



क्षेत्र कर्मचारियों के लिए अनुदेश

Instructions to Field Staff

खण्ड / Volume – I

अभिकल्प, संकल्पनाएँ, परिभाषाएँ एवं प्रक्रियाएँ
Design, Concepts, Definitions and Procedures

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PERIODIC LABOUR FORCE SURVEY

राष्ट्रीय प्रतिदर्श सर्वेक्षण कार्यालय

National Sample Survey Office

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सांख्यिकी और कार्यक्रम कार्यान्वयन मंत्रालय

Ministry of Statistics and Programme Implementation

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**National Sample Survey Office
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Chapter One

Introduction: Coverage, Concepts, Design and Definitions

1.0 Introduction

1.0.1 The employment and unemployment surveys undertaken by the National Sample Survey Office (NSSO) are the primary source of statistics on labour force, activity participation of the population and structure of employment and unemployment in the country. The architecture of these surveys provides the measurement of labour force indicators in cross classification of age, gender, education, industry, occupation, time disposition, mobility and wages. After the initial experimentations for evolving the concepts and methods of various measurements to capture the diverse facets of labour force, the employment and unemployment surveys have become the integral part of quinquennial household socio-economic survey programme of NSSO since its 27th Round (1972-73). The concepts and definition adopted therein are primarily based on the recommendations of the Committee of Experts on Unemployment Estimates (Dantwala Committee), set up by the Planning Commission in 1970. Within the established and stabilized framework, the concepts and measurement methods have occasionally been fine-tuned and refined to meet users' requirements ensuring their harmonization with international standards.

1.0.2 The behavior of labour market depends on the trend and pattern of the overall economy. The volatility in the economy, both in its inter and intra sectoral linkages as well as in the context of economic integration with rest of the world, is reflected in the domestic labour market. Such volatility, off late, is experienced to be more pronounced in the contemporary economic environment, influenced by global economic meltdown. Given such exigencies, measuring its short term impact on labour market is considered extremely important. Accordingly, availability of labour force data at more frequent time interval is considered as the need of the hour.

1.0.3 Considering the importance of availability of labour force data at more frequent time intervals (say, for every quarter), on the recommendation of the National Statistical Commission (NSC), the Ministry of Statistics and Programme Implementation (MoS&PI) constituted a Committee on Periodic Labour Force Survey (PLFS) under the Chairpersonship of Prof. Amitabh Kundu, then Member, NSC to develop the survey methodology including the sample design for generating monthly/quarterly labour market data. The Committee recommended for conducting a pilot study for operational and other aspects of the survey using rotational sampling design. Pilot survey was conducted in the urban sector of three States viz., Gujarat, Himachal Pradesh and Odisha during July 2011 – June 2013.

1.0.4 Subsequently, as a follow-up action on the recommendation made by the National Statistical Commission (NSC), a Standing Committee on Labour Force Statistics (SCLFS) was constituted by NSSO on 12th November 2014 under the Chairmanship of Prof. S. P. Mukherjee, Emeritus Professor, University of Calcutta. The SCLFS is to periodically review the whole system of collection, compilation and dissemination of Labour Force Statistics along with survey instruments being used as well as data gaps/additional requirements in respect of labour force statistics and to make recommendations/suggestions for conducting Labour Force Statistics, including Periodic Labour Force Survey (PLFS).

The major task of the SCLFS in respect of PLFS was to critically analyze the sample design and Schedule of Enquiry recommended by the Committee on PLFS. The SCLFS decided that the content of PLFS that was proposed by the Committee on PLFS would be modified to collect data on some aspects of the quinquennial employment and unemployment survey covering both rural and urban areas, besides retaining the feature of PLFS to generate quarterly estimates of level and change parameters for only urban areas. Accordingly, SCLFS made recommendations with respect to the structure of the Schedule of Enquiry and Sampling Design to be adopted for PLFS.

1.0.5 **Objective of the survey:** The objective of PLFS is primarily on two aspects. The first is to measure the dynamics in labour force participation and employment status in the short time interval of three months for the urban areas only in the Current Weekly Status (CWS). Thus, in every quarter, PLFS will bring out the level and change estimates of the key labour force indicators in CWS viz. Worker Population Ratio (WPR), Labour Force Participation Rate (LFPR), Unemployment Rate (UR). Secondly, for both rural and urban areas, level estimates of all important parameters in both usual status and CWS will be brought out annually.

1.1 Outline of the Survey Programme

1.1.1 **Geographical coverage of the survey:** The survey will cover the whole of the Indian Union *except* the villages in Andaman and Nicobar Islands which remain extremely difficult to access throughout the year.

1.2 **Schedules of enquiry:** Following schedules will be canvassed:

| | |
|----------------|---|
| Schedule 0.0PL | : List of households |
| Schedule 10.4 | : Employment and Unemployment (First Visit) |
| Schedule 10.4 | : Employment and Unemployment (Revisit) |

1.3 **Contents of Volume I:** This volume of instruction contains three chapters. Chapter One gives an overview of the survey operation and discusses the concepts and definitions of important technical terms to be used in the survey. It also describes the sample design, rotational scheme, and procedure of selection of households. Chapters Two and Three contain instructions

for filling of Schedules 0.0PL and Schedule 10.4. A list of frequently asked questions (FAQs) has been provided at the end of Chapter Three.

1.4 Sample Design

1.4.1 Rotational scheme for pilot survey:

A rotational panel sampling design will be used in urban area. The rotational scheme will be of two years duration to accommodate the changes in the urban frame in the intracensal period; in the sense that the sampling frames for both rural and urban areas will remain unchanged for every two-year duration. In this rotational panel scheme each selected household in urban areas will be visited four times – one with first visit schedule and other three with revisit schedule. The estimates can be given for *successive* quarters without any break in the series (starting from the fifth quarter), *ensuring a 75% matching between consecutive quarters*. Regression based estimates will not be generated. Instead, usual traditional design based estimates will be generated. The proposed design aims at generating quarterly estimates of level and change parameters of some important labour force indicators (LFPR, WPR & UR) based on CWS data in urban areas and annual estimates of level parameters based on usual status for both rural and urban areas in the line of employment & unemployment survey of NSS quinquennial round.

1.4.2 Rotational panel design for urban areas

- i. The initial rotational panel will be for two years, where only 25% FSUs of urban annual allocation will be covered in the first quarter (Panel P_{11}) with detail listing and canvassing of visit 1 schedule in the selected households; where P_{ij} indicates the panel belonging to j^{th} quarter of the i^{th} two-year period of rotation.
- ii. Another 25% FSUs will be covered in the second quarter (Panel P_{12}) for taking up visit 1 schedule and revisit schedule will be canvassed in the selected households of Panel P_{11} .
- iii. A new panel P_{13} of 25% FSUs will be surveyed in third quarter with visit 1 schedule and revisit schedules will be canvassed in the households of panels P_{11} & P_{12} .
- iv. In the fourth quarter, households of panels P_{11} , P_{12} & P_{13} will be surveyed with revisit schedule and a new panel P_{14} with 25% FSUs for visit 1 schedule.
- v. In the subsequent quarters of second year 75% FSUs (3 panels - P_{12} , P_{13} & P_{14}) will be common and an earlier panel (P_{11}) will be replaced by a new panel (P_{15}) for canvassing visit 1 schedule. This will continue till 8th quarter.
- vi. All the FSUs of the panels P_{11} , P_{12} , ..., P_{18} (each of which is with 25% of FSUs) will be selected before commencement of survey in the first quarter.
- vii. At the end of the second year of each two-year duration, updated frame will be used for both rural and urban areas.
- viii. FSUs of another set of panels P_{21} , P_{22} , ..., P_{28} selected from the updated frame will be made ready before commencement of first quarter of third year (first quarter of the second two-

- year duration). These panels P₂₁ to P₂₈ will take care of the changes in the urban frame during the intracensal period.
- ix. In the ninth quarter (first quarter of the second two-year duration), panel P₂₁ selected from the updated frame will be introduced and the panels P₁₆, P₁₇ and P₁₈ of the old frame will be surveyed.
 - x. This scheme will continue for another 2 years with the introduction of panels P₂₂ to P₂₈ each in one quarter for the subsequent 7 quarters till the end of the fourth year (second year of the two-year period).
 - xi. This scheme of rotation of panels will enable generation of estimates of change parameters with 75% matching and 25% of unmatched samples from fifth quarter onwards.
 - xii. One of the main advantages of this plan of rotation is that there will not be any break in the series of estimates of the change parameters starting from 5th quarter.
 - xiii. Since major changes in the rural-urban frame occurs in the Census years (say for the year 2023-24), provision is to be made to generate estimates without break in the series of estimates considering panels from pre and post-census frames.

1.4.3 Rural samples

For rural areas, samples for all the 8 quarters will be selected before commencement of survey for each two-year period, while the frame remains same for this duration. In each quarter, only 25% FSUs of annual allocation (as is done in each sub-round of NSS rounds) will be covered in rural areas so that independent estimates can be generated for each quarter. For this purpose, quarterly allocation will be multiple of 2 for drawing interpenetrating sub-samples.

There will not be any revisit in the rural samples.

1.4.4 The following table gives the rotational panel schemes in tabular format:

| | panels for the first 2 year period | | | | | | | | panels from updated frame for the next 2 year period | | | |
|---|--|-------------------|-------------------|-------------------|---|-------------------|-------------------|-------------------|--|-------------------|-------------------|-------------------|
| | During the four quarters of the first year | | | | During the four quarters of the second year | | | | During the four quarters of the third year | | | |
| | Qtr1 | Qtr2 | Qtr3 | Qtr4 | Qtr1 | Qtr2 | Qtr3 | Qtr4 | Qtr1 | Qtr2 | Qtr3 | Qtr4 |
| Urban Panel | P ₁₁ * | P ₁₁ | P ₁₁ | P ₁₁ | P ₁₅ * | P ₁₅ | P ₁₅ | P ₁₅ | P ₂₁ * | P ₂₁ | P ₂₁ | P ₂₁ |
| | | P ₁₂ * | P ₁₂ | P ₁₂ | P ₁₂ | P ₁₆ * | P ₁₆ | P ₁₆ | P ₁₆ | P ₂₂ * | P ₂₂ | P ₂₂ |
| | | | P ₁₃ * | P ₁₃ | P ₁₃ | P ₁₃ | P ₁₇ * | P ₁₇ | P ₁₇ | P ₁₇ | P ₂₃ * | P ₂₃ |
| | | | | P ₁₄ * | P ₁₄ | P ₁₄ | P ₁₄ | P ₁₄ | P ₁₈ * | P ₁₈ | P ₁₈ | P ₂₄ * |
| Rural | R ₁₁ * | R ₁₂ * | R ₁₃ * | R ₁₄ * | R ₁₅ * | R ₁₆ * | R ₁₇ * | R ₁₈ * | Fresh rural samples in third year from the updated frame | | | |
| *Visit 1 schedule will be canvassed R _{ij} * indicates samples to be covered in rural areas in j th quarter of i th two-year period | | | | | | | | | | | | |

1.4.5 It is seen from the above table that one panel of urban sample FSUs will be in the sample for 4 quarters and the selected households in an FSU will be surveyed for the successive periods during which the FSU remains in the sample. Selected households will be visited 4 times for canvassing the detailed schedule of enquiry of the PLFS (Schedule 10.4: Employment and Unemployment). These visits are termed as **first visit** and **revisit**. For this, two formats of the detailed schedule of enquiry have been devised viz., Schedule 10.4: Employment and Unemployment (First Visit) and Schedule 10.4: Employment and Unemployment (Revisit).

