

Chapter One

Introduction

1.0.0 **General** : The National Sample Survey (NSS) was started by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods. Different subjects are taken up for survey in different rounds of NSS. The **field work** of 55th round of NSS will start from 1st July, 1999 and is to be completed by 30th June, 2000.

Survey particulars

1.1.0 **Subject coverage** : The 55th round of NSS will be an integrated survey on household consumer expenditure, employment-unemployment and *informal* non-agricultural enterprises (other than those engaged in industrial categories of 'mining & quarrying' & 'electricity, gas and water supply'). The survey on household consumer expenditure and employment-unemployment is going to be the sixth quinquennial survey in the series, the last one being conducted in the 50th round (1993-94) of NSS.

1.1.1 **Salient feature** : One salient feature of the 55th round is that the *rotation sampling scheme* has been adopted for the first time in the NSS (**central sample only**) for the purpose of collection of **employment-unemployment data**. Under this scheme, 50 per cent of the sample first stage units (fsu's) of each sub-round will be revisited in the subsequent sub-round. From each such fsu, sample households visited in the previous sub-round for collecting data on employment-unemployment will be revisited in the subsequent sub-round for collecting employment-unemployment details. In addition, for the purpose of collecting employment-unemployment data, a thin sample of 2 households will be selected during the revisit from the frame of newly formed households in the fsu. It may be noted that the above scheme of *rotation sampling scheme* for collecting employment-unemployment data will be followed only for the fsu's belonging to the central sample. For state samples, the fsu's are to be visited only once as they appear in the sample list for canvassing various schedules in the selected households/enterprises.

1.1.2 **Work programme** : As usual, the survey period of this round is divided into four sub-rounds, each with a duration of three months. The 1st sub-round period is from July to September 1999, 2nd sub-round period is from October to December 1999 and so on. Equal number of sample fsu's is allotted for survey in each of these four sub-rounds. Each fsu will be surveyed during the sub-round period to which it is allotted. Within a particular sub-round, efforts may be made to spread out the field work of various fsu's **uniformly** over different weeks/months to the extent possible. As discussed in paragraph 1.1.1, fifty per cent of the sample fsu's of each sub-round will be revisited again (only for the central sample) in the subsequent sub-round for collecting employment-unemployment details from the sample households who were visited during the previous sub-round. In such cases **efforts** must be made to revisit the fsu just after 3 months.

1.1.3 **Schedules of enquiry** : The following table gives the list of schedules of enquiry for the 55th round.

Table 1 : Schedules to be canvassed in the NSS 55th round

srl. no.	schedule no.	description	sector
(1)	(2)	(3)	(4)
1.	0.1	list of households and non-agricultural enterprises	rural
2.	0.2	list of households and non-agricultural enterprises	urban
3.	1.0	household consumer expenditure	rural & urban
4.	10	household schedule: employment & unemployment	-do-
5.	10.1*	household (revisit) schedule: employment & unemployment	-do-
6.	2.0	informal non-agricultural enterprises	-do-

* to be canvassed in the sample households revisited in the subsequent sub-round (central sample only)

1.1.4 Linking of sub-rounds X sub-samples X schedules of enquiry : Sample fsu's from each *first stage stratum* will be drawn in the form of a number of independent sub-samples (see Annexure - I for details regarding selection of fsu's). There will be a one-to-one correspondence between sub-round number X sub-sample number of the fsu X schedules to be canvassed in the fsu. The same is clarified below in a tabular form.

sub-round	sub-sample	schedules to be canvassed in the fsu	remarks
1	1, 2	1.0, 10, 2.0	Visit number in sch. 0.1/0.2 is to be reported as 1 for such fsu's.
2	1	10.1 (in households revisited), 10 (in newly formed households and also in a few cases where the households surveyed in the previous visit have been casualty/substituted)	Applicable only for the fsu's belonging to the central sample. The listing schedule 0.1/0.2 which was filled up during visit 1, is to be updated during the second visit. Therefore, the schedule 01./0.2 is to be duplicated before it is despatched. During the re-visit, visit number (item 12, block-1) is to be recorded as 2 by crossing out earlier entry (which would have been 1). It may be noted that during the
2 (cont.)			

			re-visit, only blocks 4A and 6A are to be filled up. Entries in other relevant blocks (8, 9 and 10) may be recorded after putting a ring around the entries made during the first visit.
	3, 4	1.0, 10, 2.0	visit number in sch. 0.1/0.2 is to be reported as 1 for such fsu's.
3	3	10.1 (in households revisited), 10 (in newly formed households and also in a few cases where the households surveyed in the previous visit have been casualty/substituted)	applicable only for the fsu's belonging to the central sample; visit number 2 is to be reported in sch. 0.1/0.2 for such fsu's.
	5, 6	1.0, 10, 2.0	visit number in sch. 0.1/0.2 is to be reported as 1 for such fsu's.
4	5	10.1 (in households revisited), 10 (in newly formed households and also in a few cases where the households surveyed in the previous visit have been casualty/substituted)	applicable only for the fsu's belonging to the central sample; visit number 2 is to be reported in sch. 0.1/0.2 for such fsu's.
	7, 8	1.0, 10, 2.0	visit number in sch. 0.1/0.2 is to be reported as 1 for such fsu's.

1.1.5 Geographical coverage : The survey will cover the whole of the Indian Union excepting (i) Ladakh & Kargil districts of Jammu & Kashmir, (ii) interior villages of Nagaland situated beyond 5 kms. of a bus route & (iii) villages of Andaman & Nicobar Islands remaining inaccessible throughout the year. All the villages of the country, uninhabited according to 1991 census, are also left out of the survey coverage of the NSS 55th round.

1.1.6 Sample size (fsu's) : A sample of 10,400 fsu's (rural & urban combined) will be surveyed at all-India level during the round under the *central sample* for canvassing each of schedules 1.0, 10 & 2.0 (for *state samples*, there will be additional sample fsu's as per the usual matching pattern). Out of 10,400 fsu's of the central sample, a total of 3,900 fsu's (1,300 each from sub-rounds 1, 2 & 3) will be revisited in the subsequent quarters for collection of employment-unemployment data.

1.1.7 Participation of the States/ Union Territories : All the States/U.T.s excepting Andaman & Nicobar Islands, Dadra & Nagar Haveli and Lakshadweep are participating in the NSS 55th round at

least on equal matching sample basis compared to the size of the central sample. Sample sizes for the state samples are given in Appendix-I.

Contents of this volume

1.2.0 Contents : The present volume contains six chapters and three 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 the schedules 0.1, 0.2, 1.0, 10 and 2.0 are given in chapters two, three, four, five and six respectively. Appendix-I describes the procedure for selection of sample fsu's. Appendix -II and Appendix-III give the list of the FOD Sub-Regions and the list of NSS regions respectively.

Concepts and definitions

1.3.0 Some important concepts and definitions to be followed in the round are described below in the subsequent paragraphs:-

1.3.0.1 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.

1.3.0.2 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.

1.3.0.3 **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.

1.3.0.4 **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 who by and large regularly run their enterprises by hiring labour. The first two groups of self-employed are known as 'own account workers' and the third as 'employers'. For more details regarding identification of self-employed persons (including '*home workers*'), reference may be made to paragraph 5.0.8 of chapter five.

1.3.0.5 **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 education are not to be termed as manual work. On the other hand, jobs not involving much of manual labour but at the same time nor requiring much educational background either, 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 : hair dressers, barbers, beauticians and related workers.
 Family 570 : fire fighters.
 Family 574 : watchmen, gate-keepers
 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).

1.3.0.6 **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'.

1.3.0.7 **Means of livelihood** : For the purpose of the survey, every household is to be placed into one and only one of the following categories of mean of livelihood (m.l.):

Rural Households	Urban households
1. Self-employed in non-agriculture	1. Self-employed
2. Rural labour	2. Regular wage/salary earners
3. Others	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 in schedule 0.2 will be either of 'self employed', 'regular wage/salary earners', 'casual labour' and 'others' depending upon the source which fetched maximum income to the household during the last 365 days.

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 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) and is also more than the income from source (iv). If so, the m.l. code will be 'rural labour'.

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.

1.3.0.8 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 (economic activity is defined in para 1.3.0.9 below).

1.3.0.9 **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. The whole spectrum of economic activities as defined in the UN system of National Accounts will not be covered under 'economic activity'. 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 labourer or a supervisor.

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

1.3.0.10 **Land possessed** : Land possessed is given by (land owned including land under "owner like possession") + (land leased-in) - (land leased out) + (any land possessed by the household which is neither owned nor leased-in). A plot of land is considered to be 'owned by the household' if permanent

heritable possession, with or without the right to transfer the title, is vested in a member or members of the household. Land held in owner like possession under long term lease or assignment is also considered as land owned. As regards lease, land given to others on rent or free by owner of the land without surrendering the right of permanent heritable title is defined as leased out. Land leased-in is defined as land taken by a household on rent or free without any right of permanent or heritable possession. The lease contract may be written or oral. If the household has possession of land for which it lacks title of ownership and also does not have any lease agreement for the case of the land transacted either verbally or in writing, such land will be considered as "neither owned nor leased-in".

1.3.0.11 **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.

1.3.0.12 **Non-agricultural enterprise** : All enterprises covered under Tabulation Categories 'A' and 'B' of the National Industrial Classification (NIC) 1998 are "agricultural enterprises" while the others covered under Tabulation Categories 'C' to 'O' are "non-agricultural enterprises". The NIC 1998 booklet may be used for recording NIC codes in various schedules. **Reference** may also be made to paragraph 1.3.0.17 of this chapter and paragraph 5.0.8 of chapter five for further details regarding listing of various activities.

1.3.0.13 **Informal non-agricultural enterprises** : All non-agricultural enterprises (excluding those covered under the Annual Survey of Industries) with type of ownership as either '**proprietary**' and '**partnership**' may be treated as *informal non-agricultural enterprises* in the present survey.

1.3.0.14 **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.

1.3.0.15 **Establishment** : Those enterprises which have got at least one hired worker on a 'fairly regular basis' are called establishments.

1.3.0.16 **Seasonal enterprise** : Seasonal enterprises are those which are usually run in a particular season or fixed months of a year.

1.3.0.17 **Activity coverage** : The survey will cover all informal non-agricultural enterprises other than those covered under 'mining & quarrying' (i.e. Tabulation Category 'C' of NIC 1998) and 'electricity, gas & water supply' (Tabulation Category 'E'). It may be noted that the activities classified under Tabulation Categories L, P and Q are not to be covered. Further details giving the coverage of various activities are summarized below in a tabular form.

Activity / NIC 2 digit code	Coverage
Manufacturing NIC(15-37)	<p>Manufacturing is the process of transformation of raw materials into final products.</p> <p>All units mainly engaged in manufacturing which are not registered under Sections 2m(i) and 2m(ii) of the Factories Act 1948, will be covered under this activity. Enterprises engaged in manufacturing of Bidi and Cigars, other than those covered in ASI, will also be covered.</p>

	NIC 98 classifies custom tailoring under manufacturing. For the purpose of this survey, enterprises engaged in providing custom tailoring services to the households may be given a new code 18105 (which is not provided in NIC '98) in schedule 2.0.
Construction NIC(45)	All units like contractors, sub-contractors, overseers, plumbers, masons, electricians, <i>Mistries</i> for mosaic or tiles fitting, etc. connected with the construction activity will be covered. However, own account construction will be outside the coverage. The self employed persons engaged in construction activity will generally be listed in their households. But promoters / contractors, who have offices of their own will be listed against their main offices, if they have any such main office.
Trade and repair services NIC(50-52)	Generally, the activity of trade (wholesale as well as retail) involves only purchase of goods and their disposal by way of sale, without any intermediate physical transformation of goods. In wholesale trade, goods are generally purchased from the producer and sold to the retailer. The activities of intermediaries (commission agents) who do not actually purchase or sell goods but only arrange their purchase and sale and earn remuneration by way of brokerage and commission are also included. In retail trade, goods are generally purchased from the wholesaler and sold to the ultimate consumers.
Activity / NIC 2 digit code	Coverage
Trade and repair services (cont.)	All units engaged in maintenance and repair of motor vehicles, motorcycles and personal and household goods are also included. Sale of agricultural produce or manufactured goods directly by the producer are to be excluded. Also excluded are the agency activities of intermediaries in stock exchange, real estate and other financial matters. Free-collection and sale of agricultural produce is excluded. Separate and distinct trading units of manufacturing concerns (like Sale shops of DCM, Bombay Dying, Bata Shoe etc.) are to be excluded. However, if these units are run by private dealers or agents, they will be covered.
Hotels and restaurants NIC(55)	A hotel is an enterprise which provides lodging services with or without arrangements for meals, other prepared food and refreshments. Dharamshala type lodging places are also to be covered under hotels. 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. Such establishments are variously known as restaurants, cafes, cafeteria, snack bars, lunch counters, refreshment stands, milk bar canteens, etc.

	<p>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. But departmental canteens run by government will be excluded.</p>
<p>Transport, storage and communications NIC(60-64)</p>	<p>Transport means rendering transport service to others as a business proposition. Transport activity relates to the act of carrying passenger and/or goods from one place to another. Supporting services incidental to transport such as packing, freighting, travel agency etc. will also be covered under transport. Both mechanised and non-mechanised transport will be covered. 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) non-mechanised inland/ ocean/ coastal and water transport, (v) pipeline transport, (vi) supporting services to land transport like operation of highway bridges, toll roads, parking lots, etc. and (vii) supporting services to water transport like operation and maintenance of piers, docks, light house, loading and discharging vessels, etc.</p> <p>The operation of storage and warehouses on hire to the farm producer, dealer, trader, processor and manufacturing enterprises,</p>

Activity / NIC 2 digit code	Coverage
Transport, storage and communications (cont.)	<p>as an independent business is covered in this survey. Warehousing services may be given 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 are to be included.</p> <p>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 warehousing by the Central and State Governments. Lockers in commercial banks and in other type of enterprises for safe storage of precious belongings are also excluded.</p> <p>All enterprises providing communication services, not owned by government, Public Sector undertakings, local bodies and corporate sector, 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, cellular mobile telephone services, and audio services etc.</p>
Financial intermediation NIC(65-67)	<p>All financial intermediation activities like, financial leasing, activities of hire-purchase financing, life insurance agents, non-life insurance agents, administration of financial markets, stock brokers, actuaries, financial advisors, etc. will be covered.</p>
Real estate, renting and business activities NIC(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. Letting out of an accomodation will not be included except in case of real estate agents running such a business.</p>

Activity / NIC 2 digit code	Coverage
Real estate, renting and business activities (cont.)	<p>Renting of machinery and equipment will be covered under NIC 71. Note that a household hiring out machinery & equipment or household 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.</p> <p>Stamp vendors should not be covered here but be covered under retail trade.</p>
Education NIC(80)	<p>Only such educational institutions are included which are under proprietary or partnership control. 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 belonging to the informal sector are also included.</p> <p>Management training institutes, computer training centres, Nursing schools, schools of music, drama, dance, modelling, fashion designing, yoga and physical education and general coaching centres (e.g. for various competitive examinations) etc. are to be covered.</p> <p>Private tutors are to be covered and assigned NIC code 80904 only when the person (tutor) is giving tuition in his own house/coaching centre.</p>
Health and social work NIC(85)	<p>All enterprises engaged in health and medical services other than those owned by government, public sector undertakings, local bodies or corporate sector will be covered, irrespective of the system of medicine.</p> <p>All dispensaries, clinics and consultation chambers run by doctors will also 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 provided the services are delivered from their own premises. Included in this activity are all kinds of health clubs. Big hospitals like Escort, Appollo, Peerless etc., will not be covered as they belong to the corporate sector.</p>

Activity / NIC 2 digit code	Coverage
Other community, social and personal service activities (excluding domestic services) NIC(90-93)	<p>This will cover the activities like sewage and refuse disposal, activities of membership organizations, recreational, cultural and sporting activities covered under NIC 90 to 93; and other service activities like washing and cleaning of textile products, hair dressing, 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 93. Palmists and astrologers are also covered here.</p> <p>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. However, if such activities are provided by some agencies against prescribed fees, those agencies will be treated as enterprises under NIC 93. For example, an agency which supplies baby sitters or nurses or night watchmen with some profit margin will be covered in this survey.</p>

Listing of enterprises - Procedure

1.4.0 Enterprises *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', we mean that the entrepreneurial activity is carried out within some sort of permanent structure (refer to chapter two 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. By major activity, we mean the activity fetching maximum income to the enterprise during the last 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. In case accounts for various activities of the enterprise are mixed up, data in schedule 2.0 must be collected for all the activities taken together when such an enterprise is selected for survey.

1.4.1 It is to be noted that **all enterprises** found to be in operation for at least some time 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 enterprise *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. For more details regarding listing of enterprises, reference may be made to chapter two.

Selection of households/enterprises - important steps

(a) Proper identification of the fsu boundaries

1.5.0 The first important task of the field investigators is to ascertain the exact boundaries of the sample fsu [i.e. villages (panchayat wards for rural areas of Kerala) / Urban Frame Survey blocks] 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).

(b) Decision on hamlet-group/sub-block formation

1.6.0 Having determined the boundaries of the sample fsu (both rural & urban), a **decision** has to be taken whether listing has to be done in the whole fsu or not. For this, approximate present population (P) and approximate total number of non-agricultural enterprises (E) for the whole fsu may be ascertained first from knowledgeable persons. Depending upon the values of 'P' and 'E', decision may be taken to divide the 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:

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)
less than 1200	1 @	less than 100	1 @
1200 - 1999	5	100 - 249	5
2000 - 2399	6	250 - 299	6
2400 - 2799	7	300 - 349	7
2800 - 3199	8	350 - 399	8
(and so on)		(and so on)	

@ no. of hb'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 < 600, 5 for P = 600 to 999, 6 for P = 1000 to 1199, 7 for P = 1200 to 1399, 8 for P = 1400 to 1599, and so on (procedure remains unchanged as per enterprise criterion)]

1.6.1 The number (D) of hamlet-groups (hg)/ sub-blocks (sb) to be **actually** formed in the fsu will be the **higher** of the two values as per population and enterprise criteria. If value of P is less than 1200 (600 for certain hilly areas specified above) as well as value of E is less than 100 for an fsu, hg/sb formation should not be resorted to and the whole fsu has to be considered for listing.

(c) How to form hamlet-groups/sub-blocks ?

1.7.0 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.

(d) Which of them to be considered for listing ?

1.8.0 The hg/sb having **maximum** concentration of non-agricultural enterprises will be selected with certainty for listing of households/enterprises. This hg/sb will be referred to as **segment 1**. From the remaining (D-1) hg's/sb's of the fsu, 2 more hg's/sb's will be selected circular systematically and these 2 selected hg's/sb's will together be referred to as **segment 2** for doing a combined listing of households/enterprises. Thus listing of households/enterprises will be done only in segments 1 and 2 of the fsu. The fsu's not requiring hg/sb formation will always be referred to as **segment 1** for the purpose of data collection.

(e) Listing of households/enterprises vis-à-vis their frame

1.9.0 Having determined the area(s) to be considered for listing, the next step is to list all the households (including those found to be temporarily locked) and non-agricultural enterprises. Although all non-agricultural enterprises are to be listed, only the ‘informal non-agricultural enterprises’ (other than mining & quarrying and electricity, gas & water supply) which operated at least 30 days (15 days for seasonal enterprises) during the last year will **qualify** for survey. Such enterprises will hereafter be referred to as ‘**eligible enterprises**’. Listing of households as well as eligible enterprises for the purpose of sample selection will be independent for segments 1 & 2.

(f) Stratification of households/enterprises

1.10.0 All the households listed in a segment (both rural & urban) will be stratified into 2 second stage strata viz. ‘**affluent households**’ (forming second stage stratum 1) and **the rest** (forming second stage stratum 2). The criterion for classifying a household as ‘affluent’ is different for rural and urban samples. In rural sector, a household is classified as ‘affluent’ if the household owns certain items like motor car/ jeep, tractor, truck/van/bus, large business, colour T.V., telephone, etc. or owns land / livestock in excess of certain limits (refer to the working sheet of schedule 0.1 as well as instructions given in chapter two for details). If no household qualifies to form affluent household, second stage stratum 1 will remain void. On the other hand, if more than 10 rural households qualify to form affluent households in a segment, only top 10 of them will be included in the frame of second stage stratum 1 and the rest (including other households) in the frame of second stage stratum 2. The field investigator may exercise his or her own judgment to decide such top 10 households to be included in the frame of second stage stratum 1. Thus total number of households in the frame of second stage stratum 1 for segment 1 or 2 may vary from 0 to 10 for rural samples. For **urban samples**, the households having MPCE (Monthly Per Capita consumer Expenditure) greater than Rs. 1200/- (for towns with population less than 10 lakhs as per 1991 census) or greater than Rs. 1500/- (for towns having population of 10 lakhs or more as per 1991 census) will be treated as ‘affluent’ households for the present survey and all such urban households (there being no restriction on the number) may be included in the frame of second stage stratum 1. Rest of the urban households will be included in the frame of second stage stratum 2.

1.10.1 All the eligible enterprises in a segment (both rural & urban) will be stratified into **12 strata** by jointly considering their *broad industry group* and *enterprise class*. Eligible enterprises could belong to any of the 6 broad industry groups viz. manufacturing - 1, construction - 2, trade & repair services - 3, hotels & restaurants - 4, transport, storage & communication - 5 and other service sector - 6. The enterprises will be classified into 2 enterprise classes. Enterprise class of an enterprise will be ‘1’ if the entrepreneurial activity was pursued with no hired worker during the major part of the period of operation in the last year (in other words, enterprise class will be ‘1’ for Own Account Enterprises). Otherwise enterprise class will be ‘2’ (i.e. for Establishments). Thus there could be 12 possible strata of various combinations of broad industry groups and enterprise classes.

(g) Number of households/enterprises to be selected for survey

1.11.0 The **number** of households/enterprises to be selected for survey from each fsu is given below :-

seg- ment	household allotment * (sch. 1.0/10 each)	enterprise allotment (sch. 2.0) @
	SSS	broad industry group

	1 2 total			1		2		3		4		5		6		total
				ent. class		ent. class		ent. class		ent. class		ent. class		ent. class		
	1	2	total	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)
fsu with hg/sb formation :																
1	1	3	4	1	1	1	1	1	1	1	1	1	1	1	1	12
2	1	7	8	1	1	1	1	1	1	1	1	1	1	1	1	12
fsu with no hg/sb formation :																
1	2	10	12	2	2	2	2	2	2	2	2	2	2	2	2	24

('SSS' means second stage stratum and 'ent. class' means enterprise class)

* if the fsu is to be revisited in the next sub-round (this is applicable to central sample only), a sample of 2 additional households may be surveyed from out of all new households that may have come up during the last three months. Thus, a total of 14 households are to be surveyed from the fsu at the time of revisit (see paragraph 1.11.1)

@ for shortfall in the requisite number of enterprises under the frame of at least one cell (i.e. segment X broad industry group X enterprise class), final allocation for different cells will undergo change as per the guidelines given in paragraph 1.11.2.2

1.11.1 If the fsu is to be revisited in the next quarter/sub-round for collecting employment-unemployment data (applicable only for central sample), all the households surveyed under schedule 10 in visit 1 will be **revisited** for collection of employment-unemployment data afresh during visit 2. In addition, a **thin sample** of 2 households (1 each from segments 1 & 2 for the fsu's requiring hg/sb formation) will be selected for survey in visit 2 from the newly formed households for collection of employment-unemployment data. It is **important** to note that when the same sample household is revisited, schedule 10.1 will be canvassed during the revisit. But if it is either a newly formed household or a casualty household in visit 1 but available for canvassing in visit 2 or a substitute of the earlier household surveyed in the previous sub-round (substitute necessitated due to difficulties in collecting information at the time of revisit), schedule 10 will be canvassed. For substituted households, 1st page of schedule 10.1 should be filled in and attached with the canvassed schedule 10 (1st page of schedule 10.1 may appear at the beginning of the lot). It is also important to note that when field work for an fsu to be revisited in the next sub-round has been over, **no copy** of schedule 10 should be retained in the field office (for reference during visit 2) when the schedules are despatched to the Data Processing Centre. However, copy of listing schedule may be **retained** for identifying the households to be revisited in the next sub-round to collect employment-unemployment details.

1.11.2 **Compensation for shortfall:** Various possible situations that may arise due to non-availability of requisite number of households/ enterprises in the respective frames and action to be taken thereby before sample selection are discussed at length in the subsequent paragraphs.

1.11.2.1 Selection of households:

Case I: There is no hg/sb formation (fsu treated as segment 1): A sample of 2 households is to be selected from second stage stratum 1 (affluent households) and 10 households from second stage stratum 2. Shortfall in the number of households under the frame of any particular second stage

stratum may be made up by increasing the quota for the other second stage stratum so that a total of 12 households are selected for survey for each of schedules 1.0 & 10.

Case II: There is hg/sb formation: If there is no household (affluent household) in the frame of second stage stratum 1 for a particular segment, quota for this second stage stratum for the other segment may be increased so that a total of 2 affluent households is always selected for canvassing each of schedules 1.0 & 10. Then the sample allocation for the other second stage stratum may be obtained by residual method so that a sample of 4 households is selected from segment 1 and 8 households from segment 2. It is to be noted for the cases where 4 households are not there in the entire segment 1 (considering both second stage strata), allocation for segment 2 has to be raised so that a total of 12 households are selected for survey from the fsu for each of schedules 1.0 & 10. Examples given at the end of this Chapter may be seen for further clarifications.

1.11.2.2 **Selection of enterprises:** Let the symbol E^* denote total number of enterprises listed in the fsu considering both the segments (segment 1 only for fsu's with no hg/sb formation). Then, the rules for selection of enterprises will be as follows:

Case I: Value of E^* is equal to 24 or less: **All** enterprises in the fsu are to be selected for survey.

Case II: Value of E^* is 25 or more but there is no hg/sb formation: If there are at least 2 enterprises under every combination of broad industry group X enterprise class (note that there are 12 such combinations), then 2 enterprises are to be selected for each combination as shown under paragraph 1.11.0. If this is not the case, then 2 enterprises (or '1' if only 1 enterprise is there in the frame) may first be allotted to various strata/combinations in the following order: broad industry group 1 and enterprise class 1; broad industry group 1 and enterprise class 2; broad industry group 2 and enterprise class 1; broad industry group 2 and enterprise class 2;; broad industry group 6 and enterprise class 1; broad industry group 6 and enterprise class 2. Then allot 1 additional enterprise to various strata (subject to availability) in the priority order of strata mentioned above and repeat this rule till a total number of 24 enterprises get selected. Refer to examples given at the end of this Chapter.

Case III : Value of E^* is 25 or more and there is hg/sb formation: Ideally, a sample of 1 enterprise from each of the 24 combinations (2 segments X 6 broad industry groups X 2 enterprise classes) should be selected for the enterprise survey. However, in practice, there may be no enterprise in some of the strata/combinations. In such cases, following **compensation rule** is suggested to ensure selection of 24 enterprises:

- Step 1 : 1 enterprise may first be allotted to various combinations of **segment 1** in the following order: broad industry group 1 and enterprise class 1; broad industry group 1 and enterprise class 2; broad industry group 2 and enterprise class 1; broad industry group 2 and enterprise class 2;; broad industry group 6 and enterprise class 1; broad industry group 6 and enterprise class 2. Repeat the same for segment 2 in the same order.
- See whether a total allocation of 24 enterprises has been achieved. This will only happen when 1 enterprise has been selected for each of the 24 combinations (2 segments X 6 broad industry groups X 2 enterprise classes).
- Step 2: If not, additional enterprises are to be selected for the 12 combinations (6 broad industry groups X 2 enterprise classes) as if there were no hg/sb formation. That is, allot 1 additional enterprise (subject to availability) to only those combinations where the quota of 2 enterprises was not fulfilled after Step 1.
- Check if the total number has reached 24. If not, go for Step 3.

- Step 3: Go on allocating 1 additional enterprise to each of the 24 combinations starting from the first combination (segment 1, broad industry group 1, enterprise class 1) to the last.
- Check if the total number has reached 24. If not, repeat Step 3.

[Illustrative examples given at the end of this Chapter.]

(h) General procedure of selection of households/ enterprises

1.12.0 Sample households/enterprises are to be selected from the respective frames by circular systematic sampling with equal probability. For the purpose of systematic sampling, households in the frame of second stage stratum 2 are to be arranged by means of livelihood X land possessed classes for rural samples and by means of livelihood X MPCE classes for urban samples. Enterprises under each stratum (i.e. segment X broad industry group X enterprise class) will however be arranged in the ascending order of NIC 2-digit codes (3-digit codes for hotels & restaurants) before sampling.

1.12.1 For selection of sample households, **double** the allocation for each schedule type (viz. 1.0 & 10), as discussed in paragraphs 1.11.0 & 1.11.2.1, may be selected during first visit to the fsu itself from respective frames. Sample households with odd orders of selection will be visited for canvassing schedule 1.0 and those with even orders of selection will be visited for canvassing schedule 10 (or schedule 10.1 during the revisit). When number of households in the frame (say 'H') of any segment X second stage stratum is less than '2h' ('h' being the allocation for each of schedules 1.0 & 10), following procedure is to be adopted:

Case I: $H = h$: Canvass both schedules 1.0 & 10 in each household in the frame.

Case II: $h < H < 2h$: Sampling serial numbers 1 to H will be given to the households as per the general procedure. A random start (R) may be drawn between 1 and H (both inclusive). Then the household whose sampling serial number tallies with R will be given order of selection number 1. Household with next sampling serial number will be given order of selection number 2 (consider sampling serial number 1 after sampling serial number R in this process). Household with next higher sampling serial number will be given order of selection number 3 and so on. In this process order of selection numbers 1 to H will be assigned to the households in the frame. Canvass schedule 1.0 in the households with order of selection numbers 1, 2, 3, 4, ..., h and schedule 10 in the households with order of selection numbers (h+1), (h+2), (h+3), ..., H, 1, 2, ..., etc. (there will be 'h' such households).

1.13.0 **Substitution of households/enterprises:** If any sample household/ enterprise cannot be surveyed due to some reason, it will be substituted by the one with next higher sampling serial number. If this, in turn, becomes a casualty, another substitute may be taken in the same manner. If this also becomes a casualty, no further substitute may be taken. It may however be ensured that at least one household (for each of schedules 1.0 & 10) or at least one enterprise is always surveyed from various frames of households/enterprises. More number of substitutes may be taken to adhere to this restriction. For instructions regarding drawl of random numbers and substitution/ repetition of fsu's, reference may be made to chapter three.

Examples for allocation of sample households/enterprises

Allocation of households

In the following examples, ‘H’ denotes total number of households listed under the frame of a segment X second stage stratum (SSS) and ‘h’ denotes the corresponding final allocation of sample households for each of schedules 1.0 & 10.

<i>Case I: fsu's with hg/sb formation</i>													
seg- ment	SSS	Example 1		Example 2		Example 3		Example 4		Example 5		Example 6	
		H	h	H	h	H	h	H	h	H	h	H	h
1	1	0	0	5	2	0	0	10	2	0	0	10	1
	2	75	4	85	2	3	3	63	2	4	4	73	3
2	1	1	1	0	0	1	1	0	0	1	1	7	1
	2	155	7	165	8	9	8	157	8	5	5	149	7

<i>Case II: fsu's with no hg/sb formation (segment 1)</i>								
SSS	Example 7		Example 8		Example 9		Example 10	
	H	h	H	h	H	h	H	h
1	10	2	1	1	0	0	1	1
2	175	10	145	11	205	12	9	9

Examples for allocation of sample households/enterprises (Contd.) :

Allocation of enterprises

In the following examples, 'E' denotes total number of enterprises listed under the frame of a segment X broad industry group (BIG) X enterprise class (EC) and 'e' denotes the corresponding final allocation of sample enterprises.

<i>Case I: fsu with hg/sb formation</i> (Example 11)							
segment	BIG	EC	'E'	step 1	step 2	step 3	'e'
1	1	1	5	1		+ 1	2
		2	1	1			1
	2	1	10	1	+ 1	+ 1	3
		2	0	-			-
	3	1	25	1		+ 1	2
		2	1	1			1
4	1	0	-			-	
	2	1	1			1	
5	1	5	1		+ 1	2	
	2	7	1		+ 1	2	
6	1	30	1		(STOP)	1	
	2	0	-			-	
2	1	1	1	1			1
		2	0	-			-
	2	1	0	-			-
		2	0	-			-
	3	1	1	1			1
		2	5	1			1
4	1	10	1	+ 1		2	
	2	0	-			-	
5	1	1	1			1	
	2	1	1			1	
6	1	5	1			1	
	2	1	1			1	
Total	X	X	110	17	+ 2	+ 5	24

Examples for allocation of sample households/enterprises (Contd.) :

Allocation of Enterprises

<i>Case II: fsu with no hg/sb formation</i> (Example 12)							
segment	BIG	EC	'E'	step 1	step 2	step 3	'e'
1	1	1	15	2	+1	+1	4
		2	3	2	+1		3
	2	1	2	2			2
		2	0	-			-
	3	1	10	2	+1	+1	4
		2	7	2	+1	+1	4
	4	1	0	-		STOP	-
		2	1	1			1
	5	1	2	2			2
		2	0	-			-
	6	1	10	2	+1		3
		2	1	1			1
Total	X	X	51	16	+5	+3	24

Chapter Two

Schedule 0.1 : List of households and non-agricultural enterprises (Rural)

2.0.0 Introduction : Schedule 0.1 is meant for listing all the households residing in the sample FSU (or segment 1 & 2 in case of large FSU) along with all the non-agricultural enterprises including those without fixed premises found to exist during the last 365 days preceding the date of survey. Some household particulars like household size, means of livelihood, area of land possessed and some enterprise particulars like description of activity, number of hired and total workers, ownership particulars, duration of operation etc., are also collected. These auxiliary information will be used for grouping the households into different second-stage strata and enterprises into different broad industry groups further classified by enterprise classes. Thus the sampling frames for selection of households / enterprises from each of the second-stage strata / broad industry group x enterprise class are prepared and details of the selection of sample households / enterprises are recorded. Whenever hamlet-groups are required to be formed, particulars relating to the formation and selection of hamlet-groups 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 : The first stage sampling unit (FSU) is the census village in the rural sector (Panchayat wards for Kerala). 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 FSU, will ascertain the exact boundaries of the sampled unit as mentioned in the sample list. This may be done with the help of the village/Panchayat officials like patwari, panchayat authorities etc.

2.0.2 Formation of hamlet-groups and their selection : With a view to controlling the work load mainly at the stage of listing of households, hamlet-group selection will be resorted to in the 'large' FSUs. A large FSU will be divided into a certain number (D) of subdivisions called hamlet-groups. The number of hamlet-groups 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 FSU. The criteria for deciding the number of hamlet-groups to be formed in a large FSU have been discussed in detail in Chapter one. The hamlet-group having the maximum concentration of non-agricultural enterprises 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 ones following the method of circular systematic sampling and they together will be marked as segment '2'. The procedure for forming the hamlet-groups is outlined below:-

2.0.3 Procedure : In a large FSU, there exist usually a few localities or pockets where the houses of the FSU tend to cluster together. These are called 'hamlets'. In case there are no such recognised hamlets in the FSU, the census sub-divisions of the FSU (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 equality of population content for the purpose of hamlet-group formation. The procedure for formation of hamlet-groups is best described, perhaps, by listing sequentially the steps involved:

- (i) Identify the hamlets as described above.
- (ii) Ascertain approximate present population of each hamlet.
- (iii) Draw a notional map in block 2 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 FSU will be included as part of nearby hamlet, so that no area of the FSU 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 FSU.
- (iv) List the hamlets in block 3.1 of sch. 0.1 in the order of their numbering and indicate the present population content in terms of percentages.
- (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. 0.1. Hamlet-groups will be numbered serially in col.(1) of block 3.2 in the order of the first hamlet included in each. 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 Sampling in Arunachal Pradesh : Like NSS 54th round, cluster sampling will not be adopted for the rural sector of Arunachal Pradesh. Thus the sample list supplied by SDRD specifies the sample FSUs that are only to be taken up for survey. No additional FSUs need be surveyed.

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 unit. The listing may be done in the same order as that of the 1998 Economic 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 FSU. While listing the households and the non-agricultural enterprises, some essential minimum particulars about them will be collected for the purpose of classification.

2.0.6 The structure of the schedule: Schedule 0.1, to be filled in for the sample FSUs (panchayat wards for Kerala), contains the following blocks :

Block 0 : descriptive identification of sample village

Block 1 : identification of sample village

Block 2 : sketch map of hamlet-group formation

Block 3.1: list of hamlets

Block 3.2: list and selection of hamlet-groups

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

Block 4.1 : working sheet for identifying relatively affluent households (segment 1 / 2)

Block 5 : frame for eligible non-agricultural enterprises and record of selection of sample enterprises (segment 1 / 2)

Block 4A: list of additional households during visit 2 and record of selection of sample Households (**for schedule 10 only**)

Block 6: particulars of sampling of households

Block 6A: particulars of sampling of additional households (**for only schedule 10 in visit 2 only**)

Block 7: particulars of sampling of non-agricultural enterprises

Block 8 : remarks by investigator

Block 9 : comments by supervisory officer

Block 10 : particulars of field operations

2.0.7 Use of additional sheets of blocks 4 ,4A & 5 : Whenever one schedule booklet is not adequate to list all the households and non-agricultural enterprises in block 4 and all the eligible non-agricultural enterprises in block 5 of the sample FSU/ segments , additional sheets containing block 4 & 5 shall be used and tagged firmly to the main schedule. Similarly, additional sheets containing block 4A should be used and tagged firmly to the main schedule when listing of additional households found during visit 2 could not be accommodated in one sheet.

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

2.0.8 Block 0 : Descriptive identification of sample FSU : This block is meant for recording descriptive identification particulars of the sample FSU along with their relevant codes. State/u.t., district and tehsil name along with codes may be copied from the sample list. FSU name may also be copied properly from the sample list. For large FSUs, the serial numbers of hamlets constituting the selected hamlet-groups may be copied (separated by commas) from col. (1) , block 3.1.

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 & 4, 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 hamlet-groups formed in the sample FSU is 5, the entry against item 17 should be recorded as 005. Items 3, 5 to 14 shall be copied from the sample list.

2.1.1 Item 10 : FOD sub-region : The four digit code corresponding to the FOD sub-region to which the sample village belongs will be recorded against item 10. 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 12 : Visit number (1 / 2) : If a sample FSU is surveyed for the first time, visit number will be '1'. And if the same FSU is surveyed for the second time in the next sub-round, the visit number will be '2'. For further clarification, reference may be made to paragraph 1.1.4 of Chapter One.

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 of 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 (1981 census population in case of J & K). In the case of large difference with census population, it may be asked whether there has been any abnormal influx into or exodus from the FSU after the census. If so, the approximate increase or

decrease of population due to such events or any new settlements that have come up in the FSU after the census, is to be ascertained.

2.1.4 Item 16 : Approx. no. of non-agricultural enterprises : Approximate number of non-agricultural enterprises (OAEs, NDEs and DEs 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)-1998 (if not available, EC-1990). Then the procedure followed for estimating the approximate present population may be attempted to get an estimate of the total number of non-agricultural enterprises in the FSU.

2.1.5 Item 17 : Total number of hamlet-groups formed : The total number of hamlet-groups formed in the sample FSU will be the value of 'D' as recorded in **block 3.2, sch.0.1**. Value of D to be recorded against this item will be as per the guidelines given in paragraphs 1.6.0 & 1.6.1 of Chapter One. If the sample FSU does not require any hamlet-group formation, the entry against this item will be "001".

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 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 comprised wholly of 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, the survey code will be 4 if the substituted FSU is inhabited; 5 if the substituted 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 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 or not (i.e. when one of the codes 4 to 7 is given 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 (not permitted to survey).....	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 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 : Sketch map of hamlet-group formation

2.2.0 For large FSUs requiring hamlet-group formation, the space provided for in the block shall be used to draw a free hand sketch-map of the FSU showing the boundaries of the hamlets. The sketch-map is to be drawn in such a way that the hamlet-groups could be identifiable in the field afterwards with the help of this map. However, the map 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.

Block 3.1 : List of hamlets

2.3.0 This block is to be filled-in for the rural samples requiring formation of hamlet-groups (i.e. for $D > 1$). All the hamlets located in the FSU will be listed in the specified order. A running serial number will be given in col.(1) to the hamlets. Present population of each hamlet expressed as percentage of the total FSU population will be given in col.(3) in whole numbers. Entries in col. (3) should add up to 100.

Block 3.2 : List and selection of hamlet-groups

2.3.1 **General:** This block is meant for recording the details of the hamlet-group formation and their selection for FSUs requiring hamlet-group formation (i.e. with $D > 1$). Reference may be made to paras 2.0.2 and 2.0.3 for the procedures of formation and numbering of hamlet-groups.

2.3.2 **Column (1) : Hamlet-group (h.g.) no. :** The hamlet-groups formed will be given a running serial number (starting from 1) in column (1) as per the guidelines given in paras 2.0.3.

2.3.3 **Column (2) : Srl. nos. of hamlets in the h.g. :** 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.

2.3.4 **Column (3) : Percentage of population in the h.g. :** Approximate present population of the h.g. 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.

2.3.5 **Column (4) : Sampling sl. no. of the h.g.s :** Sampling serial number will be given as '0' in this column for the h.g with maximum concentration of non-agricultural enterprises and the remaining h.g.s (in the order of their listing in col.(1)) will be given sampling serial numbers starting from 1 to (D-1).

2.3.6 **Column (5) : Segment number :** The h.g with sampling serial number '0' in col.(4) will be selected with certainty and segment number will be given as '1' in col.(5). Two more h.g.s will be selected circular systematically with equal probability from the remaining (D-1) h.g.s. Against each of these two selected h.g.s, segment number will be assigned as '2' in col.(5). The selected h.g.s with segment number '2' will be considered together for the purpose of listing and selection of households and enterprises. For the purpose of selection , a random number 'R' is to be drawn first between 1 and D-1 (where D is the total no. of h.g.s formed from which the h.g. with sampling sl. no. '0' has already been selected for survey) from the table of random numbers. The h.g.s whose sampling serial numbers in column (4) agrees with the value of R and $R + I$ [where 'I' is the sampling interval taken as the integral part of $(D-1)/2$] will be selected for survey. If $R+I$ exceeds (D-1), the difference $[(R+I) - (D-1)]$ will be considered. The serial numbers of the selected hamlet-groups will be encircled in column (1), block 3.2. **Values of D, I and R may be recorded in the space provided just below the block heading. The hamlet-group selected for survey will be ringed in col.(1) and 'S1' will be written by the**

side of the ring in the same column against the hamlet-group marked as segment 1 and 'S2' against those hamlet-groups marked as segment 2. The total number of non-agricultural enterprises as estimated by local enquiry in the selected h.gs may be recorded in the margin spaces available in block 3.2 to have an idea of the workload involved in listing of all the enterprises.

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

2.4.0 While listing a house, the investigator shall first find out how many households (including those temporarily absent i.e. locked households) reside there. From each household he will collect the details of all enterprises run by its members during 365 days preceding the date of survey (the enterprise may not be in operation on the date of listing). The enterprises run by the household 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 enterprises 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 enterprises as described above, the investigator will list other enterprises, if any, which may be located in that house and existing on the date of survey and operated either by households staying in some other houses (either within or outside the selected h.g..) 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 enterprises that may be existing, though not operating, on the date of survey.

2.4.1 This is the main block of the schedule. Apart from listing all the houses, households and non-agricultural enterprises of the sample FSU/selected segment, some auxiliary information like household size, means of livelihood, area of land possessed, possession of household durables/land/domestic animals like motor car/jeep, tractor, refrigerator, spacious pucca houses, telephone, colour t.v., cultivable and irrigated land, cattle, buffaloes, sheep and goats etc. about the households and some auxiliary information about the enterprises like description of activity, total number of workers including hired ones, type of ownership, nature of operation etc. will be collected and recorded in this block for the purpose of classifying and arranging the households into different second stage strata and the enterprises into broad industry group x enterprise class. Preparation of sampling frame of households by second stage stratum and also sampling frame of enterprises by broad industry group x enterprise class along with the selection of sample households / enterprises will also be recorded in this block. Listing of households / enterprises are to be done separately for segment '1' and '2'.

2.4.2 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 are also to be listed along with the non-agricultural

enterprises run by them. After ascertaining 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 at the appropriate hours (even outside the normal working hours of the investigators) and if need be by revisiting the households during the survey period in the sample village. All **locked** households / non-agricultural enterprises due to temporary absence should be listed and included in the overall frame for sample selection. In order to ensure complete listing of houses/households/non-agricultural enterprises, it is, therefore, better to follow some definite order for listing. The order followed in 1998 Economic Census may be adopted, if possible, taking care that any house that has come up later is not omitted; otherwise, listing may be done starting from the northwest corner. While listing, 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 start of the work. This will help in checking completeness.

2.4.3 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 manufacture small toys, dolls, transistor/radios etc. inside a house 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 vegetables, fruits, cloth, etc. without having any fixed premises are cases in point. 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 of the two selected hamlet-groups will be listed one after another maintaining a continuous serial numbers for households as well as for the non-agricultural enterprises, as if they together constitute one unit. For doing so, the serial number and the names of the hamlets belonging to the hamlet-group which is selected first (i.e. the hamlet-group whose serial number agrees with the value of R as recorded in 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/non-agricultural enterprises 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 whose serial number agrees with the value of R+I or [(R+I) – (D-1)]) will be clearly written in block capital and listing of houses/households/non-agricultural enterprises belonging to this hamlet-group will start from the next line. However, where there is no hamlet-group formation, listing will be carried out under segment 1 only. Instructions for filling in various columns of the block are given in the following paragraphs.

