

NATIONAL SAMPLE SURVEY
FIFTIETH ROUND : JULY 1993 - JUNE 1994
INSTRUCTIONS TO FIELD STAFF : VOLUME- I
DESIGN, CONCEPTS, DEFINITIONS AND PROCEDURES

SECTION ONE
GENERAL

INTRODUCTION

1.1.1 The National Sample Survey (NSS), set up by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods, will complete its forty-ninth round field operations in June 1993. The fiftieth round will start from July 1993 to be completed by June 1994.

1.1.2 NSS 50th round has been planned as the fifth quinquennial round of survey on household consumer expenditure and employment and unemployment; the four previous surveys of this series were carried out in the 27th (October 1972 - September 1973), the 32nd (July 1977 - June 1978), the 38th (January - December 1983) and the 43rd (July 1987 - June 1988) rounds of the NSS. In addition, collection of rural retail prices will continue as a part of the 50th round survey programme.

1.1.3 It may be mentioned that in order to net more households of the upper income bracket in the sample, significant changes have been made in the sample design as done during NSS 43rd round.

SCHEDULES OF ENQUIRY

1.2.1 The following table gives the list of schedules of enquiry for the 50th round :-

Table (1.1) : Schedules to be canvassed in NSS 50th round :

srl. no.	schedule no.	description	sector
(1)	(2)	(3)	(4)
1.	0.1	list of households	rural
2.	0.2	list of households	urban
3.	1.0	consumer expenditure	rural & urban
4.	10	employment & unemployment	rural & urban
5.	3.01	rural retail prices	rural

1.3.1 The survey will cover the whole of Indian Union excepting

- (i) Ladhak and Kargil districts of Jammu & Kashmir,
- (ii) 786 interior villages of Nagaland (out of total of 1119 villages of 1981 census) situated beyond 5 kms. of a bus route and
- (iii) 172 villages in Andaman & Nicobar Islands (out of a total of 520 villages) which are inaccessible throughout the year.

PERIOD OF SURVEY

1.4.1 As mentioned earlier, the 50th round survey will be of one year's duration, starting from July 1993 and ending by June 1994.

CONTENTS OF THIS VOLUME

1.5.1 The present volume contains the concepts and definitions relating to the topics of enquiry and detailed instructions for filling in the various schedules. It contains five sections and two Appendices. Section one, besides giving an overview of the whole scheme, describes in detail the sample design, sample size, work programme, etc., adopted for this survey round. Instructions for filling in schedules 0.1, 0.2, 1.0 and 10 are given in Section Two, Three, Four and Five respectively. Explanations of the major concepts and definitions of the technical terms used in respect of different schedules are given in the respective sections. While list of FOD Sub-Regions is given in Appendix-I, the compositions of the NSS Regions are given in Appendix-II.

1.5.2 The facsimile of the schedules of Enquiry are given in the Instructions to Field Staff : Volume II.

SAMPLE DESIGN:

1.6.1 As usual, stratified two-stage design is adopted for the current round. The first-stage units are census villages in the rural sector and the NSSO urban frame survey (UFS) blocks in the urban sector. However, for some of the newly declared towns of 1991 census for which UFS frame has not been received, the 1991 census enumeration blocks are the first-stage units. The second-stage units are households in both the sectors.

1.6.2 **SAMPLING FRAME FOR FIRST-STAGE UNITS :** The latest available lists of census villages (which are mostly the 1981 census lists) constitute the sampling frame for the rural sector. The information as to which particular census list has been used as the sampling frame is indicated in the sample list. For Nagaland, the villages located within 5kms of a bus route constitute the sampling frame whereas, for Andaman & Nicobar Islands, the list of accessible villages constituted the sampling frame. For the urban sector, the lists of NSSO Urban Frame Survey (UFS) blocks have been considered as the sampling frame. However, for some of the newly declared towns of 1991 census for which UFS frame has not been received, the lists of 1991 census EBs have been considered as the sampling frame.

1.6.3 **REGION FORMATION AND STRATIFICATION :** States have been

divided into regions by grouping contiguous districts similar in respects of population density and crop pattern. In Gujarat, however, some districts have been split for the purpose of region formation, considering the location of dry areas and the distribution of tribal population of the state. The compositions of the regions are given in Appendix-II.

1.6.4 In the rural sector, each district is treated as a separate stratum. However, if the census population of the districts is greater than or equal to 1.8 million or 2 million (depending upon whether 1981 or 1991 census frame is used for selection of villages), the district has been split into two or more strata, by grouping contiguous tehsils to form strata. In Gujarat, in the cases of districts extending over more than one region the part of a district falling in each region constitutes a separate stratum.

1.6.5 In the urban sector, strata are formed within NSS region on the basis of the population size class of towns. In order to net more households of the upper income bracket in the sample, the usual first-stage stratification technique adopted for the urban sector has been modified. For the purpose of stratification, in towns with 1991 census population 4 lakhs or more, the blocks have been divided into two categories viz. one consisting of blocks in areas inhabited by the affluent section of the population and the other consisting of the remaining blocks. The strata within each region are constituted as follows:

Table (1.2) : Composition of urban strata within NSS Region

STRATUM		SPECIFICATION	
Number			
(1)		(2)	
1.	all towns with population less than 50,000		
2.	" " " " 50,000-1,99,999		
3.	" " " " 2,00,000-3,99,999		
4.	affluent area of " " " " 4,00,000-9,99,999		
5.	other area " " " " 4,00,000-9,99,999		
6.	affluent area of a single city with population 1 million or more		
7.	other " " " " " " 1 million or more		
8.	affluent area another city any " " 1 million or more		
9.	other areas " " " " " "		

(Note : Information on the blocks located in affluent areas of towns with population 4 lakhs or more was received from the regional/ sub-regional offices of FOD, NSSO)

1.6.6 ALLOCATION OF FIRST-STAGE UNITS : The total sample size of first-stage units (rural and urban combined) for the central sample for a state/u.t. determined on the basis of investigator strength and the expected work-load per investigator, has been allocated to its rural and urban sectors considering the

relative sizes of the rural and urban population with double weightage to the urban sector. Allocation of first-stage units by state x sector is given in Table (1.4). Now the state-level rural sample size is allocated to the rural strata in proportion to rural population. The urban sample size of the state/u.t. is allocated to the urban strata in proportion to population with double weightage to 'affluent strata' (viz. strata 4, 6 and 8). All stratum-level allocations are adjusted to multiples of 4 (preferable multiples of 8).

1.6.7 SELECTION OF FIRSTS-STAGE UNITS : Selection procedure of first-stage units has been changed from the procedure adopted in the earlier two rounds. Sample villages have been selected circular systematically with probability proportional to population and sample blocks have been selected circular systematically with equal probability. Both the sample villages and the sample blocks have been selected in the form of two or more independent sub-samples.

1.6.8 ARUNACHAL PRADESH : For the rural areas of Arunachal Pradesh, the procedure of cluster sampling has been followed. The field staff will be supplied with a list of nucleus villages and they will select the remaining villages of the cluster according to the procedure described in para 2.0.5 of Section Two. The nucleus villages have been selected circular systematically with equal probability, in the form of two independent sub-samples.

