Chapter Two

Schedule 0.0 : List Of Households And Non-Agricultural Enterprises

2.0.0 Introduction: Schedule 0.0 is meant for listing all the houses, households residing in the sample FSU (or segment 1 & 2 in case of large FSUs) along with all the non-agricultural enterprises including those without fixed premises found to operate for at least one day during the last 365 days preceding the date of survey. Some household particulars like household size, means of livelihood 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 second-stage strata and different broad manufacturing groups.. Thus the sampling frames for selection of households / enterprises for each of the second-stage strata / broad manufacturing group are prepared and details of the selection of sample households / enterprises are recorded. 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 sampling unit (FSU) is the EC '98 village (panchayat wards for Kerala) and '91 census village for Orissa, in the rural sector. The FSUs in the urban sector are the Urban Frame Survey (UFS) blocks. The list of UFS blocks as per EC '98 (list of blocks as per latest available UFS frame in case of Orissa) has been considered as sampling frame for selection of sample blocks in all cities and towns. It is indicated in the sample list under the head "frame code" as to which particular list has been used as the sampling frame for selection of FSUs. The investigator, on arrival at a sample village (or panchayat ward for Kerala)/UFS block (hereinafter called block) will ascertain the exact boundaries of the sampled unit as mentioned in the sample list. This may be done with the help of the village/block development officials like patwari, panchayat authorities etc.

2.0.2 Formation of hamlet-groups and their selection : With a view to controlling the work load mainly at the stage of listing of households/enterprises, hamlet-group selection will be resorted to in the 'large' FSUs. A large FSU will be divided into a certain number (D) of sub-divisions called hamlet-groups. 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. The hamlet-group having maximum number of DME (or with maximum no. of NDME if there is no DME or with maximum no. of OAME if there is no DME/NDME in the FSU) or with maximum percentage share of population as per col (3) of block 3.2 in case there is no manufacturing unit in the FSU, will be selected for survey with certainty and will be marked as segment 1. Two more hamlet-groups will be selected for survey from the remaining ones with equal probability following the method of circular systematic sampling and they together will be marked as segment '2'. The procedure for forming the hamlet-groups is outlined below:

2.0.2.1 **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 2 showing the approximate location of the hamlets and number them in a serpentine order starting from the northwest corner and proceeding southwards. While drawing this map, uninhabited area (non-abadi area) of the village will be included as part of nearby hamlet, so that no area of the village is left out. The boundaries of the hamlets may be defined with the help of some land marks like canals, footpaths, railway lines, roads, cadastral survey plot numbers etc., so that it would be possible to identify and locate the geographical boundaries of the hamlet-groups to be formed in the village.

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

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

(vi) Numbering of hamlet-groups will be done next in block 3.2 of sch. 0.0. Hamlet-groups will be numbered serially in col.(1) of block 3.2. The hamlet-group containing hamlet no. 1 will be numbered as 1, the hamlet-group with next higher hamlet no. not included in h.g. 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.

2.0.3 **Formation of sub-blocks** : Procedure of formation and selection of sub-blocks is same as that for the formation of hamlet-groups in the case of large villages. Here the sub-blocks are to be formed artificially by dividing the block into a certain number (say, D) of divisions by more or less equalizing the population giving priority to geographical compactness within each sub-block as per the criterion specified in Chapter One. The value of D will be determined according to the same criteria as adopted in the case of rural FSUs. Sub-blocks will be numbered serially in col.(1) of block 3.2. Ascertain the approximate present population of the sub-blocks in terms of percentage of the total population and record these in col.(3) of block 3.2. Sampling serial number will be given as '0' in col.(4), bl. 3.2 for the sub-block(s.b) with maximum number of DME (or with maximum number of NDME if there is no DME or with maximum number of OAME if there is no DME/NDME in the FSU) or with maximum percentage share of population as per col (3) of block 3.2 in case there is no manufacturing enterprise in the FSU and the remaining sub-blocks will be given sampling serial numbers starting from 1 to D-1. The s.b. with sampling serial no. '0' in col.(4) will be selected with certainty and its segment no. will be given as 1 in col.(6). Two more s.b.s will be selected circular systematically with equal probability from the remaining (D-1) s.b.s and will be assigned segment number 2 in col.(6).

2.0.4 **Starting point for listing** : After having determined the areal unit to be surveyed, the investigator will proceed to list the houses, households and the non-agricultural enterprises in the FSU. The listing may be done in the same order as that of the 1991 Census order of house listing. If the census order of house listing is not available, the listing may be started from the northwest corner of the village and proceeding southwards in serpentine manner. While listing the households and the non-agricultural enterprises, some essential minimum particulars about them will be collected for the purpose of classification (i.e. second stage stratification), if any.

