*DRAFT* *FOR OFFICIAL USE*

# Instructions to Field Staff

## VOLUME-II

### SOCIO-ECONOMIC SURVEY

## NSS 57$^{TH}$ ROUND
**(JULY 2001 - JUNE 2002)**

**SCHEDULES OF ENQUIRY**

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

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

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# Chapter One

## Introduction, Concepts, Definitions And Procedures

### 1.0 **Introduction**

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

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

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

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

1.0.5 The third All-India Economic Census was conducted in 1990 along with the house listing operations of the 1991 Population Census following the same concepts and definitions as in the second all-India Economic Census conducted in 1980 referred to above. However based on EC ’90, a follow up survey on OAEs and establishments engaged in the activities of storage & warehousing was undertaken as a part of Enterprise survey 1992-93 by CSO and

similar follow up survey on OAEs and establishments was conducted in 1993-94 also by CSO.

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

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

1.1 **Survey particulars**

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

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

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

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

Table 1: Sub-rounds and period of survey:

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

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

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

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

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

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

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

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

(* For samples of general strata only)

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

## 1.2 Contents of Volume I

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

## 1.3. **Concepts and Definitions**:

1.3.0 Some broad information about the enterprises and households will be collected during listing. These are required mainly to identify and to have a frame of enterprises of different types for sample selection for canvassing schedule 2.345 and also to identify the households for selection of households for schedule 1.0. The definitions of the terms required in this connection are given below.

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

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

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

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

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

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

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

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

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

(i) In deciding the composition of a household, more emphasis is to be placed on 'normally living together' than on 'ordinarily taking food from a common kitchen'. In case the place of residence of a person is different from the place of boarding, he or she will be treated as a member of the household with whom he or she resides.

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

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

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

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

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

(ii) of the non-market activities:

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

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

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

1.3.5 **Self-employed**: Persons who are engaged in their own farm or non-farm enterprises are defined as self-employed. There are different types of self-employed persons. Some may operate their enterprises without hiring any labour. Others normally work on their own but

occasionally hire a few labourers. There is also a third category that by and large regularly runs their enterprises by hiring labour. The first two groups of self-employed are known as 'own account workers' and the third as 'employers'.

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

**Division 5** - Service workers: -

Group 52: cooks, waiters, bartenders and related workers.
Group 53: maids and other housekeeping service workers.
Group 54: building caretakers, sweepers, cleaners and related workers.
Group 55: launders, dry cleaners and pressers.
Group 56: Hairdressers, barbers, beauticians and related workers.
Family 570: fire fighters.
Family 574: watchmen, gatekeepers
Family 579: protective service workers not elsewhere classified.

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

Group 63: agricultural labourers.
Group 64: plantation labourers and related workers.
Group 65: other farm workers.
Group 66: forestry workers.
Group 67: hunters and related workers.
Group 68: fishermen and related workers.

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

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

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

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

| *Rural Households* | *Urban households* |
|---|---|
| 1. Self-employed in non-agriculture | 1. Self-employed |
| 2. Rural labour | 2. Regular wage/salary earning |
| 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 will be either of 'self employed', 'regular wage/salary earning', 'casual labour' and 'others' depending upon the source which fetched maximum income to the household during the last 365 days preceding the date of survey.

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

a) Group the sources of the household's income from economic activities during the last 365 days into the four categories as given below: -

(i) self-employment in non-agriculture
(ii) self-employment in agriculture
(iii) wage-paid manual labour (i.e., rural labour) and
(iv) wage-paid non-manual employment.

b) See if the income from source (iii) is more than (or equal to) the income from sources (i) and (ii) combined and is also more than the income from source (iv). If so, the household will be 'rural labour', as per m.l. criterion.

c) If not, then see if income from source (i) is more than the income from source (iii) and is also more than (or equal to) the income from sources (ii) and (iv). If so, the household's m.l. class will be 'self-employment in non-agriculture'.

d) In all other cases, m.l. class will be recorded as 'others'.

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

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

1.3.11 **Non-agricultural enterprise**: All enterprises covered under Tabulation Categories 'A' and 'B' of NIC '98 are "agricultural enterprises" while the others covered under

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

| **Activity / NIC'98 code** | **Coverage** |
|---|---|
| Real estate, renting and business activities (contd.) | durables will also be treated as an enterprise. All business activities classifiable under NIC codes 72 to 74 are to be covered in this survey. |
| 6. Health and social work (NIC code 85) | **All enterprises engaged in health and medical services *other than those owned by government, public sector undertakings, local bodies* will be covered, irrespective of the system of medicine.**<br><br>All dispensaries, clinics and consultation chambers run by doctors will be covered. The survey will also cover activities of veterinary services including bird hospitals. An employed doctor and para-medical person (such as midwife, dai etc.) doing private practice will be covered and his/her private practice alone will be considered as an enterprise. All kinds of health clubs are included in this activity.<br><br>Similar facilities provided through workers employed exclusively for these specific activities by religious organization like YMCA, R K Mission etc. and also by other membership organizations like Lions club, Rotary club etc. will also be covered under health and social work. |
| 7. Restaurants (NIC code 552) | **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.**<br><br>Such establishments are variously known as restaurants, cafes, cafeteria, snack bars, lunch counters, refreshment stands, milk bar canteens, etc. Bars and other drinking places will also be treated as restaurants. Canteens located in offices, factories, etc. will be treated as restaurants if they are operated by private contractors. *But departmental canteens run by government will be excluded.* |
| 8. Education (NIC code 80) | **All educational institutions *not recognized by Central/State/Local Govts./autonomous bodies like AICTE, IIT, University etc*. are to be covered**. Research and scientific services rendered by institutions and laboratories are also covered provided they satisfy the above criterion. These may be engaged in research in biological, physical and social sciences. Meteorological institutes and medical research organizations are also included.<br><br>Management training institutes, computer training centers, nursing schools, schools of music, drama, dance, fine arts, modeling, fashion designing, yoga and physical education and general coaching centers (e.g. for various competitive examinations) etc. are to be covered.<br><br>Similar facilities provided through workers employed exclusively for these specific activities by religious organization like YMCA, R K - |

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

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

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

1.4.0 **Proper identification of the FSU boundaries:** The first important task of the field investigators is to ascertain the exact boundaries of the sample FSU as per its identification particulars given in the sample list. For urban samples, the boundaries of each Urban Frame survey (UFS) block may be identified by referring to the map corresponding to the frame code specified in the sample list (even though map of the block for a latter period of the UFS might be available). However for 66 towns for Karnataka where EC '98 work was done

without using UFS blocks, the boundaries of each selected ward are to be ascertained by referring to the appropriate map.

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

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

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

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

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

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

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

1.4.3 The number (D) of hamlet-groups (hg's)/ sub-blocks (sb's) to be **actually** formed in the sample FSU will be the **higher** of the two values as per population and enterprise criteria. If

value of P is less than or equal to 1200 (600 for certain hilly areas specified above) *and/or* value of E is less than or equal to 120 for an FSU, hg/sb formation should not be resorted to and the whole of sample FSU has to be considered for listing. It is to be noted that D will be the number of UFS blocks constituting the selected wards of the aforesaid 66 towns of Karnataka.

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

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

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

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

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

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

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

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

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

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

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

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

1.4.9. **Number of enterprises to be selected**: Considering that there will be 36 combinations (segment x SSS x enterprise type), 36 enterprises (1 enterprise per combination) have to be selected if enterprises are available in all the combinations. As per NSS 55$^{th}$ round the average number of enterprises listed in a sample FSU is found to be 11 for activities under coverage of the present round. Thus it is very likely that only a few of these combinations

will be available in most of the sample FSUs. The procedure for ascertaining the number of enterprises to be selected as well as compensation of enterprises if any is outlined below:
In a sample FSU, a maximum of 18 OAEs and 18 Establishments (36 enterprises) are to be surveyed. The various possibilities and related procedure of selection is described below:

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

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

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

Examples of selection of enterprises

1. FSUs without hamlet group formation

a)

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

b)

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

2. FSUs with hamlet group formation

a)

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

b)

| activity | number of establishments | | | | number of OAEs | | | | reamrks |
|---|---|---|---|---|---|---|---|---|---|
| | segment 1 | | segment 2 | | segment 1 | | segment 2 | | Since the total number of establishments in the FSU is equal to 17, all are selected for detailed enquiry. From the 29 |
| | in the frame | selected | in the frame | selected | in the frame | selected | in the frame | selected | |
| 1 | 0 | 0 | 0 | 0 | 14 | 5 | 5 | 4 | |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 2 | 1 | 1 | 0 | 0 | 0 | 0 | 2 | 2 | OAEs we have to select 18. To achieve this, we are selecting one at a time starting from activity 1 first from segment 1 and then from segment 2 till we reach a total of 18 selected OAEs. After this selection process is over, we are observing that a total of 10 establishments have been selected from activity 3, segment 1. Hence, this number has been brought down to 8. |
| 3 | 2 | 2 | 10 | **8** | 0 | 0 | 0 | 0 | |
| 4 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| 5 | 0 | 0 | 1 | 1 | 5 | 4 | 0 | 0 | |
| 6 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| 7 | 0 | 0 | 0 | 0 | 3 | 3 | 0 | 0 | |
| 8 | 2 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | |
| 9 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | |
| all | 6 | 6 | 11 | 9 | 22 | 12 | 7 | 6 | |

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

# Chapter Two

## Schedule 0.0 : List Of Households And Non-Agricultural Enterprises

2.0.0 **Introduction**: Schedule 0.0 is meant for listing all the houses, households residing in the sample FSU (or segment 1 & 2 in case of large FSUs) along with all the non-agricultural enterprises including those without fixed premises found to operate for at least one day during the last 365 days preceding the date of survey. Some household particulars like household size, means of livelihood, number of home-based self employed members, number of distinct enterprises owned by household members and some enterprise particulars like description of activity, number of hired and total workers, NIC codes etc. are also collected. These auxiliary information will be used for arranging the households and grouping the enterprises into different broad activity groups and enterprise classes. Thus the sampling frames for selection of households / enterprises for each of the broad activity group × enterprise class are prepared and details of the selection of sample households / enterprises are recorded. Whenever hamlet-groups / sub-blocks (hg's/sb's) are required to be formed, particulars relating to the formation and selection of hg's/sb's are also to be recorded in this schedule. Concepts and definitions of various items are given in Chapter One.

2.0.1 **Unit of survey and sampling frame**: The first stage unit (FSU) is the EC '98 village (panchayat wards for Kerala) in the rural sector. The FSUs in the urban sector are the Urban Frame Survey (UFS) blocks except for 66 towns of Karnataka given in Appendix-III where administrative units viz. municipal wards are the FSUs (necessitated because EC '98 was done without using UFS blocks). The list of UFS blocks as per EC '98 has been considered as sampling frame for selection of sample blocks in all cities and towns except for the aforesaid 66 towns of Karnataka. In the case of 66 towns of Karnataka, list of wards as per EC '98 has been taken as the sampling frame for selection of sample wards. It is indicated in the sample list under the head "frame code" as to which particular list has been used as the sampling frame for selection of FSUs. The investigator, on arrival at a sample village (or panchayat ward for Kerala)/UFS block (hereinafter called block)/ward (for the aforesaid 66 towns of Karnataka) will ascertain the exact boundaries of the sampled FSU as per details in the sample list. This may be done with the help of the village officials like patwari, panchayat authorities etc for rural areas and with the help of UFS maps in the urban areas.