1.6.9 SELECTION OF HAMLET-GROUPS/SUB-BLOCKS : Large villages/blocks having present population 1200 or more will be divided into a suitable number of hamlet-groups/sub-blocks having equal population content. The hamlet-groups are to be selected for large villages, whereas, only one sub-block is to be selected from large blocks. The procedures of hamlet-group and sub-block selection have been discussed in details in Section Two and Three respectively. The two selected hamlet-groups in larger

villages will be considered together as one unit for combined listing and selection of household.

1.6.10 SELECTION OF HOUSEHOLDS (RURAL) : In order to have adequate number of sample households from the affluent section of the society, some new procedures have been introduced for selection of sample households, both in the rural and the urban sectors. In the rural sector, while listing households, the investigator will identify the households living in the village/selected hamlet-groups, which may be considered to be relatively more affluent than the rest. This will be done by considering the factors generally associated with rich people in the locality such as : living in large pucca house in well-maintained state, ownership of cultivable/irrigated land in excess of certain norms (i.e. 20 acres of cultivable land or 10 acres of irrigated land),

ownership of motor vehicles and costly consumer durables like T.V., VCR and Refrigerator, ownership of large business establishments, etc. a working sheet (see block 9) has been designed to identify these 'affluent' households. A household will qualify for classification as affluent in block 9 if it owns any of the items listed in columns (4) to (10) of block 9 or if it owns cultivable/irrigated land in excess of 20,00/10.00 acres. In this context, it may be noted that the households having at least one member with a good salaried job or in a profession with considerable income (doctor, advocate, etc.) would be included in column (7) of block 9. It is quite possible that in a village/selected hamlet-groups there is no household which satisfies the criteria of an affluent household. On the other hand, there may be villages/h.gs. where good number of households satisfy the criteria of the affluent households. This is quite in order. If there is no affluent household in a village all the households will constitute second-stage stratum 2 and there will be no household in second-stage stratum-1. If the number of affluent households identified by the investigator on the basis of the guidelines given above is 1 to 10, all of them will form second-stage stratum-1 and the remaining households of the village/selected h.gs. will form second-stage stratum-2. But if the number of affluent households is more than 10, the investigator will have to rank them in descending order of their affluence. The top ten households will constitute second-stage stratum-1 and the remaining households (including the affluent households not considered for second-stage stratum-1) will form second-stage stratum-2. It is to be noted that if the total number of households listed in a village is less than or equal to 10., all of them will be included in second-stage stratum-2. There will be no household in second-stage stratum -1 in such cases. At the time of listing, information relating to each household's major sources of income will be collected, on the basis of which its means of livelihood will be identified as one of the following : "self-employed in non-agriculture", "rural labour" and "others" (see Section Two for definitions of these terms). Also the area for land possessed as on date of survey will be ascertained from all households while listing. Now the

households of second-stage stratum-2 will be arranged in the order : (1) self-employed in non-agriculture., (2) rural labour and (3) other households with land possessed (acres) : (3.1) less than 1.00 (3.2) 1.00-2.49., (3.3) 2.50-4.99, (3.4) 5.00-9.99 and (3.5) 10.00 or more. 2 sample households will be selected from second-stage stratum 1 circularly systematically with a random start. In the case of second-stage stratum 2, 8 households will be selected from the arranged frame, also circularly systematically with a random start.

1.6.11 SELECTION OF HOUSEHOLDS (URBAN) : At the time of listing, information on the major sources of income will be ascertained from each household, based on which its means of livelihood class will be identified as one of the following : (a) self-employed, (b) regular wage/salary earning, (c) casual labour and (d) others. Further, the average monthly consumer expenditure and the household size will also be ascertained from

each household from which its average monthly per capita expenditure (MPCE) will be obtained. Now, in all towns except those with population 10 lakhs or more i.e. in strata 1 to 5, all households with MPCE Rs.1200/0- or more will form second-stage stratum-1 (the affluent or rich section) and the rest, second-stage stratum-2. In towns with population 10 lakhs or more i.e. in strata 6 to 9, households with MPCE Rs1500 or more will constitute second-stage stratum 1 and the others, second-stage stratum-2. Households of second-stage stratum 2 belonging to m.l. classes(a) and (b) above will be assigned to one of the three MPCE classes : (1) less than 'A', (2) 'A' to 'B' and (3) above 'B' : A and B have been determined at state/u.t. level such that the above three MPCE classes will roughly include, respectively, the lowest 30%, the middle 60% and the top 10% of the population for each state/ U.T. The values of A and B are given state-wise in Section Three. The households of second-stage stratum 2 will be arranged by means of livelihood and MPCE class : a-1, a-2, a-3, b-3, b-2, b-1, c, d where a,b,c and d stand for the m.l. classes and 1,2 and 3, for the MPCE classes given above. Now, in the 'affluent strata' of towns with population 4 lakhs or more i.e., in strata 4, 6 and 8, 4 households will be selected from second-stage stratum 1 and 6 from second-stage stratum-2. In the remaining strata 2 households will be selected from second-stage stratum 1 and 8 from second-stage stratum 2 as in the rural sector. The required number of sample households will be selected separately from each second-stage stratum circular systematically with a random start.

1.6.12 ADJUSTMENT FOR SHORTFALL

Shortfall in the required number of households in any second-stage stratum will be made up by increasing the quota for the other second-stage stratum.

1.6.13 CANVASSING OF SCHEDULES OF ENQUIRY

Schedule 0.1 will be canvassed in all the sample villages and schedule 0.2 in all the sample blocks. Both the schedules 1.0 and 10 will be canvassed in the same set of sample households selected from each sample village/block.

1.6.14 SAMPLE SIZE (CENTRAL SAMPLE) : A total of 7284 sample villages and 4792 sample blocks will be surveyed in the central sample besides the customary 'price' villages. Table (1.4) gives the distribution of the central sample by state x sector.

1.6.15 SAMPLE SIZE (STATE SAMPLE) : All the states and union territories except Andaman & Nicobar Islands, Dadra & Nagar Haveli and Lakshadweep are participating in NSS 50th round at least on an equal matching basis. The sample size of the state sample is also given in Table (1.4) by state x sector. A total

of 7964 sample villages and 5880 blocks will be surveyed in the state sample.

WORK PROGRAMME

1.7.1 The survey period of one year of this round is divided into four sub-rounds of three months duration each as indicated below :

sub-round	period of survey			
1.	July	-	September	1993
2.	October	-	December	1993
3.	January	-	March	1994
4.	April	-	June	1994

Equal number of sample villages and blocks have been allotted for survey in each of these four sub-rounds. Each village/block will be surveyed during the sub-round period to which it has been allotted. Because of arduous field condition, this restriction need not strictly be enforced in Andaman & Nicobar Islands, Lakshadweep and rural areas of Arunachal Pradesh and Nagaland.

Table (1.4) : Distribution of sample villages and blocks for NSS 50th round survey

state/union- territory	number of sample villages/blocks			
	central sample		state sample	
	rural	urban	rural	urban
(1)	(2)	(3)	(4)	(5)
1. Andhra Pradesh	496	368	496	368
2. Arunachal Pradesh	156*	24	156*	24
3. Assam	344	88	344	88
4. Bihar	704	216	704	216
5. Goa	16	24	32	48
6. Gujarat	224	240	448	480
7. Haryana	104	72	208	144
8. Himachal Pradesh	192	40	192	40
9. Jammu & Kashmir	264	168	528	336
10. Karnataka	264	248	264	248
11. Kerala	256	184	256	184
12. Madhya Pradesh	544	328	544	328
13. Maharashtra	448	560	448	840
14. Manipur	104	72	208	144
15. Meghalaya	112	48	112	48
16. Mizoram	48	96	48	96
17. Nagaland	48	24	48	72
18. Orissa	336	104	336	104
19. Punjab	224	200	224	200
20. Rajasthan	312	184	312	184

21. Sikkim	48	16	96	32
22. Tamil Nadu	392	408	392	408
23. Tripura	176	56	176	56
24. Uttar Pradesh	904	448	904	448
25. West Bengal	448	336	448	336
26. Andaman & Nicobar Islands.	56	40	-	-
27. Chandigarh	8	16	-	32
28. Dadra & Nagar Haveli	24	8	-	-
29. Daman & Diu	8	8	8	8
30. Delhi	8	112	24	336
31. Lakshadweep	8	24	-	-
32. Pondicherry	8	32	8	32

33. All-India	7284	4792	7964	5880

* 26 nucleus villages.				

SECTION TWO

SCHEDULE 0.1 : LIST OF HOUSEHOLDS (RURAL)

2.00 INTRODUCTION : Schedule 0.1 is meant for listing all the households residing in the sample village (selected hamlet-groups in case of large village), collection of some household particulars like household size, means of livelihood, the area of land possessed, preparation of the sampling frame for selection of sample households for schedules 1.0 and 10 and recording the details of sample selection. Wherever hamlet-groups are required to be formed, particulars relating to the formation and selection of hamlet-groups will also be recorded in this schedule.

2.0.1 UNIT OF SURVEY : The first stage sampling unit (FSU) and also the unit of survey is the census village in the rural sector. In most cases, it is the 1981 census village. It is

indicated in the sample list whether the sample FSU is the 1981 census village or some other (i.e. 1991 or 1971) census village and appropriate entry is to be recorded against the item 'frame code' (item no. 13) given in block 1 of the schedule. The investigator, on arrival at a sample village, will ascertain the exact boundaries of the sampled census village mentioned in the sample list. This may be done with the help of the village officials like a patwari, panchayat authorities, etc.

2.0.2 NUMBER OF HAMLET GROUPS TO BE FORMED : With a view to controlling the work load mainly at the stage of listing of households, hamlet-group selection will be resorted to in FSU's having large population. A large village will be divided into a certain number(D) of sub-divisions called 'hamlet-groups', two of which will be selected circular systematically and the survey will be confined only to the selected hamlet-groups, considering them as one unit. The procedure for forming the hamlet-groups is outlined in paras 2.0.3 & 2.0.4.

2.0.3 The investigator will first ascertain the approximate population of the sample village at the time of survey. This has to be ascertained mainly from the village officials and / or other knowledgeable individuals by putting certain probing questions.

The starting point can be the 1991 census population. In the case of large difference with the 1991 census population, it may be asked : whether there has been any abnormal influx into or exodus from the village after 1991 census and if so, what is the approximate increase or decrease of population ascribable to such events; whether any new settlements have come up in the village after 1991 census and if so what is the approximate population of the same, and so on. If it is not possible to know the present

population or the 1991 census population, 1981 census population may be used for the purpose. The number of hamlet-groups to be formed (D) will be decided as follows :

Table (2.1) : Number of hamlet-groups to be formed in large villages

approximate present population of the sample village.	no. of hamlet-groups to be formed (D)
(1)	(2)
less than 1200	1 (i.e. no hamlet-group formation)
1200 to 1799	4
1800 to 2199	5
2200 to 2599	6
2600 to 2999	7
3000 to 3399	8

and so on

However, for rural areas of Himachal Pradesh, Sikkim, and Punch, Rajouri, Udhampur and Doda districts of Jammu & Kashmir, the limits will be D=1 for population less than 600; D=4 for population 600 to 1199; D=5 for population 1200 to 1499; D=6 for population 1500 to 1799 and so on.

2.0.4 FORMATION AND SELECTION HAMLET-GROUPS : The steps involved in the procedure for formation and selection of hamlet groups are as follows :

(i) Identify the natural hamlets i.e. pockets or localities where the houses of village tend to cluster together. In case there is no recognised hamlets in the village, the census sub-divisions of the village (i.e. enumeration blocks) or groups of census house numbers or geographically distinct blocks of houses may be treated as hamlets.

(ii) Ascertain approximate present population of each of the hamlets.

(iii) Draw a national map in block 5 showing the approximate location of the hamlets and number them in a serpentine order starting from the north-west corner and proceeding southwards. While drawing this map, uninhabited area (non-badi area) of the village will be included as part of the 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 3 of schedule 0.1 in the order of their numbering and indicate the present population content in terms of percentages.

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

(vi) Numbering of hamlet-groups will be done next in block 4 of schedule 0.1. Hamlet-groups will be numbered serially in col.(1) of block 4 in the order of the first hamlet included in each. Indicate the numbers also in the notional map. It is quite possible that a hamlet-group may not be constituted of hamlets with consecutive serial numbers.

(vii) Select two hamlet-groups using circular systematic method of selection with a random start.

2.0.5 CLUSTER OF SAMPLING IN ARUNACHAL PRADESH : Due to the

special field difficulties experienced in Arunachal Pradesh, the procedure of 'cluster sampling' will be followed in the rural sector of this state. The different steps involved in the procedure to be adopted are described in the following sub-paras.

(i) The rural sample list gives in the case of Arunachal Pradesh, the list of what are called 'nucleus' villages. The clusters of villages to be surveyed will be built around the nucleus villages.

(ii) While forming the clusters the following points are to be kept in mind :

- (a) The maximum distance to be travelled to move between the sample village within a cluster may not ordinarily exceed 15 kms.
- (b) Starting from the nucleus village, the households of each village within the cluster will be completely listed using separate listing schedule for each village of the cluster. The order of listing of villages will be that of increasing distance from the nucleus village.
- (c) All the households of a village included in a cluster will be listed. That is to say, there will not be any hamlet-group selection.
- (d) After listing completely the households of a village,

it will be checked whether the total number of households listed so far in the cluster is equal to or greater than 400. If it is so, no more villages are to be listed.

- (e) If, however, even after listing four villages the total number of households does not come to 100, one or at most two more villages are to be listed. In no case a cluster will include more than six villages.

(iii) After determining the villages forming a cluster, each of them will be treated as an individual sample village. Each will have a unique serial number and the survey will be carried out as described for the rural areas of the rest of the country (except that there will be no hamlet-group selection).

(iv) In the sample list, the serial numbers of the nucleus villages are given with a gap of six. The serial numbers of the remaining villages of each cluster will be given in continuation to that of the nucleus village in the order in which they are selected.

In case, the selected number of villages in a cluster is less than six, there will be a gap in the serial numbering of the villages between this cluster and those of the next. Serial number of the nucleus village of the next cluster should not be altered to bridge this gap. The gap may be allowed to stand as it is. Sample village number will also be given in the same manner.

The sub-sample and sub-round numbers of all the villages of a given cluster will be those of the nucleus village.

(v) After finalising the composition of the clusters, a consolidated list of the sample villages (both central and state samples) will be sent to SDRD in the same format as that of the sample list supplied originally.

