

## Chapter One

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### 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 sixty-second round from 1<sup>st</sup> July, 2005. The survey will continue upto 30<sup>th</sup> June 2006.

1.0.2 Following the first Economic Census 1977, small establishments and enterprises not employing any hired worker [and henceforth called 'own account enterprises' (OAEs)] engaged in manufacturing and repairing activities were surveyed on sample basis in the thirty-third round of NSS during 1978-79.

1.0.3 As a follow-up to the second Economic Census 1980, own account enterprises and Non-directory Establishments (NDEs) engaged in manufacturing and repairing activities (i.e., OAMEs and NDMEs respectively) were surveyed in the fortieth and forty-fifth rounds of NSS during July 1984-June 1985 and July 1989-June 1990 respectively. The Directory Manufacturing Establishments (DMEs) were surveyed during October 1984-September 1985 and October 1989 to September 1990 respectively by a group of special staff (Assistant Superintendents only) of the Field Operations Division (FOD) of the NSSO under the technical direction of the CSO.

1.0.4 As a follow-up to the third Economic Census 1990, the first *integrated* survey on unorganised manufacturing and repairing enterprises covering OAMEs, NDMEs and DMEs was undertaken during the fifty-first round of NSS (July 1994-June 1995).

1.0.5 Following this, two other surveys were undertaken – (i) Special Enterprise Survey on enterprises in the unorganised sector during the period August 1998 to June 1999 and (ii) Informal sector enterprises as part of NSS 55<sup>th</sup> round during July 1999 to June 2000. Manufacturing sector was part of coverage in both these surveys.

As a follow up of fourth Economic Census 1998, survey of manufacturing enterprises in the unorganised sector was conducted in the 56<sup>th</sup> round of NSS during July 2000 to June 2001.

The 62<sup>nd</sup> round is basically a repetition of 56<sup>th</sup> round survey in terms of concepts and coverage.

#### 1.1 Outline of Survey Programme

1.1.1 **Subject Coverage:** The 62<sup>nd</sup> round (July 2005 - June 2006) of NSS is earmarked for survey on **unorganised** manufacturing enterprises under the two-digit codes 15 to 37 (Section 'D') of NIC-2004 and enterprises under cotton ginning, cleaning and baling (NIC-2004, code 01405); and annual survey of consumer expenditure and survey on employment – unemployment.

#### Section D: Manufacturing

<u>Division</u>	<u>Description</u>
15	Manufacture of Food Products and Beverages
16	Manufacture of Tobacco Products
17	Manufacture of Textiles
18	Manufacture of Wearing Apparel; Dressing and Dyeing of Fur
19	Tanning and Dressing of Leather; Manufacture of Luggage, Handbags, Saddlery, Harness and Footwear
20	Manufacture of Wood and of Products of Wood and Cork, Except Furniture; Manufacture of Articles of Straw and Plaiting Materials
21	Manufacture of Paper and Paper Products
22	Publishing, Printing and Reproduction of Recorded Media
23	Manufacture of Coke, Refined Petroleum Products and Nuclear Fuel
24	Manufacture of Chemicals and Chemical Products
25	Manufacture of Rubber and Plastics Products
26	Manufacture of Other Non-Metallic Mineral Products
27	Manufacture of Basic Metals
28	Manufacture of Fabricated Metal Products, Except Machinery and Equipment
29	Manufacture of Machinery and Equipment N.E.C.
30	Manufacture of Office, Accounting and Computing Machinery
31	Manufacture of Electrical Machinery and Apparatus N.E.C.
32	Manufacture of Radio, Television and Communication Equipment and Apparatus
33	Manufacture of Medical, Precision and Optical Instruments, Watches and Clocks
34	Manufacture of Motor Vehicles, Trailers and Semi-Trailers
35	Manufacture of Other Transport Equipment
36	Manufacture of Furniture; Manufacturing N.E.C.
37	Recycling

Thus survey on **unorganised** manufacturing enterprises will cover:

- (a) Manufacturing enterprises not registered under Sections 2m(i) and 2m(ii) of the Factories Act, 1948
- (b) Manufacturing enterprises registered under Section 85 of Factories Act, 1948
- (c) Non-ASI enterprises engaged in cotton ginning, cleaning and baling (NIC-2004, code 01405)
- (d) Non-ASI enterprises manufacturing bidi and cigar (those registered under bidi and cigar workers (condition of employment) Act, 1966 as well as those un-registered)

and will exclude:

- (a) Repairing enterprises not falling under Section 'D' of NIC- 2004
- (b) Departmental units such as Railway Workshops, RTC Workshops, Government Mint, Sanitary, Water supply, Gas, Storage, etc. in line with ASI coverage
- (c) Units covered under ASI
- (d) Public Sector Units

**1.1.2 Geographical coverage:** The survey will cover the whole of the Indian Union *except* (i) Leh (Ladakh) and Kargil districts of Jammu & Kashmir, (ii) interior villages of Nagaland situated beyond five kilometres 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:** The period of survey will be of one year duration starting on 1<sup>st</sup> July 2005 and ending on 30<sup>th</sup> June 2006. The survey period of this round will be divided into four sub-rounds of three months duration each as follows:

- sub-round 1 : July - September 2005
- sub-round 2 : October - December 2005
- sub-round 3 : January - March 2006
- sub-round 4 : April - June 2006

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

**1.1.4 Schedules of enquiry:** During this round, the following schedules of enquiry will be canvassed:

- Schedule 0.0 : list of households and non-agricultural enterprises
- Schedule 2.2 : manufacturing enterprises
- Schedule 1.0 : consumer expenditure
- Schedule 10 : employment and unemployment

**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 participating at least on an equal matching basis. The following is the matching pattern of the participating States/ UTs.

Nagaland (U)	: triple
J & K, Manipur & Delhi	: double
Goa, Maharashtra (U)	: one and half
Remaining States/ UTs	: equal

## 1.2 Contents of Volume I

1.2.0 The present volume contains five chapters. Chapter one, besides giving an overview of the whole survey operation, discusses the concepts and definitions of certain important technical terms to be used in the survey. It also describes in detail the sampling design and the procedure of selection of households adopted for this round. Instructions for filling in Schedule 0.0, Schedule 2.2, Schedule 1.0 and Schedule 10 are given in Chapters Two to Five respectively.

## 1.3 Sample Design

1.3.1 **Outline of sample design:** Two frames will be used for the 62<sup>nd</sup> round survey viz. List frame and Area frame.

1.3.2 **List frame:** This will be used only for urban sector. For unorganised manufacturing enterprises, a list of about 8000 big non-ASI manufacturing units in the urban sector prepared on the basis of the data of the census of manufacturing enterprises conducted by Development Commissioners of Small Scale Industries (DCSSI) in 2003 will be used as list frame.

The 'big' DCSSI units in the urban sector have been identified by the criteria given below:

- (1) From the list of registered SSI units, units not registered under sections 2m(i) or 2m(ii) of Factories Act, 1948 and belonging to NIC '98 codes 01405, 15 – 37 will be considered.
- (2) Out of the above units, the units whose gross value of output in 2001 is more than 6 times the average output (Rs. 14,32,314) of all urban SSI units will be separated out.
- (3) From the above units, those with 6 or more workers will be identified as the big units for list frame. About 8000 such units will constitute the list frame.

All these units in the list frame will be surveyed and there will not be any sampling for list frame. To avoid duplication, these units will be excluded from the list of enterprises in the area frame. There is no sub-round restriction for the list frame units.

**All the enterprises in the list frame are common to both central and state samples.**

1.3.3 **Area frame:** This will be adopted for both rural and urban sectors. The list of villages as per census 2001 (for Manipur, 1991 census, if 2001 census list is not available) will be used as frame for the rural sector and in the urban sector latest UFS blocks will be used as

frame. However, EC-98 will be used as frame for the 27 towns with population 10 lakhs or more (as per Census 2001).

A stratified multi-stage design has been adopted for the 62<sup>nd</sup> round survey. The first stage units (FSU) will be the 2001 census (for Manipur, 1991 census, if 2001 census list is not available) villages (Panchayat wards in case of Kerala) in the rural sector and Urban Frame Survey (UFS) blocks in the urban sector. The ultimate stage units (USU) will be households/unorganised-manufacturing enterprises (OAME/ NDME/ DMEs), in both the sectors. In the case of large villages/ blocks requiring hamlet-group (hg)/ sub-block (sb) formation, one intermediate stage will be the selection of two hgs/ sbs from each FSU.

**1.3.4 Stratification:** Within each district of a State/ UT, two basic strata will be formed:

i) rural stratum comprising of all rural areas of the district and (ii) urban stratum comprising of all the urban areas of the district. However, if there are one or more towns with population 10 lakhs or more as per population census 2001 in a district, each of them will also form a separate basic stratum and the remaining urban areas of the district will be considered as another basic stratum. There are 27 towns with population 10 lakhs or more at all-India level as per census 2001.

**1.3.5 Sub-stratification for area frame:**

**1.3.5.1 Rural sector:** Development Commissioner of Small Scale Industries (DCSSI) conducted a survey of all Small Scale Industries (SSI) units in 2003 covering all registered SSI units on a census basis and other SSI units on a sample basis. Nearly 8000 villages having a 'big' non-ASI registered SSI manufacturing unit as per DCSSI census have been identified by matching the identification particulars of census 2001 with those of DCSSI census.

'Big' DCSSI unit, on the basis of which villages have been identified, satisfy the conditions:

- (a) It is a registered SSI unit in rural area as per DCSSI census belonging to NIC '98 codes 01405, 15 – 37 and it is not registered under sections 2m(i) or 2m(ii) of Factories Act, 1948 and
- (b) It has 6 or more workers.

Some of these villages having 'bigger' non-ASI registered SSI manufacturing unit have been considered for a separate sub-stratum (to be termed as sub-stratum 1). The 'bigger' registered SSI units are those which, in addition to fulfilling the criteria (a) and (b) above, satisfy the criteria:

- (c) The SSI unit has gross value of output in 2001 more than the average output (Rs. 7,52,159) of rural SSI units identified in (a) and (b) above and
- (d) The SSI unit has 11 or more workers and
- (e) The output of the SSI unit has been continuously increasing over the last three years between 1999 and 2001.

Sub-stratum 1 villages have been identified at the State/ UT level after arranging the above villages in descending order of total of gross output of the bigger registered SSI units in the village during these three years and selecting the required number of them as per allocation from the top. The allocation of sub-stratum 1 villages in a State/ UT has been decided on the basis of total allocations of a State/ UT.

**The district having these villages will have sub-stratum 1. The total number of such sub-stratum 1 villages at all-India level is 462.**

Rest of the villages having 'big' non-ASI registered SSI manufacturing unit as per DCSSI census will form another sub-stratum (sub-stratum 2) within each district, wherever available.

1.3.5.1.1 Rural areas of each district will be divided into number of sub-strata as described below:

sub-stratum 1: The villages in the district which belong to the list of 462 villages will form sub-stratum 1.

sub-stratum 2: The villages in the district which are not in sub-stratum 1 but belong to the set of 8000 villages, will form sub-stratum 2.

sub-stratum 3, 4, 5, ... : Remaining FSUs of the district will be first arranged in ascending order of census 2001 population. Then  $n/2$  sub-strata,  $n$  being the stratum allocation excluding the allocations for sub-strata 1 & 2, will be formed in such a way that each sub-stratum has more or less equal population.

Sub-strata 1 & 2 will not be formed in Kerala. Also sub-strata 1/ sub-strata 2 will not be formed for some smaller States/ UTs.

#### 1.3.5.2 Urban sector:

(a) For the 27 cities where EC-98 frame will be used: Two sub-strata will be formed within each stratum based on EC-98 information as under:

sub-stratum 1: all FSUs (i.e. UFS blocks as per the EC-98) with at least one DME or NDME in the unorganised sector.

sub-stratum 2: remaining FSUs.

(b) For towns where latest phase of UFS will be used: Two sub-strata will be formed as follows:

sub-stratum 1: all FSUs (i.e. UFS blocks as per the latest UFS) identified as Industrial Area (IA) or Bazar Area (BA) or Slum Area (SA).

sub-stratum 2: remaining FSUs

**1.3.6 Total sample size:** 9728 FSUs for area frame and about 8000 manufacturing units for list frame have been allocated at all-India level for central sample on the basis of investigator strength. For state sample 10522 FSUs have been allocated for area frame.

**1.3.7 Allocation of samples to rural & urban sector:** The allocation between rural and urban sectors has been made in proportion to the number of unorganised non-agricultural workers as per EC-98.

**1.3.8 Allocation of total samples to States and UTs:** The total (all-India) rural/ urban sample size have been allocated to different States and UTs in proportion to unorganised non-agriculture workers as per EC-98 subject to the availability of investigators ensuring more or less uniform work-load.

The sample sizes by sector for each State/ UT are given in Table1 at the end of this chapter.

**1.3.9 Allocation to strata:** Within each sector of a State/ UT, the respective sample size will be allocated to the different strata in proportion to the stratum population as per census 2001.

**1.3.10 Allocation to sub-strata:**

**1.3.10.1 Rural sector:** 462 FSUs of sub-stratum 1 will be allocated in the districts where these FSUs are located. For each sub-stratum 2, maximum allocation will be 2 and a set of about 800 FSUs will be selected at all-India level. Minimum allocation for sub-stratum 3 and above will be 2.

**1.3.10.2 Urban sector:** For 27 million plus cities in the urban sector, stratum allocations will be distributed over the sub-strata in proportion to the number of non-agricultural workers in the unorganised sector as per EC '98. The number of workers will be taken as 1 for those blocks where there are no unorganised manufacturing enterprises. For other towns, stratum allocation will be divided among the sub-strata in proportion to number of FSUs in the sub-strata with double weightage to sub-stratum 1. Minimum sub-stratum allocation will be 2.

**1.3.11 Selection of FSUs:** Samples will be drawn in the form of two sub-samples in each stratum  $\times$  sub-stratum. However, all the FSUs of sub-stratum 1 in rural sector will be in sub-sample 1. Similarly, all list frame units in urban sector will be considered in sub-sample 1 only.

**All the FSUs of sub-stratum 1 in rural sector are common to both central and State samples.**

**1.3.11.1 Rural sector:**

- (a) sub-stratum 1: All 462 FSUs will be surveyed.
- (b) sub-stratum 2: FSUs will be selected with PPSWR where size will be number of non-ASI registered SSI DME units in the village.
- (c) sub-stratum 3, 4, 5, ....: FSUs will be selected by PPSWR with size as population as per census 2001.

### 1.3.11.2 Urban sector:

(a) **For 27 million plus cities:** FSUs will be selected by PPSWR with the *number of manufacturing workers* in the *unorganised sector as per EC '98* as size. However, some manufacturing enterprises have been found to have large number of workers as per EC-98 frame even though they are in the unorganised sector. Some adjustment to the size of workers for such enterprises may, therefore, be made before calculating the size of FSUs. For this purpose, any unorganised manufacturing enterprise having more than 200 workers may be deemed to have a size equal to 200. Enterprise sizes will thereafter be added up to get the FSU size and sub-stratum/ stratum size.

(b) **For other cities/ towns:** FSUs will be selected by SRSWOR.

**1.3.12 Formation of segment 9:** Segment 9 will be formed in the selected sample FSUs of rural sub-strata 1 & 2 of each stratum. It will comprise only the big non-ASI registered SSI manufacturing unit(s) in the village as per DCSSI census on the basis of which the villages have been identified. The names of such units in the selected sample FSUs will be supplied to field offices. If any such unit is found to be eligible for ASI, it will not be covered under segment 9. If there is a change in the status of the enterprise from DME to NDME or OAME, it will still be considered eligible enterprise belonging to segment 9. Only top 10 eligible enterprises in terms of number of workers will constitute segment 9.

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

**1.3.13.1 Proper identification of the FSU boundaries:** The first 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).

**1.3.13.2 Criterion for hamlet-group/ sub-block formation:** After identification of the FSU, it is to be determined whether listing will be done in the whole sample FSU or not. For this, approximate present population (P) and approximate total number of non-agricultural enterprises (E) for the whole FSU may be ascertained first from knowledgeable persons. Depending upon the values of 'P' and 'E', it will be divided into a suitable number (say, D) of 'hamlet-groups' in the rural sector and 'sub-blocks' in the urban sector as stated below.

population (P)	no. of hgs/ sbs to be formed	no. of non-agricultural enterprises (E)	no. of hgs/ sbs to be formed
less than 1200	1	less than 120	1
1200 - 1799	3	120 - 179	3

1800 - 2399	4	180 - 239	4
2400 - 2999	5	240 - 299	5
and so on	...	and so on	...

However, while considering enterprise criteria, segment 9 enterprises, if any, may be excluded i.e. the value of 'E' may be adjusted in respect of the number of enterprises in segment 9. For rural areas of Himachal Pradesh, Sikkim and Poonch, Rajouri, Udhampur, Doda districts of Jammu and Kashmir and Idukki district of Kerala, the number of hamlet-groups will be formed as follows.

approximate present population of the sample village	no. of hgs to be formed
less than 600 (no hamlet-groups)	1
600 to 899	3
900 to 1199	4
1200 to 1499	5
.....and so on	

For enterprise criterion, procedure will not be changed for the above areas.

The higher of the two values as per population and enterprise criteria will be accepted as the number of hgs/ sbs to be actually formed. Hamlet-groups/ sub-blocks may be formed by more or less equalizing population. Out of all hg's/ sb's formed in the FSU, two hg's/ sb's will be selected for listing in the following manner - one with the maximum number of DMEs (or with maximum number of NDME if there is no DME or with maximum number of OAMEs if there is no DME/ NDME in the FSU or with maximum percentage share of population if there is no manufacturing enterprise in the entire FSU) will always be selected and termed as **Segment 1**; one more hg/ sb will be selected *randomly* and termed as **Segment 2**.

**1.3.13.3 Formation of hamlet-groups/ sub-blocks:** In case hamlet-groups/ sub-blocks are to be formed in the sample FSU, the same should be done by more or less equalizing population (details are in Chapter Two). Note that while doing so, it is to be ensured that the hamlet-groups/ sub-blocks formed are clearly identifiable in terms of physical landmarks.

**1.3.13.4 Listing of households/ enterprises and formation of their frame:** Having determined the area(s) to be considered for listing, the next step is to list all the households and non-agricultural enterprises (NAEs) [including those found to be temporarily locked after ascertaining temporariness of locking of households/ NAEs through local enquiry]. Although all non-agricultural enterprises are to be listed, only the unorganised manufacturing enterprises under Industry Division 15 to 37 and NIC code 01405 (cotton ginning, cleaning and baling) as per NIC-2004 will be covered. Thus, manufacturing enterprise registered under Sec. 2m(i) & 2m(ii) of the Factories Act, 1948 or Bidi and Cigar

workers (conditions of employment) Act 1966 under the coverage of ASI or Govt. manufacturing enterprise/ PSU will not be considered for survey. Further, those manufacturing enterprise which 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 survey. Such enterprises will hereafter be referred to as '**eligible enterprises**'. Listing of households as well as eligible enterprises for the purpose of sample selection will be independent for segments 1 & 2.

#### **1.4 Formation of Second Stage Strata and allocation of households for schedule 1.0:**

All the households listed in the selected village/ block/ segments will be stratified into two second stage strata (SSS) on the basis of land possessed by household in rural areas and household MPCE in urban areas for schedule 1.0.

For rural sector, a cut-off point 'X' (in hectares) has been determined at State/ UT level from NSS 48<sup>th</sup> round data in such a way that top 20% of the rural households possessed land equal to or more than X. All the listed households possessing land less than X will be in SSS 1. Rest of the households will be in SSS 2.

Similarly, in the urban sector, a cut-off point 'A' (in Rs.) will be determined at State/ UT level from NSS 55<sup>th</sup> round data for **each NSS region** in such a way that top 20% of the households had MPCE equal to or more than 'A'. All the listed households with MPCE less than 'A' will be in SSS 1 while the rest of the households will be in SSS 2.

The values of X for each State/ UT and values of A for each NSS region have been given in Table 1 & 2 in Chapter two.

**The number of households to be surveyed for schedules 1.0 in each FSU is 4.** Composition of SSS with number of households to be surveyed for schedule 1.0 will be as follows:

SSS	composition of SSS	number of households to be surveyed for schedule 1.0	
		without hg/ sb formation	with hg/ sb formation (for each segment)
<b>rural</b>			
SSS 1:	households with land possessed < X	2	1
SSS 2:	other households	2	1
<b>urban</b>			
SSS 1:	households with MPCE < A	2	1
SSS 2:	other households	2	1

### 1.5 Formation of Second Stage Strata and allocation of households for schedule 10:

For rural sector in each selected village/ segments, three second stage strata (SSS) namely SSS 1, SSS 2 & SSS 3 will be formed and for urban sector in each selected block/ segments, two second stage strata (SSS) namely SSS 2 & SSS 3 will be formed for schedule 10. **The number of households to be surveyed for schedules 10 in each FSU is 8.** Composition of SSS with number of households to be surveyed for schedule 10 will be as follows:

<b>rural:</b>			
SSS	composition of SSS	number of households to be surveyed for schedule 10	
		without hg/ sb formation	with hg/ sb formation (for each segment)
SSS 1:	households with at least one member worked in any public work scheme during last 365 days.	2	1
SSS 2:	households with at least one member of age below 30 years with educational level secondary or above	2	1
SSS 3:	other households	4	2
<b>urban:</b>			
SSS	composition of SSS	number of households to be surveyed for schedule 10	
		without hg/ sb formation	with hg/ sb formation (for each segment)
SSS 2:	households with at least one member of age below 30 years with educational level secondary or above	4	2

SSS 3: other households

4

2

**1.6 Selection of households for Schedules 1.0 and 10:** From each SSS the sample households for both the schedules will be selected by SRSWOR. If a household is selected both for schedule 1.0 and schedule 10, only schedule 1.0 will be canvassed in that household and the household for schedule 10 will be replaced by next household in that particular SSS frame for schedule 10.

**1.7 Formation of Second Stage Strata and allocation of enterprises for schedule 2.2:**

All the eligible enterprises listed in the selected village/ block/ segments will be stratified into two broad second stage strata by enterprise type OAME and NDME/ DME. Each of these two broad second-stage strata will be divided into 3 second-stage strata by *Broad Manufacturing Group (BMG)* i.e. *BMG 1, BMG 2 & BMG 3*. Thus there will be a maximum of 6 second-stage strata [SSS 1: (OAME x BMG 1), SSS 2: (OAME x BMG 2), SSS 3: (OAME x BMG 3), SSS 4: (NDME/ DME x BMG 1), SSS 5: (NDME/ DME x BMG 2) and SSS 6: (NDME/ DME x BMG 3)] in each segment.

The three BMGs are to be formed after classifying the unorganized manufacturing enterprises as per NIC-2004 as follows:

BMG	NIC-2004 codes
1	15 to 20
2	23, 27, 30 to 35, 01405
3	rest of NIC codes under Section 'D'

The composition of SSS and number of enterprises to be surveyed for schedules 2.2 in each FSU will be as follows (excluding DMEs in segment 9).

enterprise type	BMG	SSS no.	number of enterprises to be surveyed for schedule 2.2	
			without hg/ sb formation	with hg/ sb formation (for each segment)
OAME	1	1	2	1
	2	2	2	1
	3	3	2	1
NDME/ DME	1	4	2	1
	2	5	2	1
	3	6	2	1

From each SSS the sample enterprises for schedule 2.2 will be selected by SRSWOR.

**1.8 Shortfall of enterprise to be compensated:** For schedule 2.2, shortfall of enterprises in the frame of any particular SSS will be compensated from the same SSS of the other segment or from the other SSS of the same or other segment where additional enterprise(s) are available. The procedure is as follows:

**step 1:** Allocate the required number of enterprises to each SSS wherever possible and identify the SSS having shortfall.

**step 2:** In case of hg/ sb formation, compensate from the same SSS of the other segment if available for all the SSS having shortfall. If the shortfall still remains identify the SSS having shortfall and go to Step 3.

**step 3:** Find the SSS where additional enterprises are available following the priority order of SSS 5, SSS 2, SSS 6, SSS 3, SSS 4 & SSS 1 and compensate.

The table given below will be useful for deciding the SSS from which the compensation is to be made.

SSS having shortfall Schedule 2.2	priority order of SSS for compensation
1	5, 2, 6, 3, 4
2	5, 6, 3, 4, 1
3	5, 2, 6, 4, 1
4	5, 2, 6, 3, 1
5	2, 6, 3, 4, 1
6	5, 2, 3, 4, 1

If there is hg/ sb formation, for each SSS as per priority order, compensation may be made from the segment where shortfall occurs, failing which from other segment and so on.

For example, if shortfall is in SSS 3 of segment 1, SSS 5 of segment 2 and SSS 6 of segment 1, details of step 2 & step 3 are given below.

**step 2:**

1. try to compensate the shortfall of SSS 3 of segment 1 from SSS 3 of segment 2
2. try to compensate the shortfall of SSS 5 of segment 2 from SSS 5 of segment 1
3. try to compensate the shortfall of SSS 6 of segment 1 from SSS 6 of segment 2

If the shortfall still remains in SSS 3 of segment 1,

**step 3:** try to compensate from SSS 5 of segment 1, failing which try from SSS 5 of segment 2. If the shortfall still remains then try from SSS 2 of segment 1, failing which try from SSS 2 of segment 2. If the shortfall still remains then try from SSS 6 of segment 1, failing which try from SSS 6 of segment 2 and so on.

Similarly, if shortfall still remains in SSS 5 of segment 2

**step 3:** try from SSS 2 of segment 2. If the shortfall still remains then try from SSS 2 of segment 1 and so on.

Similarly, if shortfall still remains in SSS 6 of segment 1 follow step 3 for SSS 6.

The resulting number of enterprises (e) for each SSS will be entered at the top of relevant column(s) of block 5b and also in col.(6) against the relevant SSS × segment of block 6 of schedule 0.0.

Some illustrations on compensation of shortfall are given after paragraph 1.9

**1.9 Shortfall of households to be compensated:** Both for schedule 1.0 and 10, shortfall of households in the frame of any particular SSS will be compensated from the same SSS of the other segment or from the other SSS of the same or other segment where additional household(s) are available. The procedure is as follows:

**step 1:** Allocate the required number of households to each SSS wherever possible and identify the SSS having shortfall.

**step 2:** In case of hg/ sb formation, compensate from the same SSS of the other segment if available for all the SSS having shortfall. If the shortfall still remains identify the SSS having shortfall and go to Step 3.

**step 3:** Find the SSS where additional households are available following the priority order of SSS 1, SSS 2, & SSS 3 and compensate.

The table given below will be useful for deciding the SSS from which the compensation is to be made.

**for rural:**

SSS having shortfall Schedule 10	priority order of SSS for compensation
1	2, 3
2	1, 3
3	1, 2

If there is hg/ sb formation, for each SSS as per priority order, compensation may be made from the segment where shortfall occurs, failing which from other segment and so on.

For example, if shortfall is in SSS 1 of segment 2 and SSS 3 of segment 1, details of step 2 & step 3 are given below.

**step 2:**

1. try to compensate the shortfall of SSS 1 of segment 2 from SSS 1 of segment 1
2. try to compensate the shortfall of SSS 3 of segment 1 from SSS 3 of segment 2

If the shortfall still remains in SSS 1 of segment 2

**step 3:** try to compensate from SSS 2 of segment 2, failing which try from SSS 2 of segment 1. If the shortfall still remains then try from SSS 3 of segment 2, failing which try from SSS 3 of segment 1.

Similarly, if shortfall still remains in SSS 3 of segment 1

**step 3:** try from SSS 1 of segment 1. If the shortfall still remains then try from SSS 1 of segment 2 and so on.

For schedules 10 (**urban**) the procedure will be same except that choice will be limited to SSS 2 and SSS 3 only.

For schedules 1.0 (rural and urban) the procedure will also be same except that choice will be limited to SSS 1 and SSS 2 only.

The resulting number of households (h) for each SSS will be entered at the top of relevant column(s) of block 5a and also in col.(6) against the relevant SSS × segment of block 7 of sch. 0.0.

Some illustrations on compensation of shortfall are given below:

*Example for Schedule 2.2*

FSU without hg/ sb formation

**Example 1**

SSS	E	Step 1	Step 3	e
1	10	2	1+1+2	6
2	2	2		2
3	0	0*		0
4	1	1*		1
5	3	2	1	3
6	0	0*		
total	16	7		12
shortfall	–	5	0	×

FSU with hg/ sb formation

**Example 2**

segment no.	SSS	E	Step 1	Step 2	Step 3	e
1	1	5	1		1	2
	2	2	1	1		2
	3	1	1			1
	4	3	1	1	1	3
	5	0	0*	*		0
	6	0	0*			0
	total	11	4	2	2	8
2	1	1	1			1
	2	0	0*			0
	3	1	1			1
	4	0	0*			0
	5	0	0*	*		0
	6	2	1	1		2
	total	4	3	1	0	4

total	15	7	3	2	12
shortfall	-	5	2	0	-

Example for Schedule 10:

FSU without hg/ sb formation

### Example 3

SSS	H	Step 1	Step 3	h
1	1	1*		1
2	2	2		2
3	47	4	1	5
total	50	7	1	8
shortfall	-	1	0	×

FSU with hg/ sb formation

### Example 4

segment no.	SSS	H	Step 1	Step 2	Step 3	h
1	1	0	0*	*		0
	2	2	1	1		2
	3	120	2		1	3
	total	122	3	1	1	5
2	1	0	0*	*		0
	2	0	0*			0
	3	130	2		1	3
	total	130	2		1	3
total		252	5	1	2	8
shortfall		-	3	2	0	-

\* indicates the SSS having shortfall

## 1.10 Concepts and Definitions:

1.10.0 Important concepts and definitions used in different schedules of this survey are explained below.

1.10.1 **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.

1.10.2 **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 or marriage to one another. The following cases are to be noted while determining the group of persons to be considered as households for the current survey:

(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) Under-trial 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 persons of the first category 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 the latter belong to the foreign national's household. If, however, a foreign national becomes an Indian citizen for all practical purposes, he/ she will be covered.

(v) Persons residing in barracks of military and paramilitary forces (like police, BSF etc.) will be kept outside the survey coverage for difficulty in conduct of survey therein. 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 persons staying in old age homes, the students staying in ashram/ hostels and the residential staff (other than monks/ nuns) of these 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.

**1.10.3 Household size:** The number of normally resident members of a household is its size. It will include temporary stay-aways (those whose total period of absence from the household is expected to be less than 6 months) but exclude temporary visitors and guests (expected total period of stay less than 6 months). 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.

**1.10.4 Pucca structure:** A pucca structure is one whose walls and roofs are made of pucca materials such as cement, concrete, oven burnt bricks, hollow cement/ ash bricks, stone, stone blocks, jack boards (cement plastered reeds), iron, zinc or other metal sheets, timber, tiles, slate, corrugated iron, asbestos cement sheet, veneer, plywood, artificial wood of synthetic material and poly vinyl chloride (PVC) material.

**1.10.5 Katcha structure:** A structure which has walls and roof made of non-pucca materials is regarded as a katcha structure. Non-pucca materials include unburnt bricks, bamboo, mud, grass, leaves, reeds, thatch, etc. Katcha structures can be of the following two types:

(a) **Unserviceable katcha structure** includes all structures with thatch walls and thatch roof i.e. walls made of grass, leaves, reeds, etc. and roof of a similar material and

(b) **Serviceable katcha structure** includes all katcha structures other than unserviceable katcha structures.

**1.10.6 Semi-pucca structure:** A structure which cannot be classified as a pucca or a katcha structure as per definition is a semi-pucca structure. Such a structure will have either the walls or the roof but not both, made of pucca materials.

**1.10.7 Dwelling unit:** It is the accommodation availed of by a household for its residential purpose. It may be an entire structure or a part thereof or consisting of more than one structure. There may be cases of more than one household occupying a single structure such as those living in independent flats or sharing a single housing unit, in which case, there will be as many dwelling units as the number of households sharing the structure. There may also be cases of one household occupying more than one structure (i.e. detached structures for sitting, sleeping, cooking, bathing etc) for its housing accommodation. In this case, all the structures together constitute a single dwelling unit. In general, a dwelling unit consists of living room, kitchen, store, bath, latrine, garage, open and closed veranda etc. A structure or a portion thereof used exclusively for non-residential purposes or let out to other households does not form part of the dwelling unit of the household under consideration. However, a portion of a structure used for both residential and non-residential purposes is treated as part of the dwelling unit except when the use of such portion for residential purpose is very nominal. The dwelling unit covers all pucca, semi-pucca and katcha structures used by a household. Households living more or less regularly under bridges, in pipes, under staircase, in purely temporary flimsy improvisations built by the road side (which are liable to be removed at any moment) etc., are considered to have no dwelling.

**1.10.8 Independent house:** An independent house is one which has a separate structure and entrance with self-contained arrangements. In other words, if the dwelling unit and the entire structure of the house are physically the same, it should be considered as an independent house. In some parts, particularly in rural areas, two or more structures together may

constitute a single housing unit. While the main residence may be in one of the structures, the other structures may be used for sleeping, sitting and for store, bath etc. In all such cases, all the structures together will form a single housing unit and will be treated as an independent house.

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

**1.10.10 Land possessed:** The area of land possessed will include land 'owned', 'leased in' and 'land neither owned nor leased in' (i.e. encroached) by the household but exclude land 'leased out'. The total land area possessed by the household as on the date of survey is taken into account. A piece of land is considered to be owned by the household if permanent heritable possession with or without the right to transfer the title vests in a member or members of the household. Land held in owner-like possession say, under perpetual lease, hereditary tenure, long-term lease for 30 years or more, etc., will also be considered as land owned. For a piece of land under the possession of the household, if the household lacks title of ownership and also does not have lease agreement for the use of land transacted, either verbally or in writing, such land will be considered as 'neither owned nor leased in'. In collecting information regarding land possessed, the actual position as obtained on the date of survey will be considered. It may be noted that the 'area of land possessed' to be recorded should not include the area of land owned, leased-in, etc. by the servants/ paying guests who are considered as normal members of the household.

**1.10.11 Household monthly per capita expenditure:** Household consumer expenditure is measured as the expenditure incurred by a household on domestic account during a specified period, called reference period. It also includes the imputed values of goods and services, which are not purchased but procured otherwise for consumption. In other words, it is the sum total of monetary values of all the items (i.e. goods and services) consumed by the household on domestic account during the reference period. The imputed rent of owner-occupied houses is excluded from consumption expenditure. Any expenditure incurred towards the productive enterprises of the households is also excluded from the household consumer expenditure. Monthly per capita expenditure (MPCE) is the household consumer expenditure over a period of 30 days divided by household size. A person's MPCE is understood as that of the household to which he/ she belongs.

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

A person rendering domestic service (like cleaning utensils, dusting and cleaning of rooms, washing linen, carrying water from outside, etc.) to a number of households during the daytime gets some food from each of the households he/ she serves. Although the quantum of food received from a single household may, by quantity, be far less than a full meal, the total quantity of food received from all the households taken together would often, if not more, be at least equivalent to a full meal. In this particular situation, the person will be considered to be consuming one meal every day under 'meal taken away from home'.

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

**1.10.13 P.D.S.:** This stands for Public Distribution System, which means the distribution of some essential commodities by the government at subsidised rates through ration shops, fair price shops and control shops. These shops may be owned by the government, local government, a government undertaking, the proprietor of a firm, co-operatives or private persons (individually or jointly) or other bodies like club, trust, etc. The following points may be noted while classifying a *purchase* as "PDS" or otherwise.

- "Super Bazaars" and co-operative stores will not generally be included under public distribution system. However, when these also sell rationed commodities at controlled prices against ration cards, they will be taken as ration shops for particular commodities.
- For kerosene, "PDS" will also include kerosene depots selling kerosene at controlled prices.
- Distribution of some controlled price commodities such as kerosene may in some areas be made without a system of presentation of ration card. Except in such situations, a purchase which is not made against a ration card will not qualify as a PDS purchase.
- A purchase will be considered as "PDS" irrespective of whether the household uses its own ration card or that of some other household.
- Purchase from PDS shops at prices higher than the PDS prices will also be considered as purchase from PDS as long as the price paid is perceptibly lower than the market price. (This is a departure from the practice followed in earlier rounds.)