2.4.4 **Col. (1): House number** : All houses including vacant ones will be listed by giving a house number. The 1998 Economic Census house number or the number given by the local panchayat or any other local body may be used, if available. The houses without any such numbers or where house numbers are not available at all, will be given a separate running serial number within brackets, starting from 1. But whenever house numbers are available even for some houses, the actual house numbers will be recorded

without any bracket for the houses for which such numbers are available. After listing all the households and non-agricultural enterprises 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, 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.

2.4.5 Col. (2): Household serial number : The household(s) normally residing in the house listed in col.(1) will be listed 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. 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. A continuous serial numbering will be given in col. (2) considering the selected hamlet-groups of segment 2 as one unit.

2.4.6 Col.(3): Household size : The size of each household as defined in Chapter One 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. **For locked household** for which no information could be available even from the neighbours, the description “locked household” may be recorded against household serial number across the row.

2.4.7 Cols.(4) & (5): No. of self-employed members (home based & those working without fixed premises) : In each of the listed household, 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. The term 'fixed premises' with reference to an enterprise is used to mean some sort of fixed structures (excluding purely temporary structures/make-shift types). The term 'self-employed' has been explained in chapter five. However, some examples of self-employed home based worker are given below:

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 some degree of autonomy in carrying out the activities.

Some examples of self-employed persons engaged in non-agricultural activities without having fixed premises are given 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, will be considered to be carried out without fixed premises.

(ii) In daily markets or 'hats', some vegetable/fish sellers 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.

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

(i) Enterprises run without fixed premises on partnership basis shall be listed against the household of that partner who takes the major decisions.

(ii) The brick kilns having fixed site (with or without structure) will always be listed at their sites. In case of pottery also, the same procedure may be followed.

(iii) For mixed activities or the same activity being conducted in two different places, 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.

(iv) In cases of mixed activity of manufacturing and trade, such as handloom weavers, sweetmeat shops, by convention, manufacturing will be taken as the major activity. If the manufacturing activity of the enterprise is carried out in the household and products are sold in a fixed stall or shop or a fixed structure then the enterprise will be listed as manufacturing at the location of the household and not at the stall/shop.

(v) Recording of blank audio and videotapes for sale or providing the service of recording on blank tapes of customers will be listed under 'service'. Providing the service of Xerox copying will also be listed under 'service'.

(vi) If a household prepares rice mainly for home consumption by husking paddy produced either from its own cultivation or obtained in exchange of services rendered to other households but sometimes sells out a part then such activity will not be treated as manufacturing. However, households undertaking milling of paddy into rice, mainly for the purpose of sale or the households which provide the service of husking to customers by using household devices like 'dhenki' etc. will be taken as engaged in manufacturing enterprise.

(vii) 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.

(viii) Sale of own agricultural produce directly by the producer will not be treated as non-agricultural (i.e. trading) activity. Similar is the case of a person engaged in production of milk and selling the same. However, door-to-door collection of milk and selling will be listed as a trading activity.

2.4.9 Col.(6) : No. of distinct enterprises owned by members noted in

cols.(4) & (5): 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 worker or as self-employed persons running non-agricultural activities without fixed premises and record in this column. For example, if two members of the same household are self-employed masons and are carrying out their activities independently, it will be counted as two distinct enterprises run by the household and the entry in col.(6) will be 2. On the other hand, if two male members of the same household are carrying out 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.(6) will be 1, provided no other enterprise (located within the household or run without fixed premises) is run by the household members.

2.4.10 Col.(7): Enterprise serial number : All non-agricultural enterprises shall be given a running serial number starting from 1 in this column. While giving enterprise serial number, number of enterprises noted in col.(6) will be listed first one after another followed by other enterprises located in the house, if any, with fixed premises. The enterprise serial number for the enterprises owned by home workers (i.e. those enterprises for which goods manufactured by the household members are disposed of to one or two specific outlets like specific master craftsmen in case of bidi making) will be marked by the symbol ‘*’ in col.(7). Note that if the entire product is disposed of to three or more outlets, ‘*’ will not be given in col.(7) for such enterprises.

2.4.11 Col.(8): 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 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 it will 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.

2.4.12 Col.(9) : Description of activity: The activity of the enterprise shall be briefly described in words in this column, such as bread making, coffee curing, grocery, museum, zoo, mason, domestic servant, housemaid, private telephone booth, house building promoter etc. For enterprises, which are seasonal in nature, the code 'S' may be recorded within brackets below the description of activity. This will help in recording the eligibility code in column (15).

2.4.13 Col.(10) : Broad industry group code: Each of the listed enterprise will be classified first as per the tabulation category of NIC 1998. Then broad industry group code will be recorded in this column corresponding to the tabulation category in which the enterprise belongs to. If the enterprise belongs to tabulation category 'D' (i.e. manufacturing sector), broad industry group code will be recorded as 1. Similarly, if an enterprise falls in any of the tabulation category 'J' to 'O' (i.e. classified as other service sector), the code in col.(10) will be 6. The broad industry group code is any of 1 to 8 whose details are given below:

manufacturing (tabulation category of NIC 1998 as 'D')	- 1
construction (tabulation category 'F')	- 2
trade & repair services (tabulation category 'G')	- 3
hotels & restaurants (tabulation category 'H')	- 4
transport, storage and communication (tabulation category 'I')	- 5
other service sector (tabulation category 'J' to 'O')	- 6
mining & quarrying (tabulation category 'C')	- 7
&	
electricity, gas and water supply (tabulation category 'E')	- 8

2.4.14 Cols.(11) to (15) : These columns will be crossed out for the enterprises having broad industry group code 7 or 8 in col.(10). In other words, all the non-agricultural enterprises except those belonging to the sectors 'mining & quarrying' and 'electricity, gas and water supply' will be considered for making entries in these columns. Thus columns (11) to (15) will be filled in for all the enterprises having any of the codes 1 to 6 in col.(10).

2.4.15 Cols.(11): Total no. 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 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 as 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 (11) and (12). The average number of workers on a working day during the reference year shall be recorded for both total and hired workers in column (11) and (12) respectively.

Information on total number of workers may be recorded properly so as to avoid misclassification of enterprises by enterprise class.

2.4.16 Col. (12) : Number of hired workers : The number of hired workers in the enterprise, usually employed on fairly regular basis shall be recorded in this column. If there is no hired worker, '0' shall be entered here. Apprentices, paid or unpaid, shall 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 Col.(13) : 2-digit code (3-digit code for hotels & restaurants) as per NIC 1998 : Corresponding to each of the enterprises belonging to broad industry group codes 1 to 6, an appropriate 2/3 digit code as per NIC 1998 may be recorded in this column.

2.4.18 Col.(14) : Ownership code for those not covered by ASI (put 'x' for those covered by ASI) : For all the non-agricultural enterprises except those belonging to the sectors 'mining & quarrying' and 'electricity, gas and water supply' and also those covered by ASI, ownership codes are to be recorded in this column. As the present survey will cover only the informal sector non-agricultural enterprises, the manufacturing enterprises covered under ASI (Annual Survey of Industries) will be excluded from the coverage of the survey and 'x' mark will be recorded in col.(14) for these manufacturing enterprises. This means that the investigator should know whether the enterprise with broad industry group code as 1 in col.(10) is covered under ASI or not. As ASI, in general, covers the enterprises which are registered under section 2m(i) or 2m(ii) of the Factories Act, 1948 or registered under bidi and cigar workers (condition of employment) Act 1966, the owner of the enterprise will at least tell whether it is registered under the above Acts. If it is so, the investigator has to ascertain whether ASI covers it. If the same is not covered by ASI, the appropriate ownership code will be entered in col.(14).

Ownership codes are as follows:

proprietary (male)-1, proprietary (female)-2, partnership with members of the same household-3, partnership between members not all from the same household - 4, and others - 9.

If an individual is the sole owner of the enterprise, the enterprise will be termed proprietary and for such an enterprise ownership code will be 1/2 if the proprietor is male/female. If there are two or more owners of the enterprise on a partnership basis with or without formal registration, code shall be 3/4 if all the owners belong/do not belong to the same household. All other enterprises shall get ownership code 9. If an enterprise is owned by a Hindu Undivided Family(HDF), code 1 or 2 will be put in col.(14) depending on whether the ('Karta') is a male or a female.

2.4.19 Col.(15): Eligibility code for code 1 or 2 or 3 or 4 in col.(14) : As the present survey will cover the informal sector non-agricultural enterprises only under the ownership of proprietary and partnership, eligibility code will be recorded only for the enterprises with ownership codes 1 to 4. 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 which operated for less than 30 days (15 days for seasonal enterprises), code 2 shall be recorded in this column.

2.4.20 Col.(16) : m.l. code (for households) : The appropriate means of livelihood (m.l.) code of the households will be recorded in this column as per the procedure described in Chapter One. The codes are :

self-employed in non-agriculture	-1
rural labour	-2
others	-9

For locked household for which the information on m.l. code could not be collected even from the neighbours, m.l. code may be recorded as '9'.

2.4.21 Col. (17) : Land possessed (in 0.00 ha) as on date of survey : The total area of land possessed by the household as on the date of survey will be ascertained and entered in hectare in two places of decimals. However, as in the case of determination of means of livelihood, the land possessed by normally resident servants, paying guests etc. will not be included in household's land possessed. **For locked household** for which information on land possessed could not be collected even with best efforts, '*' mark may be put in this column. For the purpose of second-stage stratification or giving sampling serial numbers in subsequent columns, such households may be considered as possessing land less than 0.40 hectare. It may be noted that 'homestead land' is to be included for finding out 'land possessed' by the household. For definition of 'homestead land', reference may be made to para 4.3.18 of chapter four.

2.4.22 Col. (18) : Sampling serial number for households of second-stage stratum 1 (i.e. for households which are relatively affluent): This column prepares the sampling frame for second-stage stratum 1 which consists of the households that are identified as affluent as per particulars in block 4.1. A household will be classified as affluent in block 4.1 if it owns any of the items listed in columns 4 to 11 of block 4.1 or it owns (i) cultivable/irrigated land of area exceeding 7.00/3.50 hectares or (ii) at least 10 heads of cattle and buffaloes or (iii) at least 30 sheep or goats. If the number of households found place in block 4.1 is less than or equal to 10, all of them will constitute the frame for second-stage stratum 1. If no affluent households could be identified as per particulars in block 4.1, the second-stage stratum 1 will be void. But in case the number of such affluent households exceeds 10, the top ten among them in the order of their relative affluence (as per the judgement of investigator) will form the frame. Put tick-mark in col. (18) against each of the affluent households in the frame constituted as above. Then a running serial number from 1 will be given to all the tick-marks in the order as they are appearing in this column. These numbers will be the sampling serial numbers for second-stage stratum 1.

2.4.23 Cols. (19) to (25) : Sampling serial number for second-stage stratum 2 (i.e. for the households not included in the frame of affluent households) : These columns prepare the sampling frame for second-stage stratum 2 which consists of the remaining households i.e. those which are not considered for giving tick-marks/sampling serial numbers in col. (18). All these households will be arranged by their means of livelihood (m.l.) codes 1, 2 and 9. The households with m.l. code 9 will further be arranged by area of land possessed classes (the classes are : <0.40 ha, 0.40-1.00 ha, 1.00 - 2.00 ha, 2.00 - 4.00 ha & 4.00 ha or more). The households with m.l. code 1 will be given tick-marks (✓) in col. (19) and those with m.l. code 2 will be given tick-marks (✓) in col.(20). The households with m.l. code 9 will be given tick-marks (✓) in either of the cols. (21) to (25) according to the amount of land figures recorded in col. (17). Then all the tick-marks (✓) of cols. (19) to (25) will be given a fresh running serial number from 1 starting with the first tick-mark and ending with the last tick-mark in these columns. It should be ensured that all the tick-marks in a particular column, spread over all the pages of block 4, have been exhausted for the purpose of giving sampling serial numbers before proceeding to the first tick mark of the next column.

2.4.24 Cols. (26) and (27) : Order of selection of the households selected from the second stage strata 1 & 2 : The cols. (26) & (27) will be used to give the order of selection numbers to the households selected respectively from the frame of second-stage strata 1 & 2. Before putting the order of selection in these columns, the values of H_i , h_i , I_i & R_i ($i=1,2$) are to be recorded in the respective places of the column headings. The value of H_i is equal to the total number of households in the frame of i -th second-stage stratum. That is,

H1 = highest sampling serial number given to the tick-marks in col.(18).

H2 = highest sampling serial number given to the tick-marks of cols. (19) to (25).

h_i = number of households to be selected from i -th second-stage stratum ($i=1,2$) for schedule1.0 and schedule10 together for FSUs that are surveyed for the first time[If a household is selected for both schedules 1.0 & 10, it will be counted twice in arriving at the value of h_i ; in other words, it is possible that $h_i > H_i$].

Before giving order of selection numbers in columns (26) and (27), it must be checked that value of (H1 + H2) agrees with the last household serial number recorded in col.(2).

The values h by segment \times second stage stratum \times schedule number and the procedures of selection along with the exceptional cases have been specified in Chapter One. However in general, for villages without h.g formation having sufficient number of households in the frames of second stage strata, $h_1=4$ and $h_2=20$ and for villages with h.gs formation, $h_1=2$ & $h_2=6$ in segment 1 and $h_1=2$ & $h_2=14$ in segment 2. The cases where H1 or H2 is less than the required number of households to be selected, are discussed in detail with examples in chapter one. In such cases the compensation for shortfall will be made by considering both the segments and the two second stage strata. For example in the case of a village without h.g formation, (a) if $H_1= 1$ and $H_2=30$, $h_1=2$ (sch.1.0 & 10 will be canvassed in the same household) and $h_2=22$; (b) if $H_1=2$ and $H_2=30$, $h_1=4$ (sch.1.0 & 10 will be canvassed in both the households) and $h_2=20$; (c) if $H_1=3$ and $H_2=30$, $h_1=4$ (sch.1.0 will be canvassed in the households with order of selection 1,2 and sch.10 in the households with order of selection 3,1) and $h_2=20$; (d) if $H_1=10$ and $H_2=6$, $h_1=12$ (sch.1.0 will be canvassed in the households with order of selection 1,2,3,4,5,6 and sch.10 in the households with order of selection 7,8,9,10,1,2)

and $h_2=12$ (sch.1.0 & 10 will be canvassed in all the 6 households). Some examples for deciding the values of h_i for a village with h.gs formation are : (a) if $H_1=0$ & $H_2=10$ in segment 1 and $H_1=4$ & $H_2=20$ in segment 2, then $h_1=0$, $h_2=6$ for segment 1 and $h_1=4$, $h_2=14$ in segment 2; (b) if $H_1=10$ & $H_2=4$ in segment 1 and $H_1=1$ & $H_2=20$ in segment 2, then $h_1=2$, $h_2=6$ (sch.1.0 for hhs with OS 1,2,3 and sch10 for hhs with OS 4,1,2) for segment 1 and $h_1=2$ (both the sch.1.0 & 10 will be canvassed in the same hh), $h_2=14$ in segment 2; (c) if $H_1=10$ & $H_2=2$ in segment 1 and $H_1=0$ & $H_2=20$ in segment 2, then $h_1=4$, $h_2=4$ (sch.1.0 & 10 will be canvassed in both the hhs) for segment 1 and $h_1=0$, $h_2=16$ in segment 2 (OS means order of selection).

After determining the values of h_i 's, the households will be selected circular systematically with a random start from the frame of each second-stage stratum. The value of R_i (random start; $i=1,2$) will be selected independently. For each i , R_i should lie between 1 and H_i . Also calculate the values of I_i (called sampling interval) as integral part of H_i/h_i . where $I_i = H_i/h_i$. The values of h_i , I_i and R_i will be recorded in the space provided in the appropriate column headings. To select the sample households from i -th second-stage stratum, consider the h_i numbers : $R_i, R_i+I_i, R_i+2I_i, \dots, R_i+(h_i-1)I_i$. The sample households are those households whose sampling serial numbers agree with the numbers $R_i, [R_i+I_i], \dots, [R_i+(h_i-1)I_i]$. When any of the numbers $(R_i+k \times I_i)$ exceeds H_i , subtract H_i from $(R_i+k \times I_i)$ for the purpose. The order of selection will be given exactly in the order $R_i, [R_i+I_i], [R_i+2I_i], \dots$. That is to say, it will be 1 for sampling serial number R_i , 2 for sampling serial number $[R_i+I_i]$ and so on. If (a) $H_i \geq h_i^*$, sch.1.0 will canvassed for households with odd OS and sch.10 to households with even OS; (b) $h_i^*/2 < H_i < h_i^*$, sch.1.0 will be canvassed for households with OS (1,2,3,... $h_i^*/2$) and sch.10 to households with OS ($h_i^*/2+1, h_i^*/2+2, \dots, h_i^*, 1, 2, \dots$); (c) $H_i \leq h_i^*/2$, sch.1.0 & sch.10 will be canvassed in the same set of households.

Block 4.1 : Working sheet for identifying relatively affluent households

2.4.25 This block will be used for identifying the 'affluent households' in the sample village/segments, which enjoy a better standard of living. This will be done by taking into account the factors generally associated with affluent households such as : ownership of motor vehicles/tractor/truck/bus/van etc. ; consumer durables like telephone, colour T.V., VCR, VCP, fridge, washing machine etc. ; ownership of large business establishments ; ownership of large pucca house in good condition ; ownership of cultivable / irrigated land in excess of certain norms (i.e. 7 hectares of cultivable land or 3.5 hectares of irrigated land) ; ownership of a good number of cattle and buffaloes (i.e. 10 or more in number) ; ownership of sheep and goats (i.e. 30 or more in number). A household will qualify for classification as affluent if it owns any one of the above items listed in cols.

(4) to (11) of this block or owns cultivable land / irrigated land / cattle and buffaloes / sheep and goats in excess of the limits specified above. It may be noted that the

households having at least one member with good salaried job or in a profession with considerable income (doctor, advocate etc.) will be included in col. (7) of this block. The households to be listed in block 4.1 will be identified during the listing of households in block 4. Whenever a household is listed in block 4, it may be examined whether the household possesses any of the items listed in block 4.1 and satisfy the criteria of recording it as an affluent household in block 4.1. In other words, the investigator will record the particulars in block 4.1 only for those households that fulfil the criteria for affluent households as described above. If the number of such affluent households exceeds 10, the investigator will have to rank them in descending order of their affluence. This ranking may be done by the investigator on the basis of his judgement of relative affluence. The top ranking 10 households will constitute the frame for second-stage stratum 1. The rest of the households of the FSU will be in second-stage stratum 2. If the number of such households is less than or equal to 10, all of them will be included in frame for second-stage stratum 1. If there is no affluent household, second-stage stratum 1 will remain void.

Block 4A : List of additional households found during visit 2 and record of selection of sample households (only for sch.10)

2.4A.0 This block will be filled in only for those villages for which visit number '2' will be specified in the sample list. During visit 2 for such villages, sch.10.1 will be canvassed in those households which were also surveyed in visit 1 and sch.10 to the households selected from the frame new households identified only during visit 2. If the same village is visited for the second time in the next sub-round belonging to the same sub-sample, fresh listing of houses, households and non-agricultural enterprises are not required. Instead, the new households that have come up in the segment after visit 1 will only be listed in this block. It may be noted that for identifying the new households, it is not necessary to list structure by structure; instead the information about the new households may be gathered from the knowledgeable persons. For selection of households for visit 2 from the village/segment, the block 4 that was filled in during visit 1 along with block 4A will be considered together. The listing in block 4 carried out in visit 1 will remain unchanged. The same set of households selected for survey in visit 1 for sch.10 will be the sample households in visit 2 also. Only two households will be selected circular systematically with equal probability from the frame of additional households listed during visit 2 in block 4A for villages without h.g formation and one household will be selected from each of the segments for villages with h.g.s formation. The frame of additional households may be said to constitute second stage stratum 9 (i. e. SSS 9). While selecting the households from SSS 9, col.(2) (i.e. the household serial numbers) may be considered as the sampling frame and the households need not be arranged either by their m.l. Codes or by their areas of land possessed.

2.4A.1 The instructions for filling in this block are same as that for block 4. This block will be filled in independently for segment 1 & 2. Segment wise values of H, h, R & I may be recorded in column heading of col.(10). The household srl. no. will be given afresh in col.(2), bl.4A starting from 1 separately for each of the segment 1 & 2. **The cols.(5) to (7) of block 4A need not be filled in.**

Block 5 : Frame of eligible non-agricultural enterprises and record of selection (segment 1 / 2)

2.5.0 This block is meant to prepare the sampling frame of eligible non-agricultural enterprises by broad industry group x enterprise class from the list of all the non-agricultural enterprises with code 1 in col.(15) of block 4 separately for segment 1 and 2. The entire exercise of block 5 may be carried out in desk after completing the fieldwork required for recording the necessary information in various columns of block 4. The procedures of recording information in different columns of block 5 are described below.

2.5.1 **Col.(1) : Enterprise srl. no. for code 1 in col.(15), block 4 :** Enterprise serial number as recorded in col.(7), block 4 with code 1 in col.(15), bl. 4 will be copied in col.(1), bl. 5. These are the eligible non-agricultural enterprises that will be classified into 12 groups formed by different combination of six broad industry groups and two enterprise classes.

2.5.2 **Col.(2) : Broad industry group code (col.(10), bl.4) :** Broad industry group code will be copied from col.(10), bl. 4.

2.5.3 **Col.(3) : Enterprise class code :** The entry in this column will be either 1 or 2. The entry will be 1 if the entry corresponding to the enterprise in col.(12), block 4 is '0' (i.e. there is no hired worker). The entry will be 2 if the entry corresponding to the enterprise in col.(12), block 4 is positive (i.e. there is at least one hired worker reported to have worked on regular basis). The enterprises with enterprise class code 1 may be termed as 'own-account enterprises (OAEs)' and the other class of enterprises may be said to belong to establishments.

2.5.4 **Col.(4) : 2/3 digit NIC code (col.(13), bl. 4) :** The NIC code as recorded in col.(13), block 4 will be copied in this column.

2.5.5 **Cols.(5) to (16) : Sampling serial number for the enterprises after grouping them into broad industry groups by enterprise classes :** Corresponding to each of the enterprise serial number in col.(1) of this block, a tick-mark

(√) will be given in one of the cols.(5) to (16) depending on its broad industry group code (i.e. entry in col.(2), bl. 5) and enterprise class code (i.e. entry in col.(3), bl. 5). The enterprises with tick-marks (√) in each of the cols.(5) to (16) constitute 12 independent sampling frames. If more than one enterprise is required to be selected from a frame(i.e. $e > 1$ and $E > e$), the enterprises are to be arranged in ascending order of their NIC codes before assigning the sampling serial numbers. In other words, if only one enterprise is required to be selected(i.e. $e = 1$), the enterprises need not be arranged by their NIC codes. With this in mind, sampling serial number starting from 1 may be assigned to the tick-marks (√) independently in each of the cols.(5) to (16) but where enterprises are not required to be arranged as per the NIC codes, sampling serial numbers may be given in the order of the tick-marks (√). In this way, the sampling frames of the 12 groups are prepared.

2.5.6 Cols.(17) to (28) : Order of selection of the enterprises selected from the frames of 12 groups/strata : The number of enterprises (e) to be selected from each of the 12 groups/strata may be determined as per the guidelines given in Chapter One. **It may be noted that the values of ‘e’ will be determined by joint consideration of both the segments for FSUs with h.g formation.** The enterprises will be selected circularly systematically with equal probability. The random start ‘R’ (to be taken from the table of random numbers) will lie between 1 and E (where ‘E’ is the number of enterprises in the frame and $E =$ the highest sampling serial number assigned to the tick-marks (√) of the frame) and ‘R’ will be taken independently for each of the 12 groups and in each case ‘I’ (i.e. the sampling interval) will be taken the integral part of (E/e) . The values of E , e , R , and I may be recorded in the column headings of cols.(17) to (28). The cases where requisite number of enterprises to be sampled is not there in the frame of some strata have been discussed regarding allotment of enterprises to various strata in Chapter One.

Block 6 : Particulars of sampling of households

2.6.0 General: This block is meant for recording the summary information relating to sampling of households of the selected FSU/segments.

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

2.6.2 Col. (4) : Second-stage stratum : Second stage stratum numbers ‘1’, ‘2’ & ‘all’ are already printed in this column against sch. 1.0 and sch. 10. Second stage stratum ‘all’ means that entry against this item in col.(9) will be the sum of entries made against the second stage stratum numbers ‘1’ & ‘2’. The entry in col. (9) for sch.1.0 against segment no. ‘all’ will be the sum of entries in col.(9) made against ‘all’ for sch.1.0 in

segments 1 & 2. Similarly, the entry in col. (9) for sch.10 against segment no. 'all' will be the sum of entries in col.(9) made against 'all' for sch.10 in segments 1 & 2.

2.6.3 Col. (5) : Number of households in the frame : The value of H1 and H2 as recorded in column headings of cols. (26) and (27) of block 4 are to be copied in col. (5) respectively against the second-stage strata 1 and 2 for the schedule 1.0. It may be noted that H_i ($i = 1,2$) will be same for both the schedules 1.0 and 10.

2.6.4 Col. (6) : Number of households selected for survey : The total number of households selected for sch.1.0/ sch.10 from second-stage stratum 1 and 2 will respectively be half the values of h1 and h2 as recorded in the headings of cols.(26) & (27).

2.6.5 Cols. (7) to (10) : Number of households surveyed and number of casualty households : These columns will be filled in after canvassing the detailed schedules in the selected households. Number of households with survey code 1 in block 1 of sch.1.0 and 10 will be recorded in col.(7) respectively against the relevant schedule types for the corresponding second-stage stratum 1/2. Similarly number of households with survey code 2 in block 1 of sch. 1.0 and 10 will be recorded in col.(8) respectively against the relevant schedule types for the corresponding second-stage stratum 1/2. The number of casualty households (i.e. selected households which could not be surveyed) will be recorded in col.(10) which may be derived as follows :

$$\text{col.}(10) = \text{col.}(6 - \text{col.}(9)), \quad \text{where } \text{col.}(9) = \text{col.}(7) + \text{col.}(8)$$

2.6.6 For the FSUs in visit 2, sch. 10.1 will be canvassed in the households surveyed during visit 1 also. However, sch.10 will be canvassed if the household if the household is being surveyed for the first time during visit 2 (e.g. a selected household found to be casualty in visit 1 but available in visit 2). The entries made during visit 1 against col. (5) of sch.1.0 (both segments 1 & 2) may be copied during visit 2 also. Entries in cols.(6) to (10) will be made only against sch.10 (the description 'sch.10' in visit 2 means sch.10 as well as sch.10.1) during visit 2. Entries in col.(6), sch.10 (during visit 2) will be the corresponding transfer entries made during visit 1. for sch.10/sch.10.1, the entries in cols.(7) to (10) may change because some of the households originally selected and surveyed in visit 1 may be substituted or casually in visit 2 and some of the casualty households in visit 1 may be surveyed in visit 2. Some of the households surveyed in visit 1 may not exit during visit2 and these may be treated as zero case but their status will remain unchanged with reference to visit 1 while making entries cols.(7) & (8) of block 6.

Block 6A : Particulars of sampling of additional households (for canvassing sch.10.1 in visit 2 only)

2.6A.0 This block is same as that of block 6 having the same column headings. This

block will record the summary particulars relating to the sampling of households from the frame of additional households listed in visit 2 in block 4A for those FSUs taken up for repeat survey in the next sub-round. This block is applicable only for sch.10. Number of households in the frame of segment 1 & 2 for sch.10 will be the values of H as recorded in column headings of col.(10), bl.4A of segments 1 & 2 respectively. It may be noted that the cell in col.(4) (i.e. the number of households in the frame, H) against sch.10/sch.10.1 has been shaded in the printed schedule but this cell should be treated as a valid cell for making the entry of H.

Block 7 : Particulars of sampling of non-agricultural enterprises

2.7.0 General: This block is meant for recording the summary information relating to sampling of non-agricultural enterprises of the selected village/segments. The cols.(3), (4), (9) & (10) of this block will be filled in from block 5. The other columns will be filled in by counting the filled-in schedules 2.0 by looking into the survey codes.

2.7.1 Cols.(3) & (9) : Number of non-agricultural enterprises in the frames of the groups classified by enterprise class x broad industry group : The entries in col.(3) (i.e. for enterprise class 1) by broad industry group codes 1 to 6 will be the values of E as recorded respectively in the column headings of cols.(17), (19), (21), (23), (25) & (27) of block 5. Similarly, the entries in col.(9) (i.e. for enterprise class 2) by broad industry group codes 1 to 6 will be the values of E as recorded respectively in the column headings of cols.(18), (20), (22), (24), (26) & (28) of block 5.

2.7.2 Cols. (4) & (10) : Number of non-agricultural enterprises selected for survey from the frames of the groups classified by enterprise class x broad industry group The entries in col.(4) (i.e. for enterprise class 1) by broad industry group codes 1 to 6 will be equal to the values of 'e' as recorded in column headings of the cols.(17), (19), (21), (23), (25) & (27) respectively of block 5. Similarly, the entries in col.(10) (i.e. for enterprise class 2) by broad industry group codes 1 to 6 will be equal to the values of 'e' as recorded in column headings of the cols.(17), (19), (21), (23), (25) & (27) respectively of block 5.

2.7.3 Cols. (5) to (8) and Cols. (11) to (14) : Number of non-agricultural enterprises surveyed and number of casualty enterprises : These columns will be filled in after canvassing the detailed schedules in the selected enterprises. Number of enterprises with survey code 1(i.e. originally selected & surveyed), enterprise class code 1, broad industry group code 1 and segment no. 1 in block 1 of sch.2.0 will be recorded in col.(5) against broad industry group code 1 and segment no. 1. Similarly, number of enterprises with survey code 1, enterprise class code 1, broad industry group code 2 and segment no. 1 in block 1 of sch.2.0 will be recorded in col.(5)

against broad industry group code 2 and segment no. 1. In this way, cols.(5) & (11) will be filled in by looking into survey code, enterprise class code, broad industry group code and segment no. in block 1 of sch.2.0 for the surveyed enterprises. Similarly number of enterprises with survey code 2(i.e. substituted enterprise surveyed) in block 1 of sch. 2.0 will be recorded in col.(6) & (12) as per the enterprise class code, broad industry group code and segment no. in block 1 of sch.2.0 for the surveyed enterprises. The number of casualty enterprises (i.e. selected enterprises which could not be surveyed) will be recorded in cols.(8) & (14) and may be derived as follows :

$$\text{col.(8)} = \text{col.(4)} - \text{col.(7)}, \quad \text{where } \text{col.(7)} = \text{col.(5)} + \text{col.(6)}$$

$$\text{and } \text{col.(14)} = \text{col.(10)} - \text{col.(13)}, \quad \text{where } \text{col.(13)} = \text{col.(11)} + \text{col.(12)}$$

Block 8 : Remarks by Investigator

2.8.0 The investigator may give his remarks here on any abnormal situation or entry in the schedule.

Block 9 : Comments by Supervisory Officer

2.9.0 The Assistant Superintendent, the Superintendent or any other officer who inspects the work relating to the schedule may give his comments here.

Block 10 : Particulars of field operations

2.10.0 The details of field operations will be recorded in this block. While recording the total time taken to canvass the sch. 0.1 (i.e. col.3, sl. 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, hamlet-group formation, listing of households, formation of second-stage strata, selection of households / non-agricultural enterprises and filling in all other blocks of this schedule may be recorded in hours in one place of decimal.

Chapter Three

Schedule 0.2 : List of Households and non-agricultural enterprises (Urban)

3.0.0 Introduction : Schedule 0.2 will be filled-in for the sample blocks of the urban sector. Formation of sub-blocks, selection of sub-blocks in the form of segments, listing of houses, households, non-agricultural enterprises, preparation of sampling frames of households by second - stage strata, preparation of sampling frames of eligible non-agricultural enterprises by broad industry groups x enterprise classes and selection of sample households / non-agricultural enterprises - all these tasks will be carried out in this schedule. **It may be said at the outset** that procedures to be followed in the case of schedule 0.2 are same as or very similar to those prescribed for schedule 0.1. Therefore, in this chapter, only those procedures which are specially meant for schedule 0.2 will be discussed in detail. Definition of the two terms, viz., 'household consumer expenditure' and 'household means of livelihood' are given below. All other terms have been defined either in Chapter One or Chapter Two.

3.0.1 Household consumer expenditure : This is the total expenditure of a household on domestic consumption only (concept similar to that followed in the usual consumer expenditure enquiry). This will not include any expenditure on enterprise account.

3.0.2 Household means of livelihood : The means of livelihood of a household will be determined on the basis of the total income of all the household members (excluding servants, paying guests etc.) derived from 'economic activities' during the 365 days preceding the date of survey. The household will be classified into one of the following classes on the basis of the source(s) of the household's income : (1) self-employed, (2) regular wage/salaried employment, (3) casual labour and (4) others. A household's means of livelihood class will be considered as that one which contributed the maximum amount of household's income from economic activities during the last 365 days. The m.l. class of households with no income from economic activities will be 'others'.

3.0.3 Structure of the schedule 0.2 : The schedule 0.2 consists of 13 blocks. Block 0 gives the descriptive identification along with codes of the sample block. The name and code for the items state/UT, district & town are to be recorded, whereas for the items ward, investigator unit & block number, the entries are to be made only with numbers. Block 1 is also for recording the identification particulars of the sample block

only in terms of codes along with some other particulars like approx. present population, approx. number of non-agricultural enterprises, total no. of sub-blocks formed, survey code and the reason for substitution. Block 2 will be used to draw the free hand sketch map of the sub-blocks formed in the large sample UFS block and to indicate the sub-blocks selected for survey in the map. This block is similar to block 2 of sch.0.1. Block 3 will be used to list the sub-blocks formed in the sample UFS block and to record the selection of sub-blocks in the form of segment numbers 1 & 2. Segment numbers 1 & 2 are same as defined in Chapter Two for rural sector. However, this block will be described in brief about the procedure of sub-block formation and selection of sub-blocks. Block 4 is the main block of the schedule which will be used for listing the households / non-agricultural enterprises and recording the selection of sample households. Block 5 will be used to prepare the sampling frames of eligible non-agricultural enterprises (i.e. those identified from block 4) by broad industry groups x enterprise classes and to record the selection of sample enterprises. **Block 4 is similar to block 4 of sch.0.1 except for the cols. (16) to (29).** These columns will only be described in detail. The other blocks namely blocks 5, 6, 6A, 7, 8, 9 & 10 are exactly same as the corresponding blocks of sch.0.1. Thus these blocks will not be discussed here. Block 4A is similar to block 4A of sch.0.1 except for col.(9) where MPCE (i.e. monthly per capita consumer expenditure) will be recorded in whole no. of rupees. This is exactly same as col.(18) of block 4, sch.0.2. But this column will be discussed while describing block 4 of sch.0.2 in the following paragraphs. Thus block 4A will also not be described here.

Block 1 : Identification of sample block

3.1.0 **Item 13: Frame code :** The fsu's in the urban sector are the Urban Frame Survey (UFS) blocks. The list of latest UFS blocks have been considered as sampling frame for selection of sample blocks in all cities and towns. The different types of frames used for selection of fsu's are indicated by 'frame code' in the sample list. Entry against item will be copied from the sample list. The investigator will identify the boundaries sample UFS block as per the map of the UFS block having the 'frame code' indicated in the sample list.

3.1.1 **Item 15 : Approx. present population :** The investigator will first ascertain the approximate present population of the entire sample UFS block taking into consideration of the normal growth of population along with any abnormal influx of population into or exodus of population from the sample block after the UFS block was updated/formed during the period as per the frame code used for sampling. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions. The starting point can be the UFS population as per the frame. In the case of large difference with the frame population, it may be asked whether there has been any abnormal influx into or exodus from the block after the last phase of updation as per the frame code used for sampling and if so what the approximate increase or decrease of

population due to such events is, whether any new settlements / multistoried building have come up in the block after that and if so what the approximate population of the same is ; and so on.

3.1.2 Item 16 : Approx. no. of non-agricultural enterprises : Approximate number of non-agricultural enterprises (OAEs, NDEs and DEs combined) in the whole sample block, as ascertained by local enquiry from knowledgeable persons , may be recorded here. For doing this, the pockets or areas of concentration of non-agricultural enterprises like bazaar areas, industrial centres etc. may be identified first.

3.1.3 Item 17 : Total number of sub-blocks formed : The total number of sub-blocks formed in the sample block will be the value of 'D' as recorded in **block 3, sch.0.2**. If the sample block does not require any sub-blocks formation, the entry against this item will be "01".

3.1.4 Procedure of formation of sub-blocks and identification of segments 1 & 2 in terms of the selected sub-blocks : Procedure of formation of sub-blocks is same as that for the formation of hamlet-groups in the case of large villages. There is nothing like natural hamlets in the large UFS blocks as 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) by equalising the population giving priority to geographical compactness within each sub-block as per the criterion specified in Chapter One. Sub-blocks will be numbered serially in col.(1) of block 3. Ascertain the approximate present population of the sub-blocks in terms percentage of the total population and record these in col.(2) of block 3. Sampling serial will be given as '0' in col.(3), bl. 3 for the sub-block(s.b) with maximum concentration of non-agricultural enterprises and the remaining sub-blocks will be given sampling serial numbers starting from 1. The s.b with sampling serial no. '0' in col.(3) will be selected with certainty and its segment no. will be given as '1' in col.(4). Two more s.b.s will be selected circular systematically with equal probability from the remaining (D-1) s.b.s and will be assigned segment number '2' in col.(4). For further details, reference may be made to chapter Two.

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

3.2.0 General: Listing of houses, households and non-agricultural enterprises are to be carried out in this block as in the rural sector. Besides this, some additional information like household size, means of livelihood, average household monthly consumer expenditure for each household and some enterprise particulars like description of activity, number of total and hired workers, ownership particulars, duration of operation etc will be collected for grouping the households into different second-stage strata and

enterprises into different broad industry groups by enterprise class before selection of sample households / enterprises for detailed enquiry.

3.2.1 Col. (16) : Means of livelihood (m.l.) code : The household's means of livelihood will be determined as per instructions given in chapter one and the appropriate code will be recorded in col.(16). The codes are :

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

3.2.2 Col. (17): Average household monthly consumer expenditure : The average monthly consumer expenditure of the household will be ascertained and recorded in rupees (whole number) in col.(17). It may be noted that this will be the average expenditure per month based on the preceding twelve months' expenditure and not simply the expenditure of the preceding month.

3.2.3 Col. (18) : Monthly per capita expenditure(MPCE) : The average household monthly consumer expenditure (col. 17) will be divided by household size (col.3) to get monthly per-capita-expenditure which will be recorded in rupees after rounding off to nearest integer in col.(18).

3.2.4 Treatment for locked households : For locked households, if information with respect to some or all of the columns (3), (16) & (17) cannot be obtained even from the neighbours, write "locked household" against the space in col.(8) and code '2' as m.l. code in col.(16). Treat such households as having MPCE between A & B for the purpose of giving sampling serial numbers.

3.2.5 Col. (19) : Sampling serial number for second-stage stratum 1 :

Case (i) : For FSU's belonging to towns with population less than 10 lakhs: Households with MPCE > Rs 1200 (i.e. entry in col. (18) > C1 (as referred to in the table for 'MPCE cut-off points') will be treated as 'affluent' households and they will constitute the second-stage stratum 1.

Case (ii) : For FSU's belonging to cities with population 10 lakhs or more : Households with MPCE > Rs 1500 (i.e. entry in col. (18) > C2 (as referred to in the table for 'MPCE cut-off points') will be treated as 'affluent' households and they will constitute the second-stage stratum 1.

Put a tick-mark (✓) in col. (19) against the households in the frame of second-stage stratum 1. A running serial number from 1, beginning with the first tick-mark, may be given to all the tick-marks in the column in the order as they appear. These numbers will be the sampling serial numbers for the second-stage stratum number 1. If there is no affluent household in the FSU, the second-stage stratum will be void and all the households of the FSU will be in second-stage stratum 2.

3.2.6 Cols. (20) to (27): Sampling serial number for second-stage stratum

2 :These columns will be used to prepare the frame for second-stage stratum number 2. Households which are not part of the frame of second-stage stratum 1 are only to be included in this frame. The households of the frame with m.l. code 1 in col. (16) will get tick-marks (✓) in one of the columns (20), (21) or (22) depending on whether its MPCE (col. 18) is less than A , A to B (both inclusive) or greater than B respectively. The values of A and B are given for each state/u.t. at the end of this chapter. The values of A and B have been determined at state/u.t. level such that the monthly per capita expenditure (MPCE) classes viz. below A, A to B & above B, will roughly include lowest 30 %, middle 60% and the top 10% of the population respectively. Similarly, the households of the frame with m.l. code 2 in col. (16) will get tick-marks (✓) in one of the columns (23), (24) or (25) depending on whether its MPCE (col. 18) is above B , A to B (both inclusive) or less than A respectively. The households of the frame with m.l. code 3 in col. (16) will get a tick-mark (✓) in col. (26). Lastly , the households with m.l. code 9 will be tick-marked in col. (27). The tick-marks from cols. (20) through (27) will be given a running serial number from 1 starting with the first tick-mark and ending with the last one in columns (20) to (27). It should be ensured that all the tick-marks in a particular column, spread over all the pages of block 4, have been exhausted for the purpose of giving serial numbers before proceeding to the first tick mark of the next column. All these serial numbers are the sampling serial numbers for the second-stage stratum 2.

3.2.7 Cols. (28) and (29) : Order of selection : Instructions for allocation of households among the second stage strata and their selection for sch.10 and sch.1.0 are exactly same as those for villages in the rural sector. Reference may also be made to Chapter One **for exceptional cases.**

3.3.0 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 village/block. 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 selection, whenever required. The subsequent random numbers may be used for selection of households from second-stage strata 1 & 2 and of non-agricultural enterprises from the 12 groups formed by broad industry groups x enterprise classes respectively in the order specified for segment 1 and the subsequent random numbers in the same order for segment 2.

3.4.0 Substitution of villages/blocks : If a sample village/block cannot be surveyed due to say, it being not identifiable or traceable, not accessible or for any other reason, it will be substituted. All such cases will be referred to :

The Deputy Director,
N.S.S.O., DPD Co-ordination,
164, Gopal Lal Tagore Road,
Calcutta - 700 035.

In case no village/block (originally selected / substituted) could be surveyed even with best effort (i.e. code 7 in item 18, block 1 of sch.0.1/ sch. 0.2), a blank sch.0.1 or 0.2, will be submitted with only blocks 0,1, 8, 9 and 10 of sch.0.1 / sch.0.2 filled-in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

3.4.1 If a sample village/block is found to be uninhabited at the time of survey or its population has been shifted elsewhere due to some natural calamity or it is a zero case, it will not be substituted. It will be treated as valid sample and blank schedule 0.1/0.2 with only blocks 0, 1, 8, 9 & 10 filled-in will be submitted in such cases. The word/words UNINHABITED or ZERO CASE, as appropriate, is/are to be written on the top of the front page of the schedule (for any one of the survey codes 2,3,5 and 6 in item 18 of block 1 of sch. 0.1/0.2). However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North-Eastern states where, for example, jhum cultivation is prevalent, whole village may shift from place to place. In such cases, the sample village will be surveyed in the place where it is currently located and not treated as a zero case even if found absent in its original location.

3.4.2 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 used for sample selection, 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 with town, the remaining part will be surveyed as per rural programme in this situation.

3.4.3 It is important to note that the schedule 0.1/0.2 will be submitted for every sample village / block irrespective of whether it is surveyed/substituted (including zero case) or a casualty. Schedule 0.1/0.2 is also to be submitted in respect of the FSUs surveyed in visit 2.

3.5.0 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.

3.5.1 Case (a) : Samples without hamlet-group/sub-block formation :

(I) If a FSU for which all the schedules are to be canvassed, is found repeated within the same sub-round, listing is to be done only once. The listing schedule will be copied with the identification particulars changed to those of the serial number against which it is found repeated (the items that may change are only these : serial number and sub-sample). The sample households / non-agricultural enterprises will be selected afresh. In case any household already selected is selected again, it is to be substituted. In case due to the new random start, the whole set of sample households is re-selected, another random start will be taken. If the required number of fresh households (viz. not selected in the first occasion) is not available in the frame as a result of which some (or all) households are re-selected in the second occasion, for such households, the entries in various blocks of the relevant schedules may be copied.

(II) If a FSU for which all the schedules are to be canvassed, is found repeated in different sub-rounds, listing is to be done afresh and selection of households/non-agricultural enterprises will be made as per the procedure followed for fresh FSU.

(II) If a FSU , for which only sch10.1/sch.10 is to be canvassed in the second occasion, is found repeated in the next sub-round, the sample households surveyed in visit 1 for sch.10 will remain the same in visit 2 for sch.10.1 The new households that have come up after visit 1 will be listed in visit 2. Sch.10 will be canvassed in the households selected from the frame of new households. No other schedules need be canvassed. However, if the same FSU repeats more than once in next sub-round with visit number '2' only as per sample list, sample households selected for sch.10 as per the listing schedule made in visit 1 for the particular FSU serial number should remain the same for sch.10.1 in visit 2. However, listing of new households will be done only once and the same will be used for all FSUs that are repeated. The households selected from the frame of new households for canvassing of sch.10 will be same for all the repeated FSUs.