To implement the rotational scheme in urban areas, when a panel appears for the first time in any quarter with 25% of annual allocation, listing and selection of households will be done in all the selected FSUs in that panel. The first visit schedule will be canvassed in the selected households. The selected FSUs/households will be revisited in the subsequent three quarters as the panel will remain in the sample for four quarters. **During the revisit, listing and selection of households will not be done afresh.** Only the households selected during first visit will be revisited for canvassing revisit schedule. At the time of revisit if any sample household is not found, same may be treated as casualty and a substitute household need not to be surveyed. If any sample household is found to have split, then, among the split households available in the FSU/Sub-block, the household where the head/senior most member of the erstwhile household is available will be covered. In the PLFS scheme, each selected household of urban FSUs only will be visited four times, one in each quarter.

1.4.6 **Outline of the design:** A stratified multi-stage design would be adopted. The first stage units (FSU) are the Urban Frame Survey (UFS) blocks in urban areas and 2011 Population Census villages (Panchayat wards for Kerala) in rural areas. The ultimate stage units (USU) are households. As in usual NSS rounds, in the case of large FSUs one intermediate stage unit, called hamlet group/sub-block, will be formed.

1.4.7 **Sampling Frame for First Stage Units:** The list of latest available Urban Frame Survey (UFS) blocks will be considered as the urban sampling frame. List of 2011 Population Census villages (Panchayat wards for Kerala) will constitute the rural sampling frame. Since the duration of rotational panel is of two-year, the urban sampling frame once updated incorporating the changes made in the current phase of UFS will remain unchanged for two years. Similarly the rural sampling frame with changes, if any, for urbanisation of village(s) will remain unchanged for two years. After completion of every two-year period, the frames will be updated for incorporating the changes likely to occur during this period. When next Population Census details will be available, the new frame will be used only when UFS blocks for all newly declared Census Towns and Statutory Towns are available for preparation of sampling frame, as the new list of census villages will not include those villages which will be considered as urban areas.

1.4.8 **Stratification:** In urban areas strata will be formed within each NSS region on the basis of size class of towns as per Population Census 2011. The tentative stratum numbers and their composition (within each region) will be as follows:

| | |
|-----------------------|--|
| stratum 1 : | all towns with population less than 50,000 |
| stratum 2 : | all towns with population 50,000 or more but less than 3 lakhs |
| stratum 3 : | all towns with population 3 lakhs or more but less than 15 lakhs |
| stratum 4, 5, 6,... : | each city with population 15 lakhs or more |

The rural areas of each NSS region will constitute rural stratum. In case of rural sectors of Nagaland, a special stratum has been formed within the State consisting of all the villages which are difficult to access.

1.4.9.1 **Sub-Stratification: Urban:** In urban areas there will be no sub-stratification.

1.4.9.2 **Rural:** 'r/8' sub-strata will be formed in each rural stratum, if 'r' is the sample size allocated for a rural stratum. The villages within a stratum as per frame will be first arranged in ascending order of population. Then sub-strata 1 to 'r/8' will be demarcated in such a way that each sub-stratum comprised a group of villages of the arranged frame and have more or less equal population.

1.4.10 **Total sample size (FSUs):** 12800 FSUs (7024 villages and 5776 UFS blocks) will be covered annually at all-India level.

1.4.10.1 State/UT level sample size will be allocated between two sectors in proportion to population as per Census 2011 with double weightage to urban sector in general. Within each sector of a State/UT, the respective sample size will be allocated to the different strata (in the case of urban areas) and strata/ sub-strata (in the case of rural areas) in proportion to the population as per Census 2011. Urban allocations at stratum level will be adjusted to multiples of 8 with a minimum sample size of 8 (for 4 panels, each of size at least 2). Rural allocation for each stratum will also be multiple of 8 with minimum sample size of 8 (for 4 quarters, each of size 2). For special stratum formed in rural areas of Nagaland as discussed in para 1.4.8, 16 FSUs will be allocated.

1.4.10.2 It may be noted that quarterly allocation of FSUs will be same for an NSS state-region although 25% of the urban FSUs will rotate over the quarters according to the rotational scheme. However, quarterly allocation of urban FSUs for FOD regions and FOD sub-regions may vary over the quarters since new FSUs entering the sample according to the rotational scheme may or may not belong to the same FOD region or FOD sub-region.

1.4.11 Selection of first stage units: Urban FSUs will be selected by probability proportional to size with replacement (PPSWR) scheme, size being the number of households in the UFS block. Samples for a panel within each stratum will be drawn in the form of two independent sub-samples. To implement the rotational scheme, 4 groups of sample FSUs of equal size (each multiple of size 2, half for each of sub-sample 1 and sub-sample 2) will be drawn randomly. In the rural areas samples for a stratum/sub-stratum will be drawn randomly in the form of two independent sub-samples with probability proportional to size with replacement (PPSWR) scheme, size being the population of the village and equal number of samples will be allocated among the four quarters.

1.4.12 Criterion for hamlet-group/ sub-block formation: After identification of the boundaries of the FSU, it is to be determined whether listing is to be done in the whole sample FSU or not. In case the population of the selected FSU is found to be 1200 or more, it has to be divided into a suitable number (say, D) of 'hamlet-groups' in the rural sector and 'sub-blocks' in the urban sector by more or less equalising the population as stated below.

| approximate present population of the sample FSU | no. of hg's/sb's to be formed |
|--|-------------------------------|
| less than 1200 (no hamlet-groups/sub-blocks) | 1 |
| 1200 to 1799 | 3 |
| 1800 to 2399 | 4 |
| 2400 to 2999 | 5 |
| 3000 to 3599 | 6 |
|and so on | |

For rural areas of Himachal Pradesh, Sikkim, Andaman & Nicobar Islands, Uttarakhand (except four districts Dehradun, Nainital, Hardwar and Udham Singh Nagar), Punch, Rajouri, Udhampur, Reasi, Doda, Kishtwar, Ramban, Leh (Ladakh), Kargil districts of Jammu and Kashmir and Idukki district of Kerala, the number of hamlet-groups will be formed as follows:

| approximate present population of the sample village | no. of hg's to be formed |
|--|--------------------------|
| less than 600 (no hamlet-groups) | 1 |
| 600 to 899 | 3 |
| 900 to 1199 | 4 |
| 1200 to 1499 | 5 |
| 1500 to 1799 | 6 |
|and so on | |

1.4.13 Formation and selection of hamlet-groups/ sub-blocks: In case hamlet-groups/ sub-blocks are to be formed in the sample FSU, the same will be done by more or less equalizing population. Two hamlet-groups (hg)/ sub-blocks (sb) are to be selected from a large FSU wherever hamlet-groups/ sub-blocks will be formed in the following manner – one hg/ sb with

maximum percentage share of population will always be selected and termed as hg/ sb '1'; one more hg/ sb will be selected from the remaining hg's/ sb's by simple random sampling (SRS) and will be termed as hg/ sb '2'. Listing and selection of the households will be done independently in the two selected hamlet-groups/ sub-blocks. The FSUs without hg/ sb formation will be treated as sample hg/ sb number '1'. It is to be noted that if more than one hg/ sb are found to have same maximum percentage share of population, the one among them which listed first will be treated as hg/ sb '1'.

Listing and selection of the households will be done independently in the two selected hg's/sb's.

1.4.14 Formation of second stage strata and allocation of households:

1.4.14.1 Second stage stratification (SSS) in each FSU/hg/sb will be formed based on the number of members in each household who have completed secondary level of education considering general type of education. In urban FSUs 4 SSS will be formed, while 3 SSS will be formed in rural areas. Details are given in the following table.

| composition of SSS (rural) | SSS | number of members | number of households to be surveyed | |
|--|-------|-------------------|-------------------------------------|-------------------------------------|
| | | | FSU without hg formation | FSU with hg formation (for each hg) |
| number of members in the household having level of general education as secondary (10 th standard) or above | SSS 1 | 2 or more | 2 | 1 |
| | SSS 2 | 1 | 4 | 2 |
| | SSS 3 | 0 | 2 | 1 |
| TOTAL | | | 8 | |
| composition of SSS (urban) | SSS | number of members | number of households to be surveyed | |
| | | | FSU without sb formation | FSU with sb formation (for each sb) |
| number of members in the household having level of general education as secondary (10 th standard) or above | SSS 1 | 3 or more | 2 | 1 |
| | SSS 2 | 2 | 2 | 1 |
| | SSS 3 | 1 | 2 | 1 |
| | SSS 4 | 0 | 2 | 1 |
| TOTAL | | | 8 | |

1.4.15 Selection of households: From each SSS the sample households will be selected by SRSWOR.

1.5 Concepts and Definitions:

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

1.5.1 Population coverage: The following rules regarding the population to be covered are to be remembered in listing of households and persons:

1. Under-trial prisoners in jails and indoor patients of hospitals, nursing homes etc., are to be excluded, but residential staff therein will be listed while listing is done in such institutions. The persons of the first category will be considered as normal members of their parent households and will be counted there. Convicted prisoners undergoing sentence will be outside the coverage of the survey.
2. 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.
3. Foreign nationals will not be listed, nor their domestic servants, if by definition the latter belong to the foreign national's household. If, however, a foreign national becomes an Indian citizen for all practical purposes, he or she will be covered.
4. Persons residing in barracks of military and paramilitary forces (like police, BSF, etc.) will be kept outside the survey coverage due to difficulty in conduct of survey therein. However, civilian population residing in their neighbourhood, including the family quarters of service personnel, are to be covered. Permission for this may have to be obtained from appropriate authorities.
5. Orphanages, rescue homes, *ashrams* and vagrant houses are outside the survey coverage. However, persons staying in old age homes, students staying in *ashrams*/ hostels and the residential staff (other than monks/ nuns) of these ashrams may be listed. For orphanages, although orphans are not to be listed, the persons looking after them and staying there may be considered for listing.