**1.10.14 Economic activity:** The entire spectrum of human activity falls into two categories: economic activity and non-economic activity. Any activity that results in production of goods and services that adds value to national product is considered as an economic activity. 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. Such activities include production of all goods and services for market including those of government services, etc. Non-market activities are those involving the production of primary commodities for own consumption and own account production of fixed assets.

The full spectrum of economic activities as defined in the UN System of National Accounts is not covered in the definition adopted for the Employment and Unemployment surveys of NSSO. Production of any good for own consumption is considered as economic activity by UN System of National Accounts but production of only primary goods is considered as

economic activity by NSSO. While the former includes activities like own account processing of primary products among other things, in the NSS surveys, processing of primary products for own consumption is not considered as economic activity. However, it may be noted that 'production of agricultural goods for own consumption' covers all activities up to and including stages of thrashing and storing of produce, for own consumption, comes under the coverage of the economic activities of NSSO.

The term 'economic activity' in the Employment and Unemployment survey of NSSO in this round will include:

(i) all the market activities described above, i.e., the activities performed for pay or profit which result in production of goods and services for exchange,

(ii) of the non-market activities,

(a) all the activities relating to the primary sector (i.e. **industry Divisions 01 to 14 of NIC-2004**) which result in production (including free collection of uncultivated crops, forestry, firewood, hunting, fishing, mining, quarrying, etc.) of primary goods, including thrashing and storing of grains for own consumption.

and

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

It is to be noted that as in earlier rounds, the activities like prostitution, begging, etc., which may result in earnings, by convention, will not be considered as economic activities. In earlier rounds, activities under 'smuggling' were kept outside the economic activity. In assigning the activity status of an individual in the field, probing is perhaps not extended to ascertain whether the production of goods and services is carried out in the form of smuggling. Thus, in practice, production of goods and services in the form of smuggling have actually been considered as economic activity in NSS surveys. In view of this, activity status of a person may be judged irrespective of the situation whether such activity is carried out illegally in the form of smuggling or not.

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

(i) Working or being engaged in economic activity (work),

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

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

Activity statuses, as mentioned in (i) & (ii) above, are associated with 'being in labour force' and the last with 'not being in the labour force'. Within the labour force, activity status (i) is associated with 'employment' and that of (ii) with 'unemployment'. The three broad activity statuses have been further sub-divided into several detailed activity categories. These are stated below:

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

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

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

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

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

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

1.10.16 The various constituents of 'workers', 'unemployed', 'labour force', 'out of labour force' are as explained below:

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

(b) **Seeking or available for work (or unemployed):** Persons, who owing to lack of work, had not worked but either sought work through employment exchanges, intermediaries,

friends or relatives or by making applications to prospective employers or expressed their willingness or availability for work *under the prevailing condition of work and remuneration* are considered as those who are 'seeking or available for work' (or unemployed).

(c) **Labour force:** Persons who are either 'working' (or employed) or 'seeking or available for work' (or unemployed) during the reference period together constitute the labour force.

(d) **Out of labour force:** Persons who are neither 'working' and at the same time nor 'seeking or available for work' for various reasons during the reference period are considered to be 'out of labour force'. The persons under this category are students, those engaged in domestic duties, rentiers, pensioners, recipients of remittances, those living on alms, infirm or disabled persons, too young or too old persons, prostitutes, etc. and casual labourers not working due to sickness.

1.10.17 It may be noted that workers have been further categorized as *self-employed, regular salaried/ wage employee and casual wage labour*. These categories are defined in the following paragraphs.

1.10.18 **Self-employed:** Persons who operate their own farm or non-farm enterprises or are engaged independently in a profession or trade on own-account or with one or a few partners are self-employed in household enterprises. The essential feature of the self-employed is that they have *autonomy* (i.e., regarding how, where and when to produce) and *economic independence* (i.e., regarding market, scale of operation and money) for carrying out operation. The fee or remuneration received by them consists of two parts - the share of their labour and profit of the enterprise. In other words, their remuneration is determined wholly or mainly by sales or profits of the goods or services which are produced.

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

- (i) **own-account workers:** They are the self-employed who operate their enterprises on their own account or with one or a few partners and who during the reference period by and large, run their enterprise without hiring any labour. They may, however, have unpaid helpers to assist them in the activity of the enterprise.
- (ii) **employers:** The self-employed persons who work on their own account or with one or a few partners and by and large run their enterprise by hiring labour are the employers, and
- (iii) **helpers in household enterprise:** The helpers are a category of self-employed persons mostly family members who keep themselves engaged in their household enterprises, working full or part time and do not receive any regular salary or wages in return for the work performed. They do not run the household enterprise on their own but assist the related person living in the same household in running the household enterprise.

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

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

1.10.20 It may further be elaborated that the 'putting out' system prevalent in the production process in which a part of production which is 'put out' is performed in different household enterprises (and not at the employers establishment). For example, *bidi* rollers obtaining orders from a *bidi* manufacturer will be considered as home workers irrespective of whether or not they were supplied raw material (leaves, *masala*, etc.), equipment (scissors) and other means of production. The fee or remuneration received consists of two parts - the share of their labour and profit of the enterprise. In some cases, the payment may be based on piece rate. Similarly, a woman engaged in tailoring or embroidery work on order from a wholesaler, or making *pappad* on order from some particular unit/ contractor/ trader at her home will be treated as 'home worker'. On the other hand, if she does the work in the employers premises, she will be treated as *employee*. Again, if she is not undertaking these activities on orders from outside, but markets the products by herself/ other household members for profit, she will be considered as an own account worker, if of course, she does not employ any hired help more or less on a regular basis.

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

1.10.22 **Casual wage labour:** A person casually engaged in others farm or non-farm enterprises (both household and non-household) and getting in return wage according to the terms of the daily or periodic work contract is a casual wage labour. Usually, in the rural areas, a type of casual labourers can be seen who normally engage themselves in 'public works' activities. The concepts related to '*public works*' are discussed later in this chapter.

1.10.23 **Different approaches for determining activity status:** The persons surveyed are to be classified into various activity categories on the basis of activities pursued by them during certain specified reference periods. There are three reference periods for this survey viz. (i) one year, (ii) one week and (iii) each day of the reference week. Based on these three periods, three different measures of activity status are arrived at. These are termed respectively as usual status, current weekly status and current daily status. The activity status determined on the basis of the reference period of 1 year is known as the usual activity status of a person, that determined on the basis of a reference period of 1 week is known as the current weekly status (cws) of the person and the activity status determined on the basis of a reference period of 1 day is known as the current daily status (cds) of the person.

1.10.24 Identification of each individual into a unique situation poses a problem when more than one of three types of broad activity status viz. 'employed', 'unemployed' and 'not in labour force' is concurrently obtained for a person. In such an eventuality, unique

identification under any one of the three broad activity status is done by adopting either the major time criterion or priority criterion. The former is used for classification of persons under 'usual activity status' and, the latter, for classification of persons under 'current activity status'. If, by adopting one of the two criteria mentioned above, a person categorised as engaged in economic activity is found to be pursuing more than one economic activity during the reference period, the appropriate detailed activity status category will relate to the activity in which relatively more time has been spent. Similar approach is adopted for non-economic activities also.

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

**1.10.26 Subsidiary economic activity status:** A person whose principal usual status is determined on the basis of the major time criterion may have pursued some economic activity **for 30 days or more** during the reference period of 365 days preceding the date of survey. The status in which such economic activity is pursued during the reference period of 365 days preceding the date of survey is the subsidiary economic activity status of the person. In case of multiple subsidiary economic activities, the major activity and status based on the relatively longer time spent criterion will be considered. It may be noted that engagement in work in subsidiary capacity may arise out of the two following situations:

- i) a person may be engaged in a relatively longer period during the 365 days in economic (non-economic activity) and for a relatively minor period, which is not less than 30 days, in another economic activity (any economic activity).
- (ii) a person may be pursuing an economic activity (non-economic activity) almost throughout the year in the principal status and also simultaneously pursuing another economic activity (any economic activity) for relatively shorter time in a subsidiary capacity. In such cases, since both the activities are being pursued throughout the year and hence the duration of both the activities are more than 30 days, the activity which is being pursued for a relatively shorter time will be considered as his/ her subsidiary activity.

**1.10.27 Current weekly activity status:** The current weekly activity status of a person is the activity status obtaining for a person during a reference period of 7 days preceding the date of survey. It is decided **on the basis of a certain priority cum major time criterion**. According to the priority criterion, the status of 'working' gets priority over the status of 'not

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

**1.10.28 Current daily activity status:** The activity pattern of the population, particularly in the unorganised sector, is such that during a week, and sometimes, even during a day, a person can pursue more than one activity. Moreover, many people can even undertake both economic and non-economic activities on the same day of a reference week. The current daily activity status for a person is determined on the basis of his/ her activity status on each day of the reference week **using a priority-cum-major time criterion** (day to day labour time disposition). The following points may be noted for determining the current daily status of a person:

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

one or two of the detailed non-economic activity status depending upon the activities pursued by him/ her during the reference day.

It may be noted that while assigning intensity, an intensity of 1.0 will be given against an activity which is done for 'full day' and 0.5, if it is done for 'half day'.

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

- i) The kind wages are evaluated at the current retail price.
- ii) Bonus (expected or paid) and perquisites evaluated at retail prices and duly apportioned for the reference week are also included in earnings.
- iii) For any economic activity, amount received or receivable as 'over-time' for the additional work done beyond normal working time is excluded.

**1.10.30 Household principal industry and occupation:** To determine the household principal industry and occupation, the general procedure to be followed is to list all the occupations pertaining to economic activities pursued by the members of the household excluding those employed by the household and paying guests (who in view of their staying and taking food in the household are considered as its normal members) during the one year period preceding the date of survey, no matter whether such occupations are pursued by the members in their principal or subsidiary (on the basis of earnings) capacity. Out of the occupations listed that one which fetched the maximum earnings to the household during the last 365 days preceding the date of survey would be considered as the principal household occupation. It is quite possible that one or more members of the household may pursue the household occupation in different industries. In such cases, the particular industry out of all the different industries corresponding to the principal occupation, which fetched the maximum earnings, should be considered as the principal industry of the household. In extreme cases, the earnings may be equal in two different occupations or industry-occupation combinations. By convention, in such cases, priority will be given to the occupation or industry-occupation combination of the senior-most member.

**1.10.31 Public works:** 'Public works' are those activities which are sponsored by Government or Local Bodies, and which cover local area development works like construction of roads, dams, bunds, digging of ponds, etc., as relief measures, or as an outcome of employment generation schemes under the poverty alleviation programme such as Employment Guarantee Scheme (EGS), Sampoorna Grameen Rozgar Yojana (SGRY), National Food for Work Programme (NFFWP), Indira Awaas Yojana (IAY), etc.

The coverage of schemes under 'public works' is restricted to those schemes through which the Government generates wage employment under poverty alleviation programme, or relief measures. It may be noted that the names of these schemes signify the Budget Heads under Plan from which funds are released for carrying out various 'types of works'. The types of works that are generally under taken through these schemes, are watershed development, drought proofing, land levelling, flood control, laying pipes or cables, sanitation, water

harvesting, irrigation canal, development of orchard, road construction, building construction / repair, running crèche, etc.

There may be some schemes sponsored by the Government and in operation, which are conceived as self-employment generation. Some such schemes of the Government are Swarnjayanti Gram Swarozgar Yojana (schemes under erstwhile IRDP merged with this), Rural Employment Generation Programme (REGP), Prime Minister's Rozgar Yojana (PMRY), Valmiki Ambedkar Awas Yojana (VAMBAY), etc. Employment generated through these schemes is not to be considered within the purview of 'public works'.

Sometimes, the Government may undertake various programmes, viz., Accelerated Rural Water Supply Programme (ARWSP), Rural Sanitation Programme (RSP), Drought Prone Areas Programme (DPAP), Desert Development Programme (DDP), Integrated Wastelands Development Programme (IWDP), Pradhan Mantri Gram Sadak Yojana (PMGSY), etc. The main objective of such programmes is on infrastructure development rather than poverty alleviation and generation of employment. Moreover, these programmes are executed as projects through contractors. Employment generated through these programmes, which are executed through contractors, is also kept outside the domain of 'public works'. However, if similar activities relating to rural water supply, rural sanitation, desert development, wastelands development, etc. are undertaken by the State Government or Local Bodies to provide wage employment and without employing any contractor for its execution, those are to be considered under 'public works'.

Classification of individuals as 'casual labour in *public works*' requires that the work in which they participate is '*public works*' as defined above. To distinguish between '*public works*' and works not classifiable as '*public works*', some broad characteristics of '*public work*' have been identified, viz. the primary objective is generation of wage employment and poverty alleviation, and creation of community asset as an outcome in achieving those main objectives. These features of public works along with the description of some wage employment generation schemes given above will be helpful in identification of '*public works*'.

A short description of the four schemes sponsored by the Central Government, which are in operation either in rural areas or in urban areas, is given below:

**1.10.31.1 Employment Guarantee Scheme (EGS):** This scheme aims at enhancement of livelihood security of the poor households of the country, by providing at least one hundred days of guaranteed wage employment, in every financial year, to every adult member (who has completed 18<sup>th</sup> year of age) of the households and who, by application, volunteers to do unskilled manual work. The poor households are those, which are living below the poverty line (BPL). If the applicant, who is from a poor household, is not provided with employment, as per provision of this scheme, he/she shall be entitled to a daily allowance. The focus of the programme shall be on work relating to water conservation, creation of additional irrigation potential through micro and mini irrigation, drought-proofing (including afforestation and tree plantation) and wasteland development. Flood control and protection works (including drainage in water logged areas), rural connectivity to provide all weather access and such other labour-intensive activities, as may be notified by the Central Government from time to time, may also be included under this programme. The EGS will come into force when the Employment Guarantee Act is enacted.

**1.10.31.2 Sampoorna Grameen Rozgar Yojana (SGRY):** The primary objective of the Sampoorna Grameen Rozgar Yojana (SGRY) is to provide additional wage employment in all rural areas and thereby ensure food security and improve nutritional levels. The secondary objective is the creation of durable assets and infrastructural development in rural areas. This scheme was announced by the Prime Minister on 15.8.2001 and launched in September 2001. The schemes of Jawahar Gram Samridhi Yojana (JGSY), Employment Assurance Scheme (EAS) have been merged under this programme w.e.f. 1.4.2002. The SGRY is open to all rural poor who are in need of wage employment and desire to do manual and unskilled work in and around the village/habitat. The programme is self-targeting in nature. While providing wage employment preference is given to agricultural wage earners, non-agricultural unskilled wage earners, marginal farmers, women, members of Scheduled Castes/ Scheduled Tribes, parents of child labour withdrawn from hazardous occupations, parents of handicapped children or adults with handicapped parents. The programme is implemented through the Panchayati Raj Institutions (PRIs). Thirty percent of employment opportunities are reserved for women under the programme. Around Rs. 10,000 crore are spent on the programme every year.

The programme is implemented on cost sharing ratio of 75:25 between the Centre and the States for the cash component of the programme. However, foodgrains under the programme are provided to the States free of cost.

Five per cent of the funds and foodgrains under SGRY are retained in the Ministry of Rural Development for utilization in areas of acute distress arising out of natural calamities or by taking up preventive measures in the chronically drought or flood affected areas. In addition, a certain percentage of the allotted foodgrains under the SGRY is reserved for the Special Component to be used in any Central or State Government scheme with wage employment potential to meet exigencies arising out of any natural calamity. The remaining funds and foodgrains under SGRY are distributed among the Zila Parishad, Intermediate Panchayats and Village Panchayat in the ratio of 20:30:50.

Wages under the programme are paid partly in the form of foodgrains and partly in cash. The States and UTs are free to calculate the cost of foodgrains paid as part of wages, at a uniform rate, which may be either BPL rate or APL rate, or anywhere between the two rates. The workers are paid the balance of wages in cash so that they are assured of the notified minimum wages.

Under the programme, priority is given to works of soil and moisture conservation, minor irrigation, rejuvenation of drinking water resources and augmentation of ground water, traditional water harvesting structures, desiltation of village tanks/ ponds, durable assets such as schools, kitchen sheds for schools, dispensaries, community centers, and Panchayat Ghars. Development of Haats, which are labour intensive, is also to be given priority. The size, cost and nature of the work should be such that they may be completed within a period of one year and in exceptional situations within a maximum period of two years.

**1.10.31.3 National Food for Work Programme (NFFWP):** The National Food for Work Programme (NFFWP) is being implemented in 150 most backward districts of the country from November, 2004. The objective of the programme is to provide additional resources to 150 most backward districts of the country so that generation of supplementary wage

employment and provision of food security through creation of need based economic, social and community assets in these districts is further intensified. Foodgrains are provided to the States free of cost. Works are taken up under the programme in accordance with the Five Year Perspective Plan. The Collector is responsible for preparation of the Perspective Plan and for programme implementation.

**1.10.31.4 Indira Awaas Yojana (IAY):** The objective of IAY is to provide dwelling units free of cost to the Scheduled Castes (SCs) and Scheduled Tribes (STs) and freed bonded labour and non-SCs/STs living below poverty line in rural areas. From 1995-96, the IAY benefits have been extended to the widows or next of kin of defence personnel killed in action. Benefits have also been extended to ex-servicemen and retired members of para military forces as long as they fulfil the normal eligibility condition of IAY. Three per cent of funds are reserved for benefit of disabled below the poverty line in rural areas. However, the benefit to non-SCs and STs shall not be more than 40% of IAY allocation. Rural poor living below the poverty line are provided assistance of Rs. 25000/- in plain areas and Rs. 27500 in the hilly/ difficult areas for construction of house. It is funded on cost sharing ratio of 75:25 between Central Government and States. About 15 lakh houses are constructed annually with a plan expenditure of Rs. 1900 crore.

From the year 1999-2000, 20% of the total funds allocated under IAY are being utilized for the conversion of unserviceable kutchha houses into pucca/ semi-pucca houses of the BPL rural households. A maximum assistance of Rs.12,500/- per unit is being provided under the upgradation component.

The above four schemes, viz., EGS, SGRY, NFFWP, IAY are sponsored by the Central Government for generation of wage employment. These apart, there may be similar schemes sponsored by the State Government or Local Bodies to provide wage employment, which are also to be considered under 'public works'.

**1.10.32 Midday Meal:** A large number of children between the ages of 5 and 14 are victims of malnutrition, associated with food shortages, population expansion, lack of suitable food substitutes, poverty, ignorance, traditional beliefs and customs. The midday meal scheme was launched to lower the widespread incidence of malnutrition, primarily among children of poor families, and to increase their access to education. The scheme was aimed at boosting primary school attendance, by allowing children of parents living below subsistence levels to attain basic literacy levels instead of being pushed into the workforce at an early age.

**1.10.33 Antodaya:** Under this scheme, the 1 crore poorest families among the BPL families covered under the Targeted Public Distribution System are identified and 25 kg of foodgrain are made available to each eligible family at a highly subsidised rate of Rs. 2 per kg for wheat and Rs. 3 per kg for rice.

**1.10.34 Education Guarantee Scheme (EGS) and Alternative & Innovative Education (AIE):** EGS & AIE support the following three broad kinds of strategies:

- (a) Setting up schools in the school-less habitations.
- (b) Intervention of mainstreaming of 'out of school' children, viz., bridge courses, back to school camps, etc.
- (c) Strategies for very specific, difficult groups of children who cannot be mainstreamed.

Strategy under (a) above refers to as the EGS component of EGS & AIE scheme and strategies under (b) and (c) above together refer to as AIE component of the EGS & AIE scheme.

EGS aims at setting up schools in the school-less habitations where no school exists within a radius of 1 km and at least 15 children in the age group 6-14 years who are not going to schools, are available. In exceptional cases, e.g., for remote habitations in hilly areas for Jammu and Kashmir and part of North-Eastern region, EGS schools could be supported even for 10 children. It may be noted that EGS & AIE is applicable throughout the country and not limited to the educationally backward states covered under the scheme of Non-formal Education (NFE). Such schools are in operation under various names in different states, as for example, 'Sishu Siksha Karmasuchi' in West Bengal, 'Bastishala' in Maharashtra, 'Rajiv Gandhi Swaran Jayanti Pathshala' in Rajasthan., 'Maabadi' in Andhra Pradesh. For the purpose of our survey, an individual who is attending or has become literate through schools under EGS & AIE scheme will be considered under the coverage of EGS.

**1.10.35 Vocational Training:** A vocational training may broadly be defined as a training, which prepares an individual for a specific vocation or occupation. The main objective of vocational education and training is to prepare persons, especially the youth, for the world of work and make them employable for a broad range of occupations in various industries and other economic sectors. It aims at imparting training to persons in very **specific fields** through providing significant '**hands on**' experience in acquiring necessary skill, which will make them employable or create for them opportunities of self-employment. Thus, the essential feature of the vocational training is that it lays more emphasis on development of skill in a specific vocation or trade rather than building knowledge. A person having acquired degree in engineering, medicine, agriculture and business administration will not be covered under vocational training. However, graduates in vocational courses will be covered under vocational training.

**1.10.36 Formal Vocational Training:** The vocational training that takes place in education and training institutions which follow a structured training programme and lead to recognised certificates, diplomas or degrees, will be treated as formal one. But when the vocational training neither follows a structured programme nor the training lead to recognised certificates, diplomas or degrees, those training programmes will be treated as non-formal vocational training. For the purpose of survey, formal vocational training will have the following characteristics:

- i) structured training programme towards a particular skill,
- ii) certificate/ diploma/ degree received should have a recognition by State/ Central Government, Public Sector and other reputed concerns,

By structured training programme, it is meant that:

- (a) the training programme should have a definite title with prescribed syllabus and curriculum and a specified duration of the training, and
- (b) the training should have some entry level eligibility in terms of education and age.

Examples of some formal vocational trainings are: Advance Welding, Fitter, Book Binder, Carpentry, Fashion Design, etc. Some sources from where formal vocational

training can be received are: Industrial Training Institutes (ITIs)/ Industrial Training centres (ITCs), School offering vocational courses (Secondary, Higher Secondary level), Polytechnics, Small Industries Service Institutes/ District Industries Centres/ Toll Room Centres, Recognised Motor Driving Schools, etc.

**1.10.37 Non-formal Vocational Training:** The expertise in a vocation or trade is sometimes acquired by the succeeding generations from the other members of the households, generally the ancestors, through gradual exposures to such works as are involved in carrying out the profession by their ancestors. The expertise gained through significant 'hands-on' experience enables the individual to take up activities in self-employment capacity or makes him employable. Acquiring such marketable expertise by one, which enables him/ her to carry out the trade or occupation of their ancestors over generations, may also be considered, for the purpose of survey, to have received 'non-formal' vocational training and that through 'hereditary' sources. Any other 'non-formal' vocational training received through some sources other than the household members to pursue a vocation that may either be hereditary or other profession, may be considered to have received the training through 'other' sources. The 'other' sources may also include the cases where the expertise for a vocation or trade has been developed even from the household members or ancestors, provided the said vocation or trade is different from the one relating to their ancestors. Thus a person may learn tailoring work from a master tailor or a person may learn book-binding work from a printing press. All such expertise will be considered to have received non-formal vocational training through 'other' sources. Mere possession of a skill, which neither creates opportunities for self-employment nor makes a person employable, will not be considered as having vocational training.

**1.10.38 Manufacture:** The term 'manufacture' is used to denote all activities relating to the transformation of materials. Thus all activities covered by Industry Divisions 15 to 37 of NIC- 2004 will be considered as 'manufacturing' for the purpose of the survey. In addition, the activity of cotton ginning, cleaning and baling ( NIC code 01405 ) will be covered in the present survey. It is important to note that production of goods for the sole purpose of domestic consumption will not be considered as manufacture.

*Only the unorganized part of this manufacturing sector will be covered in the present survey.*

**1.10.39 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.

**1.10.40 Non-agricultural enterprise:** All enterprises covered under Sections 'A' and 'B' of NIC-2004 are "agricultural enterprises" while the others covered under Sections 'C' to 'O' are "non-agricultural enterprises". The NIC-2004 booklet may be used for recording NIC codes in various schedules. *For the present round, non-agricultural enterprises under Section 'L' will be kept out of the purview of listing in sch. 0.0.* All other non-agricultural enterprises will be henceforth referred to as NAE for this survey.

**1.10.41 Unorganized manufacturing enterprises:** All manufacturing enterprises excluding those covered under the Annual Survey of Industries may be treated as *unorganized manufacturing enterprises for the present survey. This includes all non-ASI enterprises*

**manufacturing bidi and cigar (those registered under bidi and cigar workers (condition of employment) Act, 1966 as well as those un-registered) and all enterprises engaged in the activity of cotton ginning, cleaning and baling (NIC-2004 code 01405), not covered in ASI. Government and public sector manufacturing enterprises are excluded from the survey coverage.**

**1.10.42 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 that employment was for the major part of the period of operation(s) of the enterprise during the last 365 days.

**1.10.43 Establishment:** Enterprises which 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).

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

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

**1.10.44 Perennial enterprise:** Enterprises that are run more or less regularly throughout the year are called 'perennial enterprises'. An enterprise operating for the major part of a year and manufacturing different seasonal items during different months/seasons of the year will not be considered as a seasonal enterprise, if it does not keep separate accounts for these activities. For example, suppose an OAME manufacturing plastic goods made *pichkaris* during *holi* and plastic pitchers during rest of the year. If accounts are not separable, it will be considered as a single perennial enterprise. Again, suppose an OAME manufactured *agarbatti* during one season, fire-crackers during some other season and woollen clothes during a third season. The accounts for these activities are not separable. As the enterprise has run throughout the year, it will be considered as a perennial enterprise and not a seasonal one. Rice mills, etc. operating for major part of the reference year will be considered as a perennial enterprise and not a seasonal one.

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

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

**1.10.47 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.

1.10.48 **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 type of societies, institutions, associations, trusts, etc.

**Table 1: Allocation of sample villages and blocks for NSS 62<sup>nd</sup> round**

state/ u.t.	number of FSUs					
	central sample			state sample		
	total	rural	urban	total	rural	urban
(1)	(2)	(3)	(4)	(5)	(6)	(7)
ANDHRA PRADESH	672	376	296	672	376	296
ARUNACHAL PRADESH	96	72	24	96	72	24
ASSAM	352	240	112	352	240	112
BIHAR	504	304	200	504	304	200
CHHATTISGARH	136	72	64	136	72	64
GOA	40	16	24	56	20	36
GUJARAT	416	160	256	416	160	256
HARYANA	208	112	96	208	112	96
HIMACHAL PRADESH	216	144	72	216	144	72
JAMMU & KASHMIR	352	152	200	672	272	400
JHARKHAND	304	160	144	304	160	144
KARNATAKA	376	184	192	376	184	192
KERALA	376	240	136	376	240	136
MADHYA PRADESH	512	216	296	512	216	296
MAHARASHTRA	800	240	560	1080	240	840
MANIPUR	120	56	64	238	110	128
MEGHALAYA	96	56	40	96	56	40
MIZORAM	104	40	64	104	40	64
NAGALAND	80	48	32	144	48	96
ORISSA	352	216	136	352	216	136
PUNJAB	352	136	216	352	136	216
RAJASTHAN	448	200	248	448	200	248
SIKKIM	48	32	16	48	32	16
TAMIL NADU	672	304	368	672	304	368
TRIPURA	184	104	80	184	104	80
UTTAR PRADESH	960	384	576	960	384	576
UTTARANCHAL	96	56	40	96	56	40
WEST BENGAL	624	304	320	624	304	320
A & N ISLANDS	48	32	16	-	-	-
CHANDIGARH	20	4	16	20	4	16
D & N HAVELI	16	8	8	-	-	-
DAMAN & DIU	16	8	8	16	8	8
DELHI	80	8	72	160	16	144
LAKSHADWEEP	20	4	16	-	-	-
PONDICHERY	32	16	16	32	16	16
ALL- INDIA	9728	4704	5024	10522	4846	5676

## Chapter Two

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### 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, land possessed code, MPCE and some enterprise particulars like description of activity, number of hired and total workers, ownership particulars, duration of operation etc., are also collected. These auxiliary information will be used for arranging the households and grouping the enterprises into different enterprise type and different broad manufacturing groups. The sampling frames for selection of households / enterprises for each of the second-stage strata will be prepared and details of the selection of sample households / enterprises will be recorded in this schedule. Whenever hamlet-groups/sub-blocks are required to be formed, particulars relating to the formation and selection of hamlet-groups/sub-blocks are also to be recorded in this schedule. Concepts and definitions of various items are given in Chapter One.

**2.0.1 Unit of survey and sampling frame:** The first stage unit (FSU) is the 2001 census village [panchayat ward for Kerala] in the rural sector. FSU in the urban sector is the Urban Frame Survey (UFS) block. The list of UFS blocks as per EC '98 has been considered as sampling frame for selection of sample blocks in 27 million plus cities. Latest list of UFS blocks will be used for selection of urban samples in other cities and towns. *Towns may, therefore, belong to different phases of UFS. It is indicated in the sample list under the head "frame code" as to which particular UFS phase has been used as the sampling frame for selection of FSUs belonging to a city/town.* The investigator, on arrival at a sample village (or panchayat ward for Kerala)/UFS block (hereinafter called block) will ascertain the exact boundaries of the sample FSU. This may be done with the help of the village officials like patwari, panchayat authorities etc. for rural areas and with the help of UFS maps / ward maps in the urban areas. If it is found that the selected village has been split into two or more villages then the original village as per census 2001 will be identified and surveyed.

**2.0.2 Formation of segment 9:** This will be formed only in the sample FSUs of sub-strata 1 and 2 in the rural sector. After ascertaining the boundaries of the sample FSU, all the DCSSI-listed non-ASI DMEs (i.e. manufacturing enterprises having 6 or more workers having at least one hired worker and registered with DCSSI) will be listed in block 2 of schedule 0.0. This will constitute *segment 9* of the FSU. The list of such enterprises will be supplied by SDRD. Even if such an enterprise is not a DME at the time of survey, it will be listed. Segment 9 will be formed in the sample FSU irrespective of hg formation. For the FSUs without hg formation, listing of enterprises for segment 9 in block 2 and the listing of enterprises in block 5a may be done simultaneously. For the FSUs requiring hg 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 5a, these DCSSI-listed units are not to be included again.* Further details are given in para 2.2.

**2.0.3 Formation of hamlet-groups / segments and their selection:** With a view to controlling the workload mainly at the stage of listing of households/enterprises, hamlet-group selection will be resorted to in the 'large' villages. A large village will be divided into a certain number (D) of sub-divisions called hamlet-groups. The number of hamlet-groups to be formed (i.e. the value of D) will depend on the approximate present population of the sample FSU and/or the approximate number of non-agricultural enterprises found to exist in the sample village. The criteria for deciding the number of hamlet-groups to be formed in a large village have been discussed in detail in Chapter One. Out of all hg's/sb's formed in the FSU, two hg's/ sb's may be selected for listing in the following manner - one with the maximum number of DMEs (or with maximum number of NDMEs if there is no DME or with maximum number of OAMEs if there is no DME/NDME or with maximum percentage share of population if there is no manufacturing enterprise in the entire FSU) will always be selected and termed as **Segment 1**; one more hg/sb may be selected *randomly* and termed as **Segment 2**.

*Listing and selection of households/enterprises will be done independently in segments 9, 1 & 2. FSUs without hg/sb formation will not have segment 2.*

The procedure for listing hamlets 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.
- (iii) Draw a notional map in block 3 of schedule 0.0 showing the approximate location of the hamlets and number them in a serpentine order starting from the northwest corner and proceeding southwards. While drawing this map, uninhabited area (non-*abadi* area) of the village will be included as part of nearby hamlet, so that no area of the village is left out. The boundaries of the hamlets may be defined with the help of some landmarks like canals, footpaths, railway lines, roads, cadastral survey plot numbers etc., so that it would be possible to identify and locate the geographical boundaries of the hamlet-groups to be formed in the village.
- (iv) List the hamlets in block 4.1 of sch. 0.0 in the order of their numbering. Indicate the present population content in terms of percentages.
- (v) Group the hamlets into D hamlet-groups. *The criteria* to be adopted for hamlet-group formation are *equality of population content and geographical contiguity* (numbering of hamlets is not to be adopted as a guideline for grouping). *In case there is a conflict* between the two aspects, *geographical contiguity is to be given priority*. However, there should not be substantial difference between the population of the smallest and the largest hamlet-group formed. Indicate the grouping in the map.

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

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

As in the case of villages, for the sample blocks without sub-block formation entire block will be treated as *segment 1*. For large sample blocks *two segments* will be selected following the same criteria as in the case of large villages.

*Listing and selection of households/enterprises will be done separately and independently for each selected segment.*

**2.0.5 Starting point for listing:** After determining the area 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).

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

- Block 0: descriptive identification of sample village/ block
- Block 1: identification of sample village/ block
- Block 2: DCSSI-listed manufacturing enterprises (segment 9)
- Block 3: sketch map of hamlet-group (hg)/sub-block (sb) formation
- Block 4.1: list of hamlets (only for rural samples with hg formation)
- Block 4.2: list and selection of hamlet-group (hg's)/ sub-block (sb's)
- Block 5a: list of households & non-agricultural enterprises and selection of households (segment 1 / 2 )
- Block 5b: list of manufacturing enterprises (under section 'D') and selection (segment 1 / 2 )
- Block 6: particulars of sampling of enterprises (for schedule 2.2)
- Block 7: particulars of sampling of households (for schedule 1.0 and 10)

Block 8: particulars of field operations

Block 9: distance of the village from nearest facility

Block 10: particulars relating to public works programme in the village

Block 11: remarks by investigator / senior investigator

Block 12: comments by supervisory officer(s)

**2.0.7 Use of additional sheets of blocks 4.1, 4.2, 5a, 5b:** Whenever one schedule booklet is not adequate to list all the hamlets and hamlet-groups/sub-blocks (blocks 4.1, 4.2) or all the households / enterprises (blocks 2, 5a and 5b) of the sample FSU or hg/sb, additional sheets containing the relevant block(s) shall be used and tagged firmly to the main schedule.

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

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

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

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

### **Block 1: Identification of sample village/block**

**2.1.0 General:** This block is meant for recording the identification particulars of the sample FSU in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for items 2 & 3, the codes of which are already printed). Each cell (box space) is meant for recording only one digit of the entry. For multiple cells, the rightmost cell shall be used for recording the digit of the unit place, the next left cell for the tenth place digit and so on. *Items 1, 4 to 11, 13 and 14 shall be copied from the sample list.*

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

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

Rural: 1991 census – 08; 2001 census – 13.

Urban: 1982-87 UFS – 06, 1987-92 UFS – 07, 1992-97 UFS – 09, 1997-2002 UFS – 11, 2002-2007 UFS – 14.

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

2.1.4 **Item 15: approximate present population:** The investigator will first ascertain the approximate present population of the entire sample FSU taking into consideration the normal growth of population along with any abnormal influx of population into or exodus of population from the sample FSU. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions. The starting point can be 2001 census population. In the case of large difference with census population, it may be asked whether there has been any abnormal influx into or exodus from the FSU after the census or the village has been split or partly merged with other village/urban area. If so, the approximate increase or decrease of population due to such events or any new settlements that have come up in the FSU after the census is to be ascertained.

2.1.5 **Item 16 : Approximate no. of non-agricultural enterprises :** Approximate number of non-agricultural enterprises in the whole sample village/block, as ascertained by local enquiry from knowledgeable persons, may be recorded here.

2.1.6 **Item 17: total number of hg's/sb's formed (D):** The total number of hg's/sb's formed in the sample FSU will be the value of 'D' as recorded in block 4.2. If the sample FSU does not require any hg/sb formation, the entry against this item will be '1'.

