Chapter Two

Schedule 0.0: List of Households

2.0.0 **Introduction**: Schedule 0.0 is meant for listing all the houses and households residing in the sample first stage unit (FSU) / hamlet-groups/sub-blocks in case of large FSUs. Some household information like household size, relative affluence, earning from non-agricultural activities, MPCE etc. will also be collected in this schedule. These auxiliary information will be used for grouping the households into different second-stage-strata (SSS). The sampling frames for selection of households will be prepared and details of the selection of sample households will be recorded in this schedule. Whenever hamlet-groups / sub-blocks (hg's/sb's) are required to be formed, particulars relating to the formation and selection of hg's/sb's are also to be recorded in this schedule. Concepts and definitions of various items are given in Chapter One.

2.0.1 **Unit of survey and sampling frame**: The first stage unit (FSU) is the 2001 census village [panchayat ward for Kerala] in the rural sector. FSU in the urban sector is the Urban Frame Survey (UFS) block. *Latest list of UFS blocks will be used for selection of urban samples. Towns may, therefore, belong to different phases of UFS. It is indicated in the sample list under the head "frame code" as to which particular UFS phase has been used as the sampling frame for selection of FSUs belonging to a town*. The investigator, on arrival at a sample village (or panchayat ward for Kerala)/UFS block (hereinafter called block) will ascertain the exact boundaries of the sample FSU. This may be done with the help of the village officials like patwari, panchayat authorities etc. for rural areas and with the help of UFS maps / ward maps in the urban areas.

2.0.2 **Formation of hamlet-groups (hg's) and selection of hamlet-groups 1 & 2**: With a view to controlling the workload mainly at the stage of listing of households, hamlet-group formation will be resorted to in the large villages. A large village will be divided into a certain number (D) of sub-divisions called hamlet-groups (hg's). The number of hg's to be formed (i.e. the value of D) will depend on the *approximate present population* of the sample village. The criterion for deciding the number of hg's to be formed in a large village have been discussed in detail in Chapter One.

For the sample village without hg formation, entire village will be treated as *hamlet-group* 1. For large sample village, two hg's will be selected by the method of Simple Random Sampling Without Replacement (SRSWOR). *Listing and selection of households will be done separately and independently for each selected hamlet group*.

The procedure for listing hamlets and forming hamlet-groups is outlined below.

2.0.2.1 **Procedure:** In a large village, there exist usually a few localities or pockets where the houses of the village tend to cluster together. These are called 'hamlets'. In case there are no such recognised hamlets in the village, the census sub-divisions of the village (e.g. enumeration blocks or groups of census house numbers or geographically distinct blocks of houses) may be treated as 'hamlets'. Large hamlets may be divided artificially to achieve more or less equal population content for the purpose of hamlet-group formation. The procedure for

formation of hamlet-groups is best described, perhaps, by listing sequentially the steps involved:

(i)   Identify the hamlets as described above.

(ii)   Ascertain approximate present population of each hamlet.

(iii)   Draw a notional map in block 3 of schedule 0.0 showing the approximate location of the hamlets and number them in a serpentine order starting from the northwest corner and proceeding southwards. While drawing this map, uninhabited area (non-abadi area) of the village will be included as part of nearby hamlet, so that no area of the village is left out. The boundaries of the hamlets may be defined with the help of some landmarks like canals, footpaths, railway lines, roads, cadastral survey plot numbers etc., so that it would be possible to identify and locate the geographical boundaries of the hamlet-groups to be formed in the village.

(iv)   List the hamlets in block 4.1 of sch. 0.0 in the order of their numbering. Indicate the present population content in terms of percentages.

(v)   Group the hamlets into D hamlet-groups. *The criteria* to be adopted for hamlet-group formation are *equality of population content and geographical contiguity* (numbering of hamlets is not to be adopted as a guideline for grouping). *In case there is a conflict* between the two aspects, *geographical contiguity is to be given priority*. However, there should not be substantial difference between the population of the smallest and the largest hamlet-group formed. Indicate the grouping in the map.

(vi)   Number the hamlet-groups serially in column (1) of block 4.2, schedule 0.0. The hamlet-group containing hamlet no. 1 will be numbered as 1, the hamlet-group with next higher hamlet number not included in hg 1 will be numbered as 2 and so on. Indicate the numbers also in the notional map. It is quite possible that a hamlet-group may not be constituted of hamlets with consecutive serial numbers.

2.0.3 **Formation of sub-blocks (sb's)**: In case sample UFS blocks are found to be large (in most cases they are not) in terms of population, they are subjected to sub-block formation. Procedure for formation of sub-blocks is, however, the same as that for the formation of hamlet-groups in the case of large villages. Here the sub-blocks are to be formed artificially by dividing the block into a certain number (say, D) of divisions *by more or less equalizing the population giving priority to geographical compactness* within each sub-block as per the criterion specified in Chapter One. The number of sb's to be formed (i.e. the value of D) will be determined according to the same criteria as adopted in the case of rural FSUs. Sub-blocks will be numbered serially in column (1) of block 4.2.

As in the case of villages, for the sample blocks without sub-block formation entire block will be treated as *sub-block 1*. For large sample blocks two sub-blocks will be selected by SRSWOR scheme. *Listing and selection of households will be done separately and independently for each selected sub-block*.
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2.0.4 **Starting point for listing**: Having determined the areal unit to be surveyed, the investigator will proceed to list the houses and households in this areal unit. The listing may

be done in the same order as that of the 2001 Census order of house listing. If the census order of house listing is not available, the listing may be started from the northwest corner of the village and proceeding southwards in serpentine order. While listing the households, some essential minimum particulars about the households will be collected for the purpose of classification (i.e. second stage stratification).

2.0.5 **Structure of the schedule**: The schedule 0.0 contains the following blocks:

Block 0: descriptive identification of sample village/ block

Block 1: identification of sample village/ block

Block 2: particulars of field operations

Block 3: sketch map of hamlet-group (hg)/sub-block (sb) formation

Block 4.1: list of hamlets (only for rural samples with hg formation)

Block 4.2: list and selection of hg's/sb's

Block 5: list of households and record of selection for households (hg/sb 1 / 2)

Block 5.1: working sheet for identifying relatively affluent households (hg 1 / 2)
　　　　(rural only)

Block 6: particulars of sampling of households

Block 7: distance of the village from nearest facility

Block 8: remarks by investigator

Block 9: comments by supervisory officer(s)

2.0.6 **Use of additional sheets of blocks 4.1, 4.2, 5, 5.1**: Whenever one schedule booklet is not adequate to list all the hamlets and hamlet-groups/sub-blocks (blocks 4.1, 4.2) or all the households (block 5) or relatively affluent households (block 5.1) of the sample FSU or hg/sb, additional sheets containing the relevant block(s) shall be used and tagged firmly to the main schedule.

The procedures to be followed for filling up the various blocks of the schedule 0.0 are described in the following paragraphs.

Before filling in blocks, it is necessary to put tick-marks in the appropriate boxes at left hand and right hand top corners of the first page of the schedule.

Block 0: Descriptive identification of sample village/block (i.e. FSU)

2.0.7 **General**: This block is meant for recording descriptive identification particulars of the sample FSU. State/UT, district, tehsil / town name (tick-marking appropriately), village name, ward no. / investigator (IV) unit no., block no. are to be copied properly from the sample list in the appropriate places.

Block 1: Identification of sample village/block

2.1.0 **General**: This block is meant for recording the identification particulars of the sample FSU in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for items 2 & 3, the codes of which are already printed). Each cell (box space) is meant for recording only one digit of the

entry. For multiple cells, the rightmost cell shall be used for recording the digit of the unit place, the next left cell for the tenth place digit and so on. If the number of digits of the entry to be recorded against an item is less than the number of box spaces provided, '0' shall be entered in the left most box space(s). For example, if the total number of hg's/sb's formed in the sample FSU is 5, the entry against item 16 should be recorded as 005. *Items 1, 4 to 11, 13 and 14 shall be copied from the sample list*.

2.1.1 **Item 12: FOD sub-region**: The four-digit code corresponding to the FOD sub-region to which the sample FSU belongs will be recorded against item 12. *A '−' will be put against this item for the state samples and also for the central samples for the states of Arunachal Pradesh, Manipur, Mizoram and Tripura for which field work is carried out by the respective States*.

2.1.2 **Item 13: frame code**: The different types of frames used for selection of FSUs are indicated by 'frame code' in the sample list. *Entry against item 13 shall be copied from the sample list*. The frame codes to be used are:

Rural: 1981 census – 05; 1991 census – 08; 2001 census – 13.
Urban: 1982-87 UFS – 06, 1987-92 UFS – 07, 1992-97 UFS – 09, 1997-2002 UFS – 11,
      2002-2007 UFS –14.

2.1.3 **Item 14: frame population**: The population of the sample FSU as given in the sample list will be copied here. This will be filled in for rural samples only. For urban samples, it is to be kept blank

2.1.4 **Item 15: approximate present population**: The investigator will first ascertain the approximate present population of the entire sample FSU taking into consideration the normal growth of population along with any abnormal influx of population into or exodus of population from the sample FSU. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions.   The starting point can be 2001 census population (1991 census population if 2001 census population is not available). In the case of large difference with census population, it may be asked whether there has been any abnormal influx into or exodus from the FSU after the census or the village has been split or partly merged with other village/urban area. If so, the approximate increase or decrease of population due to such events or any new settlements that have come up in the FSU after the census is to be ascertained.

2.1.5 **Item 16: total number of hg's/sb's formed (D)**: The total number of hg's/sb's formed in the sample FSU will be the value of **'D'** as recorded in block 4.2. If the sample FSU does not require any hg/sb formation, the entry against this item will be '001'.

2.1.6 **Item 17: Survey code**: The different survey codes are:

selected village/block has been surveyed:
        inhabited ………………………… 1
        uninhabited ……………………….2
        zero case ………………………….3

selected village/block is casualty but a substitute village/block has been surveyed:

> inhabited …………………………. 4
> uninhabited ……………………….5
> zero case …………………………6

selected village/block is casualty and no substitute has been surveyed ………7.

Some examples of zero cases are: FSUs comprising wholly the barracks of military and paramilitary forces (like CRPF, BSF etc.), rural areas declared as urban areas and now forming part of UFS frame used for urban sampling, FSUs wholly submerged under water in a dam or FSUs with the whole population evicted because of acquisition of land to construct a new factory or other project work etc. with no chance of habitation in future. As against this, the FSU whose entire population has shifted elsewhere due to some natural calamities like fire, cyclone etc., but is likely to return in the future, will be considered as uninhabited FSU and will be given code 2. If the substitute FSU cannot be surveyed, survey code will be 7.

2.1.7 **Item 18: Reason for substitution of original sample**: In all the cases where the *originally* selected sample FSU is a casualty irrespective of whether it has been substituted and subsequently surveyed or not surveyed (i.e. for codes 4 to 7 against item 17), the reason for its becoming a casualty will be recorded in terms of code against item 18. The codes are:

Original sample FSU:

> not identifiable/traceable………………………………………1
> not accessible...…………………….2
> restricted area, survey of which is not permitted ……………... 3
> others (specify)...…………………9

A '–' may be put against this item if the entry against item 17 is 1 or 2 or 3. *Cases of FSUs comprising wholly the barracks of military and paramilitary forces will not be considered as restricted area for providing code 3 against item 18. As stated earlier, such cases will be considered as surveyed and will be treated as zero cases.*

2.2 **Block 2**: **Particulars of field operations**: The details of field operations will be recorded in this block. While recording the total time taken to canvass the sch. 0.0 (i.e. column 3, srl. no. 4 of this block), it may be noted that the time taken to reach the sample village and come back should not be considered for filling in this item. In other words, total time spent in identification of the boundaries of the sample village/block, hamlet-group/sub-block formation, listing of households, formation of second-stage strata, selection of households and filling in all other blocks of this schedule may be recorded in hours. All other items are self-explanatory.

2.3 **Block 3: Sketch map of hamlet-groups (hg's)/sub-blocks (sb's) formation**

2.3.0 For large FSUs requiring hg/sb formation, the space provided for in the block shall be used to draw a free hand sketch-map of the village (panchayat wards for Kerala)/ block showing the boundaries of the hamlets and hg's/sb's formed so that they may be identifiable in the field afterwards with the help of this map. It need not be drawn to scale. The serial numbers of the hamlets as given in column (1) of block 4.1 will be written down on the map against each hamlet. The hamlet-group number given in column (1) of block 4.2 to which the hamlet belongs will also be shown against each hamlet within brackets on the right side of the

hamlet number. Similarly, sub-blocks will also be numbered in the map. The areas for the selected hg's / sb's shall be shaded in the map.

2.4.1 **Block 4.1: List of hamlets (only for rural samples with hg formation)**

2.4.1.0 This block is to be filled in only for the rural samples requiring formation of hamlet-groups (i.e. for D>1). All the hamlets located in the village will be listed in the specified order.

2.4.1.1 *Columns (1) to (3)*: A running serial number for the hamlets will be given in column (1). Name of the hamlets will be written in column (2). Present population of each hamlet expressed as percentage of the total village population will be given in column (3) in whole numbers. Entries in column (3) should add up to 100.

2.4.2 **Block 4.2: List and selection of hamlet-groups (hg's)/sub-blocks (sb's)**

2.4.2.0 **General**: This block is meant for recording the details of the hg/sb formation and their selection for FSUs requiring hg/sb formation (i.e. with D>1). Reference may be made to paragraphs 2.0.2, 2.0.2.1 and 2.0.3 for the procedures of formation and numbering of hg's/sb's.

2.4.2.1 **Column (1): serial no. of hg/sb**: The hg's/sb's formed will be given a running serial number (starting from 1) in column (1) as per the guidelines given in paragraphs 2.0.2, 2.0.2.1 and 2.0.3. The last serial number in this column will be the value of 'D' which is to be recorded against '**D**' below the block heading.

2.4.2.2 **Column (2): serial no. of hamlets in the hg (rural only)**: This column is to be filled up only for rural FSUs. The serial numbers of the hamlets recorded in column (1) of block 4.1 constituting each hamlet-group are to be recorded in column (2) separated by commas.

2.4.2.3 **Column (3): percentage (%) population in the hg/sb**: Approximate present population of the hg/sb in terms of percentage to total FSU population will be recorded in column (3) in whole number. Entries in this column should always add up to 100.

2.4.2.4 **Column (4): sample hg/sb number**: Two hg's/sb's will be selected from the large FSU for the purpose of survey by the method of SRSWOR. The procedure is as follows:

First draw a random number, say R1, between 1 and D using random number table. Enter 1 in column (4) against the serial number in column (1) which is equal to R1. Next draw another random number between 1 and D. If it is equal to R1, reject it and draw another random number. Continue until a random number, say R2, different from R1, is drawn. Enter 2 in column (4) against the serial number in column (1) which is equal to R2. These are the two selected hg/sb. The selected serial numbers may be encircled in column (1).

For all other hg's/sb's (except the two selected), column (4) may be left blank.

2.5.0 **Block 5**: **List of households and record of selection of households (hg/sb 1 / 2)**

2.5.0.1   In this block, various information are to be recorded separately for each selected hg/sb. When there is no hg/sb formation in the FSU, the hg/sb number will be '1'.

2.5.0.2 This is the main block of the schedule. Listing of all houses and households along with collection of a few particulars for identification, preparation of sampling frame, formation of second stage strata and selection of sample households for the schedules 1.0 and 10 are to be carried out in this block.

2.5.0.3 It is essential to ensure that there is no omission or duplication of any house or household. A house to house enquiry will be made to list all the houses and households. *Households which are found to be temporarily absent at the time of listing are also to be listed and included in the frame of households before sample selection*. After obtaining from the neighbours as much details as possible about the absentee households, attempt should be made to contact the households at the appropriate hours (even outside the normal working hours of the investigators) and if need be by revisiting the households during the survey period in the sample FSU. While listing a house the investigator shall find out how many households (including temporarily absent i.e. locked households) reside there and list all of them. After this, the investigator will proceed to list the next house. In order to ensure complete listing of houses/households, it is better to follow some definite order for listing. The order followed in 2001 Population Census may be adopted, wherever possible, taking care that any house that has come up later is not omitted; otherwise, listing may be done in serpentine manner starting from the north-west corner and moving southwards. The name of any natural grouping of the houses like hamlet, street, mohalla, etc. and date of listing may be written at the top before the listing of houses starts. This will help in checking completeness.

2.5.0.4 If there is hg/sb formation in the FSU, listing of houses and households will be done for sample hg/sb no. 1 first. The serial number of sample hg/sb and the names of hamlets will be written before the listing of households starts. After completing the listing of houses/households of each hamlet of the sample hg, one line will be left blank. On completion of the job for sample hg/sb 1, listing for sample hg/sb 2, if formed in the FSU, will be taken up in a separate page of block 5.

First mark the hg/sb number (1 or 2) in the heading of the block 5 correctly and cross the one not applicable.

Various columns of block 5 are described below:

 2.5.0.5 **Column (1): house number**: All houses including vacant ones shall be listed by giving a house number. The 2001 Population Census house number or the number given by the local panchayat, municipality or other local bodies, may be used if available. The houses without such numbers will be given a separate running serial number starting from 1 within brackets. Wherever house numbers are available, even if not for all the houses, the actual house numbers shall be recorded without any brackets. After listing all the households associated with a house, the next house shall be listed. If the house is used solely for non-residential purposes or is vacant, the purpose to which it is put will be written across the line, e.g. temple, vacant structure, etc. For family living under a tree or bridge etc. (i.e. without any house), a '−' may be put in this column.

2.5.0.6 **Column (2): household serial number**: The household(s) normally residing in the house or in a fixed location (e.g. under a tree/bridge/open space etc.) listed in column (1) will be numbered in column (2). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. In case of persons staying, say, in hostels and forming single member households, each of them will be listed in separate lines giving a household serial number. Continuous serial number starting from 1 will be given in column (2) for each of the sample hg's/sb's 1 & 2 separately. This column will be left blank for the lines meant for vacant houses, non-residential buildings, etc.

2.5.0.7 **Column (3): name of head of household**: For a household having serial number in column (2), the name of the head shall be recorded here.

2.5.0.8 **Column (4): household size**: The size of each household as defined in Chapter One will be recorded in this column. A small box space is provided against this column at the end of each page to record the total for this column.