3.5.2 Case (b) : Samples with hamlet-group/sub-block formation: If a FSU for which all the schedules are to be canvassed, is found repeated, the hamlet-groups/sub-blocks formed during the first occasion will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-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 will be followed. However, further clarification of particular cases may be sought from SDRD.

3.6.0 Substitution of sample households / non-agricultural enterprises :

If any sample household could not be surveyed due to some reason or other, it will be substituted by another suitable household. The household to be considered as substitute should also belong to the same second-stage stratum. The household with the next sampling serial number of the same column but not selected for either of the two schedule types will be the substitute for the originally selected household. The substitute for the last household (i.e. having highest serial number) of a column will be the first household (i.e. having lowest serial number) of the same column not selected for any schedule type. The same procedure may be followed for substitution of sample enterprise i.e. it should also belong to the same frame from which the original enterprise was selected. If there is no more enterprise available in the frame for substitution, it will be treated as casualty.

Table showing values of cut-off points (A & B) of monthly per capita expenditure (in Rs.) for Urban sector for different states

State / U.T.	A	B	State / U.T.	A	B
Andhra Pradesh	420	1209	Nagaland	681	1281
Ar. Pradesh	580	1436	Orissa	419	1202
Assam	493	1343	Punjab	575	1409
Bihar	378	1035	Rajasthan	466	1170
Goa	597	1431	Sikkim	615	1481
Gujarat	514	1220	Tamil Nadu	440	1273
Haryana	543	1372	Tripura	556	1362
Himachal Pr.	605	1846	U.P.	405	1133
J & K	612	1570	West Bengal	467	1429
Karnataka	434	1237	A & N Is	802	2458
Kerala	509	1392	Chandigarh	760	3518
M.P.	422	1126	Dadra & NH	451	1225
Maharashtra	509	1639	Daman & Diu	620	1194
Manipur	432	740	Delhi	674	2251
Meghalaya	627	1441	Lakshadweep	565	1419
Mizoram	733	1301	Pondicherry	462	1146

An example showing sampling of households for a Rural FSU

sch. 0.1

[4] list of households / non-agricultural enterprises and record of selection for households (segment 1)*												
household srl. no.	m.l. code	land possessed (0.00 ha)	sampling serial number for households								order of selection	
			second stage stratum (SSS)								SSS	
			1 (relat- ively afflu- ent hhs)	2 (i.e remaining households)								
				m.l. code							1	2
			9 : land possessed classes (0.00 ha)									
			1	2	< 0.40	0.40 - 1.00	1.00 - 2.00	2.00 - 4.00	>=4.00	H1= 3 h1= 4 R1= 2 I1= 1	H2= 22 h2= 20 R2= 5 I2= 1	
(2)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)	(26)	(27)
1	1	0.45	√ 1								3	
2	2	0.52			√ 7							3
3	1	4.5		√ 1								19
4	9	2.3							√ 15			11
5	9	1.6						√ 12				8
6	9	5.6	√ 2								1	
7	2	0.39			√ 8							4
8	1	0.73		√ 2								20
9	1	1.23		√ 3								
10	9	0.24				√ 10						6
11	9	1.32							√ 13			9
12	9	3.22							√ 16			12
13	9	1.58							√ 14			10
14	1	0.92		√ 4								
15	9	9.42	√ 3								2	
16	9	3.52							√ 17			13
17	1	0.15		√ 5								1
18	9	4.22								√ 20		16
19	1	2.3		√ 6								2
20	9	2.9							√ 18			14
21	2	0.37			√ 9							5
22	9	2.13							√ 19			15
23	9	5.24								√ 21		17
24	9	0.89					√ 11					7
25	9	4.25								√ 22		18

(In second stage stratum 1, sch.1.0 to hhs with OS 1,2 and sch.10 to OS 3,1; and in second stage stratum 2, sch.1.0 to hhs with OS 1,3,5,7,9,11,13,15,17 & 19 and sch.10 to OS 2,4,6,8,10,12,14,16,18 & 20)

Chapter Four

Schedule 1.0 : Household Consumer Expenditure

Introduction

4.0.1 The programme of quinquennial surveys on consumer expenditure and employment & unemployment, adopted by the National Sample Survey Organisation (NSSO) since 1972-73, provides a time series of household consumer expenditure data. Consumer expenditure surveys conducted in NSS rounds besides the 'quinquennial rounds' - starting from the 42nd round (July 1986-June 1987) - also provide data on the subject for the period intervening between successive quinquennial rounds using a much smaller sample.

- **Information on consumption of items of food, pan, tobacco & intoxicants for reference periods of 7 days and 30 days should be collected independently.**
- **Consumption expenditure on second-hand clothing should be reported against item 374.**
- **Wages paid in cash to domestic servant or cook who is a member of the household, will also be taken against item 480.**

4.0.2 The last quinquennial survey - the fifth - of the quinquennial series was held during the 50th round (July 1993-June 1994). The sixth will be conducted in the 55th round during July 1999 - June 2000.

4.0.3 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 production and consumption from kitchen garden, purchase of selected commodities through public distribution system (PDS), sufficiency of food, goods and services received as part of wages and salaries or perquisites and gifts given and gifts received by the household. No account will, however, be taken of any expenditure incurred towards the productive enterprises of the households.

4.0.4 The schedule canvassed in the earlier quinquennial survey has undergone some major modifications during the present survey. Some of them are:

- (i) some household characteristics have been dropped, e.g., use of hired labour, growing of cereals, possession of milch/draught animals etc.,
- (ii) information on goods and services received as part of wages and salaries or perquisites and gifts given and gifts received by the household will be collected for non-food items only,
- (iii) information on habit of tobacco consumption for the household members will not be collected,
- (iv) detailed list of items of consumption have been rationalised; some added and some others merged,
- (v) information on purchase and consumption out of home-grown stock will not be collected separately. Instead, source of consumption will be ascertained for items of food, pan, tobacco, intoxicants, fuel and light,

- (vi) information on expenditure incurred in 'cash & kind' only will be collected for items of miscellaneous goods and services,
- (vii) blocks on insurance, dwelling unit and ceremonies have been dropped,
- (viii) three blocks - one on kitchen garden, one on consumption of selected home-produced stock and the other on PDS - have been introduced.

4.0.5 In this round two reference periods will be used to collect data for consumption items of food, pan, tobacco and intoxicants. For rest of the items only one reference period will be adopted. Different reference periods to be used for different groups of consumption items are given below:

Item	Reference period to be used
food items, pan, tobacco and intoxicants	Both 'last 7 days' & 'last 30 days'
fuel and light, miscellaneous goods and services including non-institutional medical, rents and taxes	'last 30 days'
educational, medical (institutional), clothing, bedding, footwear and durable goods	'last 365 days'

This approach has been devised in view of the variation in the periodicity with which different items of consumption are purchased by individual households.

Details of Schedule

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 11: The identification particulars for items 3-11 will be copied from the corresponding items of block 1 of listing schedule 0.1/0.2. The particulars to be recorded in items 1 and 2 have already been printed in the schedule.

4.1.2 Item 12: hh visit number (1 / 2): For all sample households, '1' has to be recorded against this item.

4.1.3 Item 13: segment (1 / 2): This item has to be filled in terms of code. The term 'segment' has been explained in Chapter 1. There are two segments – segment 1 and segment 2. For segment 1 code '1' is to be entered and for segment 2 code '2'.

4.1.4 Item 14: second stage stratum: The second stage stratum to which the sample household belongs, will be copied from columns (18) to (25) of block 4 of schedule 0.1 for rural sample

and columns (19) to (27) of block 4 for urban sample of schedule 0.2 against item 14 of this block. It has been indicated in the heading of the corresponding column of schedule 0.1/0.2.

4.1.5 Item 15: sample household number: The sample household number (i.e., order of selection) of the selected household is to be copied from the appropriate column of the listing block 4 of schedule 0.1 or 0.2 against this item.

4.1.6 Item 16: srl. no. of informant (as in col. 1, block 4): The srl. no. (as in col. 1 of block 4) of the person from whom the bulk of the information is collected will be entered here.

The codes are:

head of the household 1
other member of the household.....2

Here, 'head of the household' refers to the household member who plays major role in decision-making.

4.1.7 Item 17: 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 capable1 busy 3
co-operative but not capable2 reluctant 4
others..... 9

4.1.8 Item 18: 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, 15 and 16 will be filled in and on the top of the front page of the schedule the word 'CASUALTY' will be written and underlined.

4.1.9 Item 19: 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 19 in terms of the specified codes. The codes are:

informant busy1
members away from home2
informant non-cooperative3
others9

This item is applicable only if the entry against item 18 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.

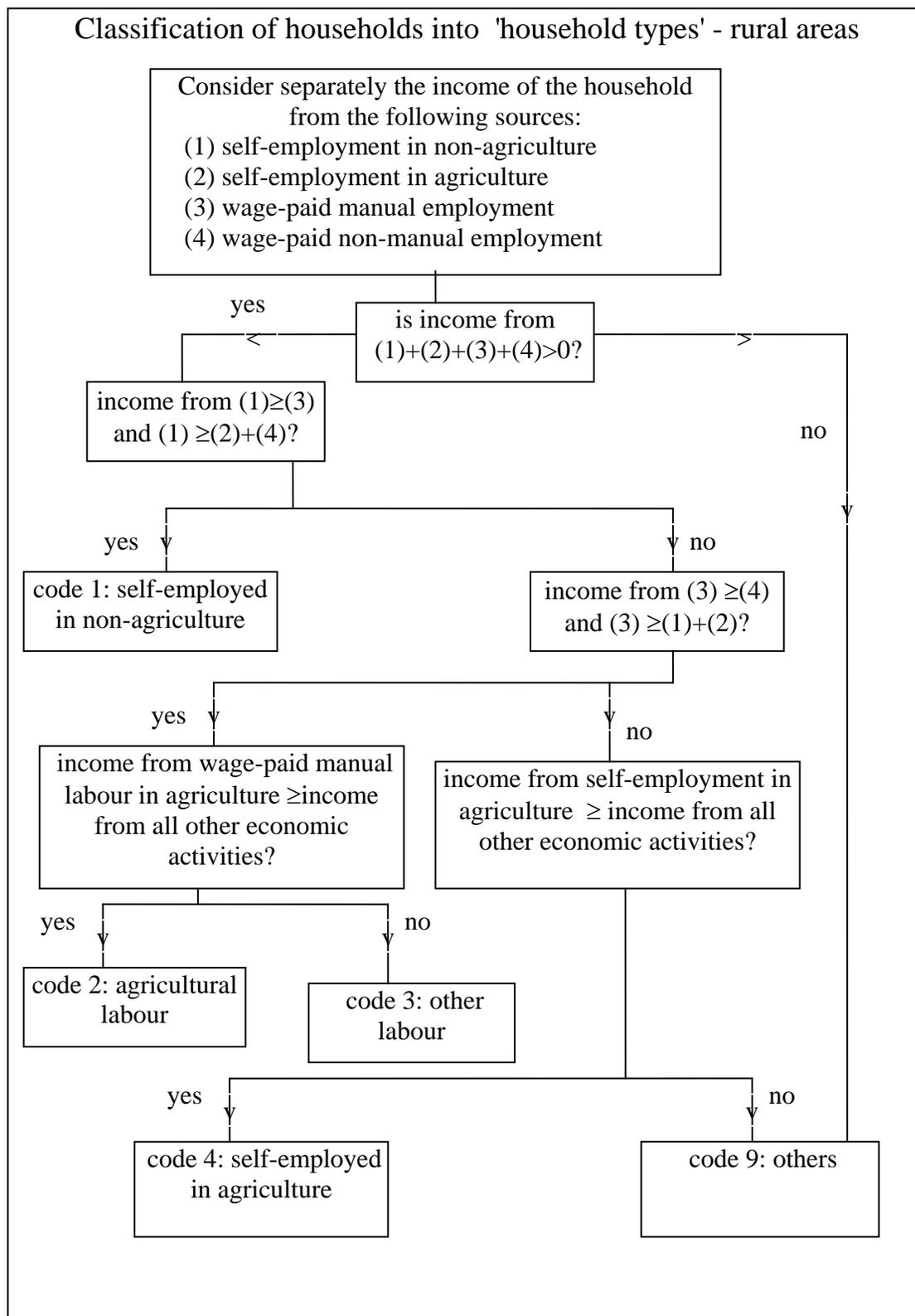
4.3.1 Item 1: household size: The size of the sample household i.e., the total number of persons normally residing together (i.e., under the same roof) and taking food from the same kitchen (including temporary stayaways and excluding temporary visitors) will be recorded against this item. This number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

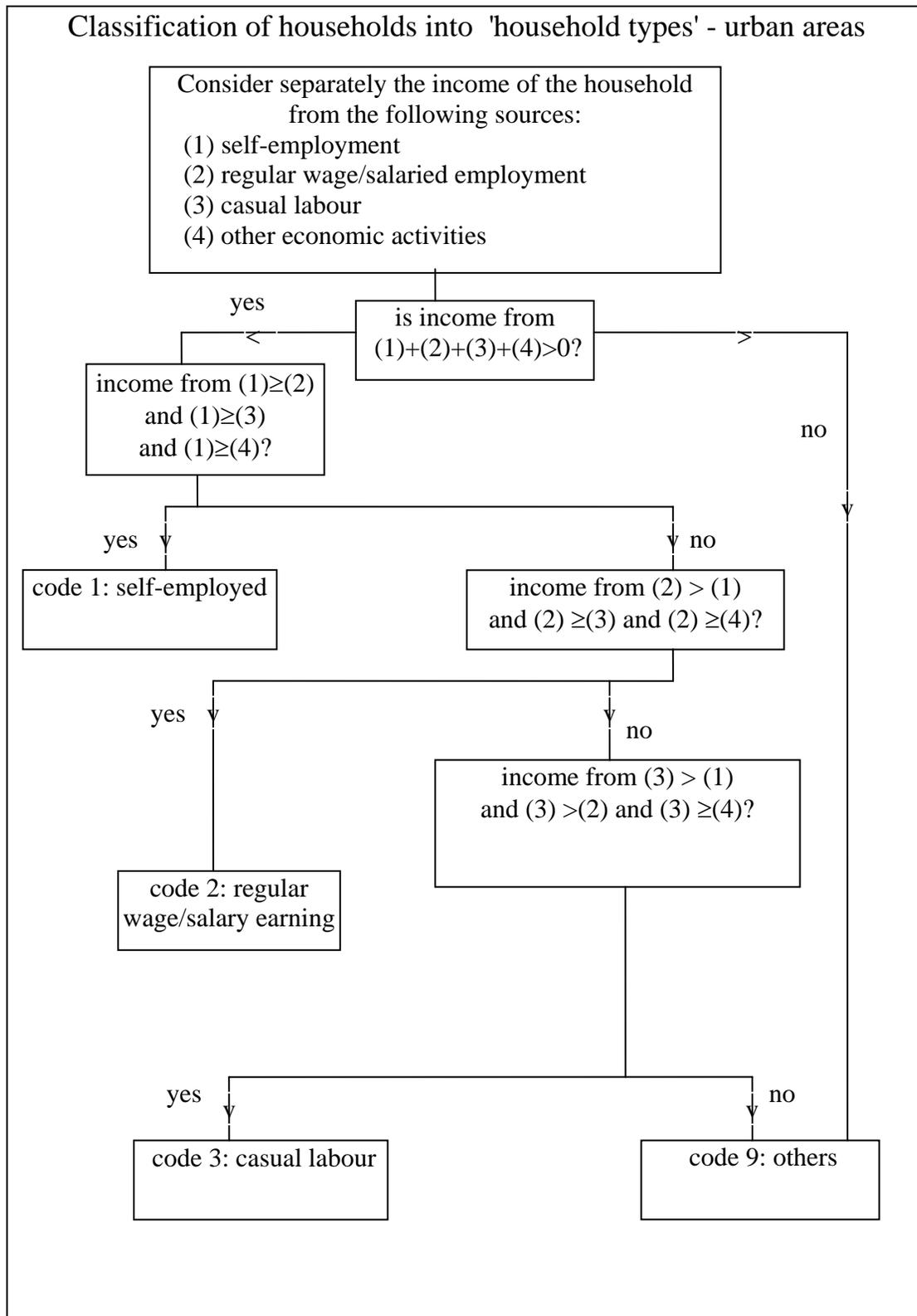
4.3.6 Rural labour: This is defined as manual labour (by a person living in rural area) in agricultural and/or non-agricultural occupations in return for wages/salary either in cash or kind (excluding exchange labour). A person who is self-employed in manual work will not be treated as a wage-paid manual 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 the rural sector, the single 'major source of income' criterion is modified slightly as follows. 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.

4.3.9 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. 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 household type codes are as follows:

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

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: whether owns any land (yes-1, no-2): Code 1 or 2 will be recorded against this item depending on whether the household owns any land or not as on the date of survey.

4.3.16 A piece of land is considered 'owned by the household' if permanent heritable possession with or without the right to transfer the title is vested in a member or members of the household. Land held in owner-like possession under long-term lease or assignment is also considered as land owned. Thus, in determining the ownership of a plot of land, two basic concepts are involved, namely,

(a) Land owned by the household i.e., land on which the household has the right of permanent heritable possession with or without the right to transfer the title e.g., Pattadars, Bhumidars, Jenmons, Bhumiswamis, Rayat, Sithibans etc. A plot of land may be leased out to others by the owner without losing the right of permanent heritable possession.

(b) Land held under special conditions such as the holder does not possess the title of ownership but the right for long-term possession of the land (for example, land possessed under perpetual lease, hereditary tenure and long-term lease for 30 years or more) will be considered as being held under owner-like possession. In the states where land reform legislation has provided for full proprietorship to erstwhile tenants, they are to be considered as having owner-like possession, even if they have not paid the full compensation.

4.3.17 Sometimes a plot may be possessed by a tribal in accordance with traditional tribal rights from local chieftains or village/district council. Again a plot may be occupied by a tenant for which the right of ownership vests in the community. In both the cases the tribal or other individual (tenant) will be taken as owner; for in all such cases, the holder has owner-like possession of the land in question.

4.3.18 Item 8: if yes in item 7, type of land owned (homestead only-1, homestead and other land - 2, other land only - 3): Homestead of household is defined as the dwelling house of the household together with any courtyard, compound, garden, out-house, place of working, family courtyard, guest-house, shop, workshop/offices for running household enterprises, tanks, wells, latrine, drains and boundary walls which are **annexed to the dwelling house**. All land coming under homestead is defined as homestead land.

4.3.19 Codes will be recorded against the item depending on the type of land owned. If the household owns only homestead and no other land, the appropriate code will be 1. But, if the household owns some other piece of land along with homestead land, code 2 will be entered against this item. Code 3 will be applicable when a household owns a piece of land but not the homestead land.

Note: Gardens, orchards or plantation annexed to the dwelling house should also be covered under homestead land. (This is a deviation from the 50th round.)

4.3.20 Items 9-13: land possessed (in 0.00 hectares): The area of land (in 0.00 hectares) 'owned', 'leased-in', 'neither owned nor leased-in' and 'leased-out' by the household as on the date of survey will be ascertained and recorded against items 9, 10, 11 and 12 respectively. The total area of land possessed by the household will be worked out as item 9 + item 10 + item 11 - item 12 and recorded against item 13 in 2 places of decimals. The entry cells have been bifurcated in two parts - one integral part and the other fractional i.e., decimal part. The definition of land owned is as given for item 7. As regards lease, land given to others on rent or free by owner of the land without surrendering the right of permanent heritable title is defined as land leased-out. Land leased-in is defined as land taken by a household on rent or free without any right of permanent or heritable possession. The lease contract may be written or oral. If the household has possession of land for which it lacks title of ownership and also does not have any lease agreement for the use of the land transacted either verbally or in writing, such land will be considered as 'neither owned nor leased-in'. It may be noted that entries to be recorded against these items 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. For 'nil' entry, a dash (-) may be recorded against the concerned item.

Note: If land is owned/cultivated jointly by two or more households, then land may be apportioned in consultation with the informant.

4.3.21 Items 14 & 15 : Land cultivated and irrigated (in 0.00 hectares): Land cultivated is defined as the **net sown area** during the agricultural year 1998-99 i.e., July 1998 to June 1999. Land cultivated may be from the land 'owned', 'land leased-in' or from 'land neither owned nor leased-in'. It will be recorded against item 14 in hectares in two places of decimal. Against item 15, the net area irrigated out of the land cultivated during the agricultural year 1998-99 will be recorded in hectares in two places of decimal. As in items 9-13 separate provision has been kept for recording integral and decimal parts.

Note: Net sown area: This consists of area sown with field crops and area under orchards and plantations counting only once in the same year/season.

4.3.22 Item 16: does the household possess a kitchen garden (yes-1, no-2): If the sample household *possessed* any homestead land and also grew any vegetable, crop, fruit etc. in that land during the agriculture year 1998-99, then the household will be considered to possess a kitchen garden. The entry will be recorded in codes - for affirmative answer code 1 and for negative answer code 2 will be recorded.

4.3.23 Items 17 & 18: 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

4.3.24 Item 19: Did the household receive any assistance during the last 5 years from IRDP (code): Integrated Rural Development Programme (IRDP) is one of the Indian Government's main poverty alleviation programmes in the field of rural development. Its object is the uplift of rural families identified as poor. The objective is sought to be achieved by providing productive assets and inputs to target groups. The assets are provided through financial assistance in the form of subsidy from the Government and term credit advance by financial institutions. The programme is implemented in all the community development blocks in the country.

4.3.25 The answer to this question will be recorded in code. If the household has not received any assistance from IRDP during **the last 5 years**, code 1 will be recorded. For **yes**, the codes are: milch animal - 2, draught animal - 3, sheep/goat - 4, pumpset - 5, for fish-pond - 6, sewing machine - 7, others: agricultural tools & equipment -8, others - 9.

Note 1: If household 'A' received IRDP assistance but household 'B' has utilized it then household 'A' will be treated as having received the assistance.

2: If a household gets IRDP assistance for more than once during the reference period, the code for which received last will be given.

4.3.26 Item 20: Did any member of the household work for at least 60 days on public works during the last 365 days (yes-1, no-2): The entry will be made against this item in terms of code, '1' for 'yes' and '2' for 'no'. Public works cover construction of roads, dams, bunds, digging of ponds etc. as test relief measures, national wage-employment schemes such as National Rural Employment Programme (NREP), Rural Landless Employment Guarantee Programme (RLEGP), Jawahar Rozgar Yojana (JRY), Minimum Needs Programme (MNP) etc.

4.3.27 Items 21-29: During the last 365 days, did the household receive any income (yes-1, no-2): The various sources from which the household received any income during the last 365 days prior to the date of survey will be recorded in items 21 to 29. The sources are (i) cultivation, (ii) fishing or other agricultural enterprise, (iii) wage or salaried employment, (iv) non-agricultural enterprise (v) pension, (vi) rent, (vii) remittances, (viii) interest and dividends and (ix) others. The entry will be '1' for 'yes' and '2' for 'no'. It may be noted that income received from begging, prostitution etc. will not be included against any of this items. Rent will include rent received from leased-out land, house, garage etc.

4.3.28 Here cultivation means activities relating to production of crops by tillage and all related ancillary activities. However, growing of tree/plants/crops (such as rubber, cashew, coconut, pepper, coffee, tea, etc.) as plantation or orchards will not be considered under 'cultivation'. It will be considered under 'fishing/other agricultural enterprise'

4.3.29 Item 30: per capita expenditure last month (Rs): This item will be filled in only after completing blocks 5 to 9 and 14. It will be copied from column 7 of item srl. no. 37 of block 14

and entered in whole number of rupees. (The sum total of the relevant sub-total items (as indicated in block 14) 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.

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 level (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 09).

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 08). The relevant codes to be used for recording entries in column (7) are:

not	01	secondary	08
literate.....		
literate through attending:		higher	secondary 09
		
NFEC/AEC	02	graduate and above:	
TLC	03	agriculture	10
others	04	engineering/technology..	11
literate but below primary	05	medicine	12
primary	06	other subjects	13
middle	07		

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 achieve literacy through attending Non-Formal Education Course (NFEC) or Adult Education Centres (AEC) will be assigned code 02. Total Literacy Campaign (TLC) was being organised in many parts of the country under the National Literacy Mission. Those who become literate through TLC will get code 03. Those who are literate through means other than formal schooling or the two just mentioned ways will be given code 04. Those who are by definition literate but are yet to pass a primary standard but have attended or are attending formal school classes will be assigned code 05. Codes 06, 07, 08 and 09 will be assigned to those who have passed the appropriate levels. Criteria for deciding primary, middle, secondary etc. will depend on the recognition of concerned state or union territory. A person with graduate degree or above will get one of the codes 10 to 13 depending on the subject studied. For code 12, medical graduates belonging to systems of medicine other than allopathic, e.g., homeopathic, ayurvedic, etc. are also to be taken into consideration. Code 10 will also include graduates in 'forestry', 'fishery science', etc. If more than one of the codes 10 to 13 are relevant for a person, the following procedure will be adopted:

(i) when code 13 as well as one of the codes 10 to 12 are relevant code 13 will not be considered.

(ii) when more than one of the codes 10 to 12 are relevant, the code indicating the degree last obtained will be considered.

(iii) no distinction need be made between graduate and post graduate.

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 **Column (8): whether a worker (yes-1, no-2):** Here, a person will be classified as a worker on the basis of usual activity status approach taking into consideration both the principal and subsidiary statuses. If a member is classified as a worker then code 1 will be assigned, otherwise code 2. [For definition of worker please see Chapter Five.]

4.4.11 **Column (9): type of income received:** Source of income of each of the household members will be ascertained and recorded in codes. The codes are:

income from: economic activity-1, other sources -2; no income -3

[For definition of 'economic activity' please see Chapter Five.]

Note: Income received from begging, prostitution, smuggling will be considered under code 2.

4.4.12 **Column (10): 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**. For members who did not stay away for at least 1 day during the last 30 days, zero (0) will be recorded.

4.4.13 **Column (11): 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.

4.4.14 **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'.

4.4.15 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 'meals taken away from home'.

4.4.16 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.

4.4.17 **Columns (12)-(16): 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.

Note: 1. If food is prepared by a household member, while staying away from home, meals taken will be away from home on payment i.e., entry will be made in column (15).

2. A household running a mess takes food regularly from the mess. Number of such meals taken will be recorded in column (16) i.e. meals taken at home.

4.4.18 Columns (12), (13) & (14) 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 (15) & (16). 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 (12). Meals received at subsidised rate will be recorded in column (15). 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 (15).

4.4.19 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 (13), 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 (14). For the purpose of making entry in column (15), '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 (15). 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 (12) to (14) or (15).

4.4.20 In column (16), 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 (which is to be accounted in block 5 of the schedule) should be considered either as 'meals taken away from home on payment' or as 'meals taken at home'.

4.5.0 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.

4.5.1 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 two reference periods will be collected separately. As usual information on consumption will be collected for a reference period of 30 days preceding the date of survey. In addition, information has to be collected for another reference period of 7 days preceding the date of survey. **The two sets of data for two different reference periods should be collected independently.**

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 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) to (6): quantity and value:** These columns relate to the consumption of the household during the reference periods of last 7 days and last 30 days. Consumption for last 7 days will be recorded against columns (3) and (4) while that of 30 days will be against columns (5) and (6). Columns (3) and (5) relate to the quantity of consumption and columns (4) and (6) 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 (7): source:** 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) has already been printed in column (7).
 2. For PDS items (101, 107, 260, 344) '1' has already been printed in column (7).
 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 value of commodities which are consumed but not purchased will be imputed in the following manner:

(a) 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 period of reference. However, the judgement of the respondent about the price of the goods purchased in exchange is to be taken into account;

(b) 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 (all such expenditure should, however, be included in appropriate places of block 8.2);

(c) the value of consumption out of gifts, loans, free collection, etc., will be imputed at the average local retail prices prevailing during the period of reference;

(d) the value of consumption out of purchase will be the value at which the purchase was made.

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 122: 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, say, 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 (6) 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 ice purchased for household consumption but excludes ice 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, chocolate etc.):** Mineral water 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 (13) 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 (13) & (14) respectively of block 4 of the schedule (see paras 4.4.14 to 4.4.20). 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: Egg-noodles 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. Columns (3) & (4) correspond to columns (5) & (6) of block 5 and column (5) to column (7).

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.) as per the usual NSS concepts followed so far for these items. However, in case of **second-hand purchase, total value of clothing purchased second-hand will be recorded against item 374: clothing (second-hand)**. This is an important departure from the earlier NSS concept. Since the item '374: clothing (second-hand)' has not been printed in the schedule, this item (item 374) along with the description as given above has to be added at the end of block 6 after item '389' in the schedule. It may be noted while arriving at item 379 (clothing: s.t.) item 374 should be included besides items 360 to 373.

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. This item has not been printed in the schedule. Therefore, field-staff has to add this item at the end of block 6 after item 389 as mentioned earlier.

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 quantities to be recorded are to be entered in whole number (of pairs) 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.

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. Hire charges for ambulance may likewise be recorded against item 414 or 424.

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 Credit purchase: In case of credit purchase of any item of the block, 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.

4.8.2.2 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).

4.8.2.3 If a household member receives any item of this block 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.

4.8.2.4 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.

4.8.2.5 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).

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

4.8.2.7 **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. Expenses incurred on subscription to dish antenna, cable TV facilities etc. may be included in item 437: other entertainment.

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

4.8.2.9 **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.

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

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

4.8.2.12 **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**. This is an important departure from the earlier rounds of NSS. 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.

4.8.2.13 **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.

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

4.8.2.15 **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.

4.8.2.16 **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.

4.8.2.17 **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.

4.8.2.18 **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.

4.8.2.19 **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.

4.8.2.20 **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.

4.8.2.21 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).

4.8.2.22 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.

4.8.2.23 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.

4.8.2.24 Item 522: consumer rent (other goods): 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.

4.8.2.25 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.

4.8.2.26 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.

4.8.2.27 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 4.8.2.2). 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 4.8.2.1]

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 filed 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 Columns (8): total expenditure: It is the sum of purchase value of first-hand purchase and cost of raw materials and services for construction and repair. In other words, it means $\text{Column (8) = column (6) + column (7)}$.

4.9.8 Column (9): 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.

4.9.9 Column (10): value (second-hand purchase): Value of second hand purchase during the reference period will be entered in this column.

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 matting:** This will include carpet, daree and other floor matting 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:** Geyser 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), (8), 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), (8), and (10) will be derived by adding the entries in the column against the corresponding constituent items.

4.10.1.0 **Block 10.1: Particulars of production and consumption from kitchen garden, backyard etc.:** This block is intended to collect information on quantity and value of each item produced in the kitchen garden during the agriculture year July 1998 - June 1999. This apart, information on itemwise consumption made out of the produce from kitchen garden during last 30 days preceding the date of survey will be collected irrespective of whether the item has been produced during the agriculture year July 1998 - June 1999. Provision has been made for recording quantity figures in two places of decimal. Value figures may be recorded in rupees whole number against production (column 5) and in rupees in two places of decimal against consumption (column 7). (See para 4.3.19 for definition of kitchen garden.)

4.10.1.1 **Columns (1) & (2): item code & description:** Code and description of the items produced in the kitchen garden during the agriculture year 1998-99 will be recorded in these columns. They should exactly match with the corresponding items of detailed block 5 or 6. However, if the list of items of blocks 5 and 6 does not contain the produce then the same may be recorded against the printed item code 998 (others). A crop may have several by-products. The principal crop as well as all its by-products are to be taken into account. For example, if

mustard plant is grown then mustard seeds will be reported against item 287 (oilseeds), mustard oil against item 171 (mustard oil), mustard leaves consumed as leafy vegetables against item 212 (palak/other leafy vegetables). For production columns (i.e., columns 4 & 5) mustard seeds will only be reported, not mustard oil. Similarly, if paddy is grown then '102' and 'rice - other sources' will be recorded as code and description in these columns. Straw of the paddy plants, being by-product and not listed in block 5, will be recorded against item 998 (printed in the schedule).

4.10.1.2 Column (3): unit: The units of quantity in column (3) of this block are the same units as prescribed in the detailed blocks 5 and 6.

4.10.1.3 Columns (4) & (5): production during agricultural year 1998-99: For each item listed in column (2), the quantity produced in kitchen garden during agriculture year 1998-99 and its value evaluated at the ex farm prices will be recorded in columns (4) and (5) respectively. Quantity will be recorded in two places of decimal but value in whole rupees. Accordingly, '00' has been printed in the decimal part of column (5).

4.10.1.4 Columns (6) & (7): consumption during last 30 days: Quantity and value of consumption during last 30 days preceding the date of survey by the household from the produce grown in the kitchen garden will be recorded in columns (6) & (7) respectively. It is not necessary that an item consumed during last 30 days is either grown during 1998-99 or during last 30 days preceding the date of survey. That is, the item consumed during last 30 days may be grown at any time in the past but in the kitchen garden. A dash (-) may be put against an item in column which is not applicable, e.g., if brinjal is not produced during 1998-99 but consumed during last 30 days, then a dash (-) may be recorded against brinjal in each of columns (4) & (5).

4.10.2.0 Block 10.2: Consumption of selected non-food items from home-produced stock: This block has been designed to collect information on consumption of some selected non-food items out of home-produced stock during last 30 days preceding the date of survey.

4.10.2.1 Columns (1) to (3): The serial number, item description and unit of the items for which information is required, are printed in the schedule.

4.10.2.2 Columns (4) & (5): quantity and value: If an item among the list of specified items is consumed out of home-produced stock during last 30 days preceding the date of survey then the quantity and value of consumption out of home-produced stock will be recorded in columns 4 and 5 respectively.

4.11.0 Block 11: Purchase of selected commodities supplied through public distribution system: This block is designed to collect information on purchase of four commodities, namely, rice, wheat, sugar and kerosene through public distribution system and from other sources. For details on PDS, para 4.5.2 may be seen. Both quantity and value will be filled in up to two places of decimal in this block. Provision has been kept for recording integer part and decimal part separately.

4.11.1 Column (1): item description: It is printed in the schedule.

4.11.2 **Column (2): purchase type (code):** The source from which the household purchased a specified item during last 30 days preceding the date of survey will be recorded in codes. The purchase type codes are: *only from PDS -1, only from other sources -2, from both sources -3, not purchased -4*

4.11.3 **Column (3): unit:** It is printed in the schedule.

4.11.4 **Columns (4) & (5): Purchase from PDS :** Quantity of the specified item purchased from PDS during last 30 days preceding the date of enquiry will be recorded in column (4) and the corresponding value in column (5). Note that purchases made from PDS by the household even for sale will be accounted for in this block.

4.11.5 **Columns (6) & (7): Purchase from other sources:** Quantity of the specified item purchased from sources other than PDS during last 30 days preceding the date of enquiry will be recorded in column (6) and the corresponding value in column (7).

4.11.6 **Column (8): reason for no purchase from PDS:** This column is to be filled in only if the sample household did not purchase the specified item during the reference period, that is, if entry in column (2) is either 2 or 4. Reason code for not purchasing from PDS are:

not entitled.....	1	quality not satisfactory.....	5
not having ration card.....	2	not available in sufficient	
item not required.....	3	quantity.....	6
item not available in the		others.....	9
ration shop.....	4		

'Not entitled' means the household is not entitled to purchase the concerned item from PDS because the household belongs to a high income group, household is a producer of the commodity or the shop is meant for a particular category of people like railway employee household. Other codes are self-explanatory. In case more than one codes are applicable, the lowest code among them will be assigned in this column.

4.12.0 **Block 12: 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.

4.12.1 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.

4.12.2 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.

4.12.3 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.

4.13.0 Block 13 : Particulars of goods and services received as part of wages and salaries or perquisites and gifts given and gifts received by the household (only for non-food items):

This block is restricted to non-food items only, that is, items 310 to 643 of detailed blocks. It has been designed to record the particulars of goods and services received as part of wages and salaries or perquisites and gifts given and gifts received by the household during the last 30 days prior to the date of survey. At the bottom a line has been provided for all non-food items with code 999 for entering total values of goods & services received, gifts given and gifts received. Cash gift will be excluded. Free services provided by friends or relatives will not be taken into account in this block. It may be noted that charity is not treated as gift. Further, goods and services received at subsidised rate will not be considered as gift.

Note: A sample household received a gift during the reference period and gave the same gift to some other household during the reference period. Such gifts will be shown against both gifts given and gifts received.

4.13.1 **Columns (1) & (2): block & item code:** The block reference and item code in columns (1) & (2) for applicable items may be copied from the detailed blocks 5 to 9.

4.13.2 **Column (3):item description:** It should exactly tally with that provided in the detailed block.

4.13.3 **Column (4): unit:** The units of quantity in column (4) of this block are the same standard units as prescribed in the detailed blocks 5 to 9. The quantity figures of column (5), (7) & (9) are to be collected only for those items for which there is provision to collect the same in the detailed blocks. It may be noted that only the detailed items of non-food are to be recorded and not the group sub-totals. Any gift received or given by the sample household during the reference period of 30 days will be recorded in this block irrespective of the date of purchase of such gifts. In this block, values are to be recorded in whole rupees. In case quantity is not applicable (e.g. items of blocks 8.1 & 8.2), a cross mark (X) may be recorded.

4.13.4 Columns (5) & (6): goods and services received: Consumption made out of goods and services received as part of wages and salaries or perquisites will be part of the total consumption of the household and should be recorded at the appropriate place provided in the detailed blocks. However, all such receipts will be reported in this block under columns (5) & (6) irrespective of the amount consumed. It may be noted that gifts given to domestic servant will not be taken into account if he/she is a member of the sample household.

Note: 1. Expenditure incurred (reimbursable part) under LTC, medical expenses, uniform supplied etc. will be accounted in columns (5) & (6).

2. If a government hospital employee enjoys free electricity and water, the cost of electricity and water will be treated as perquisites.

3. Free accommodation/transport facility received as perquisites will be taken into account and imputed value of such facility will be recorded in columns (5) & (6). Government quarters for which license fee is deducted from salary will be excluded.

4. Items received as service charges from the employer and given to some one as gift will be considered for columns (5) & (6) as well as in columns (7) & (8).

4.13.5 Columns (7) & (8): gifts given: Any gift given by the household during last 30 days prior to the date of survey will be entered in this block against columns (7) & (8). Quantity of gift given will be entered in column (7) and value in column (8).

Note: 1. An umbrella has been purchased on credit basis and no payment is made during the reference period. It is given to some one as a gift. This will be treated as gift given for columns (7) & (8).

2. Sample household offered clothing and other items to beggars/priest/sannyasis as charity. Such expenses will not be considered as gift.

4.13.6 Columns (9) & (10): gifts received: Any gift received by the household during the last 30 days prior to the date of survey should be entered in this block against columns (9) & (10). Quantity of gift received will be entered in column (9) and value in column (10). It may be noted that if any item listed in blocks 5 to 7 is received as gift, then the consumption out of such gift received has to be included under total consumption against an appropriate item of the blocks 5, 6 or 7.

Note: 1. Students received text books free of cost from school/Government will not be treated as gift received. This will be considered as 'charity' for the purpose of this block.

2. Gift received will exclude clothing, etc. supplied by Government free of cost during festival time.

3. Livestock/building received as gift is outside the purview of this block.

4. For purchasing certain items sometimes some gifts are given to customers to promote sale. Such gifts received will not be considered as gift for this block.

4.14.0 Block 14: 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 (8). These figures will be added and entered in column (8) 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 (7) against item srl. no. 34. For other items having reference period of 30 days information will be recorded in column (7). In addition, summary of information for items of food, pan, tobacco & intoxicants for reference period of 7 days will also be recorded in column (6) of this block but per capita expenditure based on them will not be calculated in this block.

4.14.1 Serial number 35 : total monthly expenditure : It is the sum of the entries made against serial numbers 1 to 34, column(7) of this block.

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

4.14.3 Serial number 37 : per capita expenditure last month (Rs 0.00) : It is to be obtained by dividing the entry made against serial number 35, column(7) (total monthly expenditure) by that against serial number 36, column(7) (household size) of this block. The quotient of the division will be recorded in rupees with two places of decimal. This quotient rounded to whole number will be entered against item 30 of block 3.

15.0 Block 15: 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. For example, if a sample household performed a ceremony during the reference period of 7 days or 30 days or 365 days then the same should be recorded in this block.

16.0 Block 16: Remarks by supervisory officer: 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.



Chapter Five

Schedule 10: Employment and Unemployment

INTRODUCTION

5.0.0 The sixth quinquennial survey on employment-unemployment is to be carried out along with the surveys on household consumer expenditure and informal non-agricultural enterprises during the 55th round survey operations (July 1999 - June 2000) of the NSSO. The NSSO carried out the first quinquennial survey on employment - unemployment in the 27th round (September 1972 - October 1973). This first quinquennial survey made a marked departure from the earlier employment surveys of NSSO in procedure and content. The concepts and procedures followed in this survey were primarily based on the recommendations of the 'Expert Committee on Unemployment Estimates' (1970). Since then, the four successive quinquennial surveys conducted in 32nd, 38th, 43rd and 50th rounds have, more or less, followed an identical approach in the measurement of employment and unemployment. The basic approach in all these four quinquennial surveys have been the collection of data to generate the estimates of employment and unemployment according to the 'usual status' based on a reference period of one year, the 'current weekly status' based on a reference period of one week, and the 'current daily status' based on each day of the previous week. In order to reveal the multi-dimensional aspects of the employment-unemployment situation in India, information on several correlates were also gathered in these surveys. Sets of probing questions on some of these aspects have also been one of the basic features of these surveys. The changes and improvements in the concepts and contents that are made in the successive quinquennial surveys, are given in the Appendix A to this chapter (see pages 63 & 64).

5.0.1 A Working Group was set up for the purpose of finalising the survey methodology and schedules of enquiry of the 55th round. Considering all the aspects of current data demand and usefulness of the survey results, the Group has suggested a few improvisations, additions and deletions in the content of the schedule of enquiry for the present survey. The major changes made in the schedule for employment and unemployment survey vis-à-vis the previous quinquennial survey are given below:

- a) Instead of recording the details for one subsidiary usual economic activity of all the members of the household, the details of two subsidiary usual economic activities pursued for relatively more time will be recorded.
- b) Certain probing questions to identify the employment in the unincorporated enterprises (i.e., the proprietary and partnership enterprises other than those covered under Annual Survey of Industries (ASI)) will be asked to the workers according to usual principal as well as subsidiary statuses. This apart, information to identify 'homeworkers' will be collected in this round.
- c) In addition to the information on the changes undergone in industry and/or occupation of the usually employed persons during last 2 years, provisions have been made to record changes in the status of work as well as the establishment of work during the same reference

period. In all such cases where changes in any of these would be reported, the previous position obtaining for the person in that regard will also be ascertained.

d) Migration particulars of each of the members of the sample household would be collected, as was done in the fourth quinquennial survey (NSS 43rd round).

e) Probing questions, framed to get data on participation of persons in specified household chores, will be put only to females instead of all persons usually engaged in household chores.

f) The set of probing questions framed for the children (5-14 years) to get information on their school attendance and participation in economic activities has been dropped from this round.

g) The schedules on Employment - Unemployment and Consumer Expenditure are to be canvassed in independent sets of households. Since the monthly per capita expenditure of a household is an important classificatory variable for the study of employment-unemployment, provision has been made in the employment schedule to record household expenditure on broad groups of items so as to work out monthly per capita expenditure of the household.