2.1.7 **Item 18: Survey code:** The different survey codes are:

selected village/block has been surveyed:

inhabited .....	1
uninhabited .....	2
zero case .....	3

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

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

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

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

2.1.8 **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:

Sample village/block:

not identifiable/traceable.....	1
not accessible.....	2
restricted area (not permitted to survey) .....	3
others (specify).....	9

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

## **2.2 Block 2: DCSSI-listed manufacturing enterprises (segment 9) (for rural sub-strata 1 and 2 only)**

This block is meant for listing the bigger SSI enterprises located within each FSU as per DCSSI census, which are not under the coverage of ASI. The block will be filled-in only for FSUs belonging to rural sub-strata 1 & 2. These enterprises will be identified by SDRD from the DCSSI census (conducted in 2003) data by such criteria as having 6 or more workers, large gross value of output, etc. of the enterprise. The names of such SSI enterprises situated in the sample FSUs will be supplied to field offices. All these SSI units will be treated as forming a separate segment (*segment 9*) within the FSU. The field investigator will have to locate these enterprises. The SSI unit may not be located within the selected segments but in another hamlet/hg of the FSU. *Care may be taken not to miss these units.* It is therefore, necessary to identify and list these big units at the stage of forming hg in the FSU and record the house number, name, address in cols. (1) and (2) of block 2 without fail. 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. Although these enterprises are listed as DME as per DCSSI census, a few of them might have become an NDME or an OAME or might be under coverage of ASI at the time of survey. Even in this situation, all these enterprises will be listed irrespective of their present status.

An enterprise, which is not covered under ASI, operating at the address provided by SDRD will be considered in segment 9 even if there is a change in the status of the enterprise from DME to NDME or OAME. All the eligible enterprises belonging to segment 9 will be surveyed and no sampling of enterprises will be necessary for segment 9. However, if the number of such enterprises is found to be more than 10, only top 10 enterprises, in terms of total number of workers, will constitute segment 9. If, out of these 10 enterprises, one enterprise is not surveyed due to non-cooperation of the informant, then rest 9 enterprises will be surveyed.

*It is emphasised that if a DCSSI-listed enterprise 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 5a or 5b. Exception to this can happen only in the case of there being more than 10 eligible enterprises in segment 9 as described in the previous paragraph. For example, if there are 12 enterprises in the list supplied by SDRD, the largest 10 enterprises in terms of number of total workers will be considered for segment 9. Suppose the geographical locations of 2<sup>nd</sup> and 11<sup>th</sup> enterprise are in segment 2. Then*

*the 11<sup>th</sup> enterprise will be listed in segment 2 but the 2<sup>nd</sup> enterprise will be listed under segment 9. No enterprise will be common between segments 1, 2 & 9.*

Some of the columns of block 2 are same as some of the columns of block 5a and 5b. Columns 1, 2, 3, 4, 5 and 6 of block 2 correspond to the columns 1, 3, 19, 20, 21 and 22 of block 5a respectively. Similarly, columns 7, 8, 9, 10, 11 and 12 of block 2 will correspond to the columns 24, 25, 26, 27, 28 and 29 of block 5b respectively. Column headings are also same in both cases. Therefore, for the detailed procedure regarding filling-in the columns of block 2, descriptions for the corresponding columns given under blocks 5a and 5b may be referred to.

*In case there are more than 10 eligible enterprises in block 2, Columns (12), (13) and (14) will be filled-in for the top 10 enterprises only, in terms of number of workers.*

**Column (13): second stage stratum (SSS):** Second stage stratum (SSS) number corresponding to enterprise type × BMG will be recorded in this column. Six possible SSS are:

SSS	Enterprise type code	BMG code
1	1	1
2	1	2
3	1	3
4	2 or 3	1
5	2 or 3	2
6	2 or 3	3

Enterprise type codes are: OAME – 1, NDME – 2, DME – 3.

Broad Manufacturing Group (BMG) codes are:

NIC (15 to 20) – 1,

NIC (23, 27, 30 to 35) or NIC code 01405 (cotton ginning, cleaning and baling) – 2,

rest of NIC codes under section ‘D’ – 3.

**Column (14): enterprise number:** A running serial number starting from 1 will be given in this column against the eligible enterprises with an SSS number in column (13).

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

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

### 2.4.1 Block 4.1: List of hamlets (only for rural samples with hamlet-group formation)

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

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

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

2.4.2.0 **General**: This block is meant for recording the details of the hg/sb formation and their selection for FSUs requiring hg/sb formation (i.e. with  $D > 1$ ). Reference may be made to paragraphs 2.0.3 and 2.0.4 for the procedures of formation and numbering of hg's/sb's.

2.4.2.1 **Column (1): serial no. of hg/sb**: The hg's/sb's formed will be given a running serial number (starting from 1) in column (1) as per the guidelines given in paragraphs 2.0.3 and 2.0.4. The last serial number in this column will be the value of 'D' which is to be recorded against 'D' below the block heading.

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

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

2.4.2.4 **Column (4) – (5)**: Two hg's/sb's will be selected from the large FSU for the purpose of survey. The hg/sb for segment 1 will be selected purposively: the hg/sb with the maximum number of DMEs (or with maximum number of NDME if there is no DME or with maximum number of OAMEs if there is no DME/NDME or with maximum percentage share of population if there is no manufacturing enterprise in the entire FSU) will always be selected and termed as segment 1. Another hg/sb will be selected randomly and will be termed as segment 2.

2.4.2.4.1 **Column (4): sampling serial number for hg/sb**: Against the hg/sb chosen for segment 1, 0 will be entered in this column. Rest ( $D - 1$ ) hg/sb will be given a running serial number starting from 1 in this column.

2.4.2.4.2 **Column (5): segment number**: '1' will be entered in column (5) against this hg/sb number '0' in column (4). Then a random number, say R, between 1 and ( $D - 1$ ) will be drawn. Enter '2' in column (5) against the serial number in column (4), which is equal to R. This hg/sb will be termed as segment 2.

For all other hg's/sb's (except the two selected), column (5) may be left blank.

## 2.5 Blocks 5a and 5b

In these blocks, various information are to be given 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 village/block shall be given against segment number '1' in these blocks.*

**2.5a Block 5a: List of households and non-agricultural enterprises and selection of households (segment 1 / 2):**

2.5a.1 Listing of houses, households and non-agricultural enterprises (NAEs ) covered in the present survey (i.e. all non-agricultural enterprises excluding some as detailed in para 1.10.41 of Chapter One) will be done in this block. Collection of a few particulars for identification of unorganized manufacturing enterprises, preparation of sampling frame and selection of sample households (for sch. 1.0 and 10) - all these operations shall also be carried out in this block. *Listing of households / enterprises are to done separately for segment 1 and 2 for large FSU requiring hg/sb formation.*

2.5a.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/enterprises, as the case may be, before sample selection.* After obtaining as much details as possible from the neighbours 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 it can be ascertained from local enquiry that the NAE belongs to manufacturing sector as per NIC-2004. In order to ensure complete listing of houses/households/NAEs, it is, therefore, 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 names 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.

2.5a.3 *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 manufacture small toys, dolls, transistor/radios etc. inside a house not visible from outside. Secondly, the enterprise may not have physical existence at any fixed location; e.g. a hawker or a vendor selling his goods like vegetables, fruits, cloth, etc. without having any fixed premises. 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.

2.5a.4 *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 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 the location of the enterprise. After exhausting the resident households and all the different types of NAEs run by the household members 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 segment/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.

2.5a.5 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’, we mean that the entrepreneurial activity is carried out within some sort of permanent structure (refer to Para 2.5a.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 mixed activities or an entrepreneur pursuing multiple activities may be listed separately under respective NIC codes if separate accounts of employment, receipts, expenses, etc. for each such activity are available. Otherwise, it will be listed as one enterprise with NIC code corresponding to the *major* activity. By major activity, we mean the activity fetching maximum income to the enterprise during the last 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. On the other hand, an enterprise may be found which has shifted to the current location from another location within or outside the segment/FSU. In such cases, entire period of operation, considering both previous and current locations, will be taken into account for determining the eligibility.

2.5a.6 It may be noted that ‘cotton ginning, baling and cleaning etc.’ though classified under agriculture (code 01405) as per NIC-2004, will be covered in this round of survey under manufacturing. The enterprises falling under this code will be listed in block 5a / 5b. It may also be noted that NIC-2004 classifies ‘custom tailoring’ (code 18105) under manufacturing.

2.5a.7 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 vegetable/fish sellers carry out their activities in open space or under tents/shelters (having canvas/cloth on the top and tied/fixed with sticks on the corners). These enterprises will be listed not in the markets/'hats' but against the households of the owners where they reside.

(iii) 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.

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

(v) For mixed activities or the same activity being conducted in two different places, if the accounts, employment, etc. for various activities can be separated out, then each activity shall be separately listed. Otherwise, they should be listed under one major activity i.e. the one having major *income/turnover/employment in that order of preference*. To determine the appropriate NIC code for such enterprises, the major activity will be first determined at the two digit level of NIC on the basis of maximum income/turnover/employment. The exercise will then be repeated at the five-digit level of NIC to have the appropriate NIC 5-digit code to be recorded in schedule 2.2.

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

(vii) 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.

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

(ix) When a master weaver distributes yarn to weavers working at home according to his specifications, offers them credit facilities, etc. and pays them at agreed rates against delivery of woven cloth, he is treated as a manufacturer. Similar is the case of entrepreneur/master craftsman in bidi making, furniture making, etc. who procures orders, distributes raw materials to workers (who may work in their homes or elsewhere) and pays for the manufacturing services in piece rate or time rate. In all such cases, the master weaver/craftsman/entrepreneur will be treated as engaged in manufacturing activity. The persons who work for master weaver or under his patronage, may be either entrepreneurs in their own right i.e. self-employed persons or merely wage paid employees receiving remuneration for work done, either on time-rate or piece-rate basis. *This can be judged by studying the situation carefully*. Only when the persons working for the master craftsman are found to have tangible or intangible means of production and their

remuneration contains an element of profit in addition to labour compensation, they should be treated as constituting separate or independent household enterprises.

(x) 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.

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

2.5a.8 In sample villages/blocks with hamlet-group/sub-block formation, list of houses, households and NAEs will be recorded in separate pages of block 5a / 5b 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.

*First mark the segment number (1 or 2) in the heading of the block 5a/ 5b correctly and cross the one not applicable.*

Various columns of block 5a are described below:

**2.5a.9 Column (1): house number:** All houses including vacant ones shall be listed by giving a house number. The 2001 population census house number or the number given by the local panchayat, municipality or other local bodies, may be used if available. The houses without such numbers will be given a separate running serial number starting from 1 within brackets. Wherever house numbers are available, even if not for all the houses, the actual house numbers shall be recorded without any brackets. After listing all the households 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, 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 ‘-’ may be put in this column.

**2.5a.10 Column (2): household serial number:** The household(s) normally residing in the house or in a fixed location (e.g. under a tree/bridge/open space etc.) listed in column (1) will be numbered in column (2). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. 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 number for the enterprise will be given in col (19). In case of persons staying, say, in hostels and forming single member households, each of them will be listed in separate lines giving a household serial number. Continuous serial number starting from 1 will be given in column (2) for each of the segments 1 & 2 separately. This column will be left blank for the lines meant for vacant houses, non-residential buildings, etc.

**2.5a.11 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. If an enterprise bears a distinct name, only then the name will it be recorded; otherwise the name of the owner shall be recorded. If the owner of an enterprise 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. In all cases, distinct name of the enterprise, if any, shall be given preference.

**2.5a.12 Column (4): household size:** The size of each household as defined in Chapter One will be recorded in this column. A small box space is provided against this column at the end of each page to record the total for this column.

**2.5a.13 Columns (5): land possessed code (rural only):** This column will be filled in for rural FSUs only. Each household having a serial no. in col. (2) will get a code in this column. First, the information on area of land possessed, as defined in para 1.10.10 of Chapter One, as on the date of survey will be obtained from the household. The area will be determined in hectares and rounded off to two places of decimals. After that appropriate code will be given in this column. The codes are as given below:

area of land possessed (in hectares)	code
less than X.....	1
more than or equal to X.....	2

The value of 'X' for each State/UT is given in Table 1.

<b>Table 1: The values of cut-off points X (rural land possessed in hectares)</b>	
state/u.t.	X
Andhra Pradesh	1.22
Arunachal Pradesh	2.02
Assam	1.08
Bihar	0.81
Chhattisgarh	2.02
Goa	0.48
Gujarat	2.07
Haryana	2.23
Himachal Pradesh	1.05
Jammu & Kashmir	1.53
Jharkhand	1.23
Karnataka	2.04
Kerala	0.41
Madhya Pradesh	3.00
Maharashtra	2.44
Manipur	1.04

**Table 1: The values of cut-off points X (rural land possessed in hectares)**

state/u.t.	X
Meghalaya	1.21
Mizoram	1.21
Nagaland	1.21
Orissa	1.21
Punjab	2.03
Rajasthan	3.80
Sikkim	1.70
Tamil Nadu	0.63
Tripura	0.65
Uttar Pradesh	1.26
Uttaranchal	0.63
West Bengal	0.77
A & N Islands	0.81
Chandigarh	0.01
D & N Haveli	1.01
Daman & Diu	0.41
Delhi	0.05
Lakshadweep	0.18
Pondicherry	0.14

For locked households, efforts must be made to get the information from the neighbours. If no information is available even from the neighbours, code 1 will be entered in this column.

**2.5a.14 Column (6): urban only: average monthly household consumption expenditure (Rs):**

The household consumer expenditure has been explained in para 1.10.11 of Chapter One. The average monthly consumer expenditure incurred by the household during last 12 months may be recorded in this column.

**2.5a.15 Column (7): urban only: monthly per capita expenditure (MPCE) (Rs):** The entry for this column will be derived as entry in col. (6) divided by the household size in col. (4). This will be recorded in whole number of rupees.

**2.5a.16 Column (8): urban only: MPCE code:** Each household having a serial no. in col. (2) will get a code in this column. The codes are as follows:

MPCE (in Rs)	code
less than A.....	1
more than or equal to A.....	2

The value of 'A' for each NSS region is given in Table 2.

<b>Table 2: The values of cut-off point A (urban MPCE in Rs) for each NSS region</b>			
state/u.t.	State-Region code	description	A
Andhra Pradesh	281	Coastal	1043
	282	Inland Northern	1098
	283	South Western	916
	284	Inland Southern	910
Arunachal Pradesh	121	Arunachal Pradesh	955
Assam	181	Plains Eastern	1184
	182	Plains Western	1121
	183	Hills	975
Bihar	101	Northern	633
	102	Central	792
Chhattisgarh	221	Chhattisgarh	881
Goa	301	Goa	1496
Gujarat	241	Eastern	1306
	242	Plains	1200
	243	Plains Southern	1327
	244	Dry areas	941
	245	Saurashtra	999
Haryana	061	Eastern	1233
	062	Western	925
Himachal Pradesh	021	Himachal Pradesh	1678
Jammu & Kashmir	011	Mountainous	1419
	012	Outer Hills	1179
	013	Jhelam Valley	1021
Jharkhand	201	Jharkhand	898
Karnataka	291	Coastal & Ghats	1014
	292	Inland Eastern	917
	293	Inland Southern	1460
	294	Inland Northern	898
Kerala	321	Northern	962
	322	Southern	1444
Madhya Pradesh	231	Vindhya	823
	232	Central	886
	233	Malwa	931
	234	South	830
	235	South Western	784
	236	Northern	924
Maharashtra	271	Coastal	1479
	272	Inland Western	1250
	273	Inland Northern	1114
	274	Inland Central	754
	275	Inland Eastern	918
	276	Eastern	1118

<b>Table 2: The values of cut-off point A (urban MPCE in Rs) for each NSS region</b>			
state/u.t.	State-Region code	description	A
Manipur	141	Plains	791
	142	Hills	762
Meghalaya	171	Meghalaya	1254
Mizoram	151	Mizoram	1296
Nagaland	131	Nagaland	1640
Orissa	211	Coastal	826
	212	Southern	906
	213	Northern	755
Punjab	031	Northern	1143
	032	Southern	1135
Rajasthan	081	Western	1016
	082	North Eastern	1029
	083	Southern	1194
	084	South Eastern	833
Sikkim	111	Sikkim	1239
Tamil Nadu	331	Coastal Northern	1349
	332	Coastal	985
	333	Southern	1049
	334	Inland	1104
Tripura	161	Tripura	1217
Uttaranchal	051	Uttaranchal	1097
Uttar Pradesh	091	Western	961
	092	Central	824
	093	Eastern	817
	094	Southern	923
West Bengal	191	Himalayan	976
	192	Eastern Plains	937
	193	Central Plains	1181
	194	Western Plains	1029
A & N Islands	351	A & N Islands	1465
Chandigarh	041	Chandigarh	1962
D & N Haveli	261	D & N Haveli	1748
Daman & Diu	251	Daman & Diu	1336
Delhi	071	Delhi	1902
Lakshadweep	311	Lakshadweep	1291
Pondicherry	341	Pondicherry	1041

For locked households, efforts must be made to get the information from the neighbours. If no information is available even from the neighbours, code 1 will be entered in this column.

**2.5a.17 Columns (9) – (10): Schedule 1.0: sampling serial number: SSS:** It may be recalled that for schedule 1.0, there will be only two SSS. Columns (9) and (10) will provide the sampling frames for SSS 1 & 2 pertaining to schedule 1.0. Households with code 1 in col.(5)/col.(8) will be tick-marked (✓) in column (9) while households with code 2 in col.(5)/col.(8) will be given tick-marks (✓) in column (10). Then all the tick-marks will be given running serial numbers starting from 1 in each column independently. These will be the sampling serial numbers for SSS 1 and SSS 2 respectively.

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

**2.5a.18 Columns (11) – (12): schedule 1.0: sample household number: SSS:** Required number of sample households (h) will be drawn from each segment  $\times$  SSS by SRSWOR and sample household numbers, 1 to h, will be recorded here. The value of 'h' may be recorded in the space provided in the column headings.

For selecting the sample households of any particular segment  $\times$  SSS, the following procedure will be followed. Suppose 'H' denotes the total number of households in the frame [i.e. the highest entry in column (9)/(10)] and 'h' the number of households to be selected. If  $H = h$ , all the households will be selected and no random number need to be drawn. Otherwise, first draw a random number, say  $R_1$ , between 1 and H. Next, draw another random number, say,  $R_2$ , also between 1 and H. If  $R_2 = R_1$ , then reject  $R_2$  and draw a fresh  $R_2$ . Continue this way till requisite number of distinct R's [i.e.  $R_1, R_2, \dots, R(h)$ ] have been drawn. Then the households with sampling serial numbers  $R_1, R_2, \dots, R(h)$  [in column (9)/(10)] will be the selected households and be given sample household numbers as 1, 2,....., h respectively in columns (11)/(12). Encircle the corresponding sampling serial numbers in columns (9)/(10).

**2.5a.19 Columns (13) – (15): Schedule 10: sampling serial number: SSS:** There will be three SSS for the schedule 10 for rural FSUs while there will be only two SSS (SSS 2 & SSS 3) in the urban FSUs.

**2.5a.19.1 Column (13): SSS 1: (rural only):** Sampling frames for SSS 1 for the rural FSUs will be prepared in this column. First, it will be enquired whether there is any member in the household who has worked in any public works scheme of the Government any time during the last 365 days. For definition of 'public work', para 1.10.31 to 1.10.34 of Chapter One may be referred. If the answer is yes, then a tick-mark (✓) will be given against the household in col. (13). All the tick-marks (✓) in cols. (13) will then be serially numbered starting from 1. This column will remain blank for urban FSUs.

**2.5a.19.2 Columns (14) – (15):** Sampling frames for SSS 2 and SSS 3 will be prepared through these two columns. For the rural sector, if a household has already been tick-marked in column (13), these two columns need not be filled in. If the household has any household member with age below 30 years and educational level secondary or above, a tick-mark (✓) will be given against the household in col. (14). Remaining households will be tick-marked in col. (15). The

tick-marks (✓) in cols. (14)/(15) will then be serially numbered starting from 1 independently in each of the two columns.

The values of H, the highest serial nos. in each of these columns will be recorded against 'H' in the space provided in the column headings.

**2.5a.20 Columns (16) – (18): schedule 10: sample household number: SSS:** Column (16) relates to rural FSUs only. For urban samples, it will be kept blank.

Required number of sample households (h) will be drawn from each segment  $\times$  SSS by SRSWOR and sample household numbers, 1 to h, will be recorded here. The values of 'h' are to be recorded in the space under the column headings. The procedure for selection of sample households in a segment  $\times$  SSS is similar to that described for schedule 1.0 in para 2.5a.18 with the modification that if the sample household is found to have been already selected for schedule 1.0 (either in SSS 1 or in SSS 2), it will be *replaced* by the next non-selected household in the frame (of the particular segment  $\times$  SSS of schedule 10). The household selected after replacement will be treated as an originally selected household. The sampling serial number of this household will be encircled twice. This modification has been done with a view to select separate households for the two schedule types. However, if the number of households in frame of any SSS is small, one or more sample households may be common for sch 1.0 and 10. In such cases both schedules will be canvassed in the same household.

**2.5a.21 Column (19): non-agricultural enterprise: serial number:** All non-agricultural enterprises shall be given a running serial number starting from 1 in this column. Locked enterprise will be listed and numbered serially only when information relating to cols (20) & (21) are available from knowledgeable persons. Otherwise it should not be listed at all.

**2.5a.22 Column (20) : non-agricultural enterprise: description of activity:** The activity of the enterprise shall be briefly described in words in this column, such as bread making, coffee curing, grocery, etc .

**2.5a.23 Column (21): non-agricultural enterprise: NIC-2004 code (2 digits):** The left most two-digit code of NIC-2004 pertaining to the activity of the enterprise will be recorded here.

*However, activities with NIC code 01405 may be entered in 5-digit codes. Again, activities with NIC division code 75 are excluded from the purview of this survey.*

**2.5a.24 Column (22): non-agricultural enterprise: ownership code:** For all the NAEs, ownership codes are to be recorded in this column. *Codes are as follows:* proprietary (male)-1, proprietary (female)-2, partnership with members of the same household-3, partnership between members not all from the same household - 4, co-operative society – 5 and others - 9.

If an individual is the sole owner of the enterprise, the enterprise will be termed proprietary and for such an enterprise ownership code will be 1/2 if the proprietor is male/female. If there are two or more owners of the enterprise on a partnership basis with or without formal registration, code shall be 3/4 if all the owners belong/do not belong to the same household. Code 5 shall be recorded for enterprises registered as co-operative societies irrespective of possession of share by

government, local body etc. Public sector establishments which are wholly owned or run/managed by central or state government or quasi-government institution, or by local bodies like Panchayat, Zilla Parisad, City Corporation, Municipal authorities, autonomous bodies like universities, education boards and institutions like schools, libraries etc. set up by the government, panchayat, etc., enterprises run on loans granted by Government, local body etc. and all enterprises registered as public or private limited company, will be given ownership code as 9 irrespective of the amount of share held by the Government. All other enterprises shall also get ownership code 9.

**2.5a.25 Column (23): manufacturing enterprise serial number:** All the manufacturing enterprises in a selected segment will be separated out through this column. The non-agricultural enterprises with NIC codes 15 – 37 or 01405 in column (21) will be first tick-marked (√) in this column. Then a running serial number starting from 1 will be given to all the tick-marks. This will be done separately for each segment.

*For manufacturing enterprises that are seasonal in nature, the code 'S' shall also be recorded within brackets in this column.* This will be consulted for recording the eligibility code in column (25) of block 5b.

### **2.5b Block 5b: list of manufacturing enterprises and selection (segment 1 / 2)**

In this block only manufacturing enterprises will be considered. After copying the manufacturing enterprise serial number and the NIC codes from block 5a, formation of frame for enterprise type × BMG (i.e. SSS 1 – 6) and selection of sample enterprises will be completed here.

**2.5b.1 Columns (1), (23) and (21):** Entries for these columns will be copied from the corresponding columns of block 5a. Care must be taken to transfer the entries correctly.

**2.5b.2 Column (24): registration code:** If the enterprise is registered under section 2m(i) or 2m(ii) of the Factories Act, 1948 or if the enterprise is a bidi or cigar manufacturing enterprise registered under Bidi and Cigar Workers (Condition of employment) Act 1966 under the coverage of ASI or if the enterprise is a Govt. manufacturing enterprise/PSU, code 1 shall be recorded. If the enterprise has been included in the list frame enterprise in the urban sector, code 2 will be given. Otherwise, code 9 shall be recorded. For locked enterprise, appropriate code will be entered in this column, only after local enquiry.

*Columns (25) to (41) relate to manufacturing enterprises with code 9 in column (24). If the code in column (24) is other than 9, there will be no entries in subsequent columns.*

**2.5b.3 Column (25): 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, which operated for less than 30 days (15 days for seasonal enterprises), code 2 shall be recorded in this column.

For locked enterprise, 1 will be entered in this column.

*Columns (26) to (41) shall be filled up if eligibility code in column (25) is 1.*

**2.5b.4 Column (26): broad manufacturing group (BMG) code:** One of the codes 1 to 3 as appropriate to the enterprise depending upon its activity noted in cols (20) and (21), shall be recorded here for each enterprise.

The codes are as follows.

<u>BMG</u>	<u>Activities under NIC 2004 codes</u>
1	15 – 20
2	23, 27, 30 – 35, 01405
3	Rest of NIC codes under section 'D'

For locked enterprise, '1' will be entered in this column.

**2.5b.5 Column (27): number of workers: total:** 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 (27) and (28). *The average* number of workers on a working day during the reference year shall be recorded for both total and hired workers in columns (27) and (28) respectively.

**2.5b.6 Column (28): number of workers: hired:** 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 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.

*Information on number of workers, total and hired, may be recorded properly so as to avoid misclassification of enterprises by enterprise type.*

**2.5b.7 Column (29): enterprise type code:** Each eligible manufacturing enterprise shall be given enterprise type code on the basis of the entries made in columns (27) and (28). The codes are as follows:

- (i) OAME i.e enterprises with entry zero in col. (28) ..... 1
- (ii) NDME i.e. establishment with entry 1 – 5 in col (27) and positive entry in col. (28). ..... 2
- (iii) DME i.e. establishment with entry 6 or more in col (27) and positive entry in col. (28) ..... 3

For locked enterprise, 1 will be entered in this column.

**2.5b.8 Columns (30) – (32): Schedule 2.2: sampling serial number: enterprise type 1 (OAME): BMG 1 / 2 / 3: SSS 1 / 2 / 3:** The enterprises with enterprise type code 1 in column (29) and broad manufacturing group (BMG) code 1, 2 or 3 in column (26) shall be separately tick-marked (√) in columns (30), (31) and (32) as the case may be. Then all the tick-marks (√) appearing in each of the columns (30), (31) & (32) shall be given a separate running serial number starting from 1. Total number of OAMEs in the frame under each BMG will be the number of tick-marks (i.e. the highest serial number) appearing in columns (30)/(31)/(32) and these values will be recorded against ‘E’ in respective columns.

**2.5b.9 Columns (33) – (35): Schedule 2.2: sampling serial number: enterprise type 2 or 3 (NDME / DME): BMG 1 / 2 / 3: SSS 4 / 5 / 6:** The enterprises with enterprise type code 2 or 3 i.e. DME or NDME, in column (29) and broad manufacturing group (BMG) code 1, 2 and 3 in column (26) shall be separately tick-marked (√) in columns (33), (34) and (35) as the case may be. Then all the tick-marks (√) appearing in each of the columns (33), (34) & (35) shall be given a separate running serial number starting from 1. Total number of DME/NDME in the frame under each BMG will be the number of tick-marks (i.e. the highest serial number) appearing in columns (33)/(34)/(35) and these values will be recorded against ‘E’ in respective columns.

**2.5b.10 Columns (36) – (38): sample enterprise number: enterprise type 1 (OAME): BMG 1 / 2 / 3: SSS 1 / 2 / 3:** The number of enterprises to be selected (after adjustment for shortfall, if necessary) for each OAME × BMG will be recorded against ‘e’. The required number of enterprises will be drawn from each OAME × BMG by SRSWOR and sample enterprise number will be recorded. *The sampling serial numbers of the selected enterprises may be encircled in col.(30)/(31)/(32).*

**2.5b.11 Columns (39) – (41): sample enterprise number: enterprise type 2 or 3 (DME/NDME): BMG 1 / 2 / 3: SSS 4 / 5 / 6:** The number of enterprises to be selected (after adjustment for shortfall, if necessary) for each DME/NDME and BMG will be recorded against ‘e’ of the respective column. The required number of enterprises will be drawn from each (DME/NDME) × BMG by SRSWOR and sample enterprise number will be recorded. *The sampling serial numbers of the selected enterprises may be encircled in columns (33)/(34)/(35).*

**2.6 Block 6: particulars of sampling of enterprises (for Schedule 2.2):** In this block, particulars of sampling of enterprises shall be recorded.

**2.6.1 Columns (5) to (10): Number of enterprises:** Total number of enterprises in the frame for each SSS i.e. the entries for column (5), are the highest sampling serial numbers recorded in columns (30) to (35) respectively of block 5b. These highest entries are also recorded against the symbols ‘E’ appearing in the headings of columns (30) to (35) of block 5b. They may be recorded properly in column 5 of block 6 for each segment. Number of enterprises selected for survey shall be recorded in column (6). These numbers are also recorded against ‘e’ in the headings of column (36) to (41) of block 5b. Columns (7) and (8) shall be filled up on the basis of survey code recorded against item 20 of block 1 of schedule 2.2. Number of filled-in 2.2 schedules with survey codes 1 and 2 shall be recorded in columns (7) and (8) respectively. For entries relating to segment 9, block 2 will be the basis instead of block 5b. Number of enterprises for SSS numbers

1, 2, 3, 4, 5 and 6 will be counted from column (13) of block 2 and entered against the corresponding SSS of segment 9 in block 6. Total number of surveyed enterprises shall be recorded in column (9). It may be seen that (i) column (9) = column (7) + column (8) and (ii) column (10) = column (6) – column (9). For segment 9, column (10) = column (5) – column (9). The row for ‘all’ will give the totals of the relevant columns.

**2.7 Block 7: particulars of sampling of households (for schedules 1.0 and 10):** Particulars of sampling of households, separately for schedules 1.0 and 10 for each of the segments 1 & 2 will be recorded in this block. If there is no hg/sb formation, entry will be made against segment 1.

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

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

**Schedule 1.0:** Column (5) entries for SSS are same as the value of ‘H’ recorded in heading spaces of columns (9) and (10) of block 5a for each segment. Column (6) entries will be equal to the value of ‘h’ recorded in heading spaces of columns (11) and (12) of block 5a for that combination of segment × SSS.

**Schedule 10:** Column (5) entries for SSS are same as the value of ‘H’ recorded in heading spaces of columns (13), (14) and (15) of block 5a for each segment. Column (6) entries will be the value of ‘h’ recorded in heading spaces of columns (16), (17) & (18) of block 5a.

Columns (7), (8) and (10) of block 7 may be filled up on the basis of survey codes given in item 18, block 1 of the respective schedules. The entries in columns (7), (8) & (10) will be the number of filled-in schedules with the survey codes 1, 2 & 3 in the corresponding schedules respectively. Total number households surveyed will be entered in column (9). It may be seen that (i) column (9) = column (7) + column (8) and (ii) column (10) = column (6) - column (9).

**2.7.3 Column(11): number of replaced household:** Total number of households for schedule 10 replaced (being already selected for schedule 1.0) will be reported for all SSS separately for segment 1 & 2 against the rows for schedule 10. Entries will be the number of double circles in columns (13), (14) & (15) of block 5a for each segment. Entry against ‘all’ will be sum of the entries for all SSS for segments 1 & 2.

**2.8 Block 8: distance of the village from nearest facility:** In this block, it is aimed to collect information on the availability of some specific facilities like communication, markets, institutional agencies providing aid, assistance and credit to the villagers, etc.. *In case of hamlet group formation information are to be collected in respect of the entire sample village (panchayat ward in Kerala).*

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

*The block will be filled-in for inhabited villages and will be kept blank for villages that are uninhabited or are zero cases.*

This block may be filled in after completion of listing of households.

**2.8.1 Items 1- 33: Column (3): distance code:** Distance in terms of code will be entered in this column against items 1 to 33. Distance from the nearest facility available to the villagers will be considered. The distance will be measured from the geographical centre of the village. However, if a particular facility is available within the village, the distance code will always be 1 irrespective of its distance from the centre of the village. One of the codes 2 to 6 will be applicable when the facility is available at a place outside the village. If a facility is available at two different places, the distances of the nearest place will be considered for recording the distance code. In this connection, it may be noted that if at a particular location, more than one facility is available in a combined form and if that location is the nearest one to the village in respect of all the facilities under consideration, then the distance code of that location is to be recorded against all the facilities. For example if the nearest secondary school also provides primary as well as middle level education and the nearest primary school or the middle school is farther away than the secondary school then the distance code of the secondary school is to be recorded for both the primary school and middle school also . The codes for distances are:

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

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

**2.8.1.1 Items 1- 7:** These items are self - explanatory. In States/UTs where districts do not have block/mandal, block/mandal headquarters will mean headquarters of immediately lower administrative unit under the district.

**2.8.1.2 Item 8: metalled road:** This will include roads made of pucca materials like asphalt, cement, concrete, bricks, stones, etc.

**2.8.1.3 Item 9: all weather road:** This is the road usable for all seasons of a year irrespective of the material used for the road.

**2.8.1.4 Item 10: primary school:** Generally, up to the standard of class IV is considered as primary education. However, the practices differ in some states where education of class V is

also included under 'primary' level. For the purpose of this survey, education up to class IV or V, as the local practice may be, will be considered as primary education. This item will cover institutions providing such educational facilities.

**2.8.1.5 Item 11: secondary school:** Secondary school provides education up to class X.

**2.8.1.6 Item 12: higher secondary school / junior college:** Higher secondary school provides education up to 10+2 standard. In some places it is also known as junior college. Institutions providing education up to 10+2 standard will be covered under this item.

**2.8.1.7 Item 13: college:** Colleges providing degree courses with a minimum of bachelor degree recognised by a university or equivalent will be covered under this item. Colleges providing diploma courses which are equivalent to degree courses are also to be covered under this item.

**2.8.1.8 Item 14: health sub-centre / dispensary:** A health sub-centre is the most peripheral contact point in the primary health care system. It covers around 5,000 populations in plain area and 3,000 populations in hilly / tribal area. It is run by government and located in the rural area. It is manned by two multi-purpose health workers – one male and one female. A sub-centre usually does not have facilities for treatment as in-patients. Dispensary is the consulting place / chamber which does not generally have facilities for treatment of in-patients.

**2.8.1.9 Item 15: primary health centre:** Primary health centre (PHC) is the first contact point between a village community and the medical officer. It has a medical officer and other paramedical staff. It is run by the Government and usually has in-patient and out-patient facilities. A PHC has jurisdiction over 6 sub-centres and serves about 30,000 populations in plain area and 20,000 populations in hilly / tribal area.

**2.8.1.10 Item 16: community health centre / government hospital:** Community Health Centres (CHC) serves about 1.2 lakh populations in plain area and 80,000 in the hilly / tribal area. The CHC functions as referral centre for the PHC. It is manned by medical specialists and paramedical staff and has in-patient and out-patient facilities. Medical institutions having provision of admission of sick persons as in-door patients (in-patients) for treatment are called hospitals. Hospital run by the central / state government or local bodies like municipalities will be covered under this item.

**2.8.1.11 Item 17: private clinic / doctor:** Private clinic is the consulting place / chamber of private doctors. Doctors are those having degrees/diploma in medicine and also registration from recognised universities / institutions deemed to be universities. These doctors may follow any of the systems - allopathic, homeopathy, ayurvedic, unani.

**2.8.1.12 Item 18: medicine shop:** A shop which sells drugs and medicines of any system of medicine viz. allopathic, homeopathic, ayurvedic or unani medicines, will be considered as a medicine shop.

**2.8.1.13 Item 19: community centre:** It is a place accessible to the villagers where facilities of viewing TV, video, etc., arranging ceremonies like marriage, festivals and other community programmes, etc., are available. The centre is generally located at a fixed place. The villagers will have access to the centre.

2.8.1.14 **Items 20 – 21: post office, police station/police outpost:** The items are self-explanatory.

2.8.1.15 **Item 22: wholesale market:** Wholesale market is a market where the buying and selling of goods or merchandise is done to retailers and other merchants and commercial users but generally not to ultimate consumers. Thus, it is a market where wholesaler acts as a middleman between producer and retailer or ultimate consumer. The operations like sales, purchases and prices etc. of a wholesale market are sometimes supervised/controlled by market committee or some other agency.