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

2.0.3 **Formation of hamlet-groups (hg's) and formation of segment 1 and 2**: With a view to controlling the work load mainly at the stage of listing of households/enterprises, hamlet-group selection will be resorted to in the 'large' FSUs. A large FSU will be divided into a certain number (D) of sub-divisions called hamlet-groups (hg's). The number of hg's to be formed (i.e. the value of D) will depend on the approximate present population of the sample FSU and/or the approximate number of non-agricultural enterprises found to exist in the sample village. The criteria for deciding the

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

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

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

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

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

(i) Identify the hamlets as described above.

(ii) Ascertain approximate present population of each hamlet and identify the hamlets which have at least one big non-agricultural enterprise (i.e. non-agricultural enterprise with 200 or more workers).

(iii) For each of the hamlets identified in (ii) above as having big enterprises, all the big non-agricultural enterprises in the hamlet will be listed in block 2.

(iv) Draw a notional map in block 3.3 showing the approximate location of the hamlets and number them in a serpentine order starting from the northwest corner and proceeding southwards. While

drawing this map, uninhabited area (non-abadi area) of the village will be included as part of nearby hamlet, so that no area of the village is left out. The boundaries of the hamlets may be defined with the help of some land marks like canals, footpaths, railway lines, roads, cadastral survey plot numbers etc., so that it would be possible to identify and locate the geographical boundaries of the hamlet-groups to be formed in the village.

(iv) List the hamlets in block 3.1 of sch. 0.0 in the order of their numbering. Indicate the present population content in terms of percentages and hamlet type.

(v) Grouping the hamlets into D hamlet-groups is then to be done. The criteria to be adopted for hamlet-group formation are equality of population content and geographical contiguity (numbering of hamlets is not to be adopted as a guideline for grouping). In case there is a conflict between the two aspects, geographical contiguity is to be given priority. Indicate the grouping in the map.

(vi) Numbering of hamlet-groups will be done next in block 3.2 of sch. 0.0. Hamlet-groups will be numbered serially in col.(1) of block 3.2. The hamlet-group containing hamlet no. 1 will be numbered as 1, the hamlet-group with next higher hamlet no. not included in hg 1 will be numbered as 2 and so on. Indicate the numbers also in the notional map. It is quite possible that a hamlet-group may not be constituted of hamlets with consecutive serial numbers.

2.0.4 **Formation of sub-blocks and their selection**: Procedure for formation of sub-blocks, identification of the sub-blocks having big non-agricultural enterprises and listing of big non-agricultural enterprises is same as that for the formation of hamlet-groups in the case of large villages. Here the sub-blocks are to be formed artificially by dividing the block into a certain number (say, D) of divisions by more or less equalizing the population giving priority to geographical compactness within each sub-block as per the criterion specified in Chapter One. The value of D will be determined according to the same criteria as adopted in the case of rural FSUs. Sub-blocks will be numbered serially in col.(1) of block 3.2. For each sub-block, ascertain the approximate present population of the sub-blocks in terms of percentage of the total population and identify the sub-blocks having big non-agricultural enterprises. Record the percent population of each sub-block in col.(3) of block 3.2. List the big non-agricultural enterprises in block 2 from the identified sub-blocks to form *segment 9*. Selection of sub-blocks, formation of *segment 1* and *segment 2* are exactly same as that for rural FSUs with hg formation.

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

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

2.0.5 **Starting point for listing** : After having determined the areal unit to be surveyed, the investigator will proceed to list the houses, households and the non-agricultural enterprises in the FSU. The listing may be done in the same order as that of the 2001 Census order of house listing. If the census order of house listing is not available, the listing may be started from the northwest corner of the village and proceeding southwards in serpentine manner. While listing the households and the non-agricultural enterprises, some essential minimum particulars about them will be collected for the purpose of classification (i.e. second stage stratification), if any.

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

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

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

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

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

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

**Block 1: Identification of sample FSU**

2.1.0 **General**: This block is meant for recording the identification particulars of the sample FSU in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for items 1 & 2, the codes for which are already

printed). Each cell (box space) is meant for recording only one digit of the entry. For multiple cells, the rightmost cell shall be used for recording the digit of the unit place, the next left cell for the tenth place digit and so on. If the number of digits of the entry to be recorded against an item is less than the number of box spaces provided, '0' shall be entered in the left most box space(s). For example, if the total number of hg's/sb's formed in the sample FSU is 5, the entry against item 17 should be recorded as 005. Items 3 to 10, 12 to 14 shall be copied from the sample list.

2.1.1 *Item 11: FOD sub-region* : The four-digit code corresponding to the FOD sub-region to which the sample FSU belongs will be recorded against item 11. *A cross (X) will be put against this item for the state samples and also for the central samples for the states of Arunachal Pradesh, Manipur, Mizoram and Tripura for which field work is carried out by the respective states.*

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

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

2.1.3 *Item 15: Approx. present population*: The investigator will first ascertain the approximate present population of the entire sample FSU taking into consideration the normal growth of population along with any abnormal influx of population into or exodus of population from the sample FSU. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions. The starting point can be 1991 census population (2001 census population if available). In the case of large difference with census population, it may be asked whether there has been any abnormal influx into or exodus from the village after the census and if so what the approximate increase or decrease of population due to such events is, whether any new settlements have come up in the village after the census and if so what the approximate population of the same is and so on.

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

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

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

2.1.6 *Item 18: Survey code*: When the original sample FSU (particulars of which are provided in the sample list) is surveyed, survey code will be one of the codes 1 to 3. Code will be 1 when the sample FSU is inhabited and 2 when it is found to be uninhabited. Code will be 3, when the sample FSU is treated as a 'zero case'. Examples of zero cases are: FSUs comprising wholly of the barracks of military and para-military forces (like CRPF, BSF etc.), rural areas declared as urban areas and now forming part of UFS frame used for urban sampling, FSUs wholly submerged under water in a dam or FSUs with the whole population evicted because of acquisition of land to construct a new factory or

other project work etc., with no chance of habitation in future. As against this, the FSU whose entire population has shifted elsewhere due to some natural calamities like fire, cyclone etc., but is likely to return in the future, will be considered as uninhabited FSU and will be given code 2. When the original sample FSU is a casualty and it has been substituted by another FSU which is surveyed (inhabited, uninhabited or zero case), the survey code will be 4 if the substitute FSU is inhabited; 5 if the substitute FSU is uninhabited and 6 if it is treated as a zero case. If the substitute FSU cannot be surveyed, survey code will be 7. Code 7 will also be applicable in cases where the originally selected sample FSU is a casualty and no substitute was even asked for.

2.1.7 *Item 19: Reason for substitution of original sample*: In all the cases where the *originally* selected sample FSU is a casualty irrespective of whether it has been substituted and subsequently surveyed or not surveyed (i.e. for codes 4 to 7 against item 18), the reason for its becoming a casualty will be recorded in terms of code against item 19. The codes are:

Original sample FSU:

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

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

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

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

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

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

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

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

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

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

2.3.2.0 **General**: This block is meant for recording the details of the hg/sb formation and their selection for FSUs requiring hg/sb formation (i.e. with D>1). Reference may be made to paras 2.0.3, 2.0.3.1, 2.0.4 and 2.0.4.1 for the procedures of formation and numbering of hg's/sb's. *For 66 towns of Karnataka details of the blocks constituting the selected wards are to be provided in this block.* For all practical purposes, selected ward of these 66 towns of Karnataka will be treated like FSUs with sb formation where sb's are UFS blocks in reality.

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

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

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

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

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

i) If two or more hg's/sb's have the same maximum number of enterprises of the sub-stratum specific activity, the one among them having the maximum number of establishments (maximum number of OAEs if there is no establishment) of next available sub-stratum specific activity will be designated as hg/sb '0'.

ii) If the tie still persists, then out of the hg's/sb's tied by (i) above, the hg/sb having the maximum number of enterprises of all activities combined will be identified as hg/sb '0'.

iii) If the deadlock is not resolved even after that, then out of the hg's/sb's tied by (ii) above, the hg/s.b with maximum population will be taken as hg/sb '0'.

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

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

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

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

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

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

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

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

2.3.3.0 For large FSUs requiring hg/sb formation, the space provided for in the block shall be used to draw a free hand sketch-map of the village (panchayat wards for Kerala)/block showing the boundaries of the hamlets and hg's/sb's formed so that they may be identifiable in the field afterwards with the help of this map. It need not be drawn to scale. The serial numbers of the hamlets as given in col.(1) of block 3.1 will be written down on the map against each hamlet. The hamlet-group number given in col.(1) of block 3.2 to which the hamlet belongs will also be shown against each hamlet within brackets on the right side of the hamlet number. The areas for the selected hamlet-groups shall be shaded in the map.

**Blocks 4 to 7:**

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

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

2.4.0.1 This is the main block of the schedule. Listing of all houses, households and non-agricultural enterprises (i.e. all non-agricultural enterprises excluding some as detailed in para 1.3.11 of Chapter One), *hereinafter referred to as NAEs for simplicity*, is to be done along with collection of a few particulars for identification of unorganized service sector enterprises under the break-up of Establishment and OAE, preparation of sampling frame and selection of sample enterprises (for sch. 2.345) and sample households (for sch. 1.0) - all these operations shall be carried out in this block. *Listing of households / enterprises are to be done separately for segment 1 & 2 for large FSU requiring h.g/s.b formation and for segment1 only for FSU not requiring h.g/s.b formation.*

2.4.0.2 It is essential to ensure that there is no omission or duplication of any house, household or non-agricultural enterprise. *Households which are found to be temporarily absent at the time of listing and the non-agricultural enterprises run by them are also to be listed and included in the frame of households/establishments/OAEs, as the case may be, before sample selection*. After obtaining from the neighbours, as much details as possible about the absentee households and the enterprises run by them, attempt should be made to contact the households/enterprises at the appropriate hours (even outside the normal working hours of the investigators) and if need be by revisiting the households/enterprises during the survey period in the sample village/block. *All temporarily locked households should be listed and included in the overall frame for sample selection. All temporarily locked NAEs should be listed and included in the overall frame for sample selection provided the following information can be ascertained from local enquiry:(i) the enterprise is an unorganised sector enterprise under survey coverage;( ii) the NIC '98 code for the activity of the enterprise;( iii) type of enterprise (i.e. establishment/OAE);( iv) the enterprise operated for at least 30 days during the preceding 365 days ( 15 days for seasonal enterprise)***.** In order to ensure complete listing of houses/households/NAEs, it is better to follow some definite order for listing. The order followed in 2001 Population Census may be adopted, wherever possible, taking care that any house that has come up later is not omitted; otherwise, listing may be done in serpentine manner starting from the north-west corner and moving southwards. The name of any natural grouping of the houses like hamlet, street, mohalla, etc. and date of listing may be written at the top before the listing of houses starts. This will help in checking completeness.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Various columns of block 4 are described below:

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

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

2.4.2 *Column (2) : household serial number*: The household(s) normally residing in the house or in a fixed location (e.g. under a tree/bridge/open space etc. ) listed in col.(1) will be numbered in col.(2). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. Household serial number will be given against the lines listed for households only. The NAEs run by a particular household will be listed just below the line for the household. Separate line will be used for each such enterprise and serial no. for the enterprise will be given in col (11). In case of persons staying, say, in hostels and forming single member households, each of them will be listed in separate lines giving a household serial number. Continuous serial number starting from 1 will be given in col. (2) for each of the segments 1 & 2 separately, wherever required, after considering the selected hamlet-groups/sub-blocks of segment 2 as one unit.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The codes are as follows.