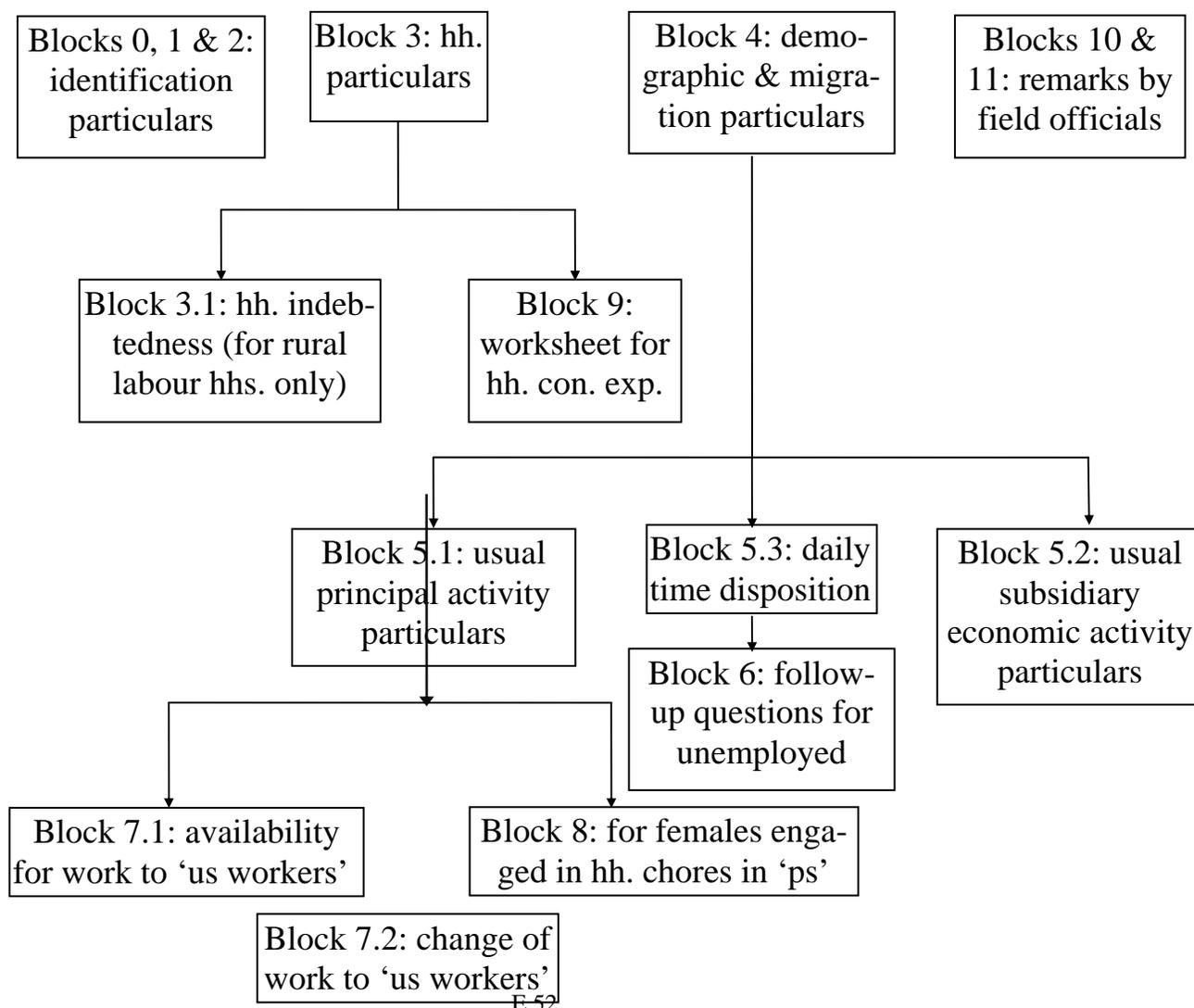
h) A sub-sample of FSUs will be repeated in two consecutive sub-rounds. The households selected and surveyed in a sub-round will be re-visited in the next sub-round for collection of data on employment and unemployment only. The newly formed households, if found, during the second visit to the FSU will constitute **second-stage stratum 9** and a sample of households will be selected from them for canvassing Schedule 10 (and not Schedule 10.1).

i) All the items of information contained in Schedule 10 need not be collected in the second visit. A separate Schedule 10.1 has been designed (retaining few blocks of Schedule 10) and will be used for data collection in the second visit. *It is important to note that for the items retained in Schedule 10.1,*

- *the reference of block, item or column (i.e., block no., item no. and column no.) will be the same as those of Schedule 10 meant for first visit, unless otherwise specifically mentioned.*
- *the same concepts, definitions and procedures are to be followed for collection of data in the second visit.*

5.0.2 Summary description of the schedule: Schedule 10 on employment-unemployment for this round consists of 16 blocks. Blocks 0, 1 and 2 are similar to the ones used in usual NSS rounds. These are used to record identification of sample households and particulars of field operations. The last two blocks, viz., Blocks 10 & 11, are again the usual blocks to record the remarks of investigator and comments by supervisory officer, respectively. Block 3 will be for recording the household characteristics like household size, religion, social group, land possessed and cultivated, monthly per capita consumer expenditure, etc., and Block 3.1 for recording particulars of indebtedness of rural labour households. Block 4 is used for recording the demographic and migration particulars of all the household members. In Block 5.1, particulars of

principal usual activity of all the household members and the details of the enterprises for the usual status workers in the non-agriculture sector will be recorded. Similarly, the particulars of two major subsidiary economic activities of the household members and the details of the enterprises in which they are working will be recorded in Block 5.2. The daily time disposition for the previous seven days along with the corresponding activity particulars will be recorded for each of the household members in Block 5.3. Besides this, the CWS will be derived from the daily time disposition data and will be recorded in this block. As in the past, wage and salary earnings and mode of payment will also be collected for the workers in this block. Block 6 will be used to record the responses to the probing questions to the persons who were unemployed on all the seven days of the reference week. They will be identified on the basis of duration of unemployment during the reference week recorded in Block 5.3. Blocks 7.1 and 7.2 contains the probing questions which are related to the under-utilisation of labour time and labour mobility, respectively. For the females classified as engaged in 'domestic duties' as per their usual principal status, some follow-up questions have been framed and listed in Block 8 with a view to collecting some additional information which might explain as to whether their usual attachment to domestic duties was voluntary or involuntary and also throw light on their participation in some specified activities for family gain. A worksheet to obtain the household monthly total expenditure has been provided in Block 9. The structure of the schedule and the linkage between different blocks are shown in the block diagram given below:



CONCEPTS AND DEFINITIONS

5.0.3 *Economic activity*: Any activity that results 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 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.

The full spectrum of economic activities as defined in the UN system of National Accounts is not covered in the definition adopted for the NSS 55th round survey of Employment and Unemployment. However, the coverage of economic activities has been kept same as in the 50th round. The term 'economic activity' will include :

- (i) all the market activities described above i.e. the activities performed for pay or profit which result in production of goods and services for exchange.
- (ii) of the non-market activities,
 - (a) all the activities relating to the agricultural sector (**industry Divisions 01 to 05 of NIC 1998**) 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 include 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 labour or a supervisor.

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

5.0.4 *Activity status*: It is the activity situation in which a person is found during a reference period which concerns with 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 5.0.3,

(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 the last with 'not being in the labour force'. Within the labour force activity status (i) is associated with 'employment' and that of (ii) with 'unemployment'.

Identification of each individual into a unique situation 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 is 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 are :

(i) working or being engaged in economic activity (employed):

- (a) worked in household enterprise (self-employed) as an own-account worker
- (b) worked in household enterprise (self-employed) as an employer
- (c) worked in household enterprise (self-employed) as 'helper'
- (d) worked as regular salaried/wage employee
- (e) worked as casual wage labour in public works
- (f) worked as casual wage labour in other types of works
- (g) did not work due to sickness though there was work in household enterprise
- (h) did not work due to other reasons though there was work in household enterprise
- (i) did not work due to sickness but had regular salaried/ wage employment
- (j) did not work due to other reasons but had regular salaried/wage employment

(ii) not working but seeking or available for work (unemployed) :

- (a) sought work
- (b) did not seek but was available for work

(iii) *not working and also not available for work (not in labour force)* :

- (a) attended educational institution
- (b) attended domestic duties only
- (c) attended domestic duties and was also engaged in free collection of goods, tailoring, weaving, etc. for household use
- (d) recipients of rent, pension, remittance, etc.
- (e) not able to work due to disability
- (f) beggars, prostitutes, etc.
- (g) others
- (h) did not work due to sickness (for casual workers only).

5.0.5 Workers (or employed): Persons who are engaged in any economic activity or who, despite their attachment to economic activity, have abstained from work for reason of illness, injury or other physical disability, bad weather, festivals, social or religious functions or other contingencies necessitating temporary absence from work constitute workers. Unpaid helpers who assist in the operation of an economic activity in the household farm or non-farm activities are also considered as workers. All the workers are assigned one of the detailed activity statuses under the broad activity category 'working or being engaged in economic activity'.

5.0.6 Seeking or available for work (or unemployed) : Persons, who owing to lack of work, had not worked but either sought work through employment exchanges, intermediaries, friends or relatives or by making applications to prospective employers or expressed their willingness or availability for work *under the prevailing condition of work and remuneration* are considered as those who are 'seeking or available for work' (or unemployed).

5.0.7 Labour force : Persons who are either 'working' (or employed) or 'seeking or available for work' (or unemployed) during the reference period together constitute the labour force. Persons who are neither 'working' and at the same time nor 'seeking or available for work' for various reasons during the 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.

5.0.8 Self-employed: 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 the self-employed is that they have **autonomy** (i.e., how, where and when to produce) and **economic independence** (i.e., market, scale of operation and money) for carrying out operation. The fee or remuneration received by them consists of two parts - the share of their labour and profit of the enterprise. In other words, their remuneration is determined wholly or mainly by sales or profits of the goods or services which are produced.

The self-employed persons may again be categorised into the following three groups :

- (i) **own-account workers:** They are the self-employed 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:** 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, and
- (iii) **helpers in household enterprise:** The helpers are a 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.

There is a category of workers who work at a place of their choice which is outside the establishment that employs them or buys their product. Different expressions like 'home workers', 'home based workers' and 'out workers' are synonymously used for such workers. For the purpose of this survey, all such workers will be commonly termed as 'home workers' and will be categorised as 'self-employed'.

Home worker: A 'home worker', for the purpose of this survey, is one who:

- i) carries out the work in his or her home, or in other **premises of his or her own choice, but not in the work place of the employer**. There is usually no direct supervision by the 'employer'. The term '**employer**' means a person who either directly or through intermediary gives out work to the 'home workers'. The 'employer' **may or may not provide** the equipment, raw material or other inputs used,
- ii) carries out the work as per the **product-specifications** (i.e., mainly or solely under order/contract) of the 'employer', and
- iii) receives remuneration for work based on output, normally on piece rate basis.

The 'home workers' have *some degree of autonomy and economic independence* in carrying out the work, and their work is not directly supervised as for the employees. Like the other self-employed, these workers have to meet certain costs, like actual or imputed rent on the buildings in which they work, costs incurred for heating, lighting and power, storage or transportation, etc. That means, they have some tangible or intangible means of production. Note that employees are not required to provide such inputs for production.

Note that the 'home workers' are to be classified as self-employed.

It may further be elaborated that the 'putting out' system prevalent in the production process in which a part of production which is 'put out' is performed in different household enterprises (and not at the employers establishment). For example, *bidi* rollers obtaining orders from a *bidi* manufacturer will be considered as home workers irrespective of whether or not they were supplied raw material (leaves, *masala*, etc.), equipment (scissors) and other means of production. The fee or remuneration received consists of two parts - the share of their labour and

profit of the enterprise. In some cases, the payment may be based on piece rate. Similarly, a woman engaged in tailoring or embroidery work on order from a wholesaler, or making *pappad* on order from particular unit/contractor/trader at her home will be treated as 'home worker'. On the other hand, if she does the work in the employers premises, she will be treated as employee. Again, if she is not undertaking these activities on orders from outside, but markets the products by herself/other household members for profit, she will be considered as an own account worker, if of course, she does not employ any hired help more or less on a regular basis.

5.0.9 Regular salaried/wage employee: Persons working in others farm or non-farm enterprises (both household and non-household) and getting in return salary or wages on a 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.*

5.0.10 Casual wage labour: 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 labour. Usually, in the rural areas, a type of casual 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 scheme under poverty alleviation programmes (NREP, RLEGP, etc.).

5.0.11 Manual work: A job essentially involving physical labour is considered as manual work. However, jobs essentially involving physical labour but also requiring a certain level of general, professional, scientific or technical education are not to be termed 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 are to be treated as 'manual work'. Thus, engineers, doctors, dentists, midwives, etc., are not considered manual workers even though their jobs involves some amount of physical labour. But, peons, chowkidars, watchman, etc. are considered manual workers even though their work might not involve much physical labour. Manual work has been defined as work pursued in one or more of the following occupational groups of the National Classification of Occupations (NCO 1968) :

Division 5: Service workers:

Group 52: cooks, waiters, bartenders and related workers (domestic and institutional).

Group 53: maid and other housekeeping service workers (not elsewhere classified).

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

Group 55: Launderers, dry cleaners and pressers.

Group 56: hair dressers, barbers, beauticians and related worker.

Family 570: fire fighters

Family 574: watchmen, gate keepers

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.

Division 7-8-9: Production and 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).

5.0.12 **Rural Labour:** Manual labour working in agricultural and /or non-agricultural occupations *in return for wages* paid either in cash or in kind (excluding exchange labour) and *living in rural areas*, will be taken as rural labour.

5.0.13 **Agricultural labour:** A person will be considered to be engaged as agricultural labour, if he/she follows one or more of the following agricultural occupations in the capacity of a wage paid manual labour, whether paid in cash or kind or both :

- (i) farming,
- (ii) dairy farming,
- (iii) production of any horticultural commodity,
- (iv) raising of livestock, bees or poultry,
- (v) any practice performed on a farm as incidental to or in conjunction with farm operations (including forestry and timbering) and the preparation for market and delivery to storage or to market or to carriage for transportation to market of farm produce.

Working in fisheries is **excluded** from agricultural labour. Further, 'carriage for transportation' refers **only to the first stage of the transport** from farm to the first place of disposal.

5.0.14 **Wage paid-manual labour:** A person who does manual work in return for wages in cash or kind or partly in cash and partly in kind (excluding exchange labour) is a wage paid manual labour. Salaries are also to be counted as wages. A person who is self-employed in manual work is **not treated** as a wage paid manual labour.

5.0.15 **Usual 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. To decide the principal usual activity of a person, he/she is first categorised as belonging to the labour force or not, during the reference period **on the basis of major time criterion**. Persons, thus, adjudged as not belonging to the labour force are assigned the broad activity status 'neither working nor available for work'. For the persons belonging to the labour force, the broad activity status of either 'working' or 'not working but seeking and/or available for work' is then ascertained again on the basis of the relatively longer time spent in the labour force during the 365 days preceding the date of survey. Within the broad activity status so determined, the detailed activity status category of a person pursuing more than one such activity will be determined again on the basis of the relatively longer time spent.

5.0.16 *Subsidiary economic activity status:* A person whose principal usual status is determined on the basis of the major time criterion may have pursued some economic activity **for a relatively shorter time** (minor time) during the reference period of 365 days preceding the date of survey. The status in which such economic activity is pursued is the subsidiary economic activity status of the person. In case of multiple subsidiary economic activities, the major two activities and their statuses based on the relatively longer time spent criterion will be considered. It may be noted that engagement in work in subsidiary capacity may arise out of the two following situations :

- (i) a person may be engaged for a relatively longer period during the last 365 days in economic/non-economic activity and for a relatively shorter period in another economic activity and
- (ii) a person may be pursuing one economic activity/ non-economic activity almost throughout the year in the principal usual activity status and also simultaneously pursuing another economic activity for a relatively shorter period in a subsidiary capacity.

5.0.17 *Current weekly activity status:* The current weekly activity status of a person is the activity status obtaining for a person during a reference period of 7 days preceding the date of survey. It is decided **on the basis of a certain priority cum major time criterion**. According to the priority criterion, the status of 'working' gets priority over the status of 'not working but seeking or available for work' which in turn gets priority over the status of 'neither working nor available for work'. *A person is considered working (or employed) if he/she, while pursuing any economic activity, had worked for at least one hour on at least one day during the 7 days preceding the date of survey.* A person is considered 'seeking or available for work (or unemployed)' if during the reference week no economic activity was pursued by the person but he/she made efforts to get work or had been available for work any time 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 any time during the reference week, is considered to be engaged in non-economic activities (or not in labour force). Having decided the broad current weekly activity status of a person on the basis of 'priority' criterion, the detailed current activity status is again decided **on the basis of 'major time' criterion if a person is pursuing multiple economic activities.**

5.0.18 *Current daily activity:* The activity pattern of the population, particularly in the unorganised sector, is such that a person might be pursuing more than one activity during a week and sometimes during a day. Many people might undertake both economic and non-economic

activities on the same day of a reference week. The current daily activity status for a person is determined on the basis of his/her activity status on each day of the reference week **using a priority-cum-major time criterion** (day to day labour time disposition). The following points may be noted for determining the current daily status of a person:

- i) Each day of the reference week is looked upon as comprising of either two 'half days' or a 'full' day for assigning the activity status.
- ii) A person is considered 'working' (employed) for the entire day if he/she had worked for 4 hours or more during the day.
- iii) If a person was engaged in more than one of the economic activities for *4 hours or more* on a day, he/she would be assigned two out of the different economic activities on which he/she devoted relatively longer time on the reference day (for each of those two activities, the intensity will be 0.5).
- iv) If the person had worked for *1 hour or more but less than 4 hours* he/she is considered 'working' (employed) for half-day and 'seeking or available for work' (unemployed) or 'neither seeking nor available for work' (not in labour force) for the other half of the day depending on whether he was seeking/available for work or not.
- v) If a person was not engaged in any 'work' even for 1 hour on a day but was seeking/available for work even for 4 hours or more, he is considered 'unemployed' for the entire day. But if he was 'seeking/available for work' for more than 1 hour and less than 4 hours only, he is considered 'unemployed' for half day and 'not in labour force' for the other half of the day.
- vi) A person who neither had any 'work' to do nor was available for 'work' even for half a day was considered 'not in labour force' for the entire day and is assigned one or two of the detailed non-economic activity status depending upon the activities pursued during the reference day.

5.0.19 Operation: It is the type of work performed by a person during a reference period such as manual, non-manual, agricultural, non-agricultural etc. Operation has been combined with activity status and industry corresponding to the work performed. Information regarding the type of operation is collected **only for rural areas and relating to current status only**. The different types of operations are - ploughing, sowing, transporting, weeding, harvesting, others (manual) and others (non-manual). In the last two cases the sector in which the work is performed is indicated by the industry. It may be noted, that for 'regular salaried/wage employees' on leave or on holiday the 'operation' relates to their respective function in the work or job from which he/she is temporarily off. Similarly, for persons categorised as 'self-employed' but not working on a particular day inspite of having work on that day, the operation will relate to the work that he/she would have done if he/she had not enjoyed leisure on that day.

5.0.20 Skill: Any marketable expertise, however acquired, irrespective of whether marketed or not, whether the intention is to market it or not is considered as skill. Thus, a person holding a certificate or diploma on an appropriate subject will be considered to possess the specified skill along with the persons who have acquired the said skill without receiving any such certificate or

even without attending any institution. When a person has acquired skill in more than one trade, the skill in which he/she is more (most) proficient is considered as his/her skill.

5.0.21 **Nominal work:** Work done by a person for **1 - 2 hours in a day** of the 7 days reference week is said to be a day with nominal work for the person. In the day to day labour time disposition of the reference week, such a day's work is considered to be 'half-days' work (and it gets half intensity while accounting).

5.0.22 **Earnings:** Earnings refer to the wage/salary income (and not total earnings) receivable for the wage/salaried work done during the reference week by the wage/salaried employees and casual labourers. The wage/salary receivable may be in cash or kind or partly in cash and partly in kind.

- i) The kind wages are evaluated **at the current retail price**.
- ii) Bonus and perquisites evaluated at retail prices and duly apportioned for the reference week are also **included** in earnings.
- iii) Amount receivable as 'over-time' for the additional work done beyond normal working time is also **included**. This is a departure from the earlier practice.

5.0.23 **Cultivation:** All activities relating to production of crops and related ancillary activities are considered as cultivation. Growing of trees, plants or crops as plantation or orchards (such as rubber, cashew, coconut, pepper, coffee, tea etc.) are not considered as cultivation activities for the purpose of this survey. In general, the activities covered under NIC 1998 sub-classes 01111, 01112, 01113, 01115, 01119, 01121, 01122 and 01135 (excepting plantation of pepper and cardamom) are to be considered as cultivation (equivalent to the activities under industry Groups 000 to 008 of NIC 1987).

DETAILS OF SCHEDULE

5.0.24 In this round, a bulk of information is to be collected about the enterprises in which the workers in the household are employed. It is, therefore, preferable to contact the workers in the household to get information about their enterprises.

5.0.25 **Block 0: Descriptive identification of sample household:** This block is meant for recording descriptive identification particulars of the sample household and the sample village/block to which the sample household belongs. All the items are self-explanatory. A dash mark (-) may be recorded against items which are not applicable in a particular situation (e.g. village name is not applicable for urban sample).

5.1.0 **Block 1: Identification of sample household:** The identification particulars of the sample household will be recorded in this block. The instructions to be followed will be the same as those for Block 1 of Schedule 1.0 given in Chapter Four (see paras 4.1.1 to 4.1.9). It may further be noted that for item 12, entry will always be 1 in the case of first visit to the household (i.e., in Sch. 10) and 2 in the case of a re-visit (i.e., in Sch. 10.1).

5.2.0 **Block 2: Particulars of field operations :** The instructions to be followed for filling in this block will be same as discussed in para 4.2.0.

5.3.0.0 Block 3: Household Characteristics: Characteristics which are mainly intended to be used to classifying the households will be recorded in this block. Items are similar to that of schedule 1.0. Therefore, for field instructions please refer to the relevant portions of Chapter 4 as given below:

item	refer para number
1. household size	4.3.1
2. social group	4.3.14
3. religion	4.3.13
4. household type	4.3.5 to 4.3.12
5. total expenditure last month	to copy from item 19, bl. 9, Sch. 10
6. land owned as on date of survey	4.3.16 & 4.3.17
7. land possessed as on date of survey	4.3.20
8. land cultivated	4.3.21
9 & 10. number of members who got work for at least 60 days in 'public works' during the last 365 days	4.3.26

5.3.0.1 Item 5: Total expenditure last month (Rs): The total monthly consumer expenditure given in item 19 of block 9 will be copied against this item. The entry for expenditure will be made in **whole rupees** (and not in two places of decimals).

5.3.0.2 Items 9 & 10: No. of members who got work for at least 60 days in 'public works' during last 365 days: It will be first ascertained if any member of the household got any work for at least 60 days during last 365 days preceding the date of survey in 'public works'. The scope of 'public works' is as explained in para 4.3.26. The number of male and female members who got work in 'public works' will be recorded against items 9 & 10, respectively. If no member got any such work '0' will be recorded against these items.

5.3.1.0 Block 3.1: Household indebtedness: This block is intended to collect information on the extent of indebtedness of the rural labour households, i.e., those with household type code 2 or 3 against item 4 of block 3 of rural schedules. The information on indebtedness is being collected since the first rural labour enquiry and the definitions, etc., of the different kinds of loan transacted have been purposefully kept unchanged with a view to building up a comparable time series on indebtedness of rural labour households. This time, the procedure of determining the household type has been slightly modified for easy collection of information in the field. It is expected that the distribution of households will not vary much by introduction of this change in the procedure. The information pertaining to the household indebtedness as outstanding on the date of survey will be collected in this block. For the purpose of this survey, **loans will include borrowing in cash and/or kind (including hire purchases)**. Credit purchases **will be** treated as loans. Also the dues on items of credit purchases like milk, services of dhobi, etc., **will be** treated as loan to maintain comparability with the earlier enquiries. Borrowings in **kind should be evaluated at current retail price** prevalent in the local market. An advance payment received for forward delivery of goods **should also be** regarded as loan. Irrespective of the type of loan, attempts will be made to record each loan separately. Each loan will have a separate serial number against which the information on nature, source, purpose and amount of the loan will be

recorded. If, however, the nature, source and purpose of two or more loans are similar, they may be entered as a single loan.

5.3.1.1 **Column (1): Serial number:** As mentioned above, entries are to be made for each loan separately. Thus, each loan outstanding on the date of survey will get a separate serial number and that has to be recorded under this column.

5.3.1.2 **Column (2): Nature of loan:** For each loan listed in column (1), the 'nature of loan' in terms of code numbers will be recorded in this column. The relevant codes are :

hereditary loan	1	loan contracted in kind	3
loan contracted in cash	2	loan contracted partly in cash and partly in kind	4

5.3.1.3 **Column (3): Source:** The information regarding the source of each loan will be recorded in this column in terms of code numbers. The codes to be assigned are :

government	1	agricultural/professional money lender	5
co-operative society	2	shop-keeper/trader	6
bank	3	relative/friends	7
employer/landlord	4	others	9

If any relative/friend charges interest, the proper source code should be 5 and not 7. Co-operative banks will be considered as banks and not co-operative society.

5.3.1.4 **Column (4): Purpose of loan:** The purpose for which the loan has been contracted by the household will be recorded in this column in terms of codes. If a particular loan is taken to meet more than one purpose, the purpose for which large part of the loan is intended to be utilised will be considered for recording entries in this column. The relevant codes are :

household consumption :

medical expenses	1
educational expenses	2
legal expenses	3
other consumption expenses	4
marriage and other ceremonial expenses	5
purchase of land / construction of building.....	6
productive purpose	7
repayment of debt	8
others	9

The purpose of loan taken for legal expenses to be incurred towards enterprise account will get code 7, while code 4 will cover for loans taken for the purpose of food consumption, consumption of clothing, purchase of durable goods, etc.

5.3.1.5 Column (5): Amount outstanding including interest on the date of survey: For each loan, the total amount due on the date of enquiry (i.e. the outstanding principal plus the interest due) will be recorded in col. (5). Initial discount allowed, if any, in the principal should be taken into account while recording the total amount of loan outstanding on the date of survey. Suppose the value of an item of hire purchases is Rs. 5,000/- and 10% off season discount is allowed, the loan under this situation will be considered as (Rs. 5000 - Rs. 500) Rs. 4500/- only. Account should also be taken of any advance deduction made at the time of giving loan. Thus, for a loan of Rs. 100/-, Rs. 10/- is deducted as interest at the time of receiving the loan, the entry against this column will be Rs. 100/- and not Rs. 90/-. If only one loan is recorded in column (5), the amount of that loan should be repeated in the 'total' line. In the case of multiple loans recorded in 2 or more lines, the total amount of all such loans taken together should be recorded in the 'total' line.

5.3.1.6 The procedure adopted for making entries in regard to credit purchase requires elaboration. In the case of credit purchase, it should first be ascertained whether such credits are really due on the date of survey or not. Thus, in case of milk and some other items purchased on credit, the payments are usually made at the end of the month, whereas, the payments are in fact due on the dates of purchases and not at the end of the month. Therefore, on the date of survey all credit purchases of such items made till that date are due and hence they will be treated as outstanding loans. On the other hand, since the payments of wages made to domestic servants or the amounts paid on account of house rent or electricity charges are usually made after a given period, say one month, the amount of payment should be considered as loan only after expiry of the stipulated date of payment of such charges.

5.4.0 Block 4: Demographic and migration particulars of household members

This block is meant to record the demographic particulars like sex, age, marital status etc. and particulars of migration for each member of the household. The description of the items and the procedure for recording them are explained below:

5.4.1 Column (1): Serial number: All the normally resident members of the sample household will be listed in this block with continuous serial numbers starting from 1 in this column. While listing, the head of the household will be listed first, followed by his/her spouse, the first son, his wife and children, second son, his wife and children, etc. After the sons are listed, the daughters will be listed followed by other relations, dependent, servants, etc. For definitions of 'household' and 'normally resident members' of the household see Chapter 1 of the instructions.

5.4.2 Column (2): Name of member: The name of the normally resident members corresponding to the serial numbers in column (1) in the order specified above will be entered in column (2).

5.4.3 Column (3): Relation to head: The family relationship of each member of the household to the head of the household will be recorded in codes in this column. The head of the

household, who will be listed first, will be given code 1, corresponding to 'self'. The codes to be used to indicate various relationships are as follows :

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

5.4.4 **Column (4): Sex:** The sex of each member of the household will be recorded as 1 or 2 depending on whether the member is a male or female.

5.4.5 **Column (5): Age (years):** Age of each member in completed years as on the date of survey will be entered in this column, in a two digit formation. Thus, a child who is less than a year old will have an entry '00' and a person who is 35 years and 10 months will have entry '35'. If any person is found to be more than 99 years old, his/her age will be recorded as '99'.

5.4.6 **Column (6): Marital status :** The marital status of each member will be recorded in this column in codes. The codes for different marital statuses are as follows:

never married	1
currently married	2
widowed	3
divorced/separated	4

5.4.7 **Educational standard:** Information on highest general and technical education attained by the members of the household will be recorded in terms of codes in column (7) and column (8), respectively. For the purpose of making entries in these two columns, only the course successfully completed will be considered. For instance for a person who has studied upto say, first year B.A. or has failed in the final B.A. examination, his educational attainment will be considered only as 'higher secondary', for the purpose of column (7).

5.4.7.1 **Column (7): General:** In column (7), the highest level of general education of the members will be recorded in codes which are given below:

<i>not literate</i>	01
<i>literate through attending</i> : NFEC/AEC	02
TLC	03
others	04
literate but below primary	05
primary	06
middle	07
secondary.....	08
higher secondary	09

<i>graduate and above in : agriculture.....</i>	10
<i>engineering/technology</i>	11
<i>medicine</i>	12
<i>other subjects</i>	13

A person who can read and write a simple message in any language with understanding is considered literate. Those who cannot do so will be treated as not literate and will be assigned code 01. Some persons achieve literacy by attending Non-formal Education Courses (NFEC) or Adult Education Centres (AEC). Such persons will be given code 02. During the last few years under the National Literacy Mission, in many parts of India, Total Literacy Campaigns (TLC) are being organised. Persons who have become literate through attending TLC will be given code 03. Persons who are literate through means other than formal schooling or the two above enumerated ways will be given code 04. Those who are by definition literate but are yet to pass primary standard examination but have attended or are attending formal school classes will be assigned code 05. Codes 06, 07, 08, and 09 will be assigned to those who have passed the appropriate levels. The criteria for deciding primary, middle, secondary etc. levels will be that followed in the concerned states/u.ts. A graduate will get one of the codes 10 to 13 depending on the subject in which he/she has graduated. For code 12, medical graduates belonging to school of medicine other than allopathic, are also to be considered. In case the person has graduated in more than one discipline and if more than one of the codes 10 to 13 are applicable, then the following procedure may be followed :

- (i) when code 13 as well as one of the code 10 to 12 are relevant, code 13 will not be considered.
- (ii) where more than one of the codes 10 to 12 are relevant the code indicating the **degree last obtained** will be considered. Persons who have attained proficiency in languages like Sanskrit, Persian etc. through formal but not the general type of education will be classified appropriately at the equivalent level of general education standard.

5.4.7.2 **Column (8): Technical:** Technical education standard achieved by the members of the household will be recorded in one of the following codes:

<i>no technical education</i>	1
<i>technical degree in agriculture /</i>	
<i>engineering / technology / medicine etc.</i>	2
<i>diploma or certificate in :</i>	
<i>agriculture</i>	3
<i>engineering/technology</i>	4
<i>medicine</i>	5
<i>crafts</i>	6
<i>other subjects</i>	9

If more than one of the codes 2 to 9 are applicable, the code indicating the diploma/certificate **last received** will be considered. It may be noted that the technical certificate/diploma obtained by the person **need not necessarily be recognised** by the Government.

5.4.8 Column (9): Current attendance in educational institutions and course of study : This item will be collected **for persons of age below 30 years**. It will be first ascertained if the person is currently attending any educational institutions (government or private) or not. Persons who are registered for any regular correspondence courses or distance education courses for a stipulated period at the end of which, are allowed to appear in the examination for the course, **will also be** considered as "currently attending educational institutions". Persons who are awaiting results will be considered as "currently attending" and the appropriate code for the level for which they have appeared in the exams will be recorded. For those who are found currently attending, the course of study pursued by them will be further ascertained. Persons who are not currently attending any educational institutions will be given any of the codes 11 to 16 depending upon situation. For others, codes will be assigned depending on the course of study pursued by them. The code structure for this item is as follows :

<i>currently not attending any educational institution:</i>	
<i>never attended: to supplement hh. income</i>	11
<i>other reasons</i>	12
<i>ever attended but discontinued studies:</i>	
<i>to supplement hh. income</i>	13
<i>other reasons</i>	14
<i>ever attended but dropped out:</i>	
<i>to supplement hh. income</i>	15
<i>other reasons</i>	16
<i>currently attending : NFEC/AEC</i>	21
<i>TLC</i>	22
<i>pre-primary</i>	23
<i>primary</i>	24
<i>middle.....</i>	25
<i>secondary & higher secondary</i>	26
<i>graduate and above in: agriculture.....</i>	27
<i>engineering/technology</i>	28
<i>medicine</i>	29
<i>other subjects</i>	30
<i>diploma or certificate course in:</i>	
<i>agriculture</i>	31
<i>engineering/technology</i>	32
<i>medicine.....</i>	33
<i>crafts.....</i>	34
<i>other subjects</i>	35

Drop-outs are those who while attending a level/course discontinued study before successfully completing that level, and discontinued cases are those who discontinued study after successfully completing a level.

5.4.9 Column (10): Currently registered with employment exchange: For persons of age below 65 years listed in col. 1 of the block, it is to be ascertained whether or not they are currently on the live register of the employment exchange. For a person to be currently on the live register, he or she should renew his/her registration before it lapses, i.e. when the renewal becomes due. The period specified for renewal varies from state to state and also perhaps, from one employment category to the other. The investigator therefore should ascertain from some knowledgeable sources, the period specified for such renewal in the particular region where he has to carry out the field work. With this background information, the investigator should find out when the person has registered in the employment exchange, whether he has renewed the registration etc. and thus determine whether or not he or she was currently on the live register of the employment exchange. If the name of the person is in the live register of the employment exchange, code 1 and if not, code 2 will be recorded in col. 10.

5.4.10 Column (11): Whether staying in the same village/town for last 6 months or more: Each member of the household will be asked whether or not he/she has been staying in the sample village or town, as the case may be, **for last 6 months or more** irrespective of his/her period of temporary stay-away from the village/town for any purpose. Those staying for last 6 months or more would be assigned code 1 and others, code 2. It is quite possible that on the date of survey, a member of the household is not in the sample village/town and is *temporarily* away from the village/town. For him/her also, code 1 or 2 will be assigned depending on whether his/her stay in the village/town is for last 6 months or more, or not. Note that for new born babies of age less than 6 months, code 2 may be recorded.

5.4.11 Column (12): If code 1 in col. 11, whether during last 365 days stayed away from village/town for 60 days or more for employment or in search of employment: For each person who had stayed in the sample village/town for last 6 months or more (i.e. with code 1 in col. 11), it is to be ascertained whether during last 365 days preceding the date of survey, he/she stayed away from the village/town **for 60 days or more either for the purpose of employment/better employment or in search of employment**. Code 1 or 2 is to be assigned according to the reply being in the affirmative or otherwise. For filling in this column, the following points may be kept in mind:

(i) during the last 365 days, the period of stay away from village/town must be 60 days or more. The period of stay away outside the village/town may or may not be continuous and the place of stay may or may not be the same.

(ii) the purpose of stay away from village/town should be 'for employment/better employment' or 'in search of employment' only.

The following illustration may help in identifying the purposes 'for employment' and 'in search of employment':

A person may not be having any employment at his place of enumeration (i.e. village/town) due to either non-availability of work in the area or availability of a work which is less remunerative. If such a person had stayed in the place(s) other than his village/town in search of employment or for employment/better employment, code 1 will be applicable for him

provided the period of stay-away during the last 365 days is 60 days or more. This may also happen to persons engaged in work nominally or intermittently. For them, and particularly for casual labourers or regular wage/salaried persons, change of employer(s) **will** largely determine the purpose 'for employment'. The purpose of movement of the self-employed 'along with their enterprise' from place to place **will be** considered 'for employment', but their movement for the purposes of procuring the raw materials, supplying goods produced, making contracts, etc. for the enterprise in which he/she is usually engaged **will not be** considered here. Such activities will be considered as part of the working of their enterprise. Similarly, the purpose of movement of persons visiting their own establishments located in different parts of the country **will not be** considered 'for employment'. These cases will get code 2 in this column. Further, persons who move frequently as part of their 'service contract or nature of work', **will not be** considered and code 2 will be assigned to them. Hence, staying away of Sales/Medical Representatives and others with a job involving touring (office/job related) will not be considered.

5.4.12 Column (13): Whether place of enumeration differs from last usual place of residence (upr): This column is intended to capture the information on migration of the household members. This will be decided based on the concept of change in the usual place of residence (upr). The usual place of residence here is defined as a place (village or town) where the person has stayed continuously for a period of six months or more. The place of enumeration refers to the place (village or town) where the person is being enumerated or surveyed, i.e., the present place of residence of the person. This column will record whether the person now enumerated had a different upr previously (called the last upr). Code 1 will be entered for persons whose place of enumeration is different from the last upr. For those who have been staying in the same village or town since their birth code 2 will be entered. Visits of daughters to their parent's place for child birth or for treatments etc. **will not be** considered even if it is for more than six months. The following two cases may be specifically noted:

- (i) For persons who have only moved from one locality to another within the same town/village, the place of enumeration and place of last upr will be the same.
- (ii) Stay in a different town or village for less than six months will be ignored. For example, if a person staying in place A moves to place B where he stays for 8 months and then moves to place C and stays there for 4 months before finally settling down at place D, and if he is enumerated at place D his last upr will be B and not C.

5.4.13 Columns (14) - (20) : Columns (14) to (20) will be filled in only for those persons whose place of enumeration is different from the place of last upr (i.e., for those with code 1 recorded in col. 13).

5.4.14 Column (14): Period since leaving the last upr: For each such person, the years since leaving last upr i.e., the years elapsed since leaving the last upr till the date of survey will be recorded in column (14) in whole number as follows:

period less than one year	0
one year or more but less than 2 years	1
2 years or more but less than 3 years	2
and so on.	

In other words, only the **completed number of years** will be recorded. Periods of temporary stay (less than six months) in other places after leaving the last upr will also be included while determining the years since leaving last upr.

5.4.15 Column (15): Particulars of last upr - location : Location refers to the type of last usual place of residence of the person. The relevant code, as per the structure given below, is to be assigned to each of the person with code 1 in col. 13. The codes are:

<i>same district:</i>	rural	1	<i>another state:</i>	rural	5
	urban	2		urban ..	6
<i>same state but</i>					
<i>another district:</i>	rural	3	<i>another country</i>	7
	urban	4			

5.4.16 Column (16) & (17): State/u.t./country - name & code : The state/u.t./country to which the last upr belongs to will be recorded in these columns. While the name will be written in col. 16, the codes for states and union territories in India will be assigned in col. 17 and will be the same as those used in the list of NSS regions, appended to the instructions.

As for the codes for the countries to which the last upr belongs the following coding scheme is to be used :

<u>Country/group of countries</u>	<u>code</u>	<u>Country/group of countries</u>	<u>code</u>
<i>Bangla Desh</i>	51	<i>USA</i>	58
<i>Nepal</i>	52	<i>Canada</i>	59
<i>Pakistan</i>	53	<i>other countries of North & South America</i>	60
<i>Sri Lanka</i>	54	<i>UK</i>	61
<i>Bhutan</i>	55	<i>Other countries of Europe</i>	62
<i>Gulf countries (Saudi Arabia, Iran, Iraq, Kuwait, UAE and Other countries of the region)</i>	56	<i>Countries of Africa</i>	63
<i>other Asian Countries</i>	57	<i>Rest of the World</i>	64

5.4.17 Column (18): Usual activity status at the time of leaving last upr : For determining the usual activity status of the person at the time of leaving the last upr i.e. at the time of migration, the reference period to be adopted will be 365 days preceding the date of migration. The determination of the usual activity status will be done adopting the 'relatively long time criterion' as described in para 5.0.15. The usual activity status will naturally relate to the **principal status**. After determining the 'usual status' of the person the code relevant to the status assigned will be recorded here. The code structure is the same as given in para 5.5.1.2.

5.4.18 Column (19): Industry division (2 digit NIC 1998): For the persons assigned any of the activity status codes 11-51 in col. 18 (i.e., those categorised working), the appropriate industry division code (2 digit NIC 1998) will be recorded in this column. The column will be left blank if entry in col. 18 is any one of 81-97.

5.4.19 Column (20): Reason for leaving last upr: For each person who had changed the last upr, the reason for doing so will be ascertained and recorded in terms of codes in this column. Only the reason for leaving the last upr (i.e., the one immediately before coming to the place of enumeration) will be considered. Codes for making entries in this column are :

<i>in search of employment</i>	01	<i>housing problems</i>	08
<i>in search of better employment</i>	02	<i>social / political problems</i>	09
<i>to take up employment / better employment</i>	03	<i>health</i>	10
<i>transfer of service/contract</i>	04	<i>marriage</i>	11
<i>proximity to place of work</i>	05	<i>migration of parent/ ear-</i>	12
<i>studies</i>	06	<i>ning member</i>	
<i>acquisition of own house/flat</i>	07	<i>others</i>	19

The reason for migration has to be arrived at after suitable probes for each member of the household whose last upr was different from the place of enumeration. It may be noted that different members will report different reasons. Head of the household might have moved on transfer, but to members of family will be moving due to his movement only and not due to transfer of service. A few illustrative cases will help in clarifying the different reasons further. (These are not exhaustive and are given only as guidelines).

(i) Persons who move to a city or town in search of employment will be given code 1 if they were not already in employment at the time of leaving.

(ii) Persons who were employed at the last upr, but have come to the place of enumeration in search of better employment or regular employment or for other occupations will be given code 2.

(iii) The first two cases are different from the persons who come to the place of enumeration to *take up jobs*. These persons were not in search of jobs but were offered jobs for the first time or were offered better jobs than the one they were having at the last upr. They will be assigned code 3.

(iv) Transfer of service/contract will include persons who as part of the employment contract or service liability move from one place of posting to another. Regular employees like Govt. servants on transfer will fall in this category.

(v) Persons who had moved in order to be nearer to their places of work will be given code 5. These are people who move either to sub-urban towns or to nearby cities and should be distinguished from the earlier cases by noting that such persons do not move place to take up their jobs but only at a later period, with the explicit purpose of avoiding or reducing commuting to place of work or other similar reasons.

(vi) Students and others who leave their upr for further studies due to lack of requisite facilities at the last upr or other reasons will be classified under code 6. If a person changes upr to pursue his studies and at the same time looks for employment, which is the case in many occasions, the

factor which is **basic for his change** of residence should be considered. **No priority rule exists in recording reason codes.**

(vii) Persons who move to a place to stay in a house/flat acquired by them will be given code 7. Here again the reason for movement should be directly attributable to the acquisition. Persons who on retirement move to their own house etc. will not be included.

(viii) Certain persons move from metropolitan cities or large towns to nearby smaller towns or other areas due to the problems of getting suitable accommodation or high rent etc. in the city or town of original residence. Such cases may be reported in villages also. They will be categorized under code 8.

(ix) Migration arising out of social or political problems including communal problems will be recorded under code 9.

(x) Persons sometimes move from one place to another due to the availability of better medical facilities for treatment or because of the unsuitable weather in the last upr etc. They will be counted as leaving upr for health reasons.

(xi) A substantial number of women in India change their upr after marriage to join their husbands. Person, whose change in upr occurs exclusively due to marriage will be given code 11.

(xii) In many cases of household migration, the members are **passive movers** in the sense that their changing upr is purely as a result of the parent or earning member changing upr. That the members might benefit by such moves in other ways **should not count**. Such passive movers will be recorded with code 12.

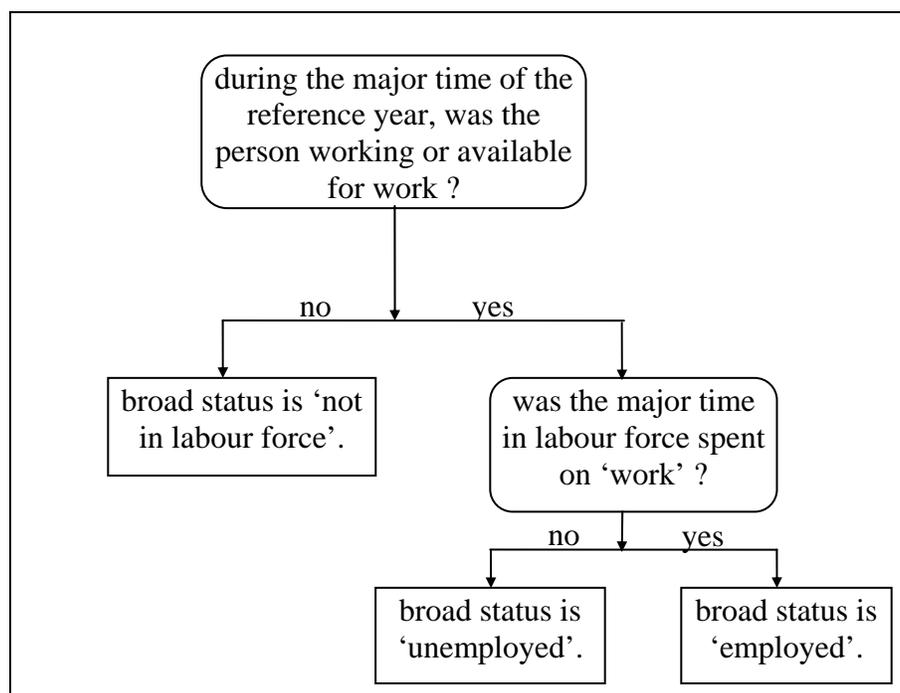
(xiii) Reasons for migration which cannot be classified into any of the cases with codes 1 to 12 will be assigned code 19.

5.5.1.0 Block 5.1: Usual principal activity particulars of household members: The usual principal activity particulars of each member of the household will be collected in this block. This will include information on industry-occupation of the working members and the particulars of the enterprises in which they are working. The particulars of usual activity are collected with reference to a period of 365 days preceding the date of survey. The relevant concepts like 'activity statuses', 'economic activity', 'principal usual activity', 'subsidiary economic activity' etc. are explained in the beginning of this chapter under 'concepts & definitions'. The description of the items and the procedure for recording them are explained below:

5.5.1.1 Columns (1) & (2): Srl. no. & age, as in cols. (1) & (5) of block 4: The entries in these two columns are to be copied from cols. 1 and 5 of block 4, for each of the members of the household.

5.5.1.2 Column (3): Status: For each of the members, the principal usual activity status will be recorded in this column. 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 working 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. Identification of this broad usual status category is explained below. 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 also not available for any economic activity (i.e. not in labour force). Thus, 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, we can obtain the broad principal usual status as one of the three viz. employed, unemployed and out of labour force.



Thus, the procedure followed in the identification of the broad usual status classification is different from the one followed upto NSS 43rd round. The following example will help in highlighting the differences as also clarify the procedure.

person	number of months			principal usual activity status	remarks
	labour force employed	labour force unemployed	not in labour force		
A	5	4	3	<i>employed</i>	
B	4	5	3	<i>unemployed</i>	<i>employed in subsidiary status (SS)</i>
C	4	3	5	<i>employed</i>	
D	4	1	7	<i>not in labour force</i>	<i>employed in (SS)</i>
E	3	3	6	<i>employed</i>	
F	0	1	11	<i>not in labour force</i>	<i>unemployed in (SS)</i>
G	1	0	11	<i>not in labour force</i>	<i>employed in (SS)</i>

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 as given below:

activity status	code
worked in hh. enterprise (self-employed) as own account worker	...11
worked in hh. enterprise (self-employed) as employer	...12
worked as helper in hh. enterprises (unpaid family worker)	...21
worked as regular salaried/wage employee	...31
worked as casual wage labour : in public works	...41
in other types of work	...51
did not work but was seeking and/or available for work	...81
attended educational institutions	...91
attended domestic duties only	...92
attended domestic duties and was also engaged in free collection of goods (vegetables, roots, firewood, cattle-feed etc.) sewing, tailing, weaving etc. for hh. use	...93
rentiers, pensioners, remittance recipients, etc.	...94
not able to work due to disability	...95
beggars, prostitutes	...96
others	...97

Codes 11, 12, 21, 31, 41 & 51 refer to the 'employed', 81 to the 'unemployed' and the remaining viz. 91 to 97 refer to the 'not in labour force'. Definitions of categories of workers are provided in this chapter under 'Concepts and Definitions'.

(i) It may be emphasised that the definitions used for describing helper in hh. enterprises is different from the one used in rounds prior to NSS 50th round. It is to be noted that availability for work being more of a status than an activity, a person being available for work may well be engaged in one or more of the activities denoted by codes 91 to 97. In all such cases except those engaged as students (code 91), persons will be categorised as 'unemployed' if he/she reports to be available for work for a relatively longer period, inspite of his/her being engaged simultaneously in a non-economic activity. But, if a person who is available for work is reported to have attended educational institution more or less regularly for a relatively longer period during the preceding 365 days, further probing as to whether he will give up the study if the job is available is to be made before considering him as 'unemployed'.

(ii) Again, it also needs to be emphasised that the procedure to be followed in ascertaining the activity status of a domestic servant who is a member of the employer's household is different from the procedure adopted for other member of the household. It could be seen from para. 5.0.4 that engagement in domestic duties by the member of a household is not considered economic activity as defined for the survey. On the other hand, although a domestic servant staying in the employer's household and taking food from the common kitchen is, by definition, a member of the employer's household, he/she is engaged in domestic duties in return of wages in cash and/or

kind. Thus, as a special case, domestic duties pursued by a domestic servant will be considered as an economic activity and the activity status code as is applicable will be assigned to him/her.

(iii) Carpenters, masons, plumbers, etc., who move from place to place in search of work and carry out the work on a contract basis (not on wage basis) whenever work is available, will be considered as 'own-account worker'. But if such persons are working on a wage basis or so under a contractor, they will be considered as employee.

5.5.1.3 Columns (4)-(6) : Principal industry-occupation: Columns (4) to (6) will be filled-in for those who are 'working' i.e. those with any one of codes 11,12,21,31,41, or 51 in column (3). The description of the industry-occupation relevant to the type of economic activity pursued by the person in the status recorded in col.(3) will be given in col. (4). The corresponding 5 digit industry sub-class code (NIC 1998) and the 3 digit occupation family code (NCO 1968) will be entered in columns (5) and (6), respectively. In case, two or more industry-occupation combinations corresponding to the status code given in column (3) have been reported by a person, the principal industry-occupation will be the one, in which **relatively more time** has been spent during the preceding 365 days by the person.

IMPORTANT

Note that to identify certain category of workers separately, NIC 1998 industry class code 9500 has been split into the following sub-classes, for the purpose of the survey, as given below:

Division 95: PRIVATE HOUSEHOLDS WITH EMPLOYED PERSONS

housemaid/servant	95001	gatekeeper/chowkidar/watchman	95004
cook	95002	governess/baby-sitter	95005
gardener	95003	others	95000

These additional codes are to be used, wherever necessary, in **recording five digit entries in col. 5 of blocks 5.1 & 5.2 and in col. 21 of block 5.3**. In assigning the industry code under Division 95, it should be kept in mind that the work is to be performed predominantly in the premises of the household irrespective of whether it is performed in one or more than one household. Services provided by individuals to the household, if originate and terminate in the same household, will be classified under Division 95. For example, persons who collect electric bills from the households for payment, provide potable water in the container made available by the household, collects grocery items from the shops/market as per the list of items supplied by the household, gives tuition to the members of the household, etc., **will be** classified under this division. On the other hand, if the households avail these services by approaching such persons (providing these services) in their establishment/house, then those services **will not be** classified under Division 95. They will be classified under appropriate division. For example, a person giving tuition in his own coaching center or his own house, his activity will be classified under NIC 80904. Similarly, a person who is supplying potable water to one or more households (and uses his own container - which is his asset), will be classified under NIC 93090.

Note that the persons classified under NIC 95 in the above example, will be considered as 'wage earners/employees', while those not classified under 95 will be considered as 'self-employed'.

5.5.1.4 Column (7) : Whether engaged in any work in a subsidiary capacity (yes-1, no-2): For each member of the household listed in this block, it has to be ascertained whether he/she worked in a subsidiary capacity during the 365 days preceding the date of survey or in other words if he had any subsidiary economic status. Code 1 or 2 will be recorded accordingly. The identification of those working in a subsidiary capacity will be done as follows. To illustrate:

(i) A person categorised as working and assigned the principal usual activity status as own account worker may also be engaged for a relatively minor time during the reference year as casual wage labour (as in the case of 'A' quoted earlier). 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 economic status. A person may be own account worker in trade for a relatively longer period and simultaneously also engaged in agricultural production for a relatively minor time. In such cases, the principal usual status will be own account worker in trade and subsidiary economic status - own account worker in agriculture.

(ii) Similarly, persons categorised as 'unemployed' or 'not in labour force' on the basis of relatively long time criterion might have pursued some economic activity for relatively minor time during the year (as in the case of 'B', 'D' and 'G' quoted earlier). In such cases, they will be treated as having subsidiary economic status and code 1 will be recorded in column (7).

It may be noted that engagement in work in subsidiary capacity may arise out of two situations: (i) a person may be engaged in a relatively long period during the 365 days in economic (non-economic activity) and for a relatively minor period in another economic activity (any economic activity), (ii) a person may be pursuing an economic activity (non-economic activity) almost throughout the year in the principal status and also simultaneously pursuing another economic activity (any economic activity) for relatively shorter time in a subsidiary capacity.

5.5.1.5 Column (8): If code 1 in col. (7), number of subsidiary activities during last 365 days: For persons having code 1 in column (7), the number of subsidiary activities pursued by him/her during last 365 days will be ascertained and recorded in terms of code as detailed below:

one activity	1
two activities	2
three or more activities	3

The activities having different work status will be considered as different activities. Activities within the same work status but with different industry and/or occupation will also be considered as different activities.

5.5.1.6 Columns (9) to (18): Particulars of enterprise for persons with industry divisions 10 to 99 in col. 5: In these columns, particulars of the enterprises where household members are usually engaged will be recorded. These items are to be filled in for the members working in the non-agricultural enterprises (i.e., for those with entries 10 to 99, but not with entry 00, in col. 5 of the block). **Note that the particulars to be collected in columns 9 to 18 will pertain to the principal status (col. 3) and industry (col. 5) obtained for the person.** Itemwise details follow. It is possible that the informant is, in spite of the best efforts of the investigator, unable to provide

information sought from this set of items, the investigator should try to contact the concerned household member (worker) to record these information. In order to do that, the investigator may have to revisit the household and even at hours beyond his/her normal working.

5.5.1.7 Column (9): Location of workplace (code): The location of the workplace of each of the working members of the household is to be ascertained and recorded in terms of code under this column. The detailed codes are:

no fixed workplace	10
workplace in rural areas and located in:	
own dwelling	11
own enterprise/unit/office/shop but outside own dwelling	12
employer's dwelling	13
employer's enterprise/unit/office/shop but outside employer's dwelling	14
street with fixed location	15
construction sites.....	16
others	19
workplace in urban areas and located in:	
own dwelling	21
own enterprise/unit/office/shop but outside own dwelling	22
employer's dwelling	23
employer's enterprise/unit/office/shop but outside employer's dwelling	24
street with fixed location	25
construction sites.....	26
others	29

It may be noted that the location of the sample household (rural or urban) is not to be considered for entry in this column; location of the enterprise will be determined and appropriate code is to be recorded. For the working members, if the enterprise in which they are working does not have a fixed premises or in other words they do not have a fixed place of work (as in the case of an artisan like carpenter, cobbler, knife-grinder, own-account carpenters, etc.) and who perform their activity in different houses or other places where they are engaged and not at any fixed place, will be assigned code 10, irrespective of whether the enterprise is operational in rural or urban areas. For those working in enterprises with fixed location, two sets of codes have been provided, one for the enterprises which are located in the rural areas and the other for those which are in the urban areas. The two sets are identical in their classification. In the case where the sector of location is both rural and urban, appropriate code is to be given on the basis major time criterion. Code 16 / 26 is relevant only for persons engaged in construction industry. The workplace of the workers engaged in construction activity is normally the site of construction and may change frequently. For them appropriate entry will be 16 / 26 and not 10.

5.5.1.8 **Column (10): Enterprise type:** The type of enterprise in which the household member is working is to be recorded under this column. The entry is to be made in terms of codes as given below:

proprietary: male	1
female	2
partnership: with members from same hh.	3
with members from different hh.	4
public sector (govt. enterprises)	5
semi-public (semi-govt. enterprises)	6
others	7
(include co-operative society, public limited company, private limited company and other units covered under ASI)	
not known	9

Note that the proprietary and partnership enterprises covered under ASI will not get codes 1 to 4. These enterprises will get code 7. Definitions of various enterprises types are given below:

Proprietary - An individual is the sole owner of the enterprise. Code 1 or 2 will be recorded for such enterprises according as the individual is a male or a female.

Partnership - Partnership is defined as the "relation between persons who have agreed to share the profits of a business carried on by all or any one of them acting for all". There may be two or more owners, belonging to the same or different households, on a partnership basis, **with or without formal registration** (where there is a tacit understanding about the distribution of profit among the so-called partners). Code 3 will be assigned if the partnership involves members of the same household and code 4 will be assigned otherwise.

Public sector enterprise - An enterprise wholly owned/run/managed by Central or State governments, quasi-government, institutions, local bodies like universities, education boards, municipalities etc. (An enterprise should not be treated as a public sector enterprise if it is run on a loan granted by government, local body etc.). Code 5 is to be recorded for members working in such enterprises.

Semi-public (enterprises) - 'Semi-public' enterprises are those joint enterprises in which besides private shareholders, government (Central/State/local bodies etc.) also holds some shares, no matter who has the majority of shares.

Others - All other enterprises, other than those having specified codes under this item, will be covered under 'others' and code 7 will be assigned to such enterprises. These enterprises will include co-operative society, public limited company, other units covered under ASI and institutional enterprises other than those described above which are managed by public trusts or societies (other than co-operative societies), training school/institutions etc.

If the informant does not know the type of enterprise in which the household member works and the investigator is unable to collect such information inspite of his/her best efforts, code 9 will be recorded for such working member against type of enterprise.

5.5.1.9 Column (11): Whether keeps written accounts (yes -1, no -2, not known -9): Whether the unit keeps accounts or not is to be ascertained and recorded in terms of code. If the accounts are available and also usable then code 1 will be recorded, otherwise code 2 will be recorded. Generally, the owners do keep some records for their own use. But these are very haphazardly maintained and are not usable for accounting purpose. In such cases, the code against this item will be 2. In case the informant is not able to provide information in this respect, code 9 will be recorded.

5.5.1.10 Column (12): Number of workers: This number would mean the average number of workers employed on a day of operation irrespective of whether they are hired, household, paid or unpaid, who are involved in the production process irrespective of age and sex will be considered for this item. The number of workers will be recorded in terms of codes as detailed below:

less than 6	1
6 to 9	2
10 & above but less than 20	3
20 & above	4
not known	9

In case the informant is not able to provide information on the number of workers, code 9 will be recorded.

5.5.1.11 Column (13): Whether uses electricity for manufacturing (yes -1, no -2, not known -9): This item will be collected only for persons working in manufacturing enterprises (i.e., for those with industry divisions 15 to 37 as per NIC 1998).The information as to whether the enterprise in which the person works, uses electricity for manufacturing purposes or not is to be recorded here. It may be mentioned here that use of electricity exclusively for purposes other than manufacturing/production like, for comfort, security, illumination, etc., will be assigned code 2. If the informant is unable to reply, code 9 will be recorded.

5.5.1.12 Columns (14) to (18): If code 11, 12 or 21 in col. 3: These items are meant for identification of home workers and study of their characteristics and to be canvassed for the self-employed persons with industry divisions 10 to 99 (in col. 5). **Note that the particulars to be collected in these columns will pertain to the principal status (col. 3) and industry (col. 5) obtained for the person.** The itemwise details are given below:

5.5.1.13 Column (14): Whether worked under given specifications: It is to be ascertained whether in relation to the activity recorded in col. 3, the person carried out the production (i.e., goods and services) on the basis of given or laid product-specifications of the 'employer' (see para 5.0.8 (i) for definition of 'employer'). When a person procures the order/contract from the 'employer' for his or her household enterprise to supply goods, normally an implicit or explicit specification of the product, written or oral, is laid by the 'employer'. Some times, the whole activity is carried out under the specifications of the 'employer', or a part under the

not known 9

5.5.1.17 **Column (17): Basis of payment:** In most cases, the payment received for the work done on order/contract is on the basis of piece rate. For those cases, code 1 will be recorded, otherwise code 2.

piece rate 1
contract rate 2

5.5.1.18 **Column (18): Type of specifications:** The specifications laid by the ‘employer’ may be written one or oral and accordingly, code 1 or 2 will be recorded..

written 1
oral 2
not known 9

5.5.1.19 **Column (19): For persons of age 15 years and above (15+) having codes 81-97 in col.3, skill possessed :** For the persons of **age 15 years and above** and not ‘working’ as per the usual principal status i.e. those of **age 15 +** with codes 81-97 in col. 3, the information as to whether the person has acquired any of the listed skills as on the date of survey is to be recorded in this column. Skill is defined as any marketable expertise. It is neither necessary that such a skill is acquired in any formal manner nor that the person is actually marketing it or intends to market it. When a person has acquired skill in more than one of the listed skills, the skill in which the person is more proficient will be considered. Skill will be recorded irrespective of the level of general and technical education. The list of skills to be considered and the codes to be used are given below.

<u>skill</u>	<u>code</u>	<u>skill</u>	<u>code</u>
typist, stenographer	01	blacksmith	23
word processing	02	goldsmith/silversmith	24
computer programming	03	electrician	25
data entry operator	04	repairer of electronic goods...	26
fisherman	05	motor vehicle driver,,	
washerman	06	tractor driver	27
miner/quarryman	07	boatman	28
spinner including		potter	29
charkha operator.....	08	nurse, midwife	30
weaver	09	basket maker, wicker	
tailor, cutter	10	product maker	31
decorator	11	toy-maker	32
shoemaker, cobbler	12	sports goods maker	33
carpenter	13	brick maker, tile maker	34
mason, bricklayer	14	bidi maker	35
moulder	15	agarbatti maker	36
mechanic	16	book binder	37
machineman	17	artist/painter	38
craftsman	18	barber	39
fitter	19	mudhouse builder & thatcher	40
die-maker	20	others	41
welder	21		
plumber	22	<i>no skill</i>	99

5.5.1.20 Column (20): For codes other than 81 in column (3), period of seeking/availability for work for some period during last 365 days: The principal usual activity status of each person is recorded in column (3). It is to be ascertained from persons whose principal usual activity status was - either employed (codes 11-51) or out of labour force (codes 91-97) - i.e., other than code 81 in column (3), whether they were seeking/available for work for some period during last 365 days or not. For example, a person may be employed in his/her principal usual activity status based on the majority time criterion. But he/she may have been looking for work for some period. Similarly, a girl may have been looking for job for sometime but subsequently got married and was engaged in the domestic duties. The latter activity might have been pursued for a relatively longer period. In all such cases, one of the codes 1 to 3 will be given in column (20), depending on the period (not necessarily continuous) they were seeking/available for work. If a person was not seeking or available for work any time during the preceding 365 days, the appropriate code will be 4. The code structure applicable to this column is as given below :

yes : less than 1 month	1
1 to 3 months	2
3 to 6 months	3
no	4

5.5.2.0 Block 5.2: Usual subsidiary economic activity particulars of household members: This block will be filled in for those who have reported to have carried out some *economic*

activity in the subsidiary capacity, i.e., **for those with code 1 in col. 7 of Block 5.1**. The usual subsidiary *economic* activity particulars of each member of the household will be collected in this block. This will include information on industry-occupation of the working members and the particulars of the enterprises in which they are working in subsidiary status. The particulars of usual activity are collected with reference to a period of 365 days preceding the date of survey. The relevant concepts like 'activity statuses', 'economic activity', 'principal usual activity', 'subsidiary economic activity' etc. are explained in the beginning of this chapter under 'concepts & definitions'. It may be noted that a person might have performed more than one economic activity in the subsidiary capacity during the reference period of 365 days preceding the date of survey. Provision has been kept to record the details of maximum of two subsidiary *economic* activities only, the two being those in which relatively more time had been spent out of many subsidiary activities. The description of the item and the procedure for recording them are explained below:

5.5.2.1 cols. (1) & (2): Srl. no. & age, as in cols. (1) & (5) of block 4: The entries in these two columns are to be copied from cols. 1 and 5 of block 4, for each of the members of the household. For the persons engaged in *one subsidiary economic activity* (i.e. those with code 1 in column (8), Block 5.1), the details of the subsidiary economic activity will be collected against the rows under 'subsidiary status number I'. If the person is engaged in *two or more subsidiary economic activities*, i.e. those with code 2 or 3 in column (8) of Block 5.1, the details of the subsidiary economic activity pursued for the maximum time period among all the subsidiary economic activities or in other words, major subsidiary economic activity, will be collected against the rows under 'subsidiary status number I' and the next major one under 'subsidiary status number II'. It is quite possible that a particular serial number and age appear under both 'subsidiary status number I' as well as 'subsidiary status number II'. Columns 7 to 16 of Block 5.2 are same as columns 9 to 18, respectively, of Block 5.1. **Note that the particulars to be collected in columns 7 to 16 will pertain to the subsidiary status (col. 3) and industry (col. 5) obtained for the person.** The detailed instructions for these columns are also the same as those given in Block 5.1. These are not repeated here. However, the following points may be noted:

- i) **Only the subsidiary *economic* activity particulars will be recorded in this block.** Activity status codes 11, 12, 21, 31, 41 and 51 relate to economic activity and only these codes are applicable for col.3,
- ii) 5 digit industry sub-class code as in NIC 1998 is to be recorded in col. 5, and
- iii) 3 digit occupation code as in NCO 1968 is to be recorded in col. 6.

5.5.3.0 Block 5.3: time disposition during the week : This block is meant for recording the time disposition for all the 7 days preceding the date of survey, the current weekly status based on the 7 days time disposition, wage and salary earnings during the week, etc. *Time disposition will be recorded for every member in the household listed in block 4.* This involves recording of different activities pursued by the members along with the time intensity in quantitative terms for each day of the reference week. The different activities will be identified and recorded in terms of 'status' and 'industry' codes for persons in urban areas and 'status', 'industry' and 'operation' codes for persons in rural areas. The time intensity will be measured in half-day units. Since a person may be engaged in more than one type of activity on a single day, more than one line have been provided for each person in this block to record information on different activity particulars in separate lines.

5.5.3.1 **Columns (1) & (2) : Srl. no. and age:** In columns (1) and (2) of this block, serial number of each person and his/her age recorded in columns (1) and (5), respectively of block 4, will be copied. The serial numbers in block 5.3 will be entered sequentially as they appear in col. (1) of block 4. Provision have been made to record particulars of five persons in one page. Three such sheets have been provided. In case more pages are required to accommodate all the persons listed in block 4, additional sheets of block 5.3 may be used. These sheets should be firmly stapled with the main schedule at the appropriate place.

Since a person may pursue more than one activity during the seven days of the reference week, four lines have been provided for each serial number recorded in column (1) for making separate entries relevant to the different activities on a day (two such activities) on different days of the reference week. Past experience indicates that provision of four lines will cover almost all the situations. However, if a person reports more than four different activities during the reference week the block of four lines meant for the next serial number of persons may be utilised by putting cross (x) marks in columns (1) and (2) and continuous serial numbers in column (3). Obviously, the particulars of the next person will be entered in the cell meant for serial number of persons subsequent to the cell already utilised for the previous person. In the case of children 0-4 years, their particulars will be entered and status code 97 will be assigned to them with intensity 1.0 without any probing.

5.5.3.2 **Column(3): Serial no. of activity:** For each persons listed in column (1) of this block (which will be same as listed in column (1) of block 4) the different activities pursued by them during all the seven days of the reference week will be serially numbered and this serial number of activity will be recorded in column (3). Presuming that the likelihood of one person pursuing more than four different activities in a week is rather remote, only four lines are provided for each person. As stated earlier, if a person pursue more than four different activities, the lines meant for the next person may be utilised. **The current activity of a person in the rural areas is denoted by his status-cum-industry-cum-operation.** Thus for a person with the same status, if the industry (at the *tabulation category* level) or operation are different on the same or different days, he will be considered to have pursued different activities and these activities will be entered in different lines. Similarly, **for the urban areas the current activity of a person is denoted by his status-cum-industry.** Thus, if a person in urban areas ploughs his own field in the first half of the day and sows in the second half of the day he will be considered to have only one activity during the day. But for rural areas, he will be considered to have two activities.

5.5.3.3 **Column (4): Status:** The current activity 'status' codes corresponding to the serial number of activity entered in column (3) will be recorded in this column. The status codes which will be used in recording daily activity particulars and the weekly activity particulars are as follows :

activity status	code
situation of working or being engaged in economic activities (employed)	
worked in hh. enterprise (self-employed) as own account worker	11
.....	
worked in hh. enterprise (self-employed) as employer	12
worked as helper in hh. enterprises (unpaid family worker)	21
worked as regular salaried/wage employee	31

1.0. In the case of a cultivator, a village artisan or a small trader, it should not be presumed that a few hours on a day, say during the lean periods of the year is their normal work, and the intensity 1.0 need not necessarily be recorded for them. Since the particular block of the schedule is meant for recording the information on periodical or seasonal under-utilisation of available labour time, careful probes about the nature of work performed by a person during the day has to be made before recording the relevant entries. To illustrate, in so far as the daily activity pattern of a person is concerned, the following seven different situations can be visualised:

- (i) on a single day a person may be engaged fully in one economic activity;
- (ii) on a single day a person may be engaged in two different types of economic activities;
- (iii) on a single day a person may be partly engaged in economic activity and for the rest of the time he may be seeking or available for work and at the same time may or may not be engaged in some non-economic activities;
- (iv) on a single day a person may be partly engaged in economic activity and during the rest of the time he may not be available for work for the whole day and at the same time may *or may not be doing some non-economic activities*;
- (v) on a single day a person may be available for work for the entire day;
- (vi) on a single day a person may be available for work for part of the day and for the remaining part he may not be available for work and may be pursuing some non-economic activity and
- (vii) on a single day a person may be fully engaged in non-economic activities.

Which of the status codes are to be entered in column (4) will depend on whichever of the above situations are obtaining for a person on the different days of the reference week. The investigator is to first ascertain the exact situation from the informant and will record the appropriate status code or codes, as the case may be, in this column using the priority-cum-major time criterion. The relevant codes to be used for recording the status are already given. In case more than one 'non-economic activity status' (codes 91-98) are assignable to a person, in view of the typical activity pattern followed by him/her during the reference period, 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' simply because he/she was attending some training. Similarly, a disabled person who was a recipient of regular pensions, remittances, etc. should be classified as 'rentiers, pensioners, remittance recipients, etc.' (code 94) and not as the category 'not able to work due to disability' (code 95). The following illustrations may be noted for general guidance.

- (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 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) 'Free collection for sale' will be treated as self-employment.

5.5.3.4 Column (5): Industry (division): For each status code grouped under the activity category 'working' (i.e., for the status codes 11-72 recorded in column 4), the sector of activity in two digit code i.e., the industry division (NIC 1998) will be entered in column (5) in terms of the specified code numbers.

5.5.3.5 Column (6): Operation: This column will be filled in for persons belonging to the rural households only. The actual working operation performed by the persons relevant to the status codes grouped under the activity category working (i.e., status codes 11-72) will be entered in terms of code numbers in this column. It may be noted that for regular salaried/wage employees on leave or holiday the 'operation' will relate to their respective function in the work or job from which he is temporarily off in view of his taking leave or holiday. Similarly for persons categorised 'self-employed' (status codes 11, 12 & 21) if they are not at work on a particular day inspite of their having work on that day, operation to be recorded will relate to the work they would have done if they had not enjoyed leisure on that day. The relevant codes to be used for making entries in this column are :

a) *manual work in cultivation* :

ploughing - 01	sowing - 02	transplanting - 03
weeding - 04	harvesting -05	other cultivation activities - 06;

b) *manual work in other agricultural activities* :

forestry - 07	plantation - 08	animal husbandry- 09
fisheries - 10	other agricultural activities - 11;	

c) *manual work in non-agricultural activities* - 12;

d) *non-manual work in* :

cultivation - 13	activities other than cultivation- 14.
------------------	--

Cultivation : All activities relating to production of crops and related ancillary activities will be considered cultivation. Growing of trees/plants/crops (such as rubber, cashew, coconut, pepper, coffee, tea, etc.) as plantation or orchards will not be considered cultivation activity. In general, the activities covered under the industry sub-classes 01111, 01112, 01113, 01115, 01119, 01121, 01122 and 01135 (excepting plantation of pepper and cardamom) will be considered cultivation.

5.5.3.6 Columns (7) - (13): Intensity of activity: For each activity recorded in column (3), the intensity with which the particular activity is performed on the different days of the reference week will be recorded in quantitative terms 'half' or 'full' in these columns. As described earlier, for each activity listed in column (3) either one 'full' intensity or two 'half' intensity may be assigned to a person on any one of the seven days of the reference week. For a particular activity, the recording of entries in columns (7) - (13) should start from column (7) which is provided for recording the intensity of that activity on the seventh day of the reference week, i.e., the day preceding the date of survey. Similarly, the intensity of that activity on the sixth, fifth and earlier days of the week will be recorded in columns (8), (9), (10), (11), (12) and (13) respectively. If the intensity of an activity is 'full' on a particular day, '1.0' will be recorded in the relevant column. On the other hand, if the intensity is 'half', the entry will be '0.5'. If that particular activity is not pursued on some other days of the reference week, the corresponding columns provided in the block for those days will be left blank against that activity. For each day, thus for

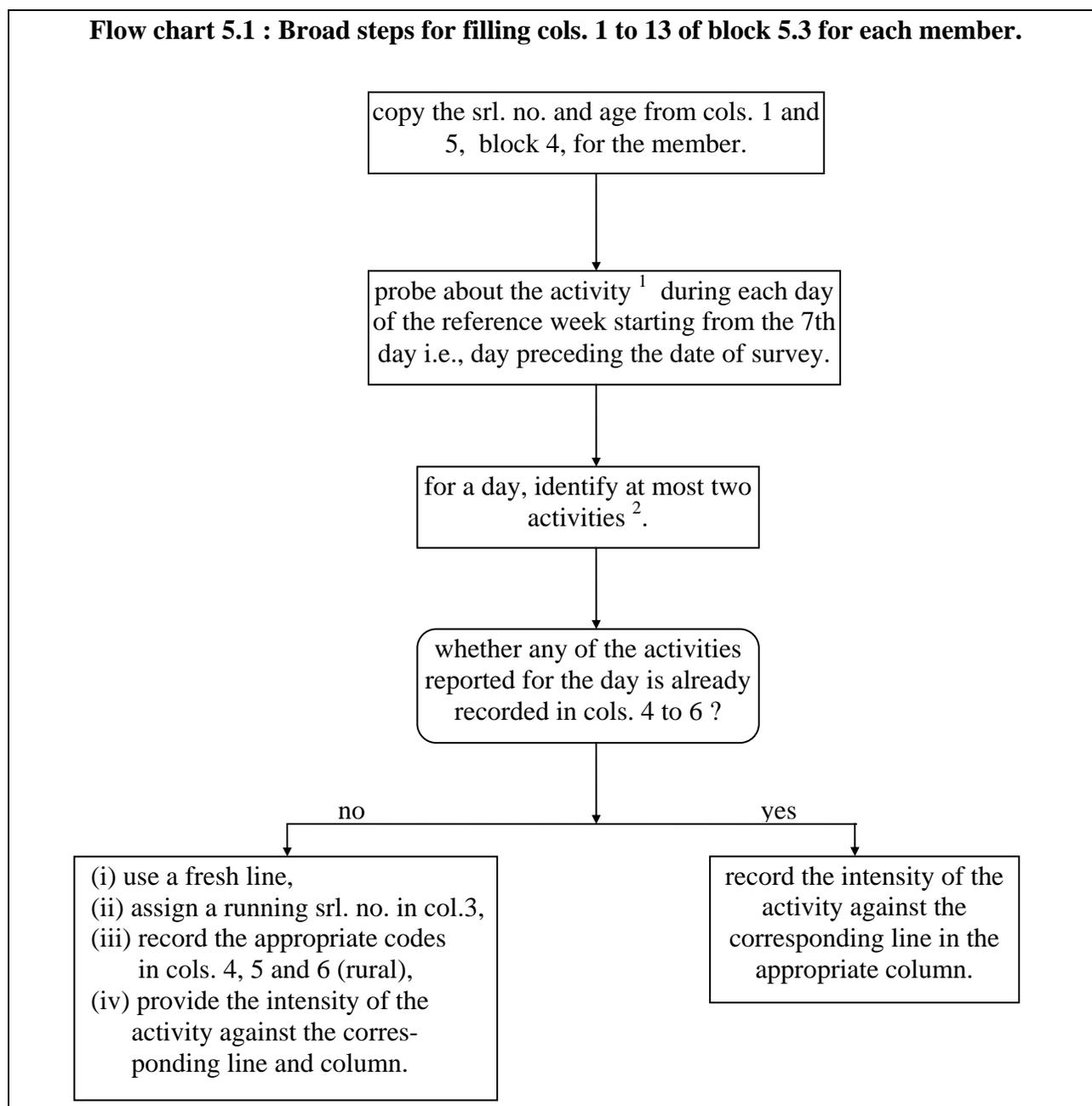
a person, either there will be only one entry with intensity 1.0 in any one of the lines or two entries with intensity 0.5 each in any two of the lines.

5.5.3.7 For determining the various activities pursued by a person during the reference week and their intensities, the following thumb rule may be adopted :

(a) If a person had worked or was employed, that is, if he was engaged in any one or more of the activities 11-72 for four hours or more on a day he would be considered 'working' or 'employed' for the whole day and assigned the one or two out of the different work activities on which he devoted relatively long time. In the former case, intensity will be 1.0 and in the latter cases, 0.5 for each of the two activities recorded.

(b) A person, who had worked for 1 hour or more but less than 4 hours on a day, would be considered 'working' for half day and for the other half he would be considered either 'seeking or available for work' i.e., 'unemployed' (code 81 or 82) or as 'neither working nor available for work', i.e., 'not in labour force' (91-98) depending on whether or not the person was seeking/available for work. The person will be assigned the relevant work status code (11-72) with 'half' intensity and non-work status code 81 or 82 if 'unemployed' and any one of the relevant codes 91-98 if 'not in labour force', with 'half' intensity.

(c) If a person had not worked even for an hour on the day but had sought work or was available for work for four hours or more, he/she would be considered unemployed for the whole day and assigned the code 81 or 82 as the case might be with 'full' intensity. But if he/she sought work or was available for work for one hour or more but less than four hours, he/she would be considered 'unemployed' for half day and assigned the activity status code 81 or 82 with 'half' intensity and 'not in labour force' with 'half' intensity for the other half of the day, for which the relevant code (any one of the codes 91-98) would be assigned.



Note: 1. An activity relating to work will be identified on the basis of the status-cum-industry-cum-operation in the rural areas and on the basis of status-cum-industry in the urban areas. An activity relating to other than work will be identified on the basis of status only both in rural and urban areas.

2. On a day, a person will be considered to have been engaged in one activity with full intensity (1.0) or in two activities with half intensity (0.5). Of the many activities, two activities to be chosen based on priority-cum-major time criterion.

(d) A person not so considered 'employed', or 'unemployed' either for 'full' day or 'half' day as shown in (a), (b) or (c), would be considered the relevant activity code 91-98 with intensity 'full' (or two of them with each having intensity 'half', as the case may be). The above procedure, which will be the second stage in block 5.3 is given in Flow Chart 5.2.

In the case of a person engaged in self-employment, such as a doctor, a stationary or peripatetic trader or vendor, a free lance artisan or a mason or a carpenter, etc. the following may be kept in view while recording entries on intensity.

(i) A doctor sitting in his chamber for 4 hours or more, no matter whether he examined and prescribed medicine for a single patient or not, intensity 1.0 should be recorded.

(ii) For stationary or peripatetic vendor or trader moving around in his professional rounds for 4 or more hours, intensity 1.0 should be recorded whatever little business is done by the person.

(iii) For recording intensity (entries 1.0 or 0.5) in columns (7) - (13) in the cases of masons or carpenters in their professional rounds, similar procedure is to be adopted.

In the case of regular or casual salaried or wage employees, the activity beyond the normal working hours need not be considered for recording entries in these columns. On the other hand, if a person pursues two economic activities of duration, say 4-5 hours each, both are to be recorded with 0.5 intensity for each. In the case of self-employed persons, time spent on any ancillary activity relating to the actual activity of production of goods or services, will also be considered as time spent on 'work'. In this connection, it may be noted '**exchange labour**' will be considered as 'work' performed in 'self-employed' capacity.

5.5.3.8 Column (14): Total number of days in each activity: The number of days for which a particular activity was pursued during the seven day, i.e., the total of columns (7) - (13) will be recorded in one place of decimal in column (14) separately for each activity listed in column (3). It may be noted that the total number of days for all the activities taken together should always be 7.0 for each individual entered in column (1).

5.5.3.9 Column (15) - (17): Wage and salary earnings (received or receivable) for the work done during the week (Rs): The wage and salary earnings (not total earnings) receivable for the wage/salaried work done during the reference week, separately for each of the relevant activities pursued by each person, will be recorded in these columns. The relevant status codes for which wages & salary earnings are to be recorded are 31, 41, 51, 71 and 72. The wages and salaries receivable for the work done during the reference week may be already received or may still be due to be received in cash or in kind or partly in cash and partly in kind. The total wage or salary receivable for the week in cash will be recorded in column (15) and the value (**evaluated at the current retail price**) of salary or wages in kind receivable for the week will be recorded in column (16). The total of columns (15) and (16) will be entered in column (17). *The entries for all these columns will be made in whole rupees.* For recording the wages or salaries, amount receivable as '*over time*' for the additional work done beyond normal working time will be **included**. Bonus (expected or paid) and perquisites evaluated at retail prices duly apportioned for the reference week, will be considered as wages and **included** for making entries in these

columns. For the activity status '71' and '72', the amount receivable for the week will be worked out on the basis of the number of days reported under the activity during the week.

5.5.3.10 Column (18): Mode of payment: The relevant status codes for which this item will be filled in are 31, 41, 51, 71, and 72. The mode of payment made by the employer will be recorded in this column in terms of codes. The codes to be used for recording entries are given below:

piece rate in cash: daily-01, weekly-02, fortnightly-03, monthly-04, other-05.

piece rate in kind: daily-06, weekly-07, fortnightly-08, monthly-09, other-10.

piece rate in both cash and kind: daily-11, weekly-12, fortnightly-13, monthly-14, other-15.

other (non-piece) rate in cash: daily-16, weekly-17, fortnightly-18, monthly-19, other-20.

other (non-piece) rate in kind: daily-21, weekly-22, fortnightly-23, monthly-24, other-25.

other (non-piece) rate in both

cash and kind: daily-26, weekly-27, fortnightly-28, monthly-29, other-30.

5.5.3.11 Column (19): Total number of days with nominal work: Some of the persons reporting days with half intensity of work might have had work only for say, 1-2 hours on certain days out of them. Such days would be considered as days with nominal work. For each person, total number of days out of the 7 days reference period with only nominal work would be recorded in this column against the relevant person.

5.5.3.12 Column (20): Current weekly status (codes): Based on the activity statuses obtaining for a person on the seven days of the reference week, the current weekly status is to be identified and the status code so obtained is to be recorded here. This will be done as follows.

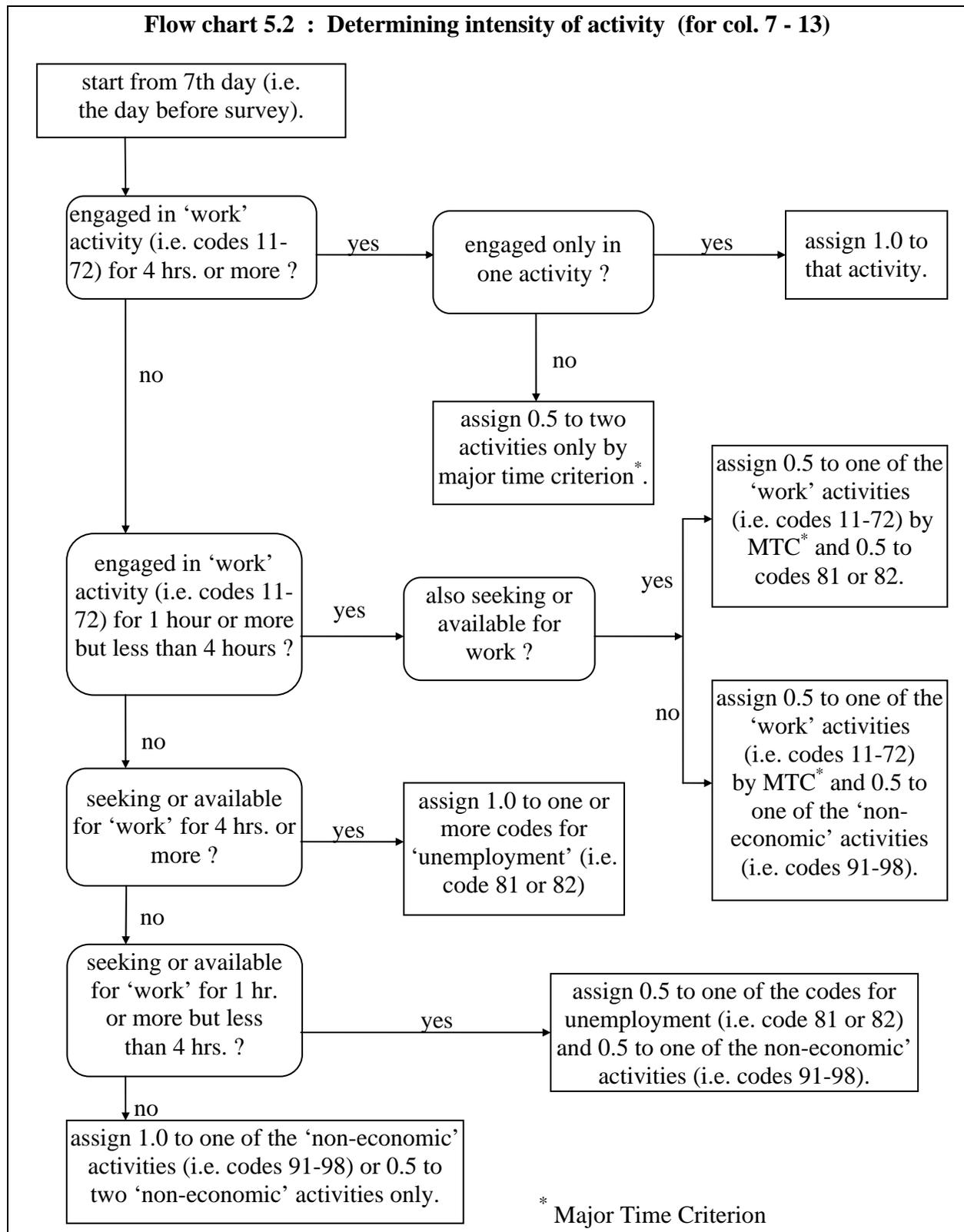
As already explained the activity statuses of a person falls into one of three broad categories, viz. employed (any of codes 11-72), unemployed (any of codes 81 or 82) and out of labour force (any of codes 91-98). The activity statuses for any day of the seven days is recorded in column (4). If any of these is a work related activity code i.e., any of 11 to 72 the person will fall in the employed category on the current weekly status. In other words, if the person is found to have been assigned a work status code on any of the day of the last week he will be considered as working in the current weekly status. For assigning the unemployed status code (i.e., either 81 or 82) to a person as his weekly activity status code, the person *should not have had any work activity status codes* on any of the days of the last week but should have one of codes 81 or 82 on at least one day of the last week (i.e., the entry in column (4) should not be any of 11-72 but should be 81 or 82 against one of the serial nos. of activity). Persons without any of codes 11-82 in column (4) will be those who will be treated as out of labour force in the current weekly status.

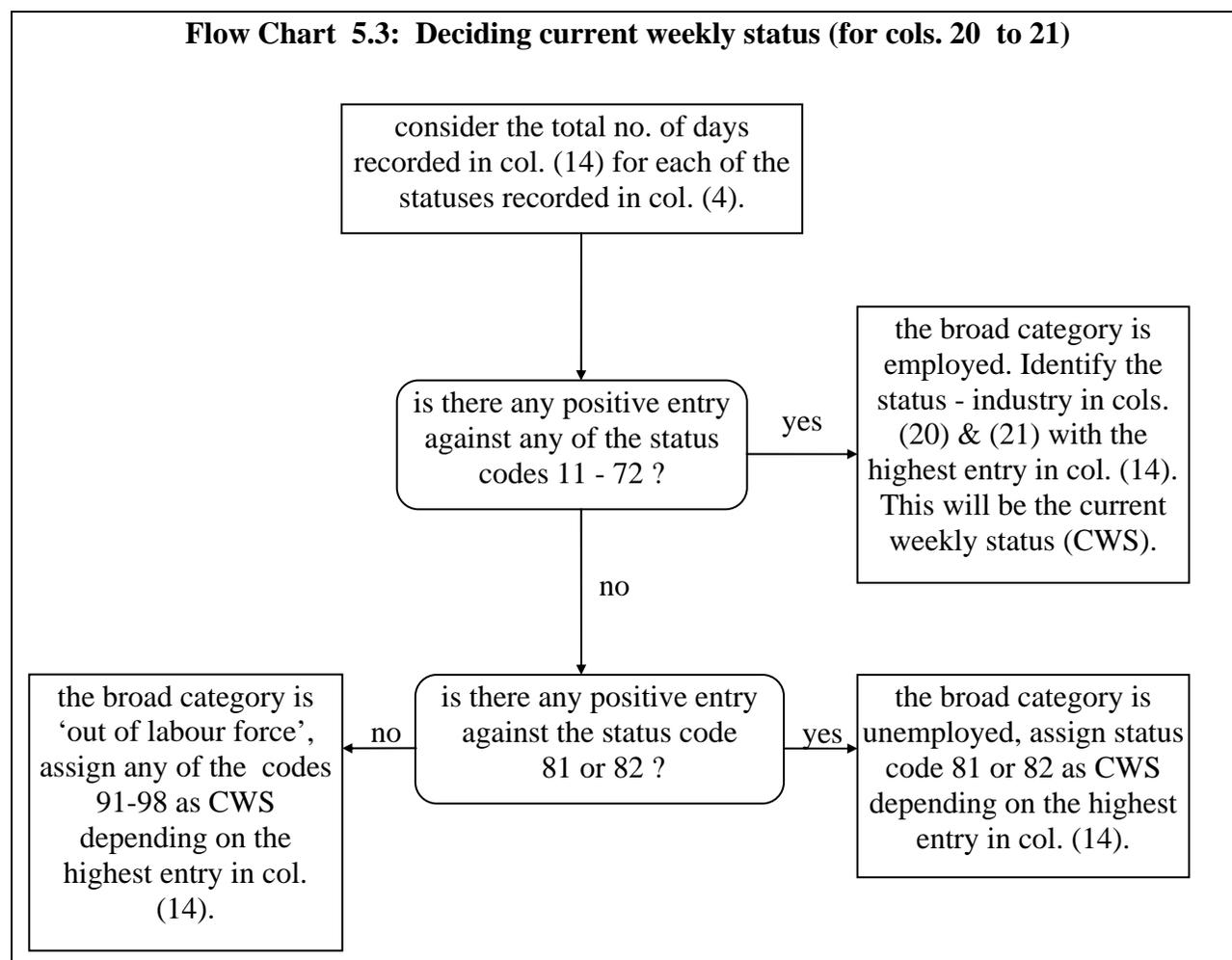
Further within the three broad activity status categorisation, the detailed activity status codes will be assigned taking into account the number of days in each activity recorded in column (14) in terms of the aggregate of intensities obtaining on various days. Within the broad activity status category identified for a person, the activity status code in column (4) which has the highest value in column (14) will be recorded in column (20). A few cases are reported below as illustrations.

The entries for column (20) will be made in the line corresponding to the first line for each person, i.e., the line in which serial no. of activity in col. (3) is 1. This third stage of assigning the CWS to the person is explained in the form of a flow chart (Flow Chart 5.3).

5.5.3.13 Columns (21 & 22): Industry and occupation: For persons with any of codes 11-72 in column (20), the 5-digit industry (NIC 1998) and 3-digit occupation (NCO 1968) will be recorded in these two columns. **Note that to identify certain category of workers separately, NIC 1998 industry class code 9500 has been split and given in para 5.5.1.3.** Those are to be considered here also. The industry and occupation will correspond to the economic activity in which the highest no. of days have been spent as explained in the previous para. In the cases where equal number of days is spent on two or more activities (like in case of person with serial no. 4 in the above example) the industry and occupation corresponding to the activity appearing first in the code list will be noted in columns (21) & (22).

reference to block 5.3 columns					
srl. no. of person <i>col.(1)</i>	srl. no. of activity <i>col.(3)</i>	status col. (4)	industry division <i>col.(5)</i>	total no. of days in each activity <i>col.(14)</i>	current activity status <i>col.(20)</i>
(1)	(2)	(3)	(4)	(5)	(6)
1		51	01	3.5	51
	2	41	50	2.0	
	3	98	-	1.5	
2	1	82	-	1.0	82
	2	92	-	6.0	
3	1	11	01	0.5	11
	2	81	-	6.5	
4	1	11	01	3.0	11
	2	11	61	3.0	
	3	92	-	1.0	

Flow chart 5.2 : Determining intensity of activity (for col. 7 - 13)



5.5.3.14 Column (23): Whether unemployed on all the 7 days of the week: From the daily time disposition recorded in columns (7) to (13), it is to be ascertained whether the person was unemployed on all the seven days i.e., if he/she had code 81 or 82 in column (4) and intensity 1.0 on all the seven days. Code 1 or 2 will be recorded depending on the situation.

5.6.0 Block 6: Follow-up questions for persons unemployed on all the seven days of the week: This block is meant for collecting information on persons who are found to be unemployed on all the seven days of the week preceding the date of survey. Such persons will be identified on the basis of the daily time disposition recorded in block 5.3, and column (23) of block 5.3 will have code 1 for such persons. Information to be recorded in this block broadly includes their past employment and the particulars of such employment. The item-wise description of the block is as under.

5.6.1 Columns (1) & (2): Serial no. and age (years): The serial number and age of persons with code 1 in column (23) of block 5.3 will be copied in these columns in the same order as they appear in block 5.3.

5.6.2 Column (3) : Whether ever worked (yes -1, no -2): The purpose of this item is to separate first time job seekers from persons who worked sometime in the past but are now unemployed. As the subsequent columns will be used to record the details of last employment, this last

employment will mean having more or less regular work at least for some time. Thus among the unemployed, those who had more or less regular work at least for sometime in the past will be given code 1 in column (3).

5.6.3 Columns (4)-(9) : If code 1 in col. (3), particulars of last employment : Columns (4) - (9) will be used to record the particulars of the last employment of those who had some employment in the past. Procedure for recording the particulars are explained in the subsequent paragraphs.

5.6.4 Column (4): Duration: The duration of the last employment will be recorded in codes which are:

only 1 week	1	2 to 3 months	5
1 to 2 weeks	2	3 to 6 months	6
2 weeks to 1 month ...	3	6 to 12 months	7
1 to 2 months	4	12 months & above	8

5.6.5 Column (5): Status : Status refers to the status of job like self-employment, casual labour, etc. and the codes used for usual status relating to employment (i.e. 11-51) only will be applicable.

5.6.6 Columns (6) & (7): Industry & Occupation: 5 digit industry code as per NIC 1998 and 3 digit occupation code as per NCO 1968, respectively, applicable to the last employment will be entered in these two columns.

5.6.7 Column (8): Reason for break in employment: This column is meant for recording the reason for break in or termination of the last job held by the persons. These reasons are coded as follows :

loss of earlier job	1
quit earlier job	2
lay-off without pay	3
unit has closed down	4
lack of work in the enterprise (for self-employed person)	5
lack of work in the area (for casual labour)	6
others	9

The appropriate reason has to be identified through suitable probes. Loss of earlier job will include cases where person is removed from service or work due to temporary nature of work contract, on disciplinary grounds, retrenchment, retirement and all such involuntary breaks other than those covered under codes 2, 4, 5 or 6. Quit earlier job (code 2) will be applicable for persons who have left the job on their own volition, may be owing to compelling circumstances. (The reason for doing so will be further recorded in column 9). Lay-off is defined as 'failure/refusal/inability of an employer to give employment to a workman whose name is borne on the master rolls and who has not been retrenched'. Those laid-off with some pay are treated

as employed. Those laid-off without any pay will be considered as unemployed and for such persons code 3 will be given. If the unit in which the person was working has closed down due to lack of demand, difficulties in running the unit or any other reason and consequently person is thrown out of employment, code 4 will be applicable. For those who were self-employed and are now out of job as there is lack of work in the enterprise due to fall in demand, scarcity of raw materials etc., code 5 will be recorded. Persons who are engaged as self-employed in the seasonal enterprises and are unemployed during the off season owing to lack of work in the enterprise will also be given code 5. However, if such an enterprise is closed down permanently, applicable code will be 4 and not 5. For those employed as casual workers and are out of work as there is no work in his/her area, code 6 will be given. This should be distinguished from those casual labour employed in enterprises with some regularity and coming under reasons 1, 2, 3 or 4. Thus, one of the reasons should be identified in a sequential manner starting with reason code 1. Reasons which cannot be coded in 1-6 will be given code 9.

5.6.8 Column (9): If code 2 in col. 8, reason for quitting job: For those persons who have quit their job (i.e. code 2 in column 8) the reason for quitting the job will be recorded as follows:

work was not remunerative enough	1
unpleasant environment.....	2
employer harsh.....	3
health hazard.....	4
to avail benefits of voluntary retirement.....	5
others.....	9

Codes are self-explanatory. Unpleasant environment will be **excluding** the factor mentioned for codes 3 & 4. In case more than one code is applicable, the code which appears first in the code list will be given.

5.7.1.0 Block 7.1: Follow-up questions on availability of work to persons working in the usual principal or subsidiary status (activity - I) (i.e. those with codes 11-51 either in col. 3 of bl. 5.1 or bl. 5.2 under subsidiary activity status - I): In this block an attempt is made to collect information on certain qualitative aspects of employment of those who are categorised as employed either in the principal or subsidiary status (**activity - I**). The procedure for recording the information under each column described below:

5.7.1.1 Column (1) & (2): Srl no. and age as in block 5.1: As already stated, this block will be filled in only for those who are employed either in the principal status or subsidiary status (i.e. codes 11-51 in col. 3 of block 5.1 or block 5.2). The serial number and age of such persons only will be copied from block 5.1 in the same order in columns (1) and (2), respectively.

5.7.1.2 Columns (3) & (4): Usual activity status: Principal and subsidiary: The principal activity status and subsidiary activity status (**activity - I**) will be copied from column (3) of block 5.1 and 5.2 to columns (3) and (4), respectively, as described below.

(i) For persons having one of the codes 11-51 in col. (3) of block 5.1, the entry same as that in col. (3) of block 5.1 will be made in col.(3) of block 7.1. A cross (x) mark will be put in col.(4) of block 7.1 for such persons.

(ii) For persons having one of the codes 81-98 in col.(3) of block 5.1 and one of the codes 11-51 in col.(3) of block 5.2 under subsidiary activity status (**I**), the entry to be made in cols.(3) and (4) of block 7.1 will be copied from cols. (3) of blocks 5.1 and 5.2, respectively.

5.7.1.3 Column (5): Whether engaged mostly in full time or part time work during last 365 days: Columns (5) to (13) will be filled in for all those who are employed either in the principal or subsidiary status. In column (5) it will be ascertained if the person was engaged mostly in full time work or part time work during last 365 days. Those who are mostly engaged in full time work will be given code 1 and those who are mostly engaged in part time work will be given code 2.

full time	1
part time	2

5.7.1.4 Column (6): Whether worked more or less regularly during last 365 days (yes -1, no-2): According to the principal usual status approach, the broad activities category has been determined on the basis of the major time criterion. Thus, the persons who are 'employed' in their principal status may or may not be employed throughout the last 365 days. By virtue of the procedure adopted for classification of activity statuses it is possible that some of them were not employed for considerable length of time. In the case of those who were employed only in the subsidiary status this will be the situation most often. Thus, this item will be filled in for both principal and subsidiary status employed. Those who have worked more or less regularly during the reference year will be given code 1. Others will be given code 2.

5.7.1.5 Column (7): Approximate no. of months without work (months): Column (7) will be filled in for all the members listed in this block irrespective of whether or not they have worked more or less regularly during the reference year i.e., irrespective of the entry in col. (6). This is contrary to the earlier round where information relating to this column was collected only for persons who did not work more or less regularly during the reference year. In column (7), the number of months a person was without work will be recorded. The months without work need not be continuous. It is quite possible that a person was without any work for a couple of months, then in employment for some months and again out of work for a couple of months. The total of all the months out of work will include months in which person was unemployed and also months in which he/she was out of labour force i.e. neither seeking/available for work. The actual number of months will be recorded. Part of month will be rounded off to the nearest month. Hence, if the period without work is reported to be less than 30 days but 15 days or more, it should be recorded as 1 (month). Note that some of those who have reported to have worked more or less regularly during the reference year, i.e. code 1 in col. (6), after deep probing, may be found to be without work for some months. For such persons also, number of months without work will be recorded in col. (7) and *entry* in col. (6) **should not be changed**.

5.7.1.6 Column (8): If entry ≥ 1 in col. 7, whether sought/available for work during those months: Column (8) will be filled in for entry greater than or equal to 1 in col. (7). The codes given below for col. (8) are self-explanatory:

yes : on most days	1
on some days	2
no	3

5.7.1.7 Column (9): If code 1 or 2 in col. 8, whether made any efforts to get work: For those who were not at work for some months and sought or were available for work on most or some days of those months, the efforts made by them to get work, viz. whether they registered in the employment exchange, or made other efforts, will be recorded here. Relevant codes to be entered in this column are:

yes : registered in employment exchange 1
 made other efforts 2
 no efforts 3

5.7.1.8 Column (10): Whether sought/available for additional work during the days he/she had work: As already mentioned in the column heading, the time reference to record whether the person was seeking/available for additional work will be that period of last 365 days during which the person was employed. Thus for a person whose principal usual status is unemployed but had subsidiary work for a relatively short period, the availability for additional work will refer only to the short period he/she was working. This criterion will be applicable to column (12) also. The entries will be made in codes given below:

yes : on most days 1
 on some days 2
 no 3

5.7.1.9 Column (11): If code 1 or 2 in col. (10), reason: The reason for seeking/available for additional work will be entered in this column in terms of codes as follows :

to supplement income 1
 not enough work 2
 both 3
 others 9

The codes are self-explanatory.

5.7.1.10 Column (12): Whether sought/available for alternative work during the days he/she had worked: As in the case of availability for additional work, information in respect of a person's availability for alternative work will be collected with reference to that period of last 365 days during which he/she was employed. The entry will be made in codes as given below. Alternative work will mean alternative occupation.

yes : on most days 1
 on some days 2
 no 3

5.7.1.11 Column (13): If code 1 or 2 in col.(12), reason: For those who 'sought/available' for alternative work at least for some days, the reason for doing so will be recorded in codes as follows.

present work not remunerative enough 1
 no job satisfaction 2

lack of job security	3
work place too far	4
wants wage/salary job	5
others	9

When more than one code is applicable, the code **appearing first in the list** may be given.

5.7.2.0 Block 7.2: Follow-up questions on change of nature of work and/or establishment to persons working in the usual principal or subsidiary status (activity - I) (i.e. with codes 11-51 in col. 3 of bl. 5.1 or 5.2): This block will be filled in only for persons categorised as employed either in principal or subsidiary status (**I**). Attempt is made to collect information on certain qualitative aspects of mobility - changes in occupation, industry, establishment, etc., for the employed in the principal status and membership in trade unions, nature of employment, etc. for the employed either in the principal or subsidiary status.

5.7.2.1 Column (1) & (2): Serial no. and age as in block 5.1: As already stated, this block will be filled in only for those who are employed either in the principal status or subsidiary status (i.e. codes 11-51 in col. 3 of block 5.1 or 5.2). The serial number and age of such persons only will be recorded here. Since these persons have already been listed in block 7.1, these may be copied also from block 7.1 in the same order in columns (1) and (2), respectively.

5.7.2.2 Columns (3) & (4): Usual activity status: principal and subsidiary: The principal activity status and subsidiary activity status (subs. activity I) will be copied from column (3) and column (4) of block 7.1 to columns (3) and (4), respectively in block 7.2, for each of the persons listed in this block.

5.7.2.3 Column (5): Is there any union/association in your activity?: Union/association will mean any registered/recognised body whose membership is open to a section of those engaged in a specific activity or trade and whose main objective is to look into the interests of its members. **‘Trade’ here refers to any occupation under the usual statuses 11-51.** Thus besides the usual trade unions, association of owners, self-employed persons, etc. will also be covered. The union/association sometimes may be a large body like a factory union looking after the welfare of different types/levels of workers. Depending on the respondents reply, codes 1, 2 or 3 will be recorded in this column. It is to be noted that even if a self-employed person is aware of an association which looks after the interests of those of his kind, the answer to the question will be 'no' (code-2) if the membership of such an association is not open to him or the association does not cover the locality where he/she runs the enterprise. It is possible that some of the self-employed persons are not aware of the existence of any association of the kind described above relating to his trade. In such cases, code 9 will be entered in column (5).

yes	1
no	2
not known	3

5.7.2.4 Column (6): If ‘yes’ (code 1) in col.(5), whether a member of union/association (yes-1, no-2): If the respondent reports that a union/association as discussed in para 5.7.2.3 exists in his

activity, it is to be ascertained if he/she is a member of that union/association, code 1 or 2 will be recorded accordingly.

Columns (7) and (8) will be filled in only for those who are workers i.e., those with activity status codes any of 11-51 in col.(3) or (4).

5.7.2.5 Column (7): Nature of employment: In column (7), the nature of employment (i.e., whether permanent or temporary) will be recorded in terms of code. Nature of employment will be considered as permanent if the person is in normal course likely to continue in the same employment. Code 1 or 2 will be given if the employment is permanent or temporary respectively.

permanent 1

temporary 2

5.7.2.6 Column (8): Whether covered under Provident Fund: It will be ascertained from the regular wage/salaried employees whether they are covered under any Provident Fund or not. The following code structure is to be adopted:

yes: GPF 1

CPF 2

PPF 3

combination of GPF

CPF or PPF 4

no 5

5.7.2.7 Columns (9) to (15): Whether during last 2 years changed - work activity status, industry, occupation and establishment along with the earlier position: In columns (9) - (15) information on whether during the last 2 years, the person has changed - work activity status, industry, occupation and establishment will be ascertained and filled in. If a change is reported, the earlier position in that regard would also be ascertained. Note that these columns will be filled in only for those **who are employed in the principal usual status** (i.e. persons with code 11-51 in col. 3).

5.7.2.8 Columns (9) & (10): Whether during last 2 years changed work activity status and if changed, last activity status: It will be ascertained whether or not the person has changed his/her usual principal **work** activity status (i.e. work statuses 11-51) during the last 2 years. Code 1 will be assigned if he has changed the work status and code 2 if not. For persons with code 1 in col. 9, that is, those reporting a change in work status, the last usual principal work activity status prior to this change will be recorded in col. 10. The codes applicable in col. 10 are any of 11 to 51 only. (The detailed code structure is given for col. 3, block 5.1). Note that during the last 2 years, if a person was initially unemployed or out of labour force and he/she is employed now according to usual principal status, then he/she **will not be** considered to have changed his/her activity status as the work activity status did not change. It is quite possible that during the period in between the changes in the work activity status, a person was unemployed or out of labour force. Such a person **will be** considered to have changed his/her work activity status and code 1

will be recorded here. In the case of more than one change in work statuses, the work status prior to the **last change** will be recorded in col. (10).

5.7.2.9 Columns (11) & (12): Whether during last 2 years changed industry and if changed, last industry (2 digit NIC-1998) : Whether or not the person has changed his/her industry (2 digit NIC-1998 code) of work during the last 2 years will be ascertained and code 1 or 2 will be assigned to the person for an affirmative reply or otherwise. For persons with code 1 in col. (11), that is, those reporting a change in industry, the last industry of work will be recorded in col. (12) in terms of 2 digit NIC-1998 codes.

5.7.2.10 Columns (13) & (14): Whether during last 2 years changed occupation and if changed, last occupation (2 digit NCO-1968): Whether or not the person has changed his/her occupation during the last 2 years will be ascertained and code 1 or 2 will be assigned to the person for an affirmative reply or otherwise. For persons with code 1 in col. (13), that is, those reporting a change in occupation, the last occupation will be recorded in col. (14) in terms of 2 digit NCO-1968 codes.

5.7.2.11 Column (15): Whether during last 2 years changed establishment: For the workers in the usual principal status it will be asked whether they have changed their establishment (of work) or not during the last 2 years. The term establishment is used in a broad sense and will **include all producing units including household enterprises**. In this sense, a person changing from one government department or organisation to another on a routine transfer/promotion posting will not be considered as having changed establishment. However, if his nature of work has changed consequent to this, it **will be** considered as change of establishment. In case he/she has lost or quit the earlier job and taken up a fresh job in another department or organisation, it **will be** taken as a change in establishment. Those reporting a change in establishment will be assigned code 1 and others will be assigned code 2.

5.7.2.12 Column (16): If 'yes' in col. 11 or 13, reason for last change: In this column, the reason for the last change will be recorded for those who have either changed their industry or occupation or both during the last 2 years i.e., those with codes 1 in col. (11) or (13) of this block. The reason codes are as follows.

<i>loss of earlier job due to :</i>	
retrenchment/lay-off	1
closure of unit	2
for better income / remuneration	3
no job satisfaction	4
lack of work in the enterprise	5
(for self-employed)	
lack of job security	6
work place too far	7
promotion/transfer	8

others 9

If more than one code is applicable to a person, of the relevant codes the one which appears first in the code list will be recorded.

5.8.0 Block 8: Follow-up questions for females (code 2 in col. 4, bl. 4) with principal usual activity status codes 92 or 93 (in col. 3 of bl. 5.1): In order to study the pattern of activities carried out along with domestic chores of the women classified as engaged in domestic duties, a separate set of special follow-up questions have been designed. These follow-up questions will be asked only to female members of the household classified as engaged in domestic duties according to usual status (i.e. those with usual principal status codes 92 & 93 in col. 3 of block 5.1) and the relevant answers will be recorded in terms of the specified codes.

5.8.1 Items 1 & 2: Serial number and age as in block 4: For all female members categorised 'engaged in domestic duties' according to usual principal status, i.e., those assigned the usual status codes 92 & 93 in column (3) of block 5.1, their serial number and age as in columns (1) and (2) of block 4 will be entered against items 1 and 2. Different columns will be used for different members.

5.8.2 Item 3-5: It will be ascertained whether the relevant women are "required to spend most of their time on domestic duties during 365 days preceding the date of survey". If the answer is in the affirmative, code 1 and if the answer is in the negative, code 2 will be recorded against item 3 for each of the relevant members. If the answer is 'yes', i.e., if the entry against item 3 is code 1 for a woman, the reason for her participation in the household duties will be ascertained and recorded in terms of the specified code numbers against item 4.

The relevant codes to be used for item 4 are:

no other member to carry out the domestic duties 1
 cannot afford hired help 2
 for social and/or religious constraints 3
 others 9

For women with code 1 in item 3, item 5 will be left blank. On the other hand, if the entry against item 3 is code 2 for a woman, (i.e., such participation was not required but still the woman participated in the household chores) the reason for her voluntary participation in household chores will be ascertained and the code relevant to the answer obtained will be recorded against item 5. In such a case, item 4 will be left blank.

The codes to be used for making entries against item 5 are:

non-availability of work 1
 by preference 2
 others 9

5.8.3 Items 6-19: These 14 questions relate to relevant women's participation in 14 specified activities which are self-explanatory. It will be ascertained whether the woman along with her normal domestic duties also participated during the 365 days preceding the date of survey *more or less regularly* in the specified activities listed. For the questions 6-9 and 15-19, if the answer

is 'yes', code '1' and if the answer is 'no', code '2' will be recorded against the relevant items for the particular woman. It may be noted that item 19 will be filled in for rural areas only. On the other hand, for the questions 10-14, if the answer is in the affirmative, it will be further ascertained whether the woman participated in the processing of mainly home produced/free collected commodities or processing of commodities otherwise procured and the code relevant to the situation will be recorded. The codes to be used are :

yes:	commodities produced in own farm/free collection	1
	commodities acquired otherwise	2
no	3

5.8.4 **Item 20:** If for a particular woman the answer to the question listed against item 19, i.e. whether the woman brings water from outside the village, is 'yes' (code 1), the distance (rounded off to the nearest kilometer) she had to travel from the household premises to the point of the source of water will be recorded against this item.

5.8.5 **Item 21:** For all those categorised 'usually engaged in domestic duties' and listed against item '1' it will be ascertained whether they will be prepared to accept work if work is made available at their household premises. If the answer is in the affirmative, code 1 and if the answer is in the negative, code 2 will be recorded against this item.

Information on items 22 to 25 are to be collected for those with code 1 in item 21.

5.8.6 **Item 22-25 (for persons with code 1 in item 21):** The questions listed against these items will be put only to those who have answered in the affirmative for the question listed against item 21 (i.e. persons with entry 1 against item 21). The codes appropriate for the answers obtained will be recorded against the relevant items. For items 22, 23 and 25, if more than one code is found to be applicable, the code which appears first in the code list only will be recorded. The relevant codes to be used for filling in the items 22, 23 and 25 are as under :

- (i) Item 22: nature of work acceptable:
- | | |
|----------------------------|---|
| regular full time | 1 |
| regular part time | 2 |
| occasional full time | 3 |
| occasional part time | 4 |
- (ii) Item 23: type of work acceptable:
- | | |
|---|---|
| dairy | 1 |
| poultry | 2 |
| other animal husbandry | 3 |
| spinning & weaving | 4 |
| manufacturing wood
& cane products | 5 |

tailoring	6
leather goods manufacturing	7
others	9

(iii) <i>Item 25: assistance required to undertake that work:</i>	
no assistance	1
initial finance on	easy availability of
easy terms	2
working finance	raw materials
facilities	3
	assured market
	training
	accommodation
	others
	4
	5
	6
	7
	9

(iv) *Item 24:* This item is self-explanatory and the answer to the question listed for this item will be recorded in terms of code '1' or '2'.

5.9.0 Block 9: Worksheet for recording household consumer expenditure:

5.9.1 **Introduction** : The value or worth of the household data obtained on employment parameters will be greatly increased if information can be obtained on the aspect of overall level of living of the household. This will make it possible to generate information on employment parameters separately for sections of the population at different standards of living.

5.9.2 The difficulty in achieving this objective is that level of living in itself a multi-dimensional phenomenon and even if reduced to the uni-dimensional concept of monthly household consumer expenditure measured in rupees, is difficult to elicit easily from the surveyed household. Getting this information accurately requires a full-fledged household consumer expenditure survey in itself but the enquiry on consumer expenditure is not to be done on the same set of households as that for the employment schedule during the 55th round survey operations.

5.9.3 A short-cut device would be to ask a single question to the informant : what was your household's total consumer expenditure during the last 30 days?

5.9.4 Even if the informant is exceptionally well informed on the household's spending and consumption habits, the concept of household consumer expenditure is so complex that such an approach would be too much of a short cut. It would obtain biased and unreliable information in most cases.

5.9.5 **The present approach** : In this survey, a middle course between the above two approaches - the one-shot question and the full-fledged consumer expenditure schedule - is envisaged. The idea is to obtain as accurate a figure for household consumer expenditure (defined as for Sch.1.0) as possible within a time span of 15-20 minutes.

5.9.6 With the limited time which can be afforded, the detailed item break-up of Sch.1.0 obviously cannot be followed. The worksheet drawn up provides for about 30 different components of household consumer expenditure which the investigator is to ascertain for the

sample household. A similar worksheet was used during the NSS 52nd round survey (1995 - 96) to workout household consumer expenditure.

5.9.7 The definition of household consumer expenditure and the procedure for evaluating it (involving reference period, concept of household member, exclusion of expenditure on enterprise account, treatment of transfer receipts, inclusion of consumption of home produce and its evaluation, the adoption of "consumption" approach for food, fuel, clothing and footwear, and "expenditure" approach for other items) will be the same as for Sch.1.0.

5.9.8 Many of the item group descriptions used in the worksheet (e.g. 'milk & milk products', 'egg, fish & meat') are taken from the usual consumer expenditure schedule (Schedule 1.0) and have the same meaning (coverage) as in Sch. 1.0. The investigator will be expected to explain to the informant the articles of food which constitute (say) the item (group) "milk & milk products" : milk, curd, butter, etc.

Detailed Instructions

5.9.9 Value of last 30 days' consumption

5.9.10 **Item 1 : Cereals & cereal products:** This includes cereal substitutes. Consumption by livestock and poultry must be excluded. Consumption out of gifts, free collection, etc. is to be evaluated at local retail prices and consumption out of home produce, at ex-farm prices.

5.9.11 **Item 2 : Pulses & pulse products:** This includes not only pulse products such as basin, but also gram and gram products.

5.9.12 **Item 8 : Other food items - sugar, salt, spices, beverages, processed food, etc.:** The range of food items covered by beverages, and of processed food, should be explained to the informant in detail. For the purpose of this worksheet, it is not considered necessary to spend time probing into whether any ingredient of home processed food, such as sugar or spices, is being inadvertently double-counted.

5.9.13 **Item 10: Fuel & light :** Firewood collected free of charge is to be evaluated at local retail prices.

5.9.14 **Item 12 / 13: Misc. goods & services (monthly / annual expenditure):** This covers miscellaneous goods and services according to the 55th round concept and additionally, includes rents and taxes. The information is to be collected separately for four or five major heads following blocks 8.1 & 8.2 of schedule 1.0. However, note that unlike sch.1.0, a '365 days' reference period has been specified for some broad groups and as usual, '30 days' reference period for other groups. This has been done mainly to ensure that large expenses such as rail/road/air fares for long-distance tours, which may occur only once in a year, are not missed, and also that such expenses, if occurring during the last 30 days, do not unduly inflate the MPCE figure obtained.

5.9.15 **Item 12.2 : Tuition fees :** This includes payment to private tutor. Care should be taken not to miss admission fees and other fees paid annually. Donations, however, and charitable contributions to the school fund, should not be included as these are considered transfer payments.

5.9.16 **Item 12.4: Medical expenses (non-institutional):** This will include all medical expenses other than those incurred as inpatient of a hospital or nursing home and recorded here.

5.9.17 **Item 12.5: Toilet articles including washing soap & other cleaning agents:** This include toilet soap, hair and body oil, lotions, creams, powder, perfume, toothpaste, washing soap, washing soda, acid, toothbrushes, etc.

5.9.18 **Item 12.6: Regular (commuting type) and journeys:** Regular (e.g. daily) journeys should not be missed because of their high frequency, even if the cost on a particular day is low. 'Other journeys' is meant for out-of-the-ordinary journeys such as a taxi ride or a long distance journey, which should not be missed because, although infrequent, it is costly.

5.9.19 Value of last 365 days' expenditure

5.9.20 **Item 13.2: Hospital, nursing home (institutional):** The coverage of the term "medical expenses" is as in sch.1.0. All expenses incurred as inpatient of a hospital or nursing home will be considered, including medicines, doctor's/surgeon's fees, diagnostic charges, nursing charges, etc. (a) **Hospitalisation** : This covers all medical expenses incurred as in-patient of a hospital *except* when hospitalisation is on account of childbirth. (b) **Childbirth** : All medical expenses in connection with childbirth, whether or not involving hospitalisation, will be recorded here.

5.9.21 **Item 14: Clothing:** The coverage of the item "clothing" should be explained to the informant. The fact that "clothing" includes bedsheets, rugs, blankets, pillows, quilts, mattresses, cloth for upholstery, curtain, tablecloth, mosquito nets, mats, cotton wool and yarn and knitting wool, should be mentioned.

5.9.22 **Item 16: Durable goods:** It should be explained that expenditure on construction of durable goods for own consumption is to be included. It should also be made clear that second-hand purchases are to be *excluded*.

Explanation of some items of the worksheet

3. milk & milk products

milk : liquid

baby food

milk : condensed/powder

curd

ghee

butter

ice-cream

8. other food items

sugar, salt

spices

toilet articles

toilet soap

powder, snow, cream

hair oil, lotion, shampoo, etc.

sanitary napkins

shaving blades, shaving stick

razor, toothbrush, comb

other household articles

electric bulb, tubelight,

batteries

bucket, water bottle, feeding

bottle, other plastic goods

beverages	earthenware, glassware
tea : cups	other washing requisites
tea : leaf	agarbati, flowers, acid, insecticide,
coffee : cups	mosquito repellent
coffee : powder	clock, watch
cold beverages : bottled/ canned	electric shaver/hair drier
fruit juice & shake	typewriter
green coconut	
Horlicks/Complan/Bournvita/	taps, pipes & other sanitary fittings
Viva/cocoa/drinking chocolate etc.	
processed food	plugs, switches & other electrical fittings
biscuits, cake, pastry	
salted refreshments	cons. services (excl. conveyance)
prepared sweets	domestic servant, cook, sweeper
pickles, sauce	barber, beautician, priest, legal expenses
jam/jelly	postal expenses
cooked meals	telephone charges
	pet animals
12. misc. goods & services	
amusement	water carrying charges & other
photography	miscellaneous expenses
hiring video cassette/VCR/VCP	
tailoring	conveyance
cinema/theatre/mela/picnic	long-distance journeys (air/rail/bus fare)
washerman, laundry, ironing	school/office commuting
club fees	conveyance expenses
sports goods/ toys/ other hobby /	other short journeys (taxi/ bus/train/
recreational goods	auto-rickshaw/boat/
petty durables	steamer/rickshaw/cart fare)
spectacles, walking stick	petrol, diesel, lubricating oil
pens, torch, lock, lighter	porter charges
umbrella/raincoat	

items of worksheet contd.

<p>rent house/garage/residential land/ other consumer rent consumer taxes and cesses</p> <p>12.4 & 13.2 medical expenses medicine doctor/surgeon X-ray/ECG urine/blood/other pathological tests nurse/midwife family planning appliances (item 12.4 only)</p> <p>12.2, 12.3 & 13.1 education tuition fees private tutor books,magazines newspapers stationery</p> <p>15. clothing and footwear footwear cloth for shirt,coat salwar, pyjamas,etc. sari,dhoti,lungi readymade garments sweater, scarf, muffler, etc. socks, undergarments, other hosiery towel, gamchha, handkerchief thermos flask, casserole bedcover, bedsheet, tablecloth, curtains blanket, rug pillow, quilt, mattress knitting wool, cotton wool, yarn mosquito net, mats, matting</p>	<p>16. durable goods almirah, dressing table bedstead, sofa, table, chair, stool suitcase, trunk, bag, handbag, etc. foam rubber/ other cushion carpet, dari, other floor matting paintings, etc. TV,VCR/VCP tape recorder, radio, transistor, two-in-one record player video/audio cassettes, gramophone records camera & photographic apparatus musical instruments jewellery and ornaments household utensils sewing machine refrigerator washing machine air cooler, air conditioner geyser fan stove(wick type/pressure type) pressure cooker non-stick pan electric iron heater, toaster, oven,etc. lantern, lamp, electric lampshade car/bicycle/other vehicle</p> <p>tyres and tubes</p> <p>perambulator/baby walker hearing aids thermometer contact lenses artificial limbs, orthopaedic braces and supports surgical belts, trusses and supports</p>
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5.10.0 **Block 10: Remarks by investigator** : Any relevant remarks relating to the problems encountered in collecting the data, attitude of respondents, etc., will be recorded in this block by the investigators. If the investigator feels that certain information given by the informant is of doubtful nature, it may also be indicated with comments, if any. Any other qualified comments which may help to make proper assessment of the entries made in the schedule may also be recorded here.

5.11.0 **Block 11: Comments by supervisory officer**: This block will be used by the Supervisory Officers to record their comments and suggestions. They should particularly highlight the inconsistent data, if any, recorded in the schedule giving possible reason for such entries. This, of course, has to be done after making necessary reference to the investigator concerned.

Some important points for collection of data in Schedule 10.1

The following points may be kept in mind while collecting data for Schedule 10.1:

1. This schedule has 9 blocks including the usual blocks 0, 1, 2, 10 and 11. The other blocks are blocks 4, 5.1, 5.2 and 5.3.
2. All the references i.e., block number, column/item number are same as in Schedule 10. The concepts, definitions and procedures of data collection are, therefore, same as for Schedule 10.
3. Blocks 0 and 1 will always be filled in and item 12, block 1 will always be 2. During the second visit, a household will be substituted if it does not cooperate and refuses to provide information. In case the household is substituted at the time of revisit, i.e., item 18, block 1 will be 2, only blocks 0 and 1 will be filled and the top page of schedule 10.1 will be torn off and attached to schedule 10 which will be canvassed for the substituted household.
4. There may be a situation when the sample household has shifted out of the village / block or cease to exist at the time of revisit to the household and hence cannot be located within the FSU. In such a situation, blocks 0 and 1 only will be filled in for the household and code 3 (not found) will be recorded against item 18 of block 1. However, if the household has changed its location within the FSU, then that household should be surveyed at the present location.
5. In the case of a split in the sample household after the first visit, the part found in the previous location will be surveyed and the other part, if it remains in the FSU, will be treated as new household. This new household will form a part of the second stage stratum 9. If both the parts are within the FSU but none of them is found in the previous location, then the household having the senior most member of the erstwhile household will be surveyed. If again only one part of the household remains within the FSU, then that will be located and surveyed.
6. Schedule 10 will always be canvassed for the households belonging to second-stage stratum 9.
7. Information for the schedule should preferably be collected by the same investigator and from the same informant of the household as was done during the first visit to the household.
8. Item 19, block 1 will be filled in after filling up of block 4. In the case where the household is to be substituted, it will be left blank.
9. For part A (erstwhile members) of block 4, serial number (col.1), name (col.2) and age (col. 5) will be copied from block 4 of schedule 10 canvassed during the first visit to the household.
10. For part A of block 4, columns 13, 14 and 20 **will not be** filled in.
11. Column 21 of block 4 **should invariably be filled in** for all persons listed in part A and part B.

12. For part B of block 4, all the columns (1 to 21) are to be filled in.
13. Blocks 5.1, 5.2 and 5.3 are to be filled in afresh for all the present members of the household irrespective of whether they are listed in part A or B of block 4.

Appendix A**Improvements and changes made in the concepts and contents of the quinquennial surveys on employment - unemployment**

Though the basic approach remained unchanged, certain changes and improvements in the concepts and contents were made in each of the quinquennial surveys on employment and unemployment. In the 32nd round (1977-78) survey, the following changes were made over the 27th round:

- (i) The time criterion of spending relatively longer time (i.e., major time) for deciding the usual status with reference to a fixed period of 365 days preceding the date of survey was adopted.
- (ii) Information on subsidiary gainful activities was collected to generate estimates comparable to that of census 1961 and the first quinquennial survey (September 1972 - October 1973).
- (iii) Probing questions were streamlined and its scope widened.
- (iv) Collection of data on wages, employment and indebtedness from rural labour households were integrated with the quinquennial rounds to generate comparable estimates with the earlier rural labour enquiries.

The third survey in this series was done during the 38th round, corresponding to the period January - December 1983. In order to maintain the comparability with the 32nd round, the 38th round survey methodology was kept as a 'no change model' retaining the same conceptual framework as in the 32nd round. However, the migration characteristics of the persons were added to the coverage of the survey. In the 43rd round (July 1987 - June 1988) also, while keeping the conceptual frame work same as in the 32nd and 38th rounds, some additional items were included to accommodate the suggestions contained in the ILO recommendations on collection of data on economically active persons.

With the experience gained from the first four quinquennial surveys, keeping in view the need for further refinements in the concepts and procedures and wider coverage in the light of international practices, certain modifications/changes were made in the fifth quinquennial survey, without affecting its comparability with the past surveys. These were briefly as follows:

- (i) Till the fourth survey, the current weekly status (CWS) of a person was first assigned on the basis of the response to the questions relating to his participation in gainful activities (non-gainful activities) and thereafter, the daily time disposition data was collected only for those in the labour force as per the CWS. In the 50th round, the daily time disposition for all the persons surveyed were collected and the CWS was determined based on the time disposition data so collected, without probing any further on the point.
- (ii) Certain probing questions were introduced to all persons who were unemployed on all the days of the reference week. These included educational background of unemployed,

spell of unemployment, industry-occupation of the last employment, reason for leaving the last employment, etc.

(iii) A set of probing questions were framed to get the profile of the children (5-14 years), particularly their economic activities.

(iv) As information on migration was collected extensively in the 49th round, items relating to migration were not collected in the 50th round.

(v) The probing questions meant for the employed persons according to usual status were modified to obtain a better view of the underemployment situation

(vi) Upto NSS 43rd round, work was identified with the performing of 'gainful activity'. As the international standards use the term 'economic activity' rather than 'gainful activity', the concept of economic activity was introduced in the 50th round. However, the coverage of activities under the new term was kept the same as in the earlier surveys, except, for the inclusion of 'own account production of fixed assets' as a work related activity.

(vii) In the NSS quinquennial surveys, identification of usual status involved a trichotomous classification of persons into 'employed', 'unemployed' and 'out of labour force' based on the major time criterion. In the 50th round, the procedure prescribed was a two stage dichotomous procedure which involved a classification into 'labour force' and 'out of labour force' in the first stage and the labour force into 'employed' and 'unemployed' in the second stage.

Since a lecturer is a regular wage/salaried employee, full intensity 1.0 against the salaried work is to be assigned.

Chapter Six

Schedule 2.0: Informal Non-agricultural Enterprises

6.0.0 Introduction: In this chapter detailed instructions for filling up schedule 2.0 have been given. The enterprise survey of the 55th round covers all informal enterprises in the non-agricultural sector of the economy, excluding those engaged in mining & quarrying and electricity, gas & water supply. NIC codes to identify the enterprises in this round will be as per **NIC 1998**. Some concepts and definitions relating to the informal sector have been discussed in Chapter 1. However, concepts specific to the schedule have been discussed in this chapter whenever necessary. The enterprises in the informal sector have been divided into six broad industry groups, viz. (i) manufacturing, (ii) construction, (iii) trade and repair services, (iv) hotels and restaurants (v) transport, storage and communications and (vi) other service sector enterprises. From each of these categories, enterprises are classified into two classes, the first one being Own Account Enterprises (OAE) i.e. those who do not hire any worker on a regular basis and the second class consisting of all the remaining enterprises (i.e. the establishments). The term “enterprise” has been used in this chapter in a general sense and will refer to either an “enterprise” or an “establishment” which will be clear from the context. The eligibility criteria for enterprises to be covered in the survey is at least 30 days of operation (15 days of operation for seasonal enterprises) in the reference year.

6.0.1 Informal sector: As already mentioned, own-account enterprises and establishments in the informal sector are the target units for the enterprise survey. Although, there is no unique definition of informal sector, for our purpose **all unincorporated enterprises which operate on either proprietary or partnership basis will be considered to constitute the informal sector**. This definition differs from the usual NSS concept of unorganized sector. In the unorganized sector, in addition to the proprietary or partnership enterprises, cooperative societies, trusts, private and public limited companies are also covered. Thus informal sector can be considered as a subset of the unorganized sector. It may be mentioned that all manufacturing units of proprietary or partnership nature which are covered under ASI will also **not** be treated as informal enterprises. The NIC codes (2-digit) for the activities covered are as follows: manufacturing : **15 to 37**, construction: **45**, trade and repair services: **50 to 52**, hotels and restaurants: **55**, transport, storage and communications: **60 to 64**, other services: **65 to 67, 70 to 74, 80, 85, 90 to 93**. It may be noted that, unlike in NIC 1987, repairing services have been considered with trade sector in NIC 1998, and not with the manufacturing sector.

6.0.2 Reference Period: *Last month* has been used as the reference period to collect most of the data. Various receipts and expenses as well as employment, emoluments, rent, interest, net surplus and value added for the enterprises will be collected for last month only. *Last month* will refer to the **last working month** for perennial and casual enterprises. For seasonal enterprises, however, *last month* will refer to **an average month in the last working season**. Month will refer to a period of 30 days. For some of the items like value of fixed assets, amount of loan outstanding etc., the reference period is ‘as on the date survey’. For some other items like net additions to fixed assets, number of months operated, number of other economic activities taken up etc., the period of reference is the ‘last 365 days preceding the date of survey’.

6.0.3 Mixed activity: There are enterprises which can not be identified easily under a particular NIC code due to their very nature. For example, a grocery shop owner may also sell oil from his own *ghani*, a doctor may have a medical shop attached to his dispensary, a restaurant may run an STD booth in its premises, etc. These are typical cases of mixed activities, where the activities are a mixture of NIC's. The appropriate NIC in such cases will be determined on the basis of **major** activity. Major activity refers to the activity which yields **maximum** income/turnover/employment. The above criteria may be applied in the **given order** i.e. income first, then turnover and then employment, to determine the major activity. If the accounts are not separable, then the data will pertain to the enterprise as a whole.

6.0.4 Multiple activities: Since many of the entrepreneurs belonging to the informal sector operate at small or marginal levels, the phenomenon of carrying out more than one activity simultaneously or at different points of time may be quite prevalent. If the activities are carried out at one point of time and if accounts are not separately maintained, then it is called "mixed activity". Total number of activities carried out by the entrepreneur during the year is the total number of multiple activities. Some examples of multiple activities are: i) a person carrying out agricultural activity at sowing / harvesting seasons and running a shop at the same time or at other times, ii) a lady working as regular wage earner and also running a shop in the evenings, etc. However, a trading enterprise selling more of woollen garments in winter and more of cotton clothes in summer will not be considered as carrying out multiple activity.

6.0.5 Coverage of activities in the informal sector survey: All informal non-agricultural activities specified in para no. 1.3.0.17 of Chapter 1 will be covered in the enterprise survey.

6.0.6 Structure of the schedule: Schedule 2.0 consists of 14 blocks (blocks 0 to 13). Blocks 0 and 1 are meant to record identification of the enterprise; Blocks 11, 12 and 13 are for reporting particulars of field operation, remarks by the investigator and comments by the supervisory officers. In the remaining 9 blocks, data are to be collected from the enterprises.

Some operational characteristics of the enterprises will be collected in block 2. Blocks 3, 3.1 and 4, 4.1 are the main blocks of the schedule where operating expenses and various receipts of the enterprises will be recorded. Blocks 3 and 4 will record the principal expenses and receipts whereas blocks 3.1 and 4.1 will record the other expenses and receipts. Schedule 2.0 has been designed in such a way that the different types of receipts and expenses for different types of enterprises can be accommodated within the framework of blocks 3 and 4. To meet this objective, each of these two blocks has been subdivided into 7 sub-blocks. While these sub-blocks are meant for specific types of enterprise, blocks 3.1 and 4.1 are common for all enterprises. It may be noted that for an enterprise which runs a mixed activity, more than one of the sub-blocks of blocks 3 & 4 may have entries.

Block 5 is kept for calculation of gross value added. The employment particulars of the enterprises will be recorded in block 6. Blocks 7, 8 and 9 are meant to collect information on emoluments, fixed assets and loan position of the enterprises respectively. The factor incomes of the enterprise will be recorded in block 10. It may be noted that from this block also, value added can be generated. So, blocks 5 and 10 together provide an in-built check in the schedule for assessing the reasonability of the data.

Changes in Sch. 2.0 as per the discussions held during All India Training Conference:

1. Activities under NIC Division 95 are excluded from the coverage of informal sector survey. As such, special codes given at the bottom of block 2 of schedule 2.0 may be ignored. However, those special codes are applicable for schedule 10.

6.1.0 Block 0: Descriptive Identification of Sample Enterprise: This block has been designed to collect the descriptive identification of the sample enterprise. The items are mostly self-explanatory. There are 9 items in the block. For urban sample, village name and serial number of hamlet will remain blank. Similarly, for a rural sample, ward/inv.unit/UFS block is not applicable. For a rural/ urban sample or for a state/ central sample tick-marks are to be given in appropriate boxes provided at the top of the schedule.

6.1.1 Block 1: Identification of Sample Enterprise/ Establishment

6.1.1.0 Block 1 has 20 items. The items are all coded. The codes are provided at the bottom of the schedule. Note that there is no sub-stratum in this round. Broad industry group X enterprise class corresponds to the usual concept of second-stage stratum. 'Enterprise visit number' and 'segment number' are the two new items specific for this round.

6.1.1.1 Items 1 to 11: Except items 1 and 2 which are already printed in the schedule, these items will be copied from schedule 0.1 / 0.2.

6.1.2 Item 12: Enterprise visit number: Entry against this item will be 1.

6.1.3 Item 13: Segment number : Entry against this item will be either 1 or 2. Segment number 1 will refer to the area of concentration. Segment number 2 is the union of the other two hamlet-groups selected. If there is no hg/sb formation, **record 1** against this item.

6.1.4 Item14 : Broad industry group: There will be 6 broad industry groups which will be given codes 1 to 6. The codes for the groups are: manufacturing – 1, construction – 2, trade and repair services – 3, hotels & restaurants – 4, transport, storage and communications – 5 and other service sector – 6.

6.1.5 Item 15: Enterprise class: The enterprises within each of the broad groups are divided into two enterprise classes. The first enterprise class refers to all OAEs and will be given code 1. All other enterprises (establishments) will comprise the second enterprise class. These constitute the usual 'non-directory' and 'directory' establishments. Code 2 will be recorded for the second enterprise class. This item will be a **copying item** from column 3 of block 5, schedule 0.1/0.2.

6.1.6 Item 16: Serial no. of the enterprise: Serial no. of the enterprise will be copied from appropriate cols. 17 to 28, block 5 of the listing schedule 0.1/ 0.2 for rural and urban sectors, respectively.

6.1.7 Item 17: Response code: This item will be filled in as per the assessment of the Investigator about the quality of response he has received from the respondent. The codes are: informant co-operative and capable - 1, informant co-operative but not capable - 2, informant busy - 3, informant reluctant - 4, others - 9.

6.1.8 Item 18: informant code : This item will give information on the type of informant from whom the data are being collected. The relevant codes are: owner - 1, manager - 2, others - 9. For a partnership enterprise, any of the partners will qualify as 'owner'.

6.1.9 Item 19: survey code: If the original enterprise is surveyed, code against this item will be 1. If the original enterprise could not be surveyed for some reason or other and some substitute enterprise had to be surveyed, code will be 2. If the substitute enterprise also could not be surveyed, code will be 3. In such cases, only blocks 0,1,11,12 and 13 are to be filled in and the word 'CASUALTY' may be written on the top of the schedule.

6.1.10 Item 20: reason for substitution of original sample: This item will be filled in for substitute enterprise only. For survey code 1 (original enterprise surveyed), this item will remain blank. If the enterprise is substituted more than once, the code for first substitution will be recorded. The relevant codes are: informant busy - 1, informant not available - 2, informant non-cooperative - 3, others - 9.

6.2.0 Block 2 : Operational characteristics:

In this block some basic information about the nature and working of the enterprises will be recorded.

6.2.1 Item 1: 5-digit NIC codes : NIC codes as per the 1998 classification may be put at **5-digit level**. Each box will contain one digit and no box will remain empty. The description of the entrepreneurial activity may be recorded in the space provided under this item. The description should be as per the NIC booklet (as far as practicable). Additional codes given in schedule 2.0 below block 2 may be ignored as NIC code 95 will not be covered in enterprise survey.

6.2.2 Item 2: Nature of operation: This item intends to capture the seasonality of the enterprise under survey. Three codes are provided in the schedule. If the enterprise operates more or less regularly throughout the year, it is a perennial enterprise and code 1 will be recorded. If the enterprise operates during particular season(s) of the year, it is termed as a seasonal enterprise and code 2 will be recorded. If the enterprise carries on its activity only occasionally, but total

number of days operated in the last 365 days is 30 days or more then it will be treated as a casual enterprise and code 3 will be recorded.

6.2.3 Item 3: Type of ownership: Since only proprietary and partnership enterprises are our concern, the codes for this item relate to those types of enterprises only. Proprietary enterprises are those where an individual is the sole owner of the enterprise. If the owner is a male, code will be 1; for a female owner, code will be 2. Partnership is defined as the ‘relation between persons who have agreed to share the profits of a business carried on by all or any one of them acting for all’. Partners may be from the same household or they may be from different households. In the former case, ownership code will be 3 and in the case of the latter, code will be 4. Partnership may be based either on formal registration or on the basis of tacit understanding. However, ASI units of proprietary and partnership nature will be outside our purview. If ownership is with a Hindu Undivided Family (HUF), the treatment will be same as proprietary enterprises, i.e, if the head of HUF is a male, code will be 1; for a female head, code will be 2.

6.2.4: Item 4: Whether accounts maintained ? (yes –1, no –2): If the enterprise maintains usable books of accounts and makes them available to the investigator, code against this item will be 1, otherwise, code will be 2. Generally, the owners do keep some records for their own use. But these are very haphazardly maintained and are not usable for accounting purpose. In such cases, the code against this item will be 2 (even if the data are supplied from such records). In this round, the data is to be collected for the last working month even if the accounts are maintained.

6.2.5 Item 5 : Location of the enterprise: Seven codes have been provided for this item. If the enterprise is located within the household premises, code will be 1. If the location of the enterprise is outside the household premises, codes 2 to 7 will be applicable. The codes are given below:

<u>within household premises</u>	1		
<u>outside household premises:</u>			
with fixed premises and with permanent structure	2	mobile market.....	5
with fixed premises and with temporary structure/kiosk/stall	3	without fixed premises (street vendors)	6
with fixed premises but without any structure	4	construction site	7

Any structure made out of bricks, mud, bamboos etc. will be treated as a permanent structure if it can not be removed as a whole without dismantling (code 2). Temporary structures can be removed from its present location with some effort. Examples are: stalls, kiosks etc. (code 3). Fixed premises but with no structure (except for some make-shift arrangement for shade etc.) will be coded 4. If the enterprise shifts from market to market but the owner (e.g. *hat* vendors) is allowed to sit in a particular place of the markets he is going, i.e, location of the enterprise inside each market is fixed, code 5 is applicable. Street vendors are given code 6. If site is the location of the enterprise in construction related enterprises, code 7 is to be given. If both the codes 5 and 6 are applicable for an enterprise, **major time criterion** will decide the appropriate code.

6.2.6 Item 6: Number of months operated during the last 365 days: Number of months operated by the enterprise in the last 365 days will be recorded against this item. Entry against this item will lie between 1 and 12. An operating month does not mean a month in which the enterprise has operated with full intensity. Suppose, in a particular month the enterprise has operated only for 5 days. Even then that month will be counted as an operating month. It may also be ensured that the fractional months in the beginning or end of the reference year are not missed in calculation. The idea is that a month should mean a block of 30 days and not always a completed calendar month.

6.2.7 Item 7: whether mixed activity ? (yes –1, no –2): If the enterprise is running mixed activities simultaneously, it will be reflected against this item. Mixed activity means activities mixed at any level of NIC-1998. **But for the present survey, we will restrict our attention to mixture of activities at two digit level in general. However, 551 (hotels), 552 (restaurants), 6302 (storage and warehousing), mixed with any other activity at same or higher level of NIC, will be considered as mixed activity** even if the activities carried out by the enterprise are not separable at higher levels of NIC. This is being done since these 3 activities cannot be uniquely identified at 2-digit level as per NIC-98. That means an enterprise running a mixed activity of wholesale & retail trade or manufacture of food & manufacture of textiles or trade and restaurant or real estate and legal service or communication and hotel or manufacturing and construction, education and health, etc. will be considered under this item. Code 1 will be recorded if it is a mixed activity according to the above definition. Otherwise, code will be 2.

6.2.8 Item 8 : Number of other economic activities taken up during last 365 days: Since many of the enterprises in the informal sector are very small, due to necessity or otherwise, the phenomenon of carrying out multiple activities (any economic activity including self employment in agriculture, wage earning, etc.) simultaneously or at different points of time by the entrepreneurs may be quite prevalent. The number of such activities **other than the major activity** of the current enterprise is to be recorded. It may be noted that the owner need not operate his other activities from the present location. NIC level for determination of multiple activity will be same as that of mixed activity stated in para 6.2.7 above.

6.2.9 Item 9 : Registered under any act or authority? (yes –1, no –2). If the enterprise under survey is registered under one or more Acts/ Authorised agencies, code against this item will be 1, otherwise code 2 will be recorded.

6.2.10 Items 10 to 12: Codes for authority of registration: If the code against item 9 is 1, i.e. the enterprise is registered under some act/authority, then only these items will be filled in. As already mentioned, an enterprise may be registered under more than one agency. To tackle such cases, three lines are kept to record the codes for upto 3 agencies of registration. A list of such Acts and their corresponding codes are given below. If the enterprise is registered under any Act/Authority other than the ones mentioned, specify the name of the Act and give the code 19.

License issued by Municipal Corporation/ <i>Panchayat</i> /Local Body	01
Partnership Act	02
Provident Fund Act	03
Shops and Establishments Act	04
Sales Tax Act	05
State Directorate of Industries	06
<i>Khadi</i> and Village Industries Commission/ Board	07
Development Commissioner of Handicrafts/Handloom	08

Development Commissioner of Small Scale Industries	09
Road Transport Act	10
Motor Vehicle Act	11
Hotels and Restaurants Act	12
Money lenders' Act	13
Others (please mention the act)	19

6.2.11 Items 13 & 14: source/destination agency: The objective here is to find the nature of links the enterprise has with its immediate supplier of basic inputs and immediate purchaser of the goods/services. This will also give some idea about the locations of purchase and sale for the informal enterprises. In case the source / destination agency is more than one, the top two sources / destinations may be considered for recording the codes. **Each cell should be divided into two boxes and codes should be written in descending order of value of purchase / sale from left to right.** If there is only one source / destination, it can be noted in the left most box. The relevant codes are:

	1	contractor / middleman	4
<u>government</u>			
co-operative/ marketing		private individual / household	5
society.....	2	No source agency	6
private enterprise	3	others	9

6.2.12 Item 15: Problems faced by the enterprise: Different types of problems faced by the informal enterprises in their day-to-day operation will be recorded against this item in terms of codes. In case the problems faced by the enterprises are a combination of those mentioned below, the top three major problems may be considered for recording the codes. **The cell should be divided into three boxes and codes should be written in descending order of seriousness from left to right.** If there are less than three problems, these can be noted starting from the left most box. For code 19, the problem may be mentioned in the space provided to the right of the item. “Labour problem” means problem between management and labourers. Non availability of labourer should not be given code 09. The codes are:

No specific problem.....	01
Shortage of capital.....	02
Lack of electricity/ lighting facilities.....	03
Problem of power-cut.....	04
Lack of marketing facilities /other infrastructural facilities	05
local problems	06
competition from larger units.....	07
non-availability of	08
labourer.....	09
labour problems.....	10
raw materials not available / exorbitant price	11
Non- recovery of service charges/ fees/ credit	19
Others (specify).....	

6.2.13 Item 16: Status of the enterprise over the last 3 years: The objective of this item is to record the owner’s impression about the growth of the enterprise. If the owner feels that the enterprise has expanded in the last three years, code will be 1. On the other hand, if the owner

thinks that the enterprise has shrunk, code 3 will be recorded. Code 2 will be recorded in those cases where the enterprise has remained stagnant in the last 3 years.

6.2.14 Items 17 to 21: Many of the enterprises in the informal sector are not big enough to have total freedom in terms of procurement of raw materials, machinery or marketing. They may heavily depend on bigger units/ contractors /middlemen for one or more of these. A high proportion of women, for example, staying at home and carrying on their domestic duties, are also engaged in economic activities such as stitching, preparation of paper bags etc. In most cases, they do it on a contract basis for bigger enterprises. They are variously called as home workers, home based workers, out workers etc. (For understanding the nature of job the 'home workers' do, instructions given in para 5.0.8 of page E7 may be seen). Apart from these, even bigger enterprises may engage in contracts for raw materials, credit, sale etc. for various reasons. This phenomenon is proposed to be captured through items 17 to 21.

6.2.15 Item 17: Working on contract basis? (yes –1, no –2): The enterprises in the informal sector are tiny units. In many cases, the enterprises are observed to be working as per the orders from a bigger unit. In such cases, certain conditions are put on the server unit by the contractor or master unit. Conditions may be on the sale of products, may be on the mode of payment or may be on the supply of raw materials, etc. If the surveyed unit works under contract, code against this item will be 1. Otherwise, code will be 2. For code 1 in item 17, items 18, 19 , 20 and 21 are to be filled in.

6.2.16 Item 18: Type of contract: Four types of contract are envisaged. The codes are: working solely for enterprise/contractor – 1, mainly for contractor but also for other customers – 2, mainly for customers but also on contract – 3 and solely for customers - 4.

6.2.17 Items 19 &20: Equipment/raw materials supplied by (code): Three codes are applicable for these two items. Code 1 will be given when the raw materials/equipment is procured by the entrepreneur. If the raw materials/equipment is supplied by the master unit / contractor, code will be 2. Code 3 will be recorded when both the above conditions are satisfied.

6.2.18 Item 21: design specified by contractor (yes – 1, no – 2): In certain cases the contractor specifies the design of product to the server unit. This is common in garment manufacturing, construction activities, etc. In such situations, code against item 21 will be 1. Otherwise, code 2 may be recorded.

6.3.0 Block 3 & 3.1 : Principal and other operating expenses

6.3.0.1 Blocks 3 and 3.1 are the two blocks where operating expenses of the enterprises will be collected. The reference period for the blocks is last working month. **All expenditure in these blocks is to be recorded on payable basis.** If some expenses are made on a yearly or half-yearly basis, those are to be properly apportioned for the reference month and recorded. For items where payments are not yet made, payable amount may be obtained and recorded. For example, values payable for fuel consumed or electricity purchased during the reference month may not be readily available. Estimated charges will be recorded in such cases irrespective of whether full payment has been made or not.

6.3.0.2 Schedule 2.0 covers almost the entire non-agricultural sector of the economy. Because of the large number of activities being covered, it is possible that for enterprises of a particular

activity, certain items of expenditure may be very high. But for the same item, for other activities this may be just an incidental expense. In order to capture the expenses, two blocks, Blocks 3 and 3.1 have been formed. Block 3 provides for covering the principal expenses and block 3.1 to record all expenses not covered under block 3. There are, of course, common items in blocks 3 and 3.1. It must be noted that items will first be filled in block 3 and only those not covered in that block, will be filled in block 3.1. i.e. block 3 will get priority over block 3.1. It must be ensured that there is no duplication or omission. For example, service charges payable to other enterprises for a construction contractor is a major expense and should be recorded in item 324 of block 3 and not against item 387 of block 3.1. Similarly, repair and maintenance charges of transport equipment for a transport enterprise will be recorded against item 343 and not against item 377 of block 3.1. For activities for which separate sub blocks are not provided in block 3, all expenses will be recorded in block 3.1 only.

6.3.0.3 For the sake of convenience, block 3 has been sub-divided into 7 sub-blocks. These sub-blocks record the principal expenses for manufacturing; trading; construction; hotel and restaurants; transport, storage and communication; education and medical & health activities. The items have been given 3-digit codes to facilitate data processing. The total item always ends with 9. **Values to be collected in the block will be in whole number of rupees only.**

6.3.1 First sub-block: manufacturing activity

6.3.1.1 Items 301 to 304: This sub-block will record the materials consumed in the manufacturing process. Three major raw materials may be recorded in items 301 to 303. Item 304 will record the combined value of the remaining raw materials consumed during the reference month. This block is intended to record value of raw materials consumed (excluding intermediate products) during the reference month. Since the objective is to record the actual value of various inputs, the amounts **actually consumed** of the various input items are to be recorded. Any material produced at home and used in the enterprise as raw material will be included in this sub-block. For raw materials collected free of cost, labour charges and/or transport charges incurred, if any, will be taken as the value of the raw materials. But if no expenditure is incurred for such free collection, no imputation need be made.

6.3.1.2 Item 305: Purchase value of goods sold in the same condition as purchased is to be reported against item 305. This will show the **trading** part of the manufacturing enterprises. The purchase value of all goods which are purchased and sold without any transformation will be recorded here. This will also include the purchase value of goods bought exclusively for sale.

6.3.1.3 Valuation: The value of consumption relates to all the materials utilised in the process of production. These may be purchased during the reference period or prior to the reference period or these may be supplied by the household. The values of these materials are to be calculated by taking the purchase price, where purchase price will mean the delivered value of the goods at the enterprise, i.e., it will include agents' commissions and taxes/duties paid, if any. Evaluation of the materials supplied by the household will be done at the ex-farm price.

6.3.2 Second sub-block : trading activity

Trading is an act of purchase and sale of goods without any transformation. A grocery shop or a

fruit vendor typifies a trading unit in the informal sector. The major three commodities of the trading enterprise will be recorded against items 311 to 313. The combined value of purchase of the remaining items will be reported against item 314. For credit purchase also **full value** of the commodities will be reported. Purchase price will include transport charge, sale tax, octroi and any other incidental charges mixed up with the cost of commodities. Barter trading **should not** be treated as trading activity. **Selling of own produce is also not covered under trade.**

6.3.3 Third sub-block : construction activity

Informal construction activity will cover the enterprises which are associated with the construction work. These are mainly small contractors/sub-contractors, **self employed** plumbers, masons, electricians, *mistries*, etc. The activities of such enterprises are more or less similar to the activities of service sector units. However, construction of buildings for own use will not be covered in this survey.

6.3.3.1 Items 321 to 324: This sub-block is applicable to contractors and sub contractors only. The contractors sometimes procure materials like cement, sand, stone-chips, paints and also pay to the labourers or to the sub-contractors all of which form the expenditure side of such enterprises. The amount they receive from the owners of construction work forms the receipt side. Items 321 to 323 are provided for recording the expenses made on raw materials and other items consumed for construction. Item 324 will record the service charges **the contractor pays** for work done by other masons, plumbers, *mistries* for whitewashing, tiles fitting, etc. It may be noted that these masons, plumbers, etc. may also be enterprises in their own right and are eligible to be covered as separate enterprises. So they should not be treated as employees of the contractor. But if they are working fully for that contractor in return for wages, they will be treated as workers. Care should be taken to assess the nature of conditions under which the masons, etc. work so as to avoid duplication in value added. However, office staff of the contractor or the team of labourers who work for that contractor throughout the year are to be counted as workers. For masons, plumbers, etc., the operating expenses may be negligible. Any expenses made by them may be recorded in block 3.1. The value added by these enterprises will be measured mainly by the charges they receive for service rendered.

6.3.4 Fourth sub-block : Hotel and restaurant activity

6.3.4.1 Item 331: Values of all articles consumed for preparation of food and drink will be recorded for the reference month. All spices, oil, vegetables, meat, eggs, curds, milk, sauce, squash, etc. will be taken into account. The articles consumed for both soft and alcoholic drinks are also to be considered. The value should include the credit purchases as well.

6.3.4.2 Item 332: Some articles like cold drinks, cakes, pastries, beer, wines etc. are traded by the hotels and restaurants. The purchase value of such goods may be recorded against this item.

6.3.4.3 Item 333: All such items like crockery, glassware, bedding and other consumables i.e. items those are of semi durable nature, will be recorded against this item. Care should be taken so that the fixed assets are not covered here. Furnishing materials like curtains, flower vases, etc. will also be reported here.

6.3.5 Fifth sub-block : Transport, storage and communication activities

The major items of transport enterprises, storage and warehousing enterprises as well as communication enterprises like STD booths, courier services etc. will be recorded against items 341 to 346 of this sub-block. Items 341 to 343 are for transport enterprises, 344 to 345 are for warehousing enterprises and item 346 is for communication enterprises.

6.3.5.1 Items 341 and 342 : Value of petrol, diesel and lubricants consumed during the reference month will be entered in item 341. Expenses incurred on changing batteries, tyres, tubes and rethreading cost of the tyres will be reported against item 342.

6.3.5.2 Item 343: Repair and maintenance charges of the transport equipment will be entered in item 343. Expenditure on repair and maintenance should not include expenditure of a capital nature. Replacement of some major part of the transport equipment will not come under repair and maintenance. If animals are used for drawing transport equipment, then fodder cost as well as medicines and service cost for herding the animal will also be incorporated in item 343.

6.3.5.3 Items 344 and 345: All consumable stores used in the warehouses will be recorded here and not in item 385 of block 3.1. The warehousing enterprises are generally insured for some risk coverage. The insurance charges payable for the commodities stored will be reported in item 345.

6.3.5.4 Item 346 : The communication expenses for STD booth are collected in this item. The call charges payable to the government along with the rent payable may be apportioned for the month (these charges are generally paid once in two months) and recorded in this item.

6.3.6 Sixth sub-block : Educational activity

Major operational expenditure incurred in running the educational establishments will be shown in this sub-block. The recurring expenses on laboratory, newspaper, etc. will be noted against item 351. Expenditure for purchase of books, school uniform etc. sold to students will also be shown against this item. Maintenance of furniture and fixtures like tables, chairs, projectors, laboratory equipment etc. will be considered in item 352.

6.3.7 Seventh sub-block : Medical and health activity

Major expenses relating to the medical and health activity will be recorded in this sub-block. Expenses on diet and medicines given to the patients will be reported against items 361 and 362. Expenses made on disposable therapeutic equipment like bandages, syringes, etc. will be recorded against item 363. Expenditure on repair and maintenance of building, professional equipment and other assets will be shown in item 364.

6.3.8 Block 3.1: Other operating expenses:

6.3.8.1 Block 3.1 will record the other operating expenses not covered in block 3 for the above 7 types of activities. In general, for service enterprises, this block will record all the operating expenses as no separate sub block has been provided in block 3. It may be noted that the item numbers after 378 and 388 are 381 and 391, respectively i.e. continuity is broken. These have been done in order to keep the digit 9 at unit place for sub-total or total items.

6.3.8.2 This block has 17 items. These will cover fuels, lubricants, electricity charges, packing

materials, consumable stores, postal charges, stationery cost, taxes paid, etc. Expenditure on minor repair and maintenance of fixed assets and charges for work done by other concerns (whether paid or payable) are also to be taken care of. Cost of transportation of goods (raw materials) from the source of supply to the site of the enterprise and the commission paid to the purchasing agents for this purpose will also appear in this block.

6.3.8.3 Items 371 and 372: If the total amount of electricity consumed during the reference month is not paid, the amount payable pertaining to the month will be ascertained and recorded here. If the exact amount of the bill is not known for some months, the value will be estimated on the basis of the electric bills paid during the recent past. The value of coal/coke, other fuels (POL for fuel etc.), lubricants consumed will be recorded irrespective of whether full payment has been made or not. That part of fuel which is produced and consumed in the process of production (intermediate products) wherever possible are to be excluded.

6.3.8.4 Item 373 : All materials consumed for own construction of passage, raising wall, digging well, etc. for the enterprise may be recorded here. Materials like cement, sand, stone chips will be treated as raw materials for own construction of building. Similarly, materials used for own construction of furniture and fixtures and for small machineries of the enterprise will also be recorded at purchase cost. The **labour cost** for such construction may also be included in this item while reporting. It may be noted that labour charges paid for own construction will be covered against this item and not against item 387.

6.3.8.5 Items 374 to 378 : These items will consider the expenses made for minor repair and maintenance of building, furniture, machinery, transport equipment and other fixed assets. Item 374 will include the repair and maintenance expenses for the building in which the enterprise is accommodated. Repair of building means patchwork like plastering, painting etc. Expenses for repair and maintenance of furniture and fixtures will be recorded in item 375. The value of materials used in repair and maintenance of machinery and transport equipment will come under items 376 and 377 respectively. Similar expenses for tools and appliances and other equipment used for the enterprise will be covered under item 378.

It may be noted that improvement cost of fixed assets by which the life of fixed assets is increased, will not be covered under these items. Similarly, replacement of some major parts of fixed assets which require considerable expenditure will also not come. Amounts paid to others for carrying out minor repair and maintenance of fixed assets including cost of materials supplied will be included against appropriate item. Maintenance cost of animals used for transport enterprise will be recorded against item 343 of block 3.

6.3.8.6 Item 381 : Rent on assets other than land and building may be noted against this item. Hiring of machinery and equipment by the enterprise is a common phenomenon for many of the informal enterprises. But there may be cases where assets are neither owned nor hired (i.e. encroached). Assets may also be of free-hold type. In such cases, rent may be considered as 'zero' and no imputation need be done.

6.3.8.7 Item 382: This is the item where commissions payable to agents and payment towards contract and sub-contract services are to be recorded.

6.3.8.8 Item 383 : Expenses on transportation of materials will be entered against this item. If these are already included in the value of materials consumed, **these items should not be**

filled in separately. It may be noted that expenditure proportionate to the materials consumed during the reference period is only to be recorded. The travelling expenses associated with the entrepreneurial activity will also be shown against this item.

6.3.8.9 Item 384 : Expenses on communication like telephone, telegram, fax, postal, courier, e-mail, voice-mail, etc. are to be recorded here. The item is self-explanatory. Even for a communication enterprise, such expenses may exist apart from the item already covered in sub block on communications in block 3.1.

6.3.8.10 Items 385: Expenses on Consumable stores, packing materials etc. will be reported in this item. Care should be taken to exclude those materials consumed for the construction of fixed assets. Adhesive solution, rubber pieces, pins etc. used in the bicycle repairing shop will come under this item. The value of packing materials like paper, cloth etc. will also be recorded against this item. However, packing materials should not be confused with direct materials. The treatment of packing cost depends on the nature of products/ service sold. If the articles cannot be sold without a package or a container e.g., medicines, perfumes, etc., the cost of packing forms part of the prime cost and the package will be treated as direct materials. Stock of tins, cartons, wrappers, cases, boxes etc. in such cases must be treated in the same manner as the stock of raw materials.

6.3.8.11 Item 386 : For any enterprise, some amount is paid for purchasing materials like paper, printing of bills or logos and other stationery articles. All such charges may be recorded against this item. It may be noted that the stationery may be purchased at one time and used for several months. In such cases, monthly consumption may be estimated and reported.

6.3.8.12 Item 387 : If any payments are made or due to be made to other concerns for work done on materials supplied to them by the reporting enterprise, the amount so paid or payable should be reported against this item. If charges are paid to home workers or sister concerns, those will also be recorded here. This will cover warehousing charges, advertising charges, expenses towards legal, audit and accounting services. Intention is that the services are to be purchased from another establishment which is also adding some value to the economy.

6.3.8.13 Item 388 : This will include license fees, municipal taxes on land and building and any other cess or taxes for the reference month. However, fines or penalties for any breach of contract or non-compliance of law relating to running of the enterprise will be shown against those items for which penalties have been demanded. Local subscriptions, if any, may also be included here. Subscription to business associations will be recorded against this item. Road tax, toll tax in respect of transport enterprises will also be recorded here. However, indirect taxes and excise duties are not to be recorded here since they form part of distributive expenses.

6.3.8.14 Item 391 : Any other expenses of the enterprise which are not covered under any of the items 371 to 388 will be reported against this item. Regular puja expenses, expenses towards customer entertainment, purchase of daily newspaper, etc. are a few expenses of this type.

6.4.0 Block 4: Principal receipts

Block 4 will record the principal receipts in seven sub-blocks corresponding to which the principal expenses have already been collected in block 3. The items are earmarked in the sub-

blocks activity wise against which the principal receipts will appear. In the paragraphs given below, detailed instructions are provided to collect information on these items. As said earlier, there will be some commonality in items between blocks 4 and 4.1. Precaution has to be taken that whenever an item has already been covered in block 4, receipts are not duplicated against a similar item in block 4.1. Examples of such items are: service charges (items 442, 454, 463, 464 and 482 of block 4) and receipts from services provided (item 491 of block 4.1). Again items 473 and 483 of block 4 and item 495 of block 4.1 relate to donations. In each such case, priority will be given to items of block 4 over block 4.1. The approach of data collection will be the amount receivable during the reference month.

6.4.1 First sub-block: manufacturing activity

The purpose of this block is to record the values of finished products and by-products produced in the enterprise during the reference month. The value of output that is not sold has to be evaluated at factor cost and reported. The procedure is different from that followed in Special Enterprise Survey where only items sold during the reference period was considered and **finished products** remaining in stock were taken into account while calculating the change in stock figures. In this round, change in stock of only semi-finished goods will be considered.

6.4.1.1 Items 401 to 404: Names of 3 major products/by-products and value of their output will be reported against these items. Value for goods manufactured (actually sold or not sold) will be considered at ex-factory value and reported. If the number of products and by-products exceeds 3, the value of remaining products will be added together and the total will be shown against item 404. The intermediate products (Intermediate products are used in the production of final products of the manufacturing unit. Intermediate products lose their identity in the final product) made by the enterprise and meant for further processing are generally not included here, but if they are sold as they are, they should be included.

6.4.1.2 Item 405: The ex-factory sale values of all goods incidental to manufacturing which were sold in the reference month in the same condition as they were purchased will be recorded here. This will also include the sale value of goods bought exclusively for re-sale.

6.4.1.3 Valuation : The values of finished products and by-products which were produced and made ready for sale/use/free distribution/home consumption and the value of intermediate products, if any, that were produced and made ready for sale during the reference period, will be recorded in whole number of rupees. Value of manufactured products lost by theft/damage/destroyed by fire etc. during the reference period will also be included. The ex-factory value of the products and by-products will be reported here. It **excludes** excise duty paid or sales tax realised by the enterprise on behalf of the Government as also all distributive expenses incurred such as discount or rebate, charges for carriage outward, commission to selling agents, etc.

6.4.1.4 Items 411 to 413 : For any manufacturing process, a stock of semi-finished goods (goods which are yet to get the shape of final product) remains at the beginning and at the end of the reference period. The net balance (item 412 – item 411) of such semi-finished goods forms a sort of notional output for that enterprise. The value of net balance of semi-finished

goods will be recorded against item 413 with appropriate sign ('+' for increase and '-' for decrease).

6.4.1.5 Item 419: Total of items 409 and 413 will give the total principal receipts from the manufacturing unit.

6.4.2 Second sub-block : Trading activity

The total sale value of the commodities sold during the reference month will be recorded in this block. Provision has been kept to record sale value of three major commodities against items 421 to 423. If there are more than three items sold, the combined value of such commodities will be recorded against item 424. Item 429 will represent the sub-total of the commodities sold.

6.4.2.1 Items 431 to 433: In any trading unit generally some goods are left in stock at any point of time. Items 431 and 432 will record the opening and closing value of such stock at purchase price. The value of stock should include the credit purchases also. It is not easy to get the stock figures from the trading enterprise. As a proxy measure, capital locked up in stock may be collected. The estimates of the stock figures will be noted at the beginning and at the end of the reference month. The difference of items 432 and 431 will be noted with proper sign against item 433, which will refer to the change in stock of trading goods.

6.4.2.2 Item 439: This item is the total of items 429 and 433 and represents the total principal receipts from the trading unit.

6.4.2.3 Valuation: The valuation of trading goods will be done at sale price. Sale price will include excise duties and other incidental charges associated with sale. But this will be net of discount, rebate or allowances which are given by the suppliers to the traders or by the traders to the customers. However, the stock figures will always be at the purchase price.

6.4.2.4 Item 440: This item will record the overall trade margin of the unit as a direct query from the traders. Trade margin is the percentage gain in sale price over the corresponding purchase price and it may not necessarily pertain to the reference month only. Trade margin will refer to the margin the trader normally keeps in the transaction of the trading goods. Note that **this item does not form a part of the value added of the sample unit but is collected to have an assessment of the consistency of the collected data.**

6.4.3 Third sub - block: construction activity

The receipts of the construction activities will be of two types. The first part will relate to the receipt of the contractors/sub-contractors for whom the expenses have already been recorded in items 321 to 324 of block 3. The second part relates to the service charges of self employed masons, plumbers, painters, plasterers, etc. in return for their work in the construction activity.

6.4.3.1 Item 441: Against this item, the total amount received by the sub-contractor (which is the selected enterprise) from the master contractor or the amount received by the contractor (sample enterprise) from the owner of the construction work will be reported.

6.4.3.2 Item 442: The service charges received by the masons, plumbers, etc. either from the contractors (who purchase their service) or directly from the owner will be recorded here. The construction activity may be new or repair and maintenance of the old buildings. The masons or plumbers or plasterers, sometimes, receive commissions from the traders of construction materials as incentives for promoting their sale. Such commissions may also be recorded against item 442.

6.4.3.3 Item 449: Total of items 441 and 442 will be recorded against this item. It may be noted that the same item is repeated in item 491 of block 4.1. Care may be taken so that duplication is avoided.

6.4.4 Fourth sub - block: Hotel and restaurant activities

In this sub- block all principal receipts in relation to the hotel and restaurant activity will be recorded. Four items are kept for the purpose.

6.4.4.1 Item 451: Lodging charges receivable for hiring out rooms, rent for conference halls, etc. will be considered against this item. If lodging charges includes the breakfast or meal charges, the combined value may be recorded here.

6.4.4.2 Item 452: The receipts from sale of prepared food, refreshments and drinks will be considered against this item when they are separately charged. If the hotels and lodging places sell prepared food to outsiders, the receipts will be noted here.

6.4.4.3 Items 453 and 454: Receipts from trading of purchased food like ice creams, pastries, patties, drinks, etc. will be recorded against **item 453**. This is the receipt part of traded goods. Drinks will mean soft drinks as well as hard drinks. If the enterprise does any catering business and serves to other concerns or individuals, the receipt will be noted against **item 454**.

6.4.5 Fifth sub-block: Transport, storage and communication activities

6.4.5.1 Items 461 and 462 : These two items will record the earnings from transport activity, from passenger traffic and from goods traffic, respectively. Charges received from the customers for contract/chartered service will also be noted as earning from passenger traffic (item 461). If the same vehicle is used for passenger as well as goods transport, the total earning may be recorded against the predominant activity, if separate accounts are not maintained. Charges received by enterprises providing services incidental to transport (operation of bridges, loading/unloading of vessels, travel agency, maintenance of docks, etc.) will, however, be recorded in **item 491** of block 4.1.

6.4.5.2 Item 463: This item is intended to collect the service charges received by the storage and warehousing enterprises. **Godowns used for storing of own produce is not to be considered.** No imputation is needed if commodities are stored in one's own warehouse.

6.4.5.3 Item 464: Total charges realised from the customers by STD booths or a courier concern or a unit which caters to fax or e-mail services will be noted against this item. The receipts for services provided during the reference month will only be recorded by receivable approach. **Total receipts** and not just the commissions will be reported here.

6.4.6 Sixth sub-block: Educational activities

The receipts include earnings from fees, receipts for service provided and donations/ grant from government as well as individual persons / organizations. Receipts from students on account of sale of text-books or uniforms will also be shown. **Lump sum donation / grant received may be apportioned for the month and recorded.**

6.4.6.1 Items 471 and 472 : Tuition fees receivable from the students will be entered in **item 471**. Other fees such as library fee, laboratory fee, examinations fee, games fee, medical fee, bus fee, etc. will be recorded against **item 472**. This will not include hostel fee. Item 472 will also exclude fees collected on behalf of other authorities such as secondary board, university etc. This will also exclude refundable deposits such as library deposit, laboratory caution money, etc. collected from students. The developmental fee realised from students will be shown against this item. Receipts from sale of books, school uniform etc. will also be shown against item 472.

6.4.6.2 Item 473 : donations/grants : All recurring / non-recurring grants received from central, state and local governments will be recorded against item 473. Similarly, all recurring / non-recurring donations received from persons, national / international organizations will be entered against this item. Lump sum donation / grant received may be apportioned for the month and recorded.

6.4.7 Seventh sub-block: Medical and health activities

Like in educational enterprises, here also receipts include earnings from consultation fees, receipts for various services provided, government grants and donations from persons and organizations. Many medical practitioners do not only charge consultation fee, but purchase of medicines against his prescription from his dispensary is obligatory. In such cases, receipt against this prescription will also be shown as receipts of the doctor. In case of hospitals or nursing homes, receipts for service other than that rendered by doctor like OT charge, pathological tests, expenditure on diet for patients, cabin etc. may be shown against item 482. **Lump sum donation / grant received may be apportioned for the month and recorded.**

6.4.7.1 Item 481: This includes charge for services rendered by doctors. The amount receivable will be inclusive of charges of medicines, if supplied by the doctor. The medicines provided to the patients by the nursing homes may also be recorded here.

6.4.7.2 Item 482: This includes cabin charge, operation theatre charge, charges for clinical and radiological examination, charges for cabin, nursing, diet etc.

6.4.7.3 Item 483 : All recurring/non-recurring grants received from central, state and local governments will be recorded against item 483. Similarly, all recurring/non-recurring donations received from persons, national organizations and international organizations will also be entered against this item. Lump sum donation / grant received may be apportioned for the month and recorded.

6.4.8 Block 4.1: Other receipts

This block is applicable to all enterprises. For the specific activities mentioned in the seven sub-blocks of block 4, this block will record the receipts not covered there. But for all other service enterprises such as cultural, social services, real estate, legal, financial services, etc. this block will provide the principal and also the incidental expenses. There are 6 items in the block. Item 499 gives the total. Item-wise descriptions are given below:

6.4.8.1 Item 491 : This is the main item of this block. Service provided to other concerns will mean work done for other concerns whether such services are rendered inside or outside the premises of the reporting enterprise. In rendering services, the materials for processing or repairing is generally supplied by the reporting enterprise. In such cases, service charge should **include** the material cost. Even if the payment is not yet received, the amount will be recorded here. If materials are purchased for the customer which will be reimbursed subsequently, price of the materials will be ignored, only the service charges are to be recorded. Service charges received in kind are to be imputed. As already mentioned, this item will give the main receipts for most of the servicing enterprises, except educational and medical & health activities. If charges received for works done are already taken care of in one of the sub-blocks, duplication should be avoided.

6.4.8.2 Item 492: This is the receipt item corresponding to the item 373 in block 3.1. In fact, this will present the value added for the own construction of building, furniture & fixtures if taken net of item 373.

6.4.8.3 Item 493: Value of goods and/or services produced by the enterprises for sale but ultimately consumed by the entrepreneur or by the employees of the enterprise will be noted here. Any part of the finished products which were supplied to sister concerns will also be included. Grocery items consumed in household, manufactured cloth worn by the owner, restaurants providing food to the cooks are some of the items of this kind. The goods/ services provided should be evaluated at owner's cost. However, if goods obtained free of cost are consumed, no imputation is required.

6.4.8.4 Item 494: If a trading/manufacturing unit hires out durable goods, the receipts there from may be recorded against this item, since value added by this marginal activity will otherwise be missed. For enterprises basically engaged in renting out of machinery and equipment, this is the main item. In such cases, the rent obtained is their service charges. The earnings for such enterprises may be recorded against this item **and not against item 491**.

6.4.8.5 Item 495: Same as items 473 and 483 of block 4. **Lump sum donation / grant received may be apportioned for the month and recorded.**

6.4.8.6 Item 496: This will include any other receipt incidental to entrepreneurial activity. Receipts from a few services like informal agency, consultancy etc. will be recorded here. Incentives received by the enterprise may be recorded here. Receipts from sale of used cartons or used wrappers may also be added. The net receipts against sale of tickets for annual function conducted by some institutions may be shown here. Other receipts will **exclude** interest and dividend, since these are not accrued due to entrepreneurial activity.

6.5.0 Block 5 : Calculation of gross value added for the reference month

This block has only two items. The items are transfer entries from blocks 3, 3.1, 4 and 4.1 and are mostly self-explanatory. The value added figure obtained against item 509 with proper sign is comparable with the entry against item 5 of block 10. If there is a large divergence between these two figures, further queries may be made and appropriate comments may be added in blocks 12 and 13.

6.6.0 Block 6 : Employment particulars of the enterprise during the reference month :

6.6.0.1 Worker : A worker is defined as one who participates either full time or part time in the activity of the enterprise. The worker may serve the enterprise in any capacity - primary or supervisory. He/she may or may not receive wages/ salaries in return to his/ her work incidental to or connected with the entrepreneurial activity.

6.6.0.2 Particulars in this block will relate to all workers - paid or unpaid. The average number of persons usually working on a working day during the reference month (for reference month please see para 6.0.2) shall be recorded in this block. All categories of workers such as supervisory and managerial staff, clerks, typists, sweepers etc. will be recorded separately for male and female. This includes working proprietors and apprentices (paid or unpaid), unpaid helpers and part-time workers as long as they are engaged on a fairly regular basis. A worker need not mean that the same person will be working continuously; it will only refer to a position. As mentioned above, the average number of workers engaged on a working day during the reference month shall be recorded separately for different categories of workers. Item-wise details are discussed below.

6.6.1 Item 1 : Working owner. In the case of proprietary enterprises, if the owner himself/ herself works in the enterprise on a fairly regular basis, the entry should be made against item 1. In fact, in most of the own-account enterprises the owner himself/ herself manages all activities of the enterprise without help of anybody else (on fairly regular basis). For all such enterprises essentially the value '1' shall be recorded in the appropriate column against item 1. In the case of partnership enterprises, if only one partner or some of the partners or all the partners work in the enterprise on a fairly regular basis then information for them shall be recorded against this item.

6.6.2 Item 2 : Hired worker : A hired worker is a person employed directly or through any agency on payment of regular wage/ salary in cash or kind. Apprentices, paid or unpaid, are to be treated as hired workers. Paid household workers, servants and resident workers of the proprietor (in the case of proprietary enterprise) or partners (in the case of partnership enterprise) working in an enterprise are also to be considered as hired workers for the purpose of making entry against this item. It may be noted here that the information regarding working owner/ partner(s) shall be recorded against item 1 only and not against item 2, even if they take regular payment from the enterprise. It is possible that for an OAE also, hired workers may be found in some situations. This may happen when an enterprise is identified as OAE at the listing stage on the basis of one year reference period, but in the reference month there is a hired worker in the enterprise.

6.6.3 Item 3 : Other worker/ helper : Information regarding the workers not covered in items 1 & 2 above shall be recorded against this item. This includes all persons belonging to the household of the proprietor or households of the partners who are working in or for the enterprise without regular salary or wages. Persons working as exchange labourer in the

enterprise without salary or wages will also be covered in this category. All unpaid household workers/ helpers who are associated with the activities of the enterprise during the reference month will be considered for recording entries against this item.

6.6.4 Item 4 : Total : Total of different types of workers as recorded against the items 1, 2 & 3 of this block will be entered against item 4.

6.6.5 Columns 3, 4, 5 & 6 : Average number of workers during the reference month - full time and part time : The average number of persons, separately for male and female, engaged in the enterprise during the reference month for each of those categories of workers will be recorded in columns 3 & 4 for full time and 5 & 6 for part time workers, respectively. It may be noted that female workers, if any, may be recorded first. Persons working for less than or equal to half of the normal working hours of the enterprise on a fairly regular basis will normally be considered as part time workers. Full time workers are those who work for more than half of the period of normal working hours of the enterprise on a fairly regular basis. In calculating the average number of workers under full time and part time categories, persons falling under each of the categories shall be considered separately. Two part-time workers in an enterprise will be counted as 2 and not 1.

6.6.6 Column 7 : Total : Totals of the entries made in columns 3, 4, 5 & 6 shall be recorded in this column separately for each type of workers and also for the total line of type of worker (i.e. column 1, item 4). Please check that the total of columns (3) to (6) for item 4 is matching with the total of items 1 to 3 of column (7). This intersection of item 4 and column 6 gives the total number of workers of the sample enterprise.

Block 7 : Compensation to workers during the reference month

6.7.0 This block is applicable for enterprises which are run with the help of hired workers (for definition of hired worker please see para 6.6.2) and which make regular payments to the individual workers as salary / wages, bonus etc. in cash or kind or both. There may be other type of payments like canteen facility, health care facility, recreation club facility, etc. which are paid in kind to a group or to all the workers of the enterprise. All types of payments, whether individual payments or payments made to a group are to be recorded in this block. The entries in this block are to be made in whole number of rupees.

6.7.1 Item 1 :Salary/wages, allowances and other individual benefits (cash & kind) : Salaries/ wages payable to the individual workers for the reference month will be recorded in this item. This will include, besides the stipulated pay, all other allowances like dearness, house-rent, over-time, shift etc. Payments which are given in kind, more or less regularly as salary or wages or as a part of salary or wages, are to be included here and to be evaluated at cost to the employer. This means, for example, if in a restaurant enterprise, meal is regularly provided to the workers free of cost, then cost price of the meal is to be recorded here, not the price the meal would have fetched had it been sold to the customers. This item also includes payments like bonus, retirement benefits, ex-gratia payment, employer's contribution to ESIC fund, provident fund, etc. Payments of the latter kind are generally made once in six months or once in a year or at the time of retirement only. For this type of one-time-payment, the apportioned amount for the reference month should be included. It may be noted that for own account enterprises (where

there is no hired worker on a fairly regular basis) also, there may be positive entries in this item if that OAE had engaged hired workers during the reference month.

6.7.2 Item 2 : Imputed value of group benefits for the month : This includes expenses (net cost to the enterprise) made by the employer to provide amenities and benefits in kind to workers as a whole during the reference month which are of the following types :

(i) provision of canteen, crèches, sports & recreation clubs, dispensary, etc.

(ii) provision of food, beverages, tobacco, uniforms, lodging & other kind benefits, if any, free of cost or at subsidised rates.

If monthly figures are not available, then imputed value of these group benefits may be recorded against item 2.

6.7.3 Item 3 : Total monthly emoluments : Total of items 1 & 2 which gives total emoluments payable to the workers for the reference month shall be recorded here.

Block 8 : Fixed assets owned and hired

6.8.0 This block is meant for recording value of fixed assets owned and hired by the sample enterprise. Three reference periods have been used in this block. While the value of assets will be collected as on the date of survey, net addition to the fixed assets will be recorded for the last 365 days. The value of rent payable on hired assets should be recorded for the reference month.

6.8.0.1 Fixed assets : Fixed assets are assets held for the purpose of producing or providing goods or services and they are not held for resale in the normal course of entrepreneurial activities. These cover all goods, new or used that have a normal economic life of more than one year from the date of purchase.

6.8.0.2 Fixed assets for our purpose include assets used for production, transportation, living or other facilities (recreation etc.). Full value of assets taken on hire purchase/ instalment (whether fully paid or not) excluding interest should be considered. Intangible assets like goodwill etc. are excluded. The assets under construction i.e., construction of building etc., installation of plant and machinery, preparation of chassis of truck etc. (transport equipment) may be reported under the relevant items. Advance payment for fixed assets not yet received should not be considered. The information to be recorded here is by physical approach. Fixed assets owned but rented out are not to be accounted for. Additions to fixed assets (as distinct from repair work) during the reference year is to be included. Information for land and building need not be given separately. For the enterprise which has not yet started providing service and is engaged in the process of installation, fixed assets will be duly considered.