2.8.1.16 **Item 23: cooperative credit society:** Co-operative credit society is a society that is formed through the co-operation of a number of persons (members of the society) for the benefit of the members. The funds are raised through contributions / investments by the members and the profits are shared by the members. Cooperative banks will also be considered here.

2.8.1.17 **Item 24: commercial bank:** This includes all nationalised banks including the State Bank of India and its subsidiaries. All other scheduled and non-scheduled banks, other than co-operative banks, should also be considered here.

2.8.1.18 **Item 25: land development bank:** Land development banks are co-operative societies established for advancing loans for acquiring assets of capital nature connected with land improvements, productivity of land and agricultural development. The land development banks sanction long terms loans, which are repayable over a period exceeding five years. If a cooperative bank performs the activities of a land development bank in addition to the usual activities of a cooperative bank, it will be considered under item 22 and not under this item.

2.8.1.19 **Item 26: marketing society:** Co-operative marketing society means a registered society established for the purpose of promoting marketing facilities primarily of agricultural produce. The marketing society receives the produce directly from the producers or through primary credit societies. The produce is then sold in different markets or to the high level marketing organisations etc. In addition to the marketing function, the societies may also undertake supply of agricultural requisites such as seeds, manure and fertilizer, pesticides and insecticides etc.

2.8.1.20 **Item 27: PCO:** Distance of the facility which is nearest to the village among telegraph office/ public call office (PCO) / e-mail centre will be recorded in this item in code. A public call office or e-mail centre will refer to a place accessible to the villagers with or without payment of fee. E-mail is the electronic mail which is sent through network (internet) from one place to another.

2.8.1.21 **Item 28: video parlour/cinema hall:** Distance of the nearest video parlour/cinema hall will be recorded in terms of codes.

2.8.1.22 **Item 29: veterinary hospital / dispensary:** A veterinary hospital / dispensary has provision for the treatment of animals.

2.8.1.23 **Item 30: fertiliser / pesticide shop:** Fertiliser / pesticide shop is one which sells fertiliser and / or pesticide.

2.8.1.24 **Item 31: fair price shop:** Fair price shop is the shop which sells some essential commodities at subsidised rate. This may be owned by the government, local self-government, a government undertaking, the proprietor of a firm, co-operative(s) or private persons (individually or jointly) or other bodies like club, trust, etc.

2.8.1.25 **Items 32-33: cold storage, Industrial training institute:** These items are self-explanatory.

2.8.2 **Item 34: electricity connection (yes – 1, no – 2):** If electricity is used in any part of the village for any purpose (agriculture, industry, street light, domestic etc.), it will be considered that the facility is available for the villagers and code 1 will be recorded.

2.8.3 **Item 35: informant code:** The information in block 7 is to be collected from one or more knowledgeable person(s) of the village. The source of such information collected is to be reported in this item. In case there is more than one source then the code will relate to the informant from whom maximum information has been collected. The codes are:

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

2.9 **Block 9: particulars relating to public works programme in the village:** the purpose of this block is to collect some information about public works taken up in the village during last 12 months. For explanation of the term public works, reference may be made to para 1.10.31 to 1.10.34 of Chapter One. Enquiries about the most recent public works programme will also be made through the block. *In case of hamlet group formation information are to be collected in respect of the entire sample village (panchayat ward in Kerala).*

The required information has to be obtained by contacting the panchayat/village officials and / or other knowledgeable person(s). In case they are unable to provide any information about public works programmes in the village, the nearest Block Development Officer or other related agencies might be contacted for collection of the relevant information.

*The block will be filled-in for inhabited villages and will be kept blank for villages that are uninhabited or are zero cases.*

This block may be filled in after completion of listing of households.

2.9.1 **Item 1: whether any public works taken up in the village in last 12 months?:** If any public works was in operation in the village during last 12 months, code '1' will be entered, otherwise '2' will be entered. Public works might be of different types, e.g. road construction, building construction, land levelling, digging of ponds, making embankments, digging/construction of irrigation canal, etc. They might be sponsored under various 'public

works programme' such as EGS, SGRY, NFFWP, IAY etc. Two or more 'types of public works' might be taken up under same 'public works programme' or one of them might be sponsored under one 'public works programme' while others might be sponsored under another 'public works programme'. Also, same 'type of public work' might be undertaken at different point of time under different 'public works programmes'.

For code '2' against this item, items 2 – 8 will remain blank.

**2.9.2 Item 2: number of public works taken up in last 12 months:** The number of distinct public works under different programmes that were in operation in the village during last 12 months will be recorded here. If same 'type of public works' is going on under two different 'public works programme', it will be counted only once.

**2.9.3 Items 3 – 8:** These items relate to the most recent public works programme. If two or more types of public works were in operation under the same public works programme, information will relate to the public work that started later. But if there were two or more public works in operation under more than one public works programme, the information will relate to the *public works programme* that started later and the type of public work will be the one that started later under the same public works programme.

**2.9.3.1 Item 3: type of programme (code):** After identifying the most recent public works programme, codes will be entered for the public works programme as follows:

Employment Guarantee Scheme (EGS) .....	1
Sampoorna Grameen Rojgar Yojana (SGRY).....	2
National Food for Work Scheme (NFFWP) .....	3
Indira Awaas Yojna (IAW) .....	4
Any other wage employment programme for 'poverty alleviation' or as 'relief measure' .....	5

**2.9.3.2 Item 4: type of public works (code):** Type of work, most recent one under the most recent public works programme, will be recorded here in terms of code. The codes are:

irrigation canal/ water conservation/ water harvesting/ drought proofing/ flood control/ embankment etc. ....	1
land levelling, development of orchard etc.....	2
road construction, laying pipes and cables.....	3
building construction/ repair.....	4
sanitation, running creche, etc.....	5
any other work.....	9

**2.9.3.3 Item 5: wage rate for public works (Rs.):** Wage rate given to the persons working under the most recent public works programme in the village will be reported here in whole number of rupees. If there were more than one wage rate, average wage rate will be reported.

**2.9.3.4 Item 6: prevailing casual agricultural wage rate at that time (Rs.):** The prevailing wage rate for casual workers in agriculture during the time of operation of the most recent public works programme in the village will be reported here in whole number of rupees. If there is more than one agricultural wage rate, e.g. different rates for males and females or for different agricultural activities, the average wage rate will be reported.

**2.9.3.5 Item 7: who made the choice of the public works:** Code for the authority deciding the choice of the type of public work under reference will be recorded in this item. The codes are:

gram panchayat.....	1
zila parishad .....	2
State Govt... ..	3
don't know.....	4

**2.9.3.6 Item 8: was there enough work on public works to satisfy demand?:** Perception of the informant about the sufficiency of work generated by the type of public works under consideration in relation to the demand for work will be recorded here. The codes are: *yes – 1 , no – 2, don't know – 3.*

**2.9.4 Item 9: informant code:** Code will be entered against this item even if there was no public work in the village. The information is to be collected from one or more knowledgeable person(s) of the village. The source of such information collected is to be reported in this item. In case there is more than one source then the code will relate to the informant from whom maximum information has been collected. The codes are:

sarpanch (male).....	1
sarpanch (female).....	2
other panchayat member.....	3
gram sevak.....	4
others.....	9

**2.10 Block 10: Particulars of field operations:** The details of field operations will be recorded in this block. While recording the total time taken to canvass the sch. 0.0 (i.e. column 3, srl. no. 4 of this block), it may be noted that the time taken to reach the sample village and come back should not be considered for filling in this item. In other words, total time spent in identification of the boundaries of the sample village/block, hamlet-group/sub-block formation, listing of households, formation of second-stage strata, selection of households and filling in all other blocks of this schedule may be recorded in hours. All other items are self-explanatory.

**2.11 Block 11: remarks by investigator/senior investigator:** The investigator/senior investigator may give his remarks here on any abnormal situation or entry in the schedule.

**2.12 Block 12: comments by supervisory officer(s):** The supervising officer inspecting the work relating to this schedule, may give his comments here.

## 2.13 Substitution of sample enterprises/ households, misclassification of enterprises and random numbers

**2.13.1 Substitution of 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 SSS. The substitute for the one having highest sampling serial number of an SSS will be the one having smallest sampling serial number within the same SSS. 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 is always surveyed for each of second stage strata if  $E > 0$  and for each segment; 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.* In such cases, the fact has to be recorded in the remarks block (block 11 & 12).

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

### 2.13.2 Misclassification of an enterprise during listing:

(a) It is quite possible in a few cases that a sample enterprise listed under a particular type (i.e. OAME  $\times$  BMG or DME/NDME  $\times$  BMG) in schedule 0.0 actually belongs to other type as detected during canvassing of schedule 2.2. *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-2004 code/ BMG code other than the one recorded in column (21)/(26) of block 5b of schedule 0.0, then the same enterprise *will be surveyed (fresh selection will not be done) under revised codes recorded in schedule 2.2. 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 block 6 need not be disturbed.

**2.13.3 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/enterprise in the order: (i) for segment 1 – households for SSS of schedule 1.0, households for SSS of schedule 10, enterprises for schedule 2.2 and then (ii) for segment 2 – households for SSS of schedule 1.0, households for SSS of schedule 10, enterprises for schedule 2.2. If the particular column of

random numbers is exhausted in the process, next column may be used. Similarly, if all the columns of the Random number table is exhausted, then the first column will be used.

#### 2.14 Substitution of sample FSU:

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

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

A copy of the letter may be given to:

The Director (Coordination), SDRD, NSSO  
Mahalanobis Bhawan  
164, Gopal Lal Tagore Road, Kolkata- 700108.  
fax: 033-25776439, Tele: 033-25781495

If the substituted FSU has same problem as the original, correspondences may be made immediately so that another substitute can be provided to prevent voidness of stratum. In case no substitute FSU could be surveyed even with best efforts [ i.e. code 7 in item 18, block 1], a blank schedule 0.0 will be submitted with only blocks 0, 1, 8, 11 and 12 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 substratum for each sub-sample so as to prevent occurrences of void strata.**

(b) If a sample FSU is found to be depopulated at the time of survey or its population has shifted elsewhere due to some natural calamity or it is treated as a "zero-case", it will not be substituted. It will be treated as a valid sample and blank schedule 0.0 with only blocks 0, 1, 8, 11 and 12 filled in will be submitted in such cases. The word/words 'UNINHABITED' or 'ZERO CASE', as appropriate will be written on the top of the front page of the schedule in such cases. However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North Eastern states where, for example, jhum cultivation is prevalent, whole village may shift from place to place. In such cases the sample village will be surveyed in the place where it is currently located and not treated as uninhabited if found absent in its original location.

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

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

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

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

**Case (a): without hamlet-group/sub-block formation:** If repetition is in the *same sub-round*, listing is to be done only once. The listing schedule will be copied with the identification particulars changed to those of the serial number against which it is found repeated. (The items that may change are only these: serial number and sub-sample). The sample households/enterprises will be selected afresh. However, if any household/enterprise already selected is selected again, it is to be substituted. If the required number of fresh households/enterprises (i.e. not selected in the first occasion) is not available in the frame as a result of which some households/enterprises are reselected in the second/subsequent occasion, 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 occasion will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-group/ sub-block selected afresh. If one or both hg/sb are repeated, random number may be drawn afresh to get different hamlet-group/sub-block not selected earlier. For the selection of households/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.

**2.15.2 Repetition between state and central sample FSUs:**

- (a) **Urban list frame enterprises:** These will be surveyed by the central agency only. Soft copy of the validated data will be supplied by DPD to the state agencies.
- (b) **Rural sub-stratum 1:** The FSUs are common in central and state samples. DPD will provide the validated data in respect of these samples to the state agencies if they so desire. Otherwise, States may canvass the schedules in the these FSUs themselves. However, it may not be possible to provide the copies of schedules to States.
- (c) **All other cases of repetitions:** As usual, the central and the state agencies will survey the sample FSUs independently.

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

[5a] list of households & non-agricultural enterprises and selection of households (segment 1/2)*																		
house number	household -serial number	household size	land possessed (code) (rural only)	Schedule 1.0				Schedule 10						non-agrl enterprise			manufacturing enterprise serial number	
				sampling serial number	sample household number			sampling serial number			sample household number			serial number	NIC -2004 code (2 digits) @	ownership code		
								SSS										
				1 (rural only)			2		3		1 (rural only)	2		3				
				SSS		SSS		H=4	H=4	H=10		SSS						
1	2	1	2	any member worked in any public works .....	any member of age below 30 years with edu level second...	others	h=2	h=2	h=4	serial number	NIC -2004 code (2 digits) @	ownership code	manufacturing enterprise serial number					
H=11	H=7	h=2	h=2															
(1)	(2)	(4)	(5)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(21)	(22)	(23)	
12	1	4	1	√1						√1								
13/1	2	3	2		√1				√1									
13/1														1	15	2	√1	
13/1														2	16	3	√2	
15B	3	5	1	√2						√2			3					
9	4	4	1	√3				√1			2							
10														3	80	1		
16	5	3	1	√4		1				√3								
17														4	01405	4	√3	
(1)	6	7	2		√2				√2			1						
19														5	31	3	√4	
20														6	85	1		
21	7	1	2		√3		2			√4								
22/1	8	6	1	√5				√2										
22/1														7	17	1	√5 (S)	
-	9	1	1	√6				√3			1							
23	TEMPLE																	
24														8	55	2		
(2)														9	22	3	√6	
25														10	32	1	√7	
26	10	3	1	√7						√5			1					
27	11	5	2		√4				√3			2						
28														11	36	1	√8	
29	12	4	2		√5					√6			2					
30														12	19	1	√9	
31														13	19	1	√10	
31														14	16	1	√11	
-	13	2	1	√8		2				√7								
32														15	71	1		
33														16	36	3	√12	
34														17	63	1		
35														18	01405	3	√13	
35/1														19	15	2	√14	
35A	14	4	1	√9				√4										
35A	15	5	1	√10						√8								
36A	16	5	2		√6		1		√4									
36C	17	6	1	√11						√9			4					
42														20	31	1	√15	
43														21	16	1	√16	
44														22	36	1	√17	
45	18	4	2		√7					√10								

[5b] list of manufacturing enterprises (under section 'D') and selection (segment 1/2)*																					
house number	manufacturing enterprise serial number	NIC -2004 code @ (2 digits)	registration code	eligibility code	Broad Manufacturing Group (BMG) code	number of workers		enterprise type code	Schedule 2.2												
						total	hired		sampling serial number						sample enterprise number						
									enterprise type 1 OAME			enterprise type 2 or 3 NDME/ DME			enterprise type 1 OAME			enterprise type 2 or 3 NDME/ DME			
									BMG 1	BMG2	BMG3	BMG 1	BMG2	BMG3	BMG 1	BMG2	BMG3	BMG 1	BMG2	BMG3	
									SSS 1	SSS 2	SSS 3	SSS 4	SSS 5	SSS 6	SSS 1	SSS 2	SSS 3	SSS 4	SSS 5	SSS 6	
									E=4	E=1	E=2	E=4	E=3	E=1	e=2	e=1	e=2	e=3	e=3	e=1	
(1)	(23)	(21)	(24)	(25)	(26)	(27)	(28)	(29)	(30)	(31)	(32)	(33)	(34)	(35)	(36)	(37)	(38)	(39)	(40)	(41)	
13/1	1	15	9	1	1	5	3	2				√1						3			
13/1	2	16	9	2																	
17	3	01405	9	1	2	2		1		√1						1					
19	4	31	9	1	2	7	5	3					√1						1		
22/1	5 (S)	17	9	1	1	2	1	2				√2						2			
(2)	6	22	9	1	3	2	1	2						√1						1	
25	7	32	9	1	2	2	1	2					√2						2		
28	8	36	9	1	3	1		1			√1						1				
30	9	19	9	1	1	1		1	√1						1						
31	10	19	9	1	1	1		1	√2												
31	11	16	1																		
33	12	36	9	1	3	1		1			√2						2				
35	13	01405	9	1	2	2	1	2					√3						3		
35A	14	15	9	1	1	1		1	√3												
42	15	15	9	1	1	1		1	√4						2						
43	16	16	9	1	1	2	1	2				√3						1			
44	17	17	9	1	1	3	2	2				√4									

## Chapter Three

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### Schedule 2.2: Manufacturing Enterprises

#### **Introduction:** -

The contents of this chapter include important definitions and concepts needed for the fieldwork, detailed description of items in schedule 2.2 and most of the frequently asked questions, based on earlier surveys on similar subjects. The terms 'enterprise' has been used to represent all types of enterprises, be it an OAME, NDME or DME, in some of the discussions on various concepts and procedures to be adopted in this survey.

- The survey will cover all unorganised enterprises engaged in manufacturing activities. NIC codes to identify the enterprises will be *as per NIC-2004*. All activities coming under the purview of NIC 2004 codes 01405 and divisions 15 to 37 will be under the survey coverage.
- The enterprises registered under Sections 2m (i) or 2m (ii) of Factories Act, 1948 *will not* be covered in the survey on unorganised sector. Similarly, Bidi and Cigar units registered under the Bidi and Cigar Workers (Condition of Employment) Act, 1966 and appearing in the latest frame of the Annual Survey of Industries (ASI) will not be considered as unorganised manufacturing enterprises. Government and public sector undertakings *will also be outside* the survey coverage.
- In short, all non-Government/non-PSU enterprises under industry-section 'D' (manufacturing) as well as code 01405 of NIC 2004 and are not under the purview of the ASI will be covered in this survey.
- Registered co-operative societies, irrespective of whether it has some share of Government agencies or not, will be considered as a co-operative society. Thus, these will be under the purview of the survey.
- 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) during last 365 days.

#### **A Few important concepts and definitions:-**

**3.0.1 Unorganised manufacturing sector:** Manufacturing enterprises in the unorganised sector are the target units for this survey. For the purpose of this survey all manufacturing enterprises, which are not covered under the ASI will be considered to constitute the unorganised sector. Government and public sector undertakings, as well, will not be under the survey coverage. In the unorganised sector, in addition to the proprietary or partnership enterprises, enterprises run by cooperative societies, trusts, associations, private and public limited companies, with a minimum of 30 days of operation during the last 365 days (15 days of operation for the seasonal enterprises) will be covered. The NIC 2004 codes for the activities covered are 01405, 15111 to 37200. Cotton ginning, cleaning and baling (NIC code 01405) is being covered to have parity with ASI coverage.

3.0.1.2 “While-you-wait” services under printing of textiles (NIC-98 code 1712) and engraving of metals (NIC-98 code 2892) have been classified under repair of personal and household goods (NIC-2004 code 52609) in the current updated version of NIC (NIC 2004). Hence, these services will not be covered in the current survey, although these were covered under the 56<sup>th</sup> round of NSS. Some examples of these activities are:

- i) Households giving new/ old clothes to a shop for block printing, embroidery, etc.
- ii) shop-owners writing name-plates, etc. on metal,
- iii) Boutique shops purchasing *sarees* and doing art-work either themselves or through outsourcing before sale, etc.

**3.0.2 Reference Period:** The reference period for recording details of various items will depend primarily on whether the enterprise under survey can provide information from their books of accounts, or they can provide information orally.

3.0.2.1 If the enterprises **are providing only oral information**, three kinds of reference periods will be used to collect data in different blocks of the schedule, which are *reference month*, *reference year* and *last date of the reference month*.

3.0.2.1.1 **Reference Month:** This period will be used to collect data on various receipts and expenses as well as value added, employment, emoluments, rent and interest payments for the enterprises providing oral information.

**For perennial and casual enterprises,** ‘*Reference Month*’ will refer to the **last 30 days** (preceding the date of survey) *irrespective of the number of days of operation*.

**For seasonal enterprises,** consider the following two cases-

- **Case 1: Working continuously for 30 days or more (including scheduled holidays) in the current season:** - ‘*Reference Month*’ will refer to the last 30 days (preceding the date of survey).
- **Case 2: Worked for less than 30 days in the current season:** - ‘*Reference Month*’ will refer to an average month in the last working season.

In the case of items “**rent payable**” and ‘**interest payable**’, the monthly average of yearly values will be reported, be it a perennial, seasonal or casual enterprise.

If an enterprise is unable to provide information for the last 30 days, but can provide it for the latest completed calendar month, this calendar month will be considered as ‘*Reference Month*’.

3.0.2.1.2 *'Reference year'*: Among the items other than those mentioned in 3.0.2.2.1, net additions to fixed assets owned, number of months operated, number of other economic activities pursued etc., data will be collected for the entire *'Reference Year'*. It will be last 365 days prior to the date of survey, if *'reference month'* of that enterprise is *'last 30 days'*. For the enterprises where *'reference month'* is *'last calendar month'*, *'reference year'* will be last 12 calendar months taken together. For seasonal enterprises of case 2 above (i.e., seasonal enterprises which have operated for less than 30 days during the current season), *'Reference Year'* will be a continuous period of 365 days starting from the first day of the corresponding working season.

3.0.2.1.3 *'last date of the reference period'*: For some of the items like value of fixed assets, amount of loan outstanding, etc., this reference period will be used. It will be last date of the *'Reference Month'*, which is same as the last date of the *'Reference Year'*. However, opening stock of semi-finished goods manufactured, opening stock of goods traded will be collected for the beginning of the first day of the *'Reference Month'*.

3.0.2.2 If data from the enterprises **are collected from their books of accounts**, two kinds of reference periods will be used to collect data in different blocks of the schedule, *'Reference Year'* and *'last date of the reference year'*.

3.0.2.2.1 *Reference year*: This will be the last completed accounting year of the enterprise under survey. Various receipts, expenses, value added as well as employment, emoluments, rent, interest, net additions to fixed assets owned, for the enterprises will be recorded for the last completed accounting year. To identify the *'Reference Year'* consider the following:

- **Accounts have been closed on any day between 1<sup>st</sup> April 2004 and a date before the date of survey:** *'Reference year'* will refer to the accounting year for which the books of accounts have been closed between these dates.
- **Accounts not closed between 1<sup>st</sup> April 2004 and the date of survey:** Consider it as a case for oral enquiry.

3.0.2.2.2 *'as on first/ last date of reference period'*: For some of the items like value of fixed assets, amount of loan outstanding, etc., this reference period will be used. It will be last date of the *'Reference Year'*. For items like opening stock of semi-finished goods manufactured, opening stock of goods traded, the beginning of the first date of the reference year will be the point of reference.

3.0.2.2.3 Whenever data for an enterprise is collected from its books of accounts, and the enterprise provides a copy of its balance sheet/ profit and loss account, the *same will be attached with the schedule invariably*.

The different reference periods corresponding to different items of schedule 2.2 are also given below in a tabular form:

Block No.	Item number/ description	Surveyed enterprise providing information from	
		Books of accounts	orally
2	all items except 205, 214, 234-236	reference year	reference year
		reference month	reference month
		reference year	reference month
		last 5 years	last 5 years
		last 3 years	last 3 years
3 to 7	all items except opening/ closing stock	reference year	reference month
4	closing stock opening stock	last date of reference year	last date of reference month
		first date of reference year	first date of reference month
8	value of assets owned and hired net addition to fixed asset, rent	last date of reference year	last date of reference month
		reference year	reference month
9	outstanding loans interest	last date of reference year	last date of reference month
		reference year	reference month

**3.0.3 Mixed activity:** Mixed activity is defined as more than one activity (classified under NIC codes 2004) carried out by one single enterprise. 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-2004. If the enterprise sells any material incidental to manufacturing in the same condition as purchased, it will not be considered as mixed activity. This concept will be useful in filling up *items 201 and 206 of block 2*. Some examples of mixed activities are given below-

1. A bakery selling cold drinks
2. A rice mill selling sugar
3. A factory running a hospital

*Some instructions to be followed in case of mixed activities: -*

- If more than one economic activity is carried out from the same premises, each of such activity is to be treated as a separate enterprise if separate books of accounts are maintained for these activities and information for them is separately available.
- If the accounts are not separable and the activities are different at 2-digit level of NIC 2004, then these activities will be considered as activities pursued by one enterprise and the enterprise will be classified as having mixed activities. Data for an enterprise will be collected as a whole encompassing all the activities pursued by the enterprise. The appropriate NIC in such cases will be determined on the basis of **major** activity.

- There may be cases, where, at the listing stage, an enterprise pursuing mixed activity was classified under manufacturing, although at detailed enquiry stage, it was found that the major activity during the 'reference year' was non-manufacturing. Then also, data for the enterprise may be collected as a whole, after recording the appropriate NIC code based on major activity during the reference year found during the detailed enquiry stage. Similarly, if major activity of an enterprise during the reference year was manufacturing, although the enterprise has pursued one or more of the minor activities during the reference month, data pertaining to the reference month will be for both the manufacturing and non-manufacturing activities.

- Determination of major activity of the enterprise pursuing mixed activity-  
Step 1: Major activity will be the activity providing highest **income** during the reference year. If activity wise income is not available, go to next step.  
Step 2: Major activity will be the activity providing highest **turnover** during the reference year. If that is also not available then go to next step.  
Step 3: Now, it will be the activity where **employment** during the reference year was highest.

Some examples of mixed activities and method followed for determining the industry-section as per NSS convention is given in page C43 of this chapter.

**3.0.4 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 is 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 taken as "mixed activity". Carrying out of more than one economic activity by the entrepreneur during the reference year is called multiple activities. *It differs from mixed activities in the sense that former is with respect to the entrepreneur whereas the latter is with respect to the enterprise.* However, an entrepreneur of a manufacturing enterprise manufacturing woollen garments before winter and cotton clothes before summer will not be considered as carrying out multiple activities. This concept will be useful in filling up **item 207 of block 2** in the detailed schedule. Some examples of multiple activities are-

- 1) A person carrying out agriculture activity at sowing/harvesting season and doing carpentry at the same time or at other times,
- 2) A household servant is making paper envelopes in free time,
- 3) An agricultural worker engaged in handicraft making during non-harvesting season of the year.
- 4) A lady working as regular wage/salary earner and also running a tailoring shop in the evenings, etc.

**3.0.5 Enterprise with branches:** If an enterprise has its office/ factory at more than one location it will be considered as an enterprise with branches. In such cases, the following steps may be taken:

**Step 1:** If a branch office is selected then collect information pertaining to that branch. In case they cannot provide any information go to next step.

**Step 2:** If the head office can provide information for that selected branch office then it should be collected from the head office. If they are also unable to provide data on branch office then go to next step.

If the information is to be collected from the head office, and the head office falls under a different SRO then the SRO under whose jurisdiction the head office falls will collect data. Then the filled in schedule can be sent back to the SRO from where the request has been made. The concerned SROs can interact with each other directly provided the RO is kept informed. In State samples also, similar procedure may be followed.

**Step 3:** When information for the selected branch is not separately available, either in the branch office or in their head office, data on receipts, expenses, wages, rent, interest etc. are to be apportioned using the number of workers in the selected branch and the number of workers considering all the branches and head office (let us call it 'the group'). An illustration is given below-

E=total expenses of the group,

W=total number of workers in the group

w=number of workers in the branch

e=expenses of the branch (which we have to calculate)

$$\text{Then, } e = E \times \frac{w}{W}$$

Similar procedure will be adopted if the head office is selected for the survey.

### 3.0.6 **Worker:** -

- According to Factories Act, 1948, a worker is defined as the persons working within the premises of the enterprise.
- This definition is extended in case of bidi and cigar workers (NIC code 16) as per the Bidi and Cigar Workers (conditions of employment) Act, 1966. According to this Act, workers include persons engaged or employed in any premises by or through a contractor with or without the knowledge of employer in any manufacturing process and employee means any person engaged or employed through an agency, whether for wages or not in any establishment to do any work, skilled, unskilled, manual or clerical and includes any labourer who was given raw material by any employer or a contractor for being made into bidi and cigar or both at home.
- However, for this survey, a worker is defined as all persons working within the premises of the enterprise, whether for wages or not. There is an exception to this case. A salesman may not work within the premises but he gets salary/wages from the enterprise for selling its products. He also will be considered as a worker of the enterprise.

- Some enterprises do not hire individuals like porters, sweepers, accountants, etc., on a fairly regular basis. These individuals **work in many enterprises** in a locality and usually receive service charges as and when they render such services to the enterprise, either on a piece rate basis or at some particular period of the year. Such persons will not be considered as workers.
- As a guideline for determining the number of workers of an enterprise, consider the following example:

An enterprise where figures are being collected from the books of accounts worked for 300 days during the reference year. On at least 151 days, it worked for 8 hours per day. Suppose, i) for at least 151 days, people have worked in 3 positions for more than 4 hours per day; ii) for at least 151 days, people have worked in 2 other positions for at least 1 hour (but at most 4 hours) per day iii) for 45 days, 1 person have worked for 6 hours per day, iv) for 30 days 4 persons have worked for 1 hour per day. Then, number of full-time workers will be recorded as 3 and number of part-time workers will be recorded as 2. Payments made to persons given in serial numbers iii) and iv) will be considered as service charges paid to other concerns. It may further be noted that workers mentioned in iii) and iv) are supposed to be considered as self-employed persons (i.e., separate enterprises belonging to some NIC division depending on their principal activity) at the listing stage.

### **3.1 Structure of Schedule 2.2:**

Total number of blocks: - **12**

**Blocks 0 and 1:** - identification of the enterprise

**Block 2:** - Some operational characteristics and background information of the enterprises

**Blocks 3, 3.1, 4 and 4.1:-** These blocks of the schedule will be used to record the operating expenses and receipts of the enterprise. Blocks 3 and 4 will record the principal expenses and receipts whereas blocks 3.1 and 4.1 will record the other expenses and receipts. Care may be taken so that there is no omission or duplication of entries on expenses between blocks 3 and 3.1. Similarly, omission or duplication of recording receipts may be avoided between blocks 4 and 4.1. Schedule 2.2 has been designed in such a way that the different types of receipts and expenses for mixed activity of enterprises can also be accommodated within the framework of blocks 3 and 4. To meet this objective, each of these two blocks has been subdivided into 2 sub-blocks. The first sub-block is meant for specifically recording the manufacturing activity whereas the second sub block is for recording the other activities, if any, including the purchase/ sale of commodities without any transformation. If the enterprise is carrying out mixed activities of two or more types of manufacturing, the data of blocks 3 and 4 will refer to all the manufacturing activities taken together.

**Block 5:** Calculation of gross value added of the enterprise will be done here. If the value of the receipts in block 4 is collected at ex-factory price, then

distributive expenses will not be recorded in this block. In normal situations, gross value added is found as positive. However, if the gross value added arrived at is negative, remarks justifying the reason of the same must be provided.

**Blocks 6 and 7:** The employment and emolument related particulars of the enterprise would be recorded here.

**Blocks 8 and 9:** information on fixed assets and outstanding loans of the enterprise would be recorded in these blocks.

- After arriving at the selected enterprise for detailed enquiry, the field worker will first ascertain whether the enterprise can provide financial data from its books of accounts. If not, only then financial data may be collected through oral enquiry. An example of filling-in schedule 2.2 using books of accounts is given in pages C44-C51. Whenever data for an enterprise is collected from its books of accounts, and the enterprise provides a copy of its balance sheet/ profit and loss account, the *same will be attached with the schedule invariably*.
- Moreover, data for the schedule will be for all activities pursued by the enterprise, i.e., if the enterprise is pursuing mixed activities, and accounts are not separable, data will cover all the individual activities.
- If the enterprise was in operation in one location and has shifted to the current location during the reference year, data will pertain to entire operation carried out during the reference year considering all the locations where the enterprise has operated.
- While recording data through oral enquiry, lump-sum receipts/ expenses, compensation to workers etc. for entire reference year will be apportioned. For apportioning, the divisor will be 12 for perennial and casual enterprises and it will be the number of months operated for the seasonal enterprises.

### **Detailed description of Schedule 2.2 and major instructions for each item**

3.1.1 At the top of the first page of Schedule 2.2, two items have been given in boxes. The box on the left hand side relates to whether the schedule is being canvassed in rural or urban area. On the right hand side, type of sample (central/ state) has been given. A tick mark (✓) may be put against appropriate items in the boxes.

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

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

### **Block 1: Identification of Sample Enterprise/ Establishment**

3.1.2.0 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. **Items 12 to 16** of this block are *not applicable* for the enterprises surveyed through the *list frame*.

3.1.2.1 **Items 1 and 2:** These items will be copied from the sample list/ list frame. In urban areas, some registered SSI enterprises are being surveyed *directly from a list of such units*. This list is called the list frame. Serial number given for these SSI enterprises appearing in the list frame will be recorded in item 1 and code in item 2 for these enterprises will be 1. Thus, code 1 in item 2 can appear only in urban areas. *The enterprises selected through the listing schedule (schedule 0.0) are called the enterprises belonging to the area frame. Although a list of enterprises to be surveyed in segment 9 of some villages belonging to area frame is being provided to the field staff, these enterprises will be considered as belonging to the area frame.* For them, serial number of the village or urban block, as given in the sample list, will be recorded in item 1 and code in item 2 for these units will be 2.

3.1.2.2 **Items 3 to 11:** These items will be copied from schedule 0.0 except for items 3 and 4, which are already printed in the Schedule. For the list frame enterprises, code in item 10 (sub-sample) will always be 1.

**Items 12 to 16 are applicable only for the enterprises belonging to the area frame, i.e., enterprises for which code in item 2 is 2. Items 17 to 20 will be applicable for all enterprises. For the enterprises surveyed through list frame, '-' will be given in each of the items 12 to 16.**

3.1.2.3 **Items 12 to 16:** Entry against items 12 and 13 will be copied from the sample list, while items 14 to 16 will be copied from block 2 (for segment 9) or block 5b (for segments 1 or 2) of the listing schedule.

- In case an enterprise is classified as one type (eg.-OAME of BMG 1) during the listing stage, and later, after selection of enterprises, during the detailed enquiry stage, it is found to be of another type (eg.-NDME of BMG 3) then also, no change in codes may be made in the listing schedule. Moreover, code in item 15 of block 1 of schedule 2.2 will be the same as the one recorded in block 2 (column 13) or block 5b (SSS number printed in one of the columns 36 to 41) of schedule 0.0 (e.g., code 1 and **not** code 6).

3.1.2.4 **Item 16: Sample enterprise no:** Eligible enterprise serial number will be copied from column 14, block 2 of schedule 0.0 *for segment 9 enterprises*. In case of enterprises selected from segment 1/2, sample enterprise number will be copied from the *relevant column*, which is one of the columns 36 to 41 of block 5b of Schedule 0.0. *Copying 'manufacturing enterprise serial number' from column 3, block 2 or column 23, block 5b of schedule 0.0 should never be done.*

**3.1.2.5 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 working in the enterprise- 9.

**Items 18 and 19 will be filled after completing the detailed enquiry.**

**3.1.2.6 Item 18: Response code:** The type of informant, considering his co-operation and capability in providing the required information, will be recorded against this item in terms of specified response codes. The codes are:

Informant:

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

**3.1.2.7 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. For the enterprises appearing in the list frame, there will not be any substitution. Hence, code 2 will not be applicable for such enterprises.

- The list frame and segment 9 of area frame is being prepared based on data of census of Small Scale Industries done during the year 2003. There may be cases where at the time of current survey, a manufacturing unit with a different name or under a different management is found in the same location. Such an unit, as long as its activity falls under the coverage of the current survey in terms of NIC 2004, will be surveyed.
- Similarly, while doing the survey, it may be found that the enterprise appearing in the list frame or segment 9 of area frame has been split into two or more separate enterprises or a part or whole has been rented out to some other person. A combined schedule considering all the enterprises which pursued manufacturing activity in the given location during the reference year will be filled in such cases.
- If the code in this item is '3', only 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. Care may be taken to despatch the 'CASUALTY' schedules as well.

**3.1.2.8 Item 20: Reason for: casualty (list frame and segment 9 of area frame)/ substitution of original enterprise (segment 1/2 of area frame):** As the description suggests, this item will serve a twin purpose. On one hand, reason for casualty for an enterprise belonging to either list frame or segment 9 of area frame will be recorded here. On the other, if an enterprise of either segment 1 or segment 2 was originally selected but a substitute was ultimately surveyed, the reason for first substitution will be recorded in this item.