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

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

(i) OAE i.e enterprises with positive entry in col.(15) and entry zero in col.(16) - 1

(ii) Establishment i.e. enterprise with positive entry in both cols.(15) & (16) - 2.

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

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

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

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

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

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

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

.

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

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

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

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

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

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

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

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

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

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

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

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

2.8 **Block 8**: **Particulars of field operations** : The details of field operations will be recorded in this block. While recording the total time taken to canvass the sch. 0.0 (i.e. col.3, srl. no. 4 of this block), it may be noted that the journey time for reaching the sample village and returning back should not be considered for filling in this item. In other words, total time spent in identification of the boundaries of the sample village/block, hamlet-group/sub-block formation, listing of households/non-agricultural enterprises, formation of second-stage strata, selection of households / enterprises and filling in all other blocks of this schedule may be recorded in hours. All other items are self-explanatory.

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

2.10 **Block 10: Comments by supervisory officer(s)**: The Assistant Superintendent, the Superintendent or any other officer inspecting the work relating to this schedule, may give his comments here.

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

2.11.1 **Substitution of sample enterprises/households:** If any sample enterprise/household cannot be surveyed due to some reason or the other, it will be substituted by the next one having higher sampling serial number (provided not already selected) of the same *BAG × enterprise class* (for sch.2.345)/same m.l. code (for sch. 1.0). The substitute for the one having highest sampling serial number of a *BAG × enterprise class* (for sch.2.345) or of a particular m.l. code (sch. 1.0) in a column will be the one having smallest sampling serial number within the same *BAG × enterprise class* / m.l. code of the same column. For sch.1.0, if there is no proper substitute within the same m.l. code, consider the next higher m.l. code for taking the substitute. If there is no proper substitute for the highest m.l. code, consider the lowest m.l. code for the purpose. If the substituted enterprise/household becomes a casualty, *it will be substituted by another in the same manner. If this enterprise/household also turns out to be a casualty, further substitute need not be taken. However, it must be ensured that a minimum of one sample enterprise/household is always surveyed for each of BAG × enterprise class* (for sch.2.345) *if E>0 and for each of the segments if any; similar restriction will hold for sample household also when H>0. Substitution may be attempted more than twice in a few cases to adhere to this restriction.*

2.11.2 **Misclassification of a enterprise during listing** :

(a) It is quite possible in a few cases that a sample enterprise listed under a particular type (i.e. *BAG × enterprise class* ) in schedule 0.0 actually belongs to other type as detected during canvassing of schedule 2.345 . *Entries for schedule 0.0 will not be changed if misclassification is found to occur.*
(b) In case a sample enterprise is found, during detailed enquiry, having some NIC '98 code/ *BAG × enterprise class* other than the one recorded in column (19)/(20) of block 4 of schedule 0.0, then the same enterprise *will be surveyed (fresh selection will not be done) under revised codes recorded in schedule 2.345. However, if the enterprise goes out of the survey coverage because of the revision in industry division code, substitute may be taken*. In all these cases entries made in blocks 5 and 7 need not be disturbed.

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

2.11.3 **Random numbers** : A table of random numbers is supplied to each investigator. The n-th column of the table will be consulted in the case of the central sample and (n + 1)th column in the case of the state sample, where n is the last two digits of the serial number of the sample FSU. When n = 00, it will be taken as 100. The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digit random numbers may be used where random number '0' will stand for '10' and random number '00' for '100'.
The first random number will be used for hamlet-group/sub-block selection, whenever required. The subsequent random numbers may be used for selection of households / enterprises in the order: (i) for segment 1 – household, *BAG* × *enterprise class* (maximum of 18) and then (ii) for segment 2 – household, *BAG* × *enterprise class* (maximum of 18).

2.12 **Substitution of sample FSU :**

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

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

If the substituted FSU has same problem as the original, correspondences may be made immediately so that another substitute can be provided to prevent voidness of stratum/sub-stratum.

In case no substitute FSU could be surveyed even with best efforts [ i.e. code 7 in item 18, block 1], a blank schedule 0.0 will be submitted with only blocks 0, 1, 8, 9 and 10 filled-in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

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

(b) If a sample FSU is found to be depopulated at the time of survey, or its population has shifted elsewhere due to some natural calamity, or it is treated as a "zero-case", it will not be substituted. It will be treated as a valid sample and blank schedule 0.0 with only blocks 0, 1, 8, 9 and 10 filled-in will be submitted in such cases. The word/words 'UNINHABITED' or 'ZERO CASE', as appropriate will be written on the top of the front page of the schedule in such cases. However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North Eastern states where, for examples, jhum cultivation is prevalent, whole village may shift from place to place. In such cases the sample village will be surveyed in the place where it is currently located and not treated as uninhabited if found absent in its original location.

(c) If a sample village is found to have been declared as urban (as a town by itself or as merged in another town) either by State Govt. notification or by census authorities and if it is covered in the

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

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

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

*Case (a) : without hamlet-group/sub-block formation*: If repetition is in the *same sub-round*, listing is to be done only once. The listing schedule will be copied with the identification particulars changed to those of the serial number against which it is found repeated. (The items that may change are only these: serial number and sub-sample). The sample enterprises and households will be selected afresh. However if any household/ enterprise already selected is selected again, it is to be substituted. In case due to this new random start, the whole set of sample household/ enterprise is reselected, a fresh random start will be taken. If the required number of fresh household/ enterprise (i.e. not selected in the first visit) is not available in the frame as a result of which some household/ enterprise are reselected in the second/subsequent visit, entries in various blocks for such household/ enterprise may be copied. If, however, repetition of the FSU takes place in a different sub-round, it is to be surveyed just like a new sample with fresh listing and sample selection.

*Case (b): With hamlet-group/sub-block formation*: If repetition is in the same sub-round, the hamlet-groups/sub-blocks formed during the first visit will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-groups/sub-blocks selected afresh excepting the hamlet-group/sub-block marked as segment '1'. If all the earlier hamlet-groups/sub-blocks in segment '2' are re-selected, then a new random number may be drawn so that different hamlet-groups/sub-blocks are selected for survey. But if only one hamlet-group/ sub-block of segment '2' is re-selected, it may be substituted by the next one not selected earlier. For the selection of households/enterprises, the usual procedure as suggested for fresh FSUs may be followed. If, however, repetition of the FSU takes place in a different sub-round, it is to be surveyed just like a new sample with fresh listing and sample selection.

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

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

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

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

**[4] list of households and non-agricultural enterprises and record of selection for households (segment 1 / 2 )**

| house number | household serial number | household m. l. code | sch. 1.0 | | enterprise | | enterprise under tab. cat. H/I/K/M/N/O | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | sampling serial number | order of selection<br>H=13<br>h= 2<br>I= 6<br>R= 4 | serial number | put 'X' if not under survey coverage | number of workers: total | number of workers: hired | eligibility code | eligible enterprise serial number | broad activity group code (BAG) | enterprise type code: OAE –1, establishment –2 |
| (1) | (2) | (5) | (6) | (7) | (11) | (14) | (15) | (16) | (17) | (18) | (19) | (20) |
| 1 | 1 | 2 | × 5 | | 1 | | 1 | 0 | 1 | 1 | 7 | 1 |
| | | | | | 2 | X | | | | | | |
| 2 | 2 | 1 | √ 1 | | 3 | | 2 | 1 | 1 | 2 | 3 | 2 |
| | 3 | 9 | – 9 | | 4 | | 1 | 0 | 1 | 3 | 7 | 1 |
| 3 | 4 | 2 | × 6 | | - | | | | | | | |
| 4 | 5 | 9 | – 10 | 2 | 5 | | 2 | 0 | 1 | 4 | 5 | 1 |
| | | | | | 6 | | 2 | 1 | 1 | 5 | 2 | 2 |
| | | | | | 7 | X | | | | | | |
| (1) | - | | | | 8 | | 6 | 1 | 1 | 6 | 6 | 2 |
| 5 | 6 | 1 | √ 2 | | 9 | | 1 | 0 | 1 | 7 | 9 | 1 |
| 6 | 7 | 2 | × 7 | | 10 | | 1 | 0 | 1 | 8 | 9 | 1 |
| 7 | 8 | 2 | × 8 | | 11 | | 3 | 1 | 1 | 9 | 8 | 2 |
| | | | | | 12 | X | | | | | | |
| 8 | 9 | 9 | – 11 | | 13 | | 4 | 3 | 2 | | | |
| 9 | 10 | 1 | √ 3 | | 14 | | 1 | 0 | 1 | 10 | 8 | 1 |
| 10 | 11 | 1 | √ 4 | 1 | 15 | | 3 | 2 | 1 | 11 | 4 | 2 |
| 11 | 12 | 9 | – 12 | | 16 | | 1 | 0 | 1 | 12 | 5 | 1 |
| 12 | 13 | 9 | – 13 | | 17 | | 1 | 0 | 1 | 13 | 7 | 1 |

**[5] frame of eligible enterprises under coverage and record of selection ( segment 1 /2 )** **(for sch. 2.345)**

| eligible enterprise srl. no. (col. 18, bl. 4) | broad activity group code (col. 19, bl. 4) | enterprise type code (col. 20, bl 4) | sampling serial number | | | | | | | | | | | | | | | | | | order of selection | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | broad activity group code | | | | | | | | | | | | | | | | | | broad activity group code | | | | | | | | | | | | | | | | | |
| | | | 1 | | 2 | | 3 | | 4 | | 5 | | 6 | | 7 | | 8 | | 9 | | 1 | | 2 | | 3 | | 4 | | 5 | | 6 | | 7 | | 8 | | 9 | |
| | | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | | Ent. Type | |
| | | | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 | 1 | 2 |
| | | | | | | | | | | | | | | | | | | | | | E=0 e=0 R#= | E=0 e=0 R#= | E=0 e=0 R#= | E=1 e=1 R#= | E=0 e=0 R#= | E=1 e=1 R#= | E=0 e=0 R#= | E=1 e=1 R#= | E=2 e=2 R#= | E=0 e=0 R#= | E=0 e=0 R#= | E=1 e=1 R#= | E=3 e=3 R#= | E=0 e=0 R#= | E=1 e=1 R#= | E=1 e=1 R#= | E=2 e=2 R#= | E=0 e=0 R#= |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) | (13) | (14) | (15) | (16) | (17) | (18) | (19) | (20) | (21) | (22) | (23) | (24) | (25) | (26) | (27) | (28) | (29) | (30) | (31) | (32) | (33) | (34) | (35) | (36) | (37) | (38) | (39) |
| 1 | 7 | 1 | | | | | | | | | | | | | √1 | | | | | | | | | | | | | | | | | | 1 | | | | | |
| 2 | 3 | 2 | | | | | | √1 | | | | | | | | | | | | | | | | | | 1 | | | | | | | | | | | | |
| 3 | 7 | 1 | | | | | | | | | | | | | √2 | | | | | | | | | | | | | | | | | | 2 | | | | | |
| 4 | 5 | 1 | | | | | | | | | √1 | | | | | | | | | | | | | | | | | | 1 | | | | | | | | | |
| 5 | 2 | 2 | | | | √1 | | | | | | | | | | | | | | | | | | 1 | | | | | | | | | | | | | | |
| 6 | 6 | 2 | | | | | | | | | | | | √1 | | | | | | | | | | | | | | | | | | 1 | | | | | | |
| 7 | 9 | 1 | | | | | | | | | | | | | | | | | √1 | | | | | | | | | | | | | | | | | | 1 | |
| 8 | 9 | 1 | | | | | | | | | | | | | | | | | √2 | | | | | | | | | | | | | | | | | | 2 | |
| 9 | 8 | 2 | | | | | | | | | | | | | | | | √1 | | | | | | | | | | | | | | | | | | 1 | | |
| 10 | 8 | 1 | | | | | | | | | | | | | | | √1 | | | | | | | | | | | | | | | | | | 1 | | | |
| 11 | 4 | 2 | | | | | | | | √1 | | | | | | | | | | | | | | | | | | 1 | | | | | | | | | | |
| 12 | 5 | 1 | | | | | | | | | √2 | | | | | | | | | | | | | | | | | | 2 | | | | | | | | | |
| 13 | 7 | 1 | | | | | | | | | | | | | √3 | | | | | | | | | | | | | | | | | | 3 | | | | | |

# Chapter Three

## Schedule 2.345: Unorganised Services (Excluding Trade and Finance)

3.0.0 **Introduction**: In this chapter, detailed instructions for filling up Schedule 2.345 have been given. The survey covers all unorganised enterprises engaged in unorganised service activities (excluding trade and finance). NIC codes to identify the enterprises will be as per NIC-1998. Some concepts and definitions relating to this schedule have been discussed in Chapter One. However, concepts specific to Schedule 2.345 have been discussed in this chapter wherever necessary. 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 criterion 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.

3.0.1 **Reference Period**: *Last month* will be used as the reference period to collect most of the data. Various receipts and expenses as well as employment, emoluments, rent, interest and value added for the enterprises will be collected for the last month only. *Last month will refer to the last 30 days (preceding the date of survey) for perennial and casual enterprises irrespective of the number of days of operation. For seasonal enterprises also, last month will refer to the last 30 days (preceding the date of survey), if they have worked continuously for the last 30 days or more (including scheduled holidays) in the current season. Only for seasonal enterprises, which have worked for less than 30 days in the current season, last month will refer to an average month in the last working season. If some enterprise is unable to give information for the last 30 days and is able to give information for the last calendar month, figures for the same may be taken. For enterprises that provide information from their book of accounts, average monthly values of last accounting year are to be reported. In the case of items "rent payable" and ' interest payable', the monthly average of yearly values will be reported.* For some of the items like value of fixed assets, amount of loan outstanding, etc., the reference period is 'as on the date of survey'. For some other items like net additions to fixed assets, number of months operated, number of other economic activities pursued etc., the reference period is the 'last 365 days preceding the date of survey'.

3.0.2 **Mixed activity**: There are enterprises, which carry out a number of activities simultaneously. For example, a grocery shop owner may also carry out photocopying activity from his shop, a doctor may have a medical shop attached to his dispensary, a restaurant may run an STD booth in its premises, etc. Each of such activities is to be treated as a separate enterprise if information for them is separately available. If the accounts are not separable then the data will pertain to the enterprise as a whole and the enterprise will be classified as having mixed activities and the activities of such enterprises 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. The activities may be mixed at any level of NIC, but for the present survey it will be restricted to 2-digit level of NIC-98.

3.0.3 **Multiple activity**: Since many of the entrepreneurs belonging to the unorganised 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 at the same location and the information is not separately available, then it is called a "mixed activity". Total number of economic activities carried out

by the entrepreneur during the last 365 days is the total number of multiple activities. Some examples of multiple activities are: i) a person carrying out agricultural activity at sowing / harvesting season and running a shop at the same time or at other times, ii) a lady working as regular wage / salary earner and also running a shop in the evening, etc. However, a manufacturing enterprise manufacturing woollen garments before winter and cotton clothes before summer will not be considered as carrying out multiple activities. It may be noted that multiple activity relates to the various economic activities carried out by the entrepreneur whereas mixed activity is carried out by an enterprise.

3.0.4 **Structure of the Schedule**: Schedule 2.345 consists of 14 blocks including blocks 3.1 and 4.1. Blocks 0 and 1 are meant to record the identification of the enterprise; blocks 10 to 12 are for reporting particulars of field operation, remarks by the investigator and comments by the supervisory officer(s). In blocks 2 to 9, data are to be collected from the selected enterprises.

Some operational characteristics and background information of the enterprises will be collected in block 2. Blocks 3, 3.1, 4 and 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 of all enterprises except the enterprises belonging to the NIC 90-93 whose whole expenses and receipts are to be recorded in block 3.1 and 4.1 respectively. In case of enterprises other than NIC 90-93, blocks 3.1 and 4.1 will be used to record the other expenses and receipts that are not reported in blocks 3 and 4 respectively. Schedule 2.345 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.

3.1.0 **Description of Schedule 2.345**

3.1.0.1 At the top of the first page of Schedule 2.345, two items have been given in boxes. The box on the left hand side indicates whether the schedule is being canvassed in rural or urban first stage unit (fsu). The right hand side box indicates what type of sample (central / state) the enterprise belongs to. A tick mark (√) may be put against appropriate items in the boxes.

**Block 0: Descriptive Identification of Sample Enterprise**

3.1.0.2 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 name of hamlet will remain blank. Similarly, for a rural sample, ward/ inv. Unit/ UFS block is not applicable.

**Block 1: Identification of Sample Enterprise**

3.1.1.0 Block 1 has 20 items. Most of the items of this block are coded. The codes are described either beside the items or at the bottom of the block.

3.1.1.1 **Items 1 to 12**: These items will be copied from schedule 0.0 except for items 1 and 2, which are already printed in the Schedule.

3.1.1.2 **Item 13: Segment number**: Entry against this item will be 1, 2 or 9 depending on whether the enterprise being surveyed belong to segment 1, 2 or 9 of the sample village / block / ward.

3.1.1.3 **Item 14: Broad Activity Group (code)**: For enterprise belonging to the segment 9 the code will be copied from column 11, block 2, Sch. 0.0. In case of enterprises belonging to segment 1 / 2, the code will be copied from the respective column under columns 22 to 39 of block 5, Sch. 0.0. Description of broad activity group (BAG) codes is given in Chapter two while discussing Sch. 0.0.

3.1.1.4 **Item 15: Enterprise type**: Enterprises will be given codes 1 or 2 as follows:

own account enterprise (OAE) – 1, establishment – 2.

3.1.1.5 **Item 16: Sample enterprise no**: For enterprise belonging to segment 9 this will be copied from column 10, block 2, Sch. 0.0. Order of selection of the enterprise belonging to segment 1 / 2 will be copied from relevant column of block 5 of Schedule 0.0 (i.e. from columns 22 to 39).

3.1.1.6 **Item 17: Informant code**: This item will give information on the type of informant from whom the data are being collected. The relevant codes are:

owner / partner – 1, manager – 2, others – 9.

3.1.1.7 **Item 18: Response code**: This item is to be filled-in after canvassing the schedule. The response obtained from the informant, considering his co-operation and capability in providing the required information, will be recorded against this item in terms of specified response codes. The codes are:

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

3.1.1.8 **Item 19**: **Survey code**: If the originally selected enterprise is surveyed, code against this item will be 1. If the originally selected enterprise is substituted and the substitute enterprise is surveyed code will be 2. If neither the original nor any substitute could be surveyed, code will be 3. In case of casualty, blocks 0,1, 10, 11 and 12 are to be filled in and the word 'CASUALTY' may be written on the top of the schedule. It may be ensured that complete information is available in the schedule for all the enterprises with survey code 1 or 2.

3.1.1.9 **Item 20: Reason for substitution of original enterprise**: The codes to be recorded against this item are:

informant: busy – 1, not available – 2, non - cooperative – 3, others –9.

**Block 2: Particulars of Operation and background information**

3.2.0 In this block some background information about the nature and operation of the enterprises will be recorded.

3.2.1 **Item 1: whether mixed activity? (yes –1, no –2)**: Code 1 will be recorded if the enterprise is having mixed activity according to the definition given in para 3.0.2 of this chapter. Otherwise, code will be 2.

3.2.2 **Item 2: 5-digit code as per NIC-1998**: The actual description of the entrepreneurial activity (major activity if the enterprise has mixed activity) may be recorded in the space provided in this item. Below the description, NIC code as per the NIC-1998 may be written at **5-digit level**. Each box will contain one digit and no box will remain empty. This item should be filled up based on information of blocks 3 to 4.1.

3.2.3 **Item 3: Nature of operation**: This item is meant to record the seasonality in operations 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.

3.2.4 **Item 4: Type of ownership**: Codes for this item are:

| | | | |
|---|---|---|---|
| proprietary (male) …….. | 1 | Co-operative society…….…… | 5 |
| proprietary(female) ……. | 2 | Limited company (outside public sector)... | 6 |
| partnership with members of the same household …….. | 3 | Others…… | 9 |
| partnership between members not all from the same household ……. | 4 | | |

**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 latter case, code will be 4. Partnership may be based either on formal registration or on the basis of mutual understanding. However, units covered under ASI, if any, will be outside the purview of this survey. If ownership is with a Hindu Undivided Family (HUF), the treatment will be same as for proprietary enterprises, i.e. if the head of HUF is a male, code will be 1; for a female head, code will be 2. For a co-operative society (whether formally registered or not), code will be 5. **Co-operative society** is a society that is formed through the co-operation of a number of persons (members of the society) to benefit the members. The funds are raised by members' contributions/ investments and the profits are shared by the

members. Limited companies (other than public sector) will get code 6. A **limited company** can be either private or public company. A private company means a company which by its Articles (a) RESTRICTS the right to transfer its shares, if any, (b) LIMITS the number of its members (not including its employees) to 50 (c) PROHIBITS any invitation to public to subscribe for any shares or debentures of the company. Pubic company means a company, which is not a private company. All other types of enterprises will get code 9. For code 9 in this item, detailed description may be given in the blank space beside this item.