6.8.1 Item 1 : Land and Building: Land will mean the land on which the enterprise is accommodated together with the surrounding area which is used for the enterprise. This will also include improvement to land. However, if only a portion of the land belonging to the residence of a household is utilised for the enterprise, only that portion of the land may be considered as capital assets for the enterprise. Land owned with permanent heritable possession with or without right to transfer the title will come under this item. Land held on long term lease, say, 30 years or more will also be treated as land owned. For encroached land, market value will be recorded in column (4) and entry '0' in column (6) with the supporting

remarks in block 12. **Building** is the structure which houses the activities of the enterprise. This will also include all other structures like shed, house, portions of a house or other structure, building under construction and other conveniences in which the activities of the enterprise are carried out. This will include other constructions such as laying of passage, raising of wall, construction of water tank or sewerage, boring of tube-well, etc.

6.8.2 Item 2 : Plant and machinery : Plant is generally the name given to an assembly of machinery/ equipment / devices installed for the operation of entrepreneurial activities. Machinery means an implement or mechanical device used in the entrepreneurial activities. These are assets of durable nature and can be easily identified. The full value of the machinery should be reported, if the machinery was purchased during the year on hire-purchase basis. Advance payments made for the purchase of a machinery (not in possession on the date of survey) will not be recorded.

6.8.3 Item 3 : Transport equipment : All vehicles, power-driven or man/animal-driven, used for transporting passengers (only for transport activity), goods and materials by the enterprise in connection with its activity will be covered by this item. Animals, if used for drawing vehicles or carrying loads, will be treated as part of transport equipment, otherwise it will be included in item 4. If the equipment is used both for domestic as well as enterprise purpose, the criterion to be followed is major time disposition of the equipment i.e., whether equipment is used more for domestic purpose or for use in enterprise. Transport equipment which is occasionally rented out will be included if it is mainly used for the activities of the enterprise.

6.8.4 Item 4 : Tools and other fixed assets : Tools refer to small loose implements, generally held in hand for operation and having normal life of more than one year. **Other fixed assets** refer to other durable equipment (not covered under items 1 to 3 above) which are used for the entrepreneurial activity either directly or indirectly. These will include furniture, fixtures, laboratory equipment, office equipments etc. Livestock used in oil *ghani* will also be included under this item. If the same animal is used part of the time in oil *ghani* and part of the time for transporting materials, it will be classified under item 4 or item 3 depending upon major time spent.

6.8.5 Item 5 : Total : Total of items 1 to 4 which gives total of different types of fixed assets.

6.8.6 Columns (3) & (4) : Market value of assets as on the date of survey : Market value of the fixed assets as on the date of survey separately for owned and hired assets shall be recorded in columns (3) & (4) respectively. Market value means the value that the equipment would have fetched from the open market if sold in present condition.

6.8.7 Column (5) : Net additions during last 365 days : In this column information regarding net additions to the fixed **assets owned** during last 365 days will be recorded. Net addition may be obtained by subtracting depletion of assets from the addition made during last 365 days. Addition and depletion of the fixed assets are discussed below.

6.8.7.1 Addition to the fixed assets could be made through purchase (new or used) or through own construction. The value of items received otherwise (i.e. gifts etc.) during last 365 days will also be included. Improvements on land, new construction of building, shed, structure, as well as assets produced on own account during last 365 days will be considered as additions

to the fixed assets. In the case of addition through own construction, values to be included against different types of assets need to be estimated by considering :

- (a) value of purchases of all materials used for the purpose,
- (b) amount paid for labour or service charges on that account,
- (c) imputed value of goods / services supplied by the household, if any.

Fixed assets acquired from others should be valued at the full cost incurred, that is, at the delivered price **plus** the cost of installation, including any necessary fees and taxes paid but excluding financing costs, if any. Repair and maintenance cost of minor nature will not be included but replacement of some major parts, which require considerable (capital) expenditure will be considered for inclusion. (Cost of routine repair and maintenance of fixed assets are to be reported in block 3.1 against appropriate items from 374 to 378). Home-grown materials, if any, used in own-construction are to be evaluated at ex-farm price. If any material already lying with the household for a long time and used for own construction, their values should also be determined at cost price (cost to the household).

6.8.7.2 Depletion of assets is obtained by considering the assets sold and discarded during last 365 days. 'Sale' that is only agreed upon but not effected during last 365 days will not be included even if money having been taken in advance. Similarly, the value of assets sold will be included though payment is yet to be received. The value of assets disposed off in any manner other than sale, will be treated as value of assets discarded. Besides obsolescence (gone out of use) of an asset, this will include loss due to theft, damage, accident etc.

6.8.8 Column (6) : Monthly rent on hired assets : It has already been mentioned in para 6.8.6 that the present market value of hired assets used by the enterprise on the date of survey will be recorded in column (4). The rent payable for the reference month on the hired assets by the enterprise will be recorded in this column. If no rent is payable for any asset put '0' in column (6) for that particular type of asset with appropriate remarks in block 12. If an enterprise is located in a rented house where the household resides as well, rent may be imputed on the basis of floor area occupied by the enterprise. For rent paid in kind, imputed value may be given. If the enterprise runs in one's own house, rent need not be imputed.

6.9.0 Block 9 : Loan outstanding as on the date of survey

6.9.0.1 Any borrowing in cash or kind to be repaid in cash or kind is termed as loan. When a loan is granted by a banker/financier to an enterprise, the whole amount is placed at the disposal of the enterprise and interest at an agreed rate is charged thereon from the date of disbursement of the loan. Information on amount of loan taken including interest which is outstanding on the date of survey by different sources of loan will be recorded in block 9. It may be noted that loans taken for the purpose of utilising the same in the entrepreneurial activities of an enterprise will be included even if such loans are used for other purposes. On the other hand, loan taken for other purposes but ultimately used in the enterprise will be excluded. In case of hire purchase also, loan outstanding on the date of survey, including interest will be considered in block 9 against the corresponding serial number. While loans are generally given in cash from agencies 1 to 3, it can be either cash or kind or both from other agencies. **All entries in this block will be made in whole number of rupees.**

6.9.0.2 Amounts due to merchants/ shopkeepers, unpaid bills of lawyers/firms, outstanding taxes /revenue/ rent payable to Government or public bodies etc., **will not be treated as loan** for making entries in this block. The information regarding loans taken from different type of credit agencies are mentioned below.

6.9.1 Item 1 : Central and state level term lending institutions : This will include, among others, the following institutions :

- i) Industrial Financial Corporation (IFC),
- ii) Industrial Development Bank (IDB) ,
- iii) Industrial credit and Investment Corporation,
- iv) National Industrial Development Corporation,
- v) National/State Small Industries Corporation; and
- vi) Other Industrial and Financial Corporations set up by Central /State Governments

6.9.2 Item 2 : Government (central, state, local bodies) : Loans may be advanced by Government through different Ministries/Departments or other agencies. Loans given by the local bodies (i. e., panchayat, municipality, etc.) will also be included for making entry against this item.

6.9.3 Item 3 : Public Sector banks and other commercial banks : This includes all nationalised banks including the State Bank of India and its subsidiaries like the State Bank of Travancore, State Bank of Mysore, State Bank of Bikaner & Jaipur, State Bank of Patiala etc. Loans taken from all other scheduled and non-scheduled banks, other than cooperative banks, should also be included here. Loans sanctioned by Government but routed through the banks should not be treated as bank loans.

6.9.4 Item 4 : Cooperative banks and societies : Loans from cooperative institutions like primary cooperative credit societies, district and central cooperative banks, primary or central land mortgage banks, handloom weavers' cooperative societies and other industrial or other types of cooperative societies etc. will be recorded against this item.

6.9.5 Item 5 : Other institutional agencies : Loans advanced by institutions / agencies like Khadi and village Industries Commission, Life Insurance Corporation, provident fund, Chit Funds, etc. not covered under items 1 to 4 above will be recorded against this item.

6.9.6 Item 6 : Money lenders : A money lender is any person who has advanced a loan which carries interest irrespective of his being a friend or relative of the entrepreneur.

6.9.7 Item 7 : Business partner(s) : In the case of a partnership enterprise, loans may be made available by partner(s) of the enterprise. For such type of loans entries shall be made against this item. If the partner happens to be a **money lender** then also entry shall be made against this item.

6.9.8 Item 8 : Suppliers / contractors : Sometimes enterprise is provided with loans by the supplier of basic input / raw materials and equipment to the enterprise. In the case of an enterprise working on contract basis, it may so happen that loan is given by the contractor himself. All such loans shall be recorded against this item.

6.9.9 Item 9 : Friends and relatives : Any non-institutional loan which is interest-free, will be included in this item.

6.9.10 Item 10 : Others : Loans taken from any other agency not covered above will be covered under this item .

6.9.11 Item 11 : Total : Total of items 1 to 10 which gives total amount of loans taken from different sources and total interest payable during the reference month is to be recorded against this item.

6.9.12 Column (3) : Amount : Amount of outstanding loan, as mentioned in para 6.9.0.1, taken by the enterprise shall be recorded in this column against the appropriate source(s) of loan discussed in the items 1 to 10 in this block.

6.9.13 Column (4) : Interest payable during the reference month : Total interest due to be paid for the reference month for all the loans taken by the enterprise will be recorded here, irrespective of the fact that any of the loans might have been repaid either fully or partly or found to be outstanding.

6.10.0 Block 10 : Factor income of the enterprise

The total income generated by any enterprise is distributed into four factors of production. **Interest** goes to the investors, **rent** goes to the owners of land and building, **emolument** goes to the workers and the remaining income (operating **surplus**) is retained by the entrepreneur. In this block factor incomes of the enterprise will be recorded in whole number of rupees.

6.10.1 Item 1 : Emoluments : Total emoluments payable to the workers of the enterprise during the reference month is to be recorded here. This is a transfer entry from column (3), item 3 of block 7. Please copy that figure here.

6.10.2 Item 2 : Rent payable : Rent payable for the reference month on land and building hired by the enterprise which is available in column (6), **item 1** of block 8 will be copied here.

6.10.3 Item 3 : Interest payable : Total interest due to be paid for the reference month for the loans taken by the enterprise which is available in column (4), item 11 of block 9 is to be copied here.

6.10.4 Item 4 : Net surplus (including home consumption) : Net surplus or earning from the enterprise at the end of the reference month is to be reported here. Net surplus of an enterprise is the amount which the owner / partner(s) gets out of the entrepreneurial activity after making payments to the workers (individual or as group benefits), rent on land and building and interest on outstanding loan for the reference month.

6.10.4.1 It may be noted that the earnings from an enterprise are, sometimes, partly withdrawn in cash or kind by self or partner(s) or family members during the reference month. In many cases the raw materials / goods / services of an enterprise are partly consumed at home, for which the enterprise does not get any receipt. For getting a complete idea of the net surplus or earning of an enterprise, one has to account for such **withdrawals** (if any) and **home consumption** during the reference month, other than the surplus visible at the end of the

reference month. Please note that the paid family members are considered as hired workers of the enterprise and payments made to them should not be treated as withdrawals by family members for making entry in item 4. Payments made to family workers shall be recorded in item 1 of block 7.

6.10.5 Item 5 : Total : Total of items 1 to 4 which gives total of factor incomes of the enterprise during the reference month will be shown here. It may be noted here that this entry should theoretically match with the entry against item 509 of block 5. Comments may be given in block 12 for any abnormal divergence.

6.11.0 Block 11 : Particulars of field operation

Items in this block are self-explanatory. While filling up the schedules, care is to be taken to record the time taken in canvassing the schedule in minutes (and not in hours) against item 2 of this block. Dates of survey/inspection, etc. should be made as dd/mm/yy since these will be required in data processing.

6.12.0 Blocks 12 and 13: Remarks by investigator and comments by supervisors

Blocks 12 & 13 are meant for noting down investigator’s remarks/ supervisor’s comments/ suggestions regarding the entries made in schedule 2.0. Please give remarks/ comments/ suggestions you feel will be useful for meaningful interpretation of the data or designing of schedules in future round. For any unusual feature of the enterprise, remarks may be added.

6.13.0 Comparison of Schedule 2.0 with Schedule S2 of Special Enterprise Survey

6.13.1 Schedule 2.0 of 55th Round has many similarities with schedule S2 of the Special Enterprise Survey (SES), currently in operation. The format and even the contents of schedule 2.0, in many respects, are quite similar to the schedule S2. However, there are also some significant differences. These are discussed below so that the experience gained in SES can be put to advantage while, at the same time, one is aware of the differences that are there in the two surveys.

6.13.2 Similarities: Schedule 2.0 is essentially of the same form as that of schedule S2. Blocks 3, 3.1, 4 and 4.1 of Schedule 2.0, dealing with operating expenses and receipts are similar to the corresponding blocks of schedule S2 which form its major portion. Block 10 of schedule 2.0 on factor incomes is similar to that of block 2 of schedule S2. Manufacturing enterprises covered under ASI are outside the coverage of both the surveys.

6.13.3 Differences: The differences in the two schedules are given below:

Item	schedule S2 of SES	schedule 2.0 of 55th Round
sector	unorganised sector: all non-agricultural enterprises other than Public Sector i.e. proprietary, partnership, co-operative societies, trusts, private and	informal sector: only unincorporated proprietary and partnership non-agricultural enterprises

	public limited companies	
Item	schedule S2 of SES	schedule 2.0 of 55th Round
objective of the survey	to obtain estimates of value added	in addition to estimation of value added, various other aspects of enterprises viz.; operational characteristics, more detailed information on workers, emoluments, fixed assets and loan outstanding to be studied
activity coverage	14 specific activities	all non-agricultural activities other than mining & quarrying and electricity, gas and water supply
reference period	two reference periods of one month and one year	only one reference period of one month
NIC code	based on NIC 1987	based on NIC 1998
sub-block on education, health and transport	no separate sub-blocks for education, health and transport in block 3 (though separate sub-blocks for these activities were there in block 4)	separate sub-blocks for education, health and transport have been added in block 3 to have one-to-one correspondence with block 4
addition of sub-blocks in blocks 3 and 4	-----	a sub-block on construction has been added. The sub-block on transport has been extended to cover storage and communication activities
enterprise class	divided into (i)own account enterprises (ii)non-directory establishments and (iii) directory establishments	divided into (i) own account enterprises and (ii) establishments.
segment number (block 1, item 13)	one hamlet group/ sub-block of concentration area (hg '0') and one other hamlet group from the rest (hg '1'), for rare activities (hg '9')	one hamlet group/ sub-block of concentration area (segment 1) and the union of other two selected hamlet groups/sub-blocks(segment 2). There is no concept of rare activities.
second stage stratum	14 activities × 3 enterprise types.	6 broad industry groups × 2 enterprise classes
additional information and blocks	-----	descriptive identification (block 0),some operational characteristics of the enterprise (parts of block 2), additional codes devised to classify domestic services, more detailed information on workers (block 6) and compensation to employees (block 7), additional blocks on fixed assets (block 8) and loan (block 9), particulars of field operation (block 11) and remarks/comments (blocks 12 and 13)
Item	schedule S2 of SES	schedule 2.0 of 55th Round

manufacturing activity - valuation	valuation on the basis of sales; change in stock for finished as well as semi finished goods	valuation on the basis of items manufactured. The items not sold to be valued at factor cost. So, change in stock will be only for semi-finished goods and not for finished goods
change in stock	net change in stock was collected in a single item	in the manufacturing and trade sub-blocks of block 4, two items viz. opening stock and closing stock have been added to facilitate calculation of change in stock
education	only unrecognised institutions	all proprietary and partnership educational institutions whether recognised or not
value added block	no such block	block 5 has been added to facilitate calculation of gross value added
factor income	items on emoluments, rent and interest were direct entries; depreciation was collected.	They are transfer entries from blocks 7, 8 and 9 respectively. depreciation will not be collected.

Appendix - I**Procedure of selection of first stage units, NSS 55th round**

1. **General** : A stratified sampling design has been adopted for selection of the sample first stage units (fsu's). The fsu's are villages (panchayat wards for Kerala) for rural areas and Urban Frame Survey (UFS) blocks for urban areas.

2. **Sample size (fsu's)**: A total number of 10,400 FSUs is selected for survey in the *central sample* at all-India level (rural & urban combined) in the 55th round. For *state samples*, there will be a matching sample size as per the usual matching pattern being followed over the last few rounds. Sample size for the whole round for each State/U.T. X Sector (i.e. rural/urban) will be allocated equally among the 4 sub-rounds. Sample FSU's for each sub-round will be selected afresh in the form of 2 independent sub-samples. State/U.T. level sample size in this round is finalized in such a way that relative standard errors of estimates of important study variables for various States/U.T.s are within tolerable margins of error. Respective sample size with rural and urban break-up is given in the last page of this Appendix.

3. **Sampling Frame**: List of villages (panchayat wards for Kerala) as per 1991 Census and latest lists of UFS blocks are respectively used for selection of rural and urban sample FSUs. For selection of sample villages from the State of Jammu & Kashmir, list of villages as per 1981 Census has been used as the sampling frame. It may be mentioned that all the uninhabited villages of the country as per 1991 Census, interior villages of Nagaland situated beyond 5 kms. of a bus route and inaccessible villages of Andaman & Nicobar Islands are left out of the survey coverage of the NSS 55th round.

4. Stratification

(a) Rural: Two strata are formed at the **state/u.t. level** viz.

Stratum 1: all FSUs with population between 1 to 100 and

Stratum 2: FSUs with population more than 15,000.

Above strata of either type are formed if at least 50 such FSUs are there in the respective frames. Otherwise, they are merged with the general strata. While forming general strata (consisting of fsu's other than those covered under strata 1 & 2), efforts have been made to treat each district as a separate stratum. If limitation of sample size does not allow forming so many strata, smaller districts within a particular NSS region are merged to form a stratum. Each district with rural population of 2 millions or more as per 1991 Census (1.8 millions or more as per 1981 Census in case of Jammu & Kashmir) is as usual split into a number of strata.

(b) Urban: Strata are formed within NSS Regions as follows:

stratum number	composition of strata by considering population of various towns as per the 1991 Census
1, 3, 5 *	'hospital area' (H.A.) / 'industrial area' (I.A.) / 'bazaar area' (B.A.) blocks taken together of each single city with a population of 10 lakhs or more (there could be a maximum of 3 such cities within an NSS Region)
2, 4, 6 *	other blocks of each single city with a population of 10 lakhs or more
7	H.A. or I.A. or B.A. blocks of all towns with population between 50,000 to less than 10 lakhs
8	other blocks of all towns with population between 50,000 to less than 10 lakhs
9	H.A. or I.A. or B.A. blocks of all towns with population less than 50,000
10	other blocks of all towns with population less than 50,000

* stratum numbers 3, 4, 5 & 6 will remain void if there is only one city in an NSS region with a population of 10 lakhs or more

If limitation of sample size does not allow forming so many strata, all blocks of stratum 7 are merged with those of stratum 8 and all blocks of stratum 9 are merged with those of stratum 10.

5. Allocation of FSUs Among Strata: State/u.t. level rural sample size is allocated among the rural strata in proportion to population. State/u.t. level urban sample size is first allocated among the three classes of towns (i.e. 10 lakh +, 50000 to less than 10 lakhs and less than 50,000) in proportion to population. Then sample allocation for each of the three classes of towns within an NSS region is further allocated between two strata types consisting of (i) H.A./ I.A./ B.A. blocks and (ii) the rest in proportion to total number of FSUs in the respective frames with double weightage given to the first category of blocks. Stratum level allocations for both rural and urban areas of a sub-round are made in even numbers in order to facilitate selection of FSUs in the form of 2 independent sub-samples. Sub-sample numbers are 1 & 2 for sub-round 1; 3 & 4 for sub-round 2; 5 & 6 for sub-round 3 and 7 & 8 for sub-round 4.

6. Selection of FSUs: For each sub-round, sample FSUs from each stratum are selected in the form of 2 independent sub-samples by following circular systematic sampling with (a) probability proportional to population for all rural strata other than stratum 1 and (b) equal probability for rural stratum 1 as well as all urban strata. FSUs in the frame of any stratum are arranged as per the following procedure before sample selection if number of sample FSUs per sub-sample is at least 2.

sector	stratum	arrangement rule for FSUs in the frame
rural	1	arranged in the ascending order of population over the State/U.T.

others		as per the census arrangement
sector	stratum	arrangement rule for FSUs in the frame
urban	strata of H.A./ I.A./ B.A. blocks (str. 1, 3, 5)	considered H.A. blocks of the city one after another, followed by I.A. blocks of the city, further followed by B.A. blocks of the city
	strata of other blocks (str. 2, 4, 6)	as per arrangement of blocks of the city in the UFS frame
urban	strata of H.A./ I.A./ B.A. blocks (str. 7, 9)	considered H.A. blocks of different districts X towns one after another, followed by arrangement of I.A. blocks of different districts X towns, further followed by B.A. blocks of various districts X towns within the stratum
	strata of other blocks (str. 8, 10)	arranged the towns of the 1st district in the <i>ascending</i> order of town population; then arranged the towns of the 2nd district in the <i>descending</i> order of town population; followed by arrangement of towns of the 3rd district in the <i>ascending</i> order of town population and so on. Within a particular town, arrangement of blocks as per the UFS frame is retained. If stratum 7 or 9 is not formed, H.A./I.A./B.A. blocks of all towns taken together for a particular group of towns (i.e. broad stratum) are placed first in the other stratum type (i.e 8 or 10 as the case might be) of the broad stratum. The same is followed by arrangement of other FSUs as per the rule suggested above.

7. Allocation for central and state samples: Sample fsu's for central and state samples taken together are selected at one stroke (i.e. using a common random start) from each stratum keeping in view the matching pattern of state samples. For States/U.T.s having an equal matching state sample, sample fsu's with odd orders of selection are allotted to the central sample and those with even orders of selection to the state sample. If there is a double matching pattern, fsu's with 3 times the central sample allocation are selected together from each stratum. Then the fsu's with order of selection numbers 2, 5, 8, 11,,etc. are allotted to the central sample and those with order of selection numbers 1, 3, 4, 6, 7, 9, 10, 12,, etc. to the state sample.

APPENDIX-IILIST OF FOD SUB-REGIONS

state/u.t.		regional office		sub-regional office	
Sl. no.	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.	Warrangal 0223
		3.	Vijayawada (023)	10.	Vijayawada 0230
				11.	Kakinada 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)
19.	Darbhanga 0511				
20.	Motihari 0512				
21.	Purnea 0513				
6.	Patna (052)	22.	Patna 0520		
		23.	Bhagalpur 0521		
		24.	Dumka 0522		
7.	Rahcni (053)	25.	Gaya 0523		
		26.	Ranchi 0530		
		27.	Hazaribagh 0531		
4.	Gujarat (07)	8.	Ahmedabad (071)	28.	Jamshedpur 0532
				29.	Ahmedabad 0710
				30.	Bhavanagar 0711
				31.	Jam Nagar 1712
		9.	Baroda (072)	32.	Rajkot 0713
				33.	Surendranagar 0714
				34.	Baroda 0720
				35.	Mehsana 0721

state/u.t.		regional office		sub-regional office						
Sl. no.	name	Sl. no.	name (code)	Sl. no.	name	code				
(1)	(2)	(3)	(4)	(5)	(6)	(7)				
4.	Gujarat (07)	9.	Baroda (072)	36.	Nandiad	0722				
				37.	Surat	0723				
				38.	Valsad	0724				
5.	Haryana (08)	10.	Chandigarh (081)	39.	Chandigarh	0810				
				40.	Ambala	0811				
				41.	Bhiwani	0812				
				42.	Rissar	0813				
				43.	Karnal	0814				
				44.	Rohtak	0815				
6.	Himachal Pradesh (09)	11.	Shimla (091)	45.	Shimla	0910				
				46.	Bilaspur	0911				
				47.	Dharmashala	0912				
				48.	Mandi	0913				
7.	Jammu & Kashmir (10)	12.	Jammu (101)	49.	Jammu	1010				
				50.	Udhampur	1011				
		13.	Srinagar (102)	51.	Srinagar	1020				
				52.	Anantnag	1021				
				53.	Baramula	1022				
8.	Karnataka (11)	14.	Bangalore (111)	54.	Bangalore	1110				
				55.	Mangalore	1111				
				56.	Mysore	1112				
		15.	Hubli (112)	57.	Shimoga	1113				
				58.	Hubli	1120				
				59.	Belgaum	1121				
				60.	Bellary	1122				
				61.	Gulbarga	1123				
				62.	Thiruvananthapuram	1210				
9.	Kerala (12)	16.	Thiruvananthapuram (121)	63.	Cochin	1211				
				64.	Kozhikode	1212				
				65.	Lakshadweep	1213				
				66.	Palghat	1214				
				67.	Trichur	1215				
				68.	Kottayam	1216				
				10.	Madhya Pradesh (13)	17.	Bhopal (131)	69.	Bhopal	1310
								70.	Chindwara	1311
71.	Durg	1312								
72.	Khandwa	1313								
73.	Sagar	1314								

state/u.t.		regional office		sub-regional office						
Sl. no.	name	Sl. no.	name (code)	Sl. no.	name	code				
(1)	(2)	(3)	(4)	(5)	(6)	(7)				
10.	Madhya Pradesh (13)	18.	Gwalior (132)	74.	Gwalior	1320				
				75.	Indore	1321				
				76.	Ratlam	1322				
				77.	Shivpuri	1323				
						78.	Ujjain	1324		
		19.	Jabalpur (133)	79.	Jabalpur	1330				
				80.	Ambikapur	1331				
				81.	Bilaspur	1332				
				82.	Raipur	1333				
				83.	Rewa	1334				
				11.	Maharashtra (14)	20.	Aurangabad (141)	84.	Aurangabad	1410
								85.	Jalgaon	1411
		86.	Nanded					1412		
		87.	Nasik					1413		
21.	Bombay (142)	88.	Bombay			1420				
		89.	Thane			1421				
22.	Nagpur (143)	90.	Nagpur			1430				
		91.	Akola	1431						
		92.	Amravati	1432						
23.	Pune (144)	93.	Pune	1440						
		94.	Kolhapur	1441						
		95.	Sholapur	1442						
		96.	Panaji	1443						
12.	Meghalaya (16)	24.	Shillong (161)	97.	Shillong	1610				
				98.	Tura	1611				
				99.	Agartala	1612				
13.	Nagaland (18)	25.	Kohima (181)	100.	Kohima	1810				
14.	Orissa (19)	26.	Bhubaneswar (191)	101.	Bhubaneswar	1910				
				102.	Berhampur	1911				
				103.	Cuttack	1912				
		27.	Sambalpur (192)	104.	Sambalpur	1920				
				105.	Baripada	1921				
				106.	Bhvanipatna	1922				
15.	Punjab (20)	28.	Jalandhar (201)	107.	Jalandhar	2010				
				108.	Amritsar	2011				
				109.	Ferozpur	2012				
				110.	Hoshiarpur	2013				

state/u.t.		regional office		sub-regional office		
Sl. no.	name	Sl. No.	name (code)	Sl. no.	name	Code
(1)	(2)	(3)	(4)	(5)	(6)	(7)
15.	Punjab (20)	29.	Ludhiana (202)	111	Ludhiana	2020
				112	Bhatinda	2021
				113	Patiala	2022
16.	Rajasthan (21)	30.	Ajmer (211)	114	Ajmer	2110
				115	Jodhpur	2111
				116	Udaipur	2112
		31.	Jaipur (212)	117.	Jaipur	2120
				118.	Alwar	2121
				119.	Ganganagar	2122
				120.	Kota	2123
17.	Sikkim (22)	32.	Gangtok (221)	121.	Gangtok	2210
18.	Tamil Nadu (23)	33.	Coimbatore (231)	122.	Coimbatore	2310
				123.	Dharmapuri	2311
				124.	Salem	2312
				125.	Tiruchirapalli	2313
				126.	Madras	2320
		34.	Madras (232)	127.	Cuddalore	2321
				128.	Pondicherry	2322
				129.	Vellore	2323
		35.	Madurai (233)	130.	Madurai	2330
				131.	Tanjore	2331
				132.	Tirunelveli	2332
				133.	Virudhu Nagar	2333
				134.	Agra	2510
19.	Uttar Pradesh (25)	36.	Agra (251)	135.	Aligarh	2511
				136.	Meerut	2512
				136.	Saharanpur	2513
				136.	Saharanpur	2513
		37.	Allahabad (252)	138.	Allahabad	2520
				139.	Azamgarh	2521
				140.	Faizabad	2522
				141.	Gorakhpur	2523
				142.	Varanasi	2524
				142.	Varanasi	2524
		38.	Bareilly (253)	143.	Bareilly	2530
				144.	Almorah	2531
				145.	Dehradun	2532
				146.	Moradabad	2533
147.	Sitapur			2534		

state/u.t.		regional office		sub-regional office		
Sl. no.	name	Sl. no.	name (code)	Sl. no.	name	code
(1)	(2)	(3)	(4)	(5)	(6)	(7)
19.	Uttar Pradesh (25)	39.	Lucknow (254)	148.	Lucknow	2540
				149.	Fatehpur	2541
				150.	Gonda	2542
				151.	Jhansi	2543
				152.	Kanpur	2544
20.	West Bengal (26)	40.	Burdwan (261)	153.	Burdwan	2610
				154.	Bankura	2611
				155.	Chinsura	2612
		41.	Calcutta (262)	156.	Midnapur	2613
				157.	Calcutta	2620
		42.	Malda (263)	158.	Howrah	2621
				159.	Malda	2630
				160.	Barhampur	2631
				161.	Siliguri	2632
21.	Andaman & Nicobar Islands (27)	43.	Port Blair (271)	162.	Port Blair	2710
22.	Delhi (31)	44.	Delhi (311)	163.	Delhi	3110

APPENDIX-III

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 (27)	271	Andaman & Nicobar Islands	Andaman	(01)	Nicobar	(02)
02.	Andhra Pradesh (02)	021	Coastal	Srikakulam	(01)	Krishna	(06)
				Vizianagaram	(02)	Guntur	(07)
				Vishakhapatnam	(03)	Prakasam	(08)
				East Godavari	(04)	Nellore	(09)
				West Godavari	(05)		
03.		022	Inland Northern	Mahbubnagar	(14)	Adilabad	(19)
				Rangareddy	(15)	Karimnagar	(20)
				Hyderabad	(16)	Warangal	(21)
				Medak	(17)	Khammam	(22)
				Nizamabad	(18)	Nalgonda	(23)
04.		023	South - Western	Anantapur	(12)	Kurnool	(13)
05.		024	Inland Southern	Chittoor	(10)	Cuddapah	(11)
06.	Arunachal Pradesh (03)	031	Arunachal Pradesh	Tawang	(01)	West Siang	(06)
				West kameng	(02)	East Siang	(07)
				West Kameng	(03)	Dibang	(08)
				Lower Subansiri	(04)	Lohit	(09)
				Upper Subansiri	(05)	Tirap	(10)
						Changlong	(11)
07	Assam (04)	041	Palains Eastern	Lakhimpur	(10)	Sibsagar	(16)
				Dhemaji	(11)	Dibrugarh	(17)
				Golaghat	(14)	Tinsukia	(18)
				Jorhat	(15)	Cachar	(23)
				Karimgang	(21)		
				Hailakandi	(22)		
08		042	Palains Western	Dhubri	(01)	Barpeta	(05)
				Goalpara	(04)	Nalbari	(06)
				Kamrup	(07)	Sonitpur	(09)
				Darrang	(08)	Morigaon	(12)
				Bongaigaon	(03)	Kokrajhar	(02)

Nowgong (13)

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)
09.	Assam (04)	043	Hills	Karbianglong	(19)	North Cachar Hills	(20)
10.	Bihar (05)	051	Southern	Godda	(28)	Ranchi	(38)
				Sahibganj	(29)	Purbi	
				Dumka	(30)	Singhbhum	(39)
				Deoghar	(31)	Paschim	
				Dhanbad	(32)	Singhbhum	(40)
				Giridih	(33)	Pakur	(48)
				Hazaribagh	(34)	Bokaro	(49)
				Palamu	(35)	Kodarma	(50)
				Lohardaga	(36)	Chatra	(51)
				Gumla	(37)	Garhwa	(52)
11.		052	Northern	Saran	(09)	Darbhanga	(19)
				Siwan	(10)	Madhubani	(20)
				Gopalganj	(11)	Saharsa	(21)
				West Champaran	(12)	Madhepura	(22)
				East Champaran	(13)	Purnea	(23)
				Sitamari	(14)	Katihar	(24)
				Muzaffarpur	(15)	Araria	(41)
				Vaishali	(16)	Kishanganj	(42)
				Samastipur	(18)	Supaul	(45)
12.		053	Central	Patna	(01)	Begusarai	(17)
				Nalanda	(02)	Khagaria	(25)
				Bhojpur	(03)	Munger	(26)
				Rohtas	(04)	Bhagalpur	(27)
				Aurangabad	(05)	Buxar	(43)
				Jehanabad	(06)	Bhabua	(44)
				Gaya	(07)	Jamui	(46)
				Nawada	(08)	Banka	(47)
13.	Chandigarh (28)	281	Chandigarh	Chandigarh	(01)		
14.	Dadra & Nagar Haveli (29)	291	Dadra & Nagar Haveli	Dadra & Nagar Haveli	(01)		
15.	Daman & Diu	301	Daman & Diu	Daman	(01)	Diu	(02)

(30)

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	Goa North	(01)	Goa South	(02)
18.	Gujarat (07)	071	Eastern	Sabar Kantha (09) : Khedbarhma, Vijaynagar, Bhiloda, Meghraj Panch Mahals (14) : Limkheda, Dohad, Jhalod, Santrampur Vadodara (15) : Nasvadi, Tilakwada, Chhota Udaipur, Jetpur Pavi Bharuch (16) : Anklesvar, Valia, Dediapada, Sagbara, Nandod Surat (17) : Vyara, Mahuva, Valod, Nizar, Songadh, Mandvi, Uchchhal, Mangrol, Bardoli, Palsana Valsad (18) : Chikhli Dharampur, Bansda, Umbergaon, Pardi, Valsad The Dangs (19) : Whole District			
19.		072	Plains Northern	Sabar Kantha (09) : Prantij, Modasa, Malpur, Himatnagar, Bayad, Idar Mahesana (10) : Mahesana, Kadi, Patan, Sidhpur, Kheralu, Kalol Visnagar, Vijapur			
19.	Gujarat (07)	072	Plains Northern	Gandhinagar (11) : Whole district Ahmedabad (12) : Whole district			

Kheda (13) :
Whole district

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)
20.	Gujarat (07)	073	Plains Southern	Panch Mahals	(14)	:	
				Halol, Kalol, Godhra, Shehera, Lunawada, Devgadbaria, Jambughoda			
				Vadodara	(15)	:	
				Vadodara, Savli, Dabhoi, Karjan, Padra, Sinor, Vaghodia, Sankheda			
				Bharuch	(16)	:	
				Hansot, Vagra, Amod, Jambusar, Bharuch, Jhagadia			
				Surat	(17)	:	
				Chorasi, Kamrej, Olpad			
				Valsad	(18)	:	
				Navsari, Gandevi			
21.		074	Dry areas	Surendranagar	(03)	:	
				Whole district			
				Kachchh	(07)		
				Whole district			
				Bans Kantha	(08)		
				Whole district			
				Mahesana	(10)		
				Chanasma, Sami Harij			
22.	Gujarat (07)	075	Saurashtra	Jamnagar	(01)	Amreli	(05)
				Rajkot	(02)	Junagadh	(06)
				Bhavnagar	(04)		
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)

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)
24.	Haryana (08)	082	Western	Rewari	(11)	Jind	(14)
				Mahendragarh	(12)	Hisar	(15)
				Bhilwani	(13)	Sirsa	(16)
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)	Sirampur	(11)
				Mandi	(06)	Kinnaur	(12)
26.	Jammu & Kashmir (10)	101	Mountainous	Kathus	(11)	Jammu	(12)
27.		102	Outer Hills	Doda	(09)	Rajouri	(13)
				Udhampur	(10)	Poonch	(14)
28.		103	Jhelam Valley	Anantnag	(01)	Barmula	(05)
				Pulwama	(02)	Kupwar	(06)
				Srinagar	(03)	Kargil*	(07)
				Badgam	(04)	Ladakh*	(08)
29.	Karnataka (11)	111	Coastal & Ghats	Dakshin Kannad	(09)	Uttar Kannad	(20)
30.		112	Inland Eastern	Chikmagalur	(07)	Kodagu	(13)
				Hassan	(12)	Shimoga	(18)
31.		113	Inland Southern	Bangalore (Urban)	(01)	Mysore	(16)
						Tumkur	(19)
				Bangalore (Rural)	(02)	Kolar	(14)
						Mandhya	(15)
32.	Karnataka (11)	114	Inland Northern	Belgaum	(03)	Chitradurga	(08)
				Bellary	(04)	Dharwad	(10)
				Bidar	(05)	Gulbarga	(11)
				Bijapur	(06)	Raichur	(17)

* 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)
33.	Kerala (12)	121	Northern	Kasargod Wayanad Kozhikode	(01) (03) (04)	Malapuram Kannur Palakkad	(05) (02) (06)
34.		122	Southern	Trichur Ernakulam Idukki Kottayam	(07) (08) (09) (10)	Alappuzm Pathanamthitta Kollam Thiruvananthapuram	(11) (12) (13) (14)
35.	Lakshadweep (32)	321	Lakshadweep	Lakshadweep	(01)		
36.	Madhya Pradesh (13)	131	Chhattisgarh	Surguja Bilaspur Raigarh Raj Nandgaon	(39) (40) (41) (42)	Durg Raipur Bastar	(43) (44) (45)
37.		132	Vindhya	Tikamgarh Chhatarpur Panna Satna	(07) (08) (09) (12)	Rewa Shadol Sidhi	(13) (14) (15)
38.		133	Central	Sagar Damoh Vidisha	(10) (11) (27)	Bhopal Sehore Raisen	(28) (29) (30)
39.		134	Malwa	Mandsaur Ratlam Ujjain Shajapur Dewas	(16) (17) (18) (19) (20)	Jhabua Dhar Indore Rajgarh	(21) (22) (23) (26)
40.		135	South	Jabalpur Narsimhapur Mandla	(33) (34) (35)	Chhindwara Seoni Balaghat	(36) (37) (38)
41.		136	South Western	Khargone (W. Nimar) Khandwa (E. Nimar)	(24) (25)	Betul Hoshangabad	(31) (32)

Srl. no.	state/u.t. (code)	SR	detailed composition of region				
			description	name of district	code	name of district	of code
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
42.	Madhya Pradesh (13)	137	Northern	Morena	(01)	Datia	(04)
				Bhind	(02)	Shivpuri	(05)
				Gwalior	(03)	Guna	(06)
43.	Maharashtra (14)	141	Coastal	Greater Bombay	(01)	Ratnagiri	(04)
				Thane	(02)	Sindhudurg	(05)
				Raigarh (Kulaba)	(03)		
44.		142	Inland Western	Ahmadnagar	(09)	Sangli	(12)
				Pune	(10)	Solapur	(13)
				Satara	(11)	Kolhapur	(14)
45.		143	Inland Northern	Nasik	(06)	Jalgaon	(08)
				Dhule	(07)		
46.		144	Inland Central	Aurangabad	(15)	Nanded	(19)
				Parbhani	(17)	Osmanabad	(20)
				Bid	(18)	Jalna	(16)
				Latur	(21)		
47.		145	Inland Eastern	Buldana	(22)	Yavatmal	(25)
				Akola	(23)	Wardha	(26)
				Amravati	(24)	Nagpur	(27)
48.		146	Eastern	Bhandara	(28)	Chandrapur	(29)
				Gadchiroli	(30)		
49.	Manipur (15)	151	Plains	Imphal	(07)	Bishnupur	(06)
				Thoubal	(05)		
50.		152	Hills	Senapati	(01)	Chandel	(04)
				Tamenglong	(02)	Ukhrul	(08)
				Churachandpur	(03)		
51.	Meghalaya (16)	161	Meghalaya	Jaintia Hills	(01)	East Hills	(04)
				East Khasi Hills	(02)	West Garo Hills	(05)
				West Khasi Hills	(03)		
				Ri-bhoi	(06)	Bhagmara	(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)	Chhimituipui	(03)
53.	Nagaland (18)	181	Nagaland	Kohima Phek Zunhehoto Wokha	(01) (02) (03) (04)	Mukokchung Tuensang Mon	(05) (06) (07)
54.	Orissa (19)	191	Coastal	Baleshwar Cuttack Ganjam Puri Nayagarh Khurda	(05) (06) (12) (13) (18) (19)	Gajipati Bhadrak Jajpur Kendrapara Jagatsinghpura	(20) (14) (16) (17) (15)
55.		192	Southern	Phulbani Koraput Nowrangpur Rayagarh	(08) (11) (24) (25)	Kalahandi Nuapara Malkangiri Boudh	(10) (22) (23) (21)
56.		193	Northern	Sambalpur Sundargarh Keonjhar Mayurbhanj Dhenkanal	(01) (02) (03) (04) (07)	Bolangir Angul Sonepur Jharsuguda Deogarh	(09) (30) (29) (26) (27)
57.	Pondicherry (33)	331	Pondicherry	Pondicherry Karaikal	(01) (02)	Mahe Yanam	(03) (04)
58.	Punjab (20)	201	Northern	Gurdaspur Amritsar Ludhiana Jalandhar	(01) (02) (04) (05)	Kapurthala Hoshiarpur Rupnagar (Ropar)	(06) (07) (08)
59.		202	Southern	Firozpur Patiala Sangrur	(03) (09) (10)	Bhatinda Faridkot Sahib Fatehgarh Sahib Mansa	(11) (12) (13) (14)
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	Jhunjhuna Alwar Bharatpur Sawai Madhopur Jaipur Sikar	(04) (05) (06) (08) (09) (10)	Ajmer Tonk Bhilwara Dholpur Dausa	(11) (12) (20) (07) (28)
62.	Rajasthan (21)	213	Southern	Udaipur Dungarpur	(21) (23)	Banswara Rajsamand	(24) (30)
63.		214	South-Eastern	Chittaurgarh Bundi	(22) (25)	Kota Jhalawar Baran	(26) (27) (29)
64.	Sikkim (22)	221	Sikkim	North (Mongam) East (Gangtok)	(01) (02)	South (Nimachai) West (Gyalshing)	(03) (04)
65.	Tamil Nadu (23)	231	Coastal Northern	Madras Chengai Anna (Chengalpattu) Thiruvannamalai Sambuvarayar	(01) (02) (05)	North Arcot Ambedhkar South Arcot Villupuram	(03) (06) (22)
66.		232	Coastal	Tiruchirapalli Thanjavur	(12) (13)	Pudukkottai Nagapattinam-Quaie-E-Milleth	(14) (23)
67.		233	Southern	Madurai Ramnathapuram Kamarajar Dindigul-Quide Milleth (Anna) Pasupomthevar Thirumaganar (Pasumpon Mathuamlingam)	(16) (17) (18) (11) (15)	Tirunelveli Kottabommam Kannyia-Kumari V.O. Chidambaram	(20) (21) (19)
68.		234	Inland	Dharampuri	(04)	Coimbatore	(10)

**Salem
Periyar**

**(07)
(08)**

Nilgiri

(09)

Srl. No.	state/u.t. (code)	SR	detailed composition of region				
			description	name of district	code	Name of district	of code
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
69.	Tripura (24)	241	Tripura	West Tripura	(01)	South Tripura	(03)
				North Tripura	(02)		
70.	Uttar Pradesh (25)	251	Himalayan	Uttar Kashi	(01)	Garhwal	(05)
				Chamoli	(02)	Pithoragarh	(06)
				Tehri Garhwal	(03)	Almora	(07)
				Dehra Dun	(04)	Nainital	(08)
				Champaran	(68)	Bareilly	(25)
71.	Uttar Pradesh (25)	252	Western	Saharanpur	(12)	Pilibhit	(26)
				Muzaffar nagar	(14)	Shahjahanpur	(27)
				Bijnor	(09)	Aligarh	(18)
				Meerut	(15)	Mathura	(19)
				Ghaziabad	(16)	Agra	(20)
				Bulandshahr	(17)	Etah	(22)
				Moradabad	(10)	Mainpuri	(23)
				Rampur	(11)	Farrukhabad	(34)
				Budaun	(24)	Etawah	(35)
				Hardwar	(13)	Firozabad	(21)
				Bagpet	(71)	Sonbadra	(63)
				Jyotiba Fule-Nagar	(67)	Mahamaya-Nagar	(65)
				Oreiya	(64)	Kannauj	(70)
72.		253	Central	Kanpur Dehat	(36)	Unnao	(31)
				Kanpur Nagar	(37)	Lucknow	(32)
				Fatepur	(43)	Rai Bareli	(33)
				Kheri	(28)	Bara Banki	(48)
				Sitapur	(29)	Hardoi	(30)
73.		254	Eastern	Allahabad	(45)	Deeria	(55)
				Bahraich	(46)	Azamgarh	(57)
				Gonda	(47)	Jaunpur	(58)
				Faizabad	(49)	Ballia	(59)
				Sultanpur	(50)	Ghazipur	(60)
				Pratapgarh	(44)	Varanashi	(61)
				Basti	(53)	Mirzapur	(62)
				Gorakhpur	(54)	Maharajganj	(52)
				Maunath		Sidhartha nagar	(51)
				Bhanjan	(56)	Chandauli	(72)
				Balarampur	(66)		
74.	Uttar Pradesh	255	Southern	Jalaun	(38)	Hamirpur	(41)

(25)

Jhansi
Lalitpur

(39)
(40)

Banda
Chitrakut

(42)
(69)

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)
75.	West Bengal (26)	261	Himalayan	Kochbihar Jalpaiguri	(01) (02)	Darjiling	(03)
76.		262	Eastern Plains	West Dinajpur Maldah Murshidabad	(04) (05) (06)	Nandia Birbhum	(07) (17)
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)