 14 years	0.20	0.20
Children aged over 14 years	0.33	0.42

Note: additional adult household members reported during the EHS interview survey to be living in Halls of Residence are excluded from the analysis.

- 5.63 The measured household income is divided by this equivalisation factor so that any household with a factor of less than one (e.g. a single person household) will have their income inflated, reflecting the fact that they are relatively better off than a larger household with the same income. Households with a factor greater than one have their incomes reduced, reflecting the fact that they are relatively worse off than a smaller household. The incomes of households containing two adults without children will not change.
- 5.64 The EHS Reports often use the BHC equivalised weekly income measure ranked and grouped into five equal sized categories. Thus the first quintile relates to the households with the lowest 20% of BHC equivalised weekly incomes and the fifth quintile relates to the households with the highest 20% of BHC equivalised weekly incomes. As previously mentioned, a term referred to as ‘in poverty’ is also used in the EHS Reports. Households are defined to be ‘in poverty’ if their equivalised income is below 60% of the median household income before housing costs (BHC) are taken into account.

Rents and housing benefit

- 5.65 Information on rents and housing benefit are presented in detail in the EHS Households Report in analysis of social and private renters. The amount of rent and housing benefit also feeds into the calculation of Equivalised income (see above).
- 5.66 Household rents and housing benefit receipt are collected in the EHS interview survey and apply only to households that rent their own home or households in a shared ownership scheme. Renting households that live rent-free are not asked the series of rent and housing benefit questions in the interview survey. For rent-free cases the rent and housing benefit amounts are set to zero.

- 5.67 The total weekly rent payable for the property (variables rentwvx) includes the rent paid by the householder plus any housing benefit/Local Housing Allowance (LHA) received (variable amthbenx). These variables are calculated based on the householder's response to the set of detailed rent and housing benefit questions asked in the EHS interview. For households with a rent holiday, an adjustment is made so that the actual total amount of rent/housing benefit paid over the course of the year (over n weeks) is averaged out over the full year (as if paid over 52 weeks).
- 5.68 Households that pay rent but do not provide an amount for their rent/housing benefit, because the amount was either unknown or refused, are assigned an estimated total weekly guide rent amount. This is based on tenure, number of bedrooms and area where they live, (for private renters variables such as the type of landlord and level of furnishing are also used in the imputation), using the sources of rent data outlined in Annex Table 5.4.8. For these cases, the estimated total weekly rent payable (rentwvx) is calculated by adding the total weekly guide rent to the estimated modelled amount for services e.g. heating and regular meals etc. that are included in the rent (where applicable as specified by the householder). See paragraphs 33 to 35 for more information on services.

Annex Table 5.4.8: Data sources used for missing rent amounts

Tenure of the renting household	Type of missing data	Rent data source for missing values
Local authority	Rent amount missing	DCLG Local Authority Housing Statistics is used in conjunction with EHS data using the year in question and modelled accordingly
Housing association and shared owners	Rent amount missing	Two successive years of data is drawn from the Statistical Data Return submitted by Private Registered Providers (to reflect a mid-year rent value)
Private renters	Rent amount missing	EHS data using the year in question and modelled accordingly

- 5.69 Households that receive housing benefit/LHA but do not provide an amount or households that do not know if they receive housing benefit/LHA are assigned an estimated housing benefit/LHA amount as follows:

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- If the household states that they are in receipt of full housing benefit/LHA then the weekly housing benefit is set to their theoretical guide rent amount (as opposed to the total weekly rent payable, since housing benefit does not cover the cost of services such as heating and regular meals)
 - If the household states that they are in receipt of partial housing benefit/LHA or if they do not know if their housing benefit/LHA covers all or some of their rent then an amount of housing benefit/LHA is imputed based on their total rent amount payable and their theoretical entitlement to housing benefit
- 5.70 An extension of the derived variable for total weekly rent payable for the property (labelled `rentwvx`) is the total weekly rent payable for the property excluding the cost of services e.g. heating, council tax etc (labelled `rentExS`). The EHS interview survey asks the householder if the rent amount included any of the following services:
- Council tax
 - heating
 - water and sewerage
 - lighting
 - hot water
 - fuel for cooking
 - regular meals
 - TV licence
- 5.71 If the amount of rent the householder provided does not include any of these services, then the total weekly rent payable for the property is the same as the total weekly rent payable for the property excluding the cost of services i.e. `rentwvx` equals `rentExS`.
- 5.72 If the rent amount provided by the householder does include one or more of the services stated above then the householder is asked to provide a rent value excluding the selected services. Based on this rent information, an amount is calculated for total weekly rent payable for the property, excluding the cost of services. If a rent amount excluding services is not provided by the householder then an estimated amount for the selected services is modelled according to the methods shown in Annex Table 5.4.9 in order to derive a rent amount excluding the cost of services.

Annex Table 5.4.9: Imputation procedure for service amounts

Service	Method of imputation
Council tax	The amount is derived using the council tax band information for the property and the council tax rate from the local authority. For any cases where the respondent selects that council tax is included in their rent but also selected full housing benefit then the amount is set to 0.
Water and sewerage	This is calculated using the mean average water and sewerage rate for a household in England for the given year multiplied by a dwelling factor (that reflects the size/type of property) multiplied by a factor for that geographical area
Heating	Amounts are calculated based on DWP deductions from rent (as used in the assessment of housing benefit)
Lighting	
Hot-water	
Fuel for cooking	
Regular meals	
TV license	Based on the cost of a colour TV license (the TV license fee is set to zero where the HRP/partner is 75 years or over)

- 5.73 The EHS Households Report mainly focuses on the weekly rent amount payable for the property, excluding the cost of services, e.g. heating, council tax etc. Between the 2007-08 and 2008-9 data there were some methodological changes to the way in which rent data were processed in the EHS compared to the previous Survey of English Housing (SEH). These changes are detailed in the EHS Households Report 2008-09 where an assessment of the impact of the methodological changes between 2007-08 and 2008-09 on the private rent estimates and further details of the changes to the calculation of social rents are provided.
- 5.74 The rent and housing benefit amounts are thoroughly checked for inconsistencies and errors to make sure as far as possible that the data is reasonable and that missing data has been imputed correctly. Implausible values are interrogated and only changed when almost certain that the data is incorrect. Any changes made are flagged indicating the nature and extent of any imputation (variables `rentflg` and `rentExSflg`).

Modelling of mortgage repayments

5.75 Mortgage repayments are calculated from raw data collected from respondents on payments for all mortgages/loans secured on the dwelling, deducting any notional amounts for building and contents insurance, mortgage protection, and other insurance payments where they have been accidentally included. Endowment policy premiums are included in repayments. Information collected is converted to weekly amounts (variable mortwkx).

5.76 Where repayment amounts are unknown or missing, data is imputed. Where alternative data is available, using the formula below for monthly mortgage repayment:

$$\frac{(\text{value of current main mortgage} \times \text{annual interest rate}/12)}{(1 - 1/((1 + \text{annual interest rate}/12)^{(\text{length of main mortgage in months})}))}$$

5.77 The 'current main mortgage' refers to the highest value mortgage if there is more than one loan secured on the property. Where the value of the current main mortgage is not provided, it is derived from original purchase price minus deposit paid, if these data are available. The purchase price is imputed if unknown, based on current market value, year dwelling bought (if available) and DCLG annual house price inflation indices for each area. From 2010, the EHS ceased collecting current market valuations from the Valuation Office Agency (VOA) for all households participating in the interview survey who had a physical inspection of their dwelling. In the interview survey, households are now asked to provide a recent (in last 12 months) valuation of their dwelling, and, if not available, their own estimate of the market value. This valuation/estimate is now used as a proxy for current market value. Any missing values are imputed using data from the Regulated Mortgage Survey based on dwelling type and geographical area. Valuations are checked for outliers and corrected if possible to determine. Payments for other loans secured on the property are not included in this imputation process.

5.78 If the length of the main mortgage is unknown, it is modelled where data are available, based on the age of HRP and when the main mortgage was taken out (or if missing, when the dwelling was bought), assuming a maximum mortgage length of 25 years and that it will be paid off when the HRP is 60 years old.

5.79 The annual interest rate is taken from monthly data provided by the council of mortgage lenders (CML). An average is calculated for the period covered by the EHS survey.

5.80 Monthly mortgage payments are set to not applicable (-9) for tenancies. If the owner owns the dwelling outright, payments are zero. Shared owners are treated as owners and mortgage payments are derived as above. Flexible/all in one/offset mortgages are also derived as above. Payments for equity release mortgages are modelled as above.

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- 5.81 Monthly repayment amounts are then converted to weekly payments. The data are thoroughly checked for inconsistencies, outliers and errors although data are only corrected where totally implausible and it is possible to determine an alternative more reliable imputed value.

Equity

- 5.82 The value of a household's equity in their property is calculated for all owner occupied (including shared owner) households who participate in the interview survey. It is based on the current market value of the property minus the amount of mortgage outstanding.

ie. $\text{Equity} = \text{current market value} - \text{amount of mortgage outstanding including other loans on the property}$

- 5.83 All owner occupiers are asked in the interview for an estimated current valuation of their property. This is used to derive an approximate equity value as detailed above (variables 'equityr' and 'equityr5').
- 5.84 Research has demonstrated that owner occupiers are more likely to overestimate the value of their homes than underestimate it, and only 40% of household estimates are within 10% of the VOA valuation. Those who moved in just over a year ago, are on the highest incomes or in the highest value properties are most likely to overestimate value. Those homes most likely to be underestimated contain singletons and couples aged over 60 and those resident for at least 20 years. As a result of respondents tending to overestimate property value, equity based on this source of market value ('equityr' and 'equityr5') is likely to be an overestimate.
- 5.85 Missing equity valuations are imputed using data from the regulated mortgage survey based on dwelling type and area. Valuations are checked for outliers and corrected if it is possible to determine a more reliable imputed value.
- 5.86 Where data used in the above formula is not available, equity is set to unknown (-88888888) or not applicable (-99999999) for tenancies.

Annex 5.5: Housing and Neighbourhood Conditions

5.87 The EHS collects very detailed information about the overall condition and quality of the housing stock using a detailed physical inspection by trained surveyors. A number of the simpler measures and indicators e.g. presence of damp problems, age of kitchen etc. are either self-explanatory or covered in the glossary to the main reports. The section provides more information regarding five more complex housing condition measures:

- the Housing Health and Safety Rating System
- decent homes
- disrepair
- accessibility
- poor quality environments

Housing Health and Safety Rating System

5.88 This section presents an overview of the Housing Health and Safety Rating System (HHSRS) and how the various hazards are measured and modelled using data from the EHS. It is divided into three sections:

- what is the HHSRS?
- how does the EHS measure and model Category 1 hazards?
- data quality and reliability

What is the HHSRS?

5.89 The HHSRS is the government's evidence based risk assessment procedure for residential properties. It replaced the Housing Fitness Regime on the 6 April 2006 in England. The HHSRS also replaces the Fitness Standard as an element of the Decent Homes Standard. The HHSRS is a means of identifying defects in dwellings and of evaluating the potential effect of any defects on the health and safety of occupants, visitors, neighbours and passers-by. The system provides a means of rating the seriousness of any hazard so that it is possible to differentiate between minor hazards and those where there is an imminent threat of major harm or even death. The emphasis is placed on the potential effect of any defects on the health and safety of occupants, visitors, and particularly vulnerable people. Altogether 29 hazards are included, Annex Table 5.5.1.

Annex Table 5.5.1: The 29 hazards covered by HHSRS

Physiological requirements

- dampness and mould growth
- excess cold
- excess heat
- asbestos (and MMF)
- biocides
- carbon monoxide and fuel combustion products
- lead
- radiation
- uncombusted fuel gas
- volatile organic compounds

Psychological requirements

- crowding and space
- entry by intruders
- lighting
- noise

Protection against infection

- domestic hygiene, pests and refuse
- food safety
- personal hygiene, sanitation and drainage
- water supply

Protection against accidents

- falls associated with baths etc
- falling on level surfaces
- falling on stairs etc
- falling between levels
- electrical safety
- fire
- flames, hot surfaces etc
- collision and entrapment
- explosions
- position and operability of amenities etc
- structural collapse and falling elements

5.90 The HHSRS scoring procedure uses a formula to generate a numerical hazard score for each of the hazards identified at the property – the higher the score, the greater the severity of that hazard. Potential hazards are assessed in relation to the most vulnerable class of person who might typically occupy or visit the dwelling. For example, for falls on stairs and falls on the level, the vulnerable group is defined as persons over 60 years, and for falls between levels it is children under 5 years old.

5.91 The hazard score formula requires the HHSRS inspector to make two judgements.

- the likelihood of an occurrence which could result in harm to a vulnerable person over the following 12 months. The likelihood is to be given as a ratio – e.g., 1 in 100, 1 in 500, etc.
- the likely health outcomes or harms which would result from the occurrence. From any occurrence there may be a most likely outcome, and other possible ones which may be more or less severe. For example, a fall from a second floor window could result in a 60% chance of a severe concussion, but there may also be a 30% chance of a more serious injury and a 10% chance of something less serious. The four classes of harms and the weightings given to them are listed in Annex Table 5.5.2.

Annex Table 5.5.2: Classes of harms and weightings used in the HHSRS

Class	Examples	Weightings
Class I	Death, permanent paralysis below the neck, malignant lung tumour, regular severe pneumonia, permanent loss of consciousness, and 80% burn injuries.	10,000
Class II	Chronic confusion, mild strokes, regular severe fever, loss of a hand or foot, serious fractures, very serious burns and loss of consciousness for days.	1,000
Class III	Chronic severe stress, mild heart attack, regular and persistent dermatitis, malignant but treatable skin cancer, loss of a finger, fractured skull, severe concussion, serious puncture wounds to head or body, severe burns to hands, serious strain or sprain injuries and regular and severe migraine.	300
Class IV	Occasional severe discomfort, chronic or regular skin irritation, benign tumours, occasional mild pneumonia, a broken finger, sprained hip, slight concussion, moderate cuts to face or body, severe bruising to body, 10% burns and regular serious coughs or colds.	10

5.92 From the judgements made by the HHSRS inspector, a hazard score can be generated for each hazard, Annex Table 5.5.3.

Annex Table 5.5.3: Calculation of HHSRS hazard score

Class of Harm	Weighting		Likelihood 1 in		Spread of Harm (%)		
I	10,000	÷	100	X	0	=	0
II	1,000	÷	100	X	10	=	100
III	300	÷	100	X	30	=	90
IV	10	÷	100	X	60	=	6
				Hazard	Score	=	<u>196</u>

5.93 To provide a simple means for handling and comparing the potentially wide range of scores and avoid placing too much emphasis on the exact numbers, a series of ten hazard score bands have been devised, Annex Table 5.5.4. Bands A, B, and C are the most serious and grouped together as presenting a Category 1 hazard; local authorities have a statutory duty to consider some form of action where these are present.

Annex Table 5.5.4: HHSRS hazard score bands

Band	Equivalent Hazard Scores
A	5,000 or more
B	2,000 – 4,999
C	1,000 – 1,999
D	500 – 999
E	200 – 499
F	100 – 199
G	50 – 99
H	20 – 49
I	10 – 19
J	9 or less

5.94 DCLG, and others, have published a number of guidance documents for HHSRS practitioners and private landlords. For guidance published by DCLG see: <http://webarchive.nationalarchives.gov.uk/20120919132719/http://www.communities.gov.uk/documents/housing/pdf/142631.pdf>

How does EHS measure and model Category 1 hazards?

5.95 For the EHS, surveyors are required to collect a wide range of information in what is a relatively short and non-intrusive property inspection. The survey cannot therefore replicate in full the HHSRS assessment that would be carried out by a local authority environmental health practitioner. The approach used has been developed by the Building Research Establishment working in close co-operation with experts from the University of Warwick who were involved in the development of the HHSRS methodology.

5.96 Of the 29 HHSRS hazards only three (which occur very rarely in the stock) are not assessed by the EHS. These are asbestos (and manufactured mineral fibres), biocides and volatile organic compounds.

5.97 The EHS uses three different methods to assess whether any of the 26 Category 1 hazards exist in dwellings:

- fully measured hazards as part of the physical survey for the most common types of hazards. The surveyor first assesses whether the risks presented for each of these hazards are significantly worse than average for the age and type of dwelling concerned. If this is the case, they then score both a likelihood of an incident occurring and the expected range of outcomes. An actual HHSRS score is not computed in the field but where risks are assessed as significantly worse than average surveyors obtain this score later during validation of their survey data prior to submission. From April 2012, EHS surveyors fully measured six hazards
- hazards flagged only when an 'extreme' risk is found as part of the physical survey. This approach is used for some of the rarer hazards where surveyors are instructed that 'extreme risk' equates to a Category 1 hazard. From April 2012, EHS surveyors assessed 16 hazards by this approach

- 4 hazards modelled post fieldwork from other data collected on the physical survey form. This approach is used where the surveyor is less able to directly assess the risk from these hazards.


5.98 Annex Figure 5.5.1 shows a worked example of HHSRS assessment. In making their HHSRS assessments surveyors are instructed to ignore the current occupancy and assume a member of the group most vulnerable to the particular hazard occupies the property. Annex Table 5.5.5 shows how information on each hazard is collected.

Annex Figure 5.5.1: Worked example of HHSRS assessment

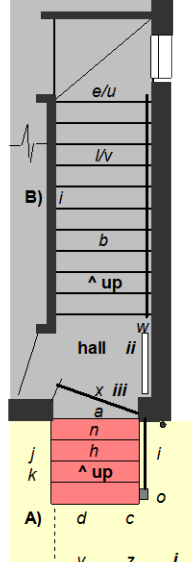
FALLS ON STAIRS ETC HHSRS VERSION 2

Vulnerable group	Persons aged 60 years or over	Multiple locations	Yes	No
Related hazards	None	Secondary hazards	Yes	No


A) Front door steps




A/B) Plan



B) Main stairs



C) Steps at gate



DESCRIPTION OF HAZARD/S

Dwelling: 1930s, Semi-detached house

A) Front door steps: These are of smooth painted concrete and have no top 'landing'. The bottom riser is high and uneven (300 mm max). There is a wobbly tubular steel handrail on one side but no guarding at all, despite the narrow width. There is no external porch light and little street lighting.

B) Main stair: The main internal stairs have two winders at the top and are moderately steep. There is a handrail only along the outside wall of the straight flight. There is a projecting radiator in the small hall and some glass in the front door close to the foot of the stairs.

C) Steps at gate: The steps close to the front gate are of rough spalling concrete. They have high uneven risers and a narrow tread. There is a crude rotten timber handrail but no guarding.

LIST OF RELEVANT MATTERS

LIKELIHOOD	A	B	C	OUTCOMES	A	B	C
a Tread lengths	1	1	2	a Length of flight	-	1	-
b Riser heights	3	1	2	b Pitch of stairs	-	2	-
c Variation in T&Rs	3	1	2	c Projections etc #	-	2	3
d Nosing length	-	-	-	d Hard surfaces #	2	1	2
e Poor friction quality	3	-	1	e Construction/repair	2	-	3
f Openings - in stairs	-	-	-	f Thermal efficiency	3	-	2
g Alternating treads	-	-	-				
h-i Lack/height handrails	3	2	2	# Secondary hazards	A	B	C
j-h Lack/height guarding	3	-	1	i Concrete kerb	2	-	-
m Stair width	2	-	-	ii Projecting radiator	-	2	-
n Length of flight	-	1	-	iii Glass in front door	-	1	-
o-q Inadequate lighting etc	3	-	3	iv Condition of paths	3	-	2
r Door/s onto stairs	-	-	-				
s Inadequate landing	3	-	-				
t Construction/repair	2	-	3	Key	3	1	2
u Thermal efficiency	2	-	1	3 Seriously defective	1	Not satisfactory	
				2 Defective	-	Satisfactory/NA	

COMPLETION OF SECTION 23 OF EHCS FORM

LIKELIHOOD

Falls on stairs Worse than average Y N Average Pre 1919

Likelihood of a person over 60 having a fall 1800 1000 560 320 180 100 56 32 18 <10

Justification The main stairs are assessed as giving the same likelihood of a major fall as the average for inter-war houses, (i.e. around 1 in 320), the limited handrail provision cancelling out any benefits of the broad winders. However, the added presence of the front access steps - particularly dangerous in icy weather and at night - substantially increases the overall annual probability of such a fall - to 1 in 18.

OUTCOMES

Likely outcome if a person over 60 should fall	Class 1 Extreme %	0.1	0.2	0.5	1	2.2	4.6	10	21.5	31.6	46.4	100
Class 2 Severe %	0.1	0.2	0.5	1	2.2	4.6	10	21.5	31.6	46.4	100	
Class 3 Serious %	0.1	0.2	0.5	1	2.2	4.6	10	21.5	31.6	46.4	100	

Justification The stairs are designed to be carpeted but the resulting lower harms are offset by the small hall, projecting radiator and single glazing in the door, albeit this is not at low level. However, the presence of the external front door steps and steps near the front gate, both flanked by rough tarmac and a concrete kerb, significantly increase the risk of a fatal or severe fall occurring, particularly in cold weather or at night.

Look-up table

Likelihood Class 1 Outcome	1 in 1800	1 in 1000	1 in 560	1 in 320	1 in 180	1 in 100	1 in 56	1 in 32	1 in 18	1 in 10 or less
0.1%						E-	E	D	C	B
0.2%						E-	E	D	C	B
0.5%						E	E	D	C	B
1.0%						E	D-	D	C	A-
2.2%				F	E-	E	D	C	B	A
4.6%				E-	E	D	C	B-	B	A
10.0%			E-	E	D	C	B-	B	A	A
21.5%		E	E	E	C	B	B	A	A	A
31.6%		E	D	C	C	B	A	A	A	A
46.4%	E	E	D	C	B	B	A	A	A	A
100%	D	C	C	B	A	A	A	A	A	A

ACTION REQUIRED

Justification Replacing the steps to the front door and at the gate will be picked up under Section 18. This will bring the property's rating back to average for its age and type.

Action required to remove hazard

Action required?	Action	Described elsewhere?	Quantity
Y	Install handrail	Y N	Metres: <input type="text"/>
Y	Install balustrade	Y N	Metres: <input type="text"/>
Y	Cover dangerous balustrade/guarding	Y N	Metres: <input type="text"/>
Y	Repair/replace internal staircase (S5)	Y	<input type="text"/>
Y	Redesign staircase (design, not condition)	Y N	Number: <input type="text"/>
Y	Repair/replace external/common staircase (S9)	Y	<input type="text"/>
Y	Repair/replace external steps (S18)	<input checked="" type="radio"/> Y	<input type="text"/>
Y	Cover slippery stairs	Y N	Flights: <input type="text"/>
Y	Repair/replace/provide additional lighting (S5, S9)	Y N	Number: <input type="text"/>
Y	Remove obstacle	Y N	Number: <input type="text"/>

Annex Table 5.5.5: Summary of how EHS collects and models information about HHSRS hazards

Hazard	How assessed	Average HHSRS score	Specified vulnerable age group
Excess cold*	Modelled	926	Age 65 or over
Falling on level surfaces*	Fully measured	181	Age 60 or over
Falling on stairs etc*	Fully measured	134	Age 60 or over
Radiation*	Modelled	91	None
Collision and entrapment	Flagged if an extreme risk	57	Age under 5
Flames, hot surfaces etc*	Fully measured	42	Age under 5
Crowding and space*	Modelled	19	None
Fire*	Fully measured	17	Age 60 or over
Dampness and mould growth*	Fully measured	11	Age under 14
Entry by intruders	Flagged if an extreme risk	11	None
Falls associated with baths	Flagged if an extreme risk	7	Age 60 or over
Noise*	Flagged if an extreme risk	6	None
Falling between levels*	Fully measured	4	Age under 5
Food safety	Flagged if an extreme risk	2	None
Electrical safety*	Flagged if an extreme risk	2	Age under 5
Carbon monoxide and fuel combustion products*	Flagged if an extreme risk	1	Age 65 or over
Personal hygiene, sanitation and drainage*.	Flagged if an extreme risk	1	Age under 5
Explosions	Flagged if an extreme risk	1	None
Position and operability of amenities etc	Flagged if an extreme risk	1	Age 60 or over
Structural collapse and falling elements	Flagged if an extreme risk	1	None
Excess heat	Flagged if an extreme risk	0	Age 65 or over
Asbestos (and MMF)	Not assessed	0	None
Biocides	Not assessed	0	None
Lead*	Modelled	0	Age under 3
Uncombusted fuel gas	Flagged if an extreme risk	0	None
Volatile organic compounds	Not assessed	0	None
Lighting	Flagged if an extreme risk	0	None
Domestic hygiene pests and refuse.*	Flagged if an extreme risk	0	None
Water supply	Flagged if an extreme risk	0	None

Notes:

1) average scores are for all dwellings and taken from Version 2 of the HHSRS guidance. The averages have been calculated for the age range of the population most vulnerable to each type of hazard.

2) the 15 hazards which were scored or modelled for 2006 and 2007 are identified by an asterisk. This group is still used in the current reporting of the 'Decent Homes' HHSRS criterion.

5.99 In the 2006 and 2007 English House Condition Survey (EHCS), fewer hazards were fully scored and some of the hazards that are now measured or flagged were modelled using other data (see the EHCS technical report from 2007 for full details: <http://webarchive.nationalarchives.gov.uk/20120919132719/http://www.communities.gov.uk/documents/housing/pdf/1617931.pdf>).

5.100 From 2008, reporting of HHSRS covers all of the 26 hazards covered by EHS so figures are not strictly comparable with the 2006 and 2007 HHSRS data.

Reporting on decent homes (see decent homes section later in this note), continues to use the 'old' (15 hazards) version of HHSRS for continuity over time.

5.101 Annex Table 5.5.6 summarises the assumptions and data used for the 4 hazards that are modelled from other data.

Annex Table 5.5.6: Modelling HHSRS hazards using EHS data

Hazard	Category 1 hazard defined as:
Excess Cold	<p>The methodology for modelling excess cold was changed in 2010 following changes to the Standard Assessment Procedure⁶ (SAP) methodology (from SAP05 to SAP09). Under the SAP05 methodology a 'threshold value' of 31.49 (equivalent to SAP 35 under the 2001 methodology) was calculated and all dwellings with a rating less than this were categorised as posing a Category 1 excess cold hazard. This SAP01 threshold was originally based on modelling carried out by BRE based on the likelihood of a retired household on means-tested benefits being in fuel poverty.</p> <p>A specific value of SAP05 does not equate to a specific value of SAP09, so an 'equivalent' value of SAP09 was derived (35.79) that ensured that the number and % of dwellings failing on excess cold would be the same under both the SAP05 and SAP09 methodology for the 2010 data set.</p>
Radiation	The dwelling is located in one of the critical 16 post code sectors, based on a radon exposure map of England AND the dwelling was built before 1980.
Lead	The dwelling is located in one of 4 post codes with very soft water (based on the drinking water quality map of England) AND built before 1945 AND with lead piping present either before or after the mains stop cock.
Crowding and space	The occupants per habitable room ratio is calculated. If this exceeds 2 the dwelling has a category 1 hazard regardless of size. If it is equal to 2 and the number of habitable rooms is 2 or more the dwelling also has category 1 hazard.

Data quality and reliability

5.102 Surveyors working on the EHS have received extensive training and support to help ensure their HHSRS assessments are consistent and robust. This includes residential training involving classroom and field exercises together with e-learning exercises. Refresher programmes are provided annually, together with manuals providing benchmark examples for reference when

⁶ This is the Government's standard procedure for Energy Rating of dwellings.

making their judgements. New surveyors are accompanied in the field and there is on-going close supervision throughout fieldwork. Calibration exercises are being implemented to monitor variability in surveyors' HHSRS assessments over time.

5.103 While these measures ensure a good level of consistency in judgements, some surveyor variability is to be expected. The EHS approach to the HHSRS provides surveyors with a systematic approach with which to make these judgements.

Decent homes

5.104 This section gives a detailed definition of the four criteria that a dwelling is required to meet to be considered 'decent' under the Decent Homes Standard, and explains how they are applied to the EHS data. A dwelling must meet all of the four criteria listed below to be classed as decent:

- A) it meets the current statutory minimum standard for housing
- B) it is in a reasonable state of repair
- C) it provides reasonably modern facilities and services
- D) it provides a reasonable degree of thermal comfort

Criterion A: the dwelling meets the current statutory minimum standard for housing

5.105 The current statutory minimum standard for housing is the HHSRS. To be decent, the dwelling must be free from Category 1 hazards (see previous section).

5.106 The presence of Category 1 hazards is assessed as described in the previous section. For this criterion only the 15 hazards which have been assessed since 2006 are included to ensure consistency over time.

Criterion B: the dwelling is in a reasonable state of repair

5.107 A dwelling satisfies this criterion unless:

- one or more key building components are old and, because of their condition, need replacing or major repair; or
- two or more other building components are old and, because of their condition, need replacement or major repair.

5.108 Key building components are those which, if in poor condition, could have an immediate impact on the integrity of the building and cause further deterioration in other components. They are the external components plus internal components that have potential safety implications and include:

- external walls
- roof structure and covering

-
- windows/doors
 - chimneys
 - central heating boilers
 - electrics
- 5.109 If any of these components are old, and need replacing or require immediate major repair, then the dwelling is not in a reasonable state of repair.
- 5.110 Other building components are those that have a less immediate impact on the integrity of the dwelling. Their combined effect is therefore considered, with a dwelling not in a reasonable state of repair if 2 or more are old and need replacing or require immediate major repair.
- 5.111 The terms 'old' and 'in poor condition' are also quite tightly defined as below:
- **old:** the component is older than its expected or standard lifetime. The component lifetimes are listed in Annex Table 5.5.7
 - **in poor condition:** the component needs major work, either full replacement or major repair. The definitions used for different components are as listed in Annex Table 5.5.8
- 5.112 Establishing whether dwellings surveyed in the EHS meet this criterion depends on the assessment both of the ages of key and other building components and of their condition.
- 5.113 The EHS surveyors record their assessment of the ages of the main external building elements together with key services and amenities. They are also given the shortcut option of recording whether elements are original i.e. the same as the building itself. Where the age of a component cannot be assessed, it is assumed to be original i.e. the same age as the dwelling. In the relatively small proportion of cases where components are recorded as the 'same age as dwelling', it is necessary to calculate the probability that they have exceeded their lifetime. This is because age of dwelling is recorded in relatively wide bands rather than as a single year.
- 5.114 For example, windows in houses are assumed to have exceeded their lifetime if they are more than 40 years old. Where dwellings were built between 1965 and 1974 and still had the original windows, many of these would have windows that were over 40 years old. A simple and robust approach is used, assuming that roughly equal numbers of dwellings were built in each year of this age band. Dwellings built between 1965 and 1971 (are over 40 years old and) represent 7 years out of the 10 year age band, so all original windows in dwellings built in 1965-1974 are given a probability of 0.7 of being over 40 years old.
- 5.115 For most dwellings, the assessment of whether or not they satisfy the disrepair criterion is clear cut. For the remainder, for each building component which is in poor condition, the probabilities of being beyond the normal lifetime are combined to give a total probability, taking into account the split into major

and minor elements. If this total is greater than 0.5, the dwelling is classed as non-decent due to disrepair.

5.116 Annex Table 5.5.7 shows the lifetimes of building components used to assess whether the components are 'old' in the terms of the disrepair criterion. These lifetimes are used to construct the national estimates of the number of dwellings that are decent and those that fail.

Annex Table 5.5.7: Component lifetimes used in the disrepair criterion

Building components (key components marked *)	Houses and bungalows	All flats in blocks of below 6 storeys	All flats in blocks of 6 or more storeys
Wall structure*	80	80	80
Lintels*	60	60	60
Brickwork (spalling)*	30	30	30
Wall finish*	60	60	30
Roof structure *	50	30	30
Roof finish *	50	30	30
Chimney *	50	50	N/A
Windows *	40	30	30
External doors *	40	30	30
Kitchen	30	30	30
Bathrooms	40	40	40
Heating – central heating gas boiler *	15	15	15
Heating – central heating distribution system	40	40	40
Heating – other	30	30	30
Electrical system *	modern	modern	modern

5.117 As age of electrical system is not collected in the EHS, it is considered to be 'old' if it is not modern, i.e. it has lead or rubber covered wiring, there are separate fuse boxes for each circuit, or earthing wires are unsheathed/green covered.

5.118 Annex Table 5.5.8 sets out the definitions used within the disrepair criterion to identify whether building components are 'in poor condition'. For more detailed information on how surveyors are instructed to record disrepair, see the repair costs section of this note.

Annex Table 5.5.8: definition of 'poor condition' used in disrepair criterion

	Definition of 'in poor condition' used in EHCS
Wall structure	Replace 10% or more, or repair 30% or more
Wall finish	Replace/ repoint/ renew 50% or more
Chimneys	1 chimney needing partial rebuilding or more
Roof structure	Replace 10% or more or strengthen 30% or more
Roof covering	Replace or isolated repairs to 50% or more
Windows	Replace at least one window or repair/ replace sash or member to at least two (excluding easing sashes, reglazing, painting)
External doors	Replace at least one
Kitchen	Major repair or replace 3 or more items out of 6 (cold water drinking supply, hot water, sink, cooking provision, cupboards, worktop)
Bathroom	Major repair or replace 2 or more items (bath, wash hand basin, WC)
Electrical system	Replace or major repair to system
Central heating boiler	Replace or major repair
Central heating distribution	Replace or major repair
Storage heaters	Replace or major repair

Criterion C: The dwelling has reasonably modern facilities and services

5.119 A dwelling is considered not to meet this criterion if it lacks three or more of the following facilities:

- a kitchen which is 20 years old or less
- a kitchen with adequate space and layout
- a bathroom which is 30 years old or less
- an appropriately located bathroom and WC
- adequate noise insulation
- adequate size and layout of common entrance areas for blocks of flats

5.120 The ages used to define the 'modern' kitchen and bathroom are lower than those for the disrepair criterion. This is to take account of the modernity of kitchens and bathrooms, as well as their functionality and condition.

5.121 There is some flexibility inherent in this criterion, in that a dwelling has to fail on three of these tests to be regarded as failing the modernisation criterion itself. Such a dwelling does not have to be fully modernised for this criterion to be passed: it would be sufficient in many cases to deal with only one or two of the facilities that are contributing to the failure.

5.122 The two tests for age of bathroom and kitchen are relatively straightforward to apply using EHS data. The method of assigning age probabilities described above is also used to determine whether kitchens and bathrooms have exceeded their lifetimes as specified in the modernisation criterion. The probabilities of being non-decent on these two components are added to results on the other modernisation measures in order to determine whether the dwelling should be classed as non-decent.

5.123 There is some ambiguity inherent in terms such as 'adequate' and 'appropriate' used for the other four criteria. The EHS (and its predecessor the EHCS) defines these operationally as follows:

- a kitchen failing on adequate space and layout would be one that was too small to contain all the required items (sink, cupboards, cooker space, worktops etc) appropriate to the size of the dwelling.
- an inappropriately located bathroom or WC is one where the main bathroom or WC is located in a bedroom or accessed through a bedroom (unless the bedroom is not used or the dwelling is for a single person). A dwelling would also fail if the main WC is external or located on a different floor to the nearest wash hand basin, or if a WC without a wash hand basin opens on to a kitchen in an inappropriate area, for example next to the food preparation area.
- inadequate insulation from external airborne noise would occur where there are problems with traffic (rail, road or aeroplanes) noise. Reasonable insulation from these problems should be ensured through installation of double glazing.
- inadequate size and layout of common entrance areas for blocks of flats would occur where there is insufficient room to manoeuvre easily, for example where there are narrow access ways with awkward corners and turnings, steep staircases, inadequate landings, absence of handrails, low headroom etc.

Criterion D: the dwelling provides a reasonable degree of thermal comfort

5.124 The definition requires a dwelling to have both efficient heating and effective insulation.

5.125 Both of these are defined very precisely in terms of what is present rather than by the overall energy performance of the dwelling.

5.126 Under this definition, efficient heating is defined as any gas or oil programmable central heating or electric storage heaters / programmable solid fuel, or communal heating or LPG central heating or similarly efficient heating systems. Heating sources which provide less energy efficient options do not meet this criterion.

5.127 Because of the differences in efficiency between gas/oil heating systems and the other heating systems listed, the level of insulation that is appropriate also differs:

- for dwellings with gas/oil programmable heating, cavity wall insulation (if there are cavity walls that can be insulated effectively) or at least 50mm loft insulation (if there is loft space) is an effective package of insulation.
- for dwellings heated by electric storage heaters / programmable solid fuel or LPG central heating a higher specification of insulation is required to meet the same standard: at least 200mm of loft insulation (if there is a loft)

and cavity wall insulation (if there are cavity walls that can be insulated effectively).

5.128 Assessing whether the EHS sample dwellings pass or fail the decent homes thermal comfort criterion is complex because it involves an array of survey information related to insulation, heating and structural properties. The data collected on the form and the modelling assumptions have been changed and refined since the original 'baseline' figures were published in 2001. For more information on how these changed from 2001 to 2007 see the EHCS 2007 Technical Report:

<http://webarchive.nationalarchives.gov.uk/20120919132719/www.communities.gov.uk/publications/housing/ehcstechnicalreport2007>.

5.129 The 2008 data experienced modelling changes in the assumptions on cavity wall insulation to incorporate the use of the summary section on cavity wall insulation newly collected on the EHS 2008 physical survey form. There were no modelling changes in 2009.

5.130 The key modelling and form changes affecting thermal comfort since 2010 are:

- where no loft insulation information is available for a room in the roof or a flat roof, appendix S of the SAP 2009 information booklet is used in conjunction with the actual date of construction or, if it is a loft conversion, the date of the loft conversion to determine an estimated amount of loft insulation (the banded construction date is used if the actual construction date is unknown).
- changes in assumptions on cavity wall insulation to incorporate extended use of the summary section on cavity wall insulation collected on the EHS physical survey form following a wording change to the overarching cavity wall insulation summary question.
- homes built after 2002 with cavity walls are assumed to have full cavity wall insulation.

Repair costs

5.131 This section presents an overview of how repair costs are derived from the EHS and is divided into three sections:

- the different repair cost measures used
- what types of work are excluded and included
- an outline of how the raw data is used to generate the costs

5.132 Information about repair costs is used for two basic purposes:

- to assess how much it would cost to carry out the specified work to the dwelling to give some idea of the likely level of investment needed. This is termed 'required expenditure' or 'actual costs'.

-
- to assess whether parts of the stock are in a better or worse state of repair than others. This is measured through ‘standardised costs’.

5.133 **Required expenditure:** an estimate of what the specified work to the individual dwelling would actually cost. These costs therefore take account of variations in prices across the country and assume different project sizes for work to dwellings, depending on their type and tenure. In the owner occupied and private rented sector, the contract size for work to houses is taken to be one. In the social rented sector, the contract size is taken as the number of dwellings on the estate unless the house is not on an estate and therefore assumed to be a street property with a contract size of one. For flats, the contract size for exterior works is the size of the block regardless of tenure. This measure assumes that all work is carried out by contractors who operate in accordance with health and safety regulations. The costs do not include any VAT or mark up for profit. These costs should not be used for assessing differences in condition between different tenures or dwelling types because they vary according to dwelling size, tenure and location (note: on the EHS database these costs are shown as ‘actual costs’). When making such comparisons among different dwelling characteristics, it would be more appropriate to use ‘standardised repair costs’ as explained below.

5.134 **Standardised repair costs:** an index of disrepair that expresses costs in pounds per square metre (£/m²) based on prices for a mid point in the range of prices in England). The same assumptions about contract size are made for houses in all tenures (contract size = 5 dwellings) and are then divided by the total floor area of the dwelling. The resulting index can be used to compare the relative levels of disrepair for dwellings of different sizes, in different tenures and different locations.

5.135 The extent of work required to a dwelling depends on the judgements made by the surveyor about the urgency of that work. The two different measures of required expenditure and standardised costs are therefore presented with reference to three different time scales:

- **urgent repairs:** a measure of serious and immediate problems in the dwelling, and includes all interior work. Where surveyors record that work is needed to an exterior building element, they indicate whether work specified was urgent. To be classed as ‘urgent’, the ***problem must meet at least one of the following criteria:***
 - it threatens the immediate safety of occupants or passers-by or is a health hazard
 - it is currently promoting noticeable and rapid deterioration in other parts of the building
 - it is at present causing difficulty or discomfort to the occupants (or would do so if the dwelling were occupied)
 - the security of the building is threatened

(variables on database = *cstactux* and *cststdux*)

- **basic repairs:** all works that the surveyor has identified as necessary to carry out within five years, including any urgent work as described above. These do not include replacement of building elements nearing the end of their life where the surveyor has recorded that this action could be delayed by more than five years; often by short term patch repairs. (variables on data base= cstactbx and cststdbx)
- **comprehensive repairs:** all repairs as specified above together with any replacements that the surveyor has assessed as being needed in the next 10 years. For all exterior elements, whether repairs are needed or not, surveyors record the number of years before the element needs replacing either following specified repair work or simply as the remaining life expectancy. This measure provides a better basis for identifying work which would form part of a planned programme of repair by landlords. (variables on data base = cstactcx and cststdcx)

What types of work are included and excluded?

5.136 The costs described above include all of the following types of work:

- all work to the external fabric of the building - chimneys, roof, roof and soil drainage, windows, doors, dormers, bays, porches, balconies, damp proof course and treatment of inappropriate gradients/levels of ground adjacent to the dwelling
- additional work to deal with structural instability: e.g. underpinning, tying in of walls, treatment of fungal or insect infestation, replacement of cavity wall ties, etc
- work to the internal fabric - ceilings, floors, internal and partition wall surfaces, internal doors and stairs
- work to amenities and services inside the dwelling - kitchen, bathroom, WC, electrical wiring, plumbing, gas pipes, heating, and water heating
- work to common areas and access ways in blocks of flats - floors, walls, ceilings, doors, screens, windows, lighting and balustrades
- work to shared facilities on estates - stores and common rooms, communal parking facilities, surfaces and fences and common services. Note that this only covers any shared facilities that might be used by the occupants of the survey dwelling and which, for large estates, are located within 100 metres of the survey module.

5.137 The costs **exclude**:

- work to fences and boundary walls
- work to underground drainage
- hidden work to structure or foundations
- work to plant associated with shared facilities, e.g. lift motors, communal boilers, washing machines in laundry rooms, etc.

-
- shared facilities not used/useable by the dwelling itself
 - VAT, professional fees, overheads or profit.

5.138 It is also important to remember that repair costs are based on a snapshot of the housing stock at the time of the survey and no provision is made for any routine regular maintenance that would (or should) be carried out e.g. servicing of boilers, lifts etc. or clearing of gutters.

Calculating repair costs

5.139 The EHS uses 4 types of information to calculate base repair costs:

- The surveyors' assessments of the type of repair needed and its extent
- The surveyor's description of the materials from which the element is constructed (for external elements only)
- Building dimensions and configuration derived from surveyors' measurements and observations
- Unit prices for different types of job from the 1996 National Schedule of Rates (NSR), adjusted for inflation using the Building Cost Information Service (BCIS) national price index. The BCIS data is used to convert basic standardised repair costs (£/m²) to 2001 prices so that the level of disrepair over time can be examined. This rebasing to 2001 prices is undertaken for ease of analysis for each annual EHS report, so that only the current EHS data requires rebasing for the on-going time series analysis

5.140 The surveyor assesses each element in turn; usually surveying the interior first, and then the exterior of the dwelling. Internally an assessment of the main rooms is made (the main living room, main bedroom plus hall, kitchen and bathroom. The work identified as needed in the sample of rooms is scaled up to reflect the total number of rooms in the dwelling. All of the internal amenities and services are surveyed individually.

5.141 For the common areas in blocks of flats, surveyors select only part of the common areas to survey – the main entrance, stairway and corridor/deck used by the survey dwelling. These are assumed to be representative of the whole of the common areas and scaled up accordingly.

5.142 Externally the surveyor assesses each element in turn, looking at the building from two vantage points ('views') which between them encompass the whole building.

5.143 In assessing the type and extent of work needed, surveyors follow a sequence of decisions that are made explicit on the survey form:

- identify whether there is a fault
- determine the nature of the action
- determine the scale of the action

-
- determine the timing of the action (for exterior elements only)
- 5.144 These assessments will depend on a large number of factors. What standard of repair should be aimed for? Will the work be spread over time or is it all to be done straightaway? How long must the building remain in good condition once the work is done? How much is it worth spending on the building? According to how these questions are answered, the final repair cost can vary considerably. EHS therefore sets fairly stringent ground rules and assumptions for surveyors to follow.
- 5.145 In making their assessments, surveyors are instructed to assume that dwellings have an indefinite life – repairs are recorded even where it is felt to be uneconomic.
- 5.146 When determining the nature of the action required, they are instructed to treat the work as a programme of actions stretching into the future which means to repair rather than replace unless:
- this is impracticable
 - it means that the element will still need replacing within 5 years
 - the element needs replacing for other reasons, e.g. it is unsuitable for its intended purpose. Here, the standard of work should result in the element being fully functional without any allowance for modernisation, upgrading or purely cosmetic improvements.
- 5.147 In deciding how much of the element requires the specified action, they are instructed not to employ economies of scale. The quantity of work required is recorded in different ways for different types of elements:
- in tenths, for elements treated as areas, e.g. walls, roofs, or lengths e.g. roof features. The building measurements and other information enable us to calculate the total number of square metres of each element in each view or room e.g. external walling at the rear, ceiling in the kitchen etc. and these are then multiplied by the proportions indicated by the surveyor to obtain an actual quantity
 - in number of units needing work, for elements which can be treated as individual entities, e.g. doors, windows, baths
 - in square or linear metres for work to elements where there is insufficient data to estimate the total quantity within the building e.g. flooring in common areas
- 5.148 For the last two, the quantity given is multiplied by the unit cost for the job specified. For elements where the work is specified as a proportion, this is first converted to a quantity (m² or linear metres) from the dimensions taken of the dwelling/building and then this quantity is multiplied by the unit price (per m² or per m) for the type of work specified. In all cases it is assumed that a like for like replacement is undertaken and the costs selected reflect the materials

from which the element is currently constructed, e.g. a slate roof is always replaced with a slate roof.

5.149 The cost calculated is for the individual dwelling. Therefore for flats the cost of works to the common areas and exterior, recorded for the whole building, is divided by the number of flats and this is added on to the interior, amenities and services costs for the individual dwelling.

Dealing with missing data

5.150 The cases included in the physical survey database are those where a full survey was conducted, but even where the form was completed fully the surveyor may have omitted to provide some information needed to calculate repair costs. Such omissions are, however, increasingly rare, particularly after the introduction of the digital pen technology.

5.151 Where data is missing costs are imputed using data for dwellings of a similar age and type:

- if the surveyor has clearly indicated that repairs are needed to an element, but not what those repairs are, then an average cost for that element is taken from dwellings of a similar age and type where repairs are needed to that same element.
- if the surveyor has not indicated whether repairs are needed to an element, then an average cost for that element is taken from all dwellings of a similar age and type.

Add-ons, uplifts, preliminaries and modifications to base costs

5.152 Once the 'base' costs have been calculated as above, additional sums are added to account for preliminaries and access equipment:

- preliminaries: items required before the work can commence e.g. site hut, security fencing
- access equipment: includes the costs for scaffolding, cradles and other equipment needed to work safely at height.

5.153 There are also factors added to account for 'uplifts' or economies of scale which are calculated differently for the 'required expenditure' and 'standardised costs' versions as described above. Finally, the country is divided into nine continuous geographic areas possessing a broad level of cultural homogeneity each of which is assigned a separate price factor to represent the differing costs of labour and materials in that area. These price factors are then used to further refine the 'required expenditure' costs.

5.154 It is important to remember that costs do not include any VAT, professional fees, overheads or profit.

Annex 5.6: Energy Efficiency

5.155 The English Housing Survey (EHS) collects a large amount of detailed information relating to building construction, heating and insulation. This provides a detailed profile of the energy performance and carbon emissions of the existing housing stock and how far these could be improved using different types of measures. This note sets out how the individual components that contribute to overall efficiency are defined and modelled; the methods and assumptions used to calculate SAP (energy efficiency) ratings and carbon dioxide emissions; and how an assessment is made of what measures could be installed to improve energy efficiency and reduce carbon emissions and what the impact of installing these possible improvements would be.

Heating systems

5.156 The EHS records up to two forms of space heating system and all water heating systems present in each dwelling. Where two types of space heating system are present, the EHS designates the one that covers the largest proportion of the dwelling as the primary heating system and collects detailed information on its overall type, the fuel used, boiler details (where relevant) and heating controls. The primary space heating type is classified as follows:

- **central heating system:** this is most commonly a system with a gas fired boiler and radiators, distributing heat throughout the dwelling. Also included in this definition are warm air systems, communal heating and electric ceiling/under floor heating, (included in 'other systems' in the 2012 dataset). Central heating is generally considered to be a cost effective and relatively efficient method of heating a dwelling, although the cost effectiveness and level of carbon dioxide (CO₂) emissions will be closely linked to the type of fuel.
- **storage heaters:** these are predominately used in dwellings that have an off-peak electricity tariff. Storage heaters use off-peak electricity to store heat in clay bricks or a ceramic material; this heat is then released throughout the day. These are more cost effective than fixed or portable room heaters, but storage heating can prove expensive if too much on peak electricity is used during the day.
- **room heaters:** this category includes all other types of heater such as fixed electric or portable electric heaters. This type of heating is generally considered to be the least cost effective of the main systems and produces more CO₂ emissions per kWh.

5.157 Where the heating system has a boiler, the EHS also collects basic information on its generic type:

- **standard:** these provide hot water or warm air for space heating; with the former also providing hot water via a separate storage cylinder.
- **back:** these older models are located behind room heaters and feed hot water to a separate storage cylinder. They are generally less efficient than other boiler types.

- **combination:** provides hot water or warm air for space heating and can provide hot water on demand, thus negating the need for a storage cylinder and therefore requiring less room.
- **condensing:** standard and combination boilers can also be condensing. A condensing boiler uses a larger, or dual, heat exchanger to obtain more heat from burning fuel than an ordinary boiler, and is generally the most efficient boiler type. Recent changes to Building Regulations have seen an increase in condensing boilers as they have become mandatory for all replacements.

5.158 The EHS also collects information about the make and model of the boiler and its age so that an accurate estimate of its overall fuel efficiency can be derived. For storage heater systems, their efficiency is calculated based on their age and the type of controls present.

5.159 Where more than one space heating system or appliance has been recorded and the primary system identified as above, the additional appliance is coded as the secondary system and, along with the secondary fuel, used in the SAP calculation and other analysis.

5.160 Where more than one space heating system is present, all existing water heating systems are recorded with the most efficient being selected for analysis. The categories of water heating systems used in the report are:

- **with central heating:** the water is primarily heated by the same system as the primary space heating, usually a standard boiler with a separate storage cylinder or a combination boiler heating water on demand.
- **dedicated water boiler:** a separate boiler to the space heating system, possibly using a different fuel, provides the hot water.
- **immersion heater:** hot water is provided by a single or dual electric immersion heater in the storage cylinder. These are less energy efficient than central or separate boilers, but are often found as a 'top-up' system for other systems.
- **instantaneous water heater:** the least energy efficient water heating appliances heat small amounts of water on demand in a similar way to a kettle and distribute the hot water to one or more points.

Wall types and wall insulation

5.161 The construction of the external walls and whether they contain any additional insulation is an important determinant of heat loss. The EHS collects detailed information on the overall construction type, age of the building, added wall insulation and what proportion of the external walls consists of different types, which is used to determine whether the dwelling is classed as having cavity walls and whether the walls (cavity or other) have any added insulation. A cavity wall is one constructed of two brick or block walls separated by a cavity that is at least 50mm wide. They are generally found in houses dating from about 1930 onwards, although some older examples exist. Many dwellings (especially older private sector homes) have a mix of wall types because they

have had one or more extensions added at different times. Dwellings are only classed as 'cavity wall' where at least 50% of the total external wall area is cavity brickwork. This means that a small house built with solid 9" brick walls in 1900 which had a cavity brickwork extension that was larger than the original building added in 1960 would be classed as having 'cavity walls'.

- 5.162 Dwellings with cavity walls can have none, part or all of the cavity wall area insulated. The insulation can be built into the original wall construction or installed later and can reduce fuel costs by up to 15%.
- 5.163 In addition to cases which have been identified as cavity insulated and cavity uninsulated, annual EHS reports since 2010 have used a third category for post-1990 dwellings with predominantly cavity walls but no evidence of cavity wall insulation. It is likely that these dwellings had insulation installed when built, but this can not necessarily be assumed since the 1990 and 1994 Building Regulations both specify an external wall U-value which could be achieved through other mechanisms as an alternative to cavity fill. Further, in the 1994 Building Regulations the 'Target U-value' method was introduced as an alternative method of showing compliance. The requirement would be met if the calculated average U-value of the dwelling did not exceed the Target U-value, corrected for the proposed method of heating. This allowed a greater flexibility in selecting the insulation levels of individual elements in the building envelope. For example, 1994 Building Regulations specify an external wall U-value of 0.45 W/m²/K. Using the Target U-value approach in the 1994 Building Regulations meant that the external wall U-values could be greater than 0.45 W/m²/K but to compensate the U-values of the other external elements had to reduce below the specified U-values, or as the Target U-value approach was based upon a central heating system of 72%, installation of a more efficient heating system meant that the specified insulation levels in the Building Regulations could be relaxed⁷.
- 5.164 Where dwellings do not have cavity walls, external or internal wall insulation can be installed to improve energy efficiency where the thermal properties of the external walls are poor. Where a surveyor has recorded that external wall insulation had been applied to at least 50% of a non-cavity walled dwelling, or that at least 50% of the measured rooms have had internal insulation applied, it was classed as having an insulated solid wall.

Loft insulation

- 5.165 Adequate loft insulation can make significant savings to both heating costs and CO₂ emissions, making this a cost effective method of insulation. It involves fitting insulating foam or fibre between the joists or rafters in a loft, which prevents the rising heated air from escaping through the roof.
- 5.166 The EHS physical survey involves an inspection of the loft where the surveyor notes whether insulation is present and measures its thickness. The collection of loft insulation data was changed after the 2001 English House Condition

⁷ For examples of the Target U-value methodology see Appendix F of the 1994 Building Regulations Part L1 A - http://www.planningportal.gov.uk/uploads/br/BR_PDF_ADL_1995.pdf

Survey (EHCS), so analysis of data from 2003 onwards can not be directly compared to previous data (see the EHCS 2003 technical report for details). In cases where surveyors are unable to access lofts or where the dwelling is a house or top-floor flat with a flat or shallow pitched roof, the amount of insulation in the dwelling was classed as unknown in the 2012 Energy Efficiency of English Housing Report. However for the purpose of calculating a SAP rating, an amount was assigned using the mean value for dwellings of that age, tenure and broad geographical area. These classifications were used because earlier regression analysis indicated that these factors were the main determinants of the amount of loft insulation present.

Low energy lighting and conservatories

5.167 Analysis in the 2011 Homes Report examined headline figures for homes which predominantly use low energy lighting and those with conservatories. This used the interior section to calculate the proportion of surveyed rooms with low energy lights at the time of survey, whilst data relating to the size, glazing type and heating of conservatories was also taken from the raw physical survey data. This data has not been re-analysed in the 2012 Energy Efficiency of English Housing Report as the conclusions were very similar to 2011, but these areas may be re-visited in future.

Renewable measures

5.168 Since 2009, EHS surveyors have recorded the presence of solar photovoltaic panels and domestic wind turbines for electricity generation, whilst the presence of solar hot water panels has been collected since 2001. The 2011 Homes Report and 2012 Energy Efficiency of English Housing Report included analysis of any observed renewable energy technologies.

5.169 In the full SAP methodology a calculation is used to determine the electricity production of PV panels, using peak power of the type of PV panel multiplied by factors such as dwelling orientation and overshadowing. This level of detail is not available from the EHS, so an assumed peak power of 2.5kWh is applied to each case. Starting from the survey year 2014/15 the area of the panels will be collected to improve this assumption.

5.170 A further renewable measure, the potential for upgrading an existing solid fuel boiler to a more energy efficient biomass system is briefly analysed in chapter 1 of the 2012 Energy Efficiency of English Housing Report. This is covered in Annex Table 5.6.2 below.

SAP ratings

5.171 The Standard Assessment Procedure (SAP) is the Government's recommended system for home energy ratings. SAP ratings allow comparisons of energy efficiency between different dwellings to be made. The SAP rating is expressed on a logarithmic scale, which normally runs from 1 (very inefficient) to 100, where 100 represents zero energy cost. The rating can be greater than 100 for dwellings that are net exporters of energy; however these are extremely rare in the existing dwelling stock. In extremely

inefficient cases the formula that defines the rating can result in negative values.

5.172 The Building Regulations require a SAP assessment to be carried out for all new dwellings and conversions. Local authorities, housing associations, and other landlords also use SAP ratings to estimate the energy efficiency of existing housing. The version of SAP used in the survey is currently SAP 2009, which was effective from March 2010 in England and Wales. This version is used in the current EHS dataset (employed retrospectively to provide a consistent measure from 1996 to the most recent survey year), whilst EHS reports dating from 2006 to 2009 used the previous (SAP 2005) version of SAP. Full details of how this differs from the current SAP 2009 can be found on page 5 of the SAP 2009 methodology document: http://www.bre.co.uk/filelibrary/SAP/2009/SAP-2009_9-90.pdf.

5.173 The SAP ratings give a measure of the annual unit energy cost of space and water heating for the dwelling under a set heating regime which assumes specific heating patterns and room temperatures. The fuel prices used are averaged over the previous three years across the different areas of the UK. The SAP rating takes into account a range of factors that contribute to energy efficiency, which include:

- thermal insulation of the building fabric;
- the shape and exposed surfaces of the dwelling;
- materials used for construction of the dwelling;
- efficiency and control of the heating system;
- the fuel used for space and water heating, ventilation and lighting;
- ventilation and solar gain characteristics of the dwelling;
- renewable energy technologies.

5.174 SAP is not affected by the individual characteristics of the household occupying the dwelling, nor by its geographical location. The calculation is based on a fixed heating pattern of 21°C in the main living area and 18°C elsewhere. It is also based on standard occupancy assumptions with the household size correlating with the total floor area of the dwelling.

5.175 The Energy Efficiency Rating (EER) is derived by translating the SAP ratings into an A to G banding system where band A represents low energy costs and band G represents high energy costs. The cut-off points between bands are shown in Annex Table 5.6.1.

Annex Table 5.6.1: SAP rating and Energy Efficiency Rating (EER) bands

SAP rating	EER band
1 to 20	G
21 to 38	F
39 to 54	E
55 to 68	D
69 to 80	C
81 to 91	B
92 or more	A

5.176 The EHS uses a computerised version of the SAP methodology to calculate the SAP rating for each dwelling included in the physical survey sample. Most of the data required to calculate SAP are available from the survey, either directly from the questions asked or as a result of further modelling. Those data items that are not collected have very little impact on the final calculated rating. Where data items are missing these are dealt with using default information based on information from dwellings of the same age, built form, tenure, number of floors and size.

5.177 The effect of using the SAP 2009 methodology in the 2012 and 2012 Energy Efficiency of English Housing Report increased the average SAP rating by around 0.5 SAP points above the value given under the SAP 2005 method. In general, the range of SAP ratings achieved has narrowed slightly, with high and low SAP 2005 values being closer to the average under SAP 2009.

Carbon dioxide emissions

5.178 The carbon dioxide (CO₂) emissions are calculated using the same SAP document and method as for the SAP rating except that it uses CO₂ emissions factors for each fuel in place of unit prices to derive the CO₂ emissions rate per m² of floor area. The same logarithmic scale as used for SAP converts the CO₂ emissions rate into the Environmental Impact Rating (EIR), which also runs on a 1 – 100 scale where 1 represents very high emissions per m² and 100 is achieved at zero net emissions. The EIR can rise above 100 if the dwelling is a net exporter of energy.

Comparison with actual energy data

5.179 The SAP methodology that is used to calculate both energy efficiency and CO₂ emissions tends to provide higher estimates of energy requirements and associated emissions for heating, lighting and ventilating dwellings than estimates derived from actual household energy consumption. This is primarily because the assumed heating regime (achieving a temperature of 21°C in the living area of the dwelling and 18°C in the rest of the dwelling for a standard number of hours), and the assumed hot water and lighting requirements (depending on a level of occupancy determined by the floor

area of the home rather than actual occupancy) are more likely to result in an overall over estimation than under estimation of actual energy consumption for most dwellings. However, such standardised assumptions are necessary in order to compare the energy performance of one part of the housing stock with another and over time.

Energy performance certificate improvement measures

- 5.180 Following the implementation of the European Energy Performance of Buildings Directive in 2007, all homes are required to have an Energy Performance Certificate (EPC). The EPC provides an overall assessment of the current energy performance of the property and makes recommendations regarding a range of lower and higher cost heating, insulation and lighting upgrades that would improve its energy performance. The EHS is able to provide a whole stock assessment of homes that could benefit from a subset of these measures.
- 5.181 Details of the upgrade measures recommended on an EPC are provided in Appendix T of the SAP 2009 specification, available at: http://www.bre.co.uk/filelibrary/SAP/2009/SAP-2009_9-90.pdf. These have been reduced to a set of measures that can be assessed using EHS data and are shown in Annex Table 5.6.2.

Annex Table 5.6.2: EPC measures assessed using EHS

EPC low cost measures (under £500)	EPC higher cost measures (more than £500)
Install cavity wall insulation where the wall is of cavity construction	Upgrade central heating controls - typically to a stage where a room thermostat, a central programmer and thermostatic radiator valves (TRV's) have been installed
Install or upgrade loft insulation where there is a loft that is not a full conversion to a habitable room and has 150mm or less of loft insulation	Upgrade to a class A condensing boiler using the same fuel (mains gas, LPG or fuel oil). This is not applied to communal heating systems.
Install or upgrade hot water cylinder insulation to a level matching a 160mm jacket. This is only recommended where the current level is less than 25mm of spray foam or a jacket that is less than 100mm thick.	Upgrade existing storage radiators (or other electric heating) to more modern, fan-assisted storage heaters
	Install a hot water cylinder thermostat where there is a cylinder without a thermostat
	Replace warm-air units that are over 20 years old with a fan-assisted flue
	Install a manual feed biomass boiler or wood pellet stove where the current system uses non-biomass solid fuel.

5.182 In the method used in the EHS, measures are only recommended for implementation if that measure alone would result in the SAP rating increasing by at least 0.95 SAP points. The suggested measures do not necessarily imply that current measures in place in the home are defective nor that the home is deficient in terms of any particular standard.

5.183 The EHS does not include all of the possible EPC measures. This is because some would only be recommended in a small number of dwellings or because the survey is unable to assess how effective they would be in improving the performance of individual dwellings. Annex Table 5.6.3 lists the measures that are not included in the EHS analysis.

Table 5.6.3: EPC measures not covered in EHS modelling of improvement potential

EPC low cost measures (under £500)	EPC higher cost measures
Draught proofing single glazed windows	Solar water heating
Low energy lights	Double or secondary glazing
	Solid wall insulation
	Complete change of heating system to class A condensing boiler (including fuel switching)
	Solar photovoltaic (PV) panels

5.184 The EHS also estimates the notional costs of installing the recommended measures. The costs are applied in the following way for the respective energy efficiency measures:

- Price per unit: Heating controls (room thermostat, programmer), cylinder insulation, cylinder thermostat, boiler upgrade (separate prices for combination/non-combination boilers), biomass boiler upgrade, storage radiator upgrade, warm air heating upgrade;
- Price per habitable room: Heating controls (Thermostatic Radiator Valves);
- Price per m²: cavity wall insulation, loft insulation.

Post improvement performance and costs

5.185 The EHS also estimates the SAP rating carbon dioxide emissions and fuel costs after any recommended improvements have been installed.

5.186 It is also important to emphasise that these are *notional* estimates based on standard assumptions about occupancy and consumption patterns. What improvements would be realised in practice will depend critically on actual occupancy and consumption patterns.

Barriers to improving insulation

5.187 A chapter in the 2012 Energy Efficiency of English Housing Report examined the potential to install loft, cavity wall and solid wall insulation, and explored the practical and other barriers to actual installation that can occur, in order to

provide a more realistic indication of the potential for carrying out these improvements. Categories classifying the ease of installation or specific barriers for each insulation type were created from EHS physical data on dwelling fabric and shape.

5.188 Categories for the ease of installing or topping up loft insulation were:

- **non-problematic:** these were identified as potentially upgradeable under the EPC improvement measure analysis and in these cases installation would be straightforward with no barriers.
- **hard to treat:**
 - **more problematic:** these were identified as potentially upgradeable under the EPC improvement measure analysis but where the loft was fully boarded across the joists, which would lead to extra work and expense.
 - **room in roof:** these cases may already have sufficient insulation installed when built or during the loft conversion, but if insulation needed to be added between the rafters very extensive work and considerable expense would be involved.
 - **flat or shallow pitched roof:** again, these cases may already have sufficient insulation installed when built but otherwise it is not feasible to install loft insulation as there is no access into the loft or no loft space.

5.189 For the 2012 report, the classification and analysis for the ‘fillability’ of cavity walls differed from the approach used in the 2010 and 2011 EHS Stock Profile Reports. The new methodology aims, as far as possible, to provide a count of hard to treat cavity walls consistent with the ECO definition, although the EHS is unable to fully replicate this. See <https://www.ofgem.gov.uk/ofgem-publications/84197/ecosupplementaryguidanceonhard-treatcavitywallinsulation.pdf>

5.190 Categories for the ‘fillability’ of uninsulated cavity walls were created using information on the area of external wall finish as surveyed and other factors such as the presence of external features such as conservatories and the dwelling type:

- **standard fillable:** with these cases, no compelling physical barrier to installation exists. These are typically houses with masonry cavity walls and masonry pointing or rendered finishes and no conservatory attached.
- **hard to treat cavity walls:** These are homes with cavity walls that could in theory be filled, but which exhibit one of the following difficulties.
 - They are in a building with 3 or more storeys, where each storey has cavity walls. The need for scaffolding to install insulation in these higher buildings would contribute to the complication and cost of improving these homes.
 - The gap found in the cavity wall is found to be narrower than in standard walls, typically less than 50mm. Although an attempt could be

made to insulate these homes by injecting foam, the limited cavity space may lead to an uneven spread of the insulating material, resulting in substandard thermal properties.

- The dwelling is of predominantly prefabricated concrete, metal or timber frame construction. Although more recent examples of these homes will have had insulation applied during construction, these are generally unsuitable for retrospective treatment. In the case of timber frame construction, the industry recommendation is not to inject insulation as this can hamper ventilation between the frame and the external wall that may lead to rot in the timber frame.
- The cavity wall includes one or both leaves formed of natural stone, or has an outer leaf finished predominantly with tiles or cladding. Natural stone can give an uneven cavity, causing difficulties when injecting insulation, whilst non-masonry finishes can also make the process more difficult.

5.191 Categories for the ease of installing external solid wall insulation were created using information on the area of external wall finish as surveyed and other factors such as the presence of external features such as conservatories, porches and bays and the dwelling type:

- **non-problematic:** no serious barriers.
- **hard to treat:**
 - **masonry-walled dwellings with attached conservatories or other features:** these are otherwise non-problematic, but fixing the insulation round any projections like conservatories, porches or bays requires additional work and therefore additional expense.
 - **dwellings with a predominant rendered finish:** although dwellings with a rendered finish can be treated with external solid wall insulation, this may add to the costs of the work as the render may need to be removed, repaired or treated before the insulation can be installed.
 - **dwellings with a predominant non-masonry wall finish:** improving dwellings with wall finishes such as stone cladding, tile, timber or metal panels would either add to the cost of the work or even preclude external solid wall insulation where the wall structure itself is stone or timber.
 - **flats:** if the dwelling is a flat, then this treatment can be problematic for two reasons. Firstly, there are likely to be issues related to dealing with multiple leaseholders (getting their agreement and financial contribution to the work). Secondly, the height of the module for high-rise flats would present significant complications in applying external solid wall insulation.

Household awareness of energy performance certificates

- 5.192 Since October 2008 it has been a requirement for those selling or renting out dwellings to provide the new or potential occupants with an EPC. The 2011 EHS Stock Report, used information collected in the 2011-12 household interview, to explore the impact of the EPC on those households that saw it.
- 5.193 New 2012-13 interview survey data has not been analysed for the 2012 EHS Energy Performance Report as the conclusions would be very similar to 2011. This area may be re-visited in future EHS reports.