2.5.0.9 **Columns (5) – (6)**: These two columns are to be filled-in for rural samples only.

2.5.0.9.1 **Column (5): relatively affluent household (yes – 1, no – 2)**: This column prepares the frame for the second-stage stratum (SSS) 1 which consists of the households identified as affluent as per particulars in block 5.1.

This column will be filled-in after completion of listing of all affluent households in block 5.1.

A household will be classified as affluent in block 5.1 if (i) it owns any of the items such as motor car/jeep/tractor/combine-harvester/truck/bus/van etc., consumer durables like telephone/mobile phone/colour TV/DVD/VCP/fridge/washing machine etc. or (ii) a household member is a professional such as doctor/ advocate or has a high salaried job or (iii) the household owns 7 hectares or more cultivable land or 3.5 hectares or more irrigated land or (iv) owns at least 10 heads of cattle and buffaloes. If no affluent household could be identified, SSS 1 will be void. But in case the number of affluent households as per block 5.1 exceeds 10 for a hamlet-group, the top ten among them in order of their relative affluence (as per the judgement of investigator) will form the frame.

At the listing stage, if a household is observed to satisfy at least one of the criteria for affluent household, block 5.1 will be filled-in for the household. After completion of the listing of all households, 10 most affluent households will be *identified* in block 5.1 for each hamlet-group and code '1' will be entered in column (5) of block 5 against the corresponding households. If the number of households listed in block 5.1 does not exceed 10, code '1' will be entered in column (5) of block 5 against all the households listed in block 5.1. Code '2' will be entered in column (5) of block 5 against all other households.

For locked households, efforts must be made to get the information from the neighbours. If no information is available even from the neighbours, code 2 will be entered in this column.

Table 2: The values of cut-off points A and B (urban MPCE in Rs) for each NSS region

state/u.t.	SR	description	B	A
(1)	(2)	(3)	(4)	(5)
Andhra Pradesh	281	Coastal	470	1360
	282	Inland Northern	510	1390
	283	South Western	390	1160
	284	Inland Southern	440	1240
Arunachal Pradesh	121	Arunachal Pradesh	510	1350
Assam	181	Plains Eastern	500	1370
	182	Plains Wester n	490	1450
	183	Hills	520	1150
Bihar	101	Northern	340	830
	102	Central	380	1010
Chhattisgarh	221	Chhattisgarh	440	1130
Goa	301	Goa	770	1870
Gujarat	241	Eastern	550	1940
	242	Plains	600	1590
	243	Plains Southern	590	1610
	244	Dry areas	560	1100
	245	Saurashtra	560	1270
Haryana	061	Eastern	630	1570
	062	Western	530	1270
Himachal Pradesh	021	Himachal Pradesh	810	2060
Jammu & Kashmir	011	Mountainous	720	1670
	012	Outer Hills	830	1480
	013	Jhelam Valley	690	1150
Jharkhand	201	Jharkhand	390	1270
Karnataka	291	Coastal & Ghats	480	1480
	292	Inland Eastern	540	1190
	293	Inland Southern	690	1820
	294	Inland Northern	430	1180
Kerala	321	Northern	480	1220
	322	Southern	670	1890
Madhya Pradesh	231	Vindhya	380	1040
	232	Central	450	1200
	233	Malwa	470	1320
	234	South	400	1130
	235	South Western	430	1050
	236	Northern	420	1220
Maharashtra	271	Coastal	720	1970
	272	Inland Western	560	1750
	273	Inland Northern	440	1550
	274	Inland Central	410	1020
	275	Inland Eastern	390	1410
	276	Eastern	560	1360

Table 2: The values of cut-off points A and B (urban MPCE in Rs) for each NSS region

state/u.t.	SR	description	B	A
(1)	(2)	(3)	(4)	(5)
Manipur	141	Plains	530	1040
	142	Hills	520	850
Meghalaya	171	Meghalaya	760	1520
Mizoram	151	Mizoram	790	1600
Nagaland	131	Nagaland	940	1850
Orissa	211	Coastal	400	1110
	212	Southern	380	1140
	213	Northern	410	950
Punjab	031	Northern	570	1520
	032	Southern	610	1510
Rajasthan	081	Western	550	1310
	082	North Eastern	520	1490
	083	Southern	670	1570
	084	South Eastern	460	1100
Sikkim	111	Sikkim	650	1490
Tamil Nadu	331	Coastal Northern	570	1790
	332	Coastal	520	1220
	333	Southern	500	1400
	334	Inland	550	1430
Tripura	161	Tripura	540	1570
Uttaranchal	051	Uttaranchal	580	1410
Uttar Pradesh	091	Western	420	1360
	092	Central	390	1180
	093	Eastern	410	1110
	094	Southern	380	1060
West Bengal	191	Himalayan	470	1260
	192	Eastern Plains	410	1230
	193	Central Plains	530	1510
	194	Western Plains	470	1430
A & N Islands	351	A & N Islands	780	1820
Chandigarh	041	Chandigarh	830	2450
D & N Haveli	261	D & N Haveli	840	1880
Daman & Diu	251	Daman & Diu	700	1750
Delhi	071	Delhi	790	2510
Lakshadweep	311	Lakshadweep	730	1560
Pondicherry	341	Pondicherry	520	1340

2.5.0.9.2 **Column (6): principal earning from non-agricultural activity (yes – 1, no – 2)**: This column prepares the frame for the second-stage stratum 2. If principal earning of the household is from non-agricultural activities (i.e. activities other than those under Tabulation Categories A and B of NIC 1998), code 1 will be entered in this column. Otherwise, code 2 will be entered. For ascertaining the source of principal earning, incomes of all the household members may be taken into account.

For locked households, efforts must be made to get the information from the neighbours. If no information is available even from the neighbours, code 2 will be entered in this column.

2.5.0.10 **Columns (7) – (9):** These columns will be filled in only for *urban* samples.

2.5.0.10.1 **Column (7): monthly household consumption expenditure (Rs)**: The household consumer expenditure has been explained in Chapter One. The amount of monthly consumer expenditure normally incurred by the household may be recorded in this column in whole number of rupees.

2.5.0.10.2 **Column (8): monthly per capita expenditure (MPCE) (Rs)**: The entry for this column will be derived as entry in col. (7) divided by the household size in col. (4). This will be recorded in whole number of rupees.

2.5.0.10.3 **Column (9): MPCE (code)**: Each household having a serial no. in col. (2) will get a code in this column. The codes are as follows:

MPCE (in rupees)	code
more than A………………..……....................................	1
equal to or more than B but equal to or less than A………	2
less than B……………………………….. …..............….	3

The values of 'A' and 'B' for each NSS region are given in Table 2.

For locked households, efforts must be made to get the information from the neighbours. If no information is available even from the neighbours, a '–' may be entered in columns (7) & (8) and code 2 will be entered in column (9).

2.5.0.11 **Columns (10) – (12)**: **sampling serial number: SSS:** It may be recalled that for each of the schedules 1.0 and 10, there will be three SSS. Column (10), (11) and (12) will provide the sampling frames for SSS 1, 2 & 3 pertaining to both the schedules. Each household will be tick-marked (√) in one and only one of these three columns.

For rural samples, if col. (5) has code 1, a tick-mark (√) will be given in column (10). Households with code 2 in col. (5) will not be tick-marked in column (10). For these households col. (6) will be considered. If entry in col. (6) is 1, a tick-mark (√) will be given in column (11). Otherwise, tick-mark (√) will be given in column (12).

In case of urban samples, col. (9) will be considered. If the entry in col. (9) is 1, tick-mark (√) will be given in column (10). For codes 2 or 3 in col. (9), tick-mark (√) will be given in column (11) or column (12) respectively.

Then all the tick-marks will be given running serial numbers from the top starting from 1 in each column independently. These will be the sampling serial numbers for SSS 1, 2 and 3 respectively. For SSS 1 of a rural FSU/hg, highest serial number will be less than or equal to 10.

The highest serial nos. in each of these columns will be the value of 'H' for the respective SSS for both the schedules. This value will be recorded against 'H' in the space provided in the column headings.

2.5.0.12 **Columns (13) – (15): schedule 1.0: sample household number: SSS***:* The number of households to be selected (h) for each combination of hg/sb × SSS has been given in Chapter One. The value of 'h' may be recorded in the space provided in the column headings. For selecting the sample households of any particular (hg/sb) × SSS, the following procedure will be followed. Suppose 'H' denotes the total number of households in the frame [i.e. the highest entry in column (10)/(11)/(12)] and 'h' the number of households to be selected. If H = h, all the households will be selected and no random number need to be drawn. Otherwise, first draw a random number, say R1, between 1 and H. Next, draw another random number, say, R2, also between 1 and H. If R2 = R1, then reject R2 and draw a fresh R2. Continue this way till requisite number of distinct R's [i.e. R1, R2, …. , R(h)] have been drawn. Then the households with sampling serial numbers R1, R2, ..… , R(h) [in column (10)/(11)/(12)] will be the selected households and be given sample household numbers as 1, 2,…….., h respectively in columns (13)/(14)/(15). Encircle the corresponding sampling serial numbers in columns (10)/(11)/(12).

2.5.0.13 **Columns (16) – (18): schedule 10: sample household number: SSS:** Required number of sample households (h) will be drawn from each (hg/sb) × SSS by SRSWOR. The values are to be recorded in the space under the column headings. The sample households will be selected with SRSWOR in each hg/sb × SSS. The procedure is similar to that described for schedule 1.0 in para 2.5.0.12 with the modification that if the sample household is found to have been already selected for schedule 1.0, it will be *replaced* by the next non-selected household in the frame. The household selected after replacement will be treated as an originally selected household. The sampling serial number of this household will be encircled twice. This modification has been done with a view to select separate households for the two schedule types. However, if the number of households in frame is small, one or more sample households may be common for both the schedule types. In such cases both schedules will be canvassed in the same household.

2.5.1   **Block 5.1**: **working sheet for identifying relatively affluent households (hg 1 / 2) (rural only)**: This block will be used for identifying the relatively affluent households in the FSU / selected hg. This will be done by taking into account the factors generally associated with affluent households such as: ownership of motor car/jeep/tractor/combine-harvester/truck/bus/van etc.; consumer durables like telephone/mobile phone/colour TV/DVD/VCP/fridge/washing machine etc.; ownership of large business/highly remunerative profession/high salaried income etc.; ownership of large pucca house in good condition; ownership of 7 hectares or more of cultivable land; ownership of 3.5 hectares or more of

irrigated land; ownership of a good number of cattle and buffaloes (10 or more in number). A household will qualify for classification as affluent if it owns any one of the items listed in cols. (4) to (10) of this block or the household has a member as doctor/advocate etc. or a household member has a high salaried job or the household owns cultivable land / irrigated land / cattle and buffaloes equal to or more than the limits specified above. However, in case majority of the households in the selected village / hg satisfy some specific criterion, then it need not be considered for identification of the relatively affluent household.

At the time of listing of households in block 5, if is found that a household satisfies at least one of the criteria, it will be considered as an affluent household and will be listed in bock 5.1. In other words, the investigator will record the particulars in block 5.1 only for those households that fulfil the criteria for affluent households as described above. If the number of such households exceeds 10, the investigator will have to rank them in descending order of their affluence. The ranks may be assigned by the investigator on the basis of his judgement of the relative affluence. The top ranking 10 households will constitute the frame for SSS 1. The rank assigned to the household may be indicated on the left margin of the block against the household. If the number of such households is less than or equal to 10, all of them will be included in the frame of SSS 1.

For columns (4) to (11), the entry will be either 1 or 2. For columns (12) / (13), the entries will be either blank or more than or equal to 7 hectares / 3.5 hectares and these will be recorded in three places of decimals. Similarly, column (10) will have entry blank or more than or equal to 10.

2.6 **Block 6**: **particulars of sampling of households**: Particulars of sampling of households, separately for schedules 1.0 and 10 for each of the hg/sb 1 & 2 will be recorded in this block. If there is no hg/sb formation, entry will be made against hg/sb 1.

2.6.1 **Column (3): population**: Population as obtained by summing up the page totals of household sizes in column (4) of block 5 over all the listed households may be recorded in this column separately for hg/sb 1 & 2 against the rows for schedule 1.0. The total of populations of hg/sb 1 & 2 will be recorded in the cell against 'all'.

2.6.2 **Columns (5) to (10): number of households**: Total number of households in the frame of all the SSS of schedules 1.0 and 10 will be recorded in the corresponding cells of column (5) for each hg/sb. Number of selected households will be copied in column (6). These are to be copied from the relevant columns of block 5. References are as below:

Schedule 1.0: Column (5) entries for SSS are same as the value of 'H' recorded in heading spaces of columns (10), (11) & (12) of block 5 for each hg/sb. Column (6) entries will be equal to the value of 'h' recorded in heading spaces of columns (13), (14) & (15) of block 5 for that combination of hg/sb $\times$ SSS.

Schedule 10: Column (6) entries will be the value of 'h' recorded in heading spaces of columns (16), (17) & (18) of block 5.

Columns (7), (8) and (10) of block 6 may be filled up on the basis of survey codes given in item 18, block 1 of the respective schedules. The entries in columns (7), (8) & (10) will be the number of filled-in schedules with the survey codes 1, 2 & 3 in the corresponding schedules

respectively. Total number households surveyed will be entered in column (9). It may be seen that (i) column (9) = column (7) + column (8) and (ii) column (10) = column (6) - column (9).

2.6.3 **Column(11): number of replaced household**: Total number of households for schedule 10 replaced (being already selected for schedule 1.0) will be reported for all SSS separately for hg/sb 1 & 2 against the rows for schedule 10. Entries will be the number of double circles in columns (10), (11) & (12) of block 5 for each hg/sb. Entry against 'all' will be sum of all SSS for hg/sb 1 & 2.

2.7   **Block 7**: **distance of the village from nearest facility**: In this block, it is aimed to collect information on the availability of some specific facilities like communication, markets, institutional agencies providing aid, assistance and credit to the villagers. *In case of hamlet group formation information are to be collected in respect of the entire sample village (panchayat ward in Kerala).*

If a facility is available in general to the villagers, it will be considered as a facility. The required information has to be obtained by contacting the village officials and / or other knowledgeable person(s). In case they are not aware of the existence of a particular facility, the nearest Block Development Officer or other related Agencies may be contacted for collection of the relevant information.

This block may be filled in after completion of listing of households. The block has to be filled in for all surveyed villages including uninhabited/depopulated/zero cases also.

2.7.1: Items 1- 32: Column (3): distance code: Distance in terms of code will be entered in this column against items 1 to 32. Distance from the nearest facility available to the villagers will be considered. The distance will be measured from the geographical centre of the village. However, if a particular facility is available within the village, the distance code will always be 1 irrespective of its distance from the centre of the village. One of the codes 2 to 6 will be applicable when the facility is available at a place outside the village. If a facility is available at two different places, the distances of the nearest place will be considered for recording the distance code. In this connection, it may be noted that if at a particular location, more than one facility is available in a combined form and if that location is the nearest one to the village in respect of all the facilities under consideration, then the distance code of that location is to be recorded against all the facilities. For example if the nearest secondary school also provides primary as well as middle level education and the nearest primary school or the middle school is farther away than the secondary school then the distance code of the secondary school is to be recorded for both the primary school and middle school also. The codes for distances are:

> within village…………………………………………....1
> outside village:
> > less than 2 kms………………………………………..2
> > 2 kms. or more but less than 5 kms……………….…3
> > 5 kms. or more but less than 10 kms………………...4
> > 10 kms. or more but less than 20 kms………….….…5
> > 20 kms. or more………………………………….…....6

Most of the items listed in the block are self-explanatory. However, some of the terms are explained below.

2.7.1.1 **Items 1- 6:** These items are self - explanatory. In States/UTs where districts do not have block/mandal, block/mandal headquarters will mean headquarters of immediately lower administrative unit under the district.

2.7.1.2 **Item 7: metalled road:** This will include roads made of pucca materials like asphalt, cement, concrete, bricks, stones, etc.

2.7.1.3 **Item 8: all weather road:** This is the road usable for all seasons of a year irrespective of the material used for the road.

2.7.1.4 **Item 9: primary school**: Generally, up to the standard of class IV is considered as primary education. However, the practices differ in some states where education of class V is also included under 'primary' level. For the purpose of this survey, education up to class IV or V, as the local practice may be, will be considered as primary education. This item will cover institutions providing such educational facilities.

2.7.1.5 **Item 10: secondary school**: Secondary school provides education up to class X.

2.7.1.6 **Item 11: higher secondary school / junior college**: Higher secondary school provides education up to 10+2 standard. In some places it is also known as junior college. Institutions providing education up to 10+2 standard will be covered under this item.

2.7.1.7 **Item 12: college**: Colleges providing degree courses with a minimum of bachelor degree recognised by a university or equivalent will be covered under this item. Colleges providing diploma courses which are equivalent to degree courses are also to be covered under this item.

2.7.1.8 **Item 13: health sub-centre / dispensary:** A health sub-centre is the most peripheral contact point in the primary health care system. It covers around 5,000 populations in plain area and 3,000 populations in hilly / tribal area. It is run by government and located in the rural area. It is manned by two multi-purpose health workers – one male and one female. A sub-centre usually does not have facilities for treatment as in-patients. Dispensary is the consulting place / chamber which does not generally have facilities for treatment of in-patients.

2.7.1.9 **Item 14: primary health centre:** Primary health centre (PHC) is the first contact point between a village community and the medical officer. It has a medical officer and other paramedical staff. It is run by the Government and usually has in-patient and out -patient facilities. A PHC has jurisdiction over 6 Sub-centres and serves about 30,000 populations in plain area and 20,000 populations in hilly / tribal area.

2.7.1.10 **Item 15: community health centre / government hospital:** Community Health Centres (CHC) serves about 1.2 lakh populations in plain area and 80,000 in the hilly / tribal area. The CHC functions as referral centre for the PHC. It is manned by medical specialists and paramedical staff and has in-patient and out-patient facilities. Medical institutions having provision of admission of sick persons as in-door patients (in-patients) for treatment are called

hospitals. Hospital run by the central / state government or local bodies like municipalities will be covered under this item.

2.7.1.11 **Item 16: private clinic / doctor**: Private clinic is the consulting place / chamber of private doctors. Doctors are those having degrees/diploma in medicine and also registration from recognised universities / institutions deemed to be universities. These doctors may follow any of the systems - allopathic, homeopathy, ayurvedic, unani.

2.7.1.12 **Item 17: medicine shop:** A shop which sells drugs and medicines of any system of medicine viz. allopathic, homeopathic, ayurvedic or unani medicines, will be considered as a medicine shop.

2.7.1.13 **Item 18: community centre:** It is a place accessible to the villagers where facilities of viewing TV, video, etc., arranging ceremonies like marriage, festivals and other community programmes, etc., are available. The centre is generally located at a fixed place. The villagers will have access to the centre.

2.7.1.14 **Items 19 – 20: post office, police station/police outpost:** The items are self-explanatory.

2.7.1.15 **Item 21: wholesale market:** Wholesale market is a market where the buying and selling of goods or merchandise is done to retailers and other merchants and commercial users but generally not to ultimate consumers. Thus, it is a market where wholesaler acts as a middleman between producer and retailer or ultimate consumer. The operations like sales, purchases and prices etc. of a wholesale market are sometimes supervised/controlled by market committee or some other agency.

2.7.1.16 **Item 22: cooperative credit society:** Co-operative credit society is a society that is formed through the co-operation of a number of persons (members of the society) for the benefit of the members. The funds are raised through contributions / investments by the members and the profits are shared by the members. Cooperative banks will also be considered here.

2.7.1.17 **Item 23: commercial bank:** This includes all nationalised banks including the State Bank of India and its subsidiaries. All other scheduled and non-scheduled banks, other than co-operative banks, should also be considered here.

2.7.1.18 **Item 24: land development bank:** Land development banks are co-operative societies established for advancing loans for acquiring assets of capital nature connected with land improvements, productivity of land and agricultural development. The land development banks sanction long terms loans, which are repayable over a period exceeding five years. If a cooperative bank performs the activities of a land development bank in addition to the usual activities of a cooperative bank, it will be considered under item 22 and not under this item.

2.7.1.19 **Item 25: marketing society:** Co-operative marketing society means a registered society established for the purpose of promoting marketing facilities primarily of agricultural produce. The marketing society receives the produce directly from the producers or through primary credit societies. The produce is then sold in different markets or to the high level marketing organisations etc. In addition to the marketing function, the societies may also

undertake supply of agricultural requisites such as seeds, manure and fertilizer, pesticides and insecticides etc.

2.7.1.20 **Item 26: PCO:** Distance of the facility which is nearest to the village among telegraph office/ pubic call office (PCO) / e-mail centre will be recorded in this item in code. A public call office or   e-mail centre will refer to a place accessible to the villagers with or without payment of fee. E-mail is the electronic mail which is sent through network (internet) from one place to another.

2.7.1.21 **Item 27: video parlour/cinema hall:** Distance of the nearest video parlour/cinema hall will be recorded in terms of codes.

2.7.1.22 **Item 28: veterinary hospital / dispensary**: A veterinary hospital / dispensary has provision for the treatment of animals.

2.7.1.23 **Item 29: fertiliser / pesticide shop**: Fertiliser / pesticide shop is one which sells fertiliser and / or pesticide.

2.7.1.24 **Item 30: fair price shop**: Fair price shop is the shop which sells some essential commodities at subsidised rate. This may be owned by the government, local self-government, a government undertaking, the proprietor of a firm, co-operative(s) or private persons (individually or jointly) or other bodies like club, trust, etc.

2.7.1.25 **Items 31-32: cold storage, Industrial training institute**: These items are self-explanatory.

2.7.2.1 **Item 33: electricity connection (yes – 1, no – 2):** If electricity is used in any part of the village for any purpose (agriculture, industry, street light, domestic etc.), it will be considered that the facility is available for the villagers and code 1 will be recorded in col. (3).

2.7.2.2 **Item 34: informant code:** The information in block 7 is to be collected from one or more knowledgeable person(s) of the village. The source of such information collected is to be reported in this item. In case there is more than one source then the code will relate to the informant from whom maximum information has been collected. The codes are:

sarpanch (male)………………………………	1
sarpanch (female)…………………………...	2
other panchayat member…………………...	3
gram sewak………………………………...	4
school teacher………………………………	5
health personnel……………………………	6
others………………………………………	9

2.8 **Block 8**: **remarks by investigator**: The investigator may give his remarks here on any abnormal situation or entry in the schedule.

2.9 **Block 9: comments by supervisory officer(s)**: The Assistant Superintendent, the Superintendent or any other officer inspecting the work relating to this schedule, may give his comments here.

2.10 **Substitution of sample households**:

If a sample household of a particular schedule type cannot be surveyed due to some reason or the other, it will be substituted by the next one having higher sampling serial number (provided not already selected) of the same SSS. The substitute for the one having last sampling serial number of an SSS in a column will be the one having first sampling serial number within the same column. If the substituted household becomes a casualty, *it will be substituted by another in the same manner. If this household also turns out to be a casualty, further substitute need not be taken. However, it must be ensured that a minimum of one sample household is always surveyed for each SSS if H>0 and for each hg/sb. Substitution may be attempted more than twice in a few cases to adhere to this restriction.* In such cases, the fact has to be recorded in the remarks block (block 8 & 9).

It is to be noted that in the case of a substitution of a household, the word "SUBSTITUTED" should be written at the top of the front page of schedule.

2.11 **Random numbers**: A table of random numbers is supplied to each investigator. The n-th column of the table will be consulted in the case of the central sample and (n + 1) th column in the case of the state sample, where n is the last two digits of the serial number of the sample FSU. When n = 00, it will be taken as 100. The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digit random numbers may be used where random number '0' will stand for '10' and random number '00' for '100'.

The first two random numbers will be used for hamlet-group/sub-block selection whenever required. The subsequent random numbers may be used for selection of households in the order: (i) for hg/sb 1 – households for three SSS of schedule 1.0, households for three SSS of schedule 10 and then (ii) for hg/sb 2 – households for three SSS of schedule 1.0, households for three SSS of schedule 10. If the particular column of random numbers is exhausted in the process, next column may be used. Similarly, if all the columns of the Random number table is exhausted, then the first column will be used.

2.12 **Substitution of sample FSU:**

    (a) If a sample FSU cannot be surveyed due to say, it being not uniquely identifiable or traceable, not accessible or for any other reason, it will be substituted. All such cases will be referred to:

        The Director (TC), DPD, NSSO,
        Mahalanobis Bhavan,
        164, Gopal Lal Tagore Road, Kolkata- 700108.
        e-mail address: **dpdnsso@cal.vsnl.net.in**
        fax: 033-25771025

    A copy of the letter may be given to:

The Director (Coordination), SDRD, NSSO
Mahalanobis Bhawan
164, Gopal Lal Tagore Road, Kolkata- 700108.
e-mail address: **sdrd@cal2.vsnl.net.in**
fax: 033-25776439, Tele: 033-25781495

If the substituted FSU has same problem as the original, correspondences may be made immediately so that another substitute can be provided to prevent voidness of stratum. In case no substitute FSU could be surveyed even with best efforts [i.e. code 7 in item 17, block 1], a blank schedule 0.0 will be submitted with only blocks 0, 1, 2, 8 and 9 filled in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

All efforts must be made to ensure that at least one FSU is always surveyed from each stratum for each sub-sample so as to prevent occurrences of void strata.

(b) If a sample FSU is found to be depopulated at the time of survey, or its population has shifted elsewhere due to some natural calamity, or it is treated as a "zero-case", it will not be substituted. It will be treated as a valid sample and blank schedule 0.0 with only blocks 0, 1, 2, 7, 8 and 9 filled in will be submitted in such cases. The word/words 'UNINHABITED' or 'ZERO CASE', as appropriate will be written on the top of the front page of the schedule in such cases. However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North Eastern states where, for example, jhum cultivation is prevalent, whole village may shift from place to place. In such cases the sample village will be surveyed in the place where it is currently located and not treated as uninhabited if found absent in its original location.

(c) If a sample village is found to have been declared as urban (as a town by itself or as merged in another town) either by State Govt. notification or by Census authorities and if it is covered in the urban frame used for selection of FSUs, it will be treated as a zero case and the procedure given in the previous para will be followed in this case. However, if it is not covered in the urban frame of FSUs, it is to be surveyed as per the rural programme. In such cases, however, if the boundaries of the original village are not identifiable, it may be substituted. If only a part of the village has been merged in the town, the remaining part will be surveyed as per rural programme even in this situation. *It is suggested* to write to SDRD before treating any sample as a zero case.

(d) *It is important* to note that a listing schedule 0.0 has to be submitted for every sample FSU irrespective of whether it is surveyed/substituted (including uninhabited and zero cases) or a casualty.

2.13 **Repetition of FSUs**: If a sample FSU is repeated in the sample list, *it will be surveyed as many times as it has been selected*. The procedures to be followed in respective cases are described below:

2.13.1 **Repetition within state or central sample FSUs**:

Case (a): without hamlet-group/sub-block formation: If repetition is in the *same sub-round*, listing is to be done only once. The listing schedule will be copied with the identification particulars changed to those of the serial number against which it is found repeated. (The items that may change are only these: serial number and sub-sample). The sample households will be selected afresh. However, if any household already selected is

selected again, it is to be substituted. If the required number of fresh households (i.e. not selected in the first occasion) is not available in the frame as a result of which some households are reselected in the second/subsequent occasion, entries in various blocks for such household may be copied. If, however, repetition of the FSU takes place in a different sub-round, it is to be surveyed just like a new sample with fresh listing and sample selection.

Case (b): With hamlet-group/sub-block formation: If repetition is in the *same sub-round*, the hamlet-groups/sub-blocks formed during the first occasion will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-group/ sub-block selected afresh. If one or both hg/sb are repeated, random number may be drawn afresh to get different hamlet-group/sub-block not selected earlier. For the selection of households, the usual procedure as suggested for fresh FSUs may be followed. If, however, repetition of the FSU takes place in a *different sub-round*, it is to be surveyed just like a new sample with fresh listing and sample selection.

An example showing selection of households for a rural FSU without hg formation

[5] list of households and record of selection for households (hg/sb 1 / 2)*

			rural only		sampling serial number			sample household number					
								Schedule 1.0			Schedule 10		
					SSS			SSS			SSS		
house number	household serial number	household size	relatively affluent household (yes –1, no –2)	principal earning from non-agricultural activity (yes –1, no –2)	1 H=10	2 H=9	3 H=21	1 h=2	2 h=4	3 h=4	1 h=2	2 h=4	3 h=4
(1)	(2)	(4)	(5)	(6)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)
12	1	3	2	1		√ 1							2	
13/1	2	5	2	2			√ 1						
14	3	6	1	2	√ 1								
15A	4	8	2	1		√ 2							
15B	5	1	2	2			√ 2						3
9	6	2	2	1		√ 3			4				
10	7	4	2	1		√ 4						1	
16	8	6	2	2			√ 3			1			
17	9	2	1	2	√ 2			1					
(1)	10	3	1	2	√ 3								
19	11	6	2	2			√ 4						
20	12	5	2	2			√ 5			3			
21	13	3	2	1		√ 5			2				
22/1			VACANT HOUSE										
22/2	14	5	2	1		√ 6						3	
–	15	1	1	2	√ 4						1		
23	16	8	2	2			√ 6						
24	17	4	2	1		√ 7						4	
(2)	18	3	2	2			√ 7			2			
25	19	6	2	1		√ 8			1				
26	20	5	2	2			√ 8						4
27	21	2	2	2			√ 9						
28	22	1	2	2			√ 10						
29	23	4	1	2	√ 5				2				
30	24	2	2	2			√ 11						
31	25	5	2	2			√ 12						2
	26	1	2	2			√ 13			4			
	27	4	1	2	√ 6						2		
32	28	3	1	1	√ 7								
33	29	5	2	2			√ 14						
34	30	6	2	2			√ 15						
35	31	2	1	2	√ 8								
35A/1	32	4	2	2			√ 16						
35A/2	33	3	1	2	√ 9								
35A3	34	5	2	1		√ 9			3				
36A	35	3	2	2			√ 17						
36C	36	4	2	2			√ 18						
42	37	3	1	2	√ 10								
43	38	4	2	2			√ 19						1
44	39	3	2	2			√ 20						
45	40	4	2	2			√ 21						