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

1.5.3 Household: A group of persons normally living together and taking food from a common kitchen will constitute a household. It will include temporary stay-aways (those whose total period of absence from the household is expected to be less than 6 months) but exclude temporary visitors and guests (expected total period of stay less than 6 months). Even though the

determination of the actual composition of a household will be left to the judgment of the head of the household, the following procedures will be adopted as guidelines.

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

(ii) 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.

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

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

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

1.5.4 Household size: The number of members of a household is its size.

1.5.5 Household's usual consumer expenditure (in Rs.) in a month: This may be ascertained as follows.

1.5.5.1 The question "What is your usual expenditure for household purposes in a month?" will be put to the informant. Suppose the answer is Rs. A.

1.5.5.2 Next, the purchase value of any household durables (mobile phones, TV sets, fridge, fans, cooler, AC, vehicles, computers, furniture, kitchen equipment, etc.) purchased during the *last one year* will be ascertained and the expenditure *per month* obtained by dividing by 12. Let this be Rs. B.

1.5.5.3 Further, it should be quickly ascertained whether there is (usually) any consumption from (a) wages in kind (b) home-grown stock (c) free collection. If so, the approximate monthly value of the amount usually consumed in a month will be imputed. Let this be Rs. C.

1.5.5.4 Then the sum of A+B+C is to be entered as usual monthly consumer expenditure of the household in whole number of rupees.

1.5.6 **Household type:** The household type, based on the means of livelihood of a household, is decided on the basis of the sources of the household's income during the 365 days preceding the date of survey. For this purpose, only the household's income (net income and not gross income) from economic activities is to be considered; but the incomes of servants and paying guests are not to be taken into account.

In **rural** areas, a household will belong to any one of the following six household types:

- self-employed in agriculture
- self-employed in non-agriculture
- regular wage/salary earning
- casual labour in agriculture
- casual labour in non-agriculture
- others

For **urban** areas, the household types are:

- self-employed
- regular wage/salary earning
- casual labour
- others

1.5.6.1 **Procedure for determining household type in rural sector:** The broad household types in rural areas to be used in this round are *self-employed*, *regular wage/salary earning*, *casual labour* and *others*. A household which does not have any income from economic activities will be classified under *others*. Within each of the broad category of *self-employed* and *casual labours* two specific household types will be distinguished, depending on their major income from agricultural activities (sections A of NIC-2008) and non-agricultural activities (rest of the NIC-2008 sections, excluding section A). The specific household types for self-employed are: *self-employed in agriculture* and *self-employed in non-agriculture*. For casual labour, the specific household types are: *casual labour in agriculture* and *casual labour in non-agriculture*. In the determination of the household type in the rural areas, first the household's income from economic activities will be considered. Rural households will be first categorized as '*self-employed*', '*regular wage/salary earning*' or '*casual labour*' depending on the single major source of its income from economic activities during last 365 days. Further, for those households which are categorized either as *self-employed* or *casual labours*, specific household types (*self-employed in agriculture or self-employed in non-agriculture* and *casual labour in agriculture or casual labour in non-agriculture*) will be assigned depending on the single major source of income from agricultural or non-agricultural activities.

1.5.6.2 For **urban** areas the different household types correspond to four sources of household income. An urban household will be assigned the type *self-employed, regular wage/salary earning, casual labour* or *others* corresponding to the major source of its income from economic activities during the last 365 days. A household which does not have any income from economic activities will be classified under *others*.

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

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

1.5.9 **Economic activity:** The entire spectrum of human activity falls into two categories: economic activity and non-economic activity. Any activity that results in production of goods and services that adds value to national product is considered as an economic activity. The economic activities have two parts - market activities and non-market activities. Market activities are those that involve remuneration to those who perform it, i.e., activity performed for pay or profit. Such activities include production of all goods and services for market including those of government services, etc. Non-market activities are those involving the production of primary commodities for own consumption and own account production of fixed assets.

1.5.9.1 The full spectrum of economic activities as defined in the UN System of National Accounts (SNA 2008) is not covered in the definition adopted for the Periodic Labour Force Survey of NSSO. Production of any good for own consumption is considered as economic activity by UN System of National Accounts but production of only primary goods for own consumption is considered as economic activity by NSSO. While the former includes activities like own account processing of primary products among other things, in the NSS surveys, processing of primary products for own consumption is not considered as economic activity. However, it may be noted that 'production of agricultural goods for own consumption' covering all activities up to and including stages of threshing and storing of produce for own consumption, comes under the coverage of the economic activities of NSSO.

1.5.9.2 The term 'economic activity' will include:

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

(ii) of the non-market activities,

(a) all the activities relating to the primary sector (i.e., **industry Divisions 01 to 09 of NIC-2008**) which result in production (including free collection of uncultivated crops, forestry, firewood, hunting, fishing, mining, quarrying, etc.) of primary goods, including threshing and storing of grains for own consumption.

and

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

1.5.9.3 The activities like prostitution, begging, etc., which may result in earning, will not be considered as economic activities for the survey.

1.5.10 **Activity status:** It is the activity situation relating to participation in economic and / or non-economic activities in which a person is found engaged during a reference period. According to this, a person will be in one or a combination of the following three broad activity statuses during a reference period:

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

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

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

Activity statuses, as mentioned in (i) & (ii) above, are associated with 'being in labour force' and the last with 'not being in the labour force'. Within the labour force, activity status (i) above is associated with 'employment' and activity status (ii) with 'unemployment'. During a specified reference period (say, 1 year or 1 week), by adopting the procedure to determine the broad activity statuses, each person is classified in one of the three broad activity statuses. Persons found with the broad activity statuses (i), (ii) and (iii), during the reference period, are employed (worker), unemployed and 'not in labour force', respectively.

1.5.10.1 The three broad activity statuses have been further sub-divided into several detailed activity categories. These are stated below:

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

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

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

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

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

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

1.5.11 The various constituents of 'employed', 'unemployed', 'labour force', 'out of labour force' are as explained below:

(a) **Workers (or employed):** Persons who, during the reference period, are engaged in any economic activity or who, despite their attachment to economic activity, have temporarily abstained from work for reasons of illness, injury or other physical disability, bad weather, festivals, social or religious functions or other contingencies constitute workers. Unpaid helpers who assist in the operation of an economic activity in the household farm or non-farm activities

are also considered as workers. All the workers are assigned one of the detailed activity statuses under the broad activity category 'working or being engaged in economic activity'.

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

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

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

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

1.5.13 **Self-employed:** Persons who operate their own farm or non-farm enterprises or are engaged independently in a profession or trade on own-account or with one or a few partners are deemed to be self-employed in household enterprises. The essential feature of the self-employed is that they have *autonomy* (i.e., how, where and when to produce) and *economic independence* (i.e., market, scale of operation and money) for carrying out their operation. The remuneration of the self-employed consists of a non-separable combination of two parts: a reward for their labour and profit of their enterprise. The combined remuneration is given by the revenue from sale of output produced by self-employed persons *minus* the cost of purchased inputs in production.

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

- (i) **own-account workers:** They are the self-employed who operate their enterprises on their own account or with one or a few partners and who during the reference period by and large, run their enterprise without hiring any labour. They may, however, have unpaid helpers to assist them in the activity of the enterprise.
- (ii) **employers:** The self-employed persons who work on their own account or with one or a few partners and by and large run their enterprise by hiring labour are the employers, and

(iii) **helpers in household enterprise:** The helpers are a category of self-employed persons mostly family members who keep themselves engaged in their household enterprises, working full or part time and do not receive any regular salary or wages in return for the work performed. They do not run the household enterprise on their own but assist the related person living in the same household in running the household enterprise.

1.5.13.1 There is a category of workers who work at a place of their choice which is outside the establishment that employs them or buys their product. Different expressions like ‘home workers’, ‘home based workers’ and ‘out workers’ are generally used synonymously for such workers. For the purpose of this survey, all such workers will be categorised as ‘self-employed’. The ‘home workers’ have *some degree of autonomy* and *economic independence* in carrying out the work, and their work is not directly supervised, as is the case for the *employees*. Like the other self-employed, these workers have to meet certain costs, like actual or imputed rent on the buildings in which they work, costs incurred for heating, lighting and power, storage or transportation, etc., thereby indicating that they have some tangible or intangible means of production. It may be noted that *employees* are not required to provide such inputs for production.

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

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

1.5.15 **Casual wage labour:** A person casually engaged in other’s farm or non-farm enterprises (both household and non-household) and getting in return wage according to the terms of the daily or periodic work contract is a casual wage labour. Usually, in the rural areas, one category

of casual labourers can be seen who normally engage themselves in '*public works*' activities. The concepts related to '*public works*' are discussed later in this chapter.

1.5.16 Different approaches for determining activity status: In the labour force surveys, the activity status of a person is determined on the basis of the activities pursued by the person during certain specified reference period. The activity status determined on the basis of the reference period of last 365 days preceding the date of survey is known as the usual activity status of the person, that determined on the basis of a reference period of last 7 days preceding the date of survey is known as the current weekly status (CWS) of the person and the activity status determined for each day of the reference week which is known as the current daily status (CDS) of the person. For the PLFS, activity status will be collected for all the three reference periods mentioned above, viz., last 365 days for usual status, using a reference period of 7 days preceding the date of the survey for current weekly status and each day of the reference week for current daily status.

1.5.17 Identification of each individual into a unique situation poses a problem when more than one of three types of broad activity status viz. 'employed', 'unemployed' and 'not in labour force' is concurrently obtained for a person. In such an eventuality, unique identification under any one of the three broad activity statuses is done by adopting either the major time criterion or priority criterion. The former is used for classification of persons under 'usual activity status' and, the latter, for classification of persons under 'current weekly status' and 'current daily status'. If, by adopting one of these two criteria, a person categorised as engaged in economic activity is found to be pursuing more than one economic activity during the reference period, the appropriate detailed activity status category will relate to the activity in which relatively more time has been spent. Similar approach is adopted for non-economic activities also.

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

1.5.19 Subsidiary economic activity status: Usual principal status of a person is determined as the status on which the person spent relatively long time (major time criterion) during the 365 days preceding the date of survey. Such persons may have also pursued, in addition to his/her usual principal status, some economic activity **for 30 days or more** during the reference period of 365 days preceding the date of survey. The status in which such economic activity is pursued during the reference period of 365 days preceding the date of survey is the subsidiary economic activity status of the person. In case of multiple subsidiary economic activities, the major activity and status based on the 'relatively long time spent' criterion will be considered. It may be noted that engagement in work in subsidiary capacity may arise out of the two following situations:

(i) a person may be engaged for a relatively long period during the 365 days in an economic (a non-economic activity) and for a relatively small period, which is not less than 30 days, in another economic activity (any economic activity).

(ii) a person may be pursuing an economic activity (non-economic activity) almost throughout the year in the principal status and also simultaneously pursuing another economic activity (any economic activity) for relatively small period in a subsidiary capacity. In such cases, since both the activities are being pursued throughout the year and the duration of both the activities is more than 30 days, the activity which is being pursued for a relatively small period will be considered as his/ her subsidiary activity.