LISTING OF HOUSES AND HOUSEHOLDS :

2.0.6 After having determined the areal unit to be surveyed, the investigator will proceed to list the houses and the households in the unit. The listing may be done in the same order as that of the 1991 census order of house listing. If the census order of house listing is not available, the listing may be started from the north-west corner of the village/block. While listing the households, some essential minimum information about the households will have to be collected. These are required mainly to prepare the second-stage sampling frame for selection of sample households. The definitions of the important terms to be used in this connection are given below :

2.0.7 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.

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

(i) Each inmate (including residential staff) of a 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. The residential staff of such establishments will also be treated as constituting households.

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

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

(iv) Foreign nationals will not be listed, nor their domestic

servants, if by definition they belong to the foreign national's household. In some cases, however, a foreign national might have become an Indian citizen for all practical purposes. Such persons will be covered.

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

2.0.9 HOUSEHOLD SIZE: The number of normally resident members of a household is its size. It will include temporary stay-aways but exclude temporary visitors and guests. Even though the determination of the actual composition of a household will be left to the judgement of the head of the household. The following procedures will be followed 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 house) 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, shop or 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 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.

2.0.10 SELF-EMPLOYED : Persons who are engaged in their own farm or non-farm enterprises are defined as self-employed. There are different types of self-employed persons. Some may operate their enterprises without hiring any labour. Others normally work on their own but occasionally hire a few labourers. There is also a third category who by and large regularly run their enterprises by hiring labour. The first two groups of self-employed are known as 'own account workers' and the third as 'employer'. For detailed explanation of this term reference may be made to section five on schedule 10.

2.0.11 NON-AGRICULTURAL ENTERPRISES : All enterprises covered by Industry section '0' are "agricultural enterprises" and all the others are "non-agricultural enterprises".

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

2.0.13 MANUAL WORK is work which essentially involves physical operations. However, jobs essentially involving physical labour but also requiring a certain level of general, professional, scientific or technical education are not to be termed as manual work. On the other hand, job not involving much of manual labour but at the same time not requiring much educational back-ground either, are to be treated as manual work. Thus engineers, doctors, dentists, midwives, etc. are not considered as manual workers even though their jobs involve some amount of physical labour. But peons, chowkidars, watchmen, etc. are considered as manual workers even though their work may not involve much physical labour. Manual work will cover one or more of the following occupational groups of the National Classification of Occupations (Revised 19680) :-

Divison 5 - Service workers :-

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

Group 53 : maids and other housekeeping service workers.

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

Group 55 : launders, dry cleaners and pressers.

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

Family 570 : fire fighters.

Family 574 : watchmen, gate keepers.

Family 579 : protective service workers not elsewhere classified.

Division 6 : Farmers, Fishermen, Hunters, Lagers and Related workers :-

Group 63 : agricultural labourers .

Group 64 : plantation labourer and related workers.

Group 65 : other farm workers.

Group 66 : forestry workers.

Group 67 : hunters and related workers.

Group 68 : fishermen and related workers.

Division 7-8-9 : Production and related workers, Transport Equipment Operaors and Labourers :-

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

2.0.14 MEANS OF LIVELIHOOD : The means of livelihood of household will be decided on the basis of the source of the household's income during the 365 days preceding the date of survey. For the purpose of schedule 0.1, it will be classified as one of the following (a) self-employed in non-agriculture, (b) rural labour and (c) others. For this purpose, only the household's income (net income and not gross income) from "economic activity" (for the definition of "economic activity" please refer to section Five) will be considered. If a household has no such income its m.l. class will be `others`. For deciding the means of livelihood of a household, the income of servants and paying guests will not be taken into account.

2.0.15 If a household's income is mostly from one source, there

will not be any difficulty in classifying its means of livelihood but if it derives its income from several sources, the following procedure will be followed to determine its means of livelihood. At first the sources of the household's income from economic activities during the last 365 days will be grouped into the four categories given below :-

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

Then see if income from (iii) => that from (i) + (ii) and also income from (iii) => that from (iv) . If it does, the m.l. class will be `rural labour` and code 2 will be given. If not, then see if income from (i) > that from (iii) and also income from (i) => that from (ii) + (iv) . If it does, then household's m.l. class is self-employment in non-agriculture and the appropriate code will be 1. In all other case, the m.l. class will be `others`.

2.0.16 LAND POSSESSED : Land possessed is given by [land owned (including land under "owner-like possession") + land leased-in - land leased out + any land held by the household which is neither owned nor leased in (e.g. encroached land etc.)]. More detailed definitions of these terms are given in Section Five.

2.0.17 (i) AFFLUENT HOUSEHOLDS : There has been a general feeling among the users of NSS consumer expenditure data that the number of sample households belonging to the top income bracket has been somewhat inadequate in the NSS sample and this has probably resulted in the estimates of durable consumer goods, usually used by the relatively affluent section of the population, being apparently not fully satisfactory. Attempt is therefore made in this round to net more of such households by forming a separate second-stage stratum of such households and selecting sample households from this second-stage stratum with enhanced sampling fraction compared to the residual second-stage stratum.

(ii) In the rural areas, the identification of the affluent households may create some problems. It was felt that direct question on monthly consumer expenditure may not serve the purpose. Therefore, the investigator may have to use other criteria and ultimately to rely on his judgement. The objective will be to identify at the most 10 relatively more affluent households of the village/hamlet-groups. While listing he may form an impression about some households that they may be enjoying a better standard of living. For identifying and listing such households in block 9, guidelines given in para 1.6.10 may be followed.

2.0.18 : THE STRUCTURE OF THE SCHEDULE : Schedule 0.1 to be filled in the sample villages. contains the following blocks :

- Block 0 : descriptive identification of sample village
- Block 1 : identification of sample village
- Block 2 : particulars of field operations
- Block 3 : list of hamlet
- Block 4 : list and selection of hamlet-groups
- Block 5 : sketch map of hamlet-groups formation
- Block 6 : remarks by investigator
- Block 7 : comments by supervisory officer
- Block 8 : particulars of sampling of households
- Block 9 : working sheet for relatively affluent households
- Block 10 : list of households and record of selection

2.0.19 : Whenever one schedule booklet is not adequate to list all the households in the sample village, additional sheets containing block 10 shall be used and tagged firmly to the main schedule. The procedure to be followed for filling up the various blocks of the schedule are described in the following paragraphs.

2.0.20 : Block 0 : DESCRIPTIVE IDENTIFICATION OF SAMPLE VILLAGE:
-

This block is meant for recording descriptive identification particulars of the sample village. Name of state/u.t. district, tehsil & village name are to be copied from the sample list. For a village with hamlet-groups selection, the names of the hamlets of the selected hamlet-groups will be recorded against "hamlets surveyed".

2.1.0 Block 1: IDENTIFICATION OF THE SAMPLE VILLAGE : This block is meant for recording the identification particulars of the sample village in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for items 1, 2 & 3 the codes for which are already printed). Each cell (box space) is meant for recording only one digit of the entry. For multiple cells, the rightmost cell shall be used for recording the digit of the unit place, the next left cell for the tenth place digit and so on. If the no. of digits of the entry to be recorded against an item is less than the no. of box spaces provided, '0' shall be entered in the left most box space (s). For example, if the total no. of hamlet-groups formed in the sample village is 5,

the entry against item 15 should be recorded as 05. Items 4 to 13 excepting item 10 shall be copied from the sample list.

2.1.1 Item-10 : FOD SUB-REGION : The four digit code corresponding to the FOD sub-region to which the sample village belongs will be recorded against item 10. A cross (x) will be put against this item for the state samples. Codes for FOD Sub-Regions are given in Appendix - I.

2.1.2 Item 14 : APPROXIMATE PRESENT POPULATION : The approximate present population of the whole sample village will be ascertained as per the procedure laid down in para 2.0.3 and will be recorded against item 14.

2.1.3 Item 15 : TOTAL NUMBER OF HAMLET-GROUPS FORMED : The total number of hamlet-groups actually formed in the sample village will be recorded against item 15. If the sample village does not require any hamlet-group formation, the entry against this item will be "01".

2.1.4 Item 16 : SURVEY CODE : When the original sample village (particulars of which are provided in the sample list) is surveyed, survey code will be one of the codes 1,2 or 3. Code will be 1 when the village is inhabited and 2 when it is found to be uninhabited. Code will be 3, when the sample village is treated as a 'zero case'. Examples of zero cases are : village comprised wholly of barracks of military and para-military forces (like CRPF, BSF, etc.), rural areas declared as urban areas and now forming part of UFS frame/1991 census EB's used for urban sampling, villages wholly submerged under water in a dam or villages 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 village 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 villages and will be given code 2. When the original sample village is a casualty and it has been substituted by another village which is being surveyed (inhabited, uninhabited or zero case), the survey code will be 4 if the substitute village is inhabited; 5 if the substitute village is uninhabited; and 6 if it is treated as a zero case. If the substitute village cannot be surveyed, code will be 7. Code 7 will also be applicable in cases where the originally selected sample village is a casualty but no substitution is attempted.

2.1.5 Item 17 : REASON FOR SUBSTITUTION OF ORIGINAL SAMPLE: In all the cases where the originally selected sample village is a casualty irrespective of whether it has been substituted or not (i.e. when one of the codes 4 to 7 is given against item 16), the reason for its becoming a casualty will be recorded in terms of code against item 17. The codes are :

Sample village :

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

This item will be left blank, if the entry against item 16 is 1,2

or 3. Cases of purely barracks of military and para-military forces will not be considered as restricted area for providing code 3 against item 17. As stated earlier (para 2.1.4), such cases will be considered as surveyed and will be treated zero cases.

2.2.0 Block 2 : PARTICULARS OF FIELD OPERATIONS : The details of field operations will be recorded in this block. All the items are self-explanatory.

2.3.0 Block 3 : LIST OF HAMLETS : Block 3 is to be filled-in only for villages requiring formation of hamlet-groups. All the hamlets located in the village will be listed in the specified order as stated in para 2.0.4(iii). A running serial number will be given in col.(1) for each hamlet listed and the names of the corresponding hamlets will be recorded in col. (2). The population of each hamlet expressed as percentage of the total village population will be given in col.(3) in whole numbers.

2.4.0 Block 4 : LIST AND SELECTION OF HAMLET-GROUPS : This block is meant for recording the details of the hamlet-group formation and their selection, Wherever necessary(viz.for large villlages having approximate percent population 1200 or more). Reference may be made to para 2.0.4 for the procedures of formation and numbering of hamlet-groups. Number of hamlet-groups(D) to be formed will be decided as per the criterion given in para 2.0.3.

2.4.1 Column(1) : HAMLET-GROUP(H.G.)NO. : The hamlet-groups formed for a large village will be given a running serial number (starting from 1) in column (1).

2.4.2 Column (2) : SL.NOS.OF HAMLETS IN THE H.G. : The serial numbers of the hamlets recorded in column(1) of block 3 constituting each hamlet-group are to be recorded for each hamlet-group with comma (,) in between two numbers.

2.4.3 Column (3) : % OF POPULATION IN THE H.G. : Approximate present population of the hamlet-group in terms of percentage (whole number) to total village population will be recorded in column(3). Entries in this column should always add up to 100.

2.4.4 Column (4) : ORDER OF SELECTION : A random no. (R) is to be drawn between 1 and D (D is the total no. of hamlet-groups formed as per the criterion given in para 2.0.3) from the table of random numbers. The intergral part of $D/2$ is the value of I which is the interval for sampling. No rounding off need be done. The values of D,I,R willbe recorded in the spaces provided at the top of this block. Two hamlet-groups, serial numbers of which correspond to R and (R + I) will be selectd. The hamlet-group with serial number `R` will be given order of selection `1` and the one with serial numbers (R + I) will be given order of selection `2`. If the value of (R+I) exceds D, the hamlet-group having serial number [(R+I)-D] in column (1) will be selected and given order of selection `2` in column (4), The serial numbers of the selected hamlet-groups will be ringed in column (1), block 4.

2.5.0 Block 5 : SKETCH-MAP OF HAMLET-GROUPS FORMATION

(a) A free hand sketch-map of the village showing the boundaries of the hamlets and hamlet-groups formed, is to be given in the

space provided so that the hamlets/hamlet-groups formed 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 3 will be written down on the map

against each hamlet. The hamlet-group number given in column (1) of block 4 to which the hamlet belongs will also be shown against each hamlet within brackets on the right side of the hamlet number. For villages with hamlet-group formation, the areas for the two selected hamlet-groups [with serial number 1 and 2 respectively in column (4) of block 4] shall be shaded in the map. (b) In the case of rural areas of Arunachal Pradesh, where no hamlet-group selection is to be done, this block will be used for giving the sketch map of the cluster of villages to which the sample village belongs. The map to be drawn in the schedule of each village of a cluster will show the whole cluster alongwith names of the constituent villages of the cluster. The nucleus village will be indicated by writing "nucleus village" within brackets below the name of the village in the map and the area corresponding to the nucleus village may be shaded.

2.6.0 Block 6 : REMARKS BY INVESTIGATOR : The investigator may give his remarks here on any abnormal situation or entry in the schedule.

2.7.0 Block 7 : COMMENTS BY SUPERVISORY OFFICER : The Assistant Superintendent, the Superintendent or any other officer who inspect the work relating to this schedule may give his comments in block 7.

2.8.0 Block 8 : PARTICULARS OF SAMPLING OF HOUSEHOLDS : This block is meant for recording the summary information relating to sampling of households of the selected village. Columns (2) to (6) of this block are to be filled-in only after completing entries in block 10. Column (7) may be ignored and columns (8) to (11) will be filled-in after completion of the entire survey of the sample village.

2.8.1 Col.(1) : SECOND-STAGE STRATUM : Second-stage stratum numbers `1` and `2` are already printed in this column. Appropriate entries are to be recorded in column (2) to (11) against the corresponding second-stage stratum.

2.8.2 Columns (2) to (5) : NUMBER OF HOUSEHOLDS LISTED BY M.L. CODES : The total number of households listed by m.l. codes will be entered in cols. (2) to (5) for each second-stage stratum indicated in col. (1). It may be noted total col. (5) = Cols. (2) + (3) + (4). For second-stage stratum 1, entries in col. (7) and col.(5) of block 10 are to be considered together to make appropriate entries in columns (2), (3) & (4). For example, out of all the households listed in second-stage stratum 1 (i.e. those having tick-marks in col. (7) of block 10). the number of households having code 1 in col.(5) of block 10 will be noted and that number will be recorded in col. (2) of this block, and so on. For second-stage stratum 2. the entry in col. (2)/(3)/(4) will be recorded as per the number of households getting tick-marks in col. (8)/(9)/(10)-(14) of block 10. The values of H1 and H2 to be recorded in col. (5) for second-stage stratum 1 and 2 respectively will conform to the values written above columns (15) and (16) of block 10. H1 and H2 denote total number

of households listed in second-stage stratum 1 and 2 respectively.

2.8.3 Column (6) : NUMBER OF HOUSEHOLDS SELECTED (H) : Values of h1 and h2 (i.e. number of households selected from second-stage strata 1 and 2 respectively) as recorded on the top of col. (15) and (16) of block 10 are to be recorded in col. (6) against second-stage strata 1 and 2.

2.8.4 Columns (8) to (11) : NUMBER OF HOUSEHOLDS SURVEYED AND NUMBER OF CASUALTY HOUSEHOLDS : As mentioned earlier, these columns will be filled-in after canvassing the detailed schedules in the selected sample households. Number of households belonging to second-stage stratum 1/2 with survey code 1 in block 1 of schedule 1.0/10 will be recorded in col.(8) only in the first line (i.e.against sch. 1.0 of the particular second-stage stratum). Similarly, number of households with survey code 2 in block 1 of schedule 1.0 and 10 will be recorded against col(9) only in the first line. Column (10) will be the total of columns (8) and (9). The number of casualty households (i.e. those out of the selected which could be not be surveyed even after substitution) will be recorded in column (11), which will be the difference of column (6) and column (10).

Thus, $\text{col.}(10) = \text{col.}(8) + \text{col.}(9)$
and $\text{col.}(11) = \text{col.}(6) - \text{col.}(10)$

2.9.0 Block 9 : WORKING SHEET FOR RELATIVELY AFFLUENT HOUSEHOLDS :- This block will be used for identifying the relatively affluent households. The columns of this block are self-explanatory. For details, reference may be made to paras 1.6.10 and 2.0.17.

2.10.0 Block 10 : LIST OF HOUSEHOLDS AND RECORD OF SELECTION : This is the main block of the schedule. Apart from listing all the houses and households of the sample village/hamlet-groups, some auxiliary information like area of land possessed, household size, means of livelihood etc. will also be collected from each household and recorded in this block. Preparation of sampling frame for selection of sample households and details of selection of sample households for schedules 1.0 and 10 will also be recorded in this block. It may be noted that in the case of large village, two hamlet-groups are selected for survey. These two hamlet-groups together will be considered as one unit. Instructions for filling in various columns of the block are given in the following paragraphs.

2.10.1 A house to house visit will be made to list all the houses and households of the selected village/hamlet-groups. It is essential to ensure that there is no omission or duplication of any house or household. Households which are found temporarily absent at the time of listing are also to be listed. After ascertaining from the neighbours, as much details as possible about the absentee households, attempt should be made to contact the households at the appropriate hours (even outside the normal

working hours of the investigator) and if need be by revisiting the households during the survey period in the sample village. All locked households due to temporary absence should be listed and

included in the over all frame for sample selection. In order to ensure complete listing of households, it is always better to follow some definite order for listing. The order followed in 1991 census may be adopted, if possible, taking care that any house/household that has come up afterwards is not omitted. Otherwise, listing may be done starting from the north-west corner of the village/hamlet-groups. The name of any natural grouping of houses like hamlet, street, mohalla, etc. and the date of listing may be written at the top before starting the listing of the houses of the locality. This will help in checking completeness of the listing operation.

2.10.2 While listing in villages for which hamlet-group formation have been reported to, the houses and households of the two selected hamlet-groups will be listed one after another maintaining a continuous serial numbering for households, as if they together constitute one unit. For doing so, the serial number and the names of the hamlets belonging to the hamlet-group which was selected first (i.e. the hamlet-group with order of selection 1) will be recorded in block capitals on the first line of the listing block (i.e. block 10). After completing the listing of houses and households of this hamlet-group, one line will be left blank and on the next line, the serial number and the names of the hamlets belonging to the next hamlet-group (i.e. the hamlet-group with order of selection 2) will be clearly written in block capitals and the listing of the houses/households belonging to this hamlet-group will start from the next line.

2.10.3 Col.(1) : House number : All houses including vacant ones, will be listed by giving a house number. The 1991 census house number or the number given by the local panchayat or any other local body may be used, if available. The houses without any such numbers or where house numbers are not available at all, will be given a separate running serial number within bracket, starting from 1. But whenever house numbers are available even for some houses, the actual house numbers will be recorded without any baracket for the houses for which house numbers are available and running serial number starting from 1 enclosed within bracket will be given to those houses which do not have any house number.

2.10.4 After listing all the households residing in a house, the next house will be listed. If the house is used solely for non-residential purpose or is vacant, the purpose to which it is put, will be written across the line e.g. temple, dispensary, vacant, etc. In the case of households living within an establishment such as hospital, hotel, institution etc. the name of the establishment will be written in the first line across the page and the normal resident households there of be listed from next line. If two or more households live in a house, all of them will be listed one by one. The first household may be listed in the same line as the house. The next house will be listed only after listing all the households living in the previous house. For a household living under a tree or bridge (i.e. without any house). a cross mark (X) may be put in col. (1).

2.10.5 Col (2) : HOUSEHOLD SERIAL NUMBER : The household(s) normally residing in the house listed in col. (1) will be listed in col. (2). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. Household serial number will be given against

the lines listed for households only. In case of persons staying, say, in hostels and forming single member households, each of them will be listed in separate line bearing a household serial number. In case of large villages where two hamlet-groups have been selected for survey, a continuous serial numbering will be given in col.(2) considering the two selected hamlet-groups as one unit.

2.10.6 AFFLUENT AND OTHER HOUSEHOLDS : The serial numbers of the households which the investigator has identified as relatively affluent from the working sheet (bl.9) will be ringed in col. (2) of block 10. They will form second-stage stratum 1 and the other households will constitute the frame for second-stage stratum 2. If the number of households listed in the village is 10 or less, all the households will be taken in second-stage stratum 2. Similarly, if no household is identified as affluent household, all the households will be included in second-stage stratum 2.

2.10.7 Cols. (3) & (4) : NAME OF HEAD OF HOUSEHOLD AND HOUSEHOLD-SIZE : The name of head of the household will be recorded in col.(3) and the size of household determined as defined in para 2.0.9, in col. (4).

2.10.8 Col(5) : MEANS OF LIVELIHOOD CODE : The means of livelihood of the household will be determined according to the definitions given in paras 2.0.14 and 2.0.15 and it will be recorded in terms of codes in col.(5). The codes are as follows :

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

2.10.9 Col.(6) : LAND POSSESSED AS ON DATE OF SURVEY : The total area of land possessed by the household as on the date of survey will be ascertained and entered in col.(6) in acres in two places of decimal. However, as in the case of livelihood, the land possessed by normally resident servants. Paying guests, etc, will not be included in the household's land possessed.

2.10.10 Cols. (7) to (14) : Sampling serial number : The frame for sampling of households will be prepared in cols. (7) to (14) after completing the listing of all households of the village/hamlet-groups. The required number of 'relatively affluent' households (as mentioned in para 1.6.10) will constitute second-stage stratum 1 and therefore all households whose serial

numbers have been ringed in col.(2) will be given tick marks (-/) in col.(7). In the case of remaining households, if a household's m.l. code is 1, a tick mark (-/) will be put against it in col.(8) and if its m.l. code is 2, a tick mark (-/) will be put in col.(9). In the case of a household of second-stage stratum 2 with m.l. code 9, tick mark (-/) will be put in one and only one of the cols.(10) to (14). In the heading of each of these columns a class-interval of land possessed is given. If the household's land possessed (entry in col.(6)) is less than 1.00 acres, a tick-mark will be put against it in col.(10); if it is between 1.00 and 2.49 acres, tick-mark will be put in col. (11); and so on.

2.10.11 After having put the tick-marks in this manner for all the households, a running serial number starting from 1 will be given first to the tick-marks of col. (7). This will constitute the sampling frame for second-stage stratum 1. Then all the tick-marks of cols. (8) to (14) will be given a fresh running serial number starting from 1 against the first tick-mark of col.(8) and ending with the last tick-marks of col.(14). It should be made sure that all the tick-marks in a given column, spread over all the page of block 10, have been exhausted before proceeding to the first tick-mark of the next column. This is the sampling frame for second-stage stratum 2.

2.10.12 Cols. (15) and (16) : Order of selection : Usually 2 sample households will be selected from second-stage stratum 1 and 8 households from second-stage stratum 2 circular systematically with independent random starts. The procedure is as follows: Let H be the total number of households in the frame. Let h be the number of households to be selected. Calculate H/h . The sampling interval, denoted by I be given by the integer part of H/h . No rounding off need be done. Next select a random number between 1 and H from the table of random numbers as per the procedure given in para 3.2.0. of section three Let it be R. obtain h numbers R, $R + I$, $R + 2I$, $R + (h - 1)I$. The sample households are those households whose sampling serial numbers agree with those numbers. When any of those numbers $R + I$, $R + 2I$ exceeds H, the sampling serial number is to be obtained by subtracting H from it. The order of selection will be given exactly in the 'order R, $R + I$, $R + 2I$ That is to say, it will be 1 for sampling serial no. 2 for sampling serial no. $R + I$, and so on. Selection will be done independently for second-stage strata 1 & 2. The orders of selection for second-stage stratum 1 will be entered in col. (15) and those of second-stage stratum 2 in col. (16) The sampling serial numbers of the selected households will be encircled in columns (7) to (14).

2.11.0 Random numbers, Substitution/Repotitions of sample FSUs and substitution of sample households :

For detailed instructions on (i) drawing of random numbers, (ii) Substitution of sample FSUs, (iii) repetitions of sample FSU's and substitution of sample households reference may be made to paras 3.2.0 to 3.5.0 of section Three.

SECTION THREE

SCHEDULE 0.2 : LIST OF HOUSEHOLDS (URBAN)

INTRODUCTION :

3.0.1 Schedule 0.2 will be filled-in for the sample blocks of the urban sector, Listing and selection of sub-block (if sub-block selection is required), listing of the houses and the households of the sample block/sub-block, preparation of sampling frames of households and selection of sample households - all these tasks will be carried out in this schedule. It may be said at the outset that most of the procedures to be followed in the case of schedules 0.2 are same as or very similar to those prescribed for schedules 0.1. Therefore, in this section only those procedures which are specially meant for schedules 0.2 will be discussed in detail. Definitions of two terms, viz. "household consumer expenditure" and "household means of livelihood" are given below. The former was not needed for schedule 0.1, and the means of livelihood classes differ between the rural and urban sectors. All the other main-terms have been defined in the preceding section.

3.0.2 Household consumer expenditure : This is the total expenditure of a household on domestic consumption only. This will not include any expenditure account.

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

Sub-block selection, Structure of the schedule and Block 8

3.0.4 Sub-block selection : If the present population of a sample block is 1200 or more, it will be divided into a number of sub-blocks(d) and one of them will be selected at random for survey. The procedure of sub-block formation is the same as proposed for the rural sector. However, the value of D is to be determined as follows:-

Approximate present population Of the sample block	number of sub-blocks (D) to be formed
Less than 1200	1
1200 - 1999	2
2000 - 2799	3
2800 - 3599	4
3600 - 4399	5
and so on	

3.0.5 The schedule : The schedule 0.2 consists of nine blocks. Block 0 gives the descriptive identification of the sample block. Block 1 is for recording mainly the identification particulars of the sample block in terms of codes and block 2 is for recording some essential information on the field work. In sample blocks where sub-block formation have been done, the sub-blocks will be listed in block 3 with a national map in block 4. The sub-blocks formed will be serially numbered starting from the north-west corner and proceeding south-wards in a serpentine fashion. One of them will be selected at random for survey. The serial number of the selected sub-block will be ringed in col. (1), block 3. Summary of some information extracted from block 8 of schedule 0.1. Blocks 5 and 6 are for the investigator and the supervisory officers to record their special remarks, if any. Blocks 0-7 are to be filled in the same way as in the case of schedule 0.1 and apparently no further explanations are, therefore, needed for them.

3.1.0 Block 8 : List of households and record of selection : Listing of households is to be carried out as in the rural sector. Apart from listing the houses and households, some additional information like household size, means of livelihood, average household monthly consumer expenditure are also collected in this block for classifying the households.

3.1.1 Block 8, Cols.(1) to (4) : House number, household serial no. name of head of household & household size : As in schedule 0.1, the house no., household serial no., name of head of household and household size will be entered in cols.(1) to (4) respectively.

3.1.2 Block 8, col.(5) : Means of livelihood code : The household's means of livelihood will be determined as per instructions given in para 3.0.3 and the appropriate code will be recorded in col.(5). The code are :

Self-employed - 1,
Regulars wage/salary earning - 2,
Casual labours - 3,
Other - 9

3.1.3 Block 8, Col.(6) : Average household monthly consumer expenditure : The average monthly consumer expenditure of the household will be ascertained and recorded in rupees (whole numbers) in col.(6). It may be clarified that this will be the average expenditure per month based on the preceding twelve months' expenditure and not simply the expenditure of the preceding month.

3.1.4 Block 8, Col.(7) : Per capita expenditure : The average household monthly consumer expenditure (col.(6)) will be divided by household size (col.(4)) to get per-capita expenditure which will recorded in rupees (whole number) after rounding off to nearest integer, in col.(7).

3.1.5 Block 8, Cols.(8) to (16) : Sampling serial number : As in the rural sector, the households will be classified into two groups, namely, second-stage stratum 1 and second-stage stratum 2. The households of second-stage stratum 2 will be arranged according to certain order before selection of sample households. In cities with population 10 lakhs and more the households with p.c.e (per capita expenditure : entry in col.(7)) Rs. 1500 or more will from second-stage stratum 1. The blocks of these cities will have stratum code 6/7/8/9. For other cities/towns (i.e.,

cities towns with population less than 10 lakhs), all households with p.c.e[(entry in col.(7)] Rs. 1200 or more will from second-stage stratum 1. Households with entry 1200/1500 or more(as the case may be) in col.(7) will get a tick-mark in col.(8).

Of the remaining households (i.e., households of second-stage stratum 2), those with m.l. code 1 will get a tick-mark in one of the cols.(9),(10) or (11) depending on whether its p.c.e is less than 'A', 'A' to 'B' (both inclusive) or greater than 'B' respectively. The values of A and B are given for each state/u.t. in table (3.2). Similarly a household with m.l. code 2 will be given a tick-mark in cols.(12), (13) or (14) according to its p.c.e is greater than B, A to B or less than A respectively. Households with m.l. codes 3 and 9 will be given tick-marks in cols. (15) and (16) respectively. The tick-marks in col.(8) will be given a running serial number starting from 1 from top to bottom. This will constitute the sampling frame for second-stage stratum 1. The tick-marks from cols.(9) through (16) will be given a fresh running serial number starting from 1 from the first tick-mark of col(9) and ending with the last one of col.(16). This will constitute the sampling frame for second-stage stratum 2.

3.1.6 Block 8, Cols.(17) and (18) : Orders of selection : Generally 2 sample households will be selected from second-stage stratum 1 and 8 from second-stage stratum 2. However from the affluent strata of towns with population 4 lakhs or more i.e. from stratum 4/6/8, 4 households will be selected from second-stage stratum 1 and 6 from second-stage stratum 2. It may be noted that shortfall in required number of households in any second-stage stratum should be made up by increasing the quota for the other second-stage stratum. The required number of sample households for each second-stage stratum will be selected independently from the respective frames circular systematically with a random start as per the procedure described in para 2.10.12 of section Two. The orders of selection of the sample households of second-stage stratum 1 will be recorded in col. (17) and those of the sample households of second-stage stratum 2 in col. (18). The sampling serial numbers of the selected households may be encircled.

Random numbers and substitution of FSUs

3.2.0 Random numbers : A table of random numbers is supplied to each investigator. The n-th column of the table will be consulted in the case of the central sample and (n+1) -th column in the case of the state sample, where n is the last two digits of the serial number of the sample village/block. When n=00, it will be taken as 100, The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digit Ted 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 first from second-stage stratum 1 and then from second-stage stratum 2.

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

The Deputy Director,
N.S.S.o.(DRD) co-ordination,
164, Gopal Lal Tagore Road,
Kolkata- -700035.

In case no substitute village/block could be surveyed even with Best effort {i.e. code 7 in item 16/15, block 1}, blank sch. 0.1/0.2, will be submitted with only blocks (0,1,2,6 and 7)/(0,1,2,5 and 6) filled-in the word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

3.3.1 If a sample village/block is found to be depopulated at the time of survey or its population has been shifted else-where due to some natural calamity or it is a zero case, it will not be substituted. It will be treated as valid sample and blank schedule 0.1/0.2 with only blocks 0,1,2,6 and 7/0.1, 2,5 and 8 filled-in will be submitted in such cases. The word/words UNINHABITED or ZERO CASE, as appropriate, is/are to be written on the top of the front page of the schedule (for any one of the survey codes 2,3,5 and 6 in item 16/15 of block 1). 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.

Substation & repetition of FSUs

In such cases the sample village will be surveyed in the place

Where it is currently located and not treated as a zero case even if found absent in its original location.

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

3.3.3 It is important to note that the schedule 0.1/0.2 will be submitted for every sample village/block irrespective of whether it is surveyed/substituted (including zero case) or a casualty.

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

3.4.1 Case (a) :Without hamlet-groups/sub-block selection : If the 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. (The items that may change are only these : serial number, sub-sample and sample village/block number). The sample households will be selected afresh. It is to be substituted. In case due to the new random start, the whole set of sample households is reselected, another random start will be taken.

Repetition of FSUs & substitution of households.

If the required number of fresh households (viz. not selected in the first visit) is not available in the frame as a result of which Some (or all) households are reselected in the second visit, for such households, the entries in various blocks of the relevant schedules, may be copied. If the repetition of FSU takes place in a different sub-round, it is to be surveyed just like a new sample

FSU with fresh listing and sample selection.

3.4.2 Case (b) :With hamlet-groups/sub-block selection : If repetition is in the same sub-round, the hamlet-groups/sub-block formed during the first visit will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-groups/sub-block selected afresh. In the rural sector, if earlier two hamlet-groups are re-selected, than a new random number may be drawn so that different hamlet-groups are selected, it may be substituted by the next one not selected earlier. For the urban sector, the sub-block in the second or subsequent occasions may be selected from the remaining sub-blocks not selected earlier. For the selection of households, the procedure suggested in para 23.4.1(s) may be followed. If the repetition of FSU is in a different sub-round, it may treated as a new sample.

3.5.0 Substitution of sample households : If any sample household could not be surveyed due to some reason or other, it will be substituted by another suitable household. The household to be considered as substitute should also belong to the same second-stage stratum. For second stage stratum 2, the substitute household should have the same m.l. code as that of the household to be substituted. The household with the next sampling serial number of the same column will be the substitute for the originally selected household. The substitute for the last household (i.e. having highest serial number) of a column will be the first household (i.e. having lowest serial number) of the same column.

If there is no proper substitute in the same column, the first household of the next column is to be taken If there is no proper substitute will be taken from the nearest previous column. If a household has already been selected (either in the original sample or as substitute) it will not be considered as a substitute.

3.6.0 ILLUSTRATION : For further illustration of sampling design and selection of households, charts A, B, C and D are given in pages 39 to 42 which describes (A) stratification, (B) selection procedure of households, (C) Determination of m.l. codes of households and (D) Example of selection of households (urban) respectively.

Values of cut-off points

Table (3.2) : The value of the cut-off points (A&B) of per capita expenditure in rupees for urban sector by state/u.t.

Srl.	State/u.t.	A*	B*	Srl.	State/u.t.	A*	B*
(1)	(2)	(3)	(4)	(1)	(2)	(3)	(4)
1.	Andra Pradesh	215	652	18.	Orissa	227	668
2.	Arunachal Pradesh	267	716	19.	Punjab	295	786
3.	assam	266	747	20.	Rajasthan	236	655
4.	Bihar	203	504	21.	Sikkim	284	859
5.	Goa	291	982	22.	Tamil Nadu	238	730
6.	Gujarat	258	667	23.	Tripura	308	763
7.	Haryana	275	719	24.	Utter Pradesh	212	613
8.	Himachal Pradesh	354	999	25.	West Bengal	230	765
9.	Jammu & Kashmir	290	765	26.	Andaman & Nicobar Islands	438	999
10.	Karnataka	220	616	27.	Chandigarh	468	999
11.	Kerala	238	836	28.	Dadra & Nagar Haveli	260	675
12.	Madhya Pradesh	231	701	29.	Daman & Diu	260	675
13.	Maharashtra	265	822	30.	Delhi	388	1232
14.	Manipur	259	471	31.	Lakshadweep	267	556
15.	Meghalaya	355	963	32.	Pondicherry	205	597
16.	Mizoram	430	779				
17.	Nagaland	496	841				

* The values of A and B are based on 43rd Round : NSS estimates and adjusted by correction factor (C.F.) given by :-

$$\text{C.F.} = \frac{\text{Projected CPI at mid-point 1993-94 for all-India}}{\text{CPI at mid-point 1987-88 for all-India}}$$