

DRAFT

FOR OFFICIAL USE

Instructions to Field Staff

VOLUME-II

SOCIO-ECONOMIC SURVEY

NSS 57TH ROUND **(JULY 2001 - JUNE 2002)**

SCHEDULES OF ENQUIRY

- Schedule 0.0: List of Households and Non-Agricultural Enterprises**
Schedule 2.345: Unorganised Services (excluding Trade and Finance)
Schedule 1.0: Household Consumer Expenditure



National Sample Survey Organisation
Ministry of Statistics and Programme Implementation
Government of India

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Chapter One

Introduction, Concepts, Definitions And Procedures

1.0 Introduction

1.0.1 The National Sample Survey (NSS), set up by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods will start its fifty-seventh round from 1st July 2001.

1.0.2 The fifty- seventh round of NSS is earmarked for collection of data on economic and operational characteristics of unorganized enterprises in service sector (excluding trade and finance), besides consumer expenditure and employment-unemployment. The field operations of the survey will commence on 1st July 2001 and will continue up to 30th June 2002.

1.0.3 During 1977, the first All-India Economic Census was conducted by the Central Statistical Organization (CSO) in collaboration with the State Statistical Bureaus with the objective of collecting some basic information on non-agricultural enterprises employing at least one hired worker on a fairly regular basis (hereinafter referred to as 'establishments'). Following this census, small establishments and enterprises not employing any hired worker on a fairly regular basis [and henceforth called 'own account enterprises' (OAEs)] engaged in the activities of trade, transport, hotels & restaurants and services was conducted by NSSO as part of its 34th round (1979-80) while larger establishments of these activities were surveyed by CSO during 1979-80.

1.0.4 The second All-India Economic Census was conducted in 1980 along with the house listing operations of the 1981 Population census. This census had a wider coverage than the earlier one since it covered the own-account enterprises also. In presenting the results, the establishments were further split into two categories as (i) Directory Establishments (DEs) and (ii) Non-directory Establishments (NDEs), the difference being that the former employed a total of six or more workers while the latter employed one to five workers. Thus, in all, three categories of enterprises were formed viz., (i) OAEs (ii) NDEs and (iii) DEs in the second Economic Census. As a follow-up to the second Economic Census, OAEs and establishments (NDEs and DEs together) engaged in the activities of transport, hotels & restaurants, storage & warehousing and services were surveyed during October 1983 to September 1984 by special staff of the Field Operations Division (FOD) of NSSO under the technical direction of CSO. This was followed by another survey on hotel, restaurant and transport in 1988 – 89 also by CSO.

1.0.5 The third All-India Economic Census was conducted in 1990 along with the house listing operations of the 1991 Population Census following the same concepts and definitions as in the second all-India Economic Census conducted in 1980 referred to above. However based on EC '90, a follow up survey on OAEs and establishments engaged in the activities of

storage & warehousing was undertaken as a part of Enterprise survey 1992-93 by CSO and similar follow up survey on OAEs and establishments was conducted in 1993-94 also by CSO.

1.0.6 Following this, two other surveys were undertaken with Population Census 1991 as sampling frame – (i) Special Enterprise Survey on enterprises in the unorganized sector during the period August '98 to June '99 and (ii) Informal sector enterprises as part of NSS 55th round during July 1999 to June 2000.

1.0.7 The fourth All India Economic Census was conducted in 1998 following the same concepts and definitions as in the third All India Economic Census conducted in 1990. EC '98 provides enterprise wise information at FSU level and as such it will be taken as the sampling frame for this round of survey as was done in the 56th round.

1.1 Survey particulars

1.1.1 **Subject Coverage:** The fifty-seventh round of NSS will cover all OAEs and establishments of unorganized service sector (excluding trade and finance). The details of the activities and enterprises to be covered in this round are outlined under Para 1.3.20.

In addition, the annual consumer expenditure enquiry covering some key characteristics of employment-unemployment will also be carried out on a sample of four households in each sample FSU.

1.1.2 **Geographical coverage:** The survey will cover the whole of the Indian Union *except* (i) Leh and Kargil districts of Jammu & Kashmir, (ii) interior villages of Nagaland situated beyond five kilometers of the bus route and (iii) villages in Andaman and Nicobar Islands which remain inaccessible throughout the year.

1.1.3 **Period of survey and work programme:** As mentioned earlier, fifty-seventh round will be of one year duration starting on 1st July 2001 and ending on 30th June 2002. The survey period of this round is divided into four sub-rounds of three months duration each as follows: -

Table 1: Sub-rounds and period of survey:

sub-round no.	period of survey
(1)	(2)
1	July-September 2001
2	October-December 2001
3	January-March 2002
4	April-June 2002

Equal number of sample FSUs will be allotted for survey in each of these four sub-rounds with a view to ensuring uniform spread of sample FSUs over the entire round. However attempt should be made to survey each such FSU during the sub-round to which it has been allotted. *Because of the arduous field conditions, this restriction need not be strictly enforced in Andaman and Nicobar Islands, Lakshadweep, rural areas of Arunachal Pradesh and Nagaland.*

1.1.4 Schedules of enquiry: The following Table lists the schedules of enquiry for the current round: -

Table 2: Schedules to be canvassed in NSS 57th round:

srl. no.	schedule no.	title of the schedule
(1)	(2)	(3)
1.	0.0	list of households and non-agricultural enterprises
2.	2.345	unorganized services (excluding trade and finance)
3.	1.0	household consumer expenditure

1.1.5 Participation of States: In this round all the States and Union Territories except Andaman & Nicobar Islands, Dadra & Nagar Haveli and Lakshadweep are expected to participate at least on an equal matching basis for the samples of general strata only. The following table shows the prevalent matching pattern of the participating States/UTs:

Table 3: Prevalent matching pattern* of the participating States/UTs

States / UTs	matching pattern
(1)	(2)
Nagaland (U), Delhi	Triple
J & K , Manipur	Double
Goa, Maharashtra (U)	One and half
All other States / UTs	Equal

(* For samples of general strata only)

It may be noted that Union Territory of Chandigarh is not participating in the rural sector for state sample.

1.2 Contents of Volume I

1.2.0 The present volume contains four chapters and four appendices. Chapter one, besides giving an overview of the whole survey operation, discusses the concepts and definitions of certain important technical terms used in the survey. It also describes in detail the procedure of selection of households/enterprises. Instructions for filling in the schedules 0.0, 2.345 and 1.0 are given in chapters two, three and four respectively. Appendix-I and Appendix-II give the list of the FOD sub-regions and the list of NSS regions respectively. Appendix-III gives the list of 66 towns of Karnataka where EC '98 work was done without using UFS blocks. Appendix-IV gives an overview of the sample design of the 57th round.

1.3. Concepts and Definitions:

1.3.0 Some broad information about the enterprises and households will be collected during listing. These are required mainly to identify and to have a frame of enterprises of different types for sample selection for canvassing schedule 2.345 and also to identify the households

for selection of households for schedule 1.0. The definitions of the terms required in this connection are given below.

1.3.1 House: Every structure, tent, shelter etc., is a house irrespective of its use. It may be used for residential or non-residential purpose or both or even may be vacant.

1.3.2 Household: A group of persons normally living together and taking food from a common kitchen will constitute a household. The members of a household may or may not be related by blood to one another. The following cases are to be noted:

(i) Each inmate (including residential staff) of a hostel, mess, hotel, boarding and lodging house etc., will constitute a single member household. If, however, a group of persons among them normally pool their income for spending, they together will be treated as forming a single household. For example, a family living in a hotel will be treated as a separate single household by itself.

(ii) Undertrial prisoners in jails and indoor patients of hospitals, nursing homes etc., are to be excluded but residential staff therein will be listed while listing is done in such institutions. The former persons will be considered as normal members of their parent households and will be counted there. Convicted prisoners undergoing sentence will be outside the coverage of the survey.

(iii) Floating population i.e. persons without any normal residence will not be listed. But households residing in open space, roadside shelter, under a bridge etc., more or less regularly in the same place will be listed.

(iv) Foreign nationals will not be listed, nor their domestic servants, if by definition they belong to the foreign national's household. In some cases, however, a foreign national might have become an Indian citizen for all practical purposes. Such persons will be covered.

(v) Barracks of military and para-military forces (like police, BSF etc.) are outside the survey coverage. However, civilian population residing in their neighbourhood, including the family quarters of service personnel are to be covered, for which, of course, permission may have to be obtained from appropriate authorities.

(vi) Orphanages, rescue homes, ashrams and vagrant houses are outside the survey coverage. However, the students staying in hostels (if any) and the residential staff (other than monks/nuns) of ashrams may be listed. For orphanages, although orphans are not to be listed, the persons looking after them and staying there may be considered for listing. It may be noted that *enterprises* run by all the above types of institutions are to be listed.

1.3.3 Household size: The number of normally resident members of a household is its size. It will include temporary stay-aways but exclude temporary visitors and guests. Even though the determination of the actual composition of a household will be left to the judgment of the head of the household, the following procedures will be adopted as guidelines:

(i) In deciding the composition of a household, more emphasis is to be placed on 'normally living together' than on 'ordinarily taking food from a common kitchen'. In case the place of

residence of a person is different from the place of boarding, he or she will be treated as a member of the household with whom he or she resides.

(ii) A resident employee, or domestic servant, or a paying guest (but not just a tenant in the household) will be considered as a member of the household with whom he or she resides even though he or she is not a member of the same family.

(iii) When a person sleeps in one place (say, in a shop or in a room in another house because of space shortage) but usually takes food with his or her family, he or she should be treated not as a single member household but as a member of the household in which other members of his or her family stay.

(iv) If a member of a household (say, a son or a daughter of the head of the household) stays elsewhere (say, in hostel for studies or for any other reason), he/she will not be considered as a member of his/her parent's household. However, he/she will be listed as a single member household if the hostel is listed.

1.3.4 Economic activity: Any activity resulting in production of goods and services that adds value to national product is considered as economic activity. Such activities include production of all goods and services for market i.e. production for pay or profit and the production of primary commodities for own consumption and own account production of fixed assets, among the non-market activities. The entire spectrum of human activity falls into two categories viz. economic and non-economic activities. The economic activities have two parts - market activities and non-market activities. Market activities are those that involve remuneration to those who perform it i.e., activity performed for pay or profit. These are essentially production of goods and services for the market including those of government services etc. Non-market activities are the production for own consumption of primary products including own account processing of primary products and own account production of fixed assets. However the whole spectrum of economic activities as defined in the UN System of National Accounts (SNA) will not be covered under 'economic activity' for this round. In this round, the term "economic activity" will include:

(i) all the market activities described above i.e. the activities performed for pay or profit, and

(ii) of the non-market activities:

(a) all the activities relating to agricultural sector which result in production (including gathering of uncultivated crops, forestry, collection of firewood, hunting, fishing etc.) of agricultural produce for own consumption and

(b) the activities relating to the own-account production of fixed assets. Own account production of fixed assets includes construction of own houses, roads, wells etc., and of machinery, tools etc. for household enterprise and also construction of any private or community facilities free of charge. A person may be engaged in own account construction either in the capacity of a laborer or a supervisor.

It is to be noted that like earlier rounds, *the activities like prostitution, begging, smuggling etc. that may result in earnings will not, by convention, be considered as economic activities.*

1.3.5 Self-employed: Persons who are engaged in their own farm or non-farm enterprises are defined as self-employed. There are different types of self-employed persons. Some may operate their enterprises without hiring any labour. Others normally work on their own but occasionally hire a few labourers. There is also a third category that by and large regularly runs their enterprises by hiring labour. The first two groups of self-employed are known as 'own account workers' and the third as 'employers'.

1.3.6 Manual work is work, which essentially involves physical operations. However, jobs essentially involving physical labour but also requiring a certain level of general, professional, scientific or technical educations are not to be termed as manual work. On the other hand, jobs neither involving much of manual labour nor requiring much educational background are to be treated as manual work. Thus, engineers, doctors, dentists, midwives etc. are not considered as manual workers even though their jobs involve some amount of physical labour. But peons, chowkidars, watchmen etc. are considered as manual workers even though their work may not involve much physical labour. Manual work will cover one or more of the following occupational groups of the National Classification of Occupations (Revised 1968): -

Division 5 - Service workers: -

Group 52: cooks, waiters, bartenders and related workers.

Group 53: maids and other housekeeping service workers.

Group 54: building caretakers, sweepers, cleaners and related workers.

Group 55: launders, dry cleaners and pressers.

Group 56: Hairdressers, barbers, beauticians and related workers.

Family 570: fire fighters.

Family 574: watchmen, gatekeepers

Family 579: protective service workers not elsewhere classified.

Division 6: Farmers, Fishermen, Hunters, Loggers and related workers: -

Group 63: agricultural labourers.

Group 64: plantation labourers and related workers.

Group 65: other farm workers.

Group 66: forestry workers.

Group 67: hunters and related workers.

Group 68: fishermen and related workers.

Divisions 7-8-9: Production & related workers, Transport equipment operators and Labourers: -

All groups excluding Group 85 (electrical fitters and related workers) and Group 86 (broadcasting station and sound equipment operators and cinema projectionists).

1.3.7 Rural labour: Manual labour (by a person living in rural area) in agricultural and/or non-agricultural occupations in return for wages/salary either in cash or kind (excluding exchange labour) is defined as 'rural labour'.

1.3.8 Means of livelihood: For the purpose of preparing frame of households for canvassing schedule 1.0, every household is to be placed into one and only one of the following categories of means of livelihood (m.l.):

Rural Households

1. Self-employed in non-agriculture
2. Rural labour
3. Others

Urban households

1. Self-employed
2. Regular wage/salary earning
3. Casual labour
4. Others

For a majority of the households, there may be only one source of income and, thus, their placement will be relatively straightforward. In a few cases, where there are two or more sources of income, following procedure is to be adopted for determining m.l. code/category:

For urban households, m.l. class to be recorded will be either of 'self employed', 'regular wage/salary earning', 'casual labour' and 'others' depending upon the source which fetched maximum income to the household during the last 365 days preceding the date of survey.

For rural households also, the means of livelihood of a household will be decided on the basis of the sources of the household's income during the last 365 days preceding the date of survey. However, the procedure to be adopted will be as follows:

- a) Group the sources of the household's income from economic activities during the last 365 days into the four categories as given below: -
 - (i) self-employment in non-agriculture
 - (ii) self-employment in agriculture
 - (iii) wage-paid manual labour (i.e., rural labour) and
 - (iv) wage-paid non-manual employment.
- b) See if the income from source (iii) is more than (or equal to) the income from sources (i) and (ii) combined and is also more than the income from source (iv). If so, the household will be 'rural labour', as per m.l. criterion.
- c) If not, then see if income from source (i) is more than the income from source (iii) and is also more than (or equal to) the income from sources (ii) and (iv). If so, the household's m.l. class will be 'self-employment in non-agriculture'.
- d) In all other cases, m.l. class will be recorded as 'others'.

1.3.9 Please note that for deciding the means of livelihood of a household, the income of servants and paying guests will not be taken into account. Also, only the economic activities are to be taken into account.

1.3.10 Enterprise: An enterprise is an undertaking which is engaged in the production and/or distribution of some goods and/or services meant mainly for the purpose of sale, whether fully or partly. An enterprise may be owned and operated by a single household, or by several households jointly, or by an institutional body.

1.3.11 Non-agricultural enterprise: All enterprises covered under Tabulation Categories 'A' and 'B' of NIC '98 are "agricultural enterprises" while the others covered under Tabulation Categories 'C' to 'Q' are "non-agricultural enterprises". The NIC '98 booklets may be used for recording NIC codes in various schedules. *For the present round, non-agricultural enterprises under Tabulation Category 'L', 'P' & 'Q' will be kept out of the purview of listing in sch. 0.0.* All other non-agricultural enterprises will be henceforth referred to as NAEs for the purpose of listing in sch.0.0 of this survey. Reference may also be made to paragraph 1.3.20 of this chapter for further details regarding listing of various activities, under coverage of this round.

1.3.12 Own account enterprise (OAE): An own account enterprise is an undertaking run by household labour, usually without any hired worker employed on a 'fairly regular basis'. By 'fairly regular basis' it is meant the major part of the period of operation(s) of the enterprise during the last 365 days.

1.3.13 Establishment: Enterprises that have got at least one hired worker on a 'fairly regular basis' are called establishments. Paid or unpaid apprentices, paid household member/servant/resident worker in an enterprise are considered as hired workers. Establishments have been further sub-divided into two classes: (i) Non-directory establishment (NDE) and (ii) Directory establishment (DE).

1.3.13.1 Non-directory establishment (NDE): An establishment having one to five workers (household and hired taken together) is termed as a non-directory establishment.

1.3.13.2 Directory establishment (DE): A directory establishment is an establishment that has got six or more workers (household and hired taken together).

1.3.14 Seasonal enterprise: Enterprises that are usually run in a particular season or fixed months of a year are called seasonal enterprises.

1.3.15 Perennial enterprise: Enterprises that are run more or less regularly throughout the year are called perennial enterprises.

1.3.16 Casual enterprise: Enterprises that are run occasionally, for at least 30 days *in total* in the last 365 days are called casual enterprises.

1.3.17 Household enterprise: A household enterprise is one which is run by one or more members of a household or run jointly by two or more households on partnership basis irrespective of whether the enterprise is located in the premises of the household(s) or not. In other words, all proprietary and partnership enterprises are household enterprises.

1.3.18 Non-household enterprise: Non-household enterprises are those, which are institutional i.e.. owned and run by the public sector (Central or State Government, local self-governments, local bodies, government undertakings, etc.), corporate sector, co-operative societies, other types of societies, institutions, associations, trusts, etc.

1.3.19 Unorganized sector enterprise: The unorganized sector comprises the following types of enterprises:

(i) All the enterprises except units registered under section 2m(i) and 2m(ii) of factories act, 1948 and Bidi and Cigar workers (condition of employment) act 1966.

(ii) All enterprises except those run by Government (Central, State, Local bodies) / Public Sector Enterprises.

1.3.20 Activity coverage: This survey will cover the activities classifiable under different tabulation categories viz. H, I, K, M, N and O of NIC '98. Further details giving the coverage of various activities are summarized below in a tabular form in a manner that may facilitate in making correspondences with the second stage strata (SSS) formation (for detail see Para 1.4.8).

Activity / NIC'98 code	Coverage
1. Storage & warehousing (NIC code 6302)	<p>The operation of storage and hiring out of warehouses to the farm producer, dealer, trader, processor and manufacturing enterprises, as an independent business is covered in this survey. Warehousing services may be provided to the private individuals/households also.</p> <p>Storage and warehousing services in respect of grains, other food articles, oil seeds and other agricultural commodities like cotton, jute and tobacco are included. Also included are the refrigerated storage facilities on hire to other enterprises for potato, fruits, dairy products, fish and other food products and also refrigerated food locker on rental services chiefly delivered to individual household. Storage of all manufactured products including textiles, machine tools, apparatus and equipment are to be included. Space for lumber, waste and scrap materials is to be included.</p> <p><i>But farm produce stored by the owner of the farm in his own godown or a dealer or a manufacturer storing his commodities in his own godown or warehouse are excluded from the scope of this survey. Also excluded are the establishments of Central Warehousing Corporation, State Warehousing Corporations and the warehouses of the Central and State Governments. Lockers in commercial banks and in other type of enterprises for safe storage of precious belongings are also excluded</i></p>

Activity / NIC'98 code	Coverage
2. Hotels (NIC code 551)	<p>A hotel is an enterprise that provides lodging services with or without arrangements for meals, other prepared food and refreshments. Dharamshala type lodging places, Private Guest/rest houses, hostels, mess, hostels attached to educational institutions, students homes, hostel for working girls, tourist lodges etc. are also to be covered under hotels <i>provided they are run by private organizations.</i></p> <p>Similar facilities provided through workers employed exclusively for these specific activities by religious organization like YMCA, R K Mission etc. and also by other membership organizations like Lions club, Rotary club etc. will also be covered under hotels.</p> <p><i>However similar facilities if provided by Govt./PSU/Local body/Statutory bodies (e.g. ISI, IIT, Universities etc.) are excluded from the preview of the coverage of this survey.</i></p>
3. Post & Tele-communication (NIC code 64)	<p>All enterprises providing communication services, not owned by government, Public Sector undertakings and local bodies will be covered.</p> <p>This will include courier services, ISD/STD/ PCO booths, Voice Mail Services through computer networking, Video/fax services, phone plus services, voiced and non-voiced leased circuits, telex/FAX/data services through computer network, radio paging, audio services and activity of cable operators etc. <i>However activities of the cellular service operators are outside the coverage of this survey.</i></p>
4. Mechanized road transport, (NIC codes 6021, 60221, 60231)	<p>Transport means rendering transport service to others as a business proposition.</p> <p>Transport activity relates to the act of carrying passenger and/or goods from one place to another. They may be passenger transport by bus (including tramways), passenger transport by other motor vehicles, freight transport by motor vehicles or any other road transport by mechanized vehicle.</p>
5. Real estate, renting and business activities (NIC codes 70-74)	<p>Real estate activities are covered under NIC code 70. They include activities like: (i) purchase, sale, letting and operating of real estate i.e. residential/non-residential buildings, (ii) developing and sub-dividing real estate into lots, (iii) lessors of real property and (iv) real estate agents, brokers and managers engaged in renting, buying and selling, managing and appraising real estate on a contract or fee basis. <i>Letting out of an accommodation will not be included except in case of real estate agents running such a business.</i></p> <p>Renting of machinery and equipment will be covered under NIC code 71. Note that a household hiring out machinery & equipment or household</p>

Activity / NIC'98 code	Coverage
Real estate, renting and business activities (contd.)	durables will also be treated as an enterprise. All business activities classifiable under NIC codes 72 to 74 are to be covered in this survey.
6. Health and social work (NIC code 85)	<p>All enterprises engaged in health and medical services <i>other than those owned by government, public sector undertakings, local bodies will be covered, irrespective of the system of medicine.</i></p> <p>All dispensaries, clinics and consultation chambers run by doctors will be covered. The survey will also cover activities of veterinary services including bird hospitals. An employed doctor and para-medical person (such as midwife, dai etc.) doing private practice will be covered and his/her private practice alone will be considered as an enterprise. All kinds of health clubs are included in this activity.</p> <p>Similar facilities provided through workers employed exclusively for these specific activities by religious organization like YMCA, R K Mission etc. and also by other membership organizations like Lions club, Rotary club etc. will also be covered under health and social work.</p>
7. Restaurants (NIC code 552)	<p>A restaurant generally provides eating and drinking services where prepared meals, food and refreshments and other snacks are sold for immediate consumption without any provision for lodging.</p> <p>Such establishments are variously known as restaurants, cafes, cafeteria, snack bars, lunch counters, refreshment stands, milk bar canteens, etc. Bars and other drinking places will also be treated as restaurants. Canteens located in offices, factories, etc. will be treated as restaurants if they are operated by private contractors. <i>But departmental canteens run by government will be excluded.</i></p>
8. Education (NIC code 80)	<p>All educational institutions <i>not recognized by Central/State/Local Govts./autonomous bodies like AICTE, IIT, University etc. are to be covered.</i> Research and scientific services rendered by institutions and laboratories are also covered provided they satisfy the above criterion. These may be engaged in research in biological, physical and social sciences. Meteorological institutes and medical research organizations are also included.</p> <p>Management training institutes, computer training centers, nursing schools, schools of music, drama, dance, fine arts, modeling, fashion designing, yoga and physical education and general coaching centers (e.g. for various competitive examinations) etc. are to be covered.</p> <p>Similar facilities provided through workers employed exclusively for these specific activities by religious organization like YMCA, R K -</p>

Activity / NIC'98 code	Coverage
Education (contd.)	Mission etc. and also by other membership organizations like Lions club, Rotary club etc. will also be covered under education.
9. Other community, social and personal service activities & other transport (NIC codes 601, 60222, 60232, 61,6301, 6303, 6304, 6309, 90, 911,9191, 92, 93)	<p>Transport of passengers and/or goods in land, <i>other than by mechanized road transport</i> will be covered in this activity group. Activity of travel agency and tour operators, activities of other transport agency, supporting services incidental to transport such as packing, freighting, travel agency etc. will also be covered under other transport. The following activities are also to be covered : (i) hackney carriages, carriage by bullock-carts/ekka/tonga etc. (ii) transport by animals like horses, elephants, mules, camels, etc., (iii) transport by man including rickshaw-pullers, cart-operators, etc., (iv) All kinds of water transport, (v) supporting services to land transport like operation of highway bridges, toll roads, parking lots, etc. and (vi) supporting services to water transport like operation and maintenance of piers, docks, light house, loading and discharging vessels, etc. All these activities are broadly covered under NIC codes 601, 60222, 60232, 61,6301, 6303, 6304 & 6309. <i>However transport via pipeline and air transport are beyond the coverage of this survey.</i></p> <p>This survey will also cover the activities like sewage and refuse disposal, other service activities like washing and cleaning of textile products, hair dressing, beauty parlors, funeral and related activities, massage saloons, sauna baths, activities of shoe shiners, porters, car parkers etc; activities such as portrait and commercial photographic studios etc. classified under NIC code 93. Palmists and astrologers will also be covered here. <i>It may be noted that individuals serving as housemaids, cooks, gardeners, governess, baby sitters, chowkidars, night watchmen, etc. will in general be outside the coverage of the present survey.</i> However, if such activities are provided by some agencies against prescribed fees, those agencies will be treated as enterprises under respective NIC codes. For example, an agency, which supplies baby sitters or nurses or night watchmen with some profit margin, will be covered in this survey.</p>

It may be noted that if any service sector enterprises under coverage in this round is run by religious/political/other membership organizations with at least one worker hired for the services it provides then it will be covered with respective NIC code of that activity.

1.4: Selection of hamlet-groups/sub-blocks / households/enterprises - important steps

1.4.0 Proper identification of the FSU boundaries: The first important task of the field investigators is to ascertain the exact boundaries of the sample FSU as per its identification particulars given in the sample list. For urban samples, the boundaries of each Urban Frame survey (UFS) block may be identified by referring to the map corresponding to the frame code specified in the sample list (even though map of the block for a latter period of the UFS might be available). However for 66 towns for Karnataka where EC '98 work was done without

using UFS blocks, the boundaries of each selected ward are to be ascertained by referring to the appropriate map.

1.4.1 Formation of segment 9: Having determined the boundaries of the sample FSU, all big non-agricultural enterprises having 200 or more workers in the entire FSU and having operated at least one day during last 365 days preceding the day of survey (hereinafter to be called as big enterprises for brevity) will be listed and eligible units under coverage will be surveyed separately in addition to the eligible smaller enterprises (i.e. enterprises having less than 200 workers and having operated at least one day during last 365 days preceding the day of survey) under coverage to be surveyed as per normal procedure. All the listed big units (whether under coverage or not) will constitute segment 9.

1.4.2 Decision on hamlet-group/sub-block formation: Having constituted segment 9 as stated above, a **decision** has to be taken whether listing has to be done in the whole sample FSU or not for formation of sampling frame of the smaller enterprises. For this, approximate present population (P) and approximate total number of non-agricultural enterprises (E) for the whole of sample FSU may be ascertained first from knowledgeable persons. While ascertaining the approximate number of non-agricultural enterprises for formation of hg's/sb's, big enterprises will be excluded. Depending upon the values of 'P' and 'E', decision may be taken to divide the sample FSU into a fixed number of hamlet-groups (hg's - the term applicable for rural samples) / sub-blocks (sb's - the term applicable for urban samples) as per the rules given below:

Table 4 : Determination of number of hg's/sb's

Value of P	no. of hg's/sb's to be formed in the FSU as per population criterion	value of E	no. of hg's/sb's to be formed in the FSU as per enterprise criterion
(1)	(2)	(3)	(4)
0 - 1200	1 @	0 - 120	1 @
1201 - 1600	4	121 - 160	4
1601 - 2000	5	161 - 200	5
2001-2400	6	201 - 240	6
2401 -2800	7	241 - 280	7
(and so on)		(and so on)	

@ no. of hg's/sb's = '1' means the whole FSU is to be considered for listing

[For rural areas of Himachal Pradesh, Sikkim and Poonch, Rajouri, Udhampur and Doda districts of Jammu & Kashmir, number of hg's to be formed in the village as per population criterion will be : 1 for $P \leq 600$, 4 for $601 \leq P \leq 800$, 5 for $801 \leq P \leq 1000$, 6 for $1001 \leq P \leq 1200$ and so on (procedure remains unchanged as per enterprise criterion)]

For selected wards of the aforesaid 66 towns of Karnataka constituent UFS blocks will be treated as sub-blocks and as such no sub-block formation will be resorted to in the selected UFS blocks. However only two UFS blocks will be selected from these selected wards: one satisfying some criterion with probability 1 and the remaining by simple random sampling. In case there are only two or less UFS blocks, all will be selected.