2.0.5 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 : sketch map of hamlet-group/sub-blocks formation
    Block 3.1: list of hamlets
    Block 3.2: selection of hamlet-groups/sub-blocks
    Block 4 : list of households and non-agricultural enterprises (segment
         number 1 or 2)
    Block 5 : number of non-agricultural enterprises
    Block 6 : particulars of sampling of enterprises (for sch.2.2)
    Block 7 : particulars of sampling of households (for sch. 1.0)
    Block 8 : particulars of field operations
    Block 9   : remarks by investigator
    Block 10 : comments by supervisory officer(s)

2.0.6 **Use of additional sheets of block 4** : Whenever one schedule booklet is not adequate to list all the households and non-agricultural enterprises in block 4 of the sample village/ block/ segments , additional sheets containing block 4 shall be used and tagged firmly to the main schedule.

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

Block 0 : Descriptive identification of sample village/ block

 2.0.7 **General**: This block is meant for recording descriptive identification particulars of the sample village/ block. State/UT, district, tehsil, village name, town name,ward, iv unit number, block number etc. 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 village/block in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for items 1 & 2, the codes for which are already printed). Each cell (box space) is meant for recording only one digit of the entry. For multiple cells, the rightmost cell shall be used for recording the digit of the unit place, the next left cell for the tenth place digit and so on. If the number of digits of the entry to be recorded against an item is less than the number of box spaces provided, '0' shall be entered in the left most box space(s). For example,

if the total number of hamlet-groups/sub-blocks formed in the sample village/block is 5, the entry against item 17 should be recorded as 005. Items 3 to 10, 12 to 14 shall be copied from the sample list.

2.1.1 Item 11 : FOD sub-region

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

2.1.2 Item 13: Frame code

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

Rural: 1991 Census – 08; EC '98 – 12;
Urban: 1982-87 UFS – 06; 1987-92 UFS – 07; 1992-97 UFS – 09; 1997-2002 UFS – 11.

2.1.3 Item 15 : Approx. present population

:The investigator will first ascertain the approximate present population of the entire sample village/block taking into consideration of the normal growth of population along with any abnormal influx of population into or exodus of population from the sample village/block. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions. The starting point can be 1991 census population (1981 census population in case of J & K). In the case of large difference with census population, it may be asked whether there has been any abnormal influx into or exodus from the village after the census and if so what the approximate increase or decrease of population due to such events is, whether any new settlements have come up in the village after the census and if so what the approximate population of the same is and so on.

2.1.4 Item 16 : Approx. no. of non-agricultural enterprises

: Approximate number of non-agricultural enterprises (OAEs, NDEs and DEs combined) in the whole sample village/block, as ascertained by local enquiry from knowledgeable persons , may be recorded here. The starting point may be the total number of non-agricultural enterprises as per EC '98 (if not available, EC '90). Then the procedure followed for estimating the approximate present population may be followed to get an estimate of the total number of non-agricultural enterprises.

2.1.5 Item 17 : Total number of hamlet-groups/sub-blocks formed

: The total number of hamlet-groups/sub-blocks formed in the sample village/block will be the value of **'D'** as recorded in **block 3.2** If the sample village/block does not require any hamlet-group/sub-block formation, the entry against this item will be "001".

2.1.6 Item 18 : Survey code

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

2.1.7 **Item 19 : Reason for substitution of original sample** : In all the cases where the originally selected sample village/block is a casualty irrespective of whether it has been substituted subsequently be surveyed or not (i.e. when one of the codes 4 to 7 is given against item 17), the reason for its becoming a casualty will be recorded in terms of code against item 18. The codes are :

Original sample village/block :

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

  A cross mark (X) may be put against this item if the entry against item 17 is 1 or 2 or 3. *Cases of villages/blocks comprising wholly the barracks of military and para-military forces will not be considered as restricted area for providing code 3 against item 17. As stated earlier, such cases will be considered as surveyed and will be treated as zero cases.*

Block 2 : Sketch map of hamlet-group formation

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

Block 3.1 : List of hamlets

2.3.0 This block is to be filled-in for the rural samples requiring formation of hamlet-groups (i.e. for $D>1$). All the hamlets located in the village will be listed in the specified order. A running serial number for the hamlets will be given in col.(1). Also, the serial numbers corresponding to the hamlets having at least one DME will be encircled in col.(1) and the symbol 'd' will be recorded in the left margin of the cell. Among the rest of the hamlets, if any hamlet has at least one NDME, then the corresponding serial number of each such hamlet is to be given a '√' mark and the symbol 'nd' is to be recorded in the left margin of the cell. Among the rest of the hamlets, if any hamlet has at least one OAME, then the corresponding serial number of each such hamlet is to be given a 'x' mark and the symbol 'oa' is to be recorded in the left margin of the cell. This information may be utilised for identifying hamlet-group '0' in block 3.2.

Present population of each hamlet expressed as percentage of the total village population will be given in col.(3) in whole numbers. Entries in col. (3) should add up to 100.

Block 3.2 : List and selection of hamlet-groups/ sub-blocks

2.3.1 **General**: This block is meant for recording the details of the hamlet-group/sub-block formation and their selection for FSUs requiring hamlet-group/sub-block formation (i.e. with D>1). Reference may be made to paras 2.0.2 , 2.0.2.1 and 2.0.3 for the procedures of formation and numbering of hamlet-groups/sub-blocks.

2.3.2 **Column (1) : hamlet-group/sub-block no.**: The hamlet-groups/sub-blocks formed will be given a running serial number (starting from 1) in column (1) as per the guidelines given in para 2.0.2 , 2.0.2.1 and 2.0.3 .

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

2.3.4 **Column (3) : percentage of population in the h.g./s.b.** : Approximate present population of the h.g./s.b. in terms of percentage to total village/block population will be recorded in column (3) in whole number. Entries in this column should always add up to 100.

2.3.5 **Column (4) : sampling sl. no. of the h.g.s/s.b.s** : Sampling serial number will be given as '0' in this column for the h.g/s.b. with maximum number of DME (or with maximum no. of NDME if there is no DME or with maximum no. of OAME if there is no DME/NDME in the FSU). In case the whole FSU does not contain any manufacturing enterprise, the h.g/s.b. having maximum percentage share of population as per col (3) will be given sampling serial number '0'.The corresponding h.g/s.b. no. will be encircled in col (1). For identification of this h.g. all the h.g.s having at least one 'd' marked hamlet (pl. see col. 1 of block 3.1) should be enquired to get an idea of approximate number of DMEs in each of them — the one having the maximum number of DMEs will be the desired h.g. If this does not lead to selection of the desired h.g. the same procedure will be tried with the h.g.s with 'nd' marked hamlets/'oa' marked hamlets/unmarked hamlets successively to get the desired h.g. In case there are more than one h.g/s.b. satisfying the criterion for identification as h.g./s.b. '0' according to the procedure described above, the following method for breaking the tie will be adopted:

    i) If two or more h.g.s/s.b.s have the same maximum number of DMEs, the one among them having the maximum number of NDMEs will be designated as h.g./s.b. '0'.

    ii) If the tie still persists, then out of the h.g.s/s.b.s tied by (i) above, the h.g./s.b. having the maximum number of OAMEs will be identified as h.g./s.b. '0'.

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

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

2.3.6 **Column (5) : order of selection** : Three hamlet-groups/sub-blocks shall be selected from the large village/block for the purpose of survey. The hamlet-group/sub-block having maximum number of DME (or with maximum no. of NDME if there is no DME or with maximum no. of OAME if there is no DME/NDME in the FSU or with maximum percentage share of population if the FSU

does not contain any manufacturing enterprise) [i.e. with entry '0' in column (4)] shall always be selected for survey and given a serial number '0' again in column(5). Then two more h.g.s/s.b.s are to be selected from the remaining (D-1) h.g.s/s.b.s circular systematically with a random start. For the purpose of selection , a random number 'R' is to be drawn first from the table of random numbers between 1 and D-1 (where D is the total no. of h.g.s/s.b.s formed from which the h.g./s.b. with sampling sl. no. '0' has already been selected for survey). The h.g./s.b. whose sampling serial number in column (4) agrees with the value of R will be given order of selection number 1 in col (5) and the h.g./s.b. whose sampling serial number in column (4) agrees with the value of R+ I [where 'I' is the sampling interval taken as the integral part of (D-1)/2] will be given order of selection number 2 in col (5). If R+I exceeds (D-1), the difference [(R+I) – (D-1)] will be considered. The serial numbers of the selected hamlet-groups/sub-blocks will be encircled in column (4), block 3.2. **Values of D, I and R may be recorded in the space provided just below the block heading.** The total number of manufacturing enterprises as estimated by local enquiry in the selected h.g.s/s.b.s may be recorded in the margin spaces available in block 3.2 to have an idea of the workload involved in listing all the enterprises.

For all other hamlet-groups/sub-blocks (except the three selected), column (5) may be left blank.

2.3.7 **Column (6) : segment number** : The h.g/s.b. with sampling serial number '0' in col.(5) will be selected with certainty and segment number will be given as '1' in col.(6). Against each of the other two selected h.g.s/s.b.s, segment number will be assigned as '2' in col.(6). The selected h.g.s/s.b.s with segment number '2' will be considered together for the purpose of listing and selection of households and enterprises.

Blocks 4 to 7 :

In all 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 the segment number '1' in all these blocks*.

2.4 **Block 4** : **List of households and non-agricultural enterprises** :

2.4.1 This is the main block of the schedule. Listing of houses, households and non-agricultural enterprises covered in the present survey (i.e. **all non-agricultural enterprises excluding some as detailed in para 1.3.12 of Chapter One), hereinafter referred to as NAEs for simplicity** , collection of a few particulars for identification of unorganized manufacturing enterprises under the break-ups of OAME, NDME & DME, preparation of sampling frame and selection of sample enterprises (for sch. 2.2) and sample households (for sch. 1.0) - all these operations shall be carried out in this block. *Listing of households / enterprises are to done separately for segment 1 and 2 for large FSU requiring h.g/s.b formation or for segment1 only for FSU not requiring h.g/s.b formation.*

2.4.2 It is essential to ensure that there is no omission or duplication of any house, household or non-agricultural enterprise. *Households which are found to be temporarily absent at the time of listing and the non-agricultural enterprises run by them are also to be listed and included in the frame of households/OAME/NDME/DME, as the case may be, before sample selection*. After obtaining from the neighbours, as much details as possible about the absentee households and the enterprises run by them, attempt should be made to contact the households/enterprises at the appropriate hours (even

outside the normal working hours of the investigators) and if need be by revisiting the households/enterprises during the survey period in the sample village/block. **All temporarily locked households should be listed and included in the overall frame for sample selection. All temporarily locked NAEs should be listed and included in the overall frame for sample selection provided it can be ascertained from local enquiry that the NAE belongs to manufacturing sector as per NIC-98.** 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 1991 Population Census may be adopted, wherever possible, taking care that any house that has come up later is not omitted; otherwise, listing may be done in serpentine manner starting from the north-west corner and moving southwards. The name of any natural grouping of the houses like hamlet, street, mohalla, etc. and date of listing may be written at the top before the listing of houses starts.   This will help in checking completeness.

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

2.4.4 NAEs *without fixed premises* may be listed against the **households** of the owners whereas those with *fixed premises* are to be listed at their **sites**. By 'fixed premises', we mean that the entrepreneurial activity is carried out within some sort of permanent structure (refer to Para 2.4.7 for further details). Partnership enterprises run without fixed premises may be listed against the household of the **partner who takes major decisions** for running the enterprise. An enterprise pursuing multiple/ mixed activities may be listed separately under respective NIC codes **if separate accounts of employment, receipts, expenses, etc. for each such activity are available. Otherwise, it will be listed as one enterprise with NIC code corresponding to the *major* activity.** 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.

2.4.5 *A house to house* enquiry will be made to list all the houses, households and NAEs.   A household is enumerated in the house where it resides and an enterprise will be listed in the house in which it is situated The following two situations may be kept in mind during listing.   First, an enterprise may not be clearly visible or prominent from outside of a house/room. For example, one member of a household may 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. While listing is done in segment 2, the houses and households/NAEs of the two selected hamlet-groups/sub-blocks will be listed one after another maintaining a continuous serial numbers for households as well as for the NAEs, as if they together constitute one unit. For doing so, the serial number and the names of the hamlets belonging to the hamlet-group which is selected first (i.e. the hamlet-group with order of selection number 1 in col (5) of block 3.2) will be recorded in block capitals on the first line of the listing block (i.e. block 4). After completing the listing of houses/households/NAEs of this hamlet-group, one line will be left blank and on the next line, the serial number and the names of the hamlets belonging to the next hamlet-group (i.e. the hamlet-group with order of selection number 2 in col (5) of block 3.2) will be clearly written in block capital and listing of houses/households/NAEs belonging to this hamlet-group will start from the next line. Similarly, for sample blocks with sub-block formation, the sub-block with order of selection number 1 in col (5) of block 3.2 will be recorded in block capitals on the first line of the listing block (i.e. block 4) and after completing the listing for this sub-block, next sub-block will be taken up as in the case of rural samples. However, where there is no hamlet-group/sub-block formation, listing will be carried out under segment 1 only.

2.4.6   It may be noted that 'cotton ginning, baling and cleaning etc.' though classified under agriculture (code 01405) as per NIC-98, will be covered in this round of survey under manufacture. The enterprises falling under this code will be listed in block 4 and NIC-98 code in col (11) will be recorded as '17' and not '01' for such enterprises. Also, NIC-98 classifies 'custom tailoring etc.' under manufacturing. For the purpose of this survey, enterprises engaged in providing 'custom tailoring services' to the households may be given a special code 18105 (which is not provided in NIC-98) in schedule 2.2.

2.4.7   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.

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

2.4.9 Various columns of block 4 are described below:

2.4.9.1 *Column (1) : house number*: All houses including vacant ones shall be listed by giving a house number. The 1991 Population Census house number or the number given by the local panchayat, municipality or other local body, may be used if available. The houses without such numbers will be given a separate running serial number starting from 1 within brackets. But wherever house numbers are available, even if not for all the houses, the actual house numbers shall be recorded without any brackets. After listing all the households and NAEs associated with a house, the next house shall be listed. If the house is used solely for non-residential purposes or is vacant, the purpose to which it is put will be written across the line, e.g. temple, dispensary, vacant, etc. However, details of the enterprise will be recorded for the non-residential houses having any non-agricultural enterprise. For family living under a tree or bridge etc. (i.e. without any house), a cross mark (X) may be put in this column.

2.4.9.2 *Column (2) : house type code* : The codes are : residential-1; non-residential-2; mixed-3; mashuk-4 (only for Arunachal Pradesh); others-9. Code 3 will be recorded when the house is used for both residential and non-residential purposes. *It may be noted that* the following types of houses, with some households residing therein, will be treated as *residential* only:

No enterprise with fixed premises is located in the house but :

(i) some members of the households are pursuing non-agricultural activities without fixed premises.
(ii) one or more members of a household is engaged in selling vegetables in the market. At night, the member keeps unsold vegetables within the premises of the house.
(iii) one or more members of a household is a rickshaw-puller. The member places his rickshaw near the house when he is not at work.

In case two or more lines have been filled for a house, the house type code will be recorded in the first line only. For families living under a tree etc. [i.e. 'X' in column (1)], code 9 may be recorded in column (2). Vacant house will also get code 9. It may be noted that a vacant house is different from a locked house/household. The latter will generally get a code any one of the codes 1 to 4 because they are locked on a temporary basis.
    In case of Arunachal Pradesh only, code 4 shall be assigned to dormitory houses locally known as 'Mashuk'.

2.4.9.3 *Column (3) : household serial number* : The household(s) normally residing in the house or in a fixed location (e.g. under a tree/bridge/open space etc.) listed in col.(1) will be numbered in col.(3). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. Household serial number will be given against the lines listed for households only. The NAEs run by a particular household will be listed just below the line for the household. Separate line will be used for each such enterprise and serial no. for the enterprise will be

given in col (9). In case of persons staying, say, in hostels and forming single member households, each of them will be listed in separate lines giving a household serial number. Continuous serial number starting from 1 will be given in col. (3) for segment 1 and segment 2, wherever required, after considering the selected hamlet-groups/sub-blocks of segment 2 as one unit.

2.4.9.4 *Column(4): name of head of household/name and address of enterprise/establishment/owner/ operator*: For a household having serial number in column(3), the name of the head shall be recorded here. For enterprise, name of the enterprise/owner/operator etc. will be recorded in this column. For an enterprise, the owner of which stays at different place, the name and address of the owner/operator shall be recorded. For an institutional enterprise, name of the enterprise shall be recorded. If an enterprise bears a distinct name, only then will it be recorded; otherwise the name of the owner shall be recorded. In all cases, distinct name of the enterprise, if any, shall be given preference.

2.4.9.5 *Column(5) : household size* : The size of each household as defined earlier will be recorded in this column. When there are more than one line for the same household, household size will be recorded in the first line only.

2.4.9.6 *Column(6) : household m.l. code*: The appropriate means of livelihood (m.l.) code of the households will be recorded in this column. The codes are :

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

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

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

   The means of livelihood of a household will be decided as per criteria given in para 1.3.7 of Chapter one.

2.4.9.7 *Column (7) : sampling serial number (sch. 1.0)* :   All the households listed in the village/block/h.g./s.b. will be first arranged by their means of livelihood code before giving sampling serial numbers.

   For the rural sector, the households with m.l. code 1 in column (6) may be given tick marks (√) in column (7). Similarly the households with m.l. code 2 will be given cross-marks (X) and those with m.l. code 9 will be given dashes (-) in column (7). Then all the tick-marks will be serially numbered in column(7) starting from 1 followed by continuous serial numbering of all the cross-marks and lastly of all the dashes.

   For the urban sector, the similar procedure will be followed. The symbols √ , X, + and - will be given in column (7) for the m.l. codes 1, 2, 3 and 9 respectively.

   For each segment of sample FSU of rural and the urban sectors both, it must be checked that the highest serial number recorded in column (7) agrees with the last serial number in column(3).

   If the last household serial no. as recorded in column (3) becomes equal to the no. of household to be selected from respective segment then such arrangement of households by m.l. code is not

necessary and households will be given sampling serial numbers starting from 1 in the order in which they are listed in column (3).

2.4.9.8 *Column (8) : order of selection-household (for sch. 1.0)* : The procedure for recording order of selection numbers is as follows:

Total number of households in the frame is the last serial number appearing in column (3). This value may be recorded against the symbol 'H'. *The number of households to be selected from the frame is at most 4 for villages/blocks without hamlet-group/sub-block formation and at most 2 for each of the two segments in case of large villages/blocks requiring hamlet-group/sub-block formation.* The number of households selected for survey may be recorded against the symbol 'h'.