- If an enterprise belonging to the list frame or segment 9 of area frame can not be surveyed, it will be treated as casualty. Such an enterprise may become 'CASUALTY' due to several reasons. It may be currently under the latest ASI frame, which renders itself outside the survey coverage. The enterprise may even turn out to be a Government or PSU unit. Alternatively, during the entire reference year, the unit may not be operating at all or was closed due to some reason or other like strike, lock-out, etc. These different reasons of the list frame (or segment 9 of area frame) unit becoming a 'CASUALTY' will be captured in this item. Detailed description of the actual reason for code '9' in such enterprise will be written. The corresponding codes are:  
 enterprise: Government/ PSU/ registered under Section 2m(i) or 2m(ii) of Factories Act, 1948/ Bidi and Cigar Workers (Condition of Employment) Act, 1966 and under the coverage of ASI – 1,  
 non-operative/closed during the reference year/ non-traceable – 2,  
 in operation during the reference year but data could not be collected – 3,  
 others(specify) – 9.
- Suppose enterprise 'A' belonging to segment 1 was originally selected. Since the informant was non-co-operative, it was substituted with enterprise 'B'. This enterprise was again substituted as the informant was busy and finally enterprise 'C' was surveyed. Then, in this item code will be 3 and not 1. The different codes applicable for reason for substitution of an enterprise belonging to segment 1 or segment 2 of the area frame will be:  
 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 and the exact reference month/ year of data collection will be recorded. Care may be taken so that invalid codes are not entered, particularly in case of codes pertaining to NIC. The item numbers in this block have been provided after the item description to facilitate data entry. Care may be taken so as to maintain clear gap between the item numbers printed in the schedule and the codes recorded by the field staff.

3.2.1 **Item 201: 5-digit code as per NIC-2004:** The actual description of the entrepreneurial activity (*not a copy of the description given in the book of NIC 2004*) may be recorded in the space provided in this item. Below the description, NIC code as per the NIC-2004 may be written at **5-digit level**. Each box will contain one digit and no box will remain empty. The different NIC divisions under coverage (two-digit codes of NIC 2004) are given below:

NIC 2004 code	Description of activity (as per NIC 2004)
01405	Cotton Ginning, Cleaning and Baling
15	Manufacture of Food Products And Beverages
16	Manufacture of Tobacco Products
17	Manufacture of Textiles
18	Manufacture of Wearing Apparel; Dressing And Dyeing Of Fur
19	Tanning And Dressing of Leather; Manufacture of Luggage, Handbags Saddlery, Harness And Footwear
20	Manufacture of Wood and of Products of Wood And Cork, except Furniture; Manufacture of Articles of Straw And Plating Materials
21	Manufacture of Paper and Paper Products
22	Publishing, Printing And Reproduction of Recorded Media
23	Manufacture of Coke, Refined Petroleum Products and Nuclear Fuel
24	Manufacture of Chemicals And Chemical Products
25	Manufacture of Rubber and Plastic Products
26	Manufacture of other Non-Metallic Mineral Products
27	Manufacture of Basic Metals
28	Manufacture of Fabricated Metal Products, Except Machinery and Equipments
29	Manufacture Of Machinery And Equipment N.E.C.
30	Manufacture of Office, Accounting And Computing Machinery
31	Manufacture of Electrical Machinery and Apparatus N.E.C.
32	Manufacture of Radio, Television and Communication Equipment and Apparatus
33	Manufacture of Medical, Precision and Optical Instruments, Watches and Clocks
34	Manufacture of Motor Vehicles, Trailers And Semi-Trailers
35	Manufacture of other Transport Equipment
36	Manufacture of Furniture; Manufacturing n.e.c.
37	Recycling

**3.2.2 Item 202: Nature of operation:** This item intends to capture the seasonality of the enterprise under survey. The guiding factor will be the duration of operation of the enterprise during the reference period. The different types are:

Nature of operation of the enterprise during the reference year	Nature of enterprise	code
operated more or less regularly throughout the year	perennial	1
enterprise operated only during particular season (s) of the year	seasonal	2
carried out its activity only occasionally, but total number of days operated was 30 days or more	casual	3

An enterprise operating for the major part of a year and manufacturing different seasonal items during different months/seasons of the year will not be considered as a seasonal enterprise, if it does not keep separate accounts for these activities. For example, suppose an OAME manufacturing plastic goods made *pichkaris* during *holi* and plastic pitchers during rest of the year. If accounts are not separable, it will be considered as a single perennial enterprise. Again, suppose an OAME manufactured *agarbatti* during one season, fire-crackers during some other season and woollen clothes during a third season. The accounts for these activities are not separable. As the enterprise has run throughout the year, it will be considered as a perennial enterprise and not a seasonal one. Rice mills, etc. operating for major part of the reference year will be considered as a perennial enterprise and not a seasonal one.

**3.2.3 Item 203: Number of months operated during the reference year:** The number of months should be given in whole number. Here, month means a continuous block of 30 days, including scheduled holidays.

**3.2.4 Items 204 and 205: Number of hours the enterprise normally worked in a day:** Self-explanatory. In these items, normal working hours in a day within the reference month/year, including days spent on maintenance of machinery will be reported. In item 204, such working hours may be arrived at by considering all the days during the reference year (for seasonal enterprises, days belonging to operating months only), while for item 205, days within the reference month will be considered to get the required number of hours.

**3.2.5 Item 206: Mixed activity:** Code will be 1 for mixed activity and 2 otherwise. If the response is 1, care must be taken to fill up item 201 (as per instructions in paragraph 3.0.3 above).

**3.2.6 Item 207: Type of ownership:** The definition of different types of ownership and corresponding codes are:

Type of ownership	Description	Code
Proprietary	Here, an individual is the sole owner of the enterprise.	Male - 1
		Female - 2
Partnership	It means 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.	Persons from the same household - 3
		Persons from different households - 4

Type of ownership	Description	Code
Co-operative society	It is a society 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 members share the profits. The government or government agency can also be a member or shareholder of a registered co-operative society but this fact cannot render the society into a public sector enterprise for the purpose of the present survey.	5
Limited Company (outside public sector)	'Company' is an enterprise registered under the Companies' Act, 1956. 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, and (c) PROHIBITS any invitation to public to subscribe for any shares or debentures of the company. Public company means a company which is not a private company	6
Others	These are the enterprises not falling under any of the above categories, e.g., public limited company.	9

- Partnership may be based either on formal registration or on the basis of tacit understanding. If ownership of an enterprise is with a Hindu Undivided Family (HUF), the treatment will be same as for proprietary enterprises.

**Items 208 to 212 will be recorded if the enterprise is of proprietary or partnership one, i.e., if code in item 207 is any one of the codes 1 to 4. For other enterprises, put '-' in each of items 208 to 212.**

**3.2.7 Item 208: Did the working owner (s) undertake any other economic activity during the reference year:** If the working owner (s) carried out multiple activities during the reference year, then code in this item will be 1. If the surveyed enterprise was his (their) only source of income throughout the reference year, code will be 2.

3.2.7.1 In case of partnership enterprises, if all the partners are from the same household (enterprises with ownership code 3), working owner will mean all the partners together. This approach will also be followed if the ownership is HUF. If the partnership is between members from different households (enterprises with ownership code 4), working owner will be the major partner. Major partner will be the partner getting maximum share of the profit of the enterprise, or bearing the maximum part of the loss. If all the partners share the profit/ loss of the enterprise equally, the partner taking major decisions will be the major partner. If this also

does not relate to a single individual, major partner will be the senior most partner by age.

**For working owners who pursued activities other than the one of the present enterprise (entry in item 208 being 1), items 209 to 211 will also be filled. If code in item 208 is 2, put '-' in each of items 209 to 211.**

**3.2.8 Item 209: Is the present enterprise major source of annual income of the owner:** Here, the 'owner' will refer to the same person(s) for whom data was collected in item 208. Suppose the owner (or one of the owners) worked as a casual labour in agriculture in addition to the activity of the enterprise during the reference year. If major part of his annual income was derived from this enterprise, then the entry to this item will be 1. Otherwise it will be 2.

**If major income of the owner is not derived from the surveyed enterprise (code in item 209 being 2), items 210 to 211 will also be filled.**

**3.2.9 Items 210 and 211: most important other activity:** Entry '2' in item 209 means that the owner derives a **minor** part of his annual income from the surveyed enterprise. This part of annual income of the owner as a percentage of his total annual income will be recorded in item 210. The description of the activity from which the owner derived maximum annual income and corresponding industry-section as per NIC 2004 will be recorded in item 211. For example, suppose the owner derived an income of Rs.3988 from production of rice, Rs.1200 from a tea stall and Rs.4812 from the manufacturing enterprise during the reference year. Then, entry in item 210 will be 48 and the entry in item 211 will be 'A'.

The different industry sections of NIC 2004 to be considered here are:

NIC '04 section	Description of activity (as per NIC 2004 book)
A	Agriculture, Hunting and Forestry
B	Fishing
C	Mining and Quarrying
D	Manufacturing
E	Electricity, Gas and Water Supply
F	Construction
G	Wholesale and Retail Trade; Repair of Motor Vehicles, Motorcycles and Personal and Household Goods
H	Hotels and Restaurants
I	Transport, Storage and Communications
J	Financial Intermediation
K	Real Estate, Renting and Business Activities
L	Public Administration and Defence; Compulsory Social Security
M	Education
N	Health and Social Work
O	Other Community, Social and Personal Service Activities

**3.2.10 Item 212: General educational level of the working owner:** For the proprietary or partnership enterprises, the educational qualification of the owner should be entered in codes. The codes are:

not literate - 01, literate without formal schooling - 02, literate but below primary - 03, primary - 04, middle - 05, secondary - 06, higher secondary - 07, diploma/ certificate course - 08, graduate - 10, post-graduate or above - 11

- In case of partnership, or HUF, 'working owner' will be the major partner. Major partner will be the partner getting maximum share of the profit of the enterprise, or bearing the maximum part of the loss. If all the partners share the profit/ loss of the enterprise equally, the partner taking major decisions will be the major partner. If this also does not relate to a single individual, major partner will be the senior most partner by age.

**3.2.11 Item 213: Whether Accounts maintained:** Three codes have been provided for this item. If the enterprise maintained books of accounts and information on receipts, expenses, assets, etc. is collected from it, code will be 1. If the enterprise informs that they maintained books of accounts, but provides financial information orally, code will be 2. If the enterprise did not maintain any usable books of accounts, then the code will be 3.

**3.2.12 Item 214: Data of blocks 3 to 7 collected for the period:** From the discussion on the reference period, it is clear that if the enterprise is ready to provide information from their books of accounts, data will be collected from it for the entire accounting year, which, in most of the cases will be one year. On the other hand, if the enterprise provides information orally, data on operating expenses, receipts, employment, emoluments, etc. will be collected for a one-month period prior to the date of survey. The actual period for which information from the enterprise is collected will be recorded here. There are two sets of six cells in this item for recording the first and last dates of this period in date-month-year (DD-MM-YY) format. For example, if data is collected for 1<sup>st</sup> April 2004 to 31<sup>st</sup> March 2005, it will be recorded as: from 010404 to 310305. Similarly, if data is collected from 1<sup>st</sup> November 2005 to 30<sup>th</sup> November 2005, it will be recorded as: from 011105 to 301105. If a seasonal enterprise has worked for less than 30 days in the current season, this entry may be given as '- - - - -'. This may, however, be reflected through remarks.

3.2.13 **Item 215: Location of the enterprise:** Six codes have been provided for this item. The codes and some corresponding explanations are:

Location:

Within household premises		1
<b>outside household premises:</b>		
with fixed premises and with permanent structure	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	2
with fixed premises and with temporary structure/kiosk/stall	Temporary structures can be removed from its present location with some effort. Some examples are stalls, kiosks, etc.	3
with fixed premises but without any structure	Fixed premises but with no structure (except for some makeshift arrangement for shade etc.)	4
mobile market	If the enterprise shifts from market to market but the owner (e.g. <i>hat</i> 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	5
without fixed premises (street vendors, etc.)	Street vendors	6

If, both the codes 5 and 6 are applicable for an enterprise, major time criterion will decide the appropriate code.

3.2.14 **Item 216: Registered/ recognised under any act/ authority:** If the enterprise is registered under one or more Acts/ Authorised agencies, code will be 1. Otherwise code will be 2.

**If the enterprise is registered/ recognised under any agency (code in item 216 is 1), items 217 to 218 will also be filled.**

3.2.15 **Items 217 and 218: registered under (code):** codes for a maximum of two agencies under which the enterprise got itself registered/ recognised will be noted in items 217 and 218. The codes for various acts/ authorities of registration are:

District Industries Centre as Small Scale Industry (SSI)	01	silk board	06
khadi and village industries commission	02	jute commissioner	07
development commissioner, handicrafts	03	section 85 of factories act	08
development commissioner, handlooms	04	municipal corporation, panchayat, local body	10
coir board	05	other (please specify)	19

- If the enterprise is registered under only one registration agency, then only item 217 is to be filled, and 218 will be crossed. If the enterprise is registered under two registration agencies, items 217 and 218 will be filled.

- If it is registered with more than two agencies, then items 217 and 218 must be filled up according to the preference given in the above table, as per the following illustrative example:-

Suppose one enterprise is registered under state directorate of industries (including District Industries Centre)(code-01), municipal corporation, panchayat, local body (code-10) and Development Commissioner, handlooms (code-04). Then the entries will be:

<b>Item 217</b>	<b>01</b>
<b>Item 218</b>	<b>04</b>

- The preference of the respondent *will not be considered* in this case.

**3.2.15 Items 219 to 222: Source/ destination agency:** The objective here is to find the nature of forward and backward links of the enterprise with its immediate supplier of basic inputs and immediate purchaser of the goods/ services.

- If there is only one source/ destination agency, it should only be noted in item 219/ 221.
- In case the number of source/ destination agencies is more than one, the top two sources/ destinations may be considered in terms of highest purchase/ sale for recording the codes. The relevant codes are:

Government - 1, co-operative/marketing society - 2, private enterprise - 3, contractor/ middleman - 4, private individual/household - 5, no specific source agency - 6, others - 9.

- Code 6 is applicable for item 219 only.

**3.2.16 Items 223 to 228: Nature of problems faced, if any, during the reference year:** Different types of problems faced by the unorganized manufacturing enterprises during the reference year in their day-to-day operation will be recorded against these items in terms of codes. The codes for items 223 to 227 is 1 if the problem exists, else it is 2.

- For item 228, provision has been made to record code for one additional problem, which is not included in the list of items from 223 to 227. The codes for additional problem are:

local problems/ harassment - 1  
 competition from larger units - 2  
 non-availability of labour/ labour problems - 3  
 fuel not available or available at exorbitant price - 4  
 non-recovery of service charges/ fees/ credit - 5  
 lack of other infrastructure facilities - 9  
 no specific problem - 6

For code 9, the problem may be mentioned in the space provided to the right of the item. If there is no specific problem other than the ones mentioned in items 223 to 227, code 6 will be recorded in item 228. If more than one code is applicable, the problem most important according to the informant (among problems with codes 1 to 5) will be recorded in item 228.

**3.2.17 Item 229: Did the enterprise undertake any work on contract basis:** 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.

- A branch enterprise doing its jobs as specified by its head office will not generally be considered as working on contract. However, if the head office got some job on contract from outsiders and got it done through the branches, then the branch will be considered as working on contract..
- Jobs done for households who are final consumers of the product (e.g., making 25 shirts and *shalwars* for persons of a household for their use during festival season), will not be considered as a work done on contract, although the households may specify the type of product they want.

**If an enterprise undertakes work on contract basis (code 1 in item 229), items 230 to 233 will be filled in. If code in item 229 is 2, put '-' in each of items 230 to 233.**

**3.2.18 Item 230: Type of contract:** The codes are:

working: solely for enterprise/contractor - 1

mainly on contract but also for other customers - 2

mainly for customers but also on contract - 3

**3.2.19 Items 231/ 232: Equipment/ raw materials supplied by (code):** The same set of three codes is applicable for these two items. These are -

raw materials/ equipment procured by the entrepreneurs on their own - 1

raw material/ equipment supplied by the master unit/ contractor - 2

both - 3.

**3.2.20 Item 233: Design specified by contractor? (yes- 1, no- 2):** In certain cases the contractor specifies the design of product to the server unit. This is common in garment manufacturing, shoe manufacturing, tailoring, etc. In such situations, code 1 will be recorded. Otherwise, the code will be 2.

**3.2.21 Items 234 and 235: 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 organization 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. Two most important assistances received during the last 5 years are to be reported in codes in descending order of the importance of assistance in items 234 to 235. The codes are:

financial loan (institutional) - 1, financial loan (non-institutional) - 2, subsidy - 3, machinery/ equipment - 4, training -54, marketing - 6, procurement of raw material - 7, others - 9, no assistance received from any source - 8.

An institution here refers to all credit agencies described in paragraphs 3.9.2.1 and 3.9.2.2 below (agencies corresponding to items 901 and 902 of the schedule).

**3.2.22 Item 236: Status of the enterprise over the last 3 years:** The objective of this item is to record the owner's impression about the growth or decline of the enterprise in the recent past (last three years). The codes are:

expanding - 1, stagnant - 2, contracting - 3, operated for less than 3 years - 4.

- If the enterprise started its operation within 3 years of the date of survey, code will be 4. Otherwise, the codes will be recorded depending on owner's perception.

**3.2.23 Item 237: enterprise type during the reference year:** The actual enterprise type on the basis of total number of workers and number of hired workers normally worked during the reference year will be recorded here. If the enterprise normally ran without any hired worker during the reference year (irrespective of whether it had hired workers during the reference month or not) it will be considered as an OAME and the code will be 1. If it normally ran with 1 or more hired workers, code will be 2 or 3 depending upon whether the total number of workers (working owners, hired workers and other workers all taken together) during the reference year was less than 6 or not.

➤ There is a possibility of finding at this stage that the enterprise type found now differs from the one recorded during the listing stage (e.g., an enterprise is actually an NDME although it was listed as a OAME). In such cases, no change/adjustment in any of the two schedules will be made. This change is not required even if all enterprises of a village/UFS block are surveyed.

### **Blocks 3 & 3.1: Principal 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 principal expenses will be covered in block 3 and operating expenses not included in block 3 will be covered under block 3.1. The reference period for the blocks will be reference year if information is recorded

from the books of accounts, and reference month if information is received orally, as mentioned in paragraph 3.0.2.

- 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. Estimated charges may be recorded in such cases.
- If any of the items of block 3.1 is already covered under block 3, then it should not be repeated in block 3.1. Both these blocks should be filled up in such a way that there is no duplication and omission.

3.3.0.2 This schedule covers manufacturing activity. But, manufacturing can also be mixed with any other non-agricultural activity. So, block 3 has been divided into 2 sub-blocks. For each sub-block, relevant NIC-2004 codes have been provided so that information pertaining to the respective NIC(s) only is recorded in the sub-blocks. Both quantities and values to be collected in these sub-blocks will be in whole number only.

- The first sub-block records the principal expenses for manufacturing only.
- In case an enterprise sells any goods incidental to manufacturing, the purchase value of such goods is to be recorded in item 311 of second sub-block (e.g., if a shoemaker purchases shoe soles, uses some of them for making shoes and sells a few soles, then purchase value of the shoe soles sold will appear in item 311, while the purchase value of soles consumed for manufacturing shoes will be reported in one of the items 301-305. Similarly, suppose an oil mill manufacturing cotton seed oil, purchases cotton, uses cotton seed to manufacture oil and sells some cotton. The purchase value of cotton sold will be reported in item 311, while cotton, etc. used for manufacturing will appear in items 301-305).
- In case an enterprise sells any material in the same condition as purchased, and the material is not something used for its core activity (i.e., manufacturing) the purchase value of such transaction is to be recorded in item 312 of second sub-block (e.g., sweetmeat shop selling *beedi*, flour mill selling sugar, *beedi* maker selling *pan*, etc.).
- In case of mixed activity, any other principal operating expense relating to activities other than the manufacturing activities should be reported in items 311 – 313 of second sub-block.

### 3.3.1 First sub-block: manufacturing activity

3.3.1.1 **Items 301 to 306:** This sub-block will record the *materials consumed in the manufacturing process*. Information in respect of at most five major raw materials (excluding intermediate products) used in the manufacturing process is to be recorded in items 301 – 305 for the reference period. Item 306 will record combined value of the remaining raw materials consumed during the reference period. For items 301 – 305, names of the raw materials consumed are to be given in column 2. In column 3, codes are to be given for each of the raw materials mentioned in

column 2 using the latest Annual Survey of Industries Commodity Classification (ASICC) codes. In column 4 code for unit of quantity for respective commodities is to be given. In columns 5 and 6 the quantity consumed in the manufacturing process and corresponding value is to be recorded for the reference period.

- The reference period for this block will be a reference month, if the enterprise is providing information orally. It will be the reference year if information is provided from their books of accounts. The same reference period will be used to collect information on most of the items of blocks 4 to 7 and also information on rent and interest payments of blocks 8 and 9 respectively.
- It may be noted that in items 301 – 306, the quantity of raw materials *consumed* during the reference period *is to be recorded* and it should *not* be the *quantity purchased* during the reference period. Value of corresponding products and by-products and/or semi-finished goods will be recorded in block 4.
- Any material produced at home and used in the enterprise as raw material, will be included in this sub-block.
- For raw materials collected free of cost, labour charges and/or transport charges incurred, if any, will be taken as the value of the raw materials. But if no expenditure is incurred for such free collection, **no imputation** needs to be made.
- Since the activities and sizes of the enterprises are heterogeneous, quantity consumed may be small or large. Although the ASICC codes will be same as the ones used in ASI 2003-2004, to capture the heterogeneity, codes have been provided to record the unit in column 4 in which the quantity figures are recorded. It is important to notice that the unit of quantity mentioned in ASICC codebook will not be considered. (e.g., for iron ore n.e.c, ASICC code 22129 will be used irrespective of whether the same is reported in tonne or in kg, the unit of quantity code will be 02 if it is reported in kg and will be 03 if it is reported in tonne). The unit of quantity codes for column (4) are:

No. – 01, Kg – 02, tonne – 03, metre – 04, Sq. metre – 05, Cu. Metre – 06,  
Litre – 07, pair – 08, gram – 09, carat – 10, Kwh – 11,  
no. in '00 – 12, no. in '000 – 13, others – 19.

**3.3.1.2 Valuation:** The valuation of the consumption of material is done in terms of purchase price, which means delivered value including agent's commissions and taxes/ duties paid if any. In case of homegrown raw materials, ex farm price will be considered. Imputation of values for freely collected materials will not be made. However, any labour charge, transportation charges actually incurred will be recorded.

### 3.3.2 Second sub-block: trading and other activities

Trading is defined as an act of purchase and sale of goods without any transformation. eg.- a grocery shop , a fruit vendor. A manufacturing enterprise indulges into such an activity due to a variety of reasons. Some enterprises purchase materials required for producing the items manufactured. It simultaneously sells a part of these materials as well. Some enterprises, in addition

to manufacturing, purchases and sells some other commodities. To capture these two types of activities separately, two items have been provided in this sub-block, viz. items 311 and 312. Purchase value of all the materials (which the unit can also use for its manufacturing activity) sold in same condition as purchased, termed as 'goods incidental to manufacturing' will be recorded in item 311. The combined value of purchase of the remaining items traded will be reported against item 312. If the enterprise pursues manufacturing activity mixed with some service activity other than trade, (e.g. restaurant), purchase value corresponding to the items consumed for running this service activity will be recorded in item 313.

#### Some Do's and Don'ts

- ✓ Report value of credit-purchase also.
  - ✓ Full value of the commodities will be reported. Purchase price will include transport charge, sale tax, octroi and any other incidental charges.
  - ✓ Include items purchased for the purpose of sale.
  - ✓ If enterprise is pursuing mixed activity then relevant data can be recorded in items 311 to 313.
- Barter trading should not be treated as trading activity.
  - A manufacturer selling its products manufactured is not trade.

#### **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. Duplication of recording expenses should be avoided.

#### **3.3.3.2 Items 321 and 322: electricity charges and fuel & lubricant:**

- If the total amount of electricity consumed during the reference period is not paid, the amount payable pertaining to the period will be ascertained and recorded here. If the exact amount of the bill is not known for reference period, the value will be estimated based on the electric bills paid during the recent past.
- The value of coal/coke, other fuels, 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*.

#### **3.3.3.3 Item 323: raw materials consumed for own construction of building, furniture and fixtures:**

- Own constructions for the enterprise will include materials consumed for-
- construction of passage, raising wall, digging well, etc.,
  - construction of rooms, roof, etc. of building or entire building,
  - Making furnitures, fixtures and small machineries of the enterprise.

**3.3.3.4 Items 324 to 328: minor repair and maintenance:** These items will show the expenses made for **minor** repair and maintenance. Both the value of materials used in repair and service charges paid for maintenance will be included. Replacement of some **major** parts of fixed assets, involving considerable expenditure, and which increases the life of the fixed asset **will not** be included here. Some examples of expenses not to be included here are major overhauling of motors of a machine, retreading of tyre of car, replacing hard disk of a computer, changing roofing material of a room, etc. On the other hand, minor repairs such as whitewashing of rooms, routine maintenance of machinery, repair of punctures of transport equipment, etc. will be included here.

**3.3.3.5 Item 331: rent payable on fixed assets (other than land and building):** 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.

- Rent payable reported against this item will be equal to the rent payable reported in column 6 for items 802 to 805 of block 8.

**3.3.3.6 Item 332: service charges for work done by other concerns (contract, sub-contract, legal, audit, advertising and other accounting services, warehousing expenses, commission expenses, etc.):** This item will include-

- Charges payable for work done by other concerns, i.e., commissions payable to agents and payment towards contract and sub-contract services availed by the enterprise,
  - Payments which are made/ due to be made to other concerns for work done on materials supplied to them by the reporting enterprise,
  - Charges paid to home-workers or sister concerns,
  - Charges paid to other agencies for the services of night-watchman, driver, etc.,
  - Charges paid to porters, sweepers, accountants, etc., who generally work for many enterprises in a locality.
- When payments made by the enterprise to some individuals are recorded in this item, persons receiving these payments will not be counted as workers of the enterprise and payments received by them will not be considered as emoluments.

**3.3.3.7 Item 333: 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. Transportation charges associated with selling of products are part of distributive expenses of an enterprise. These will not be included here.

**3.3.3.8 Item 334: 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.

**3.3.3.9 Item 335: purchase of 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. The value of packing materials like paper, cloth, etc. will 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.

**3.3.3.10 Item 336: paper, printing and stationery expenses:** For any enterprise, some amount is paid for purchasing materials like paper, printing of bills or logos and other stationery articles. All such charges may be recorded against this item. It may be noted that the stationery may be purchased at one time and used for several months. In such cases, monthly consumption may be estimated and reported.

**3.3.3.11 Item 337: license fees, cess charged by local bodies, other local rates (building tax, etc) (excise duties and other indirect taxes are not to be included):** This will include license fees, municipal/*panchayat* taxes on land and/or building and any other cess or taxes for the reference period. 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 equipments of the 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.

**3.3.3.12 Item 338: royalties and insurance charges payable:** Sometimes the enterprises have to pay royalties for making a product to some other individual or organisation. Enterprises also insure its properties like building, machinery, transport equipment, etc. These charges will be recorded here. Insurance premiums paid for the employees of the organisation, however, are a part of compensation to the employees and this will not be recorded here.

**3.3.3.13 Item 341: other expenses:** Any other operating expenses of the enterprise, which are not covered under any of the items 321 to 338, will be reported against

this item. Regular *puja* expenses, expenses towards customer entertainment, purchase of daily newspaper, etc. are a few expenses of this type.

#### **Block 4: Principal receipts**

3.4.0 Block 4 will record the principal receipts in two sub-blocks corresponding to which the principal expenses have already been collected in block 3. The items are divided into the sub-blocks activity-wise against which the principal receipts will appear. Precaution has to be taken that whenever an item has already been covered in block 4, receipts are not duplicated against any item in block 4.1. The emphasis in data collection will be on the amount receivable during the reference period.

##### **3.4.1 First sub-block: Manufacturing activity**

The purpose of this block is to record the quantities and values of finished products and by-products produced in the enterprise during the reference period. Products and by-products will be the commodities produced, including the semi-finished ones, using the raw materials consumed during the reference period (recorded in block 3). Change-in-stock will be recorded for the semi-finished goods only. Procedure of valuation of output has been given in paragraph 3.4.1.2. The reference period will be the same as the one used for block 3.

**3.4.1.1 Items 401 to 406: products and by-products manufactured:** Names of five major products/by-products, ASICC code, unit of quantity, quantity and value of their output will be recorded in columns 2 to 6 against each of the items 401 to 405. For each commodity, the appropriate commodity code is to be taken from ASICC and recorded against items 401 to 405 together with the unit of quantity and quantity produced. If the number of products and by-products exceeds five, the values of remaining products will be added together and the total will be shown against item 406.

✓ The intermediate products are defined as the products which are produced by the enterprise and used in the production of final products of the manufacturing unit and lose their identity in the final product. These items will not be included in these items.

✓ The units of quantity should be same as for items 301 to 305.

✓ The quantities and values will be recorded in whole number.

✓ Entry in items 301 to 306 means that some consumption of materials was done during the reference period, which in turn implies that some products and by-products were manufactured or some articles are in semi-finished stage. Value of these products and by-products, whether sold or not, will be reported in items 401 to 406 and value of the semi-finished goods will be reflected in items 411 to 413. Although there are some exceptions, a positive entry in item 309 implies positive entry in item 419 (along-with its constituent items). Some examples of exceptions are use of thread and button in tailoring enterprises, purchase of tobacco by *beedi* makers doing only job-work, etc. However, all the cases where item 309 is positive but item 419 is not must be substantiated with proper remarks.

**3.4.1.2 Valuation:** The value of finished products and by-products which were produced and made ready for sale/use/free distribution/home consumption and the value of intermediate products, if any, that were produced and made ready for sale during the reference period, will be recorded in whole number of rupees. All semi-finished goods should be evaluated *at cost price including labour cost*. For the finished goods, the value can be recorded **either at ex-factory value or at sale value**. If value is recorded at ex-factory value, distributive expenses will not be reported subsequently. Value of manufactured products lost by theft, damaged/destroyed by fire, etc., during the reference period will also be included in the valuation. Sale value means the gross sale value of the products and by-products as charged from the customers. It includes excise duty payable, sales tax/VAT realised by the enterprise on behalf of the Government as also all the other 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 including insurance charges, etc. payable on them), commission to selling agents, etc. While computing the distributive expenses such as VAT, net amount transferred from the enterprise only will be considered. Please see the example at *paragraph 3.5.2* for the method to be followed for calculation of values embedded with components such as VAT, excise duty, etc. transferable to Government. The gross sale value of the product manufactured during the reference period may be calculated using the average sale price of the products sold. **Care may be taken that the distributive expenses included in column 6, block 4 are consistent with those recorded in item 502 of block 5.**

**3.4.1.3 Items 411 to 413: opening, closing and change in stock of semi-finished goods:** Semi-finished goods are defined as goods, which are yet to be processed to transform into final product.

Item 411: stock of semi-finished goods *at the beginning* of the reference period

Item 412: stock of semi-finished goods *at the end* of the reference period

Item 413: net balance (= item 412 – item 411), which can be *either positive or negative*, and should be reported with *appropriate sign* ('+' for increase and '-' for decrease).

In some manufacturing enterprises, item-wise opening and closing stock figures may not be available in its books of accounts. Arriving at item-wise consumption of raw materials becomes tedious in such cases, particularly if the books of accounts are not accompanied with 'additional information pursuant to the provisions of part II of schedule VI to the Companies' Act, 1956'. In such cases, if entire purchase of raw materials is reported in block 3, opening and closing stock of raw materials also should be recorded in these items and not with stock figures of goods traded. Such an example has been given in last part of *paragraph 3.5.1*.

**3.4.1.4 Item 419: total:** Total (= item 409 + item 413) will give the total principal receipts of the manufacturing unit.

## Second sub-block: Trading and other activities

### 3.4.2.1 Items 421 to 424: trading: commodities sold, opening, closing and change in stock:

Item 421: It will include the sale value of all goods incidental to manufacturing, which were sold during the reference period in the same condition as they were purchased. This will also include the sale value of goods bought exclusively for re-sale. Consistency of entry in this item with entries made in items 311 and 312 will be checked.

Items 422 and 423: In any trading, generally some goods are left in stock at any point of time. Items 422 and 423 will record the opening and closing value of such stock at purchase price. The value of stock should include the credit purchases also. It is not easy to get the stock figures for the commodities traded. As a proxy measure, capital locked up in stock may be collected.

Item 424: The estimates of the stock figures, for trading activities will be noted for the beginning and for the end of the reference month. The difference (item 423 - item 422) will be noted with proper sign against item 424, which will refer to the change in stock of trading goods.

3.4.2.2 **Item 429: Total:** This is the total of items 421 and 424 and represents the total principal receipts from trading activity.

3.4.2.3 **Item 431: receipts from other activities:** If the manufacturing unit is engaged in any additional activity other than trading, gross receipts from that activity will be recorded in item 431.

3.4.2.4 **Valuation:** The valuation of trading goods sold will be done at *sale price*. Sale price will include excise duties and other incidental charges associated with sale. But this will be net of discount, rebate or allowances, which are given by the suppliers to the traders, or by the traders to the customers. However, the stock figures will always be at the purchase price.

3.4.2.5 **Item 439:** This item is the total of items 429 and 431.

### Block 4.1: Other receipts: all activities

3.4.3 If some of the items have already been covered under specific activities in block 4, they should not be reported again in block 4.1. There are six items in the block. Item 449 gives the total. Item-wise description is given below.

3.4.3.1 **Item 441: 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 receivable for job done during the reference period will be recorded here. If materials are purchased for the customer, who will reimburse the amount subsequently, price of the materials will be excluded while recording the service charges. If charges received for work done are already taken care of in block 4 (e.g., cost of materials reported in block 3 and cost of materials and charges received for making the products together reported in block 4), duplication should be avoided. Service charges received in kind are to be imputed.

**3.4.3.2 Item 442: value of own construction of building, furniture and fixtures:** This is the receipt item corresponding to the item 323 in block 3.1. In addition to the expenses reported in item 323, value of own and hired labour charges will be added to arrive at the figure for this item. Non-hired labour charges may be imputed at the prevailing local market rates.

**3.4.3.3 Item 443: 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. Grocery items consumed in household, manufactured cloth worn by the owner, restaurants providing food to the cooks are some of the items of this kind. The goods/services provided should be evaluated at cost of producing them. However, if goods obtained free of cost are consumed, *no imputation* is required.

**3.4.3.4 Item 444: rent receivable on fixed assets (other than land and building):** If a manufacturing unit hires out its assets, except land and building, the receipts from these may be recorded against this item, since value added by this marginal activity will otherwise be missed.

**3.4.3.5 Item 445: funding / donations received (including recurring govt. grants and subsidies):** Lump sum donation/ grant/ subsidy received may be apportioned for the reference period and recorded.

**3.4.3.6 Item 446: other receipts:** This will include any other receipt incidental to entrepreneurial activity. Receipts from services like agency, consultancy, etc. will be recorded here. Royalties and incentives received by the enterprise, 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 enterprises may be shown here.

3.4.3.6.2 Other receipts will *exclude* interest and dividend receipts, since these are not accrued due to entrepreneurial activity. Similarly, in operating expenses, rent on land and building will not be included. Please note that these components are not included for computation of gross value added of the enterprise, both in the ASI and the unorganised sector surveys. However, in the ASI, interest and rent

receipts are collected to arrive at the *profit before tax* figure of the enterprise, and it is used to check overall consistency of data with respect to the books of accounts.

3.4.3.7 **Item 449: total:** This is total of items 441 to 446.