1.4.3 The number (D) of hamlet-groups (hg's)/ sub-blocks (sb's) to be **actually** formed in the sample FSU will be the **higher** of the two values as per population and enterprise criteria. If value of P is less than or equal to 1200 (600 for certain hilly areas specified above) *and/or* value of E is less than or equal to 120 for an FSU, hg/sb formation should not be resorted to and the whole of sample FSU has to be considered for listing. It is to be noted that D will be the number of UFS blocks constituting the selected wards of the aforesaid 66 towns of Karnataka.

1.4.4 **How to form hamlet-groups/sub-blocks ?** : In case hg's/sb's are to be formed in the sample FSU, the same may be always done by more or less **equalizing** population (refer to chapter two for details). Please note that while doing so, it is to be ensured that the hg's/sb's formed are clearly identifiable in terms of physical landmarks. As stated in para 1.4.2 there will be no sub-block formation in the selected UFS blocks of the sample wards of the aforesaid 66 towns of Karnataka and these sample wards will be treated like FSU with sub-block formation, where sub-blocks are the UFS blocks in reality.

1.4.5 **How to form segments 1/2 ?** : After formation of hg's/sb's in large FSUs of sub-strata 1-9, the hg/sb having maximum number of sub-stratum specific establishments/OAEs (e.g. storage & warehousing establishments/OAEs for sub-stratum1, hotel establishments/OAEs for sub-stratum 2 and so on – for details about stratum/sub-stratum please see Appendix-IV) will be selected with probability 1 and designated as *segment 1*. In case there is no establishments/OAEs specific to the respective sub-stratum then segment 1 will be decided on the basis of number of establishments/ OAEs specific to other sub-stratum (details may be seen in chapter 2.) After formation of hg's/sb's in large FSUs of sub-strata 10 and 11, segment 1 will be decided on the basis of total number of enterprises. If there is no enterprise at all in the large FSU of any sub-stratum, the hg/sb with maximum percentage share of population will be taken as segment 1. In case, there is more than one hg/sb satisfying the condition of labeling as segment 1, some objective criterion (details may be seen in chapter 2) is to be considered for selection of hg/sb to be labeled as **segment 1**. Two other hg's/sb's will be selected from the remaining (D-1) hg's/sb's by circular systematic sampling with equal probability. These two together will constitute *segment 2* and combined listing and selection of enterprises/ households will be done.

For 66 towns of Karnataka constituent UFS blocks of the selected wards will be listed first and then two UFS blocks will be selected: one having maximum number of enterprises of the category specific to the sub-stratum will be selected with probability 1 and labeled as segment 1 and another will be selected with Simple Random Sampling out of the remaining and labeled as segment 2. In case, number of UFS blocks available in the selected block is two then both will be selected and the one having maximum number of enterprises of the category specific to the sub-stratum will be selected with probability 1 and labeled as segment 1 and the other will be labelled as segment 2. If there is only one UFS block in the selected ward this block will be selected and labeled as segment 1.

Listing and selection of enterprises/households will be done separately for segment 1 and segment 2.

FSUs not undergoing hg/sb formation will be identified as segment 1 for the purpose of processing.

It may be noted that formation of segment 9 is altogether different from that of segment 1 and segment 2.

1.4.6 Listing of households/enterprises vis-à-vis their frame: Having determined the segments i.e. area(s) to be considered for listing, the next step is to list all the households and NAEs [including those found to be temporarily locked after ascertaining temporariness of locking of households /NAEs from local enquiry]. Although all NAEs are to be listed, only the unorganized service sector establishments/OAEs (excluding trade and finance) under 5-digit code of Tabulation categories viz H,I,K,M,N&O of NIC '98 and operated for at least 30 days (15 days for seasonal enterprises) during the reference year (i.e. last 365 days preceding the date of survey) will **qualify** for the survey. Such establishments/OAEs will hereafter be referred to as '**eligible establishments/OAEs**'. Listing of households as well as eligible establishments/OAEs for the purpose of sample selection will be independent for segments 1 & 2 (*Hereinafter enterprises will mean eligible establishments/OAEs only.*)

1.4.7 Sampling of households (for schedule 1.0): A sample of 4 households will be selected from the households listed in the sample FSUs for canvassing schedule 1.0: Household consumer expenditure. In sample FSUs with hg/sb formation, two households will be selected from each of the two segments for this purpose. In the case of selected wards of 66 towns of Karnataka, treatment will be the same as that of sample FSU with hg/sb formation. If, however, there is a shortfall in the required number of households in a particular segment, the quota for the other segment shall be increased so that a total of 4 households is selected in all.

If the number of households (H) in the frame is less than 4 then all the households will be selected. If $H \geq 4$ the households will be first arranged by their means of livelihood and then the required number of sample households will be selected **circular systematically** with a random start for each segment of the sample FSUs separately.

1.4.8. Stratification of Second Stage Units: In each segment of the sample FSU, attempt will be made to divide enterprises into nine-second stage strata (SSS) as under:

- SSS 1: Storage and Warehousing
- SSS 2: Hotel
- SSS 3: Post and Telecommunications
- SSS 4: Mechanized Road Transport
- SSS 5: Real Estate, Renting & Business Activities (i.e. Tabulation category K of NIC '98)
- SSS 6: Health & Social Work (i.e. Tabulation category N of NIC '98)
- SSS 7: Restaurant
- SSS 8: Education (i.e. Tabulation category M of NIC '98)
- SSS 9: Other Community, Social and Personal Service Activities (i.e. Tabulation category O of NIC '98) and other transport

In each SSS the enterprises will again be divided into two types: one 'OAEs' and the other 'establishments', wherever possible. As there are two segments, two enterprise types and nine SSS, there will be a maximum of 36 combinations in all.

1.4.9. Number of enterprises to be selected: Considering that there will be 36 combinations (segment x SSS x enterprise type), 36 enterprises (1 enterprise per combination) have to be selected if enterprises are available in all the combinations. As per NSS 55th round the average number of enterprises listed in a sample FSU is found to be 11 for activities under

coverage of the present round. Thus it is very likely that only a few of these combinations will be available in most of the sample FSUs. The procedure for ascertaining the number of enterprises to be selected as well as compensation of enterprises if any is outlined below:

In a sample FSU, a maximum of 18 OAEs and 18 Establishments (36 enterprises) are to be surveyed. The various possibilities and related procedure of selection is described below:

		FSUs without hg's/sb's formation	FSUs with hg's/sb's formation
Case 1:	The total number of establishments or the total number of OAEs is ≤ 18 .	Select all for canvassing sch. 2.345.	Select all for canvassing sch. 2.345.
Case 2:	Either the total number of establishments or the total number of OAEs is > 18	<p>The objective is to select at most 18 OAEs and 18 establishments. The following steps are to be followed separately for OAEs and establishments.</p> <p>Step 0: If number of establishments (OAEs) is ≤ 18, select all of them.</p> <p>Step-1: Start from SSS 1 and allot 2 establishments (OAEs) at a time to an activity (wherever possible). Go up to SSS 9 in this manner. If desired number of enterprises are not achieved, go to Step 2.</p> <p>Step-2: Start from SSS 1 and allot 1 establishment (OAE) at a time to an activity (wherever possible). Go up to SSS 9 in this manner. If desired number of enterprises are not achieved, go to Step 3.</p> <p>Step-3: Repeat step 2 till the desired number of enterprises are selected.</p>	<p>The objective is to select at most 18 OAEs and 18 establishments. The following steps are to be followed separately for OAEs and establishments.</p> <p>Step 0: If number of establishments (OAEs) is ≤ 18, select all of them.</p> <p>Step-1: Start from SSS 1 and allot 1 establishment (OAE) at a time first in segment 1 and then in segment 2 (wherever possible). Go up to SSS 9 in this manner. If desired number of enterprises are not achieved, go to Step 2.</p> <p>Step-2: Start from SSS 1 and allot 1 establishment (OAE) at a time first in segment 1 and then in segment 2 (wherever possible). Go up to SSS 9 in this manner. If desired number of enterprises are not achieved, go to Step 3.</p> <p>Step-3: Repeat step 2 till the desired number of enterprises are selected.</p>

Note: After completion of the various steps mentioned above in any FSU, see whether in any segment X activity X enterprise type there are more than 8 enterprises. If so, reduce the number of enterprises to be selected from that segment X activity X enterprise type to 8 (**step 4**).

1.4.10 Selection of enterprises: Enterprises will be selected independently from each combination (segment x SSS x enterprise type) with **SRSWOR** (sch.2.345). Some examples of selection of enterprises are given below:

Examples of selection of enterprises

1. FSUs without hamlet group formation

a)

activity	number of establishments		number of OAEs		remarks
	in the frame	selected	In the frame	selected	
1	10	10	10	10	Since the total number of enterprises in the FSU is equal to 36, all are selected for detailed enquiry.
2	0	0	0	0	
3	0	0	0	0	
4	0	0	0	0	
5	0	0	6	6	
6	0	0	0	0	
7	0	0	0	0	
8	0	0	0	0	
9	10	10	0	0	
all	20	20	16	16	

b)

activity	number in the frame		number selected						remarks
	establishments	OAEs	establishments		OAEs			total	
			step 1	step 4	step 1	step 2	step 3		
1	10	0	10	8	0				Since the total number of enterprises in the FSU is more than 36, selection is required. Since number of establishments is less than 18, all are selected in step 1. After that, from the OAEs, 18 are selected in steps 1 to 3. Now, total number of establishments is restricted to 8 for activity 1.
2	0	4	0		2	1		3	
3	6	3	6	6	2	1		3	
4	0	6	0		2	1		3	
5	0	2	0		2	-		2	
6	0	5	0		2	1		3	
7	0	2	0		2	-		2	
8	0	2	0		2	-		2	
9	0	0	0		0	-		0	
all	16	24	16	14	14	4		18	

2. FSUs with hamlet group formation

a)

activity	number of establishments				number of OAEs				remarks
	segment 1		segment 2		in the frame		selected		
	in the frame	selected	in the frame	selected	in the frame	selected	in the frame	selected	
1	0	0	0	0	0	0	6	6	Since the total number of enterprises in the FSU is equal to 36, all are selected for detailed enquiry.
2	1	1	0	0	0	0	0	0	
3	2	2	10	10	0	0	0	0	
4	0	0	0	0	0	0	0	0	
5	0	0	2	2	5	5	0	0	
6	0	0	0	0	0	0	0	0	
7	0	0	0	0	7	7	0	0	
8	2	2	0	0	0	0	0	0	
9	1	1	0	0	0	0	0	0	
all	6	6	12	12	12	12	6	6	

b)

activity	number of establishments	number of OAEs	remarks
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	segment 1		segment 2		segment 1		segment 2		Since the total number of establishments in the FSU is equal to 17, all are selected for detailed enquiry. From the 29 OAEs we have to select 18. To achieve this, we are selecting one at a time starting from activity 1 first from segment 1 and then from segment 2 till we reach a total of 18 selected OAEs. After this selection process is over, we are observing that a total of 10 establishments have been selected from activity 3, segment 1. Hence, this number has been brought down to 8.
	in the frame	selected							
1	0	0	0	0	14	5	5	4	
2	1	1	0	0	0	0	2	2	
3	2	2	10	8	0	0	0	0	
4	0	0	0	0	0	0	0	0	
5	0	0	1	1	5	4	0	0	
6	0	0	0	0	0	0	0	0	
7	0	0	0	0	3	3	0	0	
8	2	2	0	0	0	0	0	0	
9	1	1	0	0	0	0	0	0	
all	6	6	11	9	22	12	7	6	

explanation of selection of OAEs														
number of OAEs														
activity	segment 1							segment 2						
	in the frame	selected						in the frame	selected					
		step 1	step 2	step 3	step 3 (contd)	step 3 (contd)	total		step 1	step 2	step 3	step 3 (contd)	step 3 (contd)	total
1	14	1	1	1	1	1	5	5	1	1	1	1	-	4
2	0	0	0	0	0		0	2	1	1	0			2
3	0	0	0	0	0		0	0	0	0	0			0
4	0	0	0	0	0		0	0	0	0	0			0
5	5	1	1	1	1		4	0	0	0	0			0
6	0	0	0	0	0		0	0	0	0	0			0
7	3	1	1	1	0		3	0	0	0	0			0
8	0	0	0	0	0		0	0	0	0	0			0
9	0	0	0	0	0		0	0	0	0	0			0
total	22	3	3	3	2	1	12	7	2	2	1	1		6

Chapter Two

Schedule 0.0 : List Of Households And Non-Agricultural Enterprises

2.0.0 Introduction: Schedule 0.0 is meant for listing all the houses, households residing in the sample FSU (or segment 1 & 2 in case of large FSUs) along with all the non-agricultural enterprises including those without fixed premises found to operate for at least one day during the last 365 days preceding the date of survey. Some household particulars like household size, means of livelihood, number of home-based self employed members, number of distinct enterprises owned by household members and some enterprise particulars like description of activity, number of hired and total workers, NIC codes etc. are also collected. These auxiliary information will be used for arranging the households and grouping the enterprises into different broad activity groups and enterprise classes. Thus the sampling frames for selection of households / enterprises for each of the broad activity group \times enterprise class are prepared and details of the selection of sample households / enterprises are recorded. 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 EC '98 village (panchayat wards for Kerala) in the rural sector. The FSUs in the urban sector are the Urban Frame Survey (UFS) blocks except for 66 towns of Karnataka given in Appendix-III where administrative units viz. municipal wards are the FSUs (necessitated because EC '98 was done without using UFS blocks). The list of UFS blocks as per EC '98 has been considered as sampling frame for selection of sample blocks in all cities and towns except for the aforesaid 66 towns of Karnataka. In the case of 66 towns of Karnataka, list of wards as per EC '98 has been taken as the sampling frame for selection of sample wards. It is indicated in the sample list under the head "frame code" as to which particular list has been used as the sampling frame for selection of FSUs. The investigator, on arrival at a sample village (or panchayat ward for Kerala)/UFS block (hereinafter called block)/ward (for the aforesaid 66 towns of Karnataka) will ascertain the exact boundaries of the sampled FSU as per details in the sample list. 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 in the urban areas.

2.0.2 Listing of big non-agricultural enterprises and formation of segment 9 : After ascertaining the boundaries of the sample FSU, all the non-agricultural enterprises having 200 or more workers and which operated for at least one day during last 365 days will be listed in block 2 of schedule 0.0. This will constitute *segment 9* of the FSU. Wherever big enterprises are available, segment 9 will be formed in the sample FSU irrespective of hg/sb formation. For the FSUs without hg/sb formation, listing of enterprises for segment 9 in block 2 and the listing of enterprises in block 4 may be done simultaneously. For the FSUs requiring hg/sb formation, listing of enterprises of segment 9 in block 2 may be done at the time of the listing of hamlets (described in the para 2.0.3.1). While listing the enterprises in block 4, these big enterprises are not to be included again.

2.0.3 Formation of hamlet-groups (hg's) and formation of segment 1 and 2: With a view to controlling the work load mainly at the stage of listing of households/enterprises, hamlet-group selection will be resorted to in the 'large' FSUs. A large FSU 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 FSU and/or the approximate number of non-agricultural enterprises found to exist in the sample village. The criteria for deciding the

number of hg's to be formed in a large village have been discussed in detail in Chapter One. Following procedure may be adopted for forming segments 1 & 2:

Case I: For FSUs belonging to sub-strata 1-9: The hg's having maximum number of establishments/OAEs belonging to the sub-stratum specific activity (e.g. storage & warehousing activity for sub-stratum 1, hotel activity for sub-stratum 2 and so on) in the FSU will be selected with certainty and designated as *segment 1*. If in a particular hg the sub-stratum specific establishments/OAEs are not available, then segment 1 will be decided on the basis of maximum number of establishments/OAEs belonging to activities specified in sequential order of other sub-strata. To begin with, the next higher numbered sub-stratum will be considered. If establishments/OAEs belonging to the activity specific for this sub-stratum are available in the FSU under consideration, then segment 1 will be formed on the basis of these units. But if establishments/OAEs of that activity are also not available, then those belonging to the specific activity of the next higher numbered sub-stratum will be considered and so on till sub-stratum 9 is reached. If sub-stratum 9 specific activity is also not available, then the exercise may be done with sub-stratum 1, sub-stratum 2 and so on. If no establishment/OAE belonging to any of the activities under survey coverage (i.e. activities 1 – 9 vide para 1.3.20 of Chapter One) is available in the FSU, then hg with maximum percentage share of population as per col (3) of block 3.2 will be selected for survey with certainty and will be marked as segment 1.

Case II: For FSUs belonging to sub-strata 10 & 11: The hg having maximum number of enterprises will be selected with certainty and designated as *segment 1*. If no establishment/OAE belonging to any of the activities under survey coverage is available in the FSU, then hg with maximum percentage share of population as per col (3) of block 3.2 will be selected for survey with certainty and will be marked as segment 1.

Two more hamlet-groups will be selected for survey from the remaining hg's of the sample FSU with equal probability following the method of circular systematic sampling and they together will be marked as *segment 2*. The procedure for listing hamlets, forming segment 9 and forming hamlet-groups is outlined below:

2.0.3.1 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 and identify the hamlets which have at least one big non-agricultural enterprise (i.e. non-agricultural enterprise with 200 or more workers).
- (iii) For each of the hamlets identified in (ii) above as having big enterprises, all the big non-agricultural enterprises in the hamlet will be listed in block 2.
- (iv) Draw a notional map in block 3.3 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 land marks 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 3.1 of sch. 0.0 in the order of their numbering. Indicate the present population content in terms of percentages and hamlet type.

(v) Grouping the hamlets into D hamlet-groups is then to be done. 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. Indicate the grouping in the map.

(vi) Numbering of hamlet-groups will be done next in block 3.2 of sch. 0.0. Hamlet-groups will be numbered serially in col.(1) of block 3.2. The hamlet-group containing hamlet no. 1 will be numbered as 1, the hamlet-group with next higher hamlet no. 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.

2.0.4 Formation of sub-blocks and their selection: Procedure for formation of sub-blocks, identification of the sub-blocks having big non-agricultural enterprises and listing of big non-agricultural enterprises is 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 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 col.(1) of block 3.2. For each sub-block, ascertain the approximate present population of the sub-blocks in terms of percentage of the total population and identify the sub-blocks having big non-agricultural enterprises. Record the percent population of each sub-block in col.(3) of block 3.2. List the big non-agricultural enterprises in block 2 from the identified sub-blocks to form *segment 9*. Selection of sub-blocks, formation of *segment 1* and *segment 2* are exactly same as that for rural FSUs with hg formation.

2.0.4.1 For 66 towns of Karnataka where FSUs are wards instead of UFS blocks, following modifications may be noted:

- i) each UFS block within the selected ward will be treated as a sub-block.
- ii) if there is only one UFS block within the ward (i.e. ward is same as the UFS block), no segment formation is necessary. The entire FSU will be considered as segment 1.
- iii) if there are only two UFS blocks within the ward, then one will be identified as segment 1 according to the criteria of maximum number of enterprises as described earlier. The other will be segment 2.
- iv) if there are three or more UFS blocks within the ward, then one will be identified as segment 1 according to the criteria of maximum number of enterprises as described earlier. Then one more UFS block will be selected randomly from the remaining ones and will be named as segment 2.
- v) there is no alteration in the procedure for segment 9 formation.

2.0.5 Starting point for listing : After having determined the areal unit to be surveyed, the investigator will proceed to list the houses, households and the non-agricultural enterprises in the FSU. 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 manner. While listing the households and the non-agricultural enterprises, some essential minimum particulars about them will be collected for the purpose of classification (i.e. second stage stratification), if any.

2.0.6 Structure of the schedule: The schedule 0.0 contains the following blocks :

- Block 0: descriptive identification of sample village/ block/ward
- Block 1: identification of sample village/ block/ward
- Block 2: list of big non-agricultural enterprises having 200 or more workers (segment 9)
- Block 3.1: list of hamlets (only for rural samples with hamlet-group formation)
- Block 3.2: selection of hg's/sb's (blocks)
- Block 3.3: sketch map of hamlet-groups (hg's)/sub-blocks (sb's) formation
- Block 4: list of households and non-agricultural enterprises and record of selection of households (segment 1 / 2)
- Block 5: frame of eligible enterprises under coverage and record of selection (segment 1 / 2)
- Block 6: sampling particulars of households (for sch.1.0)
- Block 7: sampling particulars of eligible enterprises under coverage (for sch. 2.345)
- Block 7A: particulars of eligible big enterprises under coverage (segment 9)
- Block 8: particulars of field operations
- Block 9: remarks by investigator
- Block 10: comments by supervisory officer(s)

2.0.7 Use of additional sheets of blocks 2, 3.1, 3.2, 4, 5 : Whenever one schedule booklet is not adequate to list all the big enterprises (block 2), hamlets and hamlet-groups (blocks 3.1, 3.2), households and non-agricultural enterprises (block 4) or frame enterprises (block 5) of the sample village/ block/ segments , 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.

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

2.0.8 General: This block is meant for recording descriptive identification particulars of the sample FSU. State/UT, district, tehsil, town name, village name, ward, investigator (IV) unit number, block number etc. are to be copied properly from the sample list in the appropriate places. *It may be noted that for the 66 towns of Karnataka, FSUs are the wards and hence block no. may be cross marked for these FSUs.*

Block 1: Identification of sample FSU

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 1 & 2, the codes for 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 17 should be recorded as 005. Items 3 to 10, 12 to 14 shall be copied from the sample list.

2.1.1 *Item 11: FOD sub-region* : The four-digit code corresponding to the FOD sub-region to which the sample FSU belongs will be recorded against item 11. A cross (X) 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 will be copied from the sample list. The frame codes to be used are:

Rural: EC '98 – 12;

Urban: EC '98 – 12; 1987-92 UFS – 07; 1992-97 UFS – 09; 1997-2002 UFS – 11.

2.1.3 *Item 15: Approx. 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 1991 census population (2001 census population if 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 village after the census and if so what the approximate increase or decrease of population due to such events is, whether any new settlements have come up in the village after the census and if so what the approximate population of the same is and so on.

2.1.4 *Item 16: Approx. no. of non-agricultural enterprises*: Approximate number of non-agricultural enterprises (OAEs and establishments combined) in the whole sample FSU, as ascertained by local enquiry from knowledgeable persons, may be recorded here. The starting point may be the total number of non-agricultural enterprises as per EC '98 as given in the sample list. Then the procedure followed for estimating the approximate present population may be followed to get an estimate of the total number of non-agricultural enterprises.

2.1.5 *Item 17: Total number of hg's/sb's (blocks) formed*: The total number of hg's/sb's formed in the sample FSU will be the value of 'D' as recorded in block 3.2. If the sample FSU does not require any hg/sb formation, the entry against this item will be "001".

For 66 towns of Karnataka, FSUs are wards and each UFS block within the ward will be treated as a sub-block. It may be mentioned that 'D' will represent the number of UFS blocks in the FSU for these cases.

2.1.6 *Item 18: Survey code*: When the original sample FSU (particulars of which are provided in the sample list) is surveyed, survey code will be one of the codes 1 to 3. Code will be 1 when the sample FSU is inhabited and 2 when it is found to be uninhabited. Code will be 3, when the sample FSU is treated as a 'zero case'. Examples of zero cases are: FSUs comprising wholly of the barracks of military and para-military 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. When the original sample FSU is a casualty and it has been substituted by another FSU which is surveyed (inhabited, uninhabited or zero case), the survey code will be 4 if the substitute FSU is inhabited; 5 if the substitute FSU is uninhabited and 6 if it is treated as a zero case. If the substitute FSU cannot be surveyed, survey code will be 7. Code 7 will also be applicable in cases where the originally selected sample FSU is a casualty and no substitute was even asked for.

2.1.7 Item 19: 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 18), the reason for its becoming a casualty will be recorded in terms of code against item 19. 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 cross mark (X) may be put against this item if the entry against item 18 is 1 or 2 or 3. *Cases of FSUs comprising wholly of the barracks of military and para-military forces will not be considered as restricted area for providing code 3 against item 19. As stated earlier, such cases will be considered as surveyed and will be treated as zero cases.*

Block 2: List of big non-agricultural enterprises having 200 or more workers (segment 9)

2.2.0 General: This block is meant for listing the big non-agricultural enterprises operating within each FSU. These enterprises will be identified by the criterion of number of workers in the enterprise. Any non-agricultural enterprise in which the total number of workers is 200 or more and has operated for at least one day during the last 365 days preceding the date of survey will be listed in this block. These enterprises will be treated as forming a separate segment (*segment 9*) within the FSU. After listing all such enterprises in the entire FSU, only those engaged in the activities under the coverage of present survey will be considered for canvassing the detailed schedule 2.345. *It is to be noted that all the eligible enterprises belonging to segment 9 will be surveyed and no sampling of enterprises will be necessary for segment 9.*

The listing of enterprises in block 2 may be done along with the listing of enterprise in block 4 if the FSU is small and hg/sb formation is not necessary. An enterprise must either belong to segment 1 or segment 9 but not to both in this case. But for large FSUs with hg/sb formation, the situation is not the same. A big unit may not be located within the selected hg's/sb's but in another hamlet/hg/sb of the FSU which has not been selected. *Care may be taken not to miss these units.* It is therefore, necessary to identify and list the big units at the stage of forming hg/sb in the FSU. At the time of collecting information about a hamlet or sub-block, the field staff will enquire whether there is any big enterprise in the hamlet/sub-block. If there are some such enterprises in the hamlet/sub-block, they will be identified then and there and house number, name, address will be recorded in cols. (1) and (2) of block 2 invariably. Suitable reference for the identity of the hamlet may also be kept within brackets on the right side of the row corresponding to the enterprise. *It is emphasised that if a big unit is located*

in the area under selected segment 1 or 2, it will be included in segment 9 and listed in block 2 and not in block 4. In other words, no enterprise will be common between segments 1, 2 & 9.

2.2.1 The columns of block 2 are exactly the same as some of the columns of block 4. Columns (1) to (11) of block 2 corresponds to the columns 1, 3, 11, 12, 13, 14, 15, 16, 17, 18 and 19 of block 4 respectively. Column headings are also same in the two blocks. Therefore, for the detailed procedure regarding filling-in the columns of block 2, descriptions for the corresponding columns given in respect of block 4 may be referred to.

Block 3.1: List of hamlets (only for rural samples with hamlet-group formation)

2.3.1.0 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. A running serial number for the hamlets will be given in col.(1). Name of the hamlets will be written in col.(2). Present population of each hamlet expressed as percentage of the total village population will be given in col.(3) in whole numbers. Entries in col.(3) should add up to 100. For FSUs of sub-strata 1-9, entry in col.(4) will be 1 if there is any establishment / OAE belonging to the sub-stratum specific activity in the hamlet (e.g. storage and warehousing activity if the FSU belongs to sub-stratum 1). The entry will be 2 if any establishment / OAE belonging to the sub-stratum specific activity is not available but there are establishments / OAEs belonging to next available sub-stratum specific activity in the hamlet. The entry for col.(4) will be 3 if there are no enterprises belonging to any of the activities under survey coverage. For FSUs of sub-strata 10 & 11, all activities combined instead of any specific activity will be considered. Code will be 1 or 3 (2 will not be necessary) according as any enterprise under survey coverage is found or not in the hamlets of the FSUs in sub-stratum 10 & 11. *It may be noted that while deciding about the area types, the enterprises earmarked for segment 9 should not be counted.* The information in col.(4) may be utilised for identifying hamlet-group '0' in block 3.2.

Block 3.2: Selection of hg's/sb's (blocks)

2.3.2.0 **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 paras 2.0.3, 2.0.3.1, 2.0.4 and 2.0.4.1 for the procedures of formation and numbering of hg's/sb's. *For 66 towns of Karnataka details of the blocks constituting the selected wards are to be provided in this block.* For all practical purposes, selected ward of these 66 towns of Karnataka will be treated like FSUs with sb formation where sb's are UFS blocks in reality.

2.3.2.1 *Column (1): srl. nos. of hg/sb (block):* The hg's/sb's (UFS blocks in case of 66 towns of Karnataka) formed will be given a running serial number (starting from 1) in col.(1) as per the guidelines given in paras 2.0.3, 2.0.3.1, 2.0.4 and 2.0.4.1.

2.3.2.2 *Column (2): srl. nos. of hamlets in the hg:* This column is to be filled up only for rural FSUs. The serial numbers of the hamlets recorded in column (1) of block 3.1 constituting each hamlet-group are to be recorded in col.(2) separated by commas.

2.3.2.3 *Column (3): percentage of population in the hg/sb (block):* Approximate present population of the hg/sb(block) 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.

2.3.2.4 *Column (4): area type:* This column is similar to col.(4) of block 3.1. Codes will be given to indicate whether enterprises belonging to the sub-stratum specific activity is available or not in the hg/sb formed. Code will be 1 if at least one enterprise of the sub-stratum specific activity is available in the hg/sb. Code will be 2 if hg/sb does not have any enterprise of the sub-stratum specific activity but has an enterprise engaged in the activity specific to next available sub-stratum. Code will be 3 if there is no enterprise under survey coverage in the hg/sb. For sub-strata 10 & 11, there is no specific activity and therefore enterprises of all activities combined will be considered for deciding the codes. If the FSU belongs to sub-stratum 10 or 11, code will be entered as 1 if there is an enterprise in the hg/sb and code will be 3 if there is no enterprise in the hg/sb. *It may be noted that while deciding about the area types, the enterprises earmarked for segment 9 should not be counted.*

2.3.2.5 *Column (5): sampling sl. no. of the hg/sb (block):* Sampling serial number will be given as '0' in this column for the hg/sb with maximum number of establishments/OAEs of the sub-stratum specific activity. If there is no establishments/OAEs of the sub-stratum specific activity in the FSU, then the hg/sb with maximum no. of establishments/OAEs of the next available sub-stratum specific activity will be marked '0' in this column. For FSUs of sub-strata 10 & 11, instead of any specific activity, all activities combined will be considered and the hg/sb having maximum number of enterprises will be marked '0'. In case the whole FSU does not contain any enterprise under survey coverage, the hg/sb having maximum percentage share of population as per col (3) of this block will be given sampling serial number '0'. The corresponding hg/sb no. will be encircled in col (1). For identification of this hg/sb, all the hg's/sb's marked area type 1 (or 2 if there is no hg/sb marked area type 1) in col.(4) should be enquired to get an idea of approximate number of enterprises in each of them — the one having the maximum number of enterprises will be the desired hg/sb. If there is no area type 1 or 2 in the FSU, then all hg/sb marked area type 3 will be considered and the one with maximum percent of population as given in col.(3) will be the hg/sb '0'. In case there are more than one hg's/sb's satisfying the criterion for identification as hg/sb '0' according to the procedure described above, the following method for breaking the tie will be adopted:

- i) If two or more hg's/sb's have the same maximum number of enterprises of the sub-stratum specific activity, the one among them having the maximum number of establishments (maximum number of OAEs if there is no establishment) of next available sub-stratum specific activity will be designated as hg/sb '0'.
- ii) If the tie still persists, then out of the hg's/sb's tied by (i) above, the hg/sb having the maximum number of enterprises of all activities combined will be identified as hg/sb '0'.
- iii) If the deadlock is not resolved even after that, then out of the hg's/sb's tied by (ii) above, the hg/s.b with maximum population will be taken as hg/sb '0'.

The remaining hg's/sb's (in the order of their listing in col.(1)) will be given sampling serial numbers starting from 1 to (D-1) in the order in which they are listed in col (1).

2.3.2.6 *Column (6): order of selection:* Three hg's/sb's shall be selected from the large FSU for the purpose of survey. The hg/sb with maximum number of establishment/OAE of the sub-stratum specific activity (or with maximum no. of establishments/OAEs of the next available sub-stratum specific activity if there is no establishment / OAE of the sub-stratum specific activity in the FSU or with maximum percentage share of population if the FSU does not contain any enterprise under survey coverage) [i.e. with entry '0' in column (5)] shall always be selected for survey and given order of selection as '0' in col.(6). As stated earlier, for FSUs of sub-strata 10 & 11, instead of any specific activity, all activities combined will be considered and the hg/sb having maximum number of enterprises will be marked '0'. From the remaining hg's/sb's, two more will be selected circular systematically with a random start. For the purpose of selection, a random number 'R' is to be drawn

first from the table of random numbers between 1 and D-1 (where D is the total no. of hg's/sb's formed from which the hg/sb with sampling sl. no. '0' has already been selected for survey). The hg/sb whose sampling serial number in column (5) agrees with the value of R will be given order of selection number 1 in col (6) and the hg/sb whose sampling serial number in column (5) agrees with the value of $R + I$ [where 'I' is the sampling interval taken as the integral part of $(D-1)/2$] will be given order of selection number 2 in col (6). If $R+I$ exceeds (D-1), the difference $[(R+I) - (D-1)]$ will be considered. The serial numbers of the selected hg's/sb's will be encircled in column (5), block 3.2. *Values of D, I and R may be recorded in the space provided just below the block heading.* The total number of enterprises under survey coverage as estimated by local enquiry in the selected hg's/sb's may be recorded in the margin spaces available in block 3.2 to have an idea of the workload involved in listing all the enterprises.

For all other hg's/sb's (except the three selected), column (6) may be left blank.

For selected wards of 66 towns of Karnataka, two blocks will be selected instead of three from large FSUs. One will be identified as sb '0' as usual and order of selection number '0' will be assigned in col.(6). One more block will be selected randomly from the remaining blocks of the sample FSU. For this purpose, a random number 'R' will be drawn between 1 & (D-1). The sampling serial number in col. (5) which equals R will be sb 1. Order of selection will be 1 in col.(6) against this sampling serial number in col.(5). No more block is required to be selected from these FSUs. Please note that there should not be any entry against the value of 'I' for selected wards of these 66 towns of Karnataka.

2.3.2.7 Column (7): segment number: The hg/sb with order of selection number '0' in col.(6) will be selected with certainty and segment number '1' will be inserted in col.(7). Against each of the other two selected hg's/sb's, with order of selection number '1' in col.(6) segment number '2' will be inserted in col.(7). The selected hg's/sb's with segment number '2' will be considered together for the purpose of listing and selection of households and enterprises.

For 66 towns of Karnataka '2' will be assigned here against order of selection number '1' in col.(6).

Block 3.3 : Sketch map of hamlet-groups (hg's)/sub-blocks (sb's) formation

2.3.3.0 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 col.(1) of block 3.1 will be written down on the map against each hamlet. The hamlet-group number given in col.(1) of block 3.2 to which the hamlet belongs will also be shown against each hamlet within brackets on the right side of the hamlet number. The areas for the selected hamlet-groups shall be shaded in the map.

Blocks 4 to 7:

In all these blocks, various information are to be recorded separately for each of the two segments selected for survey. *When there is no hamlet-group/sub-block selection, the information in respect of the whole FSU shall be recorded against the segment number '1' in all these blocks.*

2.4 Block 4: List of households and non-agricultural enterprises and record of selection of households (segment 1 / 2):

2.4.0.1 This is the main block of the schedule. Listing of all houses, households and non-agricultural enterprises (i.e. all non-agricultural enterprises excluding some as detailed in para 1.3.11 of Chapter One), *hereinafter referred to as NAEs for simplicity*, is to be done along with collection of a few particulars for identification of unorganized service sector enterprises under the break-up of Establishment and OAE, preparation of sampling frame and selection of sample enterprises (for sch. 2.345) and sample households (for sch. 1.0) - all these operations shall be carried out in this block. *Listing of households / enterprises are to be done separately for segment 1 & 2 for large FSU requiring h.g/s.b formation and for segment 1 only for FSU not requiring h.g/s.b formation.*

2.4.0.2 It is essential to ensure that there is no omission or duplication of any house, household or non-agricultural enterprise. *Households which are found to be temporarily absent at the time of listing and the non-agricultural enterprises run by them are also to be listed and included in the frame of households/establishments/OAEs, as the case may be, before sample selection.* After obtaining from the neighbours, as much details as possible about the absentee households and the enterprises run by them, attempt should be made to contact the households/enterprises at the appropriate hours (even outside the normal working hours of the investigators) and if need be by revisiting the households/enterprises during the survey period in the sample village/block. *All temporarily locked households should be listed and included in the overall frame for sample selection. All temporarily locked NAEs should be listed and included in the overall frame for sample selection provided the following information can be ascertained from local enquiry: (i) the enterprise is an unorganised sector enterprise under survey coverage; (ii) the NIC '98 code for the activity of the enterprise; (iii) type of enterprise (i.e. establishment/OAE); (iv) the enterprise operated for at least 30 days during the preceding 365 days (15 days for seasonal enterprise).* In order to ensure complete listing of houses/households/NAEs, 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.

2.4.0.3 *While listing a house,* the investigator shall first find out how many households (including temporarily absent i.e. locked households) reside there. From each household he will collect the details of all NAEs run for at least one day by its members during last 365 days preceding the date of survey (*the enterprise may not be in operation on the date of listing*). The NAEs run by the household members during the reference period and located in the same house where the household lives and those run without any fixed premises shall be listed one after another against that household. But NAEs run by the same household and located at other *fixed* premises will be listed at their places of location. After exhausting the resident households and all the different types of NAEs as described above, the investigator will list other NAEs, if any, which may be located in that house and operated either by households staying in some other houses (either within or outside the selected hg/s.b/FSU.) or by an institutional body. After this, the investigator will proceed to list the next house. *Care should be taken to list all the seasonal NAEs, though may not be operating, on the date of survey.*

2.4.0.4 NAEs *without fixed premises* may be listed against the *households* of the owners whereas those with *fixed premises* are to be listed at their *sites*. By 'fixed premises', it is meant that the entrepreneurial activity is carried out within some sort of permanent structure (refer to Para 2.4.7 for further details). Partnership enterprises run without fixed premises may be listed against the household

of the *partner who takes major decisions* for running the enterprise. An enterprise pursuing multiple/mixed activities may be listed separately under respective NIC codes *if separate accounts of employment, receipts, expenses, etc. for each such activity are available. Otherwise, it will be listed as one enterprise with NIC code corresponding to the major activity.* The major activity means the activity that fetched maximum income to the enterprise during the last accounting year. If it is difficult to decide major activity based on income, the same may be done by looking at the turnover/employment in the order specified.

It is to be noted that *all NAEs* found to be in operation for at least one day during the last 365 days are to be listed irrespective of whether they are *operating on the date of survey or not.* However, if any NAEs *with fixed premises* is come across which has changed its place of operation (i.e. stopped operating in the current structure under listing), the same may not be listed in the present place but be listed against the place/site where it is currently operating, provided the changed place/site is within the segments/FSU.

2.4.0.5 A *house to house* enquiry will be made to list all the houses, households and NAEs. A household is enumerated in the house where it resides and an enterprise will be listed in the house in which it is situated. The following two situations may be kept in mind during listing. First, an enterprise may not be clearly visible or prominent from outside of a house/room. For example, one member of a household may be engaged in giving tuition/coaching inside his/her residence not visible from outside. Secondly, the enterprise may not have physical existence at any fixed location; e.g. a hawker or a vendor selling his goods like prepared food, snacks, drinks, etc. without having any fixed premises. These types of enterprises can be detected only by enquiring about the activities of the members of the household. Necessary care may be taken to list such enterprises. While listing is done in segment 2, the houses and households/NAEs of the two selected hamlet-groups/sub-blocks will be listed one after another maintaining a continuous serial numbers for households as well as for the NAEs, as if they together constitute one unit. For doing so, the serial number and the names of the hamlets belonging to the hamlet-group that is selected first (i.e. the hamlet-group with order of selection number 1 in col (6) of block 3.2) will be recorded in block capitals on the first line of the listing block (i.e. block 4). After completing the listing of houses/households/NAEs of this hamlet-group, one line will be left blank and on the next line, the serial number and the names of the hamlets belonging to the next hamlet-group (i.e. the hamlet-group with order of selection number 2 in col (6) of block 3.2) will be clearly written in block capital and listing of houses/households/NAEs belonging to this hamlet-group will start from the next line. Similarly, for sample blocks with sub-block formation, the sub-block with order of selection number 1 in col (6) of block 3.2 will be recorded in block capitals on the first line of the listing block (i.e. block 4) and after completing the listing for this sub-block, next sub-block will be taken up as in the case of rural samples. However, where there is no hamlet-group/sub-block formation, listing will be carried out under segment 1 only.

2.4.0.6 In connection with listing, some special situations are described below:

(i) In a 'hat'(i.e. periodical market) there are some permanent structures built by panchayat or local bodies. The entrepreneurs occupy them on 'hat' days and carry out their activities. These will be considered as *activities without fixed premises* and listed through the residences of the owners even though they carry out the activities at more or less fixed locations. It may be mentioned that the activities carried on by the roadside or in the open public places like that under a bridge or a tree, etc. with temporary make-shift shelter or no structure at all, are deemed be carried out without fixed premises.

(ii) In daily markets or 'hats', some tea/coffee vendors carry out their activities in open space or under tents/shelters (having canvas/cloth on the top and tied/fixed with sticks on the corners). These enterprises will be listed not in the markets/'hats' but against the households of the owners where they reside.

(iii) Persons running transport enterprises like taxi, rickshaw etc. not having a separate fixed place for running the enterprise will be listed in their place of residence.

(iv) Enterprises run without fixed premises on partnership basis shall be listed against the household of the *partner who takes major decisions* for running the enterprise. If that partner is not residing in the selected FSU, then the partner residing in the FSU who is listed first will be approached for collecting information.

(v) For mixed activities if the accounts, employment, etc. for various activities can be separated out, then each activity shall be separately listed. Otherwise, they should be listed under one major activity i.e. the one having major *income/turnover/employment in that order of priority*. To determine the appropriate NIC code for such enterprises, the following may be considered:

a) when a service activity under coverage is mixed up with non-service activities, the major activity (i.e. whether to be treated as service or non-service enterprise) may be determined at 2-digit level of NIC on the basis maximum income / turnover / employment.

b) When two or more service activities are mixed, major activity may be determined at 5-digit level of NIC on the basis maximum income / turnover / employment.

(vi) If same service activity is being carried out in different places e.g. a doctor having chambers at various places or a coaching institute having centres at different places in the same FSU or spread over different FSUs, each will be listed as a separate enterprise. If accounts are not separable, then suitable apportionment may have to be done. Sometimes, a concern may set up an office for facilitating its work and not rendering any type of service to other agencies or public. The office may be located away from the main concern even in some other town, district or State. In such a case, while the main concern will be classified under the appropriate NIC code and surveyed, the office will not be surveyed.

(vii) If several doctors practise from one place with no separate management facility for the premise, then all the doctors are to be listed separately and considered to be forming separate enterprises.

(viii) Recording of *blank* audio and video tapes for sale or providing the service of recording on *blank* tapes of customers will be listed under NIC division code 92. Providing the service of Xerox copying will also be listed under NIC division code 74.

(ix) Though the inmates of a hostel, etc. will be listed as single-member households, the institution itself will qualify as an enterprise (provided it satisfies the criteria of becoming an enterprise). The name of the institution and its nature of activity will be recorded in the first line and inmates will be listed in subsequent lines.

2.4.0.7 Certain types of enterprises will *not be covered* in the survey:

(i) Within the tabulation categories under coverage (i.e. H, I, K, M, N, O), some NIC codes are not covered in the survey. Reference may be made to para 2.4.19 (or Chapter One) for a list of NIC '98 codes under coverage.

(ii) All enterprises belonging to *public sector* will be outside the coverage.

Enterprise owned or run/managed by Central, State Governments or quasi Government institutions or by local bodies like Panchayat, Zilla Parishad, City corporations, Municipal authorities etc., autonomous bodies like Universities, Education Boards and institutions like schools, libraries etc. set up by Government, Panchayat etc. will be treated as *public sector enterprise*. Enterprises, except cooperatives, being run with shares of both the Government, local body etc. and a private body will be treated as *public sector enterprises* irrespective of the amount of share held by Government, local body etc. Enterprises owned/ managed by a single or a group of private persons with no participation of the Government, local body etc. in it both in terms of management and shares will be treated as private sector enterprises. Loans granted by the Government, local body etc. do not make an enterprise a public sector enterprise.

(iii) The activities of religious organisations (under NIC '98 code 9191) will be excluded from coverage.

However, activities such as running school, dispensary, hospital, orphanage, etc. by the religious organisations, other than religious activity, will be classified under respective activity like education, health or social work provided at least one person is employed on hired basis. But if service is provided without hiring any person, the activity will not be covered e.g. a dispensary run by a religious organisation will not be covered if the dispensary does not have at least one staff on payment basis.

(iv) Activities of cellular service operators (under NIC '98 code 642) are not to be covered.

(v) Recognised educational institutions are left out of the coverage.

Recognised educational institution for this purpose is one in which the courses of study followed are prescribed or recognised by Government (Central/State) or by a University/Board constituted by law or by any other agencies authorised in this behalf. It runs regular classes and may send candidates for public examinations etc. The nursery and kindergarten institutions are normally unrecognised institutions. The schools imparting primary or secondary education if not recognised by the Directorate of Education/ Directorate of Public instructions or any competent authority will be treated as unrecognised. Unrecognised tutorial institutes teaching regular and/or supplementary courses will also be covered. Tutorials like Brilliant, Agarwal etc. who offer postal coaching are to be covered. Also covered are institutes like NIIT / APTECH etc. imparting training in computers.

(vi) A household having paying guest accommodation and providing food & lodging will not be considered as hotel/restaurant.

(vii) Departmental canteens run by the office staff will be treated as an integral part of the main office and such canteens will not be included in the survey. However, if they are run on a contract basis by private parties they will be covered

(vii) Transport services exclusively used for domestic purposes and/or for other enterprises like trade, manufacture etc. which are outside the survey coverage, will not be considered for survey.

(ix) Godowns meant to store the farm produce, trading commodities, manufactured goods etc. owned

by the owner of the godown himself will not be treated as storage and warehousing enterprise. Locker in commercial banks and in other type of enterprises for safe storage of precious articles will not be treated as storage and warehousing enterprise.

(x) The individuals serving as housemaids, cooks, gardeners, governess, baby sitters, chowkidars, night watchman, etc. as also the activities of porters / loaders will be outside the coverage of the survey.

However, if such services are provided by some agencies against prescribed fees, those agencies will be treated as enterprises.

The activity coverage as detailed in para 1.3.20 of Chapter One may also be referred to in this context.

2.4.0.8 In sample FSUs with hamlet-group/sub-block formation, list of houses, households and NAEs will be recorded in separate pages of block 4 for segment numbers 1 and 2. At first, listing will be done for segment number 1. Then listing for segment number 2 will be started in a separate page. One of the segment numbers 1 or 2 (printed in the heading of block 4), as appropriate for the selected segment, may be retained and the other serial number may be deleted in the heading of block 4 before listing is started.

Various columns of block 4 are described below:

First mark the segment number (1 or 2) in the heading of the block correctly and delete the one not applicable.

2.4.1 *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. But 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 and NAEs 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, dispensary, vacant structure, etc. However, details of the enterprise will be recorded for the non-residential houses having any non-agricultural enterprise. For family living under a tree or bridge etc. (i.e. without any house), a cross mark (X) may be put in this column.

2.4.2 *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 col.(1) will be numbered in col.(2). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. Household serial number will be given against the lines listed for households only. The NAEs run by a particular household will be listed just below the line for the household. Separate line will be used for each such enterprise and serial no. for the enterprise will be given in col (11). 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 col. (2) for each of the segments 1 & 2 separately, wherever required, after considering the selected hamlet-groups/sub-blocks of segment 2 as one unit.

2.4.3 *Column(3): name of head of household/name and address of enterprise/establishment/owner/operator:* For a household having serial number in column(2), the name of the head shall be recorded

here. For enterprise, name of the enterprise/owner/operator etc. will be recorded in this column. For an enterprise, the owner of which stays at different place, the name and address of the owner/operator shall be recorded. For an institutional enterprise, name of the enterprise shall be recorded. If an enterprise bears a distinct name, only then will it be recorded; otherwise the name of the owner shall be recorded. In all cases, distinct name of the enterprise, if any, shall be given preference.

2.4.4 *Column(4): household size:* The size of each household as defined earlier will be recorded in this column. When there are more than one line for the same household, household size will be recorded in the first line only.

2.4.5 *Column(5): household m.l. code:* The appropriate means of livelihood (m.l.) code of the households will be recorded in this column. The codes are :

For rural samples : self-employed in non-agriculture-1, rural labour-2, others-9

For urban samples : self-employed-1, regular wage/salary earning-2, casual labour-3, others-9

For locked household for which the information on m.l. code could not be collected even from the neighbours, m.l. code will be recorded as 9 for rural samples and 2 for urban samples.

The means of livelihood of a household will be decided as per criteria given in para 1.3.8 of Chapter One.

2.4.6 *Column (6): sampling serial number (sch. 1.0):* All the households listed in the FSU/hg/sb will be first arranged by their means of livelihood code before giving sampling serial numbers.

For the rural sector, the households with m.l. code 1 in column (5) may be given tick marks (√) in column (6). Similarly the households with m.l. code 2 will be given cross-marks (X) and those with m.l. code 9 will be given dashes (-) in column (6). Then all the tick-marks (√) will be serially numbered in column(6) starting from 1 followed by continuous serial numbering of all the cross-marks (X) and lastly of all the dashes (-).

For the urban sector, the similar procedure will be followed. The symbols √, X, + and - will be given in column (6) for the m.l. codes 1, 2, 3 and 9 respectively.

For each of the segments 1 & 2 of sample FSU of rural and the urban sectors both, it must be checked that the highest serial number recorded in column (6) agrees with the last serial number in column(2).

If the last household serial no. as recorded in column (2) becomes equal to the no. of household to be selected from respective segment then such arrangement of households by m.l. code is not necessary and households will be given sampling serial numbers starting from 1 in the order in which they are listed in column (2).

2.4.7 *Column (7): order of selection of household (for sch. 1.0) :* The procedure for recording order of selection numbers is as follows:

Total number of households in the frame is the last serial number appearing in column (2). This value may be recorded against the symbol 'H'. *The number of households to be selected from the frame is at most 4 for FSUs without hamlet-group/sub-block formation and at most 2 for each of the*

two segments 1 & 2 in case of large FSUs requiring hamlet-group/sub-block formation. The number of households selected for survey may be recorded against the symbol 'h'.

Case I: FSUs without hamlet-group/sub-block formation: Draw a random number 'R' between 1 and H and calculate the interval I as the integral part of H/h (h is at most 4). Then the households with serial numbers R, R+I, R+2I and R+3I [If R+kI exceeds H, consider (R+kI)-H for the purpose] in column (6) will be the selected households and these households will be given order of selection numbers 1, 2, 3 and 4 respectively in column (7). Sampling serial numbers of the selected households may be encircled in column (6).

Case II: FSUs with hamlet-group/sub-block formation: For each segment the similar procedure as in Case I will be followed with the only change that (i) H is now the total number of households in the particular segment (ii) h is at most 2 and (iii) the households having sampling serial numbers R and R+I [consider (R+I-H if (R+I) exceeds H] in column (6) will be the selected households and be given order of selection numbers 1 and 2 respectively in column (7). Sampling serial numbers of the selected households may be encircled in column (6).

For H=h in both the cases values of I and R are to be crossed and the order of selection numbers would be the same as sampling serial numbers in column (6) which are to be encircled as well.

2.4.8 Column (8) & (9): number of self-employed members (home based and those working without fixed premises): In each of the listed households, the investigator will ascertain the number of members separately by male and female who are self-employed in the home based non-agricultural activities and / or in non-agricultural activities without having fixed premises. A female/male household member (self-employed) pursuing any non-agricultural activity within the household (e.g. a member engaged in giving tuition or a free-lance artist doing his job etc. inside the house) will be counted against this column. In addition, those working without fixed premises are to be included. The term 'fixed premises' with reference to an enterprise is used to mean some sort of permanent structures (excluding purely temporary/make-shift type structures). The term self-employed has been explained in Chapter one. Self-employed 'home based workers' include all self-employed members of the household pursuing non-agricultural activities within the household. They necessarily have certain degree of autonomy in carrying out their activities. For example, when a weaver works at home according to some specifications of a master weaver or not and has some autonomy in carrying out the activities, he may be treated as a self-employed home worker in the manufacturing sector. Similar is the case of a bidi maker, furniture maker, etc. who works at home or at the place of his choice and receives remuneration/ wages in agreed rates or not. The above persons may be working for the master craftsman but are found to have tangible or intangible means of production and degree of autonomy in carrying out the activities.

A rickshaw puller or taxi operator with vehicles parked at no fixed premises on the road and without any garage or a carpenter carrying out his activities not at any fixed place but at the premise of his customers are some examples of self-employed persons who are engaged in non-agricultural activities without having fixed premises.

2.4.9 Column (10): number of distinct enterprises owned by members noted in cols.(8) & (9): The investigator will ascertain the number of distinct non-agricultural enterprises run by the members of the household either in the capacity of self-employed home based worker or as self-employed persons running non-agricultural enterprises without fixed premises and record in this column. For example, if two members of the same household are self-employed taxi drivers and are carrying out their activities independently, it will be counted as two distinct enterprises run by the household and the entry in

col.(10) will be 2. On the other hand, if two male members of the same household are running a non-agricultural enterprise without having a fixed premise on partnership basis, it will be counted as one distinct enterprise run by the household and the entry in col.(10) will be 1, provided no other enterprise (located within the household or run without fixed premises) is run by the household members.

2.4.11 *Column (11): serial number (enterprise):* All non-agricultural enterprises shall be given a running serial number starting from 1 in this column. Locked enterprises will be listed and numbered serially only when information relating to cols.(12), (13), (14), (17), (19) and (20) are available from knowledgeable persons.

2.4.12 *Column (12): description of activity:* The activity of the enterprise shall be briefly described in words in this column, such as coaching, tea-stall, snack bar, dispensary, restaurant etc.

For enterprises which are seasonal in nature, the code 'S' shall be recorded within brackets below the description of activity. This will be consulted for recording the eligibility code in column (17).

2.4.13 *Column (13): 5-digit codes for tabulation categories H, I, K, M, N, O and 2-digit codes for others (NIC '98):* 5-digit NIC '98 codes will be given for enterprises belonging to tabulation categories H, I, K, M, N, O. For other enterprises, left most two-digit code of NIC '98 pertaining to the activity of the enterprise will be recorded here.

2.4.14 *Column (14): put 'X' if not under coverage:* 'X' may be entered in this column for the enterprises not under coverage. Refer to para 1.3.20 of Chapter one and also paras 2.4.0.1 to 2.4.0.7 of this Chapter for details of the enterprises under coverage of the survey.

Columns (15) to (20) relate only to service sector enterprises under survey coverage. If the entry in col.(14) is 'X', then cols.(15) to (20) need not be filled up. Again, if eligibility code in column (17) is 1, then only columns (18) to (20) will be filled up.

2.4.15 *Column (15): total number of workers:* The total number of persons *usually working on a working day* during the reference year for perennial and casual enterprises and during the last working season of the reference year for seasonal enterprises, shall be recorded in this column. This total should include both household workers and hired workers. All categories of workers including supervisory and primary shall be considered. Total should also include other workers, working proprietors and apprentices (paid or unpaid), unpaid helpers and part-time workers so long they are engaged on a fairly regular basis. A worker need not mean that the same person is functioning continuously; it only refers to a position. Two part-time workers will be counted as 2 and not 1. Part-time workers are those who work for less than or equal to half of the period of normal working hours of the enterprise on a fairly regular basis. *For enterprises running in shifts*, workers of all the shifts may be considered together (i.e. the numbers of workers will be added) for the purpose of making entries in columns (15) and (16). *The average* number of workers on a working day during the reference year shall be recorded for both total and hired workers in columns (15) and (16) respectively. *Information on total number of workers may be recorded properly so as to avoid misclassification of enterprises by enterprise type.*

2.4.16 *Column (16): number of hired workers:* The number of hired workers in the enterprise, usually employed on fairly regular basis (i.e. for most of the days during the period of operation) shall be recorded in this column. If there is no hired worker, '0' shall be entered here. Apprentices, paid or unpaid, shall also be treated as hired workers. Unpaid helpers and labour exchanged between

households shall be treated as household workers. A paid household member/ servant/ resident worker working in the enterprise shall be considered as hired worker.

2.4.17 *Column (17): eligibility code:* Code 1 shall be recorded if the enterprise operated for at least 30 days (15 days for seasonal enterprises) during the reference year. For enterprises that operated for less than 30 days (15 days for seasonal enterprises), code 2 shall be recorded in this column.

For the enterprises with eligibility code 2 in col.(17), rest of the columns in this block need not be filled up.

2.4.18 *Column (18): eligible enterprise serial number:* A running serial number starting from 1 will be given in this column for the enterprises with eligibility code 1 in col.(17).

2.4.19 *Column (19): broad activity group (BAG) code:* One of the codes 1 to 9 as appropriate for the enterprise depending upon its activity noted in cols (12) and (13), shall be recorded here for each enterprise.

The codes are as follows.

NIC '98 codes	Broad activity group (BAG) code	Description of BAG
6302	1	Storage & warehousing
551	2	Hotel
64	3	Post & telecommunications
6021,60221,60231	4	Mechanised road transport
70,71,72,73,74	5	Real estate, renting & business activities
85	6	Health & social work
552	7	Restaurant
80	8	Education
601,60222,60232,61, 6301,6303,6304,6309, 90,911,9191,92,93	9	Other community, social and personal service activities & other transport activities

2.4.20 *Column (20): enterprise type code:* Each enterprise with entry '1' in column (17) shall be given enterprise type code on the basis of the entries made in columns (15) and (16). The codes are as follows:

- (i) OAE i.e enterprises with positive entry in col.(15) and entry zero in col.(16) - 1
- (ii) Establishment i.e. enterprise with positive entry in both cols.(15) & (16) - 2.

2.5 Block 5: Frame of eligible enterprises under coverage and record of selection (segment 1/2) (for sch. 2.345)

2.5.0 This block is meant for preparing the frame of eligible enterprises by broad activity group and enterprise type and selection of enterprises for canvassing schedule 2.345. The block is to be filled up for each of the segments 1 & 2 separately in different pages. Different columns of the block are described below.

First mark the segment number (1 or 2) in the heading of the block correctly and delete the one not applicable.

2.5.1 *Column (1): eligible enterprise serial no.:* The entry in this column is to be copied from col.(18) of block 4.

2.5.2 *Column (2): broad activity group code:* The entry in this column is to be copied from col.(19) of block 4.

2.5.3 *Column (3): enterprise type code:* The entry in this column is to be copied from col.(20) of block 4.

Adequate care may be taken to copy the entries for cols.(1) to (3) from the relevant columns of block 4 without any omission or duplication.

2.5.4 *Column (4) to (21): sampling serial number:* Each enterprise listed in cols.(1), (2) and (3) will be first tick-marked in one and only one of the cols.(4) to (21). It is to be remembered that the enterprises with *enterprise type code 1* in col.(3) will be tick-marked in either of the cols.(4), (6), (8), (10), (12), (14), (16), (18) or (20) while enterprises with *enterprise type code 2* in col.(3) will be tick-marked in either of the cols.(5), (7), (9), (11), (13), (15), (17), (19) or (21) as the case may be. For *enterprise type code 1*, enterprises with BAG code 1 in col.(2) will be marked in col.(4), BAG code 2 in col.(6), BAG code 3 in col.(8),and BAG code 9 in col.(20). Similarly, for *enterprise type 2*, tick-mark in col.(5) for BAG code 1, in col.(7) for BAG code 2, in col.(9) for BAG code 3,and in col.(21) for BAG code 9. Then all the tick-marks appearing in each of the cols.(4) to (21) will be given a separate running serial number starting from 1 for each column.

2.5.5 *Columns (22) to (39): order of selection:* Total number of enterprises under various BAG × enterprise type in the frame will be the corresponding highest serial number appearing in cols.(4) to (21) and these values will be recorded against corresponding 'E' in cols.(22) to (39). Details of the determination of the value of 'e' for various combinations BAG X enterprise type and the rule of selection have been discussed in chapter one. Similarly number of enterprises to be selected (after adjustment for shortfall, if necessary) for various BAG × enterprise type will be recorded against corresponding 'e' in cols.(22) to (39). Values of random numbers i.e. 'R's are also to be recorded against the corresponding symbols. If $E = e$, value of R may be crossed. If $E > 1$ and $e = 1$, then only one random number will be drawn. If $e > 1$, then the number of random numbers to be drawn will be equal to the value of 'e'. For selecting the sample enterprises of any particular BAG × enterprise type, the following procedure will be followed. Suppose 'E' denotes the total number of enterprises in the frame [i.e. the highest entry in col.(4)/(5)/(6)/...../(21)] and 'e' the number of enterprises to be selected. First draw a random number, say R1, between 1 and E. Next, draw another random number, say, R2 also between 1 and E. 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, R3, ... , R(e)] have been drawn. Then the enterprises with serial numbers R1, R2, R3, ... , R(e) [in col.(4)/(5)/(6)/...../(21)] will be the selected enterprises and be given order of selection numbers 1, 2, 3.....and e respectively in cols.(22)/(23)/(24)/...../(39).

When $E=e$, no random number needs to be drawn and the order of selection numbers in col.(22)/(23)/(24)/...../(39) will be the same as the sampling serial numbers in col.(4)/(5)/(6)/...../(21) respectively. *The sampling serial numbers of the selected enterprises may be encircled in col.(4)/(5)/(6)/...../(21).*

2.5.6 An example showing the details of filling up some columns of block 4 & 5 and selection of households/enterprises is given at the end of this chapter.

2.6 Block 6: Sampling particulars of households (for sch. 1.0): Particulars of sampling of households, separately for each of the segments 1 & 2 will be recorded in this block.

2.6.1 *Column (2): population:* Population as obtained from summing up the household sizes in col.(4) of block 4 over all the listed households may be recorded in this column separately for segments 1 & 2.

2.6.2 *Columns (3) to (8): total number of households:* Total number of households in the frame of sch 1.0 will be recorded in col.(3). This is same as the last serial number recorded in col.(2) of block 4 and also equal to 'H' in col.(7) of block 4. Number of households to be selected for survey will be recorded in col.(4) and this will be equal to 'h' in col.(7) of block 4. Cols.(5), (6) and (8) may be filled up on the basis of survey codes given in item 16, block 1 of schedule 1.0. The entries in cols.(5), (6) & (8) will be the number of filled-in schedule 1.0 with survey code 1, 2 & 3 respectively. Total number households surveyed will be entered in col.(7). It may be seen that (i) col.(7) = col.(5) + col.(6) and (ii) col.(8) = col.(4) - col.(7).

2.7 Block 7: Sampling particulars of eligible enterprises under coverage (for sch. 2.345): Particulars of sampling of enterprises, separately for each of the segments 1 & 2, will be recorded in this block for each *BAG* × *enterprise class*.

2.7.1 *Columns (3) to (8): total number of eligible enterprises under coverage (for enterprise type 1):* The particulars are to be entered for segments 1 & 2 separately. Total number of enterprises in the frame (i.e. 'E') for each *BAG* in col.(2) and *enterprise type 1* i.e. the entries for column (3), are the highest entries recorded in corresponding cols.(4)/(6)/(8)/...../(20) of block 5. These highest entries are also to be recorded against the symbol 'E' appearing in the headings of column (22)/(24)/(26)/...../(38) of block 5. They may be recorded properly in col.(3) of block 7. Number of enterprises to be selected for survey shall be recorded in column (5). These numbers are also recorded against the symbol 'e' in the headings of column (22)/(24)/(26)/...../(38) of block 5. Cols.(5), (6) and (8) shall be filled up on the basis of survey code recorded against item 19 of block 1 of schedule 2.345. Number of filled-in 2.345 schedules with survey codes 1, 2 and 3 shall be recorded in columns (5), (6) and (8) respectively. Total number of surveyed enterprises shall be recorded in col. (7). It may be seen that (i) col.(7) = col.(5) + col.(6) and (ii) col.(8) = col.(4) - col.(7).

2.7.2 *Columns (9) to (14): total number of eligible enterprises under coverage (for enterprise type 2):* Sampling particulars corresponding to each *BAG* in col.(2) and *enterprise type 2* are to be recorded here for segments 1 & 2 separately. The procedure for filling up various columns are exactly same as that for enterprise type 1 [in cols.(3) to (8)] as described in para 2.7.1 above. However, the column references will be those relating to *enterprise type 2* of block 5.

2.7A Block 7A: Particulars of eligible big enterprises under coverage (segment 9): The entries in this block are to be summarised from block 2. Col.(1) refers to the *BAG* while cols.(2), (3) and (4) are the number of big enterprises in the frame in the FSU, number of such enterprises surveyed and the number of casualties, if any, for such enterprises corresponding to the *BAG* in col.(1). Count the number of establishments with eligibility code 1 [in col.(9), block 2] under a particular *BAG* in col.(11) of block 2 and record it against the corresponding *BAG* in col.(2) of block 7A. Count the number of filled-in schedules 2.345 with survey codes 1 & 3 belonging to the corresponding *BAG*

under segment 9 and record these against col.(3) & (4) of block 7A respectively. The entry against 'all' will be sum of entries for BAG 1-9.

2.8 Block 8: 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. col.3, srl. no. 4 of this block), it may be noted that the journey time for reaching the sample village and returning 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/non-agricultural enterprises, formation of second-stage strata, selection of households / enterprises and filling in all other blocks of this schedule may be recorded in hours. All other items are self-explanatory.

2.9 Block 9: Remarks by investigator: The investigator may give his remarks here on any abnormal situation or entry in the schedule.

2.10 Block 10: 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.

2.11 Substitution of sample enterprises/ households, misclassification of enterprises and random numbers

2.11.1 Substitution of sample enterprises/households: If any sample enterprise/household 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 *BAG × enterprise class* (for sch.2.345)/same m.l. code (for sch. 1.0). The substitute for the one having highest sampling serial number of a *BAG × enterprise class* (for sch.2.345) or of a particular m.l. code (sch. 1.0) in a column will be the one having smallest sampling serial number within the same *BAG × enterprise class* / m.l. code of the same column. For sch.1.0, if there is no proper substitute within the same m.l. code, consider the next higher m.l. code for taking the substitute. If there is no proper substitute for the highest m.l. code, consider the lowest m.l. code for the purpose. If the substituted enterprise/household becomes a casualty, *it will be substituted by another in the same manner. If this enterprise/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 enterprise/household is always surveyed for each of BAG × enterprise class (for sch.2.345) if E>0 and for each of the segments if any; similar restriction will hold for sample household also when H>0. Substitution may be attempted more than twice in a few cases to adhere to this restriction.*

2.11.2 Misclassification of a enterprise during listing :

(a) It is quite possible in a few cases that a sample enterprise listed under a particular type (i.e. *BAG × enterprise class*) in schedule 0.0 actually belongs to other type as detected during canvassing of schedule 2.345 . *Entries for schedule 0.0 will not be changed if misclassification is found to occur.*

(b) In case a sample enterprise is found, during detailed enquiry, having some NIC '98 code/ *BAG × enterprise class* other than the one recorded in column (19)/(20) of block 4 of schedule 0.0, then the same enterprise *will be surveyed (fresh selection will not be done) under revised codes recorded in schedule 2.345. However, if the enterprise goes out of the survey coverage because of the revision in industry division code, substitute may be taken.* In all these cases entries made in blocks 5 and 7 need not be disturbed.

However, if misclassification is detected during canvassing in case of big enterprise listed in segment 9, the corresponding entries may be corrected in block 2 and block 7A with appropriate remarks to that effect.

2.11.3 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 random number will be used for hamlet-group/sub-block selection, whenever required. The subsequent random numbers may be used for selection of households / enterprises in the order: (i) for segment 1 – household, *BAG × enterprise class* (maximum of 18) and then (ii) for segment 2 – household, *BAG × enterprise class* (maximum of 18).

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 Joint Director (TC),
DPD, NSSO
Mahalanobis Bhavan,
164, Gopal Lal Tagore Road,
Calcutta- 700035.
e-mail address: dpdnssso@cal.vsnl.net.in
fax: 033-5771025

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/sub-stratum.

In case no substitute FSU could be surveyed even with best efforts [i.e. code 7 in item 18, block 1], a blank schedule 0.0 will be submitted with only blocks 0, 1, 8, 9 and 10 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/sub-stratum or its combination for each sub-sample so as to prevent occurrences of void strata/sub-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, 8, 9 and 10 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 examples, 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 will 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 following procedures will be followed in the respective cases cited below:

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 enterprises and households will be selected afresh. However if any household/ enterprise already selected is selected again, it is to be substituted. In case due to this new random start, the whole set of sample household/ enterprise is reselected, a fresh random start will be taken. If the required number of fresh household/ enterprise (i.e. not selected in the first visit) is not available in the frame as a result of which some household/ enterprise are reselected in the second/subsequent visit, entries in various blocks for such household/ enterprise 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 visit will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-groups/sub-blocks selected afresh excepting the hamlet-group/sub-block marked as segment '1'. If all the earlier hamlet-groups/sub-blocks in segment '2' are re-selected, then a new random number may be drawn so that different hamlet-groups/sub-blocks are selected for survey. But if only one hamlet-group/ sub-block of segment '2' is re-selected, it may be substituted by the next one not selected earlier. For the selection of households/enterprises, 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.

2.14 Treatment of sample FSUs common to Central & State sample :

Special strata: As the FSUs of the special strata will be common to the central and state sample, these will be surveyed by FOD and a copy of the filled in schedule will be made available to the respective States/UTs. In states viz. Arunachal Pradesh, Manipur, Mizoram & Tripura where the central sample is surveyed by the state staff, this exercise is to be carried out by them.

General strata: All the FSUs which are common to state and central samples within a sub-round, an asterisk mark will be given against them in the sample list. FOD will take up these FSUs for survey at the beginning of the sub-round. A copy of the filled in schedules will be made available to the respective states by FOD if the States so desire.

**An example showing selection of households / enterprises
for segment 1 of a rural FSU**

[4] list of households and non-agricultural enterprises and record of selection for households (segment 1 / 2)												
house number	household serial number	household m. l. code	sch. 1.0		enterprise		enterprise under tab. cat. H/I/K/M/N/O					
			sampling serial number	order of selection	serial number	put 'X' if not under survey coverage	number of workers		eligibility code	eligible enterprise serial number	broad activity group code (BAG)	enterprise type code: OAE -1, establishment -2
							total	hired				
(1)	(2)	(5)	(6)	(7)	(11)	(14)	(15)	(16)	(17)	(18)	(19)	(20)
1	1	2	× 5		1		1	0	1	1	7	1
					2	X						
2	2	1	√ 1		3		2	1	1	2	3	2
	3	9	- 9		4		1	0	1	3	7	1
3	4	2	× 6		-							
4	5	9	- 10	2	5		2	0	1	4	5	1
					6		2	1	1	5	2	2
					7	X						
(1)	-				8		6	1	1	6	6	2
5	6	1	√ 2		9		1	0	1	7	9	1
6	7	2	× 7		10		1	0	1	8	9	1
7	8	2	× 8		11		3	1	1	9	8	2
					12	X						
8	9	9	- 11		13		4	3	2			
9	10	1	√ 3		14		1	0	1	10	8	1
10	11	1	√ 4	1	15		3	2	1	11	4	2
11	12	9	- 12		16		1	0	1	12	5	1
12	13	9	- 13		17		1	0	1	13	7	1

[5] frame of eligible enterprises under coverage and record of selection (segment 1 / 2)

(for sch. 2.345)

eligible enterprise srl. no. (col. 18, bl. 4)	broad activity group code (col. 19, bl. 4)	enterprise type code (col. 20, bl 4)	sampling serial number																		order of selection																	
			broad activity group code																		broad activity group code																	
			1		2		3		4		5		6		7		8		9		1		2		3		4		5		6		7		8		9	
			Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type		Ent. Type			
			1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)	(26)	(27)	(28)	(29)	(30)	(31)	(32)	(33)	(34)	(35)	(36)	(37)	(38)	(39)
1	7	1													√1																							
2	3	2						√1																	1													
3	7	1													√2																							
4	5	1									√1																	1										
5	2	2				√1																			1													
6	6	2													√1																							
7	9	1																																				
8	9	1																																				
9	8	2																																				
10	8	1																																				
11	4	2									√1																											
12	5	1													√2																							
13	7	1																																				

Chapter Four

Schedule 1.0 : Household Consumer Expenditure

Introduction

4.0.1 Household consumer expenditure is measured as the expenditure incurred by a household on domestic account during a specified period, called reference period. It also includes the imputed values of goods and services, which are not purchased but procured otherwise for consumption. In other words, it is the sum total of monetary values of all the items (i.e. goods and services) consumed by the household on domestic account during the reference period. The imputed rent of owner-occupied houses is excluded from consumption expenditure. Any expenditure incurred towards the productive enterprises of the households is also excluded from the household consumer expenditure.

4.0.2 Consumption of an item can be measured either in terms of quantity or in terms of value. Consumption of items does not necessarily convey the same meaning. Some items can be consumed only once while some others can be consumed repeatedly. Again, repeatedly consumed items are of three types: 1) durable goods 2) semi-durable goods 3) perishable goods. So, it is necessary to define consumption of different items differently for Household Consumer Expenditure Survey. In the Consumer Expenditure Survey three different approaches are followed for defining consumption of items. These are: 1) Consumption approach 2) Expenditure approach and 3) First-use approach. The items of consumption have been classified into four groups. For items of Group I, the approach is consumption, for Group II it is first-use approach and for Groups III & IV it is expenditure approach. The four Groups of items are:

Group I: Items of **food, pan, tobacco & intoxicants and fuel & light other than ‘cooked meals’**: Consumption is the actual consumption during the reference period.

Group II: Items of **clothing and footwear**: An item is consumed if it is brought into first-use during the reference period. The item may or may not be procured within the reference period. It can be procured by purchase, home-production, gift, charity, etc.

Group III: **Durable goods**: An item is consumed if any expenditure is incurred on it for purchase or towards cost of raw materials and services for its construction and repair during the reference period.

Group IV: **Cooked meals, Miscellaneous goods and services including education, medical, rent, taxes and cess**: An item is consumed if any expenditure is incurred on it during the reference period.

4.0.3 **Procurement of consumption basket**: A household procures different items for its consumption by different ways. The different ways of collecting items of consumption are:

- 1) purchase;
- 2) receipt in exchange of goods and services;
- 3) home-grown/home-produced stock;
- 4) transfer receipts such as gifts, loans, charities, etc., and
- 5) free collection.

4.0.4 Imputation of value: If an item is purchased and consumed by a household, the value of consumption can be taken as its purchase value. But, the value of an item consumed out of commodities received in exchange of goods and services, home-grown/home-produced stock, transfer receipts or free collection requires imputation. The rule for imputation of value of consumption of commodities is given below:

- 1) the value of goods received in exchange of goods and services will be imputed at the rate of average local retail prices prevailing during the reference period. However, the judgement of the respondent about the price of the goods purchased in exchange is to be taken into account;
- 2) the value of home-produce will be imputed at the ex farm or ex factory rate. This should not include any element of distributive service charges;
- 3) the value of consumption out of gifts, loans, free collection, etc., will be imputed at the average local retail prices prevailing during the reference period;
- 4) the value of consumption out of purchase will be the value at which the purchase was made.

4.0.5 Reference period: Usually, value of consumer expenditure is expressed in terms of monthly per capita although the reference period may or may not be last 30 days preceding the date of survey. Reference period means the period of time for which data on consumption were collected. The reference periods to be used during the present survey for different groups of consumption items are given below:

Item	Reference period to be used
Education, medical (institutional), clothing, bedding, footwear and durable goods	‘last 365 days’
All other items (viz food, pan, tobacco and intoxicants, fuel and light, miscellaneous goods and services including non-institutional medical, rents and taxes)	‘last 30 days’

4.0.6 Earlier surveys on consumer expenditure: Since its inception, the National Sample Survey (NSS) had been collecting data on consumer expenditure in every round up to the 29th round (1972-73). After the 26th round of the survey, the Governing Council of National Sample Survey Organisation (NSSO) decided to undertake the surveys on consumer expenditure and employment and unemployment together once in every five years. Accordingly, programme of quinquennial surveys was conducted in the 27th, 32nd, 38th, 43rd, 50th and 55th rounds since 1972-73. Planners and research workers also felt the need for an annual series on consumer expenditure. The Governing Council, therefore, decided that an annual survey on consumer

expenditure would be undertaken on a thin sample basis in the intervening rounds between successive quinquennial rounds. The annual series started from the 42nd round (July 1986-June 1987).

4.0.7 The present survey is the thirteenth of the annual series on household consumer expenditure. It will be conducted during July 2001 - June 2002.

Details of Schedule

4.0.8 **Schedule design:** Schedule 1.0 has been split into several blocks to obtain detailed information on the expenditure incurred on domestic consumption and other particulars of the sample household. Besides, information will be collected on sufficiency of food. No account will, however, be taken of any expenditure incurred towards the productive enterprises of the households.

4.1.0 **Block 0: Descriptive identification of sample household:** This block is meant for recording descriptive identification particulars of a sample household. All the items are self-explanatory. A dash (-) may be recorded against not applicable items. (e.g., village name is not applicable for urban sample.)

4.1.1 **Block 1: Identification of sample household: items 1 to 12:** The identification particulars for items 3-12 will be copied from the corresponding items of block 1 of listing schedule (Sch.0.0). The particulars to be recorded in items 1 and 2 have already been printed in the schedule.

4.1.2 **Item 13: segment (1 / 2):** This item will be either 1 or 2. It is to be copied from heading of block 4 or column 7 of block 3.2 of Sch.0.0.

4.1.3 **Item 14: sample household number:** The sample household number (i.e., order of selection) of the selected household is to be copied from column 7 of the listing block 4 of Sch.0.0.

4.1.4 **Item 15: srl. no. of informant (as in col. 1, block 4):** The srl. no. of the person recorded in column 1 of block 4, schedule 1.0 from whom the bulk of the information is collected will be entered.

4.1.5 **Item 16: response code:** This item is to be filled-in after canvassing the schedule. The type of informant, considering his co-operation and capability in providing the required information, will be recorded against this item in terms of specified response codes. The codes are:

informant: co-operative and capable	1	busy	3
co-operative but not capable	2	reluctant	4
		others.....	9

4.1.6 **Item 17: survey code:** Whether the originally selected sample household has been surveyed or a substituted household has been surveyed will be indicated against this item by recording '1' if it is the originally selected sample household, and '2' if it is the substituted one. If neither the originally selected household nor the substituted household can be surveyed i.e., if the

sample household is a casualty, code '3' will be recorded. In such cases only blocks 0, 1, 2, 12 and 13 will be filled-in and on the top of the front page of the schedule the word 'CASUALTY' will be written and underlined.

4.1.7 Item 18: reason for first substitution of original household (code): For an originally selected sample household which could not be surveyed, irrespective of whether a substituted household could be surveyed or not, the reason for not surveying the original household will be recorded against item 18 in terms of the specified codes. The codes are:

informant busy	1
members away from home	2
informant non-cooperative	3
others	9

This item is applicable only if the entry against item 17 is either 2 or 3. Otherwise, this item is to be left blank.

4.2.0 Block 2: Particulars of field operation: The identity of the Investigator, Assistant Superintendent and Superintendent associated, date of survey/inspection/scrutiny of schedules, despatch, etc., will be recorded in this block against the appropriate items in the relevant columns. Besides, from the 46th round onwards, person codes of field officials have been introduced which are to be recorded against item 1(ii) (for central sample only). If the schedule is required to be canvassed for more than one day, the first day of survey is to be recorded against the item srl. no. 2(i).

4.3.0 Block 3: Household characteristics: Characteristics which are mainly intended to be used to classify the households for tabulation will be recorded in this block.

4.3.1 Item 1: household size: The size of the sample household i.e., the total number of persons normally residing together (i.e., under the same roof) and taking food from the same kitchen (including temporary stayaways and excluding temporary visitors) will be recorded against this item. This number will be same as the last serial number recorded in column 1 of block 4.

4.3.2 Item 2: principal industry (NIC-1998): The description of the principal household industry will be recorded in the space provided. The entry cell for item 2 has been split for recording each digit separately. The appropriate five-digit industry code of the NIC 1998 will be recorded here.

4.3.3 Item 3: principal occupation (NCO-1968): The description of the principal household occupation will be recorded in the space provided. The appropriate three-digit occupation code of the NCO 1968 is to be recorded in the entry cell which has been trisected for recording each digit separately.

4.3.4 To determine the principal household industry and occupation, the general procedure to be followed is to list all the occupations pertaining to economic activities pursued by the members of the household excluding those employed by the household and paying guests (who in view of their

staying and taking food in the household are considered as its normal members) during the one year period preceding the date of survey, no matter whether such occupations are pursued by the members in their principal or subsidiary (on the basis of earnings) capacity. Out of the occupations listed, that one which fetched the maximum earnings to the household during the last 365 days preceding the date of survey would be considered as the principal household occupation. It is quite possible that one or more members of the household may pursue the household occupation in different industries. In such cases, the particular industry out of all the different industries corresponding to the principal occupation, which fetched the maximum earnings, should be considered as the principal industry of the household. In extreme cases, the earnings may be equal in two different occupations or industry-occupation combinations. By convention, in such cases, priority will be given to the occupation or industry-occupation combination of the senior-most member. For households deriving income from non-economic activities only, a dash (-) may be put against this item.

4.3.5 Item 4: household type (code): The household type code based on the means of livelihood of a household will be decided on the basis of the source of the household's income during the 365 days preceding the date of survey. For this purpose, only the household's income (net income and not gross income) from economic activities will be considered; but the incomes of servants and paying guests will not be taken into account. For the **rural** areas, the selected household will be assigned appropriate type code out of the following five different household type codes:

self-employed in non-agriculture	1	self-employed in agriculture	4
agricultural labour	2	others	9
other labour	3		

The procedure for assigning type codes is laid down in paras 4.3.8 to 4.3.11. For **urban** areas, the household type codes are as follows:

self-employed - 1, regular wage/salary earning - 2, casual labour - 3, others - 9.

4.3.6 Rural labour: This is defined as manual labour (by a person living in rural area) in agricultural and/or non-agricultural occupations in return for wages/salary either in cash or kind (excluding exchange labour). A person who is self-employed in manual work will not be treated as a wage-paid manual labourer. The term 'manual work' means a job essentially involving physical operations. However, a job though essentially involving physical labour but also requiring a certain level of general, professional, scientific or technical education will not be classified as manual work. On the other hand, jobs not involving much of physical labour and at the same time not requiring much educational (general, scientific, technical or otherwise) background will be treated as manual work. Thus the definition will exclude engineers, doctors, dentists, midwives, etc. from manual workers even though their jobs involve some element of physical labour but will include peons, chowkidars, watchmen, etc. even if their work does not involve much of physical labour.

4.3.7 A person will be treated as wage-paid manual labourer in agriculture, or in other words, agricultural labourer if he/she follows one or more of the following agricultural occupations in the capacity of a labourer on hire or on exchange, whether paid wholly in cash or in kind or partly in cash and partly in kind:

- a) farming including cultivation and tillage, etc.;
- b) dairy farming;
- c) production, cultivation, growing and harvesting of any horticultural commodity;
- d) raising of livestock, bees or poultry and
- e) any practice performed on a farm as incidental to or in conjunction with farm operations (including any forestry or timbering operations and the preparation for market and delivery to storage or to market or to carriage for transportation to market of farm produce).

It may be noted that wage paid manual labours in 'fisheries' are excluded from the purview of the category 'agricultural labour' but included in 'other labour'. Further, carriage for transportation will refer only to the first stage of the transportation from farm to the first place of disposal.

4.3.8 Procedure for assigning household type codes in rural sector: For a rural household, if a single source (among the five sources of income listed in para 4.3.5) contributes 50% or more of the household's income from economic activities during the last 365 days, it will be assigned the type code (1, 2, 3, 4 or 9) corresponding to that source. For a household to be classified as 'agricultural labour' or 'self-employed in agriculture' (code 2 or 4) its income from that source must be 50% or more of its total income.

4.3.9 If there is no such source yielding 50% or more of the household's total income, it will be given code 1, 3 or 9 according to the following procedure.

4.3.10 To be classified as self-employed in non-agriculture (code 1), the household's income from that source must be greater than its income from rural labour (all wage-paid manual labour) as well as that from all other economic activities put together (a three-way division is to be considered here).

4.3.11 A household not getting code 1, 2 or 4 will be classified as other labour (code 3) if its income from rural labour (all wage-paid manual labour) is greater than that from self-employment as well as that from other economic activities (again a three-way division). All other households will get type code 9.

4.3.12 For **urban** areas the different urban type codes correspond to four sources of household income, unlike the rural sector where five sources are considered. An urban household will be assigned the type code 1, 2, 3 or 9 corresponding to the major source of its income from economic activities during the last 365 days. A household, which does not have any income from economic activities, will get type code 9 (others).

4.3.13 Item 5: religion (code): The religion of the household will be recorded against this item in codes. If different members of the household claim to belong to different religions, the religion of the head of the household will be considered as the religion of the household. The codes are:

Hinduism	1	Jainism	5
Islam	2	Buddhism	6
Christianity	3	Zoroastrianism	7

Sikhism 4 others 9

4.3.14 **Item 6: social group (code):** Whether or not the household belongs to scheduled tribe, scheduled caste or other backward class will be indicated against this item in terms of the specified codes which are:

scheduled tribe - 1, scheduled caste - 2, other backward class - 3, others - 9.

Those who do not come under any one of the first three social groups will be assigned code 9 meant to cover all other categories. In case different members belong to different social groups, the group to which the head of the household belongs will be considered as the 'social group' of the household.

4.3.15 **Item 7: land possessed:** The area of land possessed will include land 'owned', 'leased in' and 'land neither owned nor leased in' (i.e. encroached) by the household but exclude land 'leased out'. The total land area possessed by the household as on the date of survey will be worked out and recorded against this item in code. The codes are:

class interval	code	class interval	code
less than 0.01 hectares	01	2.01 to 3.00 hectares	06
0.01 to 0.20 "	02	3.01 to 4.00 "	07
0.21 to 0.40 "	03	4.01 to 6.00 "	08
0.41 to 1.00 "	04	6.01 to 8.00 "	09
1.01 to 2.00 "	05	more than 8.00 "	10

(1 acre \approx 0.4047 hectare and 0.01 hectare = 100 sq. metre)

A piece of land is considered to be owned by the household if permanent heritable possession with or without the right to transfer the title vests in a member or members of the household. Land held in owner-like possession say, under perpetual lease, hereditary tenure, long-term lease for 30 years or more, etc., will also be considered as land owned. For a piece of land under the possession of the household, if the household lacks title of ownership and also does not have lease agreement for the use of land transacted, either verbally or in writing, such land will be considered as 'neither owned nor leased in'. In collecting information regarding land possessed, the actual position as obtained on the date of survey will be considered. It may be noted that the 'area of land possessed' to be recorded against this item should not include the area of land owned, leased-in, etc., by the servants/paying guests who are considered as normal members of the household. Entry will be made in two-digit code. *In case of land possessed less than 0.005 hectare or nil, code 01 is to be recorded.*

4.3.16 **Item 8: dwelling unit:** This item of the block refers only to the dwelling unit or the actual residence of the sample household. The dwelling unit may be the entire structure for one household or may be only a part of it. Accordingly, the investigator will ask the informant if it is owned, hired or otherwise occupied. If the occupant owns the dwelling unit, code 1 will be recorded against item 8. If it is taken on rent, code 2 will be entered and if it is occupied otherwise, code 9 will apply. However, if any household is found living under trees, bridges, in pipes, etc. it

will not be treated as living in dwelling unit. For such households code 3 will be recorded and in such cases a cross 'x' mark will be put against the items 9, 10 and 11 of the block. It may be noted that a dwelling unit constructed on a plot of land which is taken under long-term lease, usually 30 years or more, will be considered as being held under owner-like possession. Similarly, a dwelling unit itself possessed by a household under a long-term lease may be treated as under owner-like possession and code 1 will be applicable in such cases also.

4.3.17 Item 9: type of dwelling: A dwelling unit may be in a chawl or bustee, or an independent house or a flat. Code for each type of dwelling is given in the schedule and the applicable code will be entered against this item.

4.3.18 A 'chawl/bustee' is a collection of huts (thatched house or huts) or tenements which is generally constructed of katcha or semi-pucca materials like mud, bamboo, grass, leaves, reeds, thatch, unburnt bricks, etc., and is inhabited by a large number of households. If a household is living in such a 'chawl or bustee', code 1 will be recorded against this item.

4.3.19 An independent house is one which has a separate structure and entrance with self-contained arrangements. In other words, if the dwelling unit and the entire structure of the house are physically the same, it should be considered as an independent house. Here dwelling unit will mean living rooms, kitchen, bathroom, latrine, storeroom, verandah (both open and closed).

4.3.20 A flat, generally, is a part of the building and has one or more rooms with self-contained arrangements and normal housing facilities like water supply, latrine, toilet, etc., which are used exclusively by the family residing therein or jointly with other families. It also includes detached room or rooms with or without other housing facilities.

4.3.21 Item 10: type of structure: The structures have been classified into three categories, namely, pucca, semi-pucca and katcha on the basis of materials used for construction. This item is to be filled in code. The codes are: katcha-1, semi-pucca-2, pucca-3.

4.3.22 A katcha structure is one whose walls and roof are made of mud, bamboo, grass, leaves, reeds, thatch or unburnt bricks. A pucca structure is one whose walls and roof are made of burnt bricks, stone, cement, concrete, jack board (cement-plastered reeds) and timber. Tiles, galvanised tin or asbestos cement sheets used in construction of roofs will be regarded as pucca materials. A semi-pucca structure is one of which either the roof or the walls but not both is made of pucca materials like burnt bricks, stone, cement, concrete or timber.

4.3.23 Item 11: covered area (square metre): This will be the sum of the floor areas of all the rooms, kitchen, etc., and verandah of the building. The area will be recorded (to nearest integer) in square metres. The verandah will mean a roofed space adjacent to living/other rooms and not walled from all sides. In other words, at least one side of such space is either open or walled only to some height or protected by grille, net, etc.

(1 square foot \approx 0.0929 square metre)

4.3.24 Items 12 & 13: primary source of energy used for cooking and lighting: Against these two items, the code corresponding to the primary source of energy that is used by the household for cooking and lighting during **last 30 days preceding the date of survey**, will be recorded. If more than one type of energy is utilised, the primary or principal one on the basis of its use will have to be identified and the corresponding code will be noted in the appropriate box. The codes are:

cooking: coke, coal- 01, firewood and chips- 02, LPG- 03, gobar gas - 04, dung cake- 05, charcoal- 06, kerosene- 07, electricity- 08, others- 09, no cooking arrangement- 10

lighting: kerosene -1, other oil -2, gas - 3, candle - 4, electricity - 5, others -6, no lighting arrangement - 7

4.3.25 Item 14: did any member of the household take any meal from outside during the last 30 days?: If any member of the household has taken meals from outside, with or without payment, during last 30 days preceding the date of enquiry, code 1 will be recorded against this item, otherwise code 2 will be entered. For definition of meal, etc. see paras 4.4.24 to 4.4.30.

4.3.26 Item 15: did the household perform any ceremony during the last 30 days?: Ceremonies are performed to solemnise some events of life, e.g. birth, marriage, etc. Members of a household may have to perform some religious rites consequent upon the death of a person. For various religions, faiths, there are some days in a year, which are observed with ceremonial performances like offering puja, prayer, ritual performances, etc. Some of such ceremonies may be performed by household members as required under the social/religious customs without incurring expenditure for entertaining guests. On the other hand, some households may spend some amount of money for entertaining guests with meals, which are considered as an essential part of the ceremonies performed by them. Code 1 will be entered in the box space provided against this item if the household had performed at least one ceremony during the last 30 days preceding the date of enquiry, and code 2 will be entered if the household performed no such ceremony.

4.3.27 Item 16: did the household purchase any cereal from ration/fair price shop during last 30 days?: The answer against this question will be recorded in codes. The codes are yes-1, no-2. Purchase of foodgrains by workers from shops run by their employer at concessional or subsidised rates (this is prevalent, for example, in tea garden areas) will not be considered as purchase from ration/fair price shop.

4.3.28 Item 17: monthly per capita expenditure (Rs. 0.00): This item will be filled-in only after completing blocks 5 to 9 and 11. It will be copied from column 6 of item srl. no. 37 of block 11. (The sum total of the relevant sub-total items (as indicated in block 11) adjusted for 30 days will be divided by the household size to obtain the monthly per capita expenditure.)

4.4.0 Block 4: Demographic and other particulars of household members: All members of the sample household will be listed in this block. Demographic particulars (viz., relation to head, sex, age, marital status and general education), working status, type of income received and number of meals taken will be recorded for each member using one line for one member.

4.4.1 Column (1): serial number: All the members of the sample household will be listed in block 4 using a continuous serial number in column (1). In the list, the head of the household will appear first followed by head's spouse, the first son, first son's wife and their children, second son, second son's wife and their children & so on. After the sons are enumerated, the daughters will be listed followed by other relations, dependants, servants, etc.

4.4.2 Column (2): name of member: The names of the members corresponding to the serial numbers entered in column (1) will be recorded in column (2).

4.4.3 Column (3): relation to head (code): The family relationship of each member of the household with the head of the household (for the head, the relationship is 'self') expressed in terms of specified codes will be recorded in this column. The codes are:

self	1	grandchild	6
spouse of head.....	2	father/mother/father-in-law/mother- in-law ...	7
married child	3	brother/sister/brother-in-law/sister-in-law	
spouse of married child ..	4	/other relatives.....	8
unmarried child	5	servant/employees/other non-relatives	9

4.4.4 Column (4): sex (male-1, female-2): For each and every member of the household, sex in terms of the code (male-1, female-2) will be recorded in this column. For eunuch, code '1' will be recorded.

4.4.5 Column (5): age (years): The age in completed years of all the members listed will be ascertained and recorded in column (5). For infants below one year of age at the time of listing, '0' will be entered in column (5). Similarly, for persons of age 99 years or more, 99 will be entered in this column.

4.4.6 Column (6): marital status (code): The marital status of each member will be recorded in terms of the specified code in this column. The codes are:

never married - 1, currently married - 2, widowed - 3, divorced/separated - 4.

4.4.7 Column (7): general education (code): Information regarding the level of general education attained by the members of the household listed will be recorded in column (7) in terms of the specified code. For the purpose of making entries in this column, only the course successfully completed will be considered. For instance, for a person who has studied up to say, first year B.A., his/her educational attainment will be considered as higher secondary (code 07). For a person who has studied up to 12th standard but has not appeared for the final examination or has failed, his/her educational attainment will be considered under 'secondary' (code 06). The relevant codes to be used for recording entries in column (7) are:

not literate -01, literate without formal schooling -02, literate but below primary -03, primary -04, middle -05, secondary -06, higher secondary -07, diploma/certificate course -08, graduate - 09, post graduate and above -10

4.4.8 A person who can both read and write a simple message with understanding in at least one

language is to be considered literate. Those who are not able to do so, are to be considered not literate and will be assigned code 01. Those who are literate but never attended any school, will be assigned code 02. Those who are by definition literate but are yet to pass a primary standard examination will get code 03. Similarly codes 04, 05, 06 and 07 will indicate the successive higher standards of examinations passed.

4.4.9 Persons who have attained proficiency in Oriental languages (e.g. Sanskrit, Persian, etc.) through formal but not the general type of education will be classified appropriately at the equivalent level of general education standard.

4.4.10 **Usual activity and current weekly activity particulars:** Columns (8) to (13) of this block are meant for recording the usual as well as current weekly activity status particulars of all the members of the household listed in this block.

4.4.11 **Definitions:** Definitions adopted for a few items on which data will be collected in cols.(8) to (13) of this block and the concepts involved therein are as follows:

(a) **Economic activity:** See para 1.3.9.

(b) **Activity status:** It is the activity situation in which a person is found during a reference period in respect of the person's participation in economic and non-economic activities. According to this, a person will be in one or a combination of the following three statuses during a reference period:

(i) working or being engaged in economic activity (work) as defined in para 1.3.9.

(ii) being not engaged in economic activity (work) and either making tangible efforts to seek 'work' or being available for 'work' if the 'work' is available and

(iii) being not engaged in any economic activity (work) and also not available for 'work'.

Activity statuses mentioned in (i) & (ii) above are associated with 'being in labour force' and (iii) with 'not being in the labour force'. Within the labour force activity status (i) is associated with 'employment' and that of (ii) with 'unemployment'.

Classification of each individual into a unique status poses a problem when more than one of the three activity statuses listed above concurrently obtain for a person. In such an eventuality, the identification uniquely under any one of the three activity statuses is done by adopting either the major time or priority criterion. The former is used for classification of persons under 'usual activity status' and the latter for classification of persons under 'current activity status'. The three major activity statuses have been further sub-divided into several detailed activity categories. If a person categorised as engaged in economic/non-economic activity, by adopting one of the two criteria mentioned above, is found to be pursuing more than one economic/non-economic activity during the reference period, the appropriate detailed status code will relate to the activity in which relatively more time has been spent. The categories under each of the three major activity statuses used in the survey (with the corresponding codes) are:

reference period are considered to be 'out of labour force'. The persons under this category are students, those engaged in domestic duties, rentiers, pensioners, recipients of remittances, those living on alms, infirm or disabled persons, too young or too old persons, prostitutes, smugglers, etc. and casual labourers not working due to sickness.

(f) **Self-employed in household enterprise:** Persons who operate their own farm or non-farm enterprises or are engaged independently in a profession or trade on own account or with one or a few partners are self-employed in household enterprises. The essential feature of self-employment is that the remuneration is determined wholly or mainly by sales or profits of the goods or services which are being produced. In the case of 'putting out' system where part of a job is performed in different household enterprises, persons will be considered as self-employed if they have some tangible or intangible means of production and their work is a kind of enterprise to them and the fee or remuneration really consists of two parts viz., the share of their labour and the profit of the enterprise. The self-employed persons may again be categorised into the following three groups:

(i) **Own account workers (status code 11):** These are the self-employed persons who operate their enterprises on their own account or with one or a few partners and who, during the reference period, by and large run their enterprise without hiring any labour. They may, however, have unpaid helpers to assist them in the activity of the enterprise.

(ii) **Employers (status code 12):** The self-employed persons who work on their own account or with one or a few partners and by and large run their enterprise by hiring labour are the employers.

(iii) **Helpers in household enterprise (status code 21):** The helpers are category of self-employed persons, mostly family members, who keep themselves engaged in their household enterprises, working full or part time and do not receive any regular salary or wages in return for the work performed. They do not run the household enterprise on their own but assist the related person living in the same household in running the household enterprise. This is a departure from the definition of 'helpers' adopted in the employment-unemployment surveys of the rounds prior to NSS 50th round. Persons who worked in the capacity of 'helpers' but had a share in the family earning were not considered as 'helpers' earlier. Such persons also are being considered as 'helpers' from the 50th round onwards.

(g) **Regular salaried/wage employee (status code 31):** Persons working in others' farm or non-farm enterprises (both household and non-household) and getting in return salary or wages on regular basis and not on the basis of daily or periodic renewal of work contract are the regular salaried/wage employees. The category not only includes persons getting time wage but also persons receiving piece wage or salary and paid apprentices, both full-time and part-time.

(h) **Casual wage labour (status codes 41 & 51):** A person casually engaged in others' farm or non-farm enterprises (both household and non-household) and getting in return wage according to the terms of the daily or periodic work contract is a casual wage labourer. Usually, in the rural areas, a class of labourers can be seen who normally engage themselves in 'public works' activities. 'Public works' are those activities, which are sponsored by Government or local bodies for construction of roads, bunds, digging of ponds, etc. as 'test relief' measures (like flood relief, drought relief, famine relief, etc.) and also employment generation schemes under poverty

alleviation programmes (NREP, RLEGP, etc.).

(i) Had work in household enterprise but did not work (current status codes 61 & 62) and had regular salaried/wage employment but did not work (current status codes 71 & 72): Persons engaged in household farm or non-farm enterprises or working in others' farm or non-farm enterprises as salaried/wage employees but absencing themselves from work temporarily due to sickness or enjoying leave or holiday or for other reasons will be categorised under codes 61 & 62 or 71 & 72 respectively depending on whether they are self-employed in household farm or non-farm enterprises or employed in others' farm or non-farm enterprises as wage/salaried employees. In the case of self-employed, if the reason is sickness, the code to be used is 61 and for other reasons, the relevant code is 62. Similarly, for the regular salaried/wage employees, code 71 will be recorded for those who did not work due to sickness and code 72 will be entered for others who did not work due to other reasons.

4.4.12 Column (8): usual (principal) activity status: The usual activity status relates to the activity status of a person during the reference period of 365 days preceding the date of survey. The activity status on which a person spent relatively longer time (major time criterion) during the 365 days preceding the date of survey is considered the principal usual activity status of the person. In the first instance the broad principal usual activity of the person will be identified based on the various activities pursued by the person during the reference period of last 365 days adopting a relatively long time (or major time) criterion, not necessarily for a continuous period. The broad principal usual activity status will be one of the three categories viz. 'employed' (working), 'unemployed' (available for work) or 'not in labour force' (neither willing nor available for work). It is to be noted that in deciding this, only the normal working hours available for pursuing various activities need be considered, and not the 24 hours of a day. The broad principal usual activity status will be obtained on the basis of a two-stage dichotomous classification depending on the major time spent. Persons will be classified in the first stage into (i) those who are engaged in any economic activity (i.e., employed) and/or available for any economic activity (i.e., unemployed) and (ii) who are not engaged and not available for any economic activity i.e., the persons will be first classified as those in the labour force and those not in the labour force depending on in which of these two statuses the person spent major part of the year. In the second stage, those who are found in the labour force will be further classified into working (i.e., engaged in economic activity or employed) and seeking and/or available for work (i.e., unemployed) based on the major time spent. Thus, the procedure followed in the identification of the broad usual status classification is different from the one followed up to the 49th round. The following example will help in highlighting the difference and also clarify the procedure.

person	number of months			principal usual activity status
	labour force		not in	
	employed	unemployed	labour force	
(1)	(2)	(3)	(4)	(5)
A	5	4	3	Employed
B	4	5	3	Unemployed
C	4	3	5	Employed
D	4	1	7	not in labour force

Note: In the case of C as per the procedure followed in rounds prior to 50th round, he would have been categorised as not in labour force whereas he is now categorised as employed.

With the broad category identified for a person, detailed activity status will be assigned on the basis of relatively longer time spent on a detailed activity. For example, suppose A in the example given above worked in household enterprises without hiring labour for 3 months and worked as casual labour for 2 months, then his principal usual activity status would be ‘worked in household enterprise (own account worker).’ The detailed principal status activity codes are the same as given in para 4.4.11(b). Codes 61,62,71,72,82 and 98 are not applicable for usual status classification. Code 81 will be used to indicate both the situations of seeking work and being available for work.

4.4.13 Column (9): NIC-98 code (2 digits): For the persons categorised ‘working’ (i.e., those with status codes 11-51), the corresponding industry division will be recorded in terms of the two digit NIC 98 codes in column (9).

4.4.14 subsidiary economic activity: For each person listed in this block, it has to be ascertained whether he or she worked in a subsidiary capacity during the 365 days preceding the date of survey or not; in other words, whether he or she had a subsidiary economic usual status. This has to be ascertained for all the three broad categories of persons initially classified as ‘employed’, ‘unemployed’ and ‘not in labour force’. To illustrate, a person categorised as working and assigned the principal usual activity status ‘self-employed’ may also be engaged for a relatively shorter time during the year as casual wage labour. In such a case, he will be considered to have worked also in a subsidiary capacity (i.e., having a subsidiary economic status which is different from the principal status). On the other hand, a person may be self-employed in trade for a relatively longer period and simultaneously also engaged in agricultural production for a relatively minor time. In such a case, the principal usual activity status will be ‘self-employed in trade’ and subsidiary economic status, ‘self-employed in agriculture’. Similarly, persons categorised as ‘unemployed’ or ‘not in labour force’ on the basis of ‘relatively longer time’ criterion might have pursued some economic activity for relatively shorter time during the year. In all the above cases, they will be treated to have had subsidiary economic usual status. It may be noted that engagement in work in subsidiary capacity may arise out of two situations:

(i) a person may be engaged for a relatively longer period during the 365 days in one economic activity/non-economic activity and for a relatively shorter period in another economic activity;

(ii) a person may be pursuing one economic activity/non-economic activity almost throughout the year in the principal status and also simultaneously pursuing another economic activity for relatively shorter time in a subsidiary capacity.

4.4.15 Columns (10) & (11): subsidiary economic activity status: For all persons engaged in any ‘work’ in subsidiary capacity, the status codes of the economic activities pursued by them in their subsidiary capacity will be recorded in col.(10) and the corresponding NIC-98 code (2 digits) will be recorded in col.(11). In the situation where a person has been found to have pursued more than one economic activity during the last 365 days in his or her subsidiary capacity, the activity on which more time has been spent would be considered for recording entry in this column. Columns (10) & (11) are to be filled in for each and every member of the household irrespective of whether the person's principal status is economic activity or not. For those reporting no subsidiary economic activity, ‘X’ may be recorded in both the columns.

4.4.16 Column (12): current weekly activity status: The current weekly activity status of a person will be the activity status obtaining for a person during a reference period of seven days preceding the date of survey. Irrespective of the usual activity pursued by a person, his/her current weekly activity will be determined strictly on the basis of the activities pursued by the person during the reference period of seven days preceding the date of survey adopting the priority criterion. Even self-employed persons, one need not prejudge and take for granted that the current activity situation for them will be identical with the usual activity situation. A careful probe on the part of the investigator regarding the various activities pursued by the person during the seven days preceding the date of survey is, therefore, necessary for ascertaining his/her current weekly activity status. In defining the 'activity status', it has already been mentioned that the activities are grouped broadly into three categories, namely:

- (i) working,
- (ii) not working but seeking and/or available for work, and
- (iii) neither working nor available for work.

According to the priority criterion, the status of 'working' gets priority over the status 'not working but seeking and/or available for work' which in turn gets priority over the status of 'neither working nor available for work'. In the category, 'not working but seeking and/or available for work', the status 'seeking' gets priority over the status of 'not seeking but available for work'. A person would be considered 'working (or employed)' if he/she while pursuing any economic activity had worked for at least one hour on any one day during the week preceding the date of survey. A person would be considered 'seeking and/or available for work (or unemployed)' if during the reference week no 'work' was done by the person but he or she had made efforts to get work or had been available for work during the reference week though not actively seeking work, in the belief that no work was available. A person who had neither worked nor was available for work will be considered to be engaged in non-economic activities (or not in labour force).

4.4.17 The three broad groups of activities are further classified into 20 detailed 'status' categories, 10 for persons categorised 'working' (codes 11-72), 2 for those categorised 'not working but seeking and/or available for work' (codes 81 & 82) and 8 for those categorised 'neither working nor available for work' (codes 91-98). For a person, the appropriate broad 'status' will be determined first adopting the priority criterion. If a person categorised 'working' is found to be pursuing more than one economic activity during the reference week, the economic activity in which relatively more time has been spent will be the appropriate detailed 'status' that will be assigned to him/her. (If the time spent on the different activities is found to be equal, the activity that appears first in the list will be assigned to the person.)

4.4.18 In case more than one 'non-economic activity status' (codes 91-98) are assignable to a person in view of typical activity pattern followed by him/her during the reference week, the activity which appears first in the code list in the ascending order starting from 91 will be assigned. But it may be noted that a person engaged in 'domestic duties' should not be classified as 'student' (code 91) simply because he/she was attending some training. Similarly, a disabled person who was a recipient of regular pension, remittance, etc, should be classified as 'rentiers, pensioners, remittance recipients, etc.', and not in the category 'not able to work due to disability' (code 95). After thus determining the current weekly activity status of a household member, the appropriate 2-digit status code will be recorded in column (12).

4.4.19 The following points may be noted while assigning the activity status to a person

(a) a person found to be engaged in domestic duties should not be categorised 'engaged in domestic duties' (code 92) if the person reports that he/she has also been available for work concurrently.

(b) a person engaged in regular wage/salaried employment but currently not at work, will be assigned code 71 or 72 irrespective of whether he/she is engaged in any other 'economic' or 'non-economic' activity.

(c) unpaid apprentices will be treated as 'students' while paid apprentices will be treated as employees.

(d) persons under 'paid lay-off' will be considered 'employed' and those under 'unpaid lay off' as 'unemployed' if they are seeking and/or available for work.

(e) 'free collection for sale' will be treated as self-employment. If the products collected relate to agricultural sector (even if the products collected are not for sale but for household consumption) the NIC-98 tabulation category will be 'A' and for other goods like rag, waste paper, tins, etc., the NIC-98 tabulation category will be 'G'.

4.4.20 **Column (13): NIC-98 code (2 digits):** For persons categorised as 'working' i.e., those with status codes 11-72 in column (12), NIC-98 code (2 digits) corresponding to the activity status recorded in column (12) will be entered in column (13).

4.4.21 **Activity Status: Some Important Clarifications**

(i) If a student is reported to be engaged in private tuition or in any other economic activity like helping the family enterprise for at least one hour on any day during the reference week, his current weekly activity status code will be 11 (self-employed). If the time spent on such activity is less than one hour, his current weekly activity status code will be 91 (student).

(ii) A disabled person/pensioner, reported to be seeking/ available for work, will be treated as unemployed and not as a disabled person/pensioner.

(iii) When a female casual labourer reports that she is not able to work due to pregnancy, she will be treated as 'casual labour not working due to sickness' and will be assigned current activity code 98.

(iv) Exchange labour will be considered as 'self-employed'. But a regular employee as exchange labour while on leave or holiday will be assigned status code 72. On the other hand, a casual labourer working as 'exchange labour' on some days will be categorised as 'self-employed' for those days.

(v) For determining the activity status code of an MP/MLA/ Municipal Councillor (MC), etc, it has to be first ascertained whether they had any other primary economic occupation or not. If they had other primary economic occupation, their activity status will be according to that economic occupation. If not, they will be categorised as 'self-employed' (status code 11) with NIC-98 tabulation category as 'O'.

(vi) A pensioner reported to be engaged in the family enterprise or employed in any other capacity should be considered as 'currently working', if he/she was engaged in the activity at least for one hour on any one day of the reference week and 'usually working', if he/she was engaged for a relatively long time during the reference year.

(vii) The ‘meal carriers’ (who deliver lunch at various offices), ‘night watchmen’ of a locality, ‘cowherd’, etc. are normally employed by a group of households on a regular monthly wage. The ‘activity status’ of such workers will be the same as that of maid servant/male servant, etc. i.e., ‘wage/salaried employee’.

(viii) Sometimes it is found that a regular student is currently on live register of the Employment Exchange and such a situation creates confusion in deciding his activity status. Normally, the person will be categorised as a student. But before categorising him/her as a student, further probes should be made as to whether he/she will give up his/her studies the moment he/she gets a job. If it is found that he/she will leave his studies to take up the type of job for which he/she has registered, he/she will be considered as unemployed.

(ix) Engagement in domestic duties by a member of the household is not considered economic activity but the domestic duties performed by the domestic servant staying in the employer's household and taking food from the common kitchen and thereby being a member of the household is to be considered as an economic activity, as a special case. The appropriate work status code depending on the duties performed is to be assigned to him/her.

4.4.22 Column (14): number of days stayed away from home during the last 30 days: The number of days for which the member ‘stayed away from home’ during the 30 days preceding the date of enquiry should be recorded here. A continuous absence from home for 24 hours will be reckoned as a ‘day stayed away’. That is, the entry will be made in completed number of days and any fraction of a day will be ignored. The location of the place where the person stayed, having been away from his/her own household, may also be within the same village/town and staying away will not only mean physical absence but also non- participation in food consumption from his/her own household.

4.4.23 Column (15): number of meals usually taken in a day: The number of meals consumed by a person is usually reported as 2 or 3. In rare cases, one may come across a person who may be taking food only once in a day or more than three times a day. While in the former case the number of meals for the person will be 1 per day, in the latter case, however, only 3 should be entered. That is, in this column, the recorded number of meals taken in a day, even if it is reported to be higher, should not exceed 3. A breast-fed baby does not directly share the food consumed by members of the household. Hence for such babies the entry in this column will be ‘0’. To have a clear idea of what constitutes a meal, the following three paragraphs may be referred to.

4.4.24 Meal: A ‘meal’ is composed of one or more readily eatable (generally cooked) items of food, the usually major constituent of which is cereals. The meals consumed by a person twice or thrice a day provide him/her the required energy (calorie) and other nutrients for living and for pursuing his/her normal avocations. A ‘meal’, as opposed to ‘snacks’, ‘nashta’ or ‘high tea’, contains larger quantum and variety of food. In rare cases, a full meal may contain larger quantity of non-cereal food. Even then, if the quantum of food in a plate is heavy as a meal, the contents of the food plate will also be considered as a ‘meal’. Sometimes the contents of a ‘nashta’ may not be very different from the contents of a ‘meal’. The difference in quantity will therefore be the guiding factor for deciding whether the plate is to be labelled as a ‘meal’ or a ‘nashta’.

4.4.25 A person rendering domestic service (like cleaning utensils, dusting and cleaning of rooms, washing linen, carrying water from outside, etc.) to a number of households during the daytime gets

some food from each of the households he/she serves. Although the quantum of food received from a single household may, by quantity, be far less than a full meal, the total quantity of food received from all the households taken together would often, if not more, be at least equivalent to a full meal. In this particular situation, the person will be considered to be consuming one meal every day under 'meal taken away from home'.

4.4.26 Subject to the guidelines given in the two preceding paragraphs, for the purpose of data collection on 'number of meals consumed' one has to depend on the judgement of the informant because, the informant would reckon the number on the basis of his/her own understanding of the concept of a meal/ khana.

4.4.27 Columns (16), (17), (18), (19) and (20): number of meals taken during last 30 days : It is important to note that the entries are to be made in these columns depending on the place from where food is served irrespective of where it is consumed.

4.4.28 Columns (16), (17) & (18) pertain to meals taken away from home without payment. Number of meals taken outside home on payment and at home during last 30 days preceding the date of survey, for each member of the household will be recorded against columns (19) & (20). There are schools/balwadis, etc., which provide standard food to all or some students as midday meal, tiffin, etc., free or at subsidised rate. Such meals are to be considered as meals taken away from home. If such food is received free it will be recorded in column (16). Meals received at subsidised rate will be recorded in column (19). There are institutions, which provide canteen facilities to their students. Students can purchase food of their choice and to their requirements from those canteens on payment. In such cases also entry will be made in column (19).