3.2.5 **Item 5: social group of owner / partner (for proprietary and partnership enterprises only)**: The codes are:

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

A "X" may be given in this item for enterprises with ownership code 5, 6 or 9.

3.2.6 **Item 6: Location of the enterprise**: Six 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 6 will be applicable. The codes are given below:

| | | | |
|---|---|---|---|
| within household premises ……. | 1 | | |
| **outside household premises**: | | | |
| 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, etc.)… | 6 |
| with fixed premises but without any structure …….. | 4 | | |

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

3.2.7 **Item 7: whether private non-profit institution? (yes-1, no-2)**: Non-profit institutions (NPI) are legal or social entities created for the purpose of producing goods and services whose status does not permit them to be a source of income, profit or other financial gain for the units that establish, control or finance them. In practice, their productive activities are bound to generate either surplus or deficits but any surplus they happen to make cannot be appropriated by other institutional units. The articles of association by which they are established are drawn in such a way that the institutional units which control or manage them are not entitled to share in any profits or other income which they receive. For this reason. They are frequently exempted from various types of taxes. NPIs may be created to provide services for the benefit of the persons or corporations who control or finance them; or they may be created for charitable, philanthropic or welfare reasons to provide goods or services to other persons in need; or they be intended to provide health or education services for a fee, but not for profit; or they may be intended to promote the interests of pressure groups in business or politics; etc. Although they may provide services to group of persons or

institutional units, by convention they are deemed to produce only individual services and not collective services. The applicable codes for this item are: yes – 1, no – 2.

3.2. 8 **Item 8: Whether accounts maintained**: If the enterprise is maintaining usable books of accounts and information for the enterprise is given from them, then code will be 1, otherwise code will be 2.

3.2.9 **Item 9: Whether registered under companies act? (yes – 1, no – 2)**: If the enterprise under survey is registered under Companies Act , code will be 1, otherwise code will be 2.

3.2.10 **Items 10-11: Other act / authority of registration (code)**: Codes for a maximum of two registration agencies under which the enterprise is registered is to be noted in items 10-11. If the enterprise is not registered under any other act, then code 15 is to be given. The codes for various acts / authorities of registration are:

| | | | |
|---|---|---|---|
| municipal corporation, panchayat, local body.. | 01 | co-operative societies act…….. | 10 |
| shops and establishments act……. | 02 | societies act…… | 11 |
| sales tax act……. | 03 | Indian charitable act……... | 12 |
| motor vehicles act…… | 04 | cinematograph act……. | 13 |
| Indian vessels act / merchant shipping act…… | 05 | factories act (other than section 2m (i) or 2m (ii)).. | 14 |
| bar council ……. | 06 | other (please specify)…… | 99 |
| chartered accountants act…… | 07 | | |
| directorate of education / AICTE /NCTE…… | 08 | | |
| medical practitioners act……. | 09 | not registered under any other act / authority……. | 15 |

If the enterprise is registered under only one registration agency, then only item 10 is to be filled. If the enterprise is registered under two registration agencies, items 10 and 11 are to be filled. If it is registered with more than two agencies, the most important two codes (as perceived by the respondent) are to be filled in. If code is 99, please specify the registration agency.

3.2.11 **Items 12-13: Nature of problems faced, if any, during the last 365 days (code)**: Different types of problems faced by the unorganised enterprises during the last 365 days in their day-to-day operation will be recorded against these items in terms of codes. Of the various problems faced by the enterprise, provision has been made to record two most severe problems as perceived by the informant. The codes are:

| | | | |
|---|---|---|---|
| non-availability of electricity connection | 01 | non-availability of labour ……. | 09 |
| power cut…… | 02 | labour problems ……. | 10 |
| shortage of capital…….……. | 03 | fuel not available or available at exorbitant price .. | 11 |
| marketing of products/services…… | 04 | non- recovery of service charges / fees/ credit ….. | 12 |
| lack of other infrastructure facilities…… | 05 | others (please *specify in the space provided*) ..…. | 99 |
| local problems……. | 06 | | |
| harassment …….. | 07 | | |
| competition from other units …… | 08 | no specific problem ……. | 13 |

For code 99, the problem may be mentioned against the item. “Labour problem” means problem between management and labourers. Non-availability of labour should not be given code 06. For ‘no specific problem’ code 13 is to be given.

3.2.12 **Item 14: Does the enterprise undertake any work on contract basis? (yes - 1, no - 2)**: The enterprises in the unorganised sector tend to be small 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 does any amount of work under contract, code against this item will be 1. Otherwise, code will be 2.

3.2.13 **Items 15-16: Types of assistance received during the last 5 years (code)**: The enterprise might have received some assistance at some stage of its operation. It can come either from government or from some non-governmental organisation or some private agency / individual. Different codes have been provided to record the same. An enterprise may receive more than one type of assistance mentioned in different codes. All such types of assistance (maximum 2) received during the last 5 years are to be reported in codes in descending order of the importance of assistance in items 15-16 one below the other. The codes are:

> financial loan – 1, subsidy – 2, machinery/ equipment – 3, training – 4, marketing – 5, procurement of raw material – 6, others – 7, no assistance received from any source – 9.

3.2.14 **Item 17: Number of other economic activities undertaken during last 365 days**: To record this, the number of multiple activities carried out by the entrepreneur is to be determined according to the definition given in para 3.0.3. The number of activities other than the activity (activities) of the current enterprise is to be recorded in this item. 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 3.0.2 of this chapter. This item is to be filled up only for proprietary / partnership enterprises for the owner / respondent partner.

3.2.15 **Item 18: Status of the enterprise over the last 3 years**: The objective of this item is to record the respondent's impression about the growth or decline of the enterprise in the recent period. If the respondent feels that the enterprise has expanded in the last three years, code will be 1. On the other hand, if the respondent 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. If the enterprise has operated for less than 3 years, the code will be 9.

3.2.16 **Item 19: Number of months operated (in whole numbers) during the last 365 days**: Number of months the enterprise operated during the last 365 days will be recorded against this item in whole number. 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 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.

**Blocks 3 & 3.1: Selected important and other operating expenses**

3.3.0.1 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 same as mentioned in para 3.0.1. All expenditures in these blocks are to be recorded on payable basis. If some expenses are made

on 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, amount 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.

3.3.0.2 Schedule 2.345 covers the activities belonging to hotels and restaurants, transport, storage and communication, real estate, renting and business activities, education, health and social work, and other community social and personal services. Exact coverage of the activities is defined in Chapter one. 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 selected important 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, repair and maintenance charges of transport equipment for a transport enterprise will be recorded against item 313, block 3 and not against item 377 of block 3.1. For activities (NIC division 90-93) for which separate sub blocks are not provided in block 3, all expenses will be recorded in block 3.1 only.

The items of blocks 3 to 5 have been given 3-digited item numbers to facilitate data processing. The "total" item always ends with 9. The value to be reported in the schedule will be in whole number only. For each sub-block, relevant NIC-98 codes have been provided so that information pertaining to the respective NIC (s) only is recorded in the sub-blocks.

3.3.1 **First sub-block** : **Hotels and restaurants (NIC-98 group 551 and 552)**

3.3.1.1 **Item 301: Articles consumed for food & drink preparation**: 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 as soft drinks and alcoholic drinks are also to be considered. The value should include consumption out of the credit purchases as well.

3.3.1.2 **Item 332: Purchase value of goods traded**: 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.

3.3.1.3 **Item 333: Crockery, glassware, bedding and other consumables**: Average monthly expenditure on all 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.

3.3.2 **Second sub-block: Transport (NIC-98 group 601, 602, 611, 612, class 6301 and 6303 to 6309)**: The major items of transport enterprises will be recorded against items 311 to 315. Care may be taken that items reported here are not duplicated in item 377 of block 3.1.

3.3.2.1 **Items 311 and 312: Petrol, diesel, lubricants, etc. / tyres, tubes, batteries and retreading expenses:** Value of petrol, diesel and lubricants consumed during the reference month

will be entered in item 311. Expenses incurred on changing batteries, tyres, tubes and retreading cost of the tyres will be reported against item 312.

3.3.2.2 **Item 313: Repair and maintenance charges of the transport equipment**: Repair and maintenance charges of the transport equipment will be entered in item 313. 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 313.

3.3.3 **Third sub-block : Storage (NIC-98 class 6302):** Items 321 and 322 are provided for storage and warehousing enterprises.

3.3.3.1 **Items 321 and 322: Consumable stores used in the warehouse and insurance charges etc.** : 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 322.

3.3.4 **Fourth sub-block: Communication activities (NIC-98 group 641 and 642)**: The major items of communication enterprises like STD booths, courier services etc. will be recorded against items 331 and 332.

3.3.4.1 **Item 331 and 332: Call charges, rent payable (local call/ STD / ISD, cyber café, radio paging, cellular etc.) and insurance charges**: The communication expenses for local call/ STD / ISD, cyber café, radio paging, cellular etc. are collected in this item. The charges payable and the rent payable to the government / public / private corporates (original service providers) may be apportioned for the month (these charges are generally paid once in two months) and recorded in this item. The insurance charges, if any, are to be recorded in item 332.

3.3.5 **Fifth sub-block: Real estate, renting and business activities (NIC-98 division 70 - 74): I**mportant operating expenses like maintenance of machinery and equipment, travelling, hospitality, legal expenses etc. incurred by enterprises will be recorded in items 341 and 342.

3.3.6 **Sixth sub-block: Educational activity (NIC-98 group 801, 802, 803 and 809)**

Major operational expenditure incurred in running the educational enterprises will be shown in this sub-block. The recurring expenses on laboratory consumables and library books will be noted against item 351. Expenditure for purchase of books, school uniform etc. sold to students will also be shown against this item. Recurring expenses on newspapers, journals, periodicals etc. will be recorded in item 352. Expenses on computer consumables will be recorded in item 353. Maintenance of furniture and fixtures like tables, chairs, projectors, laboratory equipment, computers etc. will be considered in block 3.1 against the appropriate items (374-378).

3.3.7 **Seventh sub-block: Health and social work (NIC-98 group 851, 852 and 853)**

Major expenses relating to the health and social work activity will be recorded in this sub-block. Expenses on diet is to be recorded in item 361 and expenses on medicines and drugs given to the patients will be reported against items 362. Expenses on Consumables used in operation theatre, sophisticated equipments, pathological, radiological and other diagnostic tests will be recorded in item 363. Expenses on syringes, intra veins drip sets, cotton bandages, plastering materials and

other disposables will be recorded against item 364. Expenditure on uniforms of staff, nurse, doctors, linen and laundry material is to be recorded in item 365. Expenditure on repair and maintenance of building, professional equipment and other assets will be recorded in block 3.1.

3.3.8 **Valuation**: The value of consumption relates to all the materials utilised in the process of production of goods or services. 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.

**Block 3.1: Other operating expenses: all activities**

3.3.3.1 Block 3.1 will record the other operating expenses not covered in block 3. If some of the items have already been covered under specific activities in block 3, they should not be reported again in block 3.1. All expenses of those activities whose selected important expenses are not recorded in block 3 are to be recorded in block 3.1. It may be noted that the item number after 378 is 381, i.e., continuity is broken. This has been done in order to keep the digit 9 at unit place only for all sub-total or total items.