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

3.5.0 This block has only three items. 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 which include excise duty, sales tax, VAT, commission to selling agents, outward freight and transport charges, etc. of the enterprise as mentioned in paragraph 3.4.1.2 above. Care may be taken so that the sum of distributive expenses recorded in item 502 is consistent with those incorporated in column 6 of block 4. If values of receipts are collected at ex-factory price, distributive expenses should not be recorded. The value-added figure is obtained against item 509 with proper sign and in whole number of rupees. *In case of negative entry, further queries may be made and appropriate comments may be added.*

#### 3.5.1 An example of recording operating expenses and receipts:

A rice mill purchased 1000 kg of paddy for Rs.5000 and 500 kg of sugar for Rs.6000 during a month. During the month it manufactured 300 kg rice using 500 kg of paddy. Of the remaining, it sold 200 kg of paddy for Rs.1500. It sold 300 kg sugar for Rs.6000 and 250 kg rice for Rs.2500, used 100kg husk as fuel, sold 100 kg husk for Rs.200 and informed that ex-factory price of rice is Rs.8 per kg. The enterprise owner also told that the remaining paddy will be first transformed to rice and then rice will be sold in the next month and he did not have any stock of paddy or sugar in the beginning of the month.

Then, entry in item 301 will be: Paddy seeds, ASICC code 12302, unit of quantity 02, quantity 500, value Rs.2500;

Entry in item 311 will be paddy, value Rs.1000 (value of 200 kg paddy sold)

Entry in item 312 will be sugar, value Rs.6000.

There will not be any entry for value of husk used as fuel by the same enterprise.

Entry in item 401 will be Rice, ASICC code 12311, unit of quantity 02, quantity 300, value Rs.2500+Rs.8×50=Rs.2900 (value of items sold reported at sale value and remaining manufactured but not sold at ex-factory value);

Entry in item 402 will be: Husk, ASICC code 12931 (assuming that the owner knows it will not be used as animal feed), unit of quantity code 02, quantity 100, value Rs.200;

Entry in item 421 will be Rs.1500+Rs.6000=Rs.7500;

Entry in item 422 will be 0

Entry in item 423 will be Rs.2400 (value of 200 kg sugar only)

Note that at end of the month 300 kg of paddy was still in the enterprise, which the owner intends to use for his manufacturing activity in the next month. Hence, it has not been considered either in block 3 or in block 4 as the approach followed for manufacturing activities is consumption.

However, if information is collected from books of accounts, figures will be copied from written books of accounts and value of stock of all raw materials and products, whether manufactured or traded may have to be recorded in the schedule. Thus, if entry is from books of accounts, assuming that the same transaction was carried out during entire reference year, and consumption of raw materials is not separately available in the books of accounts of the enterprise, operating expenses will be item 301: paddy seeds-Rs.5000 and item 312: sugar-Rs.6000; receipts will be item 401: Rs.2900 (sale of rice- Rs.2500 + rice produced but not sold-Rs.400), item 402: husk- Rs.200, item 421: Rs.7500 (paddy sold-Rs.1500+ sugar sold-Rs.6000). In the closing stocks, paddy and sugar will both be considered and the entries will be item 411: 0, item 412: Rs. 1500 (stock of 300 kg paddy), item 422: 0, item 423: Rs.2400 (stock of 200 kg sugar).

Note that, assuming that there are no other receipts or expenses for this enterprise, in both the approaches, gross value added is same (Rs.3500).

### 3.5.2 Example of method to be followed for recording distributive expenses

Suppose a manufacturer of iron buckets purchases iron sheets for Rs.100, produces 10 buckets using these sheets and sells all of them an ex-factory price of Rs.30 per bucket. Moreover, suppose there is no opening or closing stock of any goods and he does not have any other expenses or receipts. If he does not give any excise duty/ sales tax/ VAT transferable to government, and there is no commission to selling agents, etc., his total receipt is Rs.300. In schedule 2.2, we shall record Rs.100 as expenses in block 3, Rs.300 as receipts in block 4 and 0 in item 502 of block 5 to arrive at a gross value added of Rs.200. Now, suppose instead of Rs.100, he is paying Rs.104 for purchasing the iron sheets of which Rs.4 is VAT. His enterprise can be paying or not paying VAT on its sales depending on its scale of operation. Accordingly, he can fix his selling price either i) inclusive of VAT or ii) without it.

Suppose, sale price in case (i) is Rs.35 per bucket, of which he is collecting Rs.3.75 per bucket as VAT and Rs.1.25 for meeting his expenses towards outward transportation charges. His total receipt is Rs.350, of which Rs 37.50 is VAT and Rs 12.50 is for outward transportation charges. This enterprise has to deposit Rs.33.50 as VAT (as Rs.4 will be its Input Tax Credit). In such a case, it is preferable to record Rs.100 as cost of raw materials and Rs.300 as receipt (ignoring all the components of distributive expenses). However, if Rs.104 is recorded as cost of raw materials, Rs.350 will appear in block 4 and Rs.46 will be recorded as distributive expenses in item 502. Again, components related to VAT may be separable, but separating and subsequently ignoring the component of outward transport, etc., sometimes become difficult. Suppose, instead of showing cost of inward and outward transport separately in its books of accounts, the enterprise has shown the entire amount as transport charges and the same has been recorded in item 333. In such cases, record Rs.100 as cost of raw materials and Rs.(350 - 37.50 = 312) as receipt in block 4. As Rs.12 has already been considered as a part of transport charges in item 333, it will not be repeated in item 502.

On the other hand, suppose in case (ii), per unit selling price is Rs.32 of which Rs.1.50 is for commission to selling agents. Here, the owner may or may not know the VAT component on his cost of raw material. Here, Rs.104 will appear in block 3, Rs.320 will appear in block 4 and Rs.15 will be recorded as distributive expenses in block 5. In addition, suppose, he pays Rs.1 as Turnover Tax. Then, the distributive expenses will be Rs.16.

For excise duty payable and duty drawback received, similar approach will be followed. If values of products and by-products are recorded at ex-factory value, neither excise duty payable nor duty drawback received will be recorded. If sale values inclusive of excise duties are recorded in block 4, these components also have to be considered. The net excise duty (excise duty payable – duty drawback received as per profit and loss account) can be recorded in item 502. Alternatively, excise duty payable will appear in item 502 and duty drawback received will be recorded in item 445.

### **Block 6: Employment particulars of the enterprise during the reference period**

**3.6.0.1 Worker:** Definition of worker is already given in 3.0.6. 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. The reference period for this block will also be same as the one used for block 3.

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 period (for reference period, see paragraph 3.0.2) shall be recorded in this block. All categories of workers such as supervisory and managerial staff, clerks, typists, 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 period shall be recorded separately for different categories of workers. Some enterprises do not hire individuals like porters, sweepers, accountants, etc., on a fairly regular basis. These individuals work in many enterprises in a locality and usually receive service charges as and when they render such services to the enterprise, either on a piece rate basis or at some particular period of the year. Payments made to these individuals are to be recorded in item 332. Such persons will not be considered as workers here.

#### **3.6.1.0 Calculation of average number of workers - full time and part time:**

Average number of workers is to be given always in whole numbers.

Part-time worker:- 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. Two part-time workers in an enterprise will be counted as 2 and not 1.

Full time worker:- Persons working for more than half of the period of normal working hours of the enterprise on a fairly regular basis will be full-time workers.

Illustration of calculation of average number of workers:-

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 period, say the last month. Then, the average number of workers for that enterprise will be:

$$[(4 \times 20) + (6 \times 6)] / 26 = 4.46 \text{ (rounded to 4)}$$

So, average number of worker is 4.

Few common instructions for filling up items 601 to 615

- *entries may be done first for the females, followed by males.*
- All the calculations of average worker corresponding to the entries of items 601-616 have to be done according to the method of calculation of average number of workers illustrated in this paragraph.
- Working owner, hired worker, other workers can be either full-time or part-time according to the definitions given above.
- For seasonal and casual enterprises, if figures are collected from books of accounts, average number of workers will be calculated based on number of working months.
- Generally, for an enterprise, there will be at least one worker.

**3.6.1.1 Items 601, 604, 611, 614: Working owner:** In case of proprietary or partnership enterprises, if the owners personally work in the enterprise on a fairly regular basis, then they will be considered as working owner.

- For full-time female/male working owner, item 601/ item 611 will be positive.
- For part-time female/male working owner, item 604/ item 614 will be positive.

**3.6.1.2 Items 602, 605, 612, 615: 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.

- For full-time female/male hired worker, item 602/ item 612 will be positive.
- For part-time female/male hired worker, item 605/ item 615 will be positive.

**3.6.1.3 Items 603, 606, 613, 616: Other workers:** Information regarding the workers not covered in items mentioned in above two paragraphs 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 period will be considered for recording entries against these items.

- For female/ male full-time other workers, Item 603/ item 613 will be positive.
- For female/ male part-time other workers, item 606/ item 616 will be positive.

**3.6.1.3 Item 619: Total workers:** The entry is the sum of all the entries from items 601 to 616.

### **Block 7: Compensation to workers during the reference period**

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 period. Reference period used for this block will be the same as the one used for block 3. There may be other types of payments like canteen facility, health care facility, sports/recreation club facility, etc. which are paid in kind to a group or to all the workers of the enterprise. All these types of payments, whether individual payments or payments made to a group will be recorded in this block. The entries will be in whole number of rupees.

**3.7.1 Items 701 and 702: Salary/wages, allowances and other individual benefits (cash & kind):** Salaries/ wages payable for the reference period will be recorded first for the working owners and then for the hired workers in these items. This will include:-

- 1) stipulated pay,
- 2) other allowances like dearness, house-rent, over-time, shift allowance, etc.
- 3) regular payments in kind as salary or wages or as a part of salary or wages, evaluated at cost to the employer,
- 4) bonus, retirement benefits, other individual benefits like ex-gratia payment, employer's contribution to ESIC fund, provident fund, etc., apportioned for the reference period.

- Payments of type (4) above are generally made once in six months or once in a year or at the time of retirement. For these kinds of one-time payment the apportioned amount for the reference period will be included. Suppose an enterprise paid Rs.24000 as gratuity to its employees during one year and the reference period for data collection is a month. Then,  $\text{Rs.}24000 \div 12 = \text{Rs.}2000$  will be recorded.
- Compensations made to working owners will be recorded separately in item 701 followed by payments to hired workers in item 702.

**3.7.2 Items 703 and 704: Imputed value of group benefits (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, either free of cost or at subsidised rates. It includes:

- (i) Provision of canteen, crèches, sports & recreation clubs, dispensary, etc.

(ii) Provision of food, beverages, tobacco, uniforms, lodging, transport to office and back & other kind benefits.

- Apportioned values of these group benefits may be recorded, e.g., for reference month, divide the yearly figure by number of months operated.
- Group benefits derived by working owner will be recorded separately in 703. If it is for the hired or other workers, then entry will be in item 704.

3.7.3 **Item 709: Total emoluments:** Total of items 701 to 704, the total emoluments payable to all the workers for the reference period shall be recorded here.

### 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-

Items	Reference period
Value of fixed assets (columns 3 and 4)	Last date of reference year/ month
net addition to owned fixed assets (column 5)	Year
rent payable on hired assets (column 6)	Same as block 3

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 old and new goods that have a *normal economic life of more than one year* from the date of purchase. Information regarding fixed assets is to be recorded by physical approach, i.e., all fixed assets available in the premises of the enterprise will be considered here. Values of hired assets may not be available in the books of accounts of an enterprise, although rent payable on them will be available. In such cases, value of the hired assets may be ascertained through additional oral enquiry and recorded.

3.8.0.2 Fixed assets will include: -

- 1) 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.
- 2) 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.
- 3) additions to fixed assets (as distinct from minor repair work) during the reference year are to be included.

Fixed assets will not include: -

- 1) intangible assets like goodwill etc.

- 2) advance payment for fixed assets not yet received.
- 3) fixed assets owned but rented out.

**3.8.1 Item 801: Land and Building:**

- Land will mean the land on which the enterprise is accommodated together with the surrounding area, which is used for the enterprise. This will also include improvement to land. However, if only a portion of the land belonging to the residence of a household is utilised for the enterprise, only that portion of the land may be considered as capital assets for the enterprise. Land owned with permanent heritable possession with or without right to transfer the title 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.
- 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, boundary wall, partition, water tank, sewerage, tube-well, etc.

**3.8.2 Item 802: 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 even if the machinery was purchased during the year on hire-purchase basis. Advance payments made for the purchase of machinery (not in possession during the reference year) will not be recorded as the approach for recording information here is by physical approach.

**3.8.3 Item 803: 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 805. 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.

**3.8.4 Item 804: Hardware and Software:** Considering the growing importance of computers and softwares used in various industries, a separate item on this has been made during this round. Computers and all kinds of software used by the enterprise must be entered in item 804.

**3.8.5 Item 805: 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 801 to 804 above), which are used for the entrepreneurial activity

either directly or indirectly. These will include furniture, fixtures, laboratory equipment, office equipment, mobile handset, etc. Livestock used in oil mills will also be included under this item. If the same animal is used part of the time in oil mills and part of the time for transporting materials, it will be classified under item 803 or item 805 depending upon major time spent.

**3.8.6 Item 809: Total:** This is total of items 801 to 805.

**3.8.7 Columns (3) & (4): Market value of assets as on last date of reference period:** Market value of the fixed assets as on last date of reference period 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. However, if an enterprise provides information from its books of accounts, net closing value as per the books may be recorded. Value of hired assets may be ascertained by oral enquiry and incorporated even if it is not available in the books of accounts.

**3.8.8 Column (5): Net additions to *owned* assets during reference year:** In this column information regarding net additions to the fixed assets owned during the reference year will be recorded. Net addition may be obtained by subtracting depletion of assets from the additions made during the reference year. Addition and depletion of the fixed assets are discussed below.

3.8.8.1 Net addition to the fixed assets can be:

- through purchase,
  - through own construction, where values need to be estimated by considering:
    - i) value of purchases of all materials used for the purpose,
    - ii) amount paid for labour or service charges on that account,
    - iii) imputed value of goods/services supplied by the household, if any
    - iv) homegrown materials, if any, are to be evaluated at ex-farm price,
    - v) value of any material already lying with the household for a long time, at cost price (cost to the household).
  - received otherwise (e.g., gift), valued at the full cost incurred, i.e., 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, i.e., which increases the economic life of an asset, will be considered for inclusion. (Cost of routine repair and maintenance of fixed assets reported in block 3.1 against appropriate items from 324 to 328 will be excluded from block 8).

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 reference year 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): rent payable on hired assets during the reference period (Rs):

It has already been mentioned in paragraph 3.8.6 that the present market value of hired assets used by the enterprise on the date of survey will be recorded in column (4). The rent payable for the reference period (i.e., period used for collection of data in blocks 3 to 7) 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 apportioned 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 last date of reference period

3.9.1 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. The reference period for amount of loan outstanding will be reference year, while for interest payable, reference period will be the same as one used in blocks 3 to 7. All entries in this block will be made in whole number of rupees.

The following points may be noted for inclusion/exclusion of an item as loan:

#### Included are:

- 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.
- While loans are generally given in cash from agencies listed in item 901, 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.

#### Excluded are:

- loans taken for other purposes but ultimately used in the enterprise,
- Amounts due to merchants/shopkeepers, unpaid bills of lawyers/firms, outstanding taxes/revenue/rent payable to Government or public bodies etc.
- Amounts payable within a short period (current liabilities) like sundry creditors, etc.

3.9.2 The description of different type of credit agencies are mentioned below.

**3.9.2.1 Item 901: central and state level term lending institutions, government (central, state, local bodies), banks & societies (public sector, commercial, co-operative):** This will include 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
- vi) other industrial and financial corporations set up by Central/State Governments
- vii) Different Ministries/Departments of Government or the local bodies (i. e., *panchayat*, municipality, etc.)
- viii) All scheduled and unscheduled 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.
- ix) Cooperative institutions like primary cooperative credit societies, district and central cooperative banks, primary or central land mortgage banks, and loom weavers' cooperative societies and other industrial or other types of cooperative societies etc.

**3.9.2.2 Item 902: Other institutional agencies:** Loans advanced by institutions/agencies like Khadi and Village Industries Commission, Life Insurance Corporation, Chit Funds, etc. not covered under item 901 above will be recorded against this item.

**3.9.2.3 Item 903: Moneylenders:** 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.

**3.9.2.4 Item 904: 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.

**3.9.2.5 Item 905: 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.

**3.9.2.6 Item 906: Friends and relatives:** Any non-institutional loan which is *interest-free* will be included in this item.

3.9.2.7 **Item 907: Others:** Loans taken from any other agency not covered above will be recorded under this item.

3.9.2.8 **Item 909: Total:** Total of items 901 to 907, giving total amount of loans outstanding on last date of reference period and total interest payable during the reference period will be recorded against this item.

3.9.3 **Column (3): Amount (Rs):** Amount of loan outstanding, as mentioned in paragraph 3.9.1, shall be recorded in this column against the appropriate source(s) of loan.

3.9.4 **Column (4): Interest payable during the reference period (Rs):** Total interest payable for the reference period 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**

3.12.0 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)**

3.13.0 Blocks 11 and 12 are meant for noting down investigator's remarks/supervisor's comments / suggestions regarding the entries made in Schedule 2.2. Their observations will be very important for understanding various entries in the schedule, particularly the abnormally high or low figures (e.g., value added) and also helps in understanding the field situation and accordingly improve the system of data collection and processing in future.

3.13.1 Remarks depicting the actual reasons for unusual entries may be clearly written in the schedule in clear handwriting. Such reasons are normally ascertained from the informant by the investigator or supervisor in the process of recording or verifying unusual figures in the schedule. Mere confirmations of some doubtful entries, however, do not serve the same purpose. A lucid description of occurrences which are non-general in nature, beside the entries/ at bottom of the page where the entry is recorded or in these blocks helps a great deal in further processing of data.

**Some differences between the schedule structures of 56<sup>th</sup> round and 62<sup>nd</sup> round**

<b>62<sup>nd</sup> round</b>	<b>56<sup>th</sup> round</b>
<b>Reference period</b>	
Please see instructions on reference period in paragraph 3.0.2	
<b>Information from accounts</b>	
Reference period is accounting year	It was for last month
<b>Block 1</b>	
Two frames are used: list and area. Items 12 to 17 have to be filled up only for area frame.	Only area frame was used.
<b>Block 2</b>	
1) Number of hours the enterprise normally worked in a day during reference year/month, 2) when major source of income is some other activity, few information about that activity in items 208-210. 3) General educational qualification of the owner 4) agencies of registration (items 216-217) to be filled up according to the preference already present in the list.	items not in 56 <sup>th</sup> round  respondent's preference was considered.
<b>Block 3.1</b>	
1) A new item (Item 338) 'royalties and insurance charges payable' has been included.	
<b>Blocks 4 to 5</b>	
If products and by-products are evaluated at ex-factory price, distributive expenses need not be collected	Instruction same, only emphasised
<b>Block 6</b>	
for definition of worker, please refer 3.0.6, presentation of block changed	-
<b>Block 7</b>	
Salary/wages and imputed cost of other group benefits have to be given separately for working owner and hired/other workers	
<b>Block 8</b>	
Separate item for hardware and software introduced	

Blocks 10 and 11 of schedule 2.2 canvassed during the 56<sup>th</sup> round has been dropped this time.

### Some mixed activities and treatment as per NSS convention

	Description of activity	Mixed between	NSS convention
(1)	free collection of leaves and selling plates	manufacturing & trade	trade
(2)	fruit-juice seller	"	"
(3)	pan shop	"	"
(4)	selling balloon after filling it with gas	"	"
(5)	selling coconut after removing outer fibre	"	"
(6)	selling of firewood after cutting	"	"
(7)	selling of fish after cleaning	"	"
(8)	selling water after cooling ( <i>nimbu pani</i> ), coloured ice	"	"
(9)	making and selling bamboo basket	"	manufacturing
(10)	buying old goods and selling them after repair	"	"
(11)	meat shop	"	manufacturing, if live animal is slaughtered and sold; trade otherwise
(12)	selling of flowers, garland, bouquet	"	manufacturing, if garland and bouquet fetches major income; trade otherwise
(13)	tailoring shops selling clothes	"	manufacturing, if tailoring fetches major income; trade otherwise
(14)	selling ground-nut after frying/ boiling	manufacturing & restaurant	restaurant
(15)	selling boiled egg	"	"

**Example of filling in schedule 2.2 using books of accounts****BAYZ ENTERPRISE**Balance Sheet as on 31<sup>st</sup> March 2005

	schedule	31 <sup>st</sup> March 2005	31 <sup>st</sup> March 2004
<u>Sources of Funds</u>			
Shareholder's fund			
Share Capital	A	1500	
Reserve and Surplus	B	7144	
		8644	
Loan Fund			
Secured loans	C	15435	
Unsecured loans	D	3520	
		18955	
	Total:	27599	
<u>Applications of Funds</u>			
Fixed Assets			
Gross block	E	8204	
Less: Depreciation		5484	
		2720	
Investments	F	39	
Current Assets, Loans and Advances			
Interest accrued on investments		8	
Inventories	G	7371	
Sundry debtors	H	10988	
Cash and bank balances	I	211	
Loans and advances	J	9232	
		27810	
Less: current liabilities & Provisions			
Current liabilities	K	2964	
Provisions	L	6	
		2970	
Net current assets		24840	
	Total:	27599	
Notes on Account	R		

The schedules referred above form an integral part of the Balance Sheet.

This is the balance sheet referred in our report of even date.

(XYZ)

Partner

For PQR & Co.

Chartered Accountants

Place:

Date:

**BAYZ ENTERPRISE**  
Profit and Loss Account for the year ended 31<sup>st</sup> March 2005

<u>Income</u>	schedule	31 <sup>st</sup> March 2005	31 <sup>st</sup> March 2004
Sales	M	28681	
Other Income	N	1546	
		30227	
<u>Expenditure</u>			
Purchases		120	
Expenses	O	24801	
Interest	P	1600	
Increase/Decrease in stock	Q	2235	
		28756	
Profit before Depreciation and taxation		1471	
Less: Depreciation		794	
		677	
Add: Prior years adjustments (Net)		0	
Profit before taxation		677	
Less: Provision for taxation		225	
Profit after taxation		452	
Add: Balance brought forward from last year		1279	
		1730	
Appropriation			
Transfer to general reserve		1000	
		730	
Notes on Account	R		

The schedules referred above form an integral part of the Profit and Loss Account.

This is the Profit and Loss Account referred in our report of even date.

(XYZ)  
Partner  
For PQR & Co.  
Chartered Accountants  
Place:  
Date:

<u>Schedule A</u>	31 <sup>st</sup> March 2005	31 <sup>st</sup> March 2004
Share Capital		
Shares issued	1500	
<u>Schedule B</u>		
Reserve and Surplus		
General Reserve as per last account	4001	
Add: Transfer from Profit and Loss account	1000	
	5001	
Investment Allowance Reserve as per last account	163	
Export Allowance Reserve as per last account	1250	
Profit and Loss Account	730	
	7144	
<u>Schedule C</u>		
Secured Loans		
DEF Bank		
Cash Credit Account	1167	
Bill Purchase Account	14268	
	15435	
<u>Schedule D</u>		
Unsecured Loans		
From Shareholders	3450	
From other Body Corporate	10	
Interest accrued thereon	60	
	3520	
<u>Schedule F</u>		
Investments		
National Savings Certificate	18	
Share investment	21	
	39	
<u>Schedule G</u>		
Inventories		
Finished Goods (at cost)	5032	
Raw materials (indigenous) (at cost)	1445	
Lubricants and fuel	620	
Stores and spare parts	274	
	7371	
<u>Schedule H</u>		
Sundry Debtors (considered good)		
Outstanding for more than six months	18	
Others	10970	
	10988	

<u>Schedule I</u>	31 <sup>st</sup> March 2005	31 <sup>st</sup> March 2004
Cash and Bank Balances		
Cash in Hand	214	
Current Account in GHI bank	(3)	
	211	
 <u>Schedule J</u>		
Loans and Advances		
Loans	6824	
Interest accrued thereon	350	
Advances recoverable in cash or kind	1664	
Duty Drawback receivable	21	
Deposits	339	
Interest accrued on deposits	34	
	9232	
 <u>Schedule K</u>		
Current Liabilities		
Sundry Creditors	1648	
Other liabilities	1316	
	2964	
 <u>Schedule L</u>		
Provisions		
Taxation	425	
Less: Advance tax paid	419	
	6	
 <u>Schedule M</u>		
Sales		
Export	20185	
Local	8496	
	28681	
 <u>Schedule N</u>		
Other Income		
Dividend	5	
Interest	457	
Duty Drawback	263	
Service charge	821	
	1546	
 <u>Schedule P</u>		
Interest		
To bank	1592	
To others	8	
	1600	

<u>Schedule Q</u>	31 <sup>st</sup> March 2005	31 <sup>st</sup> March 2004
Decrease/ Increase in Stock (Finished Goods)		
Opening Stock	7267	5973
Closing Stock	5032	7267
	2235	

Schedule O

Expenses	
Raw materials consumed	13154
Stores and spare parts consumed	1220
Power and Fuel consumed	1203
Freight and Transportation	4030
Packing and Forwarding	1097
Rent (Building: 150, machinery: 28)	178
Salary, Wages and Bonus	1580
Contribution to Provident fund	41
Rates and Taxes	15
Insurance	157
Repairs to:	
Machinery	116
Others	5
Fabrication charges	65
Travelling and conveyance	473
Printing and Stationary	37
Advertisement and subscription	42
Central Excise Duty	503
Sales Tax	286
Commission Paid to selling agents	25
Staff welfare expenses	21
Legal charges	85
Miscellaneous expenses	444
Auditor's remuneration	24
	24801

Schedule E Fixed Assets as on 31<sup>st</sup> March 2005

particulars	Gross block				depreciation				Net block	
	cost as on 31 <sup>st</sup> March 2004	additions during the year	sales/ disposals during the year	cost as on 31 <sup>st</sup> March 2005	Upto 31 <sup>st</sup> March 2004	For the year	Adjustm ents during the year	Upto 31 <sup>st</sup> March 2005	as on 31 <sup>st</sup> March 2005	as on 31 <sup>st</sup> March 2004
Leasehold land and development	102		0	102	67	3		70	32	35
Building	721		0	721	427	26		453	268	294
Plant and Machinery	5043	58	2	5099	3149	513		3662	1437	1894
Computer	122	67	0	189	58	44		102	87	64
Car	1785	308	0	2093	989	208		1197	896	796
Total	7773	433	2	8204	4690	794		5484	2720	3083

The corresponding entries in different items of blocks 3, 3.1, 4, 4.1, 5, 7, 8, and 9 are shown below with some explanatory notes.

First, data is recorded from the balance sheet using schedules C, D and E. These will be used for filling up most of the entries of blocks 8 and 9. Remaining entries of blocks 8 and 9 will be recorded from schedule P (interest payments), and schedule O (rent payment).

Entries in Block 8 will be:

<b>[8] fixed assets owned and hired</b>					
srl. no.	type of assets	market value of assets (Rs.) as on last date of reference period		*net additions to <i>owned</i> assets during reference year (Rs.)	rent payable on hired assets during reference period (Rs.)
		owned	hired		
(1)	(2)	(3)	(4)	(5)	(6)
801.	land and building	300	7000		150
802.	plant and machinery	1437	300	56	28
803.	transport equipment	896	-	308	-
804.	software and hardware	87	-	67	-
805.	tools and other fixed assets	-	-	-	-
809.	<b>total (items 801 to 805)</b>	2720	7300	431	178

Entries have been recorded from:

column 3: net block as on 31<sup>st</sup> March 2005 of schedule E.

column 4: collected separately from management.

column 5: (additions– sales/disposals during the year) of the gross block of schedule E.

column 6: rent payment in the profit and loss account (schedule O on expenses).

Entries in Block 9 will be:

<b>[9] loan outstanding as on last date of the reference period</b>			
srl. no.	source of loan	amount (Rs.)	interest payable during the reference period (Rs.)
(1)	(2)	(3)	(4)
901.	central and state level term lending institutions, government (central, state, local bodies), banks & societies (public sector, commercial, co-operative)	15435	1592
902.	other institutional agencies	10	1
903.	moneylenders		
904.	business partner(s)	3510	7
909.	<b>total (901 to 907)</b>	18955	1600

Entries have been recorded from

column 3: figures as on 31<sup>st</sup> March 2005 of schedules C and D.

column 4: schedule P (Break-up between items 902 and 904 collected from the management)

Entries in blocks 3, 3.1, 4, 4.1, 5 and 7 will be recorded from the Profit and Loss Account of the enterprise. Schedules M, N, O and Q will be used for this purpose.

Entries in Blocks 3, 3.1 and 7 (using Schedule O) will be:

[3] principal operating expenses during the reference period (whole number of rupees)							
manufacturing activity (NIC-2004 codes 01405, 15111 to 37200)							
item no.	raw materials consumed	ASICC code			unit of quantity (code)	quantity (in whole no.)	value (Rs.)
(1)	(2)	(3)			(4)	(5)	(6)
301.							13154
309.	<b>total (items 301 to 306)</b>						<b>13154</b>

Assume that there is only one raw material. Here, consumption figure is directly available in the books of accounts. If entire purchase of raw materials is reported here, opening stock and closing stock of raw materials, along-with opening and closing stocks of goods traded will be recorded in items 422 and 423.

[3.1] other operating expenses during the reference period: all activities			
item no.	item	Value (Rs.)	
(1)	(2)	(3)	
321.	electricity charges	1203	
325.	minor repair and maintenance of (major repairs will not appear here)	plant and machinery	116
328.		tools and other fixed assets	5
331.	rent payable on fixed assets (other than land and building)	28	
332.	service charges for work done by other concerns (contract, sub-contract, legal, audit, advertising and other accounting services, warehousing expenses, commission expenses, etc.) 65+85+24	174	
333.	travelling, freight and cartage (transport) expenses 4030+473	4503	
335.	consumable stores, packing materials, etc. 120+ 1220+1097	2437	
336.	paper, printing and stationery expenses	37	
337.	license fees, cess charged by local bodies, other local rates (building tax, etc.) (excise duties and other indirect taxes <b>are not to be included</b> )	15	
338.	royalties and insurance charges payable	157	
341.	other expenses ( <i>puja</i> , customer entertainment, etc.) 42+444	486	
349.	<b>total (items 321 to 341)</b>	<b>9161</b>	

Excise duty, sales tax and commission to selling agents have not been recorded here as these are part of distributive expenses and will be recorded in item 502.

[7] compensation to workers during the reference period			
item no.	type of emoluments	value (Rs.)	
(1)	(2)	(3)	
701.	salary/ wages, allowances and other individual benefits (cash & kind including bonus, retirement benefits, etc. apportioned for the reference period) 1580+41	working owners	21
702.		hired workers	1600
703.	imputed value of group benefits (including employer's contribution towards canteen, sports, insurance, etc.)	working owners	6
704.		hired and other workers	15
709.	<b>total emoluments (items 701 to 704)</b>		<b>1642</b>

Separate figures for working owners and hired workers was recorded after enquiry from management

Entries in blocks 4 (using M and Q), 4.1 (using N) and 5 (using O) will be:

<b>[4] principal receipts during the reference period</b> (Rs. in whole number)								
<b>manufacturing activity (NIC-2004 codes 01405, 15111 to 37200)</b>								
item no.	products and by-products manufactured	ASICC code				unit of quantity (code)	quantity (in whole no.)	value* (Rs.)
(1)	(2)	(3)				(4)	(5)	(6)
401.	28681+(5032-7267)							26446
409.	<b>total (items 401 to 406)</b>							26446
411.	opening stock of semi-finished goods							
412.	closing stock of semi-finished goods							
413.	changes in stock of semi-finished goods (item 412 – item 411)							
419.	<b>total (item 409+item 413)</b>							26446

Assume that the management informed there is only one product.

Computation of column 6 in item 401:

Production = items sold + (closing stock - opening stock) of finished goods.

information on columns 2, 4 and 5 will be separately collected from the management.

<b>[4.1] other receipts during the reference period : all activities</b> (Rs. in whole number)		
(The overall receipts of the enterprise will be recorded here. If some items have already been covered under specific activities in block 4, they should not be reported here again.)		
item no.	item	value (Rs.)
(1)	(2)	(3)
441.	receipts from services provided to others including commission charges	821
445.	funding / donations received (including recurring govt. grants and subsidies)	263
446.	other receipts (including royalties receivable)	
449.	<b>total (items 441 to 446)</b>	1084

Interest and dividend receipts not considered although they are in schedule N

<b>[5] calculation of gross value added for the reference period</b> (Rs. in whole number)		
item no.	item	value (Rs.)
(1)	(2)	(3)
501.	total operating expenses: [items (309+319+349)]	22315
502.	distributive expenses, if any <sup>@</sup> 503+286+25	814
503.	total receipts: [items (419+439+449) ]	27530
509.	<b>gross value added (item 503 - item 502 – item 501)</b> [put (-) sign in case of negative value] <sup>#</sup>	4401

As gross sale value has been recorded, excise duty, etc. payable has also been recorded in distributive expenses. Hence, duty drawback received has appeared as subsidy. Alternatively, net excise duty, i.e., (excise duty paid – duty drawback received) can also be considered in distributive expenses, but recording duty drawback in subsidy will not be done in subsidy in such case. If values are recorded at ex-factory value, neither excise duty nor drawback received on it will be recorded.

Interest and dividend receipts have not been recorded in other receipts.

## Frequently Asked Questions

Sl no.	Query	Reply
(1)	(2)	(3)
<b>Coverage, reference period and block 1</b>		
1	Street Vendors selling food items for immediate consumption without provision of sitting space for the customers to take food. Whether it has to be classified under manufacturing or taken as restaurants?	May be taken as restaurant.
2	Whether assembling of cycle parts are to be considered as manufacturing of cycle?	If cycle parts are purchased independently from the market and assembled by the enterprise and sold as a cycle, then this is to be treated as manufacturing. But assembling made against the company's supplied parts will not be treated as manufacturing.
3	If a particular enterprise was started during the current year and <b>worked less than 30 days</b> only. What will be the average month & reference period?	The reference period will be last 30 days if it is a seasonal enterprise; otherwise it is an ineligible enterprise.
4	If a <b>seasonal</b> enterprise worked for less than 30 days during the current season, last month will refer to the average month of last working season. What does ' <b>average</b> ' stand for?	Illustration with example:- Suppose a seasonal enterprise has worked for 4 months in last season and their total expenditure was 40000 in that season. Then expenditure for an average month will be $40000/4=10000$ .
5	If a particular seasonal enterprise worked for 25 days in current working season while it had worked for 20 Days in the last month of last season. What will be the reference period?	Reference period will be taken as average month of the last working season.
6	In case of <b>casual</b> enterprise, what is the reference period?	Last calendar month or last 30 days, if it is done through oral enquiry.
7	If a manufacturing unit (perennial) has not functioned for the last 30 days preceding the date of survey for some reason but it is not closed, what will be the reference period?	The information for the last 30 days preceding the date of survey will be recorded, if oral information is collected.
8	An enterprise is maintaining books of accounts and providing information from same. Whether this will be treated as accounts maintained or is it necessary to prepare audited balance sheet also?	Yes, it is treated as accounts maintained irrespective of audited balance sheet maintained or not.

Sl no.	Query	Reply
(1)	(2)	(3)
9	Which informant code will be given if the informant has given information partly and for the rest he was telling, 'I am busy'?. And no further information is given?	The code for item is given only after filling the full schedule. Hence, this is to be substituted if full information is not provided.
<b>block 2: operation and background information</b>		
10	Two manufacturing activities like tailoring and embroidery is done in the same enterprise being handled by a single person. Whether this will be treated as mixed activity in case the accounts are not separable?	Yes, it is a mixed activity.
11	A master bidi contractor supplies raw material to households who after using its instruments produce the bidi and return to the master contractor. The master contractor pays the household on piece rate. Who will be the manufacturing enterprise master contractor or the household?	Both. Master contractor and the household are to be treated as separate manufacturing enterprises.
12	Will private limited Co. or public Limited Co. be taken up for survey for which code have been provided in the schedule?	They will be covered if they are not registered under section 2m (i) or 2m (ii) of the Factories Act, 1948 or Bidi and Cigar Workers (Condition of Employment) Act, 1966.
13	A Dal mill owner is producing Dal, and side by side purchasing Dal from market and supplying to his customers, whether this activity will be considered as mixed activity?	This is a mixed activity if accounts are not separable.
14	If an enterprise is pursuing more than one type of mfg. activity in the same premises whether it will be treated as mixed activity or not?	If the accounts are not separable, it will be considered as a case of mixed activity if the articles manufactured are different at 2-digit level of NIC 2004. Refer paragraph 3.0.3 for details.
15	If the proprietor does not stay at the place of manufacturing activity and no information is available regarding his other activity, what will be the relevant code for multiple activity?	Treat the situation as if the proprietor does not have any other activity.

Sl no.	Query	Reply
(1)	(2)	(3)
16	In case of multiple activities which NIC code will be recorded in item 201?	In item 201, NIC code for activity of the enterprise will be recorded. If this is not the major source of income for the owner then the NIC code of the most important activity in terms of major source of income to the owner has to be entered against item 211.
17	Whether description should be as per NIC 2004 booklet?	No, description of the activity should provide the clear indication of the activity of that enterprise, but not a copy of the description written against the corresponding NIC code in the codebook.
18	Nature of operation is to be noted from informant's version or as per the periodicity of operation of the activity carried out during reference year?	As per periodicity of operation during reference year.
19	What ownership code shall be assigned to the enterprise jointly run by husband & wife with equal intensity?	Code 3 (partnership between members of same household).
20	A sweet manufacturer visits <i>shandies</i> (hat) on different days & prepares sweets at hat & sells. What location code is to be given for such enterprise?	Enterprise is to be listed at the residence only & code 5 (mobile market) may be given for such enterprise against item no. 215.
21	For a carpenter what code will be entered in item 215 if he does not work at one place?	Code 6 will be entered.
22	Carpenter doing work at construction site. What code should be given for item 215?	Code 6 will be given.
23	If a manufacturing enterprise is licensed for purchase of raw material and has no registration for manufacturing, whether the enterprise is to be treated as registered?	Yes, it should be treated registered enterprise and code 19 will be put in item 217 and the name of the licensing authority will be specified.
24	There are some units, which are not registered under any authority or act but the unit have got license. Whether the license will be considered as registered?	Same as query 23.

Sl no.	Query	Reply
(1)	(2)	(3)
25	If an enterprise has applied for registration but has not yet got, what code should be given?	Unless the registering authority confirms registration, enterprise cannot be taken to be registered on the basis of its application only. In such a case code 2 will be given against item 216.
26	Whether the registration code of the enterprise will be incorporated as per informant's verbal opinion or from his record. Please explain it.	As per information given by the enterprise. Verification of records is not required.
27	An enterprise has applied for de-registration with the chief Inspector of Factories. Whether this unit will be taken up for Survey as an unorganised Manufacturing or not?	So long as it remains as part of ASI frame, it will not be taken up for survey as an unorganised enterprise.
28	What will be the code for source agency (item 219-220) if the raw material is obtained from nature free of cost or by theft?	Code will be 9 (others).
29	What will be the source code for raw materials (item 219-220) in case of 'job work' if no raw material is needed? eg. - flour mill	Code will be 6 (no specific source agency).
30	Whether item 223 and 224 of block 2 are applicable even for the enterprise not requiring electricity for their work?	Yes. Code will be 2 if they have not applied for it.
31	If any particular problem was faced for major part of the reference year but is not faced in recent months then whether the entry against the respective item will be 1 or 2?	It will be 1 ('Yes') as reference period for this item is full year.
32	What problem code is to be given for competition among the enterprises?	For such a problem, code 2 can be given.
33	What is the reference period for item 229 of Block 2?	Unless otherwise mentioned, reference period for all items of block 2 is reference year.
34	Individual customers give work with specification to custom tailor. Will it be considered as a contract?	In case of bulk order it will be considered. But otherwise it will not be.

Sl no.	Query	Reply
(1)	(2)	(3)
35	If the enterprise has run for 5 days in Nov., 3 days in Dec. and 10 days in Jan., the months of operation will be recorded as 3 or all the days put together will be counted a month?	In the given example Nov, Dec and January wherein the enterprise operated will be considered as operational months, i.e., three months. Please note that if this is a perennial enterprise and this has operated only for these many days, in the last 365 days, then this <b>is not an eligible enterprise.</b>
36	An enterprise operated for six months in a different town and shifted to present town where it has operated for six months only. Whether the operation of the enterprise will be taken as 12 months?	In given example, six months of operation at the present location will be considered as number of months operated.
37	If an enterprise has operated for one day in a month. Whether it will be treated as operated in the month?	Yes.
<b>Blocks 3 and 3.1: Operating expenses</b>		
38	Whether the approach for Block 3 'Principal Operating Expenses' is paid approach?	No, for blocks 3 and 3.1 the approach is payable approach. Unless otherwise specified, it is payable/receivable approach for all blocks.
39	A manufacturing of bakery products enterprise carries out trading activities of other goods as well, as also carries out restaurant activity in his selected trading establishment. Elucidate on recording of consumption and receipts in this case wherein accounts are not separable?	This is a case of manufacturing mixed with trading and restaurant activity. Therefore, purchase value (delivered value) of all trading goods sold in the same condition as purchased may be reported in item 311. Consumption costs (delivered cost) of items consumed in Restaurant activity may be reported in item 312. On receipt side, receipts with respect to trading activity may be shown against items 421 to 424 of Block 4, receipts with reference to restaurant activity may be shown against item 431. Further, consumption/ production entries for manufacturing also to be made in items 301-306, 401-406, etc..
40	Bakery buys back unsold breads from its salesmen. Against which item will this expenditure be reported?	If the bakery uses them as raw material for manufacturing some other product then it will be reported in block 3. Otherwise it should not be reported.

Sl no.	Query	Reply
(1)	(2)	(3)
41	Whether unit of quantity code is to be given as per ASICC or as per instructions or as per reporting of informant?	Separate codes have been provided for codes of quantities in the schedule. Please follow it.
42	Small units give information on products manufactured by specifying brand names. This poses difficulty to match it with the description in ASICC code.	Brand name cannot be given. Efforts should be made to give correct and appropriate ASICC codes in the schedule to match it with actual description of commodity.
43	If enterprise is receiving all raw materials from customers, how block 3 will be filled?	Block 3 will remain empty in this case.
44	If manufacture and sale of sweet meats is being done by an enterprise in addition to serving of tea as well as providing STD services at one premise, the entries in Block 3 will be made in which manner?	If the accounts are not separable and manufacturing is the major activity, then consumption of materials for manufacturing activities will be recorded against items 301 to 309, while purchases for trading activity will appear in item 311. Expenses for tea and STD services together will be reported against item 312.
45	Production of a manufacturing enterprise during the month is NIL. There is no stock of Semi-finished goods. The enterprise is not engaged in any mixed activity. However the enterprise has sold out from the opening stocks. What is the treatment for Block 3 and Block 4?	Both blocks 3 and 4 will be left blank. Other relevant and applicable blocks/ items/ columns may be recorded. Proper remarks may be entered in blocks 10-11.
46	If the owner himself does free collection of raw materials, whether the days he was engaged in free collection of raw materials will be calculated for calculation of imputed value?	No. Price will be '0' with a remark. However if he has incurred some expenditure for bringing the material to the site of the enterprise the expenditure for transportation will be taken as the cost of the material.
47	For free collection whether to include imputed cost?	No imputed value has to be reported. Only if there is any collection or transportation charges then that will be reported.
48	Packing materials under direct materials have to be treated as raw materials. Will the value of such materials be considered for selection of five most important raw materials?	Yes. This is to be followed when the product can not be sold without such packing e.g. medicines, perfumes, etc.

Sl no.	Query	Reply
(1)	(2)	(3)
49	Please clarify whether Coconut produced at home and consumed in the enterprise will be included in block 3?	Yes. Any material produced at home and used in the enterprise as raw material will be included here. Valuation of such materials will be at ex-farm price.
50	For seasonal enterprises: products were sold during the ref. month but no raw materials were consumed during the ref. month. What will be entry under block 3?	For seasonal enterprises raw materials consumed and products manufactured etc. are to be given for average working month of the previous season, if it has operated for less than 30 days in the current season.
51	A household receives a particular amount of raw materials to produce 1000 bidis. If the household produces 1000 bidis using lesser quantity of the raw materials and the saved raw materials are used to manufacture extra bidis, which are sold in the market, how the block 3, 3.1, 4 & 4.1 will be filled?	Raw material saved will be treated as raw material freely collected. Relevant comments must be added in appropriate block.
52	What criterion is to be taken to make the entries against item 311 & 312?	For manufacturing enterprise having mixed activities and for enterprises engaged in sale of any material (incidental to manufacturing) in the same condition as purchased, the major commodity of the trading enterprise will be recorded against item 311. The combined value of purchase of the remaining items will be reported against item 312. For mixed activities other than trading also, major items should be given in item 311 and remaining in item 312.
53	In case of penalties/fine imposed on a shopkeeper for adulterated milk/sweets, whether the penalties be recorded in block 3 or 3.1?	It should be shown in either of items 301 to 306 or 321 to 338. As per instructions, fines or penalties for any breach of contract on non-compliance of law relating to running of enterprise will be shown against those items for which penalties have been demanded.
54	In case of illegal electricity connection, how the entries are to be made against item 321?	Value in such cases is not to be imputed. However, if some payment is made for the connection the same may be recorded.

Sl no.	Query	Reply
(1)	(2)	(3)
55	In an enterprise, electric connection has been taken from a generator operator in the vicinity. Will the connection be treated as an electric connection?	Yes, it will be treated as electricity connection.
56	Owner is paying house rent only in which electricity charges are included. How to report the entries against item 321?	The consumption of electricity will be estimated & consumption will be reported accordingly against item 321 & remaining amount will be reported in block 8 as rent.
57	Whether fuel & lubricant will be reported against item 322 of block 3.1 or in block 3 if consumed as a raw material for production?	It will be reported in block 3. Care should be taken to avoid duplication.
58	One unit is operating generator on diesel/ kerosene to produce electricity. Whether cost of the diesel/ kerosene will be taken under electricity or under fuel and lubricants?	The expenditure will be entered against the item 'fuel and lubricant'.
59	An enterprise engaged in the manufacturing of basket uses candles in the night. Whether the expenditure on candles be treated as fuel?	No, item 322 will be left blank. The entry will be made in item 338, other expenses.
60	If one or two by-products are consumed as fuel (e.g., husk) by the enterprise, whether the value of that by-product will come under item 401 to 406 of Block 4 or under item 322 of Block 3.1?	The amount of the by-products consumed as fuel will be entered in item 322 and total amount of by-product manufactured will be entered in items 401-406
61	Where to include the Feeding expenses on animals used in the enterprises for transporting purpose?	Under item 327.
62	Rent payable on land & building is not accounted for in block 3.1 item 331. Hence rent receivable on land and building must not be shown against item 444 Block 4.1.	It should not be recorded against item 444 Bl. 4.1.
63	Full payment has been made to the lawyer for a case that may go on for 1 year or 10 years, how the payment is to be taken?	It will be taken as per terms and conditions and duly apportioned for the reference period.
64	Against which item the amount paid to the contractor and not to the workers in the unit will be recorded?	It will be recorded against item 332 of block 3.1.

Sl no.	Query	Reply
(1)	(2)	(3)
65	How to apportion expenses of irregular nature such as travelling expenditure?	Irregular expenses incurred during reference year may be apportioned based on reference period for data in block 3.
66	If the enterprise has installed new telephone connection during last 30 days and no previous bills are available to give an idea about the average monthly expenditure, how entry will be made in item 334?	The rental charges for the connection period will have to be necessarily paid and so pro rata rental charges for the connection days can be calculated. Further, probing can be made as to the number of calls generally made on a day and on this basis likely telephone charges can be calculated adjusting the rentals.
67	If the telephone is used for enterprises as well as for households, how the expenditure will be taken?	Proportionate amount based on calls made by household and enterprise may be recorded here.
68	Whether bank draft charges/postal charges will be entered here or not?	Postal charges will be put in item 334 and bank charges in item 341.
69	For brick manufacturing industry, salt is also used, against which item salt is to be taken?	Salt is to be consider as a consumable stores and recorded in item 335.
70	Is plastic containers used in oil industries, polythene bags used in milk dairy are to be considered as packing materials?	These are to be considered as raw materials in block 3, as the product can not be sold without these.
71	What is the consumable store?	Things that lose their identity in the process of manufacturing and helps processing of raw material into final product.
72	In a manufacturing unit, the proprietor sends most of the packing materials i.e., thread, label, wrapping paper, cartoon and the manager has no idea on the value.	Manager is supposed to know. Substitute such enterprises where information cannot be given by the manager/informant.
73	Will the SSI registration fee for 5 years, paid prior to reference period, be apportioned for the reference period & noted?	Yes.
74	If bribe is given in addition to license fees, whether that bribe amount is also be noted?	Yes.
75	In the case of damage while doing the job work and compensation given to customers whether these expenses are to be considered?	Yes, it is to be considered as expenses under item 341 (other expenses).

Sl no.	Query	Reply
(1)	(2)	(3)
76	Where the entry will be made for expenditure on periodicals, magazines and books?	It will be recorded against item 341. However, for the books purchased for library & amount capitalised, the amount will be reported in item 805 of block 8.
77	Is insurance made on manufactured goods in transit to be included against item 338?	Such expenditure made are treated as distributive expenditure and recorded in bl. 5, item 502, provided the same is considered while recording gross sale value in block 4. This insurance is made for delivery of manufactured goods at select locations. This is a part of selling expenses and hence a part of distributive expenses. Insurances made on plant and machinery, raw materials, etc. will be operating expenses and recorded against item 338, group insurances made on employees are part of emoluments and to be recorded in block 7.

#### **Blocks 4 and 4.1: Receipts**

78	If there are entries in items 301 to 306 of block 3 then can there be nil entries in Block 4 item 401 to 406?	Yes, it is possible in a few cases. Even among them, in most of these cases, there will be positive entry in item 413 of block 4. Only for units doing job work, there may not be any entry in block 4.
79	It may be clarified whether the quantity manufactured and not sold is to be valued at ex-factory value or not?	The part of the quantity manufactured during the month, but non-sold will be valued at ex-factory value.
80	How to evaluate stocks of finished goods?	First of all, It may be understood that stocks of finished goods are not considered for the survey. However, stocks in the sense that no sales are made out of the manufactured quantity during the month, the same may be valued at ex-factory value. It may be noted that in Bl.3, consumption of raw materials towards the quantity manufactured during the reference period only will be considered.
81	Whether semi finished goods/finished goods given to employees or consumed by owner will find place in item 443 or in block 4 or in block 7?	It can come in item 443, if it is not reported in items 401-406. Care may be taken that there is no duplication of entries in blocks 4 and 4.1. On the other hand, expenses on those materials will preferably appear in block 7 and not in block 3 or 3.1.

Sl no.	Query	Reply
(1)	(2)	(3)
82	A manufacturing enterprise lost all its manufactured goods produced during the reference month. How to report "value" in col. (6)?	Multiply the quantity manufactured and lost by ex-factory value of the most recent months.
83	Blacksmith is making agricultural implements. He is not in receipt of the value of products as and when he sells. However, he is getting the price of the articles in kind at the time of harvest, what treatment is to be given?	Whether the amount for the articles manufactured received or not, the details of manufacturing should be given in col. 4 to 6 against the relevant items 401 to 406. The amount may be imputed as per terms of receipts and apportioned for the reference period.
84	In chalk manufacturing unit, it was being reported that there was a breakage of 10%. These broken pieces were given free. How to record the value in block 4?	The gross sale value of the products made ready for sale and by-products, if any, are to be recorded. In case of broken chalk pieces value might be zero.
85	A mfg. enterprise has produced a new product during the reference period and is not at all sold. Further, that product is not at all available for sale in that locality. How to do valuation in this case?	Ex-firm price may be used.
86	Some sweets are given particular shape before selling. But these can be sold without giving any shape also. How to consider the amount produced as finished product and semi-finished goods?	The part, which is manufactured for sale without giving shape and part that has been given shape (out of total meant to be sold after giving shape) will be finished product. The rest (total meant to be sold after giving shape <u>minus</u> part which has been given shape) will be semi-finished product.
87	Receipts from other activities. The owner of the enterprise received commission from share trading activity. Whether it will find place here.	Yes, if it is mixed activity.
88	In some of the cases suppose the construction has not yet been completed and it is not possible to get the market value of the assets, then what value should be taken?	In item 442, the value of the asset may be taken as the cost incurred for the construction (including labour cost) during the reference period.
89	For constructions started earlier and also going on during the month, whether cost of raw materials can be taken as value in item 442?	Cost of raw materials and labour cost during the reference period may be noted against item 442. Value of own labour will be imputed.

Sl no.	Query	Reply
(1)	(2)	(3)
90	In some of the States units are getting Govt. subsidy at the time of installation of the factory which is generally assessed on the basis of the fixed capital deployed by the entrepreneur. Should such subsidy be reported under item 445 bl.4.1?	Subsidy receivable during the reference period only will be covered under item 445 of block 4.1.
91	Gifts received & given incidental to enterprising activities, whether it will find place here?	Donations, gifts etc. received by the enterprise will come in items 445. Gifts given as a measure of sales promotion will come in item 341.
92	In a flour-mill, grinding charges are received. The husk and bran are left in the flour-mill by the customers. Whether any separate valuation is required or not for husk and bran.	This additional realisation will come under item 446.
93	In case of mfg. of Nuts & Bolts industry, sale of scrap should be reported against item 446.	Scrap is a by product hence its sale should find place against item 406 of block 4.
94	If a unit has charged interest on late payment by the customer, whether the same may find place under the item 446?	No. The amount of interest on the late payment by the customer will not find place under the item 446.
95	A unit engaged in job work has sold left out or wastage. Where the amount received will be reported?	It will be reported under item 446.
96	Whether the amount received through sale of used <i>bardan</i> (gunny bags) will be recorded against item no.446?	Yes
97	A seasonal enterprise puts the earnings of a season in short term fixed deposits, earns interest and pumps in the amount (Principle + Interest) in the entrepreneurial activity in the second season which is also within the last 365 days. Whether the Interest earned in this case can be included against this item?	Interest received will not be taken as it has not accrued due to manufacturing activity.
<b>Block 6: number of workers</b>		
98	Whether unpaid worker will be treated as hired worker?	Unpaid apprentices will be treated as hired workers.
99	If a worker works for just an hour a day, will he be considered part time worker?	Yes, provided if he gets salary/wages and the normal working hours of the enterprise is more than 2 hours a day.

Sl no.	Query	Reply
(1)	(2)	(3)
100	During listing stage, an enterprise is reported as OAME, as it operated without any hired labour during major part of its operation during the last 365 days. But in the reference month it has operated with a hired worker with total number of workers being 5, how it will be reported in Block 6?	In block 1 of sch. 2.2 enterprise type will be same as given in listing schedule. In block 6, actual no. of workers will be given including hired one. Changing of code in listing schedule or block 1 of detailed enquiry schedule is not required even if it is subsequently found that it operated with hired labour throughout the reference year.
101	If owner of enterprise draws remuneration, will he be treated as hired worker?	No. The owner will be shown against item 601 or 611 of block 6 depending upon whether she/he is female/male 'working owner'.
102	How child labours will be treated in block 6?	Child labour will be reported according to their gender since no specific information regarding adult workers and child workers is required in the schedule.
103	If some enterprises (e.g., tailoring), people are working to get hands-on-experience by paying some lump-sum to the owner of the enterprises. In such cases, where they will be reported?	They will be hired workers. Block 7 entry for them will be '0' with remark. The amount paid by them to the enterprise will come under other receipts (item 446).
104	If unit is working on all the days for 4 hours will the workers be treated as full-time or part-time?	Since 4 hours is the normal working hours for this enterprise, the workers will be treated as full-time.
105	What will be the number of workers in a unit employing 10 workers in first shift and 15 workers in second shift & out of the workers working in second shift, 10 workers are included in first shift also?	Number will be 25 in such a case irrespective of the fact that the workers are same or different.
<b>Block 7: compensation to workers</b>		
106	Whether expenditure on group insurance will be reported against item 701/702 or 703/704 of block 7?	Group insurance will come in block 7 item 703/704.
107	One enterprise is closed. Suppose it is giving salary to the employees. Whether entry will be made in block 6?	Yes.

Sl no.	Query	Reply
(1)	(2)	(3)
108	How to calculate retirement benefit for a month when a person has retired after completing his eligible service?	Total retirement benefits payable by the enterprise for employees retired during the reference year is to be apportioned (i.e. divide by no. of months operated if information is collected orally) and reported.
109	Cooler facility is provided to workers in an enterprise. Is this expenditure be taken under group benefits i.e against item 703/704 of block 7?	No, Coolers are part of assets of the enterprise. Electricity expenses for running it will come under item 321.
110	Whether for some industries like chemicals, food processing, etc. special dresses necessary to carry out the job are to be included.	Such special dresses necessary to carry out specific jobs are treated as consumable stores if life of such dresses is less than 1 year, otherwise, it will be a part of fixed assets. Generally, uniforms will be treated as group benefits.
<b>Block 8: fixed assets</b>		
111	If the enterprise gives data from accounts, how the market value of assets would be given in block 8?	When enterprise is providing data from books of accounts, value of owned assets will be the net value (after deduction of depreciation for the year) of asset as per its books. For hired assets, market value is to be asked and recorded.
112	Whether change in market price of fixed assets will be reflected in col-5?	No. Increase or decrease in market price will not be reflected in col. 5. This column is meant to capture actual net addition through purchase/sale, etc. of the owned fixed assets.
113	If an enterprise without fixed premises keeps its vehicle somewhere, whether that piece of land will be considered as fixed asset?	No.
114	Where the entries for sold fixed assets will come?	Generally, it will be reflected while calculating net additions in col (5). However, capital gain/loss (difference in sale price and book value of an asset sold) will not be considered.
115	Sometimes soft drinks manufactures provide fridge to the retailers with the condition that a specified no. of crates will have to be sold in a specified period. The fridge is neither owned nor hired. How such cases will be treated?	It may be taken as an hired asset of the retailer with rent '0'. It will not appear as assets of the soft-drinks manufacturer.

Sl no.	Query	Reply
(1)	(2)	(3)
116	The unit has started 2 months before the date of survey. The present market value of the assets is being noted in column 3. But what will be the entry in column 5? Whether same entry will report here also?	The same entry will come in column 5 also.
117	The building of the enterprise is a semi-permanent structure built up by the entrepreneur on municipality land for which rent is paid. How to make the entries against item 801 of block 8?	If the land is taken on long-term lease (a term of 30 years or more) then the land is to be considered as owned. However, rent is also to be reported in column 6 with remarks. If it is not a long-term lease then the market value of the structure is to be recorded in column 3 and that of the land is to be recorded in column 4.
118	One master weaver distributes the assets to weavers, besides the yarn, who produce with the help of these assets. Whether the assets will be taken into account for master weaver?	No. These assets should be taken into account against the enterprise using it as hired asset.
119	Whether scissors, needles will be considered as tools?	Scissors will be tools and needle will generally be a consumable item.
120	Under which item to report ceiling fan, tube light fittings, telephone installation, internal wiring, etc.?	Item 805. However, Internal wiring may come as a part of building if deriving separate value for it becomes difficult.
121	In 'net addition' do we get value after deducting depletion from addition of fixed assets during the reference Period?	Yes.
<b>Block 9</b>		
122	Whether interest free loan will be considered for Block 9?	Yes. It will be reported in item 906.
123	a) Loans incurred for mfg unit but spent for other purpose, whether this will be considered?  b) If the loan has been taken for other purpose but spent for mfg unit, whether it will be treated as loan for block 9?	a)Yes  b)No.
124	Is there any provision to include subsidy in block 9?	No, only loan will be included. Subsidy for the reference period will come in block 4.

Sl no.	Query	Reply
(1)	(2)	(3)
125	The master weaver gives a loan of Rs.3000 and as per terms, no interest is charged but till total repayment, the master weaver pays service charges of Rs. 70 as against Rs. 80 per day, deducting Rs. 10 per day. How the entries have to be made?	It seems that the weaver has taken interest free loan of Rs. 3000/- which he is repaying for 300 days @ Rs. 10/- per day. In that case, block 9 column 3 will have entry 3000. Entry in col. 4 will be '0'. In item 441, total receivable for the month @ Rs. 80/- per day may be taken. On the other hand, if the enterprise has to repay Rs.3000 and in lieu of payment of interest, agrees to receive Rs.70 per day for a period of say, 180 days, within which he repays the principal amount, then Rs.1800, i.e., difference in service charge for these 180 days of work is the amount of interest paid by him. Here, his receipt in block 4 will be calculated @ Rs.80 per day and Rs.1800 will be entered as interest payment.
126	How to calculate the interest for the reference month if it is compound interest?	Total interest payable for the year may be apportioned for the month.
127	Whether money advanced by contractor is to be considered as loan?	Advance payment is not a loan.
128	The enterprise has taken 10 bags of plastic granules from a trader on condition that he will return 11 bags after 6 months. The value at the time of transaction before 5 months was Rs.600/- per bags where as it is Rs.700/- per bag as on date of survey. How to make entries at column 3 & 4.	The enterprise is giving oral information. Present market value of 10 bags will be reported in column 3. Since the interest payable is for 6 months hence value of 1 bag is to be divided by 6 and reported in column 4.

Sl no.	Query	Reply
(1)	(2)	(3)
129	Where will repayment of vehicle loan be included?	Vehicle is an asset of the enterprise and repayment of this loan is a capital expenditure. It will not be reflected in block 3. Suppose reference period for block 3 was last month. The outstanding loan amount on last day of the reference year will appear in column 3 of Block 9. Interest payable for the reference year will be apportioned for the month and reported in column 4, block 9. 'Apportioning for the month' means dividing the yearly value by 12 if it is perennial or casual enterprise and dividing by number of months operated if it is a seasonal enterprise.

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## APPENDIX - I

### LIST OF FOD SUB-REGIONS

regional office		sub-regional office			name of district & code			state/u.t. name & code	
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	
1.	Cuddapah (281)	1.	Cuddapah	2810	1.	Cuddapah	20	Andhra Pradesh (28)	
					2.	Chittoor	23		
		2.	Anantapur	2811	3.	Anantapur	22		
		3.	Guntur	2812	4.	Guntur	17		
		4.	Kurnool	2813	5.	Kurnool	21		
		5.	Nellore	2814	6.	Prakasam	18		
					7.	Nellore	19		
2.	Hyderabad (282)	6.	Hyderabad	2820	8.	Hyderabad	05	Andhra Pradesh (28)	
					9.	Rangareddi	06		
					10.	Mahbubnagar	07		
					11.	Nalgonda	08		
		7.	Karimnagar	2821	12.	Karimnagar	03		
					13.	Medak	04		
		8.	Nizamabad	2822	14.	Adilabad	01		
					15.	Nizamabad	02		
		9.	Warangal	2823	16.	Warangal	09		
					17.	Khammam	10		
3.	Vijayawada (283)	10.	Vijayawada	2830	18.	West Godavari	15	Andhra Pradesh (28)	
					19.	Krishna	16		
		11.	Kakinada	2831	20.	East Godavari	14		
					21.	Yanam	01		Pondicherry (34)
		12.	Visakhapatna	2832	22.	Srikakulam	11		Andhra Pradesh (28)
					23.	Vizianagaram	12		
4.	Guwahati (181)	13.	Guwahati	1810	25.	Kokrajhar	01	Assam (18)	
					26.	Dhubri	02		
					27.	Goalpara	03		
					28.	Bongaigaon	04		
					29.	Barpeta	05		
					30.	Kamrup	06		
					31.	Nalbari	07		
					32.	Tinsukia	14		
		14.	Dibrugarh	1811	33.	Dibrugarh	15		

regional office		sub-regional office			name of district & code			state/u.t. name & code
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
4.	Guwahati (181)	15.	Jorhat	1812	34.	Marigaon	09	Assam (18)
					35.	Nagaon	10	
					36.	Sibsagar	16	
					37.	Jorhat	17	
		16.	Silchar	1813	38.	Golaghat	18	
					39.	Karbi Anglong	19	
					40.	North Cachar Hills	20	
					41.	Cachar	21	
					42.	Karimganj	22	
					43.	Hailakandi	23	
		17.	Tezpur	1814	44.	Darrang	08	
					45.	Sonitpur	11	
					46.	Lakhimpur	12	
					47.	Dhemaji	13	
5.	Muzaffarpur	18.	Muzaffarpur	1010	48.	Sheohar	03	Bihar (10)
					49.	Sitamarhi	04	
					50.	Muzaffarpur	14	
					51.	Saran	17	
		19.	Darbhanga	1011	52.	Vaishali	18	
					53.	Madhubani	05	
					54.	Darbhanga	13	
					55.	Samastipur	19	
		20.	Motihari	1012	56.	Begusarai	20	
					57.	Champan(W)	01	
					58.	Champan(E)	02	
					59.	Gopalganj	15	
		21.	Purnia	1013	60.	Siwan	16	
					61.	Supaul	06	
					62.	Araria	07	
					63.	Kishanganj	08	
64.	Purnia				09			
65.	Katihar				10			
66.	Madhepura				11			
67.	Saharsa				12			
6.	Patna (102)	22.	Patna	1020	68.	Khagaria	21	
					69.	Nalanda	27	
					70.	Patna	28	
					71.	Bhojpur	29	
					72.	Buxar	30	
					73.	Kaimur (Bhabua)	31	
					74.	Rohtas	32	

regional office		sub-regional office			name of district & code			state/u.t. name & code			
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)			
6.	Patna (102)	23.	Bhagalpur	1021	75.	Bhagalpur	22	Bihar (10)			
					76.	Banka	23				
					77.	Munger	24				
					78.	Lakhisarai	25				
					79.	Sheikhpura	26				
		24.	Gaya	1022	80.	Jamui	37				
					81.	Jehanabad	33				
					82.	Aurangabad	34				
					83.	Gaya	35				
					84.	Nawada	36				
7	Raipur (221)	25.	Raipur	2210	85.	Raipur	11	Chhattisgarh (22)			
					86.	Mahasamund	12				
					87.	Dhamtari	13				
					88.	Kanker	14				
					89.	Bastar	15				
					90.	Dantewada	16				
					26.	Ambikapur	2211		91.	Koriya	01
									92.	Surguja	02
									93.	Jashpur	03
					27.	Bilaspur	2212		94.	Raigarh	04
		95.	Korba	05							
		28.	Durg	2213	96.	Janjgir-Champa	06				
					97.	Bilaspur	07				
					98.	Kawardha	08				
		8.	Ahmedabad (241)	29.	Ahmedabad	2410	99.		Rajnandgaon	09	Gujarat (24)  Daman & Diu (25) Gujarat (24)
100.	Durg						10				
101.	Gandhinagar						06				
102.	Ahmedabad						07				
103.	Amreli						13				
30.	Bhavnagar			2411	104.	Bhavnagar	14				
					105.	Diu	01				
31.	Jamnagar			2412	106.	Jamnagar	10				
					107.	Porbandar	11				
32.	Rajkot			2413	108.	Rajkot	09				
					109.	Junagadh	12				
33.	Surendranagar	2414	110.	Surendranagar	08						
			111.	Kachchh	01						

regional office		sub-regional office			name of district & code			state/u.t. name & code			
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)			
9.	Baroda (242)	34.	Baroda	2420	112.	Panch Mahals	17	Gujarat (24)			
					113.	Dohad	18				
					114.	Vadodara	19				
					115.	Narmada	20				
					116.	Bharuch	21				
					117.	Bans Kantha	02				
		35.	Mahesana	2421	118.	Patan	03				
					119.	Mahesana	04				
					120.	Sabar Kantha	05				
		36.	Nandiad	2422	121.	Anand	15				
					122.	Kheda	16				
					123.	Surat	22				
					124.	The Dangs	23				
		37.	Surat	2423	125.	Navsari	24				
					126.	Valsad	25				
		38.	Valsad	2424	127.	Daman	02		Daman & Diu (25)		
					128.	D & N Haveli	01			D & N Haveli (26)	
		10.	Chandigarh (061)	39.	Chandigarh	0610	129.		Chandigarh	01	Chandigarh (04) Haryana (06)
40.	Ambala						0611	130.	Panchkula	01	
								131.	Ambala	02	
				132.	Yamunanagar	03					
				133.	Kurukshetra	04					
				134.	Kaithal	05					
				135.	Bhiwani	13					
41.	Bhiwani			0612	136.	Mahendragarh	16				
					137.	Rewari	17				
					138.	Fatehabad	10				
42.	Hisar			0613	139.	Sirsa	11				
					140.	Hisar	12				
					141.	Karnal	06				
43.	Karnal			0614	142.	Panipat	07				
					143.	Sonipat	08				
					144.	Jind	09				
44.	Rohtak			0615	145.	Rohtak	14				
					146.	Jhajjar	15				
		147.	Gurgaon		18						
		148.	Faridabad		19						

regional office		sub-regional office			name of district & code			state/u.t. name & code			
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)			
11.	Shimla (021)	45.	Shimla	0210	149.	Solan	09	Himachal Pradesh (02)			
					150.	Sirmaur	10				
					151.	Shimla	11				
					152.	Kinnaur	12				
		46.	Bilaspur	0211	153.	Hamirpur	06				
					154.	Una	07				
					155.	Bilaspur	08				
					156.	Chamba	01				
					157.	Kangra	02				
					158.	Lahul & Spiti	03				
47.	Dharamshala	0212	159.	Kullu	04						
			160.	Mandi	05						
12.	Jammu (011)	49.	Jammu	0110	161.	Punch	11	Jammu & Kashmir (01)			
					162.	Rajauri	12				
					163.	Jammu	13				
					164.	Kathua	14				
		50.	Udhampur	0111	165.	Doda	09				
					166.	Udhampur	10				
					51.	Srinagar	0120		167.	Srinagar	03
									168.	Badgam	04
									169.	Leh* (Ladakh)	07
									170.	Kargil*	08
52.	Anantnag	0121	171.	Pulwama	05						
			172.	Anantnag	06						
53.	Baramula	0122	173.	Kupwara	01						
			174.	Baramula	02						
14.	Ranchi (201)	54.	Ranchi	2010	175.	Garhwa	01	Jharkhand (20)			
					176.	Palamu	02				
					177.	Ranchi	14				
					178.	Lohardaga	15				
					179.	Gumla	16				
					55.	Dumka	2011		180.	Deoghar	07
									181.	Godda	08
									182.	Sahibganj	09
									183.	Pakaur	10
		184.	Dumka	11							
		185.	Chatra	03							
		56.	Hazaribag	2012	186.	Hazaribag	04				
					187.	Kodarma	05				
					188.	Giridih	06				
					189.	Dhanbad	12				

regional office		sub-regional office			name of district & code			state/u.t. name & code
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
					190.	Bokaro	13	
* Not yet covered by NSS								
14.	Ranchi (201)	57.	Jamshedpur	2013	191.	Singhbhum(W)	17	Jharkhand
					192.	Singhbhum (E)	18	(20)
15.	Bangalore (291)	58.	Bangalore	2910	193.	Tumkur	18	Karnataka
					194.	Kolar	19	(29)
					195.	Bangalore	20	
					196.	Bangalore (Rural)	21	
		59.	Mangalore	2911	197.	Udupi	16	
					198.	Dakshina Kannada	24	
		60.	Mysore	2912	199.	Mandya	22	
					200.	Kodagu	25	
					201.	Mysore	26	
					202.	Chamarajanagar	27	
		61.	Shimoga	2913	203.	Shimoga	15	
					204.	Chikmagalur	17	
					205.	Hassan	23	
16.	Hubli (292)	62.	Hubli	2920	206.	Gadag	08	Karnataka
					207.	Dharwad	09	(29)
					208.	Uttara Kannada	10	
					209.	Haveri	11	
		63.	Belgaum	2921	210.	Belgaum	01	
					211.	Bagalkot	02	
					212.	Bijapur	03	
		64.	Bellary	2922	213.	Raichur	06	
					214.	Koppal	07	
					215.	Bellary	12	
					216.	Chitradurga	13	
					217.	Davanagere	14	
		65.	Gulbarga	2923	218.	Gulbarga	04	
					219.	Bidar	05	
		66.	Panaji	2924	220.	North Goa	01	Goa
					221.	South Goa	02	(30)
17.	Kozhikode(321)	67.	Kozhikode	3210	222.	Wayanad	03	Kerala
					223.	Kozhikode	04	(32)
					224.	Malappuram	05	
					225.	Mahe	03	Pondicherry
								(34)
		68.	Kannur	3211	226.	Kasaragod	01	Kerala
					227.	Kannur	02	(32)
		69.	Palakkad	3212	228.	Palakkad	06	

regional office		sub-regional office			name of district & code			state/u.t. name & code
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
		70.	Thrissur	3213	229.	Thrissur	07	
18.	Thiruvananthapuram(322)	71.	Thiruvananthapuram	3220	230.	Thiruvananthapuram	14	Kerala (32)
		72.	Kochi	3221	231.	Ernakulam	08	
					232.	Lakshadweep	01	Lakshadweep (31)
		73.	Kollam	3222	233.	Alappuzha	11	
					234.	Pathanamthitta	12	
					235.	Kollam	13	
		74.	Kottayam	3223	236.	Idukki	09	
					237.	Kottayam	10	
19.	Bhopal (231)	75.	Bhopal	2310	238.	Vidisha	31	Madhya Pradesh (23)
					239.	Bhopal	32	
					240.	Sehore	33	
					241.	Raisen	34	
		76.	Chhindwara	2311	242.	Betul	35	
					243.	Harda	36	
					244.	Hoshangabad	37	
					245.	Chhindwara	43	
					246.	Balaghat	45	
		77.	Khandwa	2312	247.	W. Nimar (Khargoan)	27	
					248.	Barwani	28	
					249.	E. Nimar (Khandwa)	29	
		78.	Sagar	2313	250.	Sagar	11	
					251.	Damoh	12	
					252.	Narsimhapur	40	
					253.	Seoni	44	
20.	Gwalior (232)	79.	Gwalior	2320	254.	Sheopur	01	Madhya Pradesh (23)
					255.	Morena	02	
					256.	Bhind	03	
					257.	Gwalior	04	
					258.	Datia	05	
		80.	Indore	2321	259.	Dhar	25	
					260.	Indore	26	
		81.	Ratlam	2322	261.	Neemuch	18	
					262.	Mandsaur	19	
					263.	Ratlam	20	
					264.	Jhabua	24	
		82.	Shivpuri	2323	265.	Shivpuri	06	
					266.	Guna	07	
					267.	Tikamgarh	08	

regional office		sub-regional office			name of district & code			state/u.t. name & code	
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	
					268.	Chhatarpur	09		
20.	Gwalior (232)	83.	Ujjain	2324	269.	Ujjain	21	Madhya Pradesh (23)	
					270.	Shajapur	22		
					271.	Dewas	23		
					272.	Rajgarh	30		
21.	Jabalpur (233)	84.	Jabalpur	2330	273.	Katni	38	Madhya Pradesh (23)	
					274.	Jabalpur	39		
					275.	Dindori	41		
					276.	Mandla	42		
		85.	Rewa	2331	277.	Panna	10		
					278.	Satna	13		
					279.	Rewa	14		
					280.	Umaria	15		
					281.	Shahdol	16		
					282.	Sidhi	17		
22.	Aurangabad	86.	Aurangabad	2710	283.	Jalna	18	Maharashtra (27)	
					284.	Aurangabad	19		
					285.	Bid	27		
		87.	Jalgaon	2711	286.	Nandurbar	01		
					287.	Dhule	02		
					288.	Jalgaon	03		
		88.	Nanded	2712	289.	Nanded	15		
					290.	Hingoli	16		
					291.	Parbhani	17		
					292.	Latur	28		
		89.	Nashik	2713	293.	Nashik	20		
23.	Mumbai (272)	90.	Mumbai	2720	294.	Mumbai Suburban	22		Maharashtra (27)
					295.	Mumbai	23		
		91.	Thane	2721	296.	Thane	21		
					297.	Raigarh	24		
24.	Nagpur (273)	92.	Nagpur	2730	298.	Wardha	08	Maharashtra (27)	
					299.	Nagpur	09		
					300.	Bhandara	10		
					301.	Gondiya	11		
					302.	Gadchiroli	12		
					303.	Chandrapur	13		
		93.	Akola	2731	304.	Buldana	04		
					305.	Akola	05		
					306.	Washim	06		
		94.	Amravati	2732	307.	Amravati	07		

regional office		sub-regional office			name of district & code			state/u.t. name & code
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
					308.	Yavatmal	14	
25.	Pune (274)	95.	Pune	2740	309.	Pune	25	Maharashtra
					310.	Ahmadnagar	26	(27)
					311.	Satara	31	
					312.	Ratnagiri	32	
		96.	Kolhapur	2741	313.	Sindhudurg	33	
					314.	Kolhapur	34	
					315.	Sangli	35	
		97.	Solapur	2742	316.	Osmanabad	29	
					317.	Solapur	30	
26.	Shillong (171)	98.	Shillong	1710	318.	West Khasi Hills	04	Meghalaya
					319.	Ri Bhoi	05	(17)
					320.	East Khasi Hills	06	
					321.	Jaintia Hills	07	
		99.	Tura	1711	322.	West Garo Hills	01	
					323.	East Garo Hills	02	
					324.	South Garo Hills	03	
		100.	Agartala	1712	325.	West Tripura	01	Tripura
					326.	South Tripura	02	(16)
					327.	Dhalai	03	
					328.	North Tripura	04	
27.	Kohima (131)	101.	Kohima	1310	329.	Mon	01	Nagaland
					330.	Tuensang	02	(13)
					331.	Mokokchung	03	
					332.	Zunheboto	04	
					333.	Wokha	05	
					334.	Dimapur	06	
					335.	Kohima	07	
					336.	Phek	08	
		102.	Imphal	1311	337.	Senapati	01	Manipur
					338.	Tamenglong	02	(14)
					339.	Churachandpur	03	
					340.	Bishnupur	04	
					341.	Thoubal	05	
					342.	Imphal West	06	
					343.	Imphal East	07	
					344.	Ukhrul	08	
					345.	Chandel	09	
28.	Bhubaneswar (211)	103.	Bhubaneswar	2110	346.	Nayagarh	16	Orissa
					347.	Khordha	17	(21)

regional office		sub-regional office			name of district & code			state/u.t. name & code	
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	
					348.	Puri	18		
28.	Bhubaneswar(211)	104.	Baripada	2111	349.	Kendujhar	06	Orissa (21)	
					350.	Mayurbhanj	07		
					351.	Baleshwar	08		
		105.	Berhampur	2112	352.	Ganjam	19		
					353.	Gajapati	20		
					354.	Kandhamal	21		
					355.	Baudh	22		
		106.	Cuttack	2113	356.	Bhadrak	09		
					357.	Kendrapara	10		
					358.	Jagatsinghapur	11		
					359.	Cuttack	12		
					360.	Jajapur	13		
					361.	Dhenkanal	14		
					362.	Anugul	15		
29.	Sambalpur (212)	107.	Sambalpur	2120	363.	Bargarh	01	Orissa (21)	
					364.	Jharsuguda	02		
					365.	Sambalpur	03		
					366.	Debagarh	04		
					367.	Sundargarh	05		
					368.	Sonapur	23		
					369.	Balangir	24		
		108.	Bhawanipatna	2121	370.	Nuapada	25		
					371.	Kalahandi	26		
					372.	Rayagada	27		
					373.	Nabarangapur	28		
					374.	Koraput	29		
					375.	Malkangiri	30		
30.	Jalandhar (031)	109.	Jalandhar	0310	376.	Kapurthala	03		Punjab (03)
					377.	Jalandhar	04		
					378.	Nawanshahr	06		
		110.	Amritsar	0311	379.	Amritsar	02		
		111.	Ferozpur	0312	380.	Moga	10		
					381.	Ferozpur	11		
					382.	Muktsar	12		
					383.	Faridkot	13		
		112.	Hoshiarpur	0313	384.	Gurdaspur	01		
					385.	Hoshiarpur	05		
31.	Ludhiana (032)	113.	Ludhiana	0320	386.	Rupnagar	07	Punjab (03)	
					387.	Ludhiana	09		

regional office		sub-regional office			name of district & code			state/u.t. name & code
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
		114.	Bathinda	0321	388.	Bathinda	14	
					389.	Mansa	15	
31.	Ludhiana (032)	115.	Patiala	0322	390.	Fatehgarh Sahib	08	Punjab
					391.	Sangrur	16	(03)
					392.	Patiala	17	
32.	Ajmer (081)	116.	Ajmer	0810	393.	Nagaur	14	Rajasthan
					394.	Ajmer	21	(08)
					395.	Bhilwara	24	
		117.	Jodhpur	0811	396.	Jodhpur	15	
					397.	Jaisalmer	16	
					398.	Barmer	17	
					399.	Jalor	18	
					400.	Pali	20	
		118.	Udaipur	0812	401.	Sirohi	19	
					402.	Rajsamand	25	
					403.	Udaipur	26	
					404.	Dungarpur	27	
					405.	Banswara	28	
					406.	Chittaurgarh	29	
33.	Jaipur (082)	119.	Jaipur	0820	407.	Churu	04	Rajasthan
					408.	Jhunjhunun	05	(08)
					409.	Dausa	11	
					410.	Jaipur	12	
					411.	Sikar	13	
					412.	Tonk	22	
		120.	Alwar	0821	413.	Alwar	06	
					414.	Bharatpur	07	
					415.	Dhaulpur	08	
		121.	Ganganagar	0822	416.	Ganganagar	01	
					417.	Hanumangarh	02	
					418.	Bikaner	03	
		122.	Kota	0823	419.	Karauli	09	
					420.	Sawai Madhopur	10	
					421.	Bundi	23	
					422.	Kota	30	
					423.	Baran	31	
					424.	Jhalawar	32	
34.	Gangtok (111)	123.	Gangtok	1110	425.	North (Mongam)	01	Sikkim
					426.	West (Gyalshing)	02	(11)
					427.	South (Nimachai)	03	

regional office		sub-regional office			name of district & code			state/u.t. name & code
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
					428.	East (Gangtok)	04	
35.	Coimbatore (331)	124.	Coimbatore	3310	429.	The Nilgiris	11	Tamil Nadu
					430.	Erode	10	(33)
					431.	Coimbatore	12	
		125.	Dharmapuri	3311	432.	Dharmapuri	05	
		126.	Salem	3312	433.	Salem	08	
					434.	Namakkal	09	
		127.	Tiruchirappalli	3313	435.	Karur	14	
					436.	Tiruchirappalli	15	
					437.	Perambalur	16	
					438.	Ariyalur	17	
					439.	Pudukkottai	22	
36.	Chennai (332)	128.	Chennai	3320	440.	Thiruvallur	01	Tamil Nadu
					441.	Chennai	02	(33)
					442.	Kancheepuram	03	
		129.	Cuddalore	3321	443.	Viluppuram	07	
					444.	Cuddalore	18	
		130.	Vellore	3322	445.	Vellore	04	
					446.	Tiruvanamalai	06	
		131.	Pondicherry	3323	447.	Pondicherry	02	Pondicherry
					448.	Karaikal	04	(34)
37.	Madurai (333)	132.	Madurai	3330	449.	Dindigul	13	Tamil Nadu
					450.	Madurai	24	(33)
					451.	Theni	25	
		133.	Thanjavur	3331	452.	Nagapattinam	19	
					453.	Thiruvarur	20	
					454.	Thanjavur	21	
		134.	Tirunelveli	3332	455.	Toothukudi	28	
					456.	Tirunelveli	29	
					457.	Kanniyakumari	30	
		135.	Virudhunagar	3333	458.	Sivaganga	23	
					459.	Virudhunagar	26	
					460.	Ramanathapuram	27	
38.	Dehradun (051)	136.	Dehradun	0510	461.	Uttarkashi	01	Uttaranchal
					462.	Tehri Garhwal	04	(05)
					463.	Dehradun	05	
					464.	Garhwal	06	
					465.	Hardwar	13	

regional office		sub-regional office			name of district & code			state/u.t. name & code		
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code			
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)		
38.	Dehradun (051)	137.	Almora	0511	466.	Chamoli	02	Uttaranchal (05)		
					467.	Rudraprayag	03			
					468.	Pithoragarh	07			
					469.	Champawat	08			
					470.	Almora	09			
					471.	Bageshwar	10			
					472.	Nainital	11			
					473.	U. Singh Nagar	12			
39.	Agra (091)	138.	Agra	0910	474.	Mathura	14	Uttar Pradesh (09)		
					475.	Agra	15			
					476.	Firozabad	16			
					477.	Mainpuri	18			
					478.	Farrukhabad	29			
					479.	Kannauj	30			
					480.	Etawah	31			
							481.	Auraiya	32	
				139.	Aligarh	0911	482.	Bulandshahr	11	
							483.	Aligarh	12	
							484.	Hathras	13	
							485.	Etah	17	
				140.	Meerut	0912	486.	Meerut	07	
							487.	Baghpat	08	
					488.	Ghaziabad	09			
					489.	G. Buddha Nagar	10			
					490.	Saharanpur	01			
					491.	Muzaffarnagar	02			
40.	Allahabad (092)	142.	Allahabad	0920	492.	Pratapgarh	43	Uttar Pradesh (09)		
					493.	Kaushambi	44			
					494.	Allahabad	45			
				143.	Azamgarh	0921	495.	Azamgarh	61	
							496.	Mau	62	
							497.	Ballia	63	
							498.	Jaunpur	64	
				144.	Faizabad	0922	499.	Faizabad	47	
							500.	Ambedkar Nag.	48	
							501.	Sultanpur	49	
							502.	Siddharthnagar	54	
		503.	Basti				55			

regional office		sub-regional office			name of district & code			state/u.t. name & code
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
					504.	S. Kabir Nagar	56	
		145.	Gorakhpur	0923	505.	Maharajganj	57	
					506.	Gorakhpur	58	
					507.	Kushinagar	59	
					508.	Deoria	60	
40.	Allahabad (092)	146.	Varanasi	0924	509.	Ghazipur	65	Uttar Pradesh
					510.	Chandauli	66	(09)
					511.	Varanasi	67	
					512.	S. R. Nagar Bhadohi	68	
					513.	Mirzapur	69	
					514.	Sonbhadra	70	
41.	Bareilly (093)	147.	Bareilly	0930	515.	Budaun	19	Uttar Pradesh
					516.	Bareilly	20	(09)
					517.	Pilibhit	21	
					518.	Shahjahanpur	22	
		148.	Moradabad	0931	519.	Bijnor	03	
					520.	Moradabad	04	
					521.	Rampur	05	
					522.	J. Phule Nagar	06	
		149.	Sitapur	0932	523.	Kheri	23	
					524.	Sitapur	24	
					525.	Hardoi	25	
42.	Lucknow (094)	150.	Lucknow	0940	526.	Unnao	26	Uttar Pradesh
					527.	Lucknow	27	(09)
					528.	Barabanki	46	
		151.	Fatehpur	0941	529.	Rae Bareli	28	
					530.	Banda	40	
					531.	Chitrakoot	41	
					532.	Fatehpur	42	
		152.	Gonda	0942	533.	Bahraich	50	
					534.	Shrawasti	51	
					535.	Balrampur	52	
					536.	Gonda	53	
		153.	Jhansi	0943	537.	Jalaun	35	
					538.	Jhansi	36	
					539.	Lalitpur	37	
					540.	Hamirpur	38	
					541.	Mahoba	39	
		154.	Kanpur	0944	542.	Kanpur Dehat	33	
					543.	Kanpur Nagar	34	
43.	Bardhaman (191)	155.	Bardhaman	1910	544.	Bardhaman	09	West Bengal

regional office		sub-regional office			name of district & code			state/u.t. name & code
sl. no	name (code)	sl. no.	name	code	sl. no.	name	code	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
		156.	Bankura	1911	545.	Bankura	13	(19)
					546.	Puruliya	14	
		157.	Chinsura	1912	547.	Nadia	10	
					548.	Hugli	12	
		158.	Medinipur	1913	549.	Medinipur	15	
44.	Kolkata (192)	159.	Kolkata	1920	550.	North 24-Parganas	11	West Bengal (19)
					551.	Kolkata	17	
					552.	South 24-Parganas	18	
		160.	Howrah	1921	553.	Howrah	16	
45.	Maldah (193)	161.	Maldah	1930	554.	Uttar Dinajpur	04	West Bengal (19)
					555.	Dakshin Dinajpur	05	
					556.	Maldah	06	
		162.	Barhampur	1931	557.	Murshidabad	07	
					558.	Birbhum	08	
		163.	Siliguri	1932	559.	Darjiling	01	
					560.	Jalpaiguri	02	
					561.	Koch Bihar	03	
46.	Port Blair (351)	164.	Port Blair	3510	562.	Andamans	01	A & N Islands (35)
					563.	Nicobars	02	
47.	Delhi (071)	165.	Delhi	0710	564.	North West	01	Delhi (07)
					565.	North	02	
					566.	North East	03	
					567.	East	04	
					568.	New Delhi	05	
					569.	Central	06	
					570.	West	07	
					571.	South West	08	
					572.	South	09	

## APPENDIX - II

### LIST OF NSS REGIONS AND THEIR COMPOSITION

sl. 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)
1.	Andaman & Nicobar Islands (35)	351	Andaman & Nicobar Islands	Andamans	(01)	Nicobars	(02)
2.	Andhra Pradesh (28)	281	Coastal	Srikakulam	(11)	Krishna	(16)
				Vizianagaram	(12)	Guntur	(17)
				Visakhapatnam	(13)	Prakasam	(18)
				East Godavari	(14)	Nellore	(19)
				West Godavari	(15)		
3.		282	Inland Northern	Adilabad	(01)	Rangareddi	(06)
				Nizamabad	(02)	Mahbubnagar	(07)
				Karimnagar	(03)	Nalgonda	(08)
				Medak	(04)	Warangal	(09)
				Hyderabad	(05)	Khammam	(10)
4.		283	South - Western	Kurnool	(21)	Anantapur	(22)
5.		284	Inland Southern	Cuddapah	(20)	Chittoor	(23)
6.	Arunachal Pradesh (12)	121	Arunachal Pradesh	Tawang	(01)	East Siang	(08)
				West Kameng	(02)	Upper Siang	(09)
				East Kameng	(03)	Dibang Valley	(10)
				Papum Pare	(04)	Lohit	(11)
				Lower Subansiri	(05)	Changlang	(12)
				Upper Subansiri	(06)	Tirap	(13)
				West Siang	(07)		
7.	Assam (18)	181	Plains Eastern	Lakhimpur	(12)	Jorhat	(17)
				Dhemaji	(13)	Golaghat	(18)
				Tinsukia	(14)	Cachar	(21)
				Dibrugarh	(15)	Karimganj	(22)
				Sibsagar	(16)	Hailakandi	(23)
8.		182	Plains Western	Kokrajhar	(01)	Nalbari	(07)
				Dhubri	(02)	Darrang	(08)
				Goalpara	(03)	Marigaon	(09)
				Bongaigaon	(04)	Nagaon	(10)
				Barpeta	(05)	Sonitpur	(11)
				Kamrup	(06)		
9.		183	Hills	Karbi Anglong	(19)	North Cachar Hills	(20)

sl. 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)
10.	Bihar (10)	101	Northern	Champaran(W) Champaran(E) Sheohar Sitamarhi Madhubani Supaul Araria Kishanganj Purnia Katihar	(01) (02) (03) (04) (05) (06) (07) (08) (09) (10)	Madhepura Saharsa Darbhanga Muzaffarpur Gopalganj Siwan Saran Vaishali Samastipur	(11) (12) (13) (14) (15) (16) (17) (18) (19)
11.		102	Central	Begusarai Khagaria Bhagalpur Banka Munger Lakhisarai Sheikhpura Nalanda Patna	(20) (21) (22) (23) (24) (25) (26) (27) (28)	Bhojpur Buxar Kaimur (Bhabua) Rohtas Jehanabad Aurangabad Gaya Nawada Jamui	(29) (30) (31) (32) (33) (34) (35) (36) (37)
12.	Chandigarh (04)	041	Chandigarh	Chandigarh	(01)		
13.	Chhattisgarh (22)	221	Chhattisgarh	Koriya Surguja Jashpur Raigarh Korba Janjgir-Champa Bilaspur Kawardha	(01) (02) (03) (04) (05) (06) (07) (08)	Rajnandgaon Durg Raipur Mahasamund Dhamtari Kanker Bastar Dantewada	(09) (10) (11) (12) (13) (14) (15) (16)
14.	Dadra & Nagar Haveli (26)	261	Dadra & Nagar Haveli	Dadra & Nagar Haveli	(01)		
15.	Daman & Diu (25)	251	Daman & Diu	Diu	(01)	Daman	(02)
16.	Delhi (07)	071	Delhi	North West North North East East New Delhi	(01) (02) (03) (04) (05)	Central West South West South	(06) (07) (08) (09)
17.	Goa (30)	301	Goa	North Goa	(01)	South Goa	(02)

sl. 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)
18.	Gujarat (24)	241	Eastern	Sabar Kantha [Khedbarhma, Vijaynagar, Bhiloda, Meghraj] Panch Mahals [Kadana, Santrampur] Dohad Vadodara [Jetpur Pavi, Chhota Udaipur, Kavant, Nasvadi] Narmada Bharuch [Jhagadia , Anklesvar, Valia] Surat [Mangrol, Umarpada, Nizar, Uchchhal, Songadh, Mandvi, Palsana, Bardoli, Vyara, Valod, Mahuva ] The Dangs Navsari [Chikhli, Bansda] Valsad	(05) (17) (18) (19) (20) (21) (22) (23) (24) (25)		
19.		242	Plains Northern	Patan [Vagdod, Siddhpur, Patan] Mahesana Sabar Kantha [Vadali, Idar, Himatnagar, Prantij, Talod, Modasa, Dhansura, Malpur, Bayad] Gandhinagar Ahmedabad Anand Kheda	(03) (04) (05) (06) (07) (15) (16)		
20.		243	Plains Southern	Panch Mahals [Khanpur, Lunawada, Sehera, Morwa(hadaf), Godhra, Kalol, Ghoghamba, Halol, Jambughoda] Vadodara [Savli, Vadodara, Vaghodia, Sankheda, Dabhoi, Padra, Karjan, Sinor] Bharuch [Jambusar, Amod, Vagra, Bharuch, Hansot] Surat [Olpad, Kamrej, Surat City, Chorasi]  Navsari [Navsari, Jalalpur, Gandevi]	(17) (19) (21) (22)		
21.		244	Dry areas	Kachchh Bans Kantha Patan [Santalpur, Radhanpur, Harij, Sami, Chanasma] Surendranagar	(01) (02) (03) (08)		
22.		245	Saurashtra	Rajkot Jamnagar Porbandar	(09) (10) (11)	Junagadh Amreli Bhavnagar	(12) (13) (14)

sl. 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 (06)	061	Eastern	Panchkula	(01)	Panipat	(07)
				Ambala	(02)	Sonipat	(08)
				Yamunanagar	(03)	Rohtak	(14)
				Kurukshetra	(04)	Jhajjar	(15)
				Kaithal	(05)	Gurgaon	(18)
				Karnal	(06)	Faridabad	(19)
24.		062	Western	Jind	(09)	Bhiwani	(13)
				Fatehabad	(10)	Mahendragarh	(16)
				Sirsa	(11)	Rewari	(17)
				Hisar	(12)		
25.	Himachal Pradesh (02)	021	Himachal Pradesh	Chamba	(01)	Una	(07)
				Kangra	(02)	Bilaspur	(08)
				Lahul & Spiti	(03)	Solan	(09)
				Kullu	(04)	Sirmaur	(10)
				Mandi	(05)	Shimla	(11)
				Hamirpur	(06)	Kinnaur	(12)
26.	Jammu & Kashmir (01)	011	Mountainous	Jammu	(13)	Kathua	(14)
27.		012	Outer Hills	Doda	(09)	Punch	(11)
				Udhampur	(10)	Rajauri	(12)
28.		013	Jhelam Valley	Kupwara	(01)	Pulwama	(05)
				Baramula	(02)	Anantnag	(06)
				Srinagar	(03)	Leh* (Ladakh)	(07)
				Badgam	(04)	Kargil*	(08)
29.	Jharkhand (20)	201	Jharkhand	Garhwa	(01)	Pakaur	(10)
				Palamu	(02)	Dumka	(11)
				Chatra	(03)	Dhanbad	(12)
				Hazaribag	(04)	Bokaro	(13)
				Kodarma	(05)	Ranchi	(14)
				Giridih	(06)	Lohardaga	(15)
				Deoghar	(07)	Gumla	(16)
				Godda	(08)	Singhbhum(W)	(17)
				Sahibganj	(09)	Singhbhum (E)	(18)
30.	Karnataka (29)	291	Coastal & Ghats	Uttara Kannada	(10)	Dakshina Kannada	(24)
				Udupi	(16)		
31.		292	Inland Eastern	Shimoga	(15)	Hassan	(23)
				Chikmagalur	(17)	Kodagu	(25)
32.		293	Inland Southern	Tumkur	(18)	Mandya	(22)
				Kolar	(19)	Mysore	(26)
				Bangalore	(20)	Chamarajanagar	(27)
				Bangalore (Rural)	(21)		

\* not yet covered by NSS

sl. 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)
33.	Karnataka (29)	294	Inland Northern	Belgaum	(01)	Gadag	(08)
				Bagalkot	(02)	Dharwad	(09)
				Bijapur	(03)	Haveri	(11)
				Gulbarga	(04)	Bellary	(12)
				Bidar	(05)	Chitradurga	(13)
				Raichur	(06)	Davanagere	(14)
				Koppal	(07)		
34.	Kerala (32)	321	Northern	Kasaragod	(01)	Kozhikode	(04)
				Kannur	(02)	Malappuram	(05)
				Wayanad	(03)	Palakkad	(06)
35.		322	Southern	Thrissur	(07)	Alappuzha	(11)
				Ernakulam	(08)	Pathanamthitta	(12)
				Idukki	(09)	Kollam	(13)
				Kottayam	(10)	Thiruvananthapuram	(14)
36.	Lakshadweep (31)	311	Laksha- dweep	Lakshadweep	(01)		
37.	Madhya Pradesh (23)	231	Vindhya	Tikamgarh	(08)	Rewa	(14)
				Chhatarpur	(09)	Umaria	(15)
				Panna	(10)	Shahdol	(16)
				Satna	(13)	Sidhi	(17)
38.		232	Central	Sagar	(11)	Bhopal	(32)
				Damoh	(12)	Sehore	(33)
				Vidisha	(31)	Raisen	(34)
39.		233	Malwa	Neemuch	(18)	Dewas	(23)
				Mandsaur	(19)	Jhabua	(24)
				Ratlam	(20)	Dhar	(25)
				Ujjain	(21)	Indore	(26)
				Shajapur	(22)	Rajgarh	(30)
40.		234	South	Katni	(38)	Mandla	(42)
				Jabalpur	(39)	Chhindwara	(43)
				Narsimhapur	(40)	Seoni	(44)
				Dindori	(41)	Balaghat	(45)
41.		235	South Western	W. Nimar (Khargoan)	(27)	Betul	(35)
				Barwani	(28)	Harda	(36)
				E. Nimar (Khandwa)	(29)	Hoshangabad	(37)
42.		236	Northern	Sheopur	(01)	Datia	(05)
				Morena	(02)	Shivpuri	(06)
				Bhind	(03)	Guna	(07)
				Gwalior	(04)		
43.	Maharashtra (27)	271	Coastal	Thane	(21)	Raigarh	(24)
				Mumbai	(22)	Ratnagiri	(32)
				Suburban		Sindhudurg	(33)
				Mumbai	(23)		
44.	Maharashtra	272	Inland	Pune	(25)	Satara	(31)

sl. 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)
	(27)		Western	Ahmadnagar	(26)	Kolhapur	(34)
				Solapur	(30)	Sangli	(35)
45.		273	Inland	Nandurbar	(01)	Jalgaon	(03)
			Northern	Dhule	(02)	Nashik	(20)
46.		274	Inland	Nanded	(15)	Aurangabad	(19)
			Central	Hingoli	(16)	Bid	(27)
				Parbhani	(17)	Latur	(28)
				Jalna	(18)	Osmanabad	(29)
47.		275	Inland	Buldana	(04)	Wardha	(08)
			Eastern	Akola	(05)	Nagpur	(09)
				Washim	(06)	Yavatmal	(14)
				Amravati	(07)		
48.		276	Eastern	Bhandara	(10)	Gadchiroli	(12)
				Gondiya	(11)	Chandrapur	(13)
49.	Manipur (14)	141	Plains	Bishnupur	(04)	Imphal West	(06)
				Thoubal	(05)	Imphal East	(07)
50.		142	Hills	Senapati	(01)	Ukhrul	(08)
				Tamenglong	(02)	Chandel	(09)
				Churachandpur	(03)		
51.	Meghalaya (17)	171	Meghalaya	West Garo Hills	(01)	Ri Bhoi	(05)
				East Garo Hills	(02)	East Khasi Hills	(06)
				South Garo Hills	(03)	Jaintia Hills	(07)
				West Khasi Hills	(04)		
52.	Mizoram (15)	151	Mizoram	Mamit	(01)	Serchip	(05)
				Kolasib	(02)	Lunglei	(06)
				Aizwal	(03)	Lawngtlai	(07)
				Champhai	(04)	Saiha	(08)
53.	Nagaland (13)	131	Nagaland	Mon	(01)	Wokha	(05)
				Tuensang	(02)	Dimapur	(06)
				Mokokchung	(03)	Kohima	(07)
				Zunheboto	(04)	Phek	(08)
54.	Orissa (21)	211	Coastal	Baleswar	(08)	Nayagarh	(16)
				Bhadrak	(09)	Khordha	(17)
				Kendrapara	(10)	Puri	(18)
				Jagatsinghapur	(11)	Ganjam	(19)
				Cuttack	(12)	Gajapati	(20)
				Jajapur	(13)		
55.		212	Southern	Kandhamal (Phoolbani)	(21)	Rayagada	(27)
				Baudh	(22)	Nabarangapur	(28)
				Nuapada	(25)	Koraput	(29)
				Kalahandi	(26)	Malkangiri	(30)
56.	Orissa	213	Northern	Bargarh	(01)	Mayurbhanj	(07)

sl. 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)
	(21)			Jharsuguda	(02)	Dhenkanal	(14)
				Sambalpur	(03)	Anugul	(15)
				Debagarh	(04)	Sonapur	(23)
				Sundargarh	(05)	Balangir	(24)
				Kendujhar	(06)		
57.	Pondicherry (34)	341	Pondicherry	Yanam	(01)	Mahe	(03)
				Pondicherry	(02)	Karaikal	(04)
58.	Punjab (03)	031	Northern	Gurdaspur	(01)	Hoshiarpur	(05)
				Amritsar	(02)	Nawanshahr	(06)
				Kapurthala	(03)	Rupnagar	(07)
				Jalandhar	(04)	Ludhiana	(09)
59.		032	Southern	Fatehgarh Sahib	(08)	Bathinda	(14)
				Moga	(10)	Mansa	(15)
				Firozpur	(11)	Sangrur	(16)
				Muktsar	(12)	Patiala	(17)
				Faridkot	(13)		
60.	Rajasthan (08)	081	Western	Ganganagar	(01)	Jaisalmer	(16)
				Hanumangarh	(02)	Barmer	(17)
				Bikaner	(03)	Jalor	(18)
				Churu	(04)	Sirohi	(19)
				Nagaur	(14)	Pali	(20)
				Jodhpur	(15)		
61.		082	North-Eastern	Jhunjhunun	(05)	Dausa	(11)
				Alwar	(06)	Jaipur	(12)
				Bharatpur	(07)	Sikar	(13)
				Dhaulpur	(08)	Ajmer	(21)
				Karauli	(09)	Tonk	(22)
				Sawai Madhopur	(10)	Bhilwara	(24)
62.		083	Southern	Rajsamand	(25)	Dungarpur	(27)
				Udaipur	(26)	Banswara	(28)
63.		084	South-Eastern	Bundi	(23)	Baran	(31)
				Chittaurgarh	(29)	Jhalawar	(32)
				Kota	(30)		
64.	Sikkim (11)	111	Sikkim	North (Mongam)	(01)	South	(03)
				West (Gyalshing)	(02)	(Nimachai) East (Gangtok)	(04)
65.	Tamil Nadu (33)	331	Coastal Northern	Thiruvallur	(01)	Tiruvanamalai	(06)
				Chennai	(02)	Viluppuram	(07)
				Kancheepuram	(03)	Cuddalore	(18)
				Vellore	(04)		
66.		332	Coastal	Karur	(14)	Nagapattinam	(19)
				Tiruchirappalli	(15)	Thiruvarur	(20)
				Perambalur	(16)	Thanjavur	(21)
				Ariyalur	(17)	Pudukkottai	(22)
67.	Tamil Nadu	333	Southern	Dindigul	(13)	Ramanathapuram	(27)

sl. 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)
	(33)			Sivaganga	(23)	Toothukudi	(28)
				Madurai	(24)	Tirunelveli	(29)
				Theni	(25)	Kanniyakumari	(30)
				Virudhunagar	(26)		
68.		334	Inland	Dharmapuri	(05)	Erode	(10)
				Salem	(08)	The Nilgiris	(11)
				Namakkal	(09)	Coimbatore	(12)
69.	Tripura (16)	161	Tripura	West Tripura	(01)	Dhalai	(03)
				South Tripura	(02)	North Tripura	(04)
70.	Uttaranchal (05)	051	Uttaranchal	Uttarkashi	(01)	Bageshwar	(08)
				Chamoli	(02)	Almora	(09)
				Rudraprayag	(03)	Champawat	(10)
				Tehri Garhwal	(04)	Nainital	(11)
				Dehradun	(05)	Udham Singh	(12)
				Garhwal	(06)	Nagar	
				Pithoragarh	(07)	Hardwar	(13)
71.	Uttar Pradesh (09)	091	Western	Saharanpur	(01)	Mathura	(14)
				Muzaffarnagar	(02)	Agra	(15)
				Bijnor	(03)	Firozabad	(16)
				Moradabad	(04)	Etah	(17)
				Rampur	(05)	Mainpuri	(18)
				J Phule Nagar	(06)	Budaun	(19)
				Meerut	(07)	Bareilly	(20)
				Baghpat	(08)	Pilibhit	(21)
				Ghaziabad	(09)	Shahjahanpur	(22)
				G. Buddha Nagar	(10)	Farrukhabad	(29)
				Bulandshahr	(11)	Kannauj	(30)
				Aligarh	(12)	Etawah	(31)
				Hathras	(13)	Auraiya	(32)
72.		092	Central	Kheri	(23)	Rae Bareli	(28)
				Sitapur	(24)	Kanpur Dehat	(33)
				Hardoi	(25)	Kanpur Nagar	(34)
				Unnao	(26)	Fatehpur	(42)
				Lucknow	(27)	Barabanki	(46)
73.		093	Eastern	Pratapgarh	(43)	Gorakhpur	(58)
				Kaushambi	(44)	Kushinagar	(59)
				Allahabad	(45)	Deoria	(60)
				Faizabad	(47)	Azamgarh	(61)
				Ambedkar Nag.	(48)	Mau	(62)
				Sultanpur	(49)	Ballia	(63)
				Bahraich	(50)	Jaunpur	(64)
				Shrawasti	(51)	Ghazipur	(65)
				Balrampur	(52)	Chandauli	(66)
				Gonda	(53)	Varanasi	(67)
				Siddharthnagar	(54)	S.R.Nagar(Bhadohi)	(68)
				Basti	(55)	Mirzapur	(69)
				S. Kabir Nagar	(56)	Sonbhadra	(70)
				Maharajganj	(57)		
74.	Uttar Pradesh	094	Southern	Jalaun	(35)	Mahoba	(39)

sl. 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)			Jhansi	(36)	Banda	(40)
				Lalitpur	(37)	Chitrakoot	(41)
				Hamirpur	(38)		
75.	West Bengal (19)	191	Himalayan	Darjiling	(01)	Koch Bihar	(03)
				Jalpaiguri	(02)		
76.		192	Eastern Plains	Uttar Dinajpur	(04)	Murshidabad	(07)
				Dakshin Dinajpur	(05)	Birbhum	(08)
				Maldah	(06)	Nadia	(10)
77.		193	Central Plains	Bardhaman	(09)	Howrah	(16)
				North 24-Parganas	(11)	Kolkata	(17)
				Hugli	(12)	South 24-Parganas	(18)
78.		194	Western Plains	Bankura	(13)	Medinipur	(15)
				Puruliya	(14)		