Case I : villages/blocks without hamlet-group/sub-block formation : Draw a random number 'R' between 1 and H and calculate the interval I as the integral part of H/h (h is generally 4). Then the households with serial numbers R, R+I, R+2I and R+3I [If R+KI exceeds H, consider (R+KI)-H for the purpose] in column (7) will be the selected households and these households will be given order of selection numbers 1, 2, 3 and 4 respectively in column (8). Sampling serial numbers of the selected households may be encircled in column (7).

Case II : villages/blocks with hamlet-group/sub-block formation : For each segment the similar procedure as in Case I will be followed with the only change that (i) H is now the total number of households in the particular segment (ii) h is generally 2 and (iii) the households having sampling serial numbers R and R+I [consider (R+I-H if (R+I) exceeds H] in column (7) will be the selected households and be given order of selection numbers 1 and 2 respectively in column (8). Sampling serial numbers of the selected households may be encircled in column (7).

For H=h in both the cases values of I and R are to be crossed and the order of selection numbers would be the same as sampling serial numbers in column (7) which are to be encircled as well.

2.4.9.9 *Column (9) : enterprise serial number* : All non-agricultural enterprises shall be given a running serial number starting from 1 in this column. Locked enterprises will be listed and numbered serially only when information relating to cols (10) to (18) are available from knowledgeable persons. However, if it can be ascertained to belong to manufacturing sector even though other information are not available, then the enterprise will be included in the sampling frame. A continuous serial number will be given in this column for this enterprise, a '*' will be entered in col (14) and enterprise type will be given as 1 in col (17) and 'locked enterprise' may be written across the columns (10) to (13), otherwise it should not be listed at all.

2.4.9.10 *Column (10) : 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 .

For manufacturing enterprises which are seasonal in nature, the code 'S' shall be recorded within brackets below the description of activity. This will be consulted for recording the eligibility code in column (18).

2.4.9.11 *Column (11): NIC-98 code (2 digits)* : The left most two-digit code of NIC-98 pertaining to the activity of the enterprise will be recorded here.

However, activities with NIC code 01405 will be assigned code 17 instead of '01' and activities with special code 18105 may be given code 18 in this column. Again, activities with NIC division code 75 are excluded from the purview of this survey.

If the code in this column is anything other than 15 -37, columns (13) to (24) shall not be filled in.

2.4.9.12 *Column (12) : 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 co-operative societies (irrespective of possession of share by government, local body etc.) registered under the laws for registration of co-operative societies. 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 outside the public sector, 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.

2.4.9.13 *Column (13) : 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, code 1 shall be recorded. Otherwise, code 2 shall be recorded. For locked enterprise, appropriate code will be entered in this column, only after local enquiry.

Columns (13) to (24) relate to manufacturing enterprises only. If there is code 2 in column (13), then only columns (14) to (18) shall be filled up. Again, if eligibility code in column (18) is 1, then only columns (19) to (24) shall be filled up.

2.4.9.14 *Column (14) : broad manufacturing group (BMG) code* : One of the codes 1 to 6 as appropriate to the enterprise depending upon its activity noted in cols (10) and (11), shall be recorded here for each enterprise.

The codes are as follows.

Activities under NIC-98 codes	Broad manufacturing group (BMG) code
15-16	1
17-18	2
19-22	3
23-28	4
29-36	5

37   6

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

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

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

2.4.9.17 *Column (17) : enterprise type code* : Each manufacturing enterprise with entry '2' in column (13) shall be given enterprise type code on the basis of the entries made in columns (15) and (16). The codes are as follows :

   (i) OAME i.e enterprises with entry zero in col (16). - 1

   (ii) NDME i.e. establishment with entry 1-5 in col(15) and positive entry in col(16) -2.

   (iii) DME i.e. establishment with entry 6 or more in col(15) and positive entry in col (16) -3.

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

2.4.9.18 *Column (18) : 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.

2.4.9.19 *Columns (19), (20) & (21) : sampling serial number (sch. 2.2)-OAME/NDME/DME*: The enterprises/establishments with code 1 in column (18) and enterprise type code 1, 2 and 3 in column (17) shall be separately tick-marked in columns(19), (20) and (21) as the case may be. Then all the tick-marks appearing in each of the columns (19), (20) & (21) shall be given a separate running serial

number starting from 1 as follows : The tick-marks with code 1 in column (14) shall first be given running serial numbers starting from 1. After all such cases with code 1 in column (14) are covered, the tick-marks with code 2 in column (14) shall be given continuous running serial numbers in continuation of the previous series of tick-marks, and so on. For column (19), the tick-marks with '*' (i.e. for locked enterprises) in column (14) will be given continuous serial number after exhausting all the tick-marks with BMG codes 1-6 in column (14). In this manner all enterprises/establishments with codes 1 to 6 in column (14) shall be given running serial numbers for each of these three columns. If number of tick-marks (i.e. number of enterprises in the frame) in a column is equal to the number of enterprises to be selected, no arrangement of the enterprises by broad manufacturing group (BMG) code is necessary and the tick-marks may be given running serial numbers starting from 1 for each of these columns viz. (19), (20) & (21), in the order in which they are listed.

2.4.9.20 *columns (22) to (24): order of selection (sch. 2.2) -OAME/NDME/DME* : Total number of OAMEs/NDMEs/DMEs in the frame will be the number of tick-marks (i.e. the highest serial number) appearing in column(19)/(20)/(21) and these values will be recorded against E1/E2/E3 in col.(22)/(23)/(24). Similarly number of enterprises to be selected (after adjustment for shortfall, if necessary) for OAME/NDME/DME will be recorded against e1/e2/e3. Values of intervals for sampling and random starts i.e. I1/I2/I3 and R1/R2/R3 are also to be recorded against the corresponding symbols. If E = e, values of I and R may be crossed. For selecting the sample enterprises of any particular type, the following procedure will be followed. Suppose 'E' denotes the total number of enterprises in the frame [i.e. the highest entry in column (19)/(20)/(21)] and 'e' the number of enterprises to be selected. First calculate the interval I as the integral part of E/e and draw a random number R between 1 and E. Then the enterprises with serial numbers R, R+I, R+2I, ...,R+(e-1)I in column (19)/(20)/(21) will be the selected enterprises and be given order of selection numbers 1, 2, 3....... e respectively.

  If R +K.I. (where K is some integer) exceeds E, then subtract E from R+K.I. Let (R+K.I) - E be R'. Then the enterprise with serial number R' in column (19)/(20)/(21) will be the selected enterprise representing the random number R+K.I. Again calculate R', R'+ I...........and so on. When E=e, the order of selection numbers in column (22)/(23)/(24) will be the same as the sampling serial numbers in column (19)/(20)/(21). *The sampling serial numbers of the selected enterprises may be encircled in col.(19)/(20)/(21).*

2.4.10 Example: An example of selection of enterprises/households is given at the end of the chapter.

2.5 **Block 5** *: Number of non-agricultural enterprises* : This block also gives from block 4 , the summary information on total number of non-agricultural enterprises by NIC Tabulation Category (C to O excluding L), separately for each of the two segments. Entries in column 11, block 4 may be considered for filling up the columns (2) to (14) of this block. Number of non-agricultural enterprises listed under each Tabulation Category in col (11) of block 4 (2-digit NIC-98 codes 10-14 will correspond to Tab. Category C, 2-digit NIC-98 codes 15-37 will correspond to Tab. Category D and so on) will be counted and recorded against the appropriate cell of this block.

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

   Columns (3) to (8): Number of enterprises: Total number of enterprises in the frame for each of OAMEs, NDMEs and DMEs i.e. the entries for column (3), are the highest entries recorded in columns (19), (20) & (21) respectively of block 4. These highest entries are also to be recorded

against the symbols E1/E2/E3 appearing in the headings of column (22)/(23)/(24) of block 4. They may be recorded properly in col.3 of block 6. Number of enterprises to be selected for survey shall be recorded in column (4). These numbers are also recorded against e1/e2/e3 in the headings of column (22)/(23)/(24) of block 4. Columns (5) and (6) shall be filled up on the basis of survey code recorded against item 17 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 (5) and (6) respectively. Total number of surveyed enterprises shall be recorded in column (7). It may be seen that (i) col.(7) = col.(5) + col.(6) and (ii) col.(8) = col.(4) - col.(7).

2.7 **Block 7**: *Particulars of sampling of households (for sch. 1.0)*: Particulars of sampling of households, separately for each of the segments will be recorded in this block.

2.7.1 *Column (2)*: p*opulation*: Population as obtained from summing up the household sizes in col.(5) of block 4 over all the listed households may be recorded in this column separately for segment 1 & 2. 2.7.2 *Column (3):   total number of households in the frame(H)* : This is the last serial number recorded in column (3) of block 4.

2.7.3 *Columns (4) to (7)*: The concepts and procedures are similar to those given above for columns (4) to (8) of block 6. For survey code, item 16 of schedule 1.0 is to be referred.

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

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

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

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

2.11.1 **Substitution of enterprises/households:** If any sample OAME/NDME/DME/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 BMG (for sch.2.2)/same m.l.code (for sch. 1.0).The substitute for the one having highest sampling serial number of a BMG (sch.2.2) or of a particular m.l. code (sch. 1.0) in a column will be the one having smallest sampling serial number within the same BMG /m.l. code of the same column. If there is no proper substitute within the same BMG (or m.l. code for sch.1.0), consider the next higher BMG (or m.l.) code for taking the substitute. If there is no proper substitute for the highest BMG/m.l. code, consider the

lowest BMG/m.l. code for the purpose. If the substituted enterprise/household becomes a casualty, *it will be substituted by another in the same manner. If this enterprise/household also turns out to be a casualty, further substitute need not be taken. However, it must be ensured that a minimum of one sample enterprise/household is always surveyed for each of second stage strata OAME/NDME/DME/ if E>0 and for each of the segments if any; similar restriction will hold for sample household also when H>0. Substitution may be attempted more than twice in a few cases to adhere to this restriction.*

2.11.2 **Misclassification of 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 or NDME or DME) 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-98 code/ BMG code other than the one recorded in column (11)/(14) of block 4 of schedule 0.0, then the same enterprise *will be surveyed (fresh selection will not be done) under revised codes recorded in schedule 2.2. 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 blocks 5 and 6 need not be disturbed.

2.11.3 **Random numbers** : A table of random numbers is supplied to each investigator. The n-th column of the table will be consulted in the case of the central sample and (n + 1)th column in the case of the state sample, where n is the last two digits of the serial number of the sample village/block. When n = 00, it will be taken as 100. The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digit random numbers may be used where random number '0' will stand for '10' and random number '00' for '100'.

The first random number will be used for hamlet-group/sub-block selection, whenever required. The subsequent random numbers may be used for selection of households / enterprises in the order: (i) for segment 1 − household, OAME, NDME, DME, and then (ii) for segment 2 − household, OAME, NDME, DME.

2.12 **Substitution of sample villages/block :**

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

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

If the substituted village/block has same problem as the original, correspondences may be made immediately so that another substitute can be provided.

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

All efforts must be made to ensure that at least one FSU is always surveyed from each stratum/sub-stratum for each sub-sample

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

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

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

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

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

Case (b) : With hamlet-group/sub-block formation: If repetition is in the same sub-round, the hamlet-groups/sub-blocks formed during the first visit will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-groups/sub-blocks selected afresh excepting the hamlet-group/sub-block marked as segment '1'. If all the earlier hamlet-

groups/sub-blocks in segment '2' are re-selected, then a new random number may be drawn so that different hamlet-groups/sub-blocks are selected for survey. But if only one hamlet-group/ sub-block of segment '2' is re-selected, it may be substituted by the next one not selected earlier. For the selection of households / enterprises, the usual procedure as suggested for fresh FSUs may be followed. . If, however, repetition of the village/block takes place in a different sub-round, it is to be surveyed just like a new sample with fresh listing and sample selection.

2.14 **Extract from Schedule 0.0**: This portion comprises of Blocks 1, 5, 6 and 7 of the main schedule. Entries for these blocks are to be copied from the respective blocks already filled in. This extract is to be sent separately to the Joint Director (Coordination), SDRD, NSSO, Mahalanobis Bhawan, 164, G.L.T. Road, Calcutta - 700035.

Example showing the arrangement and selection of households and enterprises in Block 4.

Example below has been considered only for segment 1 of a rural sample. The same procedure will be followed for segment 2 also. Let us assume E1=4, E2=3, E3=8 & H=5 in the segment1. Value of random number drawn are shown in the respective blocks except for column(23) where selection is not necessary.

(4)list of households and non-agricultural enterprises (Segment 1)													
		Sch. 1.0		Enterprise		Manufacturing		Schedule 2.2					
								Sampling serial number			Order of selection		
Household srl. no.	Household m.l. code (b)	Sampling serial number	Order of selection $H1=5$ $h1=2$ $I1=2$ $R1=4$	Serial number	Broad manufacturing group (BMG) code (f)	Enterprise type code (g)	Eligibility code (h)	OAME	NDME	DME	OAME $E_1=4$ $e_1=2$ $I_1=2$ $R_1=3$	NDME $E_2=3$ $e_2=3$ $I_2=x$ $R_2=x$	DME $E_3=8$ $e_3=7$ $I_3=1$ $R_3=4$
(3)	(6)	(7)	(8)	(9)	(14)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)
				1	5	3	1			√ 8			5
				2	2	3	1			√ 3			
1	9	- 3											
2	1	√ 1	2										
				3	3	3	1			√ 5			2
				4	1	1	1	√ 1			2		
				5	1	3	1			√ 1			6
3	9	- 4	1										
				6	6	2	1		√ 1			1	
				7	4	3	1			√ 7			4
				8	1	3	1			√ 2			7
				9	2	2	1		√ 2			2	
	Locked enterprise			10	*	1	1	√ 4					
4	2	× 2											
				11	3	3	1			√ 6			3
				12	1	2	1		√ 3			3	
				13	2	3	1			√ 4			1
5	9	-5		14	1	1	1	√ 2					
				15	5	1	1	√ 3			1		

Note: ordering by BMG is not necessary in cols (20) because all the enterprises are selected.
Assumption: $E_1=2$ $E_2=1$ $E_3=1$ for segment2
                      $e_1=2$ $e_2=1$ $e_3=1$