3.3.3.2 This block has 19 items. These will cover electricity charges, fuels, lubricants, 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.

3.3.3.3 **Items 371 and 372: Electricity charges and fuel & lubricant**: 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 reference month, the value will be estimated based on 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, is to be excluded.

3.3.3.4 **Item 373: Raw materials consumed for own construction of building, furniture and fixtures (including labour charges)**: All materials consumed for own construction of passage, raising wall, digging well, etc. for the enterprise may be included 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 332.

3.3.3.5 **Items 374 to 328: Repair and maintenance**: These items will show the expenses made for minor repair and maintenance of building, furniture and fixtures, machinery including professional equipment, 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. Expenses for repair and maintenance of machinery including professional equipment 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. Both the value of materials used in repair and maintenance and the amounts paid to others for carrying out minor repair and maintenance of fixed assets including cost of materials supplied will be included against the relevant item out of these items. However, replacement of some major parts of fixed assets, which require considerable expenditure, will not be included here.

3.3.3.6 **Item 381: Rent payable on machinery and equipment**: 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 unorganised enterprises. But there may be cases where assets are neither owned nor hired (i.e. encroached). Assets may also be of freehold type. In such cases, rent may be shown as 'zero' and no imputation need be done.

3.3.3.7 **Item 382: Rent payable on building**: Rent payable on building only may be recorded against this item.

3.3.3.8 **Item 383: Service charges for work done by other concerns (contract, sub-contract, legal, audit, advertising and other accounting services, warehousing expenses, commission expenses, etc.)**: This is the item where charges payable for work done by other concerns is to be reported. It includes commissions payable to agents and payment towards contract and sub-contract services availed by the enterprise. 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.

3.3.3.9 **Item 384: Travelling, freight and cartage (transport) expenses**: 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.

3.3.3.10 **Item 385: Communication expenses (telephone, telegram, fax , postal, courier , e-mail, etc.)**: Expenses on communication like telephone, telegram, fax, postal, courier, e-mail, voice-mail, etc. are to be recorded here.

3.3.3.11 **Item 386: Consumable stores, packing materials, etc.**: Expenses on consumable stores, packing materials etc. will be reported in this item. Care should be taken to exclude the materials consumed for the construction of fixed assets. Cotton waste used for cleaning 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/ services sold. If the cost of packing forms part of the prime cost, i.e., the articles cannot be sold without a

package or a container e.g., medicines, perfumes, etc., 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.

3.3.3.12 **Item 387: Newspaper, journals, printing and stationery expenses**: For any enterprise, some amount is spent on newspaper, journals and on 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.

3.3.3.13 **Item 388: License fees, cess charged by local bodies, other local rates (excise duties and other indirect taxes are not to be included)**: 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 and 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.

Items 391 and 392 are meant for enterprises with mixed activities undertaking trading or manufacturing as the minor activity.

3.3.3.14 **Item 391: Purchase value of commodities traded, if any**: If some enterprise is selling certain goods in the same condition as purchased, in addition to its major activity, then purchase value of goods traded during the reference month is to be recorded against this item.

3.3.3.15 **Item 392: Materials consumed for manufacturing activity, if any:** An enterprise may also be indulging in manufacturing activity in addition to the major activity under coverage. In such cases, materials consumed for manufacturing activity is to be recorded against this item.

3.3.3.16 **Item 393: Cosmetics, toiletry and laundry articles, etc.** : Expenditure made by the enterprise on cosmetics, toiletry and laundry articles, etc. is to be recorded against this item.

3.3.3.17 **Item 394: Other expenses**: Any other expenses of the enterprise, which are not covered under any of the items 371 to 394, will be reported against this item. Regular puja expenses, expenses towards customer entertainment, etc. are a few expenses of this type.

**Block 4: Principal receipts**

3.4.0 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 activity wise in the sub-blocks against which the selected important 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 404, 429, 439 and 462 etc. of block 4) and receipts from services provided (item 471 of block 4.1). Again items 453 and 465 of block 4 and item 475 of block

4.1 relate to donations. In each such case, priority will be given to record information against items of block 4 instead of block 4.1. The approach of data collection will be the amount receivable during the reference month.

3.4.1 **First sub - block: Hotel and restaurant activities (NIC-98 group 551 and 552)**

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.

3.4.1.1 **Item 401: Lodging charges, rent receivable for hiring out rooms and halls for functions, conferences and receipts from services provided like transport / travel arrangements, laundry services, gym, hair dressing, swimming pool, entertainment, etc**.: Charges receivable for hiring out rooms, rent for conference halls, charges receivable from services like transport, travel arrangements, laundry, gym, hair dressing, swimming pool, entertainment etc. will be recorded against this item. If lodging charges include the breakfast or meal charges, the combined value may be recorded here.

3.4.1.2 **Item 402**: **Receipts from sale of prepared food, refreshment and drinks**: 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.

3.4.1.3 **Items 403 and 404**: **Receipts from trading of purchased food**, **refreshment, drinks, etc. / receipts from catering services outside**: Receipts from trading of purchased food like ice creams, pastries, patties, drinks, etc. will be recorded against item 403. 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 404.

3.4.2 **Second sub-block: transport (NIC-98 group 601, 602, 611, 612, class 6301 and 6303 to 6309)**

3.4.2.1 **Items 411 and 412: Earnings from passenger traffic and earnings from goods traffic**: 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 411). 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 471 of block 4.1.

3.4.2.2 **Item 413: Earnings of commissions for booking agents**: The earning from booking charges is to be given in this item.

3.4.3 **Third sub-block**: S**torage (NIC-98 class 6302)**: Item 429 is intended to collect the service charges received by the storage and warehousing enterprises. Godowns used for storing of own produce are not to be considered. No imputation is needed if commodities are stored in one's own warehouse.

3.4.4 **Fourth sub-block: Communications (NIC-98 group 641 and 642)**: Total charges receivable from customers (STD / ISD / courier/ fax / internet / e-mail etc.) services will be noted against item 439. 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.

3.4.5 **Fifth sub-block: Real estate, renting and business activities (NIC-98 division 70 - 74)**: Receipts from service provided and brokerage charges are to be recorded against items 441 and 442 respectively.

3.4.6 **Sixth sub-block: Educational activities (NIC-98 group 801, 802, 803 and 809):**

The receipts include earnings from fees (tuition fee, transport fee, laboratory fee, library fee, hostel fee etc), and donations / grant from government as well as individual persons / organizations. Receipts from students on account of sale of textbooks or uniforms will also be shown. Lump-sum donation / grant received may be apportioned for the month and recorded.

3.4.6.1 **Items 451 and 452: Tuition fees and other fees (including transport fees, laboratory fees, examination fees, fines, library fee, hostel fee, etc.):** Tuition fees receivable from the students will be entered in item 451. Other fees such as library fee, laboratory fee, examinations fee, games fee, medical fee, bus fee, etc. will be recorded against item 452. This will not include hostel fee. Item 452 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 452.

3.4.6.2 **Item 453: Donations / grants from individuals and institutions**: All recurring / non-recurring grants received from central, state and local governments will be recorded against item 453. 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.

3.4.7 **Seventh sub-block: Health and social work (NIC-98 group 851, 852 and 853)**:

Like 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, and expenditure on diet for patients, cabin etc. may be shown against respective items described below. Lump-sum donation / grant received may be apportioned for the month and recorded.

3.4.7.1 **Item 461: Consultation fees and charges for medicines**: This includes consultation fee 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**.**

3.4.7.2 **Item 462: Charges for operation theatre and other special procedures**: This includes operation theatre charges and charges for other special procedures.

3.4.7.3 **Item 463**: This includes charges for ward / cabin, pathological, radiological and other diagnostic tests, diet, nursing, physiotherapy and rehabilitation etc.

3.4.7.4 **Item 464: Fees for training (nurses, paraprofessionals, etc.)**: In this item fee receivable for training of the nurses, paraprofessionals etc. is to be recorded.

3.4.7.5 **Item 465: Donations / grants from individuals and institutions**: All recurring / non-recurring grants received from central, state and local governments will be recorded against item 465. 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.

3.4.8 **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 community, social and personal services etc. this block will provide the principal and also the incidental expenses. There are 8 items in the block. Item 479 gives the total. Item-wise description is given below:

3.4.8.1 **Item 471: Receipts from services provided to others including commission charges**: 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 are 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 that 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 health & social work activities. If charges received for works done are already taken care of in one of the sub-blocks, duplication should be avoided.

3.4.8.2 **Item 472: Market value of own construction of building, furniture and fixtures**: This is the receipt item corresponding to the item 373 in block 3.1.

3.4.8.3 **Item 473: Value of consumption of goods / services produced or traded for own use of the owner or employees (at owner's cost)**: 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 that were supplied to sister concerns will also be included. Restaurants providing food to the cooks, owner of STD booth making telephone call for self use from the booth, laundry cleaning owner's clothes, etc.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.

3.4.8.4 **Item 474: Rent receivable on plant & machinery and other fixed assets**: If a unit hires out its assets, 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. Such earnings of enterprises may be recorded against this item and not against item 478.

3.4.8.5 **Item 475: Funding / donations received (including recurring govt. grants)**: Lump sum donation / grant / subsidy received may be apportioned for the month and recorded. Care is to be taken that there is no duplication if the figures are already reported in items 453 and 465 of block 4.

3.4.8.6 **Item 476: Sale value of goods traded, if any**: Sale value of goods traded corresponding to the purchase value of commodities traded reported in item 388 of block 3.1 is to be reported here.

3.4.8.7 **Item 477: Value of items manufactured, if any**: Value of finished and semi-finished goods manufactured from the materials consumed and reported in item 391 of block 3 is to be reported here.

3.4.8.8 **Item 446: Other receipts**: This will include any other receipt incidental to entrepreneurial activity. Receipts from a few services like unorganised 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.

3.4.8.9 **Valuation**: The value of services produced for sale / use / free distribution / home consumption will be recorded in whole number of rupees. The value of the services as charged from the customers will be reported here. It includes excise duty payable or sales tax realised by the enterprise on behalf of the Government as also all the distributive expenses such as, discount or rebate, allowances for returnable cases and other packing or any other drawback allowed to customers, charges for carriage outward (i.e., outward transportation), commission to selling agents, etc. Care may be taken that the distributive expenses included in the receipts in block 4 are consistent with those recorded in item 502 of block 5.

**Block 5: Calculation of gross value added for the reference month**

3.5.0 The items 501 and 503 are transfer entries from blocks 3, 3.1, 4 and 4.1 and are mostly self-explanatory. Item 502 will be used to record the distributive expenses of the enterprise as mentioned in para 3.4.8.9 above. Care may be taken that the distributive expenses recorded in item 502 are consistent with those included in receipts in block 4. The value-added figure is obtained against item 509 with proper sign. In case the value added figure derived in item 503 is negative, low or very high, further probing is to be done and then the figure in item 509 is to be confirmed in item 510. While probing, other related information of the enterprise such as rent paid on land and building, compensation to workers, interest paid etc. may be taken care of. From the experience of earlier surveys on non-agricultural enterprises, it is found that the cases are required to be referred to the field for confirmation where the value

added figures are found to be negative, low or very high. The criteria for determining low or high value added figure would be different for different types of enterprises depending on their scale of operation. Many a times, it becomes difficult to get confirmation in time. Item 510 has been specially provided to take care of this and to minimise the reference to the field. Comments after deep probing may also be given in block 11/12.

**Block 6: Employment particulars of the enterprise during the reference month**

3.6.0.1 **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.

3.6.0.2 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 see para 3.0.1) 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. In case of hired workers, information is to be recorded separately for skilled and unskilled workers (defined later) by gender.

Item-wise details are discussed below.

3.6.1 **Item 1: Working owner**: In the case of proprietary or partnership enterprises, if the owner(s) personally work(s) 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 the help of anyone (on a 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.

3.6.2 **Items 2-3: 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 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. In item 2, information is to be provided for skilled hired workers and in item 3 for unskilled hired worker. The following guidelines are to be used for categorising the persons as skilled or unskilled.

3.6.2.1 **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.

Skill will be recorded irrespective of the level of general and technical education. All persons possessing the skills such as typist, stenographer, word processing, computer programming, data entry operator, accounting, motor vehicle driver, tractor driver, doctor, nurse, midwife, decorator, artist/painter, craftsman, beautician, barber, etc. are to be treated as skilled workers. Persons such as sweepers, cleaners, watchmen, peons etc are to be treated as unskilled workers. For convenience the unskilled workers may be identified first and then the skilled workers may be arrived at by residual approach. As a guiding principle all manual workers (defined in Chapter One) may be treated as unskilled.

3.6.3 **Item 4: Other worker/ helper**: Information regarding the workers not covered in items 1 - 3 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.

3.6.4 **Item 5: Total**: Total of different types of workers as recorded against the items 1 to 4 of this block will be entered against item 5.

3.6.5 **Columns 3 to 6: Average number of workers - full time and part time**: The 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) and (4) for full time and in columns (5) and (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 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 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. Average number of workers is to be given always in whole numbers. For example, suppose in an enterprise 4 persons have worked for 20 days and 6 persons have worked for 6 days. 26 days is the total number of working days of that enterprise in the reference month. Then, the average number of workers for that enterprise will be (4 * 20 + 6 * 6 ) / 26 =4.46 or rounded to 4.

3.6.6 **Column 7: Total**: Totals of the entries made in columns 3 to 6 shall be recorded in this column.

**Block 7: Compensation to workers during the reference month**

3.7.0 This block is applicable for enterprises where salary / wages, bonus etc. in cash or kind or both is payable to the individual workers / working owner (s) during the reference month. 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.

3.7.1 **Item 1: Salary/wages, allowances and other individual benefits (cash & kind)**: Salaries / wages payable to the working owner (s), 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 allowance 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 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.

3.7.2 **Item 2: Imputed value of group benefits for the month (including employer's contribution towards canteen, sports, insurance, etc.)**: 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 kinds of benefits, if any, free of cost or at subsidised rates.

If monthly figures are not available, then apportioned value of these group benefits may be recorded by dividing the yearly figure by number of months operated.

3.7.3 **Item 3: Total emoluments (items 1 and 2)**: Total of items 1 & 2 which gives total emoluments payable to the workers for the reference month shall be recorded here.

3.7.4 **Item 4 & 5: Average daily wage for lowest paid full-time unskilled worker, if hired (see item 3, block 6)**: The Average daily wage for lowest paid full-time unskilled worker, if hired as per item 3, block 6, is to be entered for females in item 4 and for males in item 5.

**Block 8: Fixed assets owned and hired**

3.8.0.0 This block is meant for recording value of fixed assets owned and hired by the 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.

3.8.0.1 **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.

3.8.0.2 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 are to be included. Information for land and building need not be given separately.

3.8.1 **Item 1: Land**: 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 would 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 will be '0' in column (6) with supporting remarks in block 11 / 12.

3.8.2 **Item 2: Building**: Building is the structure, where activities of the enterprise are undertaken. 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 passage, wall, water tank, sewerage, tube-well, etc.

3.8.3 **Item 3: 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 machinery (not in possession on the date of survey) will not be recorded as the approach for recording information here is by physical approach.

3.8.4 **Item 4: Transport equipment**: All vehicles, power-driven or man / animal-driven, used for transporting persons, 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 they will be included in item 4. If the equipment is used both for domestic as well as enterprise purposes, 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 that is occasionally rented out will be included if it is mainly used for the activities of the enterprise.

3.8.5 **Item 5: 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 equipment etc. Livestock used in oil *ghani* or

transport 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.

3.8.6 **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 will fetch in the open market in present condition.

3.8.7 **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 additions made during last 365 days. Addition and depletion of the fixed assets are discussed below.

3.8.7.1 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). Homegrown materials, if any, used in own-construction are to be evaluated at ex-farm price. If any materials already lying with the household for a long time are used for own construction, their values should also be determined at cost price (cost to the household).

3.8.7.2 Depletion of assets is obtained by considering the assets sold and discarded during last 365 days. 'Sale' that is only agreed upon but not affected during the last 365 days will not be included even if money has been taken in advance. But, the value of assets sold will be included though payment is yet to be received. The value of assets disposed of 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.

3.8.8 **Column (6): Monthly rent payable on hired assets (Rs)**: It has already been mentioned in para 3.8.5 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 assets hired 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 11 / 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.

**Block 9: Loans outstanding as on the date of survey (only loans taken for enterprise to be considered)**

3.9.0.1 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 that 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, loans taken for other purposes but ultimately used in the enterprise will be excluded. While loans are generally given in cash from agencies listed in item 1, it can be either cash or kind or both from other agencies. 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. All entries in this block will be made in whole number of rupees.

3.9.0.2 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.

3.9.1 **Item 1**: **central and state level term lending institutions, government (central, state, local bodies):** 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

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.

3.9.2 **Item 2: 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.

3.9.3 **Item 3: co-operative banks and co-operative 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.

3.9.4 **Item 4: 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 item 1 above will be recorded against this item.

3.9.5 **Item 5: 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.

3.9.6 **Item 6: 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 moneylender then also entry shall be made against this item.

3.9.7 **Item 7: Suppliers/ contractors**: Sometimes an enterprise is provided with loans by the supplier of basic inputs / raw materials and equipment to the enterprise. In the case of an enterprise working on contract basis, it may so happen that the contractor himself gives that loan. All such loans shall be recorded against this item.

3.9.8 **Item 8: Friends and relatives**: Any non-institutional loan which is interest-free, will be included in this item.

3.9.9 **Item 9: Others**: Loans taken from any other agency not covered above will be covered under this item.

3.9.10 **Column (3): Amount (Rs)**: Amount of outstanding loan, as mentioned in para 3.9.0.1, taken by the enterprise shall be recorded in this column against the appropriate source(s) of loan against the items 1 to 9 in this block..

3.9.11 **Column (4): Interest payable during the reference month (Rs)**: 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.

**Block 10: Particulars of field operation**

3.10.0 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.

**Blocks 11 & 12: Remarks by investigator and comments by supervisor(s)**

3.11.0 Blocks 11 and 12 are meant for noting down investigator's remarks / supervisor's comments / suggestions regarding the entries made in Schedule 2.345. Their observations will be very important in understanding the field situation and accordingly improve the system of data collection and processing in future.

**APPENDIX-I**

**LIST OF FOD SUB-REGIONS**

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

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

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

* has jurisdiction over Chandigarh SRO (code no. 0810)
(c) has jurisdiction over District ‘ DADRA & NAGAR HAVELI’ of DADRA & NAGAR HAVELI UT.
(d) has jurisdiction over District ‘LAKSHADEEP’
(e) has jurisdiction over District ‘ MAHE of PONDICHERY UT

| Sl. | state/u.t. | regional office | sub-regional office |
|---|---|---|---|

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

* has jurisdiction over Raipur, Bilaspur, Ambikapur & Durg SRO's ( code no.s 1332, 1333, 1334 & 1335)
* * has jurisdiction over Panaji SRO (code no.1443)
*** has jurisdiction over Agartala SRO (code no.1612)

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

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

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

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

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

# APPENDIX-II

## LIST OF NSS REGIONS AND THEIR COMPOSITION

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

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

| srl. no. | state/u.t. (code) | SR | detailed composition of region |
|---|---|---|---|

| | | | Description | name of district | code | name of district | Code |
|---|---|---|---|---|---|---|---|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) |
| 16. | Delhi (31) | 311 | Delhi | Delhi | (01) | | |
| 17. | Goa (06) | 061 | Goa | North Goa | (01) | South Goa | (02) |
| 18. | Gujarat (07) | 071 | Eastern | Sabar Kantha | (12) | : | |
| | | | | Khedbarhma, Vijaynagar, Bhiloda, Meghraj | | | |
| | | | | Dohad | (18) | : | |
| | | | | Dohad, Garbala, Limkheda, Dhanpur, Devgadh, Bariya Jhalod, Santrampur Kadana, Fatehpur | | | |
| | | | | Narmada | (21) | : | |
| | | | | Tilakwada, Nandod, Dediapafda, Sag Bara | | | |
| | | | | Vadodara | (19) | | |
| | | | | Nasvadi, Kavant Chhota Udaipur, Jetpur Pavi | | | |
| | | | | Bharuch | (20) | : | |
| | | | | Anklesvar, Valia, Jhagadiya | | | |
| | | | | Surat | (22) | : | |
| | | | | Vyara, Mahuva, Valod, Nizar, Songadh, Mandvi, Uchchhal, Mangrol, Bardoli, Palsana, Umarpada | | | |
| | | | | Valsad | (24) | : | |
| | | | | Dharampur, Kaprada, Umbergaon, Pardi,Valsad | | | |
| | | | | Navsari | (23) | : | |
| | | | | Chikhli, Bansoda | | | |
| | | | | The Dangs | (25) | | |
| | | | | Whole District | | | |
| 19. | | 072 | Plains Northern | Sabar Kantha | (12) | : | |
| | | | | Prantij, Modasa, Malpur, Himatnagar, Bayad, Idar, Vadali, Dhansura, Talod | | | |
| | | | | Patan | (10) | : | |
| | | | | Patan, Siddhpur Vagdod, Unjha | | | |

| srl. no. | state/u.t. (code) | SR | detailed composition of region | | | | |
|---|---|---|---|---|---|---|---|
| | | | Description | name of district | Code | name of district | Code |

| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) |
|---|---|---|---|---|---|---|---|
| 19. | Gujarat (07) | | | Mahesana<br>Mahesana, Kadi, Gozaria, Vadnagar, Bechraji, Satlasana Kheralu, Kalol Visnagar, Vijapur | (11) | | |
| | | | | Gandhinagar<br>Gandhi Nagar, Dehgam, Mansa | (13) | : | |
| | | | | Ahmedabad<br>Ahmedabad, Daskori, Dholka, Bavla, Ranpur, Dhandhuka, Barwala, Sanand, Viramgam, Mandal Rampura, Detroj | (12) | : | |
| | | | | Nadiad<br>Khedia, Matar, Kathlal, Mehemdabad, Virpur, Kapadwanj, Bala, Sinor, Thasra, Mahudha, Nadiad | (15) | | |
| | | | | Anand<br>Anand, Umereth,Petad Sojitra, Borsad, Anklay, Khambhat, Tarapur | (16) | | |
| 20. | | 073 | Plains Southern | Godhra<br>Halol, Kalol, Godhra, Shehera, Lunawada, Khanpur, Morva, Haraf, Ghoghamba, Jambughoda | (17) | | |

| 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) | | | Vadodara<br>Vadodara, Savli, Dabhoi, Karjan, Padra, Sinor, | (19) | | |

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

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

* not yet covered by NSS

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

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

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

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

| Srl. No. | state/u.t. (code) | SR | detailed composition of region | | | | |
|---|---|---|---|---|---|---|---|
| | | | description | name of district | code | Name of district | Code |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) |
| 69. | Tripura (24) | 241 | Tripura | West Tripura | (01) | South Tripura | (03) |
| | | | | North Tripura | (02) | Dhalai | (04) |
| 70. | Uttaranchal (36) | 361 | Uttaranchal | Uttar Kashi | (01) | Nainital | (08) |
| | | | | Chamoli | (02) | Hardwar | (13) |
| | | | | Tehri Garhwal | (03) | Udhamsingh ng. | (68) |
| | | | | Dehra Dun | (04) | Bageshwar | (78) |
| | | | | Garhwal | (05) | Champavat | (79) |
| | | | | Pithoragarh | (06) | Rudraprayag | (83) |
| | | | | Almora | (07) | | |
| 71. | Uttar Pradesh (25) | 251 | Western | Bijnor | (09) | Etah | (22) |
| | | | | Moradabad | (10) | Mainpuri | (23) |
| | | | | Rampur | (11) | Budaun | (24) |
| | | | | Saharanpur | (12) | Pilibhit | (26) |
| | | | | Bareilly | (25) | Shahjahanpur | (27) |
| | | | | Muzaffarnagar | (14) | Farrukhabad | (34) |
| | | | | Meerut | (15) | Etawah | (35) |
| | | | | Ghaziabad | (16) | M J Phule Nagar | (70) |
| | | | | Bulandshahr | (17) | G Buddha Nagar | (71) |
| | | | | Aligarh | (18) | Hathras | (72) |
| | | | | Mathura | (19) | Baghpat | (80) |
| | | | | Agra | (20) | Kannauj | (81) |
| | | | | Firozabad | (21) | Auraiya | (82) |
| 72. | | 252 | Central | Kheri | (28) | Kanpur Dehat | (36) |
| | | | | Sitapur | (29) | Kanpur Nagar | (37) |
| | | | | Hardoi | (30) | Banda | (42) |
| | | | | Unnao | (31) | Fatehpur | (43) |
| | | | | Lucknow | (32) | Barabanki | (48) |
| | | | | Rai Bareli | (33) | C S M Nagar | (73) |
| 73. | | 253 | Eastern | Pratapgarh | (44) | Ballia | (59) |
| | | | | Allahabad | (45) | Ghazipur | (60) |
| | | | | Bahraich | (46) | Varanashi | (61) |
| | | | | Gonda | (47) | Mirzapur | (62) |
| | | | | Faizabad | (49) | Shonbhodra | (63) |
| | | | | Sultanpur | (50) | Bhadohi | (64) |
| | | | | Sidhartha nagar | (51) | Kushi Nagar | (65) |
| | | | | Maharajganj | (52) | Ambedkar Nag. | (67) |
| | | | | Basti | (53) | Kausambi | (69) |
| | | | | Gorakhpur | (54) | Chandaoli | (74) |
| | | | | Deveria | (55) | Shravasthi | (75) |
| | | | | Mau | (56) | Balrampur | (76) |
| | | | | Azamgarh | (57) | S Kabirnagar | (77) |
| | | | | Jaunpur | (58) | | |

| 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) |
| 74. | Uttar Pradesh (25) | 254 | Southern | Jalaun | (38) | Hamirpur | (41) |
| | | | | Jhansi | (39) | Banda | (42) |
| | | | | Lalitpur | (40) | Chitrakut | (66) |
| 75. | West Bengal (26) | 261 | Himalayan | Coochbehar | (01) | Darjeeling | (03) |
| | | | | Jalpaiguri | (02) | | |
| 76. | | 262 | Eastern Plains | Dakshin Dinajpur | (04) | Nadia | (07) |
| | | | | Maldah | (05) | Birbhum | (17) |
| | | | | Murshidabad | (06) | Uttar Dinajpur | (18) |
| 77. | | 263 | Central Plains | 24-Parganas (North) | (08) | Hooghly | (12) |
| | | | | | | Burdwan | (16) |
| | | | | Calcutta | (10) | 24-Parganas (South) | (09) |
| | | | | Howrah | (11) | | |
| 78. | | 264 | Western Plains | Midnapur | (13) | Puruliya | (15) |
| | | | | Bankura | (14) | | |

# APPENDIX – III

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

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

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

# APPENDIX - IV

## Sample Design of NSS 57th round

**General**

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

**Sample Design**

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

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

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

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

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

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

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

(i) towns with population (P) less than or equal to 10 lakhs and

(ii) each town with P > 10 lakhs.

as per Population Census 1991.

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

4. *Sub-stratification*

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

sub-stratum 1: all FSUs having at least one establishment (i.e. enterprise with at least one hired worker) of Storage and Warehousing.

sub-stratum 2: all FSUs, excluding those in the already formed sub-stratum 1, having at least one establishment of Hotel.

sub-stratum 3: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Post and Telecommunications

sub-stratum 4: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Mechanized road transport .

sub-stratum 5: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Real Estate, Renting & Business Activities (i.e. Tabulation category K of NIC '98).

sub-stratum 6: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Health & Social Work (i.e. Tabulation category N of NIC '98).

sub-stratum 7: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Restaurant.

sub-stratum 8: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Education (i.e. Tabulation category M of NIC '98).

sub-stratum 9: all FSUs, excluding those in the already formed sub-strata, having at least one establishment of Other Community, Social and Personal Service Activities (i.e. Tabulation category O of NIC '98) & other transport.

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

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

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

5.*Total sample size (FSUs)*

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

6. *Allocation of total sample to States and UTs*

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

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

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

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

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

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

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

9. *Selection of FSUs*

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

10. *Treatment of common samples (FSUs)*

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

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

# STCODES

LIST OF STATES-CODES FOR VARIOUS NSS ROUNDS

| Srl. No. | States/UT's | upto 43rd | 44th to 48th | 49th to 56th | 57th Round |
|---|---|---|---|---|---|
| 1. | Andhra Pradesh | 02 | 02 | 02 | 28 |
| 2. | Assam | 03 | 03 | 04 | 18 |
| 3. | Bihar | 04 | 04 | 05 | 10 |
| 4. | Gujarat | 05 | 05 | 07 | 24 |
| 5. | Haryana | 06 | 06 | 08 | 06 |
| 6. | Himachal Pradesh | 07 | 07 | 09 | 02 |
| 7. | Jammu & Kashmir | 08 | 08 | 10 | 01 |
| 8. | Karnataka | 09 | 09 | 11 | 29 |
| 9. | Kerala | 10 | 10 | 12 | 32 |
| 10. | Madhya Pradesh | 11 | 11 | 13 | 23 |
| 11. | Maharashtra | 12 | 12 | 14 | 27 |
| 12. | Manipur | 13 | 13 | 15 | 14 |
| 13. | Meghalaya | 14 | 14 | 16 | 17 |
| 14. | Nagaland | 15 | 15 | 18 | 13 |
| 15. | Orissa | 16 | 16 | 19 | 21 |
| 16. | Punjab | 17 | 17 | 20 | 03 |
| 17. | Rajasthan | 18 | 18 | 21 | 08 |
| 18. | Sikkim | 19 | 19 | 22 | 11 |
| 19. | Tamil Nadu | 20 | 20 | 23 | 33 |
| 20. | Tripura | 21 | 21 | 24 | 16 |
| 21. | Uttar Pradesh | 22 | 22 | 25 | 09 |
| 22. | West Bengal | 23 | 23 | 26 | 19 |
| 23. | A & N Islands | 24 | 24 | 27 | 35 |
| 24. | Arunachal Pradesh | 25 | 25 | 03 | 12 |
| 25. | Chandigarh | 26 | 26 | 28 | 04 |
| 26. | Dadra & Nagar Haveli | 27 | 27 | 29 | 26 |
| 27. | Delhi | 28 | 28 | 31 | 07 |
| 28. | Goa | 29** | 29 | 06 | 30 |
| 29. | Lakshdweep | 30 | 30 | 32 | 31 |
| 30. | Mizoram | 31 | 31 | 17 | 15 |
| 31. | Pondicherry | 32 | 32 | 33 | 34 |
| 32. | Daman & Diu | -- | 33 | 30 | 25 |
| 33. | Chattigarh | -- | -- | -- | 22 |
| 34. | Jharkhand | -- | -- | -- | 20 |
| 35. | Uttaranchal | -- | -- | -- | 05 |

** stands for Goa, Daman & Diu

Note: In NSS 57th Round, old state codes were followed in the field but new state codes were followed while processing the data.

**Annexure-II**

# ORGANISATION OF DATA FOR SCHEDULES 1.0 OF 57TH ROUND IN THE WORKFILES FOR TABULATION PURPOSE

**Schedule 1.0**

**Data contained in different blocks of schedule 1.0 for each household (SSU) are organized in two separate work files as detailed below**:

| Sl.No. | Sector | Workfile name | Number of records | Record Length (with newline) |
|---|---|---|---|---|
| 1 | Rural & Urban together | Whcc1.01.final | 420706 | 147 |
| 2 | Rural only | Whcc1.02r.final | 3411316 | 115 |
| 3 | Urban only | Whccl.02u.final | 5505216 | 115 |

Workfile name: Whcc1.01.final

This file contains person level records for each SSU. This means if there are 5 members in oneSSU (as reported in demographic block of schedule 1.0) then there will be 5 records for this SSU in this workfile. In each of these 5 records, person wise details are available from byte positions 107 to 146 for different persons and same household characteristics are available upto byte position 106.

Workfile name: Whccl..02r.final & Whccl.02u.final.

This file contains item level records for each SSU. This means if consumption of 100 items are reported in one household, then there will be 100 records available in this work file for this SSU, where each record gives details of one item in addition to household characteristics.

General

Each record contains sub-sample code both in byte positions 6 & 18. For sub-sample wise tabulation, code given in position 18 is to be used. For getting count of sample number of households for any parameter take count of only those records where sub-sample codes available in two places match.

Use of Multipliers

For generating sub-sample wise estimates

Actual multiplier = reported multiplier / 100.

For generating sub-sample combined estimates

Actual multiplier - reported multiplier / 100 if' NSC = NSS

reported multiplier / 200 if NSC > NSS

where NSS and NSC are sub-sample wise and combined Ns counts respectively.