4.4.29 Sometimes meals are provided by the employer. These may be as perquisites or as part of wages in kind. These meals are generally consumed at the place of work and are to be considered as meals taken away from home. It may not be rare that meals provided by the employer are brought home by the employees and consumed there. Such meals are also to be considered as meals taken away from home. In column (17), the number of such meals received and consumed during the reference period by an individual member will be recorded. Similarly meals consumed as guests in other households, will also be taken into account while making entries in column (18). For the purpose of making entry in column (19), 'meals received on payment' will mean that the informant has to incur some expense or part with a certain portion of his salary/wage for getting the meals. Meals purchased from hotel, restaurant or an eating-house will be considered as 'meals taken away from home on payment' and will have to be counted also for making entry in column (19). Meals taken away from home during the days of absence from the household should also be accounted for in making entries in these columns. Such meals are to be counted under either of the columns (16) to (18) or (19).

4.4.30 In column (20), the number of meals taken at home by each member of the household during the period of 30 days preceding the date of survey will be recorded. A meal will be considered to be taken at home if the meal is prepared at home irrespective of the place where it is consumed. In short, all the meals consumed by a member which are either prepared by the household or purchased from outside the expenditure relating to which is collected and recorded at appropriate places of the schedule should be considered either as 'meals taken away from home on payment' or

as 'meals taken at home'.

4.5.0.0 Blocks 5 to 9: Blocks on Consumer Expenditure: In these blocks information on consumer expenditure on various items/groups of items will be collected. The titles of the blocks are:

- Block 5: Consumption of food, pan, tobacco and intoxicants.
- Block 5.1: Consumption of fuel and light.
- Block 6: Consumption of clothing, bedding, etc.
- Block 7: Consumption of footwear.
- Block 8.1: Expenditure on education & medical (institutional) goods and services.
- Block 8.2: Expenditure on miscellaneous goods and services including medical (non-institutional), rents and taxes.
- Block 9: Expenditure for purchase and construction (including repair and maintenance) of durable goods for domestic use.

4.5.0.1 In blocks 5 and 5.1, information on an item will be recorded only if it is consumed. In blocks 6 and 7 value of an item will be recorded only if it is brought into first-use during the reference period. In blocks 8.1, 8.2 and 9 expenditure will be recorded if it is incurred on any item during the reference period.

4.5.0.2 **Credit purchase:** In case of credit purchase of any item of blocks 8.1, 8.2 or 9 the actual expenditure made during the reference period will be recorded. If any payment is made during the reference period for any credit purchase made earlier, then that amount will also be included. If the household makes a lumpsum payment against the credit purchase of several items, apportionment will be made for each of the items in proportion to their value.

4.5.0.3 **Payment in kind:** If payment in kind is made against consumer services like payment to priests, domestic servants, barbers, washermen, etc. in terms of items of food, pan, tobacco, intoxicants, fuel, clothing and footwear, the value of the item will be recorded against the particular service consumed and not against the respective items of block 5, 6 or 7. But if such payment in kind is made in terms of miscellaneous goods or durable goods, it will not be recorded against consumer service, but instead, will have to be recorded against the respective items of blocks 8.1, 8.2 and 9. However, if an old (used) durable good (say, an almirah), is given to a person (say, a priest) for the services rendered by him, the present (imputed) value of the good may be recorded against the appropriate service item of block 8.2 (e.g. priest).

4.5.0.4 If a household member receives any item of blocks 8.1, 8.2 or 9 as a part of wages and salaries or perquisites from the employer (enterprise) then that is to be accounted for as expenditure incurred against the corresponding item even if a part of the said receipt is given away to others. However, an item of miscellaneous goods received by a domestic servant (household member) from his or her employer household will not be included in the recipient household. Such expenditure will be considered in the employer household.

4.5.1 **Block 5: Consumption of food, pan, tobacco and intoxicants:** In this block information on consumption of each item of food, pan, tobacco and intoxicants for the household for a

reference period of 30 days preceding the date of survey will be collected.

4.5.2 Public Distribution System (PDS) means the distribution of some essential commodities by the government at subsidised rate through ration shops, fair price shops and control shops. These shops may be owned by the government, local self-government, a government undertaking, the proprietor of a firm, co-operatives or private persons (individually or jointly) or other bodies like club, trust, etc. For kerosene, "public distribution system" will also include kerosene depots selling kerosene at controlled prices. "Super bazaars" and co-operative stores will not generally be included under public distribution system. However, when they sell rationed commodities also at controlled prices against ration cards, they will be taken as ration shops for particular commodities. (Presentation of ration card may not, however, be obligatory for some controlled price commodities like kerosene, coal, etc.). Purchase/consumption from PDS should be recorded irrespective of whether the household uses its own ration card or that of some other household. But any purchase made by paying some extra amount in addition to the normal PDS rates is to be considered as 'purchase from other sources' and not as purchase from PDS. Purchases made from PDS by the household for sale in the open market will not be accounted in this block.

4.5.3 Columns (1) & (2): code and item: It may be noted that for accounting of items a 3-digit coding system is used in all these blocks. Code and description of the items are printed in columns (1) and (2), respectively. Items are arranged in groups such as 'cereal', 'cereal substitutes', etc. Similarly, item codes and item descriptions for blocks 6, 7, 8.1, 8.2, and 9 appear in the body of the relevant block.

4.5.4 Unit: Each filled-in line of this block will relate to a particular item of consumption. Generally, the unit of quantity for the majority of the listed items is kilogram (kg). However, if 'kg' is not the appropriate unit for any item then the appropriate unit has been shown within brackets after the description of the item. The unit should be 'kg' for all items for which the unit has not been mentioned in the list.

4.5.5 Against each item of blocks 5 to 7 and 9, there is a provision to record the quantity figure in terms of the respective standard unit. Value figure will be recorded in rupees. Each of these columns of blocks 5, 5.1, 6, 8.1 and 8.2 has been bifurcated in two parts. A quantity or value figure, in terms of the specified standard unit for an item, will usually have two parts - one integral part and the other fractional i.e., decimal part. The integral part will be recorded in the left hand part and the decimal portion will be entered in the right hand part. It may be noted that against the items printed on the schedule for which the specified unit is 'gram'/'number'/'box'/'pair'/'standard unit', two zeros (00) have already been printed in the decimal part. This means only the integral part of these units is to be recorded for such items. Similarly, '00' has been printed in the decimal part of value figure of those items for which the value is preferred to be in whole rupees.

4.5.6 Columns (3) & (4): quantity and value: These columns relate to the consumption of the household during the reference periods of last 30 days. Column (3) relates to the quantity of consumption and column (4) to the corresponding value. Here, consumption includes all consumption of monetary and non-monetary purchases and goods received as gift, loan, etc. However, the consumption data should be strictly confined to the domestic consumption of the household. The expenditure incurred on account of pet animals will be excluded. That expenditure should be recorded under item 493 of block 8.2. It may be noted that consumption by livestock

belonging to the household will not be included in household consumption. Accounting should, however, be made of the livestock products like milk, meat, egg, etc., obtained from such livestock and consumed by the household. While making entries on household consumption care should be taken not to include any transfer payment in kind, like loans, advances, charities, gifts and other payments in kind, if any. But consumption from transfer receipts will be included. Consumption of the household will consist of consumption made out of:

- (i) commodities purchased in cash;
- (ii) commodities received in exchange of goods and services;
- (iii) home-grown/home-produced stock;
- (iv) transfer receipts such as gifts, loans, charities, etc., and
- (v) free collection.

4.5.7 Column (5): source code: Consumption of an item during the last 30 days may be made out of one or more sources mentioned in the preceding para. The source from which the item has been procured and consumed by the household will be recorded in terms of codes. The codes to be used are:

only purchase	1	only free collection ...	4
only home-grown stock.....	2	others	9
both purchase and home-grown stock	3		

Code 3 will be applicable if consumption is made out of both purchase and home-grown stock but not from any other sources. Any other combination of sources will get code 9. Consumption out of transfer receipts or commodities received in exchange of goods and services will also get code 9.

- Note:**
1. For a sub-total item a cross (X) or shade has already been put in column (5).
 2. For PDS items (101, 107, 260, 344) and ice (item 294), '1' has already been printed in column (5).
 3. Source code will be decided on the basis of reference period of last 30 days.

4.5.8 While recording consumption, care should be taken to include consumption on ceremonials, parties, etc. Note that if the household made any transfer payment in terms of commodities like rice, wheat, pulses, etc., the quantity of commodity so paid should not be shown under domestic consumption of the payer household. The portion out of that receipt consumed by the recipient household during the reference period will be shown against the consumption of the recipient household. However, if the transfer payment is made in terms of cooked meals then that will be shown as consumption of the payer household. If the meals were prepared by the household then the consumption will be shown under the respective items used for preparing the meals and if ready meals were purchased by the household and transferred, then the number of meals served and the value of those will be recorded under cooked meals (item 303) against the payer household. For such meals nothing is to be recorded against the recipient household.

4.5.9 Imputation of value: The method of imputing values of items which are consumed but not purchased has been given in para 4.0.4.

4.5.10 It may be mentioned that for all the items in block 5, the quantity reported to have been actually consumed is to be recorded. For example, if the weight of barley originally weighing 10

kg becomes only 9 kg after its cleaning, etc., the quantity of barley consumed is to be recorded as 9 kg only. On the other hand, if a person buys 2 kg of rice at Rs 10/- and consumes only 1 kg, the rest being thrown away due to damage by insects, infection, etc. then the quantity consumed is only 1 kg and value Rs 5/-.

4.5.11 Items 101 & 102: rice: Rice will mean the grain obtained after husking and cleaning paddy.

4.5.12 Items 103 to 106: Rice products like chira, khoi, lawa, muri, rice powder, etc. which are obtained by splitting, frying, powdering, parching of the grain are covered by these items. Food preparations out of rice viz., pastries, cakes, sweets, etc., should not be considered as rice products. These items will be put under the appropriate item of food group: beverages, etc. Rice purchased in the form of 'cooked rice' (not cooked meal) will also be treated as processed food and will be recorded against item 308 (other processed food).

4.5.13 Items 107 & 108: wheat: This will mean wheat in its whole grain form, broken wheat (not powdered) and also atta [powdered by grinding machine (atta-chaki)] used for food preparation.

4.5.14 Items 110 to 114: Wheat flour, that is, wheat in its powdered form (made by flour mills), will be included under item 110 (maida). Other wheat products will either be accounted against the specific listed items or against item 114 (other wheat products). It may be noted that while consumption of bakery bread will be recorded against item 113, those for other wheat preparation like biscuits, cakes, etc., will be accounted for in food group: beverages, etc. (items 290 to 308).

4.5.15 Items 115 to 121: This series of items has been provided for recording details of consumption of jowar, bajra, maize, barley, small millets, ragi. Each of these items will include their products also. Item 117 will include cornflakes, pop-corn, etc. (made of maize). As instructed earlier, food preparations of these cereals will be recorded against food group: beverages, etc.

Note: Sattu prepared by frying and powdering of barley will be included against item 118 (barley & products).

4.5.16 Item 129: cereal: s.t.: This is a sub-total item. ('s.t.' stands for sub-total.) The sum of all the cereal items will be obtained for columns (3) to (4) and the totals will be recorded in the respective columns of this line. In other words, the entry will be the sum of the entries recorded in that column against each of the constituent items (cereals and cereal products). Similarly, all other sub-total items will be derived.

4.5.17 Item 139: cereal substitutes (tapioca, jackfruit seed, etc.): Cereals are usually a person's staple food. But sometimes by choice or due to scarcity, a person may not consume much of cereals or consume no cereal at all. The food requirement is partially or wholly met in such cases by consumption of food, which could be treated as substitutes for cereals. Tapioca, for example, is consumed in some parts of the country as a substitute for cereals. Similarly, jackfruit seed, mahua, etc. are also consumed as substitute for cereals. Potato or sweet potato consumed as substitutes for cereals will not however be shown here. These will be recorded under the vegetables group.

Note: Sometimes mixed cereal flour, like idli flour, which is a mixture of cereals, pulses and also of spices, is purchased and consumed. In such a case if the proportion of different constituents of the mixture is not known and/or might be difficult to obtain, the quantity and value of it will be recorded against the major constituent item of the mixed cereal flour.

4.5.18 Item 151: gram products: This relates to items like sattu obtained by frying and powdering of gram (whole grain). However, besan made out of gram will not be considered here. Instead, it will be recorded against item 152 (besan).

4.5.19 Items 160 to 167: milk and milk products: These items relate to milk: liquid, baby food, and products of milk obtained on transforming milk by heating, churning milk or adding chemicals like acid drops or fermenting agent in the form of ghee, butter, curd (dahi), casein (chhana), buttermilk, etc. Sweetmeats like 'sandesh', 'rasagolla', 'pera', etc. prepared at home out of milk purchased or home-produced will not be treated as milk products and hence will not be accounted against these items. In case a household prepares these sweetmeats from milk: liquid, then its consumption will be recorded against milk: liquid (item 160) and other constituent items of the preparations. Similarly, when milk products like ghee, butter, curd, etc. are obtained from milk: liquid by the household and consumed, consumption will be recorded against milk: liquid and not against the particular milk product. For example, suppose a household has consumed 30 litres of milk, out of which 15 litres was converted into curd and consumed. In this case 30 litres of milk will be shown against milk: liquid only. But if the milk product is purchased from the market and consumed by the household, the quantity and its corresponding value will be recorded against the particular milk product.

4.5.20 Item 160: milk: liquid: This will mean milk as directly obtained from cow, buffalo, goat or any other livestock. Milk sold in bottle or polypack will also be treated as 'milk: liquid'. The unit of quantity for milk: liquid is 'litre'. Readily drinkable flavoured and bottled milk should be considered as milk: liquid and should also be recorded against this item. Milk transformed into curd, casein, ghee, etc. only for the purpose of consumption and actually consumed during the reference period should also be included in this item. If ghee is prepared at home from 'milk: liquid' and a part of it has been consumed during the reference period then the quantity and value of 'milk: liquid' required for preparing the ghee actually consumed will be recorded against item 160 (milk: liquid).

4.5.21 Item 161: baby food: This relates to such baby food the principal constituent of which is milk e.g. Lactogen, Milk Care, Amulspray, etc. Other foods meant for babies like Farex, Cerelac, etc. whose principal constituent is not milk will not be accounted here. Such items should be recorded against 'other processed food' (item 308).

4.5.22 Item 166: ice-cream: Ice-cream for which major component is milk will be included against this item. Ice with syrup but without milk sold in the villages as ice-cream will not be included against this item. Instead, it will be accounted against item 298 (other beverages).

4.5.23 Items 170 to 174: edible oil: Oil used in food preparation will be considered as 'edible oil' such as mustard oil, groundnut oil, etc. Such oil used for toilet purpose will not be accounted

against any of these items in this block, but will be recorded against item 453 (hair oil, lotion, shampoo, hair cream) or item 458 (other toilet articles) of block 8.2.

4.5.24 Some edible oils, such as groundnut oil, etc., are sold in the market after refining the raw oil, obtained by crushing the seeds by some chemical process of neutralisation, bleaching and decolourisation. No distinction will be made between raw and refined oils.

4.5.25 If oilseeds purchased or grown for extracting edible oil by crushing and the oil is consumed then the entry will be shown against the appropriate item of edible oil.

4.5.26 **Item 222: other vegetables:** It includes green fruits like mango, watermelon, etc. consumed after preparing processed food besides the vegetables listed in the schedule.

4.5.27 **Item 247: other fresh fruits:** It will include all fresh fruits which are not listed in the schedule. It will also include sugarcane consumed like fruits.

4.5.28 **Item 279: salt:** It will include all edible salt irrespective of whether it is iodised or not.

4.5.29 **Items 280 - 288: spices:** There are a large variety of spices which are generally used in food preparations. Of these items, turmeric and chillies are most commonly used. Items not listed here are mostly purchased in the villages as mixed spice and it may be difficult to collect information on expenditure and consumption of each individual item of spices. For such spices item 288 (other spices) has been provided.

4.5.30 **Item 294: ice:** It includes only ice purchased for household consumption. It excludes ice procured otherwise, e.g., made by refrigerator at home.

4.5.31 **Item 295: cold beverages:** It will include cold drinks like *thumsup*, *pepsi*, *cocoa cola* and *frooti*, etc.

4.5.32 **Item 298: other beverages (cocoa, etc.):** Mineral water, soda water, etc. will also be included against this item.

4.5.33 **Item 300: biscuits:** This will include all types of biscuits and will also relate to confectionery items like chocolate, toffee, lozenge, etc. Cake and pastry have been separated from confectionery items and these will be recorded against item 304.

4.5.34 **Item 303: cooked meals:** 'Cooked meals' may be (i) purchased from market, i.e., from hotel, restaurant, canteen, etc. (ii) obtained by paying a lump sum to an agency providing catering services for serving meals to guests attending a ceremony performed by the household, (iii) received as perquisites from employer's household, or (iv) received as gift or charity.

4.5.35 As a general principle, for cooked meals, consumption will be taken account of in the purchaser household. Thus, in case of (i) entry will be made against the columns on consumption for the household reporting purchase of cooked meals, which might have been consumed by household members, employees, guests and other persons. There are factories and offices, which

have their own canteen providing meals to the employees. Consumption of meals by the employees of such institutions, if these are received free of cost, will not be considered in the employee households for making entries against this item. However, such meals will be recorded in column (17) of block 4. The case (ii) will also be similarly treated as case (i), i.e., accounting will be made in the purchaser household as far as block 5 is concerned. No entry will be made in the schedule of the recipient households against this item, for the cooked meals of the type described under case (iii) and (iv). Consumption of such meals will, however, be noted in columns (17) & (18), respectively, of block 4 of the schedule (see paras 4.4.24 to 4.4.30). Sometimes a catering agency is engaged to provide meals only, for which the agency is paid on per plate basis. Some items like sweets, ice-cream, beverages, etc., are purchased separately and served to the guests. The purchase and consumption of such other items will be shown against the respective items and should be excluded from the item 'cooked meals'.

4.5.36 Items 304 to 307: cake, pastry, etc.: Cake, pastry (304), pickles (305), sauce (306) and jam/jelly (307) may be purchased or prepared at home. If ingredients like fruits, spices, sugar, egg, atta, maida, salt, fuel and light, etc. required for preparing the product at home, are already accounted for in their respective item groups, care should be taken to avoid repetition of the same in item group beverages, etc.

4.5.37 Item 308: other processed food: Items like snacks, tiffin, food packets, etc. which have not been covered under items 300-307 of the list of food items, will be recorded against this item.

Note: Chowmin, soup, etc. will be included against other processed food (item 308).

4.5.38 Item 312: supari: Supari (betelnuts) in various forms are available in the market. These are fresh supari, sundried supari, fermented supari, boiled and coloured supari and scented supari. Supari consumed in any of the forms will be accounted for against this item.

4.5.39 Item 315: other ingredients for pan: All other ingredients excepting items 312-314, used for preparing pan, should be included in this item. But tobacco, zarda, surti, kimam, etc. which are also consumed with pan should not be included. Provision for them has been made in tobacco group. However, pan-parag will be included in this item.

4.5.40 Item 321: cigarettes: Cigarette paper and tobacco are sometimes purchased separately for making cigarettes. In such cases value to be recorded would be the value of tobacco plus the value of paper taken together. The corresponding entry in quantity column will be in terms of number of cigarettes actually made.

4.5.41 Item 322: leaf tobacco: It will include all leaf tobacco consumed during the reference period in any form. If tobacco leaf is burnt and powdered for brushing teeth then consumption will be shown against this item.

4.5.42 Item 330: ganja: It will also include ganja consumed in the form of cigarettes.

4.5.43 Item 332: country liquor: It will exclude country liquor prepared at home from its ingredients and consumed. Consumption entries will be made against the ingredients.

4.5.44 **Item 335: other intoxicants:** It will include drugs used for intoxication but exclude drugs used for medicinal purposes.

4.5.1.0 **Block 5.1: Consumption of fuel and light:** In this block information on consumption of each item of fuel and light for the household during last 30 days, prior to the date of survey, will be collected. Columns are similar to block 5.

4.5.1.1 **Item 342: electricity:** It will also include meter rent and surcharge for electricity.

4.5.1.2 **Item 348: LPG:** A fixed quantity of liquefied petroleum gas (LPG) is filled in a gas cylinder and supplied for domestic consumption. The quantity in kg is shown on the body of the cylinder. If, for example, a cylinder contains 14.2 kg of gas and usually the household consumes one full cylinder in 'D' days then the quantity of gas consumed during the last 30 days will be $(14.2 \times 30)/D$. This will be calculated up to two places of decimal. The value will also be derived in a similar manner. Caution money deposited for getting a gas cylinder should not be considered as consumer expenditure and should not be recorded in this schedule.

4.5.1.3 **Item 352: gobar gas:** The value of gobar gas is to be imputed on the basis of value of inputs used for manufacturing gobar gas.

4.5.1.4 **Item 353: other fuel:** It will include all items of fuel and light not listed in the schedule. It will also include petrol, diesel, etc. used for generating electricity.

4.6.0 **Block 6: Consumption expenditure on clothing, bedding, etc. :** In this block, information on quantity and value of consumption of all items of clothing will be collected. The information in this block is required to be collected for a reference period of last 365 days. Consumption of clothing is defined as an item of clothing being brought into first-use. Clothing purchased first-hand will be considered for reporting against items 360 to 373 and items 380 to 387 (bedding, etc.). However, in case of second-hand purchase, total value of clothing purchased second-hand will be recorded against item 374: clothing (second-hand).

Note: 1. Second-hand imported ready-made garments will not be considered as second-hand. Instead, it will be treated as first-hand purchase and as such these will be included against item 368.

2. Liveries supplied by the employer even if it is used during duty-hours **only** will be taken into account.

4.6.1 **Columns (1) & (2):** In these two columns, the item code and the description of the clothing items are already printed in the block.

4.6.2 The unit of quantity for an item, as shown within brackets after the name of the item in the list, is printed in the schedule itself. For detailed instructions, refer to para 4.5.4 & 4.5.5.

4.6.3 **Columns (3) & (4): quantity and value:** These columns relate to the consumption of the household during the reference period. Column (3) relates to the quantity of total consumption and

column (4) to the corresponding value. Entries regarding consumption of clothing items will be the total of consumption out of purchase, out of home produce, out of transfer receipts such as gift, charity, and out of receipts in exchange of goods or services, etc. Care should, however, be taken to exclude purchases made on account of household productive enterprises.

4.6.4 Consumption of clothing out of home production during the reference period will be evaluated at the producer's price. But consumption of clothing items made out of transfer receipts and receipts in exchange of goods and services will be evaluated at the retail price prevailing in the local market.

4.6.5 For 'ready-made' garments, the unit of quantity will be number. But if a household prepared a garment out of cloth purchased, then the item of consumption will be recorded as 'cloth' and the quantity will be recorded in 'metres'. When any garment is sewn at home by a household member, its value will be equal to the value of cloth only. No labour charges for sewing of the garment need be included unless the sample household itself is running a tailoring shop. In case the household does have such a shop and a garment is sewn there, the value of cloth will be recorded against item 362 or 363 and the tailoring charge will be shown against item 484 of block 8.2. Similarly, for a quilt made at home of which the materials (viz., cloth, stuffing, cotton, thread, etc.) were purchased, the quantity and value of the materials used will be shown against the respective items. The service charge paid to a hired person for making the quilt will be entered against item 484 as tailoring charge in block 8.2.

4.6.6 **Item 361: saree:** In some regions of the country a variant of the saree is commonly used. For example, Assamese ladies wear 'mekhla'. Similarly, in Garo hills ladies use 'dakbanda'. The length of the cloth used in 'mekhla' and 'dakbanda' is generally 1.50 metres. These dresses may be treated as sarees of shorter length. Sarees used in some areas on the other hand are much longer than the standard ones. Hence, the unit for saree has been prescribed as metre and not number. The length of mekhla, dakbanda, etc. and saree in 'metre' with two places of decimal should be recorded against this item.

4.6.7 **Item 374: clothing (second-hand):** All second-hand clothing items, like dhoti, saree, ready-made garments, etc., purchased and brought into first-use will be recorded against this item.

4.6.8 **Item 384: mosquito net:** Cloths purchased for making mosquito net will also be included here.

4.7.0 **Block 7: Consumption of footwear:** While filling in this block on purchase and consumption of footwear, the general instructions given for filling in the block on clothing will be followed. The quantity (number of pairs) and value (Rs) to be recorded are to be entered in whole number only.

Note: 1. If materials are purchased and footwear is made by taking service of a cobbler then cost of footwear will be imputed as the cost of raw materials plus service charges paid to the cobbler.

2. A handicapped not having a limb purchased or got made only one shoe. In such case, quantity will be taken as one pair.

3. Plastic footwear will be included against item 393: rubber/PVC footwear.

4. Straps for slippers will not be included in this block. Such items will be included in block 8.2.

4.8.1.0 Block 8.1: Expenditure on education and medical (institutional) goods and services: Under this block, information will be collected on educational and institutional medical expenses incurred during the **last 365 days** preceding the date of survey. Non-institutional medical expenses will be recorded separately in block 8.2. The institutional category will include payments made for goods & services availed of as an inpatient in both private as well as Government medical institutions like nursing homes, hospitals, etc. All other medical expenses will be treated under non-institutional category. The actual expenditure incurred during the reference period on the items listed in the block will be recorded.

4.8.1.1 Columns (1) & (2): In these columns the three digit code of the items and the name of the items are already printed in the block.

4.8.1.2 Column (3): value (Rs 0.00): The amount of expenditure incurred on an item during the reference period of **365 days preceding the date of enquiry** will be recorded in this column. Expenditure will include both cash and kind.

4.8.1.3 Items 400 - 406: education: This is meant for recording expenses incurred in connection with education. It will include expenditure on goods purchased for the purpose of education, viz., books and journals, paper, pencil, etc. It also includes fees paid to educational institutions (e.g., schools, colleges, universities, etc.) on account of tuition (inclusive of minor items like game fees, fan fees, etc.) and payment to private tutor. Occasional payments to the school fund made on account of charities provided for indigent students and 'donations' generally will not be included here as these are regarded as transfer payments. It may be noted that all kinds of books, magazines, journals, etc. including novels and other fiction will be covered under item 400. Expenditure on Internet other than telephone charges will be covered under item 406.

4.8.1.4 Items 410 - 424: medical (institutional & non-institutional): This includes expenditure on medicines of different types and on medical goods; also, payments made to doctor, nurse, etc., on account of professional fees and those made to hospital, nursing home, etc. for medical treatment. Item 423 (family planning appliances) will include IUD (intra-uterine device), oral pills, condoms, diaphragm, spermicide (jelly, cream, foam tablet), etc. Expenditure incurred for clinical tests, X-ray, etc. will be recorded against items 411 or 421 (X-ray, ECG, pathological test, etc.). For Central government employees receiving medicines and medical services from CGHS dispensaries, only the monthly contribution made will be recorded. If, however, some medicine or service is purchased from outside during the reference period, the expenditure, even if reimbursed, is to be included. The distinction between institutional and non-institutional medical expenses, as mentioned in para 4. 8.1.0 above, lies in whether the expenses were incurred on medical treatment as in-patient of a medical institution or otherwise. Expenditure incurred on MTP (medical termination of pregnancy) may be recorded against item 414 or 424 depending on the category of treatment availed of, i.e. if hospitalisation is necessary for MTP then it has to be recorded against 414, otherwise against 424. Hiring charges for ambulance may likewise be recorded against item 414 or 424. However, transport expenses other than hiring charges of ambulance will be considered as travelling expense and not as medical expense.

4.8.2.0 Block 8.2: Expenditure on miscellaneous goods and services including medical (non-institutional), rents and taxes: In this block, relating to miscellaneous goods and services, information will be collected on the expenditure for purchase of these items during the reference period. The actual expenditure incurred towards purchase of these items, used for non-productive purposes, will be considered as the consumer expenditure of the household. Expenditure both in cash and kind will be taken into account. The reference period will be the **last 30 days** prior to the date of survey.

4.8.2.1 Column (3): value (Rs. 0.00): The amount of expenditure incurred on an item during the reference period of **30 days preceding the date of enquiry** will be recorded in this column. As in block 8.1, expenditure will include both cash and kind.

4.8.2.2 Items 420 - 424: medical (non-institutional): See para 4.8.1.4.

Note: In the rural areas, doctors charge a consolidated amount for consultation as well as giving medicines to the patient. In such case, the total amount will be recorded against item 420 (medicine).

4.8.2.3 Item 423: family planning appliances: It will also include various contraceptives such as tablets like Mala-D, Mala-N, etc.

4.8.2.4 Items 430-437: entertainment: This stands for entertainment and sports. Here consumption is represented by purchase of entertainment services or articles catering to entertainment. It is possible that on the occasion of attending sports or cinema/video show some expenditure is incurred on travelling and conveyance and/or on refreshment. Such expenditure will be excluded from this item group and will come under appropriate items reserved elsewhere in the schedule. Expenditure incurred on processing, developing, etc., of photographic film will be shown against item 435. Expenses incurred for hiring of video cassette/VCR/VCP will be recorded against item 436. But the expenditure incurred for viewing a video show will be recorded against item 430 (cinema, theatre). For item 433 (club fees) the last payment made divided by the number of months for which the amount was paid will be noted. But, entire amount of club fees paid for lifetime during the reference period of 30 days will be recorded against this item. Expenses incurred on subscription to dish antenna, cable TV facilities, etc. may be included in item 437: other entertainment.

4.8.2.5 Item 458: other toilet articles: It will include cooler perfume, body perfume, room perfume, etc.

4.8.2.6 Item 467: washing soap/soda: This will include washing soap in cake form, powdered form and also in liquid form (detergent powder is also to be reported) and washing soda.

4.8.2.7 Item 468: other washing requisites: It includes brushes, utensil cleaners, steelwool, etc.

4.8.2.8 Item 473: other petty articles: It will also include purchase of flower plant with pot.

4.8.2.9 **Item 480: domestic servant, cook:** Wages paid to domestic servant/cook may be recorded against this item **even if they are treated as members of the household for the purpose of consumer expenditure survey**. For domestic servant or cook who is also a member of the household by definition, only wages paid in cash during the reference period will be taken into account. Any expenditure incurred by a domestic servant who is also a member of the household should be treated as consumption expenditure of the household and recorded as such against the appropriate items of different blocks. Wages in kind not consumed by domestic servant/cook will be excluded.

4.8.2.10 **Item 482: barber, beautician, etc.:** The actual expenditure incurred for availing of the services of barber, beautician, etc. will be considered as the consumer expenditure of the household. Expenditure both in cash and in kind will be taken into account. In the villages the barber charges might be paid in kind annually. In such cases, if the payment in kind for the year is made during the reference month, the entire payment is to be evaluated at the local retail price and accounted for. On the other hand, if no payment was made during the reference month then no expenditure should be recorded. In this context, it may be noted that if the kind payment is in terms of an item of blocks 5 to 7, then the entry is to be made against item 482. But if it is in terms of an item of block 8.1, 8.2 or 9, then the entry will be made against that particular item.

Note: If a sample household is running a barber's shop and a member of that household has availed of the service then the barber charges will be imputed at the prevailing rate and recorded against item 482.

4.8.2.11 **Item 486: legal expenses:** This will include charges like lawyer's fees, legal and court fees, etc.

4.8.2.12 **Item 488: telephone charges:** For domestically installed telephones, the telephone bill last cleared divided by the period in months for which it was charged (i.e., monthly average payable) will be considered as the expenditure to be recorded even if the expenditure was not incurred during the reference period of 30 days. Cases like new telephone connections for which no bill has been paid till the date of survey may be ignored. Security deposit made for the installation of telephone connection is excluded. However, installation charges paid to the telephone department like labour charges, cost of wire, etc. will be included under this item. In addition, expenditure incurred during the reference period of last 30 days for making telephone calls from STD/PCO booth or other's telephone will be accounted against this item. Expenditure incurred on the purchase of mobile phone (instrument) will not be included in this item. Instead, it will be included against item 600 of block 9.

4.8.2.13 **Item 490: repair charges for non-durables:** This will include service charges paid to artisans for repairing any item of miscellaneous goods not used for productive purposes but used as items of domestic consumption.

4.8.2.14 **Item 492: miscellaneous expenses:** This item will include expenses such as application fees for employment, etc., subscriptions to societies and similar organisations, and generally, expenditure on any other 'miscellaneous' items relevant to the block and not provided in the list of items. If water is purchased through tanker, porter, etc., the expenditure incurred will also be

recorded here. It will also include E-mail charges, Fax charges, photocopying charges, etc.

4.8.2.15 Item 493: pet animals (incl. birds, fish): This item will include expenditure incurred for purchase and maintenance of pet animals. Pet animals may be cat, dog, rabbit, monkey, mongoose, bird, fish, etc. Maintenance expenses will include cost of feed, treatment expenses, etc.

4.8.2.16 Item 494: other consumer services excluding conveyance: This item will stand for services of driver, coachman, cleaner, cobbler, blacksmith, unskilled labourers, etc.

Note: 1. Commission paid to the broker for purchase or sale of second-hand car/scooter will be accounted here.

2. It will include reconnection charge for electric line.

4.8.2.17 Items 500 - 513: conveyance: Expenditure incurred on account of journeys undertaken and/or transportation of goods made by airways, railways, bus, tram, steamer, motor car (or taxi), motor-cycle, autorickshaw, bicycle, rickshaw (hand-drawn and cycle) horsecab, bullock cart, hand-cart, porter or any other means of conveyance will be recorded against the respective items of conveyance. The expenditure will be the actual fare paid. The expenditure incurred on journeys undertaken under LTC, etc., even if reimbursed, is to be included. In case of owned conveyance, the cost of fuel (petrol, mobile oil, diesel, etc.) for power driven transport and animal feed for animal-drawn carriage will be recorded. For item 501 (railway fare), season tickets valid for more than a month will be treated differently from other railway fare expenditure. Value of season tickets valid for more than a month held during the reference period by a household member will be divided by the number of months covered by the ticket to get the amount to be recorded. For all other railway fare expenditure, the amount actually paid during the reference period will be recorded.

4.8.2.18 Item 502: bus/tram fare: It includes expenditure incurred by the members of the household during the reference period in a public/private/government bus/tram in the capacity of individual passenger. If a bus hired for bringing guests by the sample household, the hiring charges will not be included against this item; instead it will be accounted against item 513 (other hired conveyance).

4.8.2.19 The expenditure incurred on any conveyance used during the reference period partly for household enterprise and partly for domestic purposes will be apportioned on the basis of the number of kilometres it travelled for each type of use. In case the information on distance travelled is not available, the apportionment will be done on the basis of duration of use, say, number of hours or days used for enterprise and domestic purpose. In case information on actual number of days engaged in enterprise or in domestic use is also not available, it will be done on the basis of 'normal use'. The word 'normal' refers to a period beyond the reference period.

4.8.2.20 Item 520: house rent, garage rent (actual): This item consists of rent for residential building and garage rent for private vehicle of the household. Amount last paid divided by the number of months for which the payment was made will be recorded here. The procedure laid down for recording payment of telephone charges is also applicable to other starred items of this block. The rent for government quarters will be the amount of house rent allowance (HRA) per

month not paid to the employee plus the licence fee deducted per month from the salary for the quarters. If some amount of money was paid in advance at the time of hiring the house, only that part of the advanced amount which is being deducted every month from that advance payment added up with the actual amount paid every month towards rent, will be the amount to be recorded as house rent. Salami/pugree will not be considered anywhere in the schedule.

4.8.2.21 Item 522: other consumer rent: Hiring charges for consumer goods like furniture, electric fans, crockery, utensils and charges for decoration on ceremonial occasions are to be recorded here. If any item is hired on monthly/quarterly/annual basis then the amount of last payment on such goods divided by the number of months for which the payment was made will be taken into account. However, hiring out of a vendor cart to run business by the sample household will be excluded. But, monthly maintenance charges payable to co-operative society, etc. will be included in this item.

4.8.2.22 item 539: house rent, garage rent (imputed - urban only): This item will be filled in for urban households residing in the house which it either owns or otherwise occupies without paying any rent. Otherwise a dash (-) may be recorded. Rent of the house/garage will be imputed on the basis of prevailing rate of rent for similar houses in the locality or surrounding areas. A household may occupy a dwelling unit which is neither owned, nor hired in. In such cases also the imputed rent will be recorded.

4.8.2.23 Items 540 to 541: consumer taxes and cesses: This is for recording the expenditure on taxes and cesses paid by the household as a domestic consumer. Only taxes and cesses are included which are considered to be levied on the household as a consumer unit. Road cess, chowkidari tax, municipal rates are some examples. Sometimes while purchasing a new vehicle life tax is paid. In such case, monthly average of tax & cess will be recorded against this item. Consumer licence fees will also be included. Examples are fees paid for possession of firearms, vehicles, etc. For taxes and cesses to be paid monthly/quarterly/annual basis entries will be the amount last paid divided by the number of months for which paid.

Note: Professional tax and Income tax will not be taken into account in the survey.

4.8.2.24 Item 540: water charges: Water charges last paid to the municipality or other local bodies divided by the number of months for which the amount was charged may be recorded against this item. If water is purchased through tanker, etc., the expenditure incurred will not be recorded here - even if the water is solely used for household consumption - but against item 492.

4.9.0 Block 9: Expenditure for purchase and construction (including repair and maintenance) of durable goods for domestic use: Information on expenditure incurred for purchase and cost of raw materials and services for construction and repairs of durable goods for domestic use during the last 365 days will be collected in this block. Expenditure will include both cash and kind (see para 4.5.0.3). Purchase will include both first-hand and second-hand purchase and will be recorded in separate columns of this block. Only if some expenditure is incurred towards purchase of an item, may be in cash or kind or both, the item will be considered as purchased for this block. Expenditure incurred on purchase of durable goods for giving gifts will also be included. In case of credit/hire-purchase of any item of this block, the actual expenditure

made during the reference period will be recorded. [See para 4.5.0.2]. Expenditure on any item in this block will be recorded in whole number of rupees.

Note: 1. If the sample household incurred some expenditure on purchase of an asset during the reference period but not been received it till the date of survey, the expenditure incurred will be accounted in this block.

2. A sample household purchased an asset (durable goods) during the reference period and the asset is under possession but no payment has been made during the reference period. Such purchases will be excluded.

3. An asset purchased during the reference period for domestic use and the same asset sold out during the reference period. Such purchase also will be accounted for.

4.9.1 Columns (1) & (2): In these columns the three digit-code of the items and the name of the items are already printed in the block.

4.9.2 Column (3): number in use on the date of survey: The number in use on the date of survey of each item of durable goods will be entered in this column. It will also include those items which may not be in use temporarily but are likely to be put into use after repair/necessary servicing. For certain items a cross mark (x) has been put in this column; it means column (3) need not be filled in.

4.9.3 Column (4): number purchased (first-hand): The number of each item of durable goods purchased (first-hand) for which some expenditure has been incurred during the reference period will be recorded in this column.

4.9.4 Column (5): whether hire purchased (first-hand): If an item of durable goods is purchased on instalment payment and the expenditure made on it during the reference period consists of one or more such instalment payments, code 1 will be recorded in this column. Otherwise i.e., when durable goods are purchased and entire amount is paid during the reference period, code 2 will be recorded in this column.

Note: If more than one of a particular item are purchased during the reference period and some of them are purchased on hire-purchase basis and the remaining are purchased outright, then code 1 will be recorded in this column.

4.9.5 Column (6): value (first-hand purchase): Value of first-hand purchase during the reference period will be entered in this column. The total amount paid during the reference period will be recorded here.

4.9.6 Column (7): cost of raw materials and services for construction and repair: This column is for recording expenditure on materials and services for construction, assemblage, repair and maintenance of all durable goods - first-hand as well as second-hand. Value of durable goods constructed will comprise value of raw materials, services and/or labour charges and any other charges. The total value of raw materials, services and labour charges will be recorded in this block. Here, expenditure incurred towards repair and maintenance of items purchased on second-hand will also be accounted.

Note: 1. The purchase values of a consumer durables constructed or repaired by an artisan for his/her domestic use will be the aggregate of the purchase value of the raw material components used and imputed value of his/her services for its construction/repairs.

2. If an article is repaired during the reference period by one of the sample household members then the repair charges will be imputed and recorded against appropriate item only if the household member is a professional for that repairing job.

4.9.7 Column (8): number (second-hand purchase): The number of each item of second-hand durable goods purchased during the reference period will be recorded in this column

4.9.8 Column (9): value (second-hand purchase): Value of second-hand purchase during the reference period will be entered in this column.

4.9.9 Columns (10): total expenditure: It is the sum of value of first-hand purchase, cost of raw materials and services for construction and repair and value of the second-hand purchase. In other words, it means Column (10) = column (6) + column (7) + column (9). This is an important departure from the earlier NSS concept of total expenditure of durable goods.

Note: An imported item of durables, even if second-hand, will be treated as first-hand purchase and information will be recorded against the relevant columns.

4.9.10 Item 550: bedstead: It is a framework of wood or metal supporting the springs and mattress of a bed. Its surface may be made of coir rope or nylon. Folding cots of all kinds will be included against this item.

4.9.11 Item 551: almirah, dressing table: Full-size wardrobes will be included against this item.

4.9.12 Item 554: foam-rubber cushion (dunlopillo type): Only foam cushions are to be included and not cushions made of cotton, coir, etc. The latter will come under 'pillow, quilt, mattress' in block 6 (item 382).

4.9.13 Item 555: carpet, daree and other floor mattings: This will include carpet, daree and other floor mattings which are more or less fixed in position. Doormats, mats used as single-person seats, and other small mats will not be included here. They will come under 'mats and matting' (block 6).

4.9.14 Item 556: paintings, drawings, engravings, etc.: Only those acquired through purchase need be considered for the count in column (3) (number in use on the date of survey).

4.9.15 Item 557: other furniture & fixtures: Waist-high (usually wooden) almirahs should be considered under this item. Kitchen cup-boards (free-standing), complete sofa-set also will be included.

4.9.16 Item 561: radio: This includes transistor radios.

4.9.17 **Item 568: other goods for recreation:** Sports goods and toys are not to be included here but under item 432 in block 8.2. It will also include dish antenna, video games, etc.

4.9.18 **Item 570: gold ornaments:** If gold ornaments purchased in exchange of gold and some amount of cash, only the cash payment made will be taken into account. But, if it is purchased in lieu of cash or cash & kind (other than gold) total value of cash/cash & kind will be accounted.

4.9.19 **Item 592: lantern, lamp, electric lampshade:** It will exclude electric lamp.

4.9.20 **Item 598: electric iron, heater, toaster, oven & other electric heating appliances:** Geysers will be considered against this item.

4.9.21 **Item 600: other cooking/household appliances:** It will include ice-cream maker, mixer-grinder, juicer, micro-oven, vacuum cleaner, mobile phone (instrument), electric appliance for filtering water, etc.

4.9.22 **Item 613: tyres & tubes:** It will include all those tyres and tubes which are purchased for replacement in vehicles. If repair is made only for tyres and tubes then the expenditure incurred on repair will be taken into account against this item in column 7. But, if repair of tyres and tubes is made along with other repairs of the vehicle then the expenditure will be accounted in column 7 against the corresponding listed item.

4.9.23 **Item 614: other transport equipment:** Livestock animals like horses, bullocks, etc., and conveyance such as horse cab, bullock cart, etc., when used exclusively for non-productive domestic purposes, will be included against this item. Maintenance for these livestock animals will be accounted in column 7. If these animals and conveyances are used both for household enterprise and for domestic use, only the part ascribable to the latter purpose will be considered for recording the value of purchase, or the cost of raw materials required for repair, etc. It will also include perambulator.

4.9.24 **Item 632: any other personal goods:** Personal computer (PC) will be considered against this item.

4.9.25 **Item 642: residential building and land (cost of repair only):** It should be noted that the purchase of residential building and land, whether first-hand or second-hand, should not be entered in this block, as such purchases are considered capital expenditure on real estate. Any new construction of building is also an expense on capital account and should not be entered in this block. The total expenditure incurred by the household towards repairs and maintenance of dwelling unit (only) during the reference period would be entered against this item.

4.9.26 **Item 659: durable goods: total :** Total expenditure for purchase, construction and repairs of household durable goods will be recorded against this item. The totals in each of columns (6), (7), (9), and (10) against this item will be derived by adding all the entries against the sub-total items of the block in the column.

4.9.27 **Sub-total items 559, 569, 579, 589, 609, 619, 629, 639, 649:** Expenditure made on

purchase and construction & repair of durable goods for domestic use during the reference period will be entered against these items. The entry against each sub-total item in each of columns (6), (7), (9), and (10) will be derived by adding the entries in the column against the corresponding constituent items.

4.10.0 Block 10: Perception of household regarding sufficiency of food: This block will be filled after completion of the enquiry on all the preceding blocks. The expression in item 1 - 'getting enough food everyday' - as used in common parlance, conveys that the concerned person gets, by and large, sufficient food to eat. This question is asked in order to know the perception of the household regarding sufficiency of food. While putting this question to the informant, it is thus presumed that the informant has a clear understanding of its meaning. There are equivalent phrases conveying the same meaning in regional languages. It is, therefore, important to put the proper question in the local language and record the answer given by the informant in the appropriate code.

4.10.1 Care should be taken to see that the informant is not offended by this question. The question should, in fact, not be asked to those whose reported consumption would obviously indicate that they get sufficient food to eat. In item 1, if the members of the household are reported as getting enough food everyday throughout the year, the code to be entered in the box space of this block is 1. If adequate food is available in only a few months of the year code 2 will be noted. Code 3 will indicate that the household does not usually get enough food everyday for all its members. Here the reference period is last 12 calendar months preceding the date of enquiry.

4.10.2 If adequate food was available in only some months of the year i.e. if code 2 is recorded in item 1, those calendar months in which all members of the household did not have enough food everyday will be recorded in the cells provided against item 2 in codes. For example, suppose all members of a sample household did not have enough food everyday in the months of January and March during the reference period. The entries to be made are 01 & 03 in the first two cells of the first row out of the 11 cells provided in the block against item 2.

4.10.3 If for the purpose of making an entry in item 1, the investigator has actually put the relevant question to the informant and got his answer, then code 1 will be entered in item 3. Otherwise, i.e., if he has inferred the answer to item 1 from the schedule entries or otherwise without actually asking the informant, code 2 will be recorded against item 3.

4.11.0 Block 11: Summary of consumer expenditure: This block is meant to derive the value of household per capita consumption expenditure for a period of 30 days. Most entries in this block are transfer entries from blocks 5 to 9. References for transfer are provided in columns (3) to (5). For some items, namely, clothing, bedding, etc., footwear, education, medical (institutional) and durable goods information has been collected for a reference period of 365 days. This information will be recorded in column (7). These figures will be added and entered in column (7) against item srl. no. 33. This figure will be converted to monthly figure by multiplying 30/365 and the product will be recorded in column (6) against item srl. no. 34. For other items having reference period of 30 days information will be recorded in column (6).

4.11.1 Serial number 35 : total monthly expenditure : It is the sum of the entries made against serial numbers 1 to 34, column (6) of this block.

4.11.2 **Serial number 36 : household size:** This is to be copied from the entry made in block 3, item 1.

4.11.3 **Serial number 37 : monthly per capita expenditure (Rs 0.00) :** It is to be obtained by dividing the entry made against serial number 35, column (6) by that against serial number 36, column (6) (i.e. total monthly expenditure ÷ household size) of this block. The quotient of the division will be recorded in rupees with two places of decimal.

4.12.0 **Block 12: Remarks by investigator:** Any remark which is considered necessary for explaining any peculiarity in the consumption pattern of the household or any other characteristic of the household will be noted here. Such remarks will help understanding the entries made in different blocks of the schedule, especially when any entry is very high or very low.

4.13.0 **Block 13: Comments by supervisory officer(s):** The supervisory officers should note their views on any aspect relating to the household and on any observed peculiarity in the consumption pattern of the household.



APPENDIX-I

LIST OF FOD SUB-REGIONS

Sl. no.	state/u.t.		regional office		sub-regional office			
	Name	Sl. no.	name (code)	Sl. no.	name	code		
(1)	(2)	(3)	(4)	(5)	(6)	(7)		
1.	Andhra Pradesh (02)	1.	Cudappah (021)	1.	Cudappah	0210		
				2.	Anantpur	0211		
				3.	Guntur	0212		
				4.	Kurnool	0213		
				5.	Nellore	0214		
		2.	Hyderabad (022)	6.	Hyderabad	0220		
				7.	Karimnagar	0221		
				8.	Nizamabad	0222		
				9.	Warangal	0223		
		3.	Vijayawada (023)	10.	Vijayawada	0230		
				11.	Kakinada (a)	0231		
				12.	Visakhapatnam	0232		
2.	Assam (04)	4.	Gauhati (041)	13.	Gauhati	0410		
				14.	Dibrugarh	0411		
				15.	Jorhat	0412		
				16.	Silchar	0413		
				17.	Tezpur	0414		
3.	Bihar (05)	5.	Muzaffarpur (051)	18.	Muzaffarpur	0510		
				19.	Darbhanga	0511		
				20.	Motihari	0512		
		6.	Patna (052)	21.	Purnea	0513		
				22.	Patna	0520		
				23.	Bhagalpur	0521		
24.	Gaya	0522						
4.	Jharkhand (34)	7.	Raheni (341)	25.	Ranchi	3410		
				26.	Hazaribagh	3411		
				27.	Jamshedpur	3412		
				28.	Dumka	3413		
5.	Gujarat (07)	8.	Ahmedabad (071)	29.	Ahmedabad	0710		
				30.	Bhavanagar (b)	0711		
				31.	Jam Nagar	0712		
				32.	Rajkot	0713		
				33.	Surendranagar	0714		
				9.	Baroda (072)	34.	Baroda	0720
						35.	Mahsana	0721

(a) has jurisdiction over District 'YANAM' of PONDICHERY UT

(b) has jurisdiction over District 'DIU' of DAMAN & DIU UT

Sl. no.	state/u.t.	regional office		sub-regional office						
	Name	Sl. no.	Name (code)	Sl. no.	name	code				
(1)	(2)	(3)	(4)	(5)	(6)	(7)				
5.	Gujarat (07)	9.	Baroda (072)	36.	Nandiad	0722				
				37.	Surat	0723				
				38.	Valsad (c)	0724				
6.	Haryana (08)	10.	Chandigarh (081)*	39.	Chandigarh	0810				
				40.	Ambala	0811				
				41.	Bhiwani	0812				
				42.	Hissar	0813				
				43.	Karnal	0814				
				44.	Rohtak	0815				
7.	Himachal Pradesh (09)	11.	Shimla (091)	45.	Shimla	0910				
				46.	Bilaspur	0911				
				47.	Dharamshala	0912				
				48.	Mandi	0913				
8.	Jammu & Kashmir (10)	12.	Jammu (101)	49.	Jammu	1010				
				50.	Udhampur	1011				
		13.	Srinagar (102)	51.	Srinagar	1020				
				52.	Anantnag	1021				
				53.	Baramula	1022				
				54.	Bangalore	1110				
9.	Karnataka (11)	14.	Bangalore (111)	55.	Mangalore	1111				
				56.	Mysore	1112				
				57.	Shimoga	1113				
				58.	Hubli	1120				
		15.	Hubli (112)	59.	Belgaum	1121				
				60.	Bellary	1122				
				61.	Gulbarga	1123				
				10.	Kerala (12)	16.	Trivandrum (121)	62.	Thiruvanthapuram	1210
								63.	Kochi (d)	1211
								64.	Kollam	1212
65.	Kottayam	1213								
66.	Kozikode (e)	1220								
17.	Kozhikode(122)	67.	Palakkad	1221						
		68.	Thrissur	1222						
		69.	Kannur	1223						

* has jurisdiction over Chandigarh SRO (code no. 0810)

(c) has jurisdiction over District 'DADRA & NAGAR HAVELI' of DADRA & NAGAR HAVELI UT.

(d) has jurisdiction over District 'LAKSHADEEP'

(e) has jurisdiction over District 'MAHE of PONDICHERY UT

Sl.	state/u.t.	regional office	sub-regional office
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Appendix I

list of FOD Sub-regions

no.	Name	Sl. no.	name (code)	Sl. no.	name	code
(1)	(2)	(3)	(4)	(5)	(6)	(7)
11.	Madhya Pradesh (13)	18.	Bhopal (131)	70.	Bhopal	1310
				71.	Chindwara	1311
				72.	Khandwa	1312
				73.	Sagar	1313
		19.	Gwalior (132)	74.	Gwalior	1320
				75.	Indore	1321
				76.	Ratlam	1322
				77.	Shivpuri	1323
				78.	Ujjain	1324
		20.	Jabalpur (133)*	79.	Jabalpur	1330
				80.	Rewa	1331
				81.	Raipur	1332
				82.	Bilaspur	1333
				83.	Ambikapur	1334
				84.	Durg	1335
12.	Maharashtra (14)	21.	Aurangabad (141)	85.	Aurangabad	1410
				86.	Jaugaon	1411
				87.	Nanded	1412
				88.	Nasik	1413
		22.	Mumbai (142)	89.	Mumbai	1420
				90.	Thane	1421
		23.	Nagpur (143)	91.	Nagpur	1430
				92.	Akola	1431
				93.	Amravati	1432
		24.	Pune (144) **	94.	Pune	1440
				95.	Kolhapur	1441
				96.	Sholapur	1442
				97.	Panaji	1443
13.	Meghalaya (16)	25.	Shillong (161) ***	98.	Shillong	1610
				99.	Tura	1611
				100.	Agartala	1612
14.	Nagaland (18)	26.	Kohima (181)	101.	Kohima	1810
				102.	Imphal	1811
15.	Orissa (19)	27.	Bhubaneswar (191)	103.	Bhubaneswar	1910
				104.	Berhampur	1911
				105.	Cuttack	1912

* has jurisdiction over Raipur, Bilaspur, Ambikapur & Durg SRO's (code no.s 1332, 1333, 1334 & 1335)

** has jurisdiction over Panaji SRO (code no.1443)

*** has jurisdiction over Agartala SRO (code no.1612)

Sl. no.	state/u.t.	regional office		sub-regional office	
	name	Sl. No.	name (code)	Sl. no.	name

(1)	(2)	(3)	(4)	(5)	(6)	(7)
15.	Orissa (19)	28.	Sambalpur (192)	106.	Sambalpur	1920
				107.	Baripada	1921
				108.	Bhvanipatna	1922
16.	Punjab (20)	29.	Jalandhar (201)	109.	Jalandhar	2010
				110.	Amritsar	2011
				111.	Ferozpur	2012
				112.	Hoshiarpur	2013
		30.	Ludhiana (202)	113.	Ludhiana	2020
				114.	Bhatinda	2021
				115.	Patiala	2022
17.	Rajasthan (21)	31.	Ajmer (211)	116.	Ajmer	2110
				117.	Jodhpur	2111
				118.	Udaipur	2112
		32.	Jaipur (212)	119.	Jaipur	2120
				120.	Alwar	2121
				121.	Ganganagar	2122
				122.	Kota	2123
18.	Sikkim (22)	33.	Gangtok (221)	123.	Gangtok	2210
19.	Tamil Nadu (23)	34.	Coimbatore (231)	124.	Coimbatore	2310
				125.	Dharmapuri	2311
				126.	Salem	2312
				127.	Tiruchirapalli	2313
		35.	Chennai (232) *	128.	Chennai	2320
				129.	Cuddalore	2321
				130.	Pondicherry	2322
				131.	Vellore	2323
		36.	Madurai (233)	132.	Madurai	2330
				133.	Tanjavur	2331
				134.	Tirunelveli	2332
				135.	Virudhu Nagar	2333
20.	Uttar Pradesh (25)	37.	Agra (251)	136.	Agra	2510
				137.	Aligarh	2511
				138.	Meerut	2512
				139.	Saharanpur	2513

* has jurisdiction over Pondicherry SRO (code no.2322)

Sl. no.	state/u.t.	regional office		sub-regional office				
	name	Sl. no.	name (code)	Sl. no.	name	code		
(1)	(2)	(3)	(4)	(5)	(6)	(7)		
20.	Uttar Pradesh (25)	38.	Allahabad (252)	140.	Allahabad	2520		
				141.	Azamgarh	2521		
				142.	Faizabad	2522		
				143.	Gorakhpur	2523		
						144.	Varanasi	2524
				39.	Bareilly (253)*	145.	Bareilly	2530
						146.	Moradabad	2531
						147.	Sitapur	2532
						148.	Almorah	2533
						149.	Dehradun	2534
				40.	Lucknow (254)	150.	Lucknow	2540
						151.	Fatehpur	2541
						152.	Gonda	2542
						153.	Jhansi	2543
		154.	Kanpur			2544		
21.	West Bengal (26)	41.	Burdwan (261)	155.	Burdwan	2610		
				156.	Bankura	2611		
				157.	Chinsura	2612		
				158.	Midnapur	2613		
				42.	Calcutta (262)	159.	Calcutta	2620
						160.	Howrah	2621
		43.	Malda (263)	161.	Malda	2630		
				162.	Barhampur	2631		
				163.	Siliguri	2632		
22.	A & N Islands (27)	44.	Port Blair (271)	164.	Port Blair	2710		
22.	Delhi (31)	45.	Delhi (311)	165.	Delhi	3110		

* has jurisdiction over Almora, & Dhradun SRO's (having code no.s 2533 & 2534)

APPENDIX-II

LIST OF NSS REGIONS AND THEIR COMPOSITION

srl. no.	state/u.t. (code)	SR	detailed composition of region				
			Description	name of district	code	name of district	code
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
01.	Andaman & Nicobar Islands	271	Andaman & Nicobar Islands	Andaman	(01)	Nicobar	(02)
02.	Andhra Pradesh (02)	021	Costal	Srikakulam	(01)	Krishna	(06)
				Vijayanagaram	(02)	Guntur	(07)
				Visakhapatnam	(03)	Prakasam	(08)
				East Godavari	(04)	Nellore	(09)
				West Godawari	(05)		
03.		022	Inland Northern	Mahaboobnagar	(14)	Adilabad	(19)
				Rangareddy	(15)	Karimnagar	(20)
				Hyderabad	(16)	Warangal	(21)
				Medak	(17)	Khammam	(22)
				Nizamabad	(18)	Nalgonda	(23)
04.		023	South - Western	Ananthapur	(12)	Kurnool	(13)
05.		024	Inland Southern	Chittoor	(10)	Cuddapah	(11)
06.	Arunachal Pradesh (03)	031	Arunachal Pradesh	Tawang	(01)	Dibang Vally	(08)
				West Kameng	(02)	Lohit	(09)
				East Kameng	(03)	Changlang	(10)
				Lower Subansiri	(04)	Tirap	(11)
				Upper Subansiri	(05)	Papum Pare	(12)
				West Siang	(06)	Upper Siang	(13)
				East Siang	(07)		
07.	Assam (04)	041	Plains Eastern	Bongaigaon	(03)	Sibsagar	(16)
				Barpeta	(05)	Dibrugarh	(17)
				Nalbari	(06)	Tinsukia	(18)
				Sonitpur	(09)	Cachar	(23)
				Lakhimpur	(10)		
				Marigaon	(12)		
08.		042	Plains Western	Dhubri	(01)	Golaghat	(14)
				Goalpara	(04)	Jorhat	(15)
				Kamrup	(07)	Karimganj	(21)
				Darrang	(08)	Hailakandi	(22)
				Dhemaji	(11)	Nowgang	(13)
srl. no.	state/u.t. (code)	SR	detailed composition of region				

(1)	(2)	(3)	Description (4)	name of district (5)	code (6)	Name of district (7)	code (8)
09.	Assam (04)	043	Hills	Kokrajhar Karbianglong	(02) (19)	North Cachar	(20)
10.	Jharkhand (34)	341	Jharkhand	Godda Sahibganj Dumka Deoghar Dhanbad Giridih Hazaribagh Palamau Lohardaga	(01) (02) (03) (04) (05) (06) (07) (08) (09)	Gumla Ranchi Singhbhum (E) Singhbhum(W) Pakur Garwa Bokaro Kodarma Chatra	(10) (11) (12) (13) (14) (18) (15) (16) (17)
11.	Bihar (05)	051	Northern	Saran Siwan Gopalganj Champanan(W) Champanan(E) Sitamarhi Muzaffarpur Vaishali Samastipur Darbhanga	(09) (10) (11) (12) (13) (14) (15) (16) (18) (19)	Madhubani Sharsa Madhepura Purnia Katihar Araria Kishanganj Supaul Sheohar	(20) (21) (22) (23) (24) (41) (42) (45) (55)
12.		052	Central	Patna Nalanda Bhojpur Rohtas Aurangabad Jehanabad Gaya Nawada Begusarai	(01) (02) (03) (04) (05) (06) (07) (08) (17)	Khagaria Munger Bhagalpur Bhabua kaimur Buxar Shekhpura Lakhisarai Jamui Banka	(25) (26) (27) (44) (43) (53) (54) (46) (47)
13.	Chandigarh (28)	281	Chandigarh	Chandigarh	(01)		
14.	Dadra & Nagar Haveli (29)	291	Dadra & Nagar Haveli	Dadra & Nagar Haveli	(01)		
15.	Daman & Diu (30)	301	Daman & Diu	Daman	(01)	Diu	(02)

srl. no.	state/u.t. (code)	SR	detailed composition of region				
			Description	name of district	code	name of district	Code
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
16.	Delhi (31)	311	Delhi	Delhi	(01)		
17.	Goa (06)	061	Goa	North Goa	(01)	South Goa	(02)
18.	Gujarat (07)	071	Eastern	Sabar Kantha (12) : Khedbarhma, Vijaynagar, Bhiloda, Meghraj Dohad (18) : Dohad, Garbala, Limkheda, Dhanpur, Devgadh, Bariya Jhalod, Santrampur Kadana, Fatehpur Narmada (21) : Tilakwada, Nandod, Dediapafda, Sag Bara Vadodara (19) Nasvadi, Kavant Chhota Udaipur, Jetpur Pavi Bharuch (20) : Anklesvar, Valia, Jhagadiya Surat (22) : Vyara, Mahuva, Valod, Nizar, Songadh, Mandvi, Uchchhal, Mangrol, Bardoli, Palsana, Umarpada Valsad (24) : Dharampur, Kaprada, Umbergaon, Pardi, Valsad Navsari (23) : Chikhli, Bansoda The Dangs (25) Whole District			
19.		072	Plains Northern	Sabar Kantha (12) : Prantij, Modasa, Malpur, Himatnagar, Bayad, Idar, Vadali, Dhansura, Talod Patan (10) : Patan, Siddhpur Vagdod, Unjha			

srl. no.	state/u.t. (code)	SR	detailed composition of region				
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(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
			Description	name of district	Code	name of district	Code
19.	Gujarat (07)			Mahesana	(11)		
				Mahesana, Kadi, Gozaria, Vadnagar, Bechraji, Satlasana Kheralu, Kalol Visnagar, Vijapur			
				Gandhinagar	(13)	:	
				Gandhi Nagar, Dehgam, Mansa			
				Ahmedabad	(12)	:	
				Ahmedabad, Daskori, Dholka, Bavla, Ranpur, Dhandhuka, Barwala, Sanand, Viramgam, Mandal Rampura, Detroj			
				Nadiad	(15)		
				Khedia, Matar, Kathlal, Mehemdabad, Virpur, Kapadwanj, Bala, Sinor, Thasra, Mahudha, Nadiad			
				Anand	(16)		
				Anand, Umereth, Petad Sojitra, Borsad, Anklay, Khambhat, Tarapur			
20.		073	Plains Southern	Godhra	(17)		
				Halol, Kalol, Godhra, Shehera, Lunawada, Khanpur, Morva, Haraf, Ghoghamba, Jambughoda			
Srl. no.	state/u.t. (code)	SR	detailed composition of region				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
20.	Gujarat			Vadodara	(19)		

	(07)		Vadodara, Savli, Dabhoi, Karjan, Padra, Sinor, Vaghodia, Sankheda			
			Bharuch (20) :			
			Hansot, Vagra, Amod, Jambusar, Bharuch,			
			Surat (22) :			
			Chorasi, Kamrej,			
			Olpad, Surat City			
			Navsari (23) :			
			Navsari, Gandevi Jalalpur			
21.	074	Dry areas	Surendranagar (03) :			
			Wadhwan, Limbdi, Chuda, Sayala, Chotila, Muli, Halvad, Dasada, Dharangadhra, Lakhtar			
			Kachchh (08)			
			Bhuj, Mundra, Mandvi Abdasa, Lakhpat, Nakhatrana, Rapar, Bhachau, Anjar, Ganghi Dham			
			Bans Kantha (09)			
			Palanpur, Amir Garh, Vad Gam, Deesa, Bhiladi, Kankrej, Deodar, Vav, Bhabhar, Tharad, Dhanera, Dantiwadw, Danta, Pantha Wada			
			Patan (10)			
			Chanasma, Sami Harij, Radhanpur, Santalpur			
22.	075	Saurashtra	Jamnagar (01)	Amreli (05)		
			Rajkot (02)	Junagadh (06)		
			Bhavnagar (04)	Porbander (07)		

Srl. no.	state/u.t. (code)	SR	detailed composition of region				
			description	name of district	code	name of district	Code
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
23.	Haryana (08)	081	Eastern	Ambala	(01)	Panipat	(06)
				Yamuna Nagar	(02)	Sonipat	(07)
				Kurukshetra	(03)	Rohtak	(08)
				Kaithal	(04)	Faridabad	(09)
				Karnal	(05)	Gurgaon	(10)
				Panchkula	(17)	Jhajjar	(18)
24.		082	Western	Rewari	(11)	Hisar	(15)
				Mahendragarh	(12)	Sirsa	(16)
				Bhilwani	(13)	Fatehabad	(19)
				Jind	(14)		
25.	Himachal Pradesh (09)	091	Himachal Pradesh	Chamba	(01)	Kullu	(07)
				Kangra	(02)	Lahul & Spiti	(08)
				Hamirpur	(03)	Shimla	(09)
				Una	(04)	Solan	(10)
				Bilaspur	(05)	Sirmour	(11)
				Mandi	(06)	Kinnaur	(12)
26.	Jammu & Kashmir (10)	101	Mountainous	Kathua	(11)	Jammu	(12)
27.		102	Outer Hills	Doda	(09)	Rajouri	(13)
				Udhampur	(10)	Poonch	(14)
28.		103	Jhelam Valley	Anantnag	(01)	Baramula	(05)
				Pulwama	(02)	Kupwara	(06)
				Srinagar	(03)	Kargil*	(07)
				Budgam	(04)	Leh*	(08)
29.	Karnataka (11)	111	Coastal & Ghats	Dakshin Kannad	(12)	Uttar Kannad	(27)
				Udupi	(26)		
30.		112	Inland Eastern	Chikmagalur	(09)	Kodagu	(18)
				Hassan	(16)	Shimoga	(24)
31.		113	Inland Southern	Bangalore (Urban)	(01)	Mysore	(22)
						Tumkur	(25)
				Bangalore (Rural)	(02)	Kolar	(19)
				Chamarajnagar	(08)	Mandhya	(21)

* not yet covered by NSS

Srl. no.	state/u.t. (code)	SR	detailed composition of region				
			description	name of district	code	name of district	code
	(2)	(3)	(4)	(5)	(6)	(7)	(8)
32.	Karnataka (12)	114	Inland Northern	Belgaum	(04)	Chitradurga	(10)
				Bellary	(05)	Dharwad	(13)
				Bidar	(06)	Gulbarga	(15)
				Bijapur	(07)	Raichur	(23)
				Bagalkote	(03)	Davanagere	(11)
				Gadag	(14)	Haveri	(17)
				Koppal	(20)		
33.	Kerala (12)	121	Northern	Kasaragode	(01)	Kozhikode	(04)
				Kannur	(02)	Malappuram	(05)
				Wayanad	(03)	Palakkad	(06)
34.	Kerala (12)	122	Southern	Thrissur	(07)	Alappuzha	(11)
				Ernakulam	(08)	Pathanamthitta	(12)
				Idukki	(09)	Kollam	(13)
				Kottayam	(10)	Triruvananthapuram	(14)
35.	Lakshadweep (32)	321	Lakshadweep	Lakshadweep	(01)		
36.	Chhattisgarh (35)	351	Chhattisgarh	Surguja	(39)	Durg	(43)
				Bilaspur	(40)	Raipur	(44)
				Raigarh	(41)	Bastar	(45)
				Rajnandgaon	(42)		
37.	Madhya Pradesh (13)	131	Vindhya	Tikamgarh	(07)	Rewa	(13)
				Chhatarpur	(08)	Shahdol	(14)
				Panna	(09)	Sidhi	(15)
				Satna	(12)		
38.		132	Central	Sagar	(10)	Bhopal	(28)
				Damoh	(11)	Sehore	(29)
				Vidisha	(27)	Raisen	(30)
39.		133	Malwa	Mandsaur	(16)	Jhabua	(21)
				Ratlam	(17)	Dhar	(22)
				Ujjain	(18)	Indore	(23)
				Shajapur	(19)	Rajgarh	(26)
				Dewas	(20)		
40.		134	South	Jabalpur	(33)	Chhindwara	(36)
				Narsimhapur	(34)	Seoni	(37)
				Mandla	(35)	Balaghat	(38)

Srl. no.	state/u.t. (code)	SR	detailed composition of region				
			description	name of district	code	name of district	code
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
41.	Madhya Pradesh (13)	135	South Western	Khargone	(24)	Betul	(31)
				(W. Nimar)		Hoshangabad	(32)
				Khandwa	(25)		
42.		136	Northern	Morena	(01)	Datia	(04)
				Bhind	(02)	Shivpuri	(05)
				Gwalior	(03)	Guna	(06)
43.	Maharashtra (14)	141	Coastal	Mumbai	(01)	Ratnagiri	(04)
				Thane	(02)	Sindhudurg	(05)
				Raigad	(03)		
44.		142	Inland Western	Ahmadnagar	(09)	Sangli	(12)
				Pune	(10)	Sholapur	(13)
				Satara	(11)	Kolhapur	(14)
45.		143	Inland Northern	Nashik	(06)	Jalgaon	(08)
				Dhule	(07)		
46.		144	Inland Central	Aurangabad	(15)	Nanded	(19)
				Jalna	(16)	Osmanabad	(20)
				Parbhani	(17)	Latur	(21)
				Beed	(18)		
47.		145	Inland Eastern	Buldana	(22)	Yavatmal	(25)
				Akola	(23)	Wardha	(26)
				Amravati	(24)	Nagpur	(27)
48.		146	Eastern	Bhandara	(28)	Gadchiroli	(30)
				Chandrapur	(29)		
49.	Manipur (15)	151	Plains	Thoubal	(05)	Imphal West	(07)
				Bishnupur	(06)	Imphal East	(09)
50.		152	Hills	Senapati	(01)	Chandel	(04)
				Tamenglong	(02)	Ukhrul	(08)
				Churachandpur	(03)		
51.	Meghalaya (16)	161	Meghalaya	Jaintia Hills	(01)	East Garo Hills	(04)
				East Khasi Hills	(02)	WestGaro Hills	(05)
				West Khasi Hills	(03)	Nangpoh	(06)
				South Garo Hills	(07)		

Srl. no.	state/u.t. (code)	SR	detailed composition of region				
			description	name of district	code	name of district	code
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
52.	Mizoram (17)	171	Mizoram	Aizwal Lunglei	(01) (02)	Chhimituipi	(03)
53.	Nagaland (18)	181	Nagaland	Kohima Phek Zunheboto Wokha	(01) (02) (03) (04)	Mukokchung Tuensang Mon	(05) (06) (07)
54.	Orissa (19)	191	Coastal	Balasore Cuttack Ganjam Puri Nayagarh Khurda	(05) (06) (12) (13) (14) (15)	Gajapati Bhadrak Jajpur Kendrapara Jagatsinghpura	(16) (17) (18) (19) (20)
55.		192	Southern	Phulbani Kalahandi Koraput Nuapara	(08) (10) (11) (24)	Nowarangpur Malkangiri Rayagarh Boudh	(25) (26) (27) (30)
56.		193	Northern	Sambalpur Sundargarh Keonjhar Mayurbhanj Dhenkanal Bolangir	(01) (02) (03) (04) (07) (09)	Baragarh Angul Sonapur Jharsuguda Deogarh	(21) (22) (23) (28) (29)
57.	Pondicherry (33)	331	Pondiche- rry	Pondicherry Mahe	(01) (03)	Karaikal Yanam	(02) (04)
58.	Punjab (20)	201	Northern	Gurdaspur Amritsar Ludhiana Jalandhar	(01) (02) (04) (05)	Kapurthala Hoshiarpur Rupnagar Nawanshehar	(06) (07) (08) (16)
59.		202	Southern	Firozpur Patiala Sangrur Bathinda Faridkot	(03) (09) (10) (11) (12)	Fatehgarhsaheb Mansa Muktsar Moga	(13) (14) (15) (17)
60.	Rajasthan (21)	211	Western	Ganganagar Bikaner Churu Jaisalmer Jodhpur	(01) (02) (03) (13) (14)	Nagaur Pali Barmer Jalor Sirohi	(15) (16) (17) (18) (19)

Srl. no.	state/u.t. (code)	SR	detailed composition of region				
			description	name of district	code	name of district	Code
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
61.	Rajasthan (21)	212	North- Eastern	Jhunjhunun	(04)	Ajmer	(11)
				Alwar	(05)	Tonk	(12)
				Bharatpur	(06)	Bhilwara	(20)
				Dholpur	(07)	Dausa	(28)
				Sawai Madhopur	(08)	Hanumangarh	(31)
				Jaipur	(09)	Karauli	(32)
				Sikar	(10)		
62.		213	Southern	Udaipur	(21)	Banswara	(24)
				Dungarpur	(23)	Rajsamand	(30)
63.		214	South- Eastern	Chittaurgarh	(22)	Kota	(26)
				Bundi	(25)	Jhalawar	(27)
						Baran	(29)
64.	Sikkim (22)	221	Sikkim	North (Mongam)	(01)	South	(03)
				East (Gangtok)	(02)	(Nimachai)	
						West (Gyalshing)	(04)
65.	Tamil Nadu (23)	231	Coastal Northern	Chennai	(01)	Cuddalore	(06)
				Kanchipuram	(02)	Villupuram	(22)
				Vellore	(03)	Thiruvallur	(24)
				Thiruvannamalai	(05)		
66.		232	Coastal	Tiruchirapalli	(12)	Thiruvarur	(26)
				Thanjavur	(13)	Karur	(27)
				Pudukkottai	(14)	Perambalur	(28)
				Nagapattinam	(23)		
67.		233	Southern	Dindigul	(11)	Tuticorin	(19)
				Sivagangai	(15)	Tirunelveli	(20)
				Madurai	(16)	Kanyakumari	(21)
				Ramnathapuram	(17)	Theni	(29)
				Virudhunagar	(18)		
68.		234	Inland	Dharampuri	(04)	Nilgiri	(09)
				Salem	(07)	Coimbatore	(10)
				Periyar	(08)	Namakkal	(25)

Srl. No.	state/u.t. (code)	SR (3)	detailed composition of region				
			description (4)	name of district (5)	code (6)	Name of district (7)	Code (8)
69.	Tripura (24)	241	Tripura	West Tripura North Tripura	(01) (02)	South Tripura Dhalai	(03) (04)
70.	Uttaranchal (36)	361	Uttaranchal	Uttar Kashi Chamoli Tehri Garhwal Dehra Dun Garhwal Pithoragarh Almora	(01) (02) (03) (04) (05) (06) (07)	Nainital Hardwar Udhamsingh ng. Bageshwar Champavat Rudraprayag	(08) (13) (68) (78) (79) (83)
71.	Uttar Pradesh (25)	251	Western	Bijnor Moradabad Rampur Saharanpur Bareilly Muzaffarnagar Meerut Ghaziabad Bulandshahr Aligarh Mathura Agra Firozabad	(09) (10) (11) (12) (25) (14) (15) (16) (17) (18) (19) (20) (21)	Etah Mainpuri Budaun Pilibhit Shahjahanpur Farrukhabad Etawah M J Phule Nagar G Buddha Nagar Hathras Baghpat Kannauj Auraiya	(22) (23) (24) (26) (27) (34) (35) (70) (71) (72) (80) (81) (82)
72.		252	Central	Kheri Sitapur Hardoi Unnao Lucknow Rai Bareli	(28) (29) (30) (31) (32) (33)	Kanpur Dehat Kanpur Nagar Banda Fatehpur Barabanki C S M Nagar	(36) (37) (42) (43) (48) (73)
73.		253	Eastern	Pratapgarh Allahabad Bahraich Gonda Faizabad Sultanpur Sidhartha nagar Maharajganj Basti Gorakhpur Deveria Mau Azamgarh Jaunpur	(44) (45) (46) (47) (49) (50) (51) (52) (53) (54) (55) (56) (57) (58)	Ballia Ghazipur Varanashi Mirzapur Shonbhodra Bhadohi Kushi Nagar Ambedkar Nag. Kausambi Chandaoli Shravasthi Balrampur S Kabirnagar	(59) (60) (61) (62) (63) (64) (65) (67) (69) (74) (75) (76) (77)

Srl. No.	state/u.t. (code)	SR (3)	detailed composition of region				
			description (4)	name of district (5)	code (6)	Name of district (7)	code (8)
74.	Uttar Pradesh (25)	254	Southern	Jalaun Jhansi Lalitpur	(38) (39) (40)	Hamirpur Banda Chitrakut	(41) (42) (66)
75.	West Bengal (26)	261	Himalayan	Coochbehar Jalpaiguri	(01) (02)	Darjeeling	(03)
76.		262	Eastern Plains	Dakshin Dinajpur Maldah Murshidabad	(04) (05) (06)	Nadia Birbhum Uttar Dinajpur	(07) (17) (18)
77.		263	Central Plains	24-Parganas (North) Calcutta Howrah	(08) (10) (11)	Hooghly Burdwan 24-Parganas (South)	(12) (16) (09)
78.		264	Western Plains	Midnapur Bankura	(13) (14)	Puruliya	(15)

APPENDIX – III

List of towns where EC-98 work was done without using UFS blocks

Sl.No.	District	Town
1	BANGALORE RURAL	CHENNAPATNA DEVANAHALLI KANAKAPURA MAGADI RAMANAGARAM VIJAYAPURA
2	BELGAUM	BELGAUM BELGAUM CANTT
3	BELLARY	AMRAVATHI HOSPET KAMALAPURAM KOTTURU
4.	DHARWAD	ALNAVAR ANNIGERI HUBLI-DHARWAD MC KUNDGOL NAVALGUND
5	GADAG	GADAG BETIGERI MULGUND MUNDARGI NAREGAL RON SHIRHATTI
6	GULBARGA	CHINCHOLI WADI NMCT
7	HASSAN	ARASIKERE BANAVARA HASSAN HOLENARASIPURA KONANUR
8	HAVERI	BYADGI HANGAL HAVERI RANIBENNUR SAVANUR SHIGGAON
9	KODAGU	KODLIPET

Sl.No.	District	Town
10	KOLAR	BANGARPET CHICKBALLAPUR CHINTHAMANI KOLAR KOLAR GOLD FIELDS MALUR MANCHENAHALLI MULBAGAL SIDLAGATTA SRINIVASPURA
11	KOPPAL	GANGAWATI
12	RAICHUR	DEVADURGA MANVI RAICHUR SINDHNUR
13	TUMKUR	CHICKKANAYAKANHALL GUBBI MADHUGIRI PAVAGADA SIRA TIPTUR
14	UTTARA KANNADA	AMBIKANAGAR ANKOLA BHATKAL DANDELI GANESHGUDI KADRA MEGOD COLONY YELLAPUR

APPENDIX - IV

Sample Design of NSS 57th round

General

57th round of NSS (July 2001 to June 2002) has been earmarked for conducting mainly the survey of service enterprises (excluding trade and finance) in the unorganized sector. In addition, annual survey of household consumer expenditure along with a few employment-unemployment particulars will be conducted in this round as per usual practice.

Sample Design

1. A stratified multi-stage design will be followed for this survey. The first stage units (FSUs) will be villages (Panchayat wards for Kerala) / UFS blocks (wards for 66 towns of Karnataka where UFS blocks were not used during EC '98 work) [hereinafter referred to as 66 towns of Karnataka] and the ultimate stage units (USUs) will be enterprises under coverage and households. However, in the case of larger FSUs requiring hg / sb formation, one intermediate stage will be the selection of hg's / sb's. For 66 towns of Karnataka, two UFS blocks will be selected from the selected wards - one with probability 1 having maximum number of enterprises of the category specific to the substratum (defined later) and another with SRS out of the remaining. In case, the no. of UFS blocks available in the selected wards is less than or equal to two, all of them will be selected.

2. *Sampling frame*: List of Economic Census 1998 (EC '98) villages (Panchayat wards for Kerala) / UFS blocks (wards for 66 towns of Karnataka) will be taken as the sampling frame for FSUs.

3. *Formation of strata*: Stratification is to be made on the basis of number of workers in unorganized sector enterprises engaged in the activities under coverage of NSS 57th round as per EC '98. (Hereafter, "workers" will mean **workers in unorganized sector enterprises engaged in the activities under coverage of NSS 57th round as per EC '98**).

a) **Special stratum**: One *special* stratum for Rural and Urban sector each may be formed at the State / UT level consisting of all the FSUs of the State / UT (i) having at least one big unit of an activity under coverage on the basis of its number of workers or (ii) having large number of workers engaged in the same activity as in (i). The cut-off points for identifying these FSUs are given in Statement 1. *All the FSUs of the special strata will be surveyed*. The stratum number for special stratum will be 9 for each State or UT.

b) **General strata** (hereafter, stratum will refer to *general stratum* unless otherwise mentioned) will be formed from the remaining FSUs in the following manner:

Rural: In the rural areas each NSS region will be treated as a stratum.

Urban: In the urban areas, the strata will be formed within an NSS region as under:

- (i) towns with population (P) less than or equal to 10 lakhs and
- (ii) each town with P > 10 lakhs.

as per Population Census 1991.

Statement 1: activity-wise cut-off number of workers for identifying FSUs with big unit or large number of workers for special strata		
activity	cut-off number of workers	
	at least one big unit in an FSU	total no. of workers in an FSU
(1)	(2)	(3)
1. storage & warehousing	200	300
2. hotels	200	350
3. post & telecommunications	200	250
4 mechanized road transport	250	400
5. real estate, renting and business activities	300	750
6. health and social work	500	550
7. restaurants	300	350
8. education	300	550
9. other community, social and personal service activities & other transport	400	700

4. Sub-stratification

After leaving out the FSUs which have formed part of the special strata at State/UT level, the *remaining* FSUs of a stratum are to be grouped into a number of sub-strata following the sequential steps as described below:

- sub-stratum 1: all FSUs having at least one establishment (i.e. enterprise with at least one hired worker) of Storage and Warehousing.
- sub-stratum 2: all FSUs, excluding those in the already formed sub-stratum 1, having at least one establishment of Hotel.
- sub-stratum 3: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Post and Telecommunications
- sub-stratum 4: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Mechanized road transport .
- sub-stratum 5: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Real Estate, Renting & Business Activities (i.e. Tabulation category K of NIC '98).
- sub-stratum 6: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Health & Social Work (i.e. Tabulation category N of NIC '98).
- sub-stratum 7: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Restaurant.
- sub-stratum 8: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Education (i.e. Tabulation category M of NIC '98).
- sub-stratum 9: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Other Community, Social and Personal Service Activities (i.e. Tabulation category O of NIC '98) & other transport.

sub-stratum 10: all FSUs, excluding those in the already formed sub-strata, having at least one own account enterprise (OAE) i.e. enterprise with no hired worker in any one of the Tabulation categories H, I, K, M, N, O of NIC '98.

sub-stratum 11: rest of FSUs of the stratum.

Sub-stratum number for FSUs of the special strata will be 1 to 9 only.

5. Total sample size (FSUs)

States and UTs (except A & N Islands, Dadra & Nagar Haveli and Lakshadweep) will participate with at least on equal matching basis. However, central sample size (FSUs) may be around 16000 keeping in view that there will be about 900 investigators available for the survey each having the annual work-load of 18 FSUs .

6. Allocation of total sample to States and UTs

The total sample FSUs will be allocated to the States and UTs broadly in proportion to number of workers subject to the availability of investigators ensuring more or less uniform work-load.

7. Allocation of State/ UT level sample to Rural and Urban sectors

State/UT level sample size will be allocated to rural and urban sectors in proportion to the total number of workers.

8. Allocation of Rural /Urban sector level sample size to strata / sub-strata

Rural/Urban level allocation will be further allocated to strata in proportion to the total number of workers. Again, the allocation among the constituent sub-strata of a stratum will be done in proportion to the total number of workers with weights 4 for sub-stratum 1; 3 for sub-strata 2, 4, 5, 7 and 9; 2 for sub-strata 3 & 6 and 1 for sub-strata 8,10 & 11. For sub-stratum 11, size will be taken as 1 for each FSU. (The weights for allocation of sample FSUs among sub-strata in a stratum are taken to be inversely proportional to the total number of FSUs in those sub-strata).

Minimum allocation for a sub-stratum will be 4 FSUs provided there exist at least 4 FSUs in the sub-stratum. In case there are less than 4 FSUs in a sub-stratum, all the FSUs will be allocated and surveyed.

Allocation to sub-strata may be rounded to multiple of 4 so that it is possible to allocate at least 2 FSUs to each substratum in a semi-round (six monthly) to get semi-round wise estimates.

9. Selection of FSUs

FSUs will be selected from sub-strata 1 - 10 by circular systematic sampling (CSS) with probability proportional to size (PPS), size being the number of workers in the FSU. For sub-stratum 11, FSUs will be selected by CSS with equal probability. The samples will be drawn from each sub-stratum in the form of two independent equal sub-samples. Wherever States and UTs will participate on equal matching basis a combined sample of state and central sample at the sub-stratum level will be drawn. Odd numbers will be assigned to central sample and even numbers to state sample. In case of unequal matching, central and state samples will be selected independently. However, it may lead to repetition of state and central samples.

10. Treatment of common samples (FSUs)

Special strata: As the FSUs of the special strata will be common to the central and state sample, these will be surveyed by FOD and a copy of the filled in schedule will be made available to the respective States/UTs. In states where the central sample is surveyed by the state staff, this exercise is to be carried out by them.

General strata: All the FSUs which are common in state and central samples within a sub-round, an asterisk mark will be given against them in the sample list. FOD will take up these FSUs for survey in the beginning of sub-round. A copy of the filled in schedules will be made available to the respective states by FOD if the States so desire.