1.5.20 Current weekly activity status (CWS): The current weekly activity status of a person is the activity status obtaining for a person during a reference period of 7 days preceding the date of survey. It is decided **on the basis of a certain priority cum major time criterion**. According to the priority criterion, the status of 'working' gets priority over the status of 'not working but seeking or available for work', which in turn gets priority over the status of 'neither working nor available for work'. *A person is considered working (or employed) if he/ she worked for at least one hour on at least one day during the 7 days preceding the date of survey or if he/she had work for at least 1 hour on at least one day during the 7 days preceding the date of the survey but did not do the work.* A person is considered 'seeking or available for work (or unemployed)' if during the reference week no economic activity was pursued by the person but he/ she made efforts to get work or had been available for work for at least one hour on any day during the reference week. A person who had neither worked nor was available for work any time during the reference week, is considered to be engaged in non-economic activities (or not in labour force). Having decided the broad current weekly activity status of a person on the basis of 'priority' criterion, the detailed current weekly activity status is again decided **on the basis of 'major time' criterion if a person is pursuing multiple economic activities.**

1.5.21 Current daily activity status (CDS): The current daily activity status for a person is determined on the basis of his/ her activity status on each day of the reference week **using a priority-cum-major time criterion**. As mentioned earlier, according to the priority criterion, the

status of 'working' gets priority over the status of 'not working but seeking or available for work', which in turn gets priority over the status of 'neither working nor available for work'. The following points may be noted for determining the current daily status of a person:

- i) If on a day, a person '*had actually worked for 1 hour or more*' or '*had work for 1 hour or more but did not do the work*', he will be given work status code.
- ii) For each day at most two economic activities (work activities) will be recorded.
- iii) Economic activities will be differentiated at *status x 2-digit of NIC-2008*.
- iv) If a person was not engaged in 'work' even for 1 hour on a day, only one status code relevant for unemployment status or out of labour force status, as the case may be will be recorded using a priority-cum-major time criteria.

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

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

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

Sometimes, the Government may undertake various programmes, viz., Accelerated Rural Water Supply Programme (ARWSP), Rural Sanitation Programme (RSP), Drought Prone Areas Programme (DPAP), Desert Development Programme (DDP), Integrated Wastelands

Development Programme (IWDP), Pradhan Mantri Gram Sadak Yojana (PMGSY), etc. The main objective of such programmes is on infrastructure development rather than poverty alleviation and generation of employment. Moreover, these programmes are executed as projects through contractors. Employment generated through these programmes, which are executed through contractors, is also kept outside the domain of 'public works'. However, if similar activities relating to rural water supply, rural sanitation, desert development, wastelands development, etc. are undertaken by the State Governments or Local Bodies to provide wage employment and without employing any contractor for its execution, those are to be considered under 'public works'.

1.5.23 Hours actually worked: 'Hours actually worked' for a person will be obtained in the line of the concept of '*hours actually worked*' as defined by ILO in its 18th ICLS (International Conference of Labour Statisticians) and in consideration of the production boundary followed by NSSO to define the economic activities.

1.5.23.1 'Hours actually worked' by a person on a day is the total time spent by the person on that day towards production of all goods and services that are considered as economic activities. It will include (i) the hours spent directly on production activity, (ii) hours related to the production activity i.e., hours required to maintain, facilitate or enhance productive activities, (iii) hours accounted for unavoidable 'in-between time' in the course of production process when the person continues to be available for work such as work or machinery breakdown or accident or lack of supplies etc., (iv) hours allowed for short rest or refreshment. All other time that has not been involved for work, even if paid for, will be excluded. The production activity performed in any location (in the economic territory/ establishment, on the street, at home, elsewhere away from usual work location) will be considered for getting hours actually worked.

1.5.23.2 **Therefore**, hours actually worked *will include*

(1) hours spent directly on production:

(a) hours worked during normal periods of work;

(b) hours worked in addition to normal periods of work (such as overtime);

(2) hours related to the production activity:

(a) time spent at the place of work for preparation of the workplace, repairs and maintenance, preparation and cleaning of tools, and the preparation of receipts, time sheets and reports etc.,

(b) time spent for purchasing raw or basic materials or resale goods, transporting products to/from the market, source or home,

- (c) time spent for waiting for business, customers, patients, on-call duty,
 - (d) time spent for travelling between work locations, to reach field projects, fishing areas, assignments, conferences or to meet clients (such as door-to-door vending), patients,
 - (e) time spent for receiving training to acquire new skills or techniques and for upgrading or enhancement of skills for jobs in the economic unit, at or away from the work location,
- (3) Time spent at the place of work when persons cannot work for reasons such as lack of supply of work, breakdown of machinery or accidents, but continue to be available for work. This ‘in-between time’ is unavoidable or inherent to the job and involves temporary interruptions of a technical, material or economic nature.
- (4) Time spent for short periods of rest, relief or refreshment at the work place including tea, coffee etc.,

and will exclude

- (1) hours not worked, irrespective of payment, such as weekly holidays, annual leave, public holidays, sick leave, parental (maternity/paternity) leave, other leave for personal or family reasons, etc.,
- (2) time spent on travel from home to work and vice versa,
- (3) time spent for longer breaks such as meal breaks when no productive activity is performed, even when paid by the employer,
- (4) time spent in educational activity not intended for the economic unit even when authorized, paid or provided by the employer

1.5.23.3 Determination of hours actually worked for self-employed persons in some specific cases: It may be noted that many of the self-employed persons have atypical ways of working, for example those engaged in agricultural activities, fisheries or a shop owner. For collecting information on hours actually worked by the self-employed persons, following points are relevant:

- (a) For determination of the actual hours of work for these categories of workers, the basic criterion to be followed is whether they are available for the work to be performed. The availability criterion is to be judged by considering whether they are ready to receive order or attend to clients or to perform the economic activities.
- (b) However, period of absence from work has to be excluded. Absence from work may be due to illness, occupational injury, leave or care for dependants (including the

elderly) and other types of absence due to personal reasons. Besides, periods of absence affecting or stemming from the economic unit, workplace or establishment for technical or economic reasons, strike activity, by bad weather, will also be excluded. The absence from work may be due to economic reasons such as reduction in activity.

- (c) When the economic activity in which the person was engaged did not require actual working for production purpose, such periods will be excluded from the count of hours actually worked.
- (d) Thus, the period during which the self-employed persons were actually absent from work has to be excluded from the calculation of hours actually worked. This is illustrated by the fact that due to the continued existence of the enterprise in which one is engaged one may be classified as self-employed person but the economic activity may not require actual performance of work.

1.5.24 Hours would have worked: The 'hours would have worked' will correspond to the hours the person would have worked had he worked in the economic activity from which the person is temporarily off.

Example: A person engaged in regular salaried/wage employment, has taken a day off to attend some social function. Thus, 'hours actually worked' for that day is 0 (zero). But 'hours would have worked' is the total hours that the person would have worked on that day if he did not take the day off.

1.5.25 Earnings of the regular salaried/wage employees and casual labours: For collecting information on earning of 'regular salaried/wage employees' and 'casual labours', following points are to be taken into consideration:

- (a) Earnings of the regular salaried/wage employees and casual labours relates to remuneration in cash and in kind which are paid, as a rule at regular intervals, for time worked (including overtime payments) or work done together with remuneration for time not worked, such as for annual vacation, other paid leave or holidays.
- (b) It relates to employees' gross remuneration, i.e. the total before any deductions are made by the employer in respect of taxes, contributions of employees to social security and pension schemes, life insurance premiums and other obligations of employees.
- (c) Earnings exclude employers' contributions paid to social security and pension schemes in respect of their employees and also the benefits received by employees under these schemes.

- (d) Earnings also exclude severance and termination pay.
- (e) The wages in kind are to be evaluated at the respective current retail price.
- (f) Bonus (expected or paid) will be duly apportioned for the reference period for inclusion in earnings.

1.5.26 Gross earnings of self-employed persons: The gross earnings of the self-employed persons during a reference period will be derived by the procedure stated below:

- (a) Gross earnings of the self-employed persons during a reference period will be obtained by deducting total expenses from the gross output of that period.
- (b) The gross output corresponds to the sum of the values of all goods and services produced during the reference period, including any part which has been retained for own consumption or given free of charge or at reduced prices to hired labour.
- (c) The valuation of output will be made at basic price. The basic price is defined as the amount receivable by the producer from the purchaser for a unit of good or service produced as output minus any tax payable on product (like, excise duties, sales tax, non-deductable vat etc.) plus any subsidy receivable on the product for selling those to the ultimate consumer at lesser price.
- (d) Total expenses include (i) current expenses of the enterprise, such as purchase of raw materials, tools and equipment, fuel, electricity, etc., (ii) payments to hired labour, (iii) rent paid for fixed capital items and interest payments on financial assets, (iv) taxes on production (like, recurrent taxes on land & buildings, business or professional licence fees, road tax, registration fee of vehicles etc.) paid by the enterprise, reduced by subsidies received on production (like, employing physically challenged persons, installing pollution control equipment etc.).
- (e) Thus, gross earning = gross output – Total expenses
- (f) If the owners of the enterprise are from the same household, earning will be judged by considering equal distribution of income among all the owners. If the owners of the enterprise are from the different households, earning from the partnership business will be distributed, according to the agreement (verbal or written), among the partner households.
- (g) For helpers in household enterprises, gross earnings will be considered as zero (0).

1.5.26.1 Some specific cases of valuation of the gross output:

1. *Agriculture, forestry and fishing*: The measurement of the output of agriculture, forestry and fishing is complicated by the fact that the process of production may extend over many months, or even years. Many agricultural crops are annual with most costs incurred at the beginning of the season when the crop is sown and again at the end when it is harvested. However, immature crops have a value depending on their closeness to harvest. The value of the crop has to be spread over the year and treated as work-in-progress. In such cases, the output is to be distributed over the entire production process based on past experience.
2. *Machinery, equipment and construction*: The production of goods such as heavy machinery, buildings and other structures may take several months or years to complete. The output from such production must usually be measured by work-in-progress and cannot be recorded simply at the moment in time when the process of production is completed. The value of the output of the finished product will be distributed over the entire period in which it was produced in proportion to the costs incurred in each period
3. *Transportation and storage*: The output is measured by the value of the amounts receivable for transporting goods or persons and for providing storage services.
4. *Wholesale and retail distribution*: Wholesalers and retailers are treated as supplying services to their customers by storing and displaying a selection of goods in convenient locations and making them easily available for customers to buy. Their output is measured by the total value of the trade margins realized on the goods they purchase for resale.
5. *Financial services other than those associated with insurance and pension funds*: This is mainly the amount received as interests, dividends, brokerage and commission, etc. by the enterprise.
6. *Research and Development*: It is to be calculated as total production costs including the costs of fixed assets used in production.

1.5.27 Vocational/technical training:

1.5.27.1 **Vocational/ Technical Training**: A vocational/ technical training may broadly be defined as training through which knowledge and skills for the world of work is acquired. The main objective of vocational/ technical education and training is to make individuals employable

for a broad range of occupations in various industries and other economic sectors. There are three methods of acquiring Vocational/ Technical training:

1.5.27.2 Formal Training: The training that is acquired through institutions/ organisations and is recognised by national certifying bodies, leading to diplomas/ certificates and qualifications. Formal training is structured according to educational arrangements such as curricula, qualifications, teaching/ learning requirements and assessment. Formal training is intentional from the learner's perspective.

1.5.27.3 Non- formal Training: The training that is in addition or alternative to formal learning and is also structured but is more flexible. It is provided through community-based settings, the workplace, or through the activities of civil society organizations or any organisation imparting training. This training mode does not have the level of curriculum, syllabus or accreditation and certification associated with formal learning but it is more structured as compared to informal learning.

1.5.27.4 Informal Training: The training that occurs in daily life, in the family, in the workplace, in communities, and through the interests and activities of individuals. It is not structured (in terms of learning objectives, learning time or learning support) and typically does not lead to certification.

1.5.27.5 Vocational/technical training other than formal vocational/technical training

(a) **Hereditary:** The expertise in a vocation or trade is sometimes acquired by the succeeding generations from the other members of the households, generally the ancestors. The expertise gained through significant 'hands-on' experience enables the individual to take up activities in self-employment capacity or makes them employable. Acquiring such marketable expertise by one, which enables him/her to carry out the trade or occupation of their ancestors over generations, may be considered to be training through 'hereditary' sources.

(b) **Self-learning:** The expertise in a vocation or trade when acquired by a person through his/her own effort, without any training under any person or organisation, may be considered as non-formal vocational training through 'self-learning'. For example, a person who has learnt photography on his own effort will be considered to have acquired the non-formal vocational training through 'self-learning'.

(c) **Learning on the job:** The expertise acquired by a person while in employment (current and/or past), either through informal training by the employer or organisation or through the exposure to the type of job that he/she is/was performing, may be considered as the training through 'learning on the job'. Note that if a person is provided with formal training in a vocation

or trade even by the employer or organisation, while in employment, he will be considered to have received 'formal' vocational/technical training.

(d) **Other:** The 'other' sources include the cases where the expertise for a vocation or trade has been developed even from the household members or ancestors, provided that the said vocation or trade is different from the one relating to their ancestors. Similarly, a person may learn tailoring work from a master tailor or a person may learn book-binding work from a printing press. All such expertise acquired will be considered as vocational/technical training through 'other' sources.

1.5.28 Definitions of various types of enterprises:

(i) **Proprietary:** When an individual is the sole owner of an enterprise it is a proprietary enterprise. Own account production of fixed assets for own use, when produced by a single member, will be classified as proprietary enterprise.

(ii) **Partnership:** Partnership is defined as the 'relation between persons who have agreed to share the profits of a business carried on by all or any one of them acting for all'. There may be two or more owners, belonging to the same or different households, on a partnership basis, with or without formal registration (where there is a tacit understanding about the distribution of profit among the so-called partners). Own account production of fixed assets, when produced by two or more members belonging to the same or different households will be classified as partnership enterprises. Thus, own account production of fixed assets by a group of households for community use will be classified as partnership enterprise.

(iii) **Government/Local Body:** Government/local body will include Government administrative departments of both the Central and State Governments, local bodies of rural and urban areas and Departmental Enterprises like Indian Railways, Department of Post, etc.

(iv) **Public Sector Enterprises:** Public Sector Enterprises will include government companies and subsidiaries of government companies and statutory corporations set up under special enactments of Parliament or State Legislatures. Some of these are Damodar Valley Corporation, Food Corporation of India, Airports Authority of India, Road Transport Corporations, Warehousing Corporations, Electricity Boards, etc. Some of the financial enterprises will include the nationalised banks, Central and State financial corporations, LIC, GIC, Employees State Insurance Corporation (ESIC), etc. The non-financial public sector enterprises consist of all the undertakings/ enterprises of central, state, union territory governments and local authorities under the industry groups agriculture, forestry and logging, fishing, mining, manufacturing, electricity and gas, road, air and water transport including port trusts, storage and warehousing, trade, hotels & restaurants and other services.

(v) **Autonomous Bodies:** Autonomous Bodies are mostly set up by an Act of Parliament/Assembly or registered under Societies Registration Act. However, they are separate from Government Administrative Departments as they enjoy certain degree of autonomy in their day to day functioning. They receive grants from Government in addition to their own resources. Further, these are engaged in non-market production. Some of the autonomous bodies are: All India Institute of Medical Sciences, Indian Institute of Technology, Indian Statistical Institute, Housing Boards, Development Boards, Pollution Control Boards etc.

(vi) **Public Limited Company:** A public limited company is defined as a company that is not a private company. As such public companies can have an unlimited number of members and can invite the public to subscribe to its shares and debentures. The minimum number of members required to form a public limited company is seven.

(vii) **Private Limited Company:** Private limited company means a company which by its articles:

- (a) restricts the right to transfer its shares, if any,
- (b) limits the number of its members to fifty not including-
 - (i) persons who are in the employment of the company, and
 - (ii) persons who, having been formerly in the employment of the company, were members of the company while in that employment and have continued to be members after the employment ceased; and
- (c) prohibits any invitation to the public to subscribe for any share in, or debentures of, the company.

[Where two or more persons hold jointly one or more shares in a company, they shall, for the purpose of this definition, be treated as a single member.]

(viii) **Co-operative Societies:** Co-operative society is one that is formed through the co-operation of a number of persons, recognised as members of the society, to benefit themselves. In the process, the funds are raised by member's contributions/investments and the profits generated out of the society's activities are shared by the members. The government itself in a government agency can also be a member or shareholder of a registered co-operative society but this fact cannot render the society into a public sector enterprise for the purpose of this survey.

(ix) **Trust:** An arrangement through which one set of people, the trustees, are the legal owners of property which is administered in the interest of another set, the beneficiaries. Trusts may be set up to provide support for individuals or families, to provide pensions, to run charities, to liquidate the property of the bankrupts for the benefit of their creditors, or for the safe keeping of securities bought by trusts with their investor's money. The assets, which trusts hold are regulated by law, must be administered in the interests of the beneficiaries, and not for the profit of the trustees.

(x) ***Non-Profit Institutions (NPI)***: NPIs are legal or social entities created for the purpose of producing goods and services whose status does not permit them to be a source of income, profit or other financial gain for the units that establish, control or finance them. In practice, their productive activities are bound to generate either surpluses or deficits but any surpluses they happen to make cannot be appropriated by other institutional units. The articles of association by which they are established are drawn up in such a way that the institutional units which control or manage them are not entitled to a share in any profits or other income which they receive.

Table 1: allocation of sample villages and blocks for PLFS

| State/UT | number of sample villages/blocks | | |
|-------------------|----------------------------------|-------------|-------------|
| | total | rural | urban |
| (1) | (2) | (3) | (4) |
| ANDHRA PRADESH | 496 | 272 | 224 |
| ARUNACHAL PRADESH | 216 | 136 | 80 |
| ASSAM | 440 | 328 | 112 |
| BIHAR | 568 | 400 | 168 |
| CHHATTISGARH | 280 | 176 | 104 |
| GOA | 56 | 24 | 32 |
| GUJARAT | 440 | 208 | 232 |
| HARYANA | 328 | 168 | 160 |
| HIMACHAL PRADESH | 256 | 208 | 48 |
| JAMMU & KASHMIR | 424 | 240 | 184 |
| JHARKHAND | 344 | 208 | 136 |
| KARNATAKA | 520 | 224 | 296 |
| KERALA | 568 | 264 | 304 |
| MADHYA PRADESH | 584 | 336 | 248 |
| MAHARASHTRA | 1008 | 448 | 560 |
| MANIPUR | 320 | 160 | 160 |
| MEGHALAYA | 160 | 104 | 56 |
| MIZORAM | 192 | 64 | 128 |
| NAGALAND | 128 | 72 | 56 |
| ODISHA | 496 | 360 | 136 |
| PUNJAB | 400 | 192 | 208 |
| RAJASTHAN | 528 | 312 | 216 |
| SIKKIM | 96 | 56 | 40 |
| TAMIL NADU | 832 | 392 | 440 |
| TELANGANA | 360 | 160 | 200 |
| TRIPURA | 232 | 152 | 80 |
| UTTAR PRADESH | 1136 | 728 | 408 |
| UTTARAKHAND | 216 | 120 | 96 |
| WEST BENGAL | 800 | 424 | 376 |
| A & N ISLANDS | 64 | 32 | 32 |
| CHANDIGARH | 48 | 8 | 40 |
| D & N HAVELI | 24 | 8 | 16 |
| DAMAN & DIU | 16 | 8 | 8 |
| DELHI | 128 | 8 | 120 |
| LAKSHADWEEP | 24 | 8 | 16 |
| PUDUCHERRY | 72 | 16 | 56 |
| ALL- INDIA | 12800 | 7024 | 5776 |

Note: Minor changes in allocations may be necessary at the time of actual sample selection work.

Chapter Two

Schedule 0.0PL: List of Households

2.0.0 Introduction: Schedule 0.0PL is meant for listing all the houses and households residing in the sample first stage unit (FSU) or sample hamlet-groups/sub-blocks in the case of large FSUs. Some household information like household size, number of members in the household who completed secondary education or above, etc. will also be collected in this schedule. This auxiliary information will be used for grouping the households into different second-stage-strata (SSS). The sampling frames for selection of households will be prepared and details of the selection of sample households will be recorded in this schedule. Wherever hamlet-groups (hg's)/sub-blocks (sb's) are required to be formed, particulars relating to the formation and selection of hg's/sb's are also to be recorded in this schedule. Concepts and definitions of various terms have been given in Chapter One.

2.0.1 According to the scheme of rotation for the periodic labour force survey (PLFS) all urban FSUs will be visited four times and rural FSUs only once. Identification of FSU boundary, sub-block formation, listing of households, formation of SSS, allocation of sample households, substitution of households, etc. will be done only once in a selected urban FSU when it is visited on the first occasion. In the case of urban FSUs, when visited in the subsequent quarter(s), these operations need not be repeated. **All efforts may be made to maintain a gap of three months between two successive visits of the same urban FSU.**

2.0.2 Structure of the schedule: The Schedule 0.0PL contains the following blocks:

- Block 0: descriptive identification of sample FSU
- Block 1: identification of sample FSU
- Block 2: particulars of field operation
- Block 3: sketch map of hamlet-group (hg)/sub-block (sb) formation
- Block 4.1: list of hamlets (only for *rural* samples with hg formation)
- Block 4.2: list and selection of hamlet-groups (hgs)/sub-blocks (sbs)
- Block 5: list of households and record of selection for households (hg/sb 1/2)
- Block 6: particulars of sampling of households
- Block 6A: particulars of sampled households
- Block 7: remarks by investigators (FI)
- Block 8: comments by supervisory officer(s)

2.0.3 Unit of survey and sampling frame: The first stage unit (FSU) is the 2011 census village in the rural sector. In the case of Kerala, Panchayat Wards will be FSUs in rural sector. FSU in the urban sector is the Urban Frame Survey (UFS) block. *Latest list of UFS blocks, as available, will be used for selection of urban samples.* The investigator, on arrival at a sample FSU, will ascertain the exact boundaries of it. This may be done with the help of the village officials like patwari, panchayat authorities etc. for rural areas and with the help of UFS maps/ ward maps/ town maps in the urban areas.

With a view to control the workload mainly at the stage of listing of households, hamlet-group formation will be resorted to in the large villages. A large village will be divided into a certain number (D) of subdivisions called hamlet-groups (hgs). The number of hgs to be formed (i.e. the value of D) will depend on the *approximate present population* of the sample village. The criterion for deciding the number of hgs to be formed in a large village has been discussed in details in Chapter one.

For large sample village, two hgs will be selected. Out of all hgs formed in the village, the one with the highest percentage share of population will be selected with probability 1. In case there is more than one hg with same highest percentage share of population, the one among them which is listed first in Block 4.2 will be selected with probability 1. The hg selected with certainty will be designated as hg '1'. Another hg will be selected randomly (Simple Random Sampling) from the rest of hg's of the village and designated as hg '2'. *Listing and selection of households will be done separately for each selected hamlet-group.* For the sample village without hg formation, entire village will be treated as *hamlet-group 1*.

The procedure for listing hamlets and forming hamlet-groups is outlined below.

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

- (i) Identify the hamlets as described above.
- (ii) Ascertain approximate present population of each hamlet.
- (iii) Draw a notional map in block 3 showing the location of the hamlets and number them in a serpentine order starting from the northwest corner and proceeding southwards. While drawing this map, uninhabited area (non-abadi area) of the village will be included as part of nearby hamlet, so that no area of the village is left out. The boundaries of the hamlets may be defined with the help of some landmarks like canals, footpaths, railway lines, roads, cadastral survey plot numbers etc., so that it would be possible to identify and locate the geographical boundaries of the hamlet-groups to be formed in the village.
- (iv) List the hamlets in Block 4.1 in the order of their numbering. Indicate the present population content in terms of percentages.

- (v) Group the hamlets into D hamlet-groups. *The criteria* to be adopted for hamlet-group formation are *equality of population content and geographical contiguity* (numbering of hamlets is not to be adopted as a guideline for grouping). *In case there is a conflict* between the two aspects, *geographical contiguity is to be given priority*. However, there should not be substantial difference between the population of the smallest and the largest hamlet-group formed. Indicate the grouping in the map.
- (vi) Number the hamlet-groups serially in column (1) of Block 4.2. The hamlet-group containing hamlet number 1 will be numbered as 1, the hamlet-group with next higher hamlet number not included in hg 1 will be numbered as 2 and so on. Indicate the numbers also in the notional map. It is quite possible that a hamlet-group may not be constituted of hamlets with consecutive serial numbers.

2.0.5 Formation of sub-blocks (sbs): In the case of urban sample FSUs i.e. UFS blocks are found to be large in terms of population, they are subjected to sub-block formation. Procedure for formation of sub-blocks is the same as that for the formation of hamlet-groups in the case of large villages. Here the sub-blocks are to be formed artificially by dividing the FSU into a certain number (say, D) of sub-divisions *by more or less equalizing the population giving priority to geographical compactness* within each sub-block as per the criterion specified in Chapter One. The number of sbs to be formed (i.e. the value of D) will be determined according to the same criteria as adopted in the case of rural FSUs. Sub-blocks will be numbered serially in column (1) of Block 4.2.

As in the case of villages, for large sample FSUs, two sub-blocks will be selected. The procedure of selection will be same as that described for villages with hg formation – one with probability 1 and the other with SRS from the remaining sub-blocks. *Listing and selection of households will be done separately and independently for each selected sub-block*. For any urban sample FSU without sub-block formation, entire FSU will be treated as *sub-block 1*.

2.0.6 Starting point for listing: Having determined the area unit to be surveyed, the field investigator will proceed to list the houses and households in the area unit. The listing may be done in the same order as that of the 2011 Census order of house listing. If the census order of house listing is not available, the listing may be started from the northwest corner of the FSU and proceeding southwards in serpentine order. While listing the households, some essential minimum particulars about the households will be collected for the purpose of formation of second stage strata.

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

2.0.8 The procedures to be followed for filling up the various blocks of the Schedule 0.0PL are described in the following paragraphs. Before filling in blocks, it is necessary to put tick-marks in the appropriate boxes at left hand top corner of the first page of the schedule.

Block 0: Descriptive identification of sample FSU

2.0.9 General: This block is meant for recording descriptive identification particulars of the sample village/block. State/ UT, district, sub-district/ tehsil/ town name (to be tick-marked appropriately), village name, investigator unit no., block no. are to be copied properly from the sample list in the appropriate places. A dash (-) may be recorded against not applicable items (e.g., item 4 i.e. village name is not applicable for urban sample and items 5 & 6 i.e. investigator unit and block are not applicable for rural sample).

Block 1: Identification of sample FSU

2.1.0 General: This block is meant for recording the identification particulars of the sample FSU in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for item 2, the code of which is already printed). For multiple cells, the rightmost cell shall be used for recording the digit of the unit place, the next left cell for the tenth place digit and so on. *Items 1, 3 to 9 and 11 – 12 shall be copied from the sample list.*

2.1.1 Item 6: sub-stratum (for rural FSUs only): This item will be filled in for rural samples only and a dash (-) may be recorded for urban samples. The sub-stratum number for villages may be copied from the sample list.

2.1.2 Item 7: quarter and year of selection: The quarter and the year to which the sample FSU is allotted will be copied from the sample list. Quarter number (1, 2, 3, ..., 8) will be recorded in the first left hand cell below the cell heading 'Q' and the year will be recorded in the next four cells below the cell heading 'year'.

2.1.3 Item 8: panel (for urban FSUs only): The panel number of the sample FSU will be copied here from the sample list for urban samples only. The panel number (1, 2, 3, 4, 5, 6, 7, 8) will be recorded in the rightmost cell and the year of the two-year period of rotation (1 or 2 or 3 ...) will be recorded in the leftmost cell. Example: *Panel number P₁₆ corresponds to the sixth panel of the first two year period of rotation. Hence entry for item 9 will be '1' in the leftmost cell (to denote the number of the two-year period of rotation) and '6' in the rightmost cell (to indicate the quarter number).*

2.1.4 Item 10: FOD sub-region: The four-digit code corresponding to the FOD sub-region to which the sample FSU belongs will be recorded against item 10.

2.1.5 Item 11: frame code: The different types of frames used for selection of FSUs are indicated by 'frame code' available in the sample list. *Entry against item 11 shall be copied from the sample list.* The frame codes to be used are:

Rural: 2011 Census – 16

Urban: 2007-12 UFS – 15, 2012-17 UFS – 17

2.1.6 Item 12: frame population/households: The population or the number of households of the sample FSU as given in the sample list will be copied here. For UFS blocks, the number of households in the UFS block as per the latest UFS frame will be recorded.

2.1.7 Item 13: approximate present population: The investigator will first ascertain the approximate present population of the entire sample FSU taking into consideration the normal growth of population along with any abnormal influx of population into or exodus of population from the sample FSU. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions. In case, this population appears to be doubtful, it may be cross verified. *In case of any increase or decrease of population, adequate remarks for such differences should be given in block 7/ 8.*

2.1.8 Item 14: total number of hg's/ sb's formed (D): The total number of hg's/ sb's formed in the sample FSU will be the value of 'D' as recorded in Block 4.2. If the sample FSU does not require any hg/ sb formation, the entry against this item will be '1'.

2.1.9 Item 15: survey code: The different survey codes are:

selected FSU has been surveyed:

| | |
|-------------------|---|
| inhabited | 1 |
| uninhabited | 2 |
| zero case | 3 |

selected FSU is casualty but a substitute FSU has been surveyed:

| | |
|-------------------|---|
| inhabited | 4 |
| uninhabited | 5 |
| zero case | 6 |

selected FSU is casualty and no substitute has been surveyed 7

Some examples of zero cases are: FSUs comprising wholly the barracks of military and paramilitary forces (like CRPF, BSF etc.), FSUs wholly submerged under water in a dam or FSUs with the whole population evicted because of acquisition of land to construct a new factory or other project work etc. with no chance of habitation in future. As against this, the FSU whose entire population has shifted elsewhere due to some natural calamities like fire, cyclone etc., but is likely to return in the future, will be considered as uninhabited FSU and will be given code 2 or 5 as the case might be. If the substitute FSU cannot be surveyed, survey code will be 7.

2.1.10 Item 16: reason code for substitution of original sample (for codes 4 – 7 in item 15): In all the cases where the *originally* selected sample FSU is a casualty irrespective of whether it has been substituted and subsequently surveyed or not surveyed (i.e. for codes 4 to 7 against item 15), the reason for its becoming a casualty will be recorded in terms of code against item 16. The codes are:

Original sample FSU:

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

A ‘-’ may be put against this item if the entry against item 15 is 1 or 2 or 3. *Cases of FSUs comprising wholly the barracks of military and paramilitary forces will not be considered as restricted area for providing code 3 against item 16. As stated earlier, such cases will be considered as surveyed and will be treated as zero cases.*

2.2 Block 2: particulars of field operations: The details of field operations will be recorded in this block. Against serial number 1, names of the field investigator (FI)/ Field Officer (FO)/ Senior Statistical Officer (SSO), codes (permanent employee code in case of regular employees and temporary codes, if available, for other staff) and signatures will be recorded. In the serial number (4), total time taken to canvass the schedule by the team of investigators will be recorded. Time taken by the **team jointly** may be reported in hours after rounding off to whole numbers. While recording the total time taken to canvass (i.e. column 3, srl. no. 4 of this block), it may be noted that the time taken to reach the sample FSU and return back should not be considered for filling in this item. In other words, total time spent in identification of the boundaries of the sample FSU, hamlet-group/ sub-block formation, listing of households, formation of second-stage strata, selection of households and filling in all other blocks of this schedule may be recorded in hours. In serial number 5, number of investigators in the team will be recorded in column (3). All other items are self-explanatory.

For recording the entry in column (3) and (4) corresponding to serial number 2 (i) and (ii), following procedure may be adopted. For entering date of commencement of survey/ inspection the date when commencement of identification of village/block was started will be recorded. But while entering date of completion of survey/ inspection, the date when completion of listing and selection of households was done will be recorded. However for recording the date for completion, the minor part relating to columns (8) to (10) of Block 6 may be ignored.

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

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

2.4 Block 4.1: list of hamlets (only for rural samples with hg formation)

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

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

2.5 Block 4.2: list and selection of hamlet-groups (hgs)/ sub-blocks (sbs)

2.5.0 **General:** This block is meant for recording the details of the hg/ sb formation and their selection for FSUs requiring hg/ sb formation (i.e. with $D > 1$). Reference may be made to paragraphs 2.0.3, 2.0.4 and 2.0.5 for the procedures of formation and numbering of hgs/ sbs.

2.5.1 **Column (1): serial no. of hg/ sb:** The hgs/ sbs formed will be given a running serial number (starting from 1) in column (1) as per the guidelines given in paragraphs 2.0.3, 2.0.4 and 2.0.5. The last serial number in this column will be the value of 'D' which is to be recorded against 'D' below the block heading.

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

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

2.5.4 **Column (4): sampling serial number of the hg/ sb:** First locate the hg/ sb with maximum percentage of population in column (3) and enter '0' against this hg/ sb in column (4). If the percentage population in column (3) is same for more than one hg/ sb, the one among them listed first in this block may be assigned '0' in this column. Then, other listed hgs/ sbs may be serially numbered from 1 to $(D - 1)$ in this column starting from the top. These will be the sampling serial numbers for selecting another hg/ sb.

2.5.5 **Column (5): sample hg/ sb number:** Two hgs/ sbs will be selected from the large FSU for the purpose of survey. Enter '1' in this column against the sampling serial number '0' in column (4). This will be sample hg/ sb 1. The procedure for selecting sample hg/ sb 2 is as follows:

Draw a random number, say R, between 1 and $(D - 1)$ using random number table. Enter 2 in column (5) against the sampling serial number in column (4) which equals R.

The selected serial numbers may be encircled in column (4). For all other hgs/ sbs (except the two selected), column (5) will be left blank.

2.6 Block 5: list of households and record of selection of households (hg/sb 1/ 2)

2.6.0.1 In this block, details are to be recorded separately for each selected hg/ sb. When there is no hg/ sb formation in the FSU, the hg/ sb number will be '1'.

2.6.0.2 This is the main block of the schedule. Listing of all houses and households along with collection of a few particulars for identification, preparation of sampling frame, formation of second stage strata and selection of sample households for Schedule 10.4 are to be carried out in this block.

2.6.0.3 It is essential to ensure that there is no omission or duplication of any house or household. A house to house enquiry will be made to list all the houses and households. *Households, which are found to be locked (including such households which are absent in the present place for a period of less than six months during last one year) at the time of listing, are also to be listed and included in the frame of households before sample selection.* After obtaining 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 investigators) and if required by revisiting the households during the survey period in the sample FSU. While listing a house the investigator shall find out how many households (including locked households) reside there and list all of them. After this, the investigator will proceed to list the next house. In order to ensure complete listing of houses/ households, it is better to follow some definite order for listing. The order followed in 2011 Population Census may be adopted, wherever possible, taking care that any house that has come up later is not omitted; otherwise, listing may be done in serpentine manner starting from the north-west corner and moving southwards. The names of any natural grouping of the houses like hamlet, street, mohalla, etc. and date of listing may be written at the top before the listing of houses starts. This will help in checking completeness.

2.6.0.4 If there is hg/sb formation in the FSU, listing of houses and households will be done for sample hg/sb 1 first. The serial number of sample hg/sb and the names of hamlets will be written before the listing of households starts. After completing the listing of houses/households of each hamlet of the sample hg, one line will be left blank. On completion of the job for sample hg/sb 1, listing for sample hg/sb 2, if formed in the FSU, will be taken up in a separate page of Block 5.

First tick-mark the appropriate hg/ sb number (1 or 2) in the headings of the Block 5 correctly and strike out the one which is not applicable.

Various columns of Block 5 are described below:

2.6.1 Column (1): house number: All houses including vacant ones shall be listed by giving a house number. The 2011 Population Census house number or the number given by the municipality or other local bodies, may be used if available. The houses without such numbers will be given a separate running serial number starting from 1 within brackets. Wherever house numbers are available, even if not for all the houses, the actual house numbers shall be recorded without any brackets. After listing all the households 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, vacant structure, etc. For family living under a tree or bridge etc. (i.e. without any house), a ‘-’ may be put in this column.

2.6.2 Column (2): household serial number: The household(s) normally residing in the house or in a fixed location (e.g. under a tree/ bridge/ open space etc.) listed in column (1) will be numbered in column (2). 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. All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. Continuous serial number starting from 1 will be given in column (2) for each of the sample hg/ sb 1 & 2 separately. This column will be left blank for the lines meant for vacant houses, non-residential buildings, etc.

2.6.3 Column (3): name of head of household: For a household having serial number in column (2), the name of the head of the household shall be recorded here.

2.6.4 Column (4): household size: The size of each household as defined in Chapter One will be recorded in this column. Two small box spaces are provided against this column at the end of each page to record the current page total for this column and the cumulative total for the pages.

2.6.5 Columns (5): number of members in the household having level of general education as secondary (10th standard) or above: It will be enquired how many members in the household have completed level of general education secondary or above i.e. 10th standard or more. The general educational levels completed by each of the household members will be taken into consideration for filling in this column.

2.6.6 For rural only: Columns (6) – (11): sampling serial number and sample household number for Schedule 10.4:

2.6.6.1 Columns (6) – (8): sampling serial number: SSS: If the entry in col. (5) is 2 or more, tick-mark () will be given in column (6). For entry 1 in col. (5), tick-mark () will be given in column (7) and if entry is 0 in col. (5), tick-mark () will be given in column (8). For locked household, tick-mark () may be given in column (8).

Then all the tick-marks will be given running serial numbers from the top starting from 1 in each column independently. These will be the sampling serial numbers for SSS 1, 2, and 3 respectively. The highest serial numbers in each of these columns will be the value of ‘H’ for the respective SSS. This value will be recorded against ‘H’ in the space provided in the column headings.

2.6.6.2 Columns (9) – (11): sample household number: SSS: Required number of sample households (h) will be drawn from each hg/sb × SSS by SRSWOR. The values of ‘h’ are to be recorded in the space under the column headings. For selecting the sample households of any particular hg/sb × SSS by SRSWOR, the following procedure will be followed. Suppose ‘H’ denotes the total number of households

in the frame [i.e. the highest entry in column (6)/ (7)/ (8)] and ‘h’ the number of households to be selected. If $H = h$, all the households will be selected and no random number needs to be drawn. Otherwise, first draw a random number, say R_1 , between 1 and H . Next, draw another random number, say, R_2 , also between 1 and H . If $R_2 = R_1$, then reject R_2 and draw a fresh R_2 . Continue this way till requisite number of distinct R 's [i.e. R_1, R_2, \dots, R_h] have been drawn. Then the households with sampling serial numbers R_1, R_2, \dots, R_h [in column (6)/ (7)/ (8)] will be the selected households and be given sample household numbers as 1, 2,....., h respectively in columns (9)/ (10)/ (11). Encircle the corresponding sampling serial numbers in columns (6)/ (7)/ (8).

2.6.7 For urban only: Columns (12) – (19): sampling serial number and sample household number for Schedule 10.4:

2.6.7.1 Columns (12) – (15): sampling serial number: SSS: If the entry in col. (5) is 3 or more, tick-mark () will be given in column (12). For entry 2 in col. (5), tick-mark () will be given in column (13) and column (14) will be tick-marked for entry 1 in col. (5). If entry is 0 in col. (5), tick-mark () will be given in column (15). For locked household, tick-mark () may be given in column (15).

Then all the tick-marks will be given running serial numbers from the top starting from 1 in each column independently. These will be the sampling serial numbers for SSS 1, 2, 3 and 4 respectively. The highest serial numbers in each of these columns will be the value of ‘H’ for the respective SSS. This value will be recorded against ‘H’ in the space provided in the column headings.

2.6.7.2 Columns (16) – (19): sample household number: SSS: Required number of sample households (h) will be drawn from each hg/sb \times SSS by SRSWOR. The values of ‘h’ are to be recorded in the space under the column headings. For selecting the sample households of any particular hg/sb \times SSS by SRSWOR, the following procedure will be followed. Suppose ‘H’ denotes the total number of households in the frame [i.e. the highest entry in column (12)/ (13)/ (14)/ (15)] and ‘h’ the number of households to be selected. If $H = h$, all the households will be selected and no random number needs to be drawn. Otherwise, first draw a random number, say R_1 , between 1 and H . Next, draw another random number, say, R_2 , also between 1 and H . If $R_2 = R_1$, then reject R_2 and draw a fresh R_2 . Continue this way till requisite number of distinct R 's [i.e. R_1, R_2, \dots, R_h] have been drawn. Then the households with sampling serial numbers R_1, R_2, \dots, R_h [in column (12)/ (13)/ (14)/ (15)] will be the selected households and be given sample household numbers as 1, 2,....., h respectively in columns (16)/ (17)/ (18)/ (19). Encircle the corresponding sampling serial numbers in columns (12)/ (13)/ (14)/ (15).

2.7 Shortfall and compensation: Allocation of sample households for each SSS has been specified in Chapter one. However, there may be situation where number of households in the frame of an SSS is less than the required allocation leading to a shortfall. To maintain the total allocation of sample households at the specified level of 8, shortfall in required number of households in the frame of any second-stage stratum (SSS) will be compensated from other SSS. While making such compensation, the general principle will be to give priority to SSS 1 and then to the SSS 2 and then to SSS 3 and finally to SSS 4 (for urban only). The procedure of compensation may be implemented by following the steps described below.

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

step 2: In case of hg/sb formation, compensate from the same SSS of the other hg/sb, if available, for the SSS having shortfall. *Complete the step sequentially for all SSS of hg/sb 1 and thereafter for all the SSS of hg/sb 2.* If the shortfall still remains identify the SSS having shortfall and go to Step 3.

step 3: Find the SSS where additional households are available following the priority order of SSS 1, SSS 2, SSS 3, SSS 4 (for urban only) and compensate. The step may be repeated for **all** SSS having shortfall after step 2. First, SSSs of hg/sb 1 will be compensated and thereafter SSSs of hg/sb 2 will be completed sequentially.

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

| SSS having shortfall | priority order of SSS for compensation (for rural) |
|----------------------|---|
| 1 | 2,3 |
| 2 | 1,3 |
| 3 | 1,2 |

| SSS having shortfall | priority order of SSS for compensation (for urban) |
|----------------------|---|
| 1 | 2,3,4 |
| 2 | 1,3,4 |
| 3 | 1,2,4 |
| 4 | 1,2,3 |

To illustrate further, assuming shortfall occurs in SSS 2 of sb 2, details of steps 2 & 3 are given below.

step 2: Try to compensate from SSS 2 of sb 1. If the shortfall still remains,

step 3: try to compensate from SSS 1 of sb 2, failing which try from SSS 1 of sb 1. If the shortfall still remains then try from SSS 3 of sb 2, failing which try from SSS 3 of sb 1. If the shortfall still remains then try from SSS 4 of sb 2, failing which try from SSS 4 of sb 1.

The resulting number of households (h) for each SSS will be entered at the top of relevant column(s) of Block 5 and also in col.(6) against the relevant SSS × hg/sb number of Block 6 of Schedule 0.0PL.

Examples for compensation of shortfall (rural)

| Example 1 –FSU without hg formation | | | | | |
|-------------------------------------|----------------------------------|----|--------|------------------|---|
| SSS | no. of households to be surveyed | H | Step 1 | Step 3 | h |
| 1 | 2 | 0 | 0*(2) | C (SSS 2, SSS 3) | 0 |
| 2 | 4 | 5 | 4 | 1 | 5 |
| 3 | 2 | 58 | 2 | 1 | 3 |
| <i>total</i> | 8 | 63 | 6 | 2 | 8 |
| shortfall | | | 2 | 0 | × |

* indicates the SSS having shortfall (the number of shortfall);

C – indicates compensation made (SSS from which compensation is made)

| Example 2 –FSU with hg formation | | | | | | | | |
|----------------------------------|--------------|----------------------------------|-----|--------|-------------|---------------|--------------|---|
| hg | SSS | no. of households to be surveyed | H | Step 1 | Step 2 | Step1 + Step2 | Step 3 | h |
| 1 | 1 | 1 | 1 | 1 | | 1 | | 1 |
| | 2 | 2 | 0 | 0*(2) | C(SSS2,hg2) | 0 | | 0 |
| | 3 | 1 | 98 | 1 | | 1 | | 1 |
| | <i>total</i> | 4 | 99 | 2 | | 2 | | 2 |
| 2 | 1 | 1 | 0 | 0*(1) | | 0*(1) | C(SSS2, hg2) | 0 |
| | 2 | 2 | 5 | 2 | 2 | 4 | 1 | 5 |
| | 3 | 1 | 125 | 1 | | 1 | | 1 |
| | <i>total</i> | 4 | 130 | 3 | 2 | 5 | 1 | 6 |
| 1+2 | <i>total</i> | 8 | 229 | 5 | 2 | 7 | 1 | 8 |
| | shortfall | | | 3 | 1 | 1 | 0 | × |

* indicates the SSS having shortfall (the number of shortfall);
C – indicates compensation made (SSS from which compensation is made)

2.8 Block 6: particulars of sampling of households:

2.8.0 Particulars of sampling of households will be recorded in this block for each of the hg/sb 1 & 2 for Schedule 10.4. If there is no hg/sb formation, entry will be made against hg/sb 1 only.

2.8.1 **Column (3): population:** Population as obtained by summing up the page totals of household sizes in column (4) of block 5 over all the listed households may be recorded in this column separately for hg/sb 1 & 2 in appropriate places.

2.8.2 Columns (5) to (10): number of households: Total number of households in the frame of all the SSS will be recorded in the corresponding cells of column (5) for each hg/sb. These are to be copied from the columns (6), (7), and (8) of block 5, for rural FSUs and columns (12), (13), (14) and (15), for urban FSUs. Number of households selected for survey (h) as per columns (9), (10) and (11) (for rural FSUs) and columns (16), (17), (18) and (19) (for urban FSUs) will be recorded in column (6) for each hg/sb and SSS. Similarly, number of surveyed households which are originally selected and which are substituted may be recorded in columns (7) and (8) respectively. These can be ascertained only after canvassing of Schedules 10.4 and comparing the survey code recorded in block 1 of Schedule 10.4.

Column (9) is the number of households actually surveyed and is the sum of columns (7) and (8). Column (10) is the number of casualty households and is the difference of column (6) and column (9) for each row.

2.9 Block 6A: particulars of sampled households: In this block the particulars of only the sampled households will be recorded from Block 5.

2.9.1 Column (1): name of head of household: The name of the head of the selected household is to be copied from column (3) of Block 5.

2.9.2 Column (2): household serial number: The serial number of the selected household is to be copied from column (2) of Block 5.

2.9.3 Column (3): hg/sb number: The hg/sb number in which the selected household belongs to may be copied from the heading of Block 5.

2.9.4 Column (4): SSS: The second stage stratum number of the selected household can be copied from the headings of the columns (9), (10) or (11) of Block 5 for rural FSUs and columns (16), (17), (18) and (19) of Block 5 for urban FSUs. If the household is selected from column (9) or (16), entry against SSS will be '1'. Similarly for the households selected in columns (10) or (17), entries in this column will be '2', while for households selected in columns (11) or (18), entries will be '3' in this column. Finally for urban FSUs, if households are selected from column (19) of Block 5, entries in this column will be '4'.

2.9.5 Column (5): sample household number: The sample household number as recorded in columns (9) – (11) for rural FSUs and columns (16) – (19) for urban FSUs may be recorded against the selected household in this column.

2.9.6 Column (6): survey status: The appropriate survey status of the selected household is to be recorded here in this column from the entries in columns (9) – (11) of Block 5 for rural FSUs or from the entries in columns (16) – (19) of Block 5 for urban FSUs. The eligible codes are: originally selected – 1, substituted – 2 and casualty – 3.

2.10 **Block 7: remarks by investigators (FI):** The field investigator (FI) may give remarks here on any abnormal situation or entry in the schedule.

2.11 **Block 8: comments by supervisory officer(s):** The supervising officer inspecting the work relating to this schedule may give comments here.

2.12 **Substitution of sample households:** If a sample household cannot be surveyed due to some reason or the other, it will be substituted by the next one having higher sampling serial number (provided not already selected) of the same SSS. The substitute for the one having last sampling serial number of an SSS will be the one having smallest sampling serial number within the same SSS. If the substituted household becomes a casualty, *it will be substituted by another in the same manner. Substitution can be done even after second substituted household cannot be surveyed.*

It is to be noted that in the case of a substitution of a household, the word “SUBSTITUTED” should be written at the top of the front page of schedule. *It may please be noted that no household will be substituted during the re-visit.*

2.13 **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, where n is the last two digits of the serial number of the sample FSU. When $n = 00$, it will be taken as 100. The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digit random numbers may be used, as the cases may be, 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 for SSS. If the particular column of random numbers is exhausted in the process, next column may be used. Similarly, if all the columns of the random number table are exhausted, then the first column will be used.

2.14 Substitution of sample FSU:

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

The Deputy Director General (TC), DPD, NSSO,
Mahalanobis Bhavan,
164, Gopal Lal Tagore Road, Kolkata- 700108.
e-mail address: dpd_tc@yahoo.co.uk
fax: 033-25771025

A copy of the letter may be given to:

The Director (Coordination), SDRD, NSSO
 Mahalanobis Bhawan
 164, Gopal Lal Tagore Road, Kolkata- 700108.
 e-mail address: nss0.sdrd@gmail.com
 fax: 033-25776439

If the substituted FSU has same problem as the original, correspondences may be made immediately so that another substitute can be provided. In case no substitute FSU could be surveyed even with best efforts [i.e. code 7 in item 16, block 1], a blank schedule 0.0PL will be submitted with only blocks 0, 1, 6, 7 and 8 filled in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

No substitution of sample FSUs will be made during revisits.

(b) If a sample FSU is found to be depopulated at the time of survey, or its population has shifted elsewhere due to some natural calamity, or it is treated as a "zero-case", it will not be substituted. It will be treated as a valid sample and blank schedule 0.0 with only blocks 0, 1, 6, 7 and 8 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.

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

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

Case (a): without hamlet-group/sub-block formation: If repetition is in the *same quarter*, listing of households is to be done only once for all the repeated FSUs. In the case of first and subsequent repetitions, the listing schedule will be copied with the identification particulars changed to those of the serial number against which it is found repeated. The composition of SSS will remain same. The sample households will be selected afresh in each SSS. However, if any household already selected is selected again, it is to be substituted. If the required number of fresh households (i.e. not selected in the first occasion) is not available in the frame as a result of which some households are reselected in the second/ subsequent occasion, entries in various blocks for such household may be copied. If, however, repetition of the FSU takes place in a different quarter, it is to be surveyed just like a new sample with fresh listing and sample selection. However, if any household already selected is selected again, it is to be substituted. If the required number of fresh households (i.e. not selected in the first occasion) is not available in the frame, some households may be reselected in the second/ subsequent occasion.

Case (b): with hamlet-group/sub-block formation: The hamlet-groups/sub-blocks formed during the first occasion will be used for all subsequent repetitions. However, on the second and subsequent

occasions, the second hamlet-group/sub-block will be selected afresh. If any hamlet-group/sub-block is repeated, it will be substituted by a fresh non-selected hg/sb, if available. Of course, hg/sb '1' will remain the same. For the selection of households, the usual procedure as suggested in case (a) may be followed. In case sample households are repeated, they may be substituted maintaining the hg/sb and SSS compositions.

| An example showing selection of households in Block 5 for a rural FSU without hg formation | | | | | | | | | |
|--|-------------------------|----------------|--|-------------------------------|-----------------------|-----------------------|-------------------------|------|------|
| [5] list of households and record of selection for households (hg/sb 1 / 2) | | | | | | | | | |
| house number | household serial number | household size | rural only | sampling serial number | | | sample household number | | |
| | | | number of members in the household having level of general education as secondary (10 th standard) or above | SSS | | | Schedule 10.4 | | |
| | | | | SSS | | | SSS | | |
| | | | | 1 | 2 | 3 | 1 | 2 | 3 |
| | | | | 2 or more in col. (5) H=20 | 1 in col. (5) H=16 | 0 in col. (5) H=14 | h=2 | h=4 | h=2 |
| (1) | (2) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) |
| 12 | 1 | 3 | 2 | 1 | | | | | |
| 13/1 | 2 | 5 | 4 | (2) | | | 1 | | |
| 14 | 3 | 6 | 1 | | 1 | | | | |
| – | 4 | 1 | 0 | | | 1 | | | |
| 15B | 5 | 5 | 2 | 3 | | | | | |
| 9 | 6 | 2 | 0 | | | 2 | | | |
| 10 | 7 | 4 | 4 | 4 | | | | | |
| 16 | 8 | 6 | 1 | | 2 | | | | |
| 17 | 9 | 2 | 1 | | 3 | | | | |
| 18 | 10 | 3 | 0 | | | 3 | | | |
| 19 | 11 | 6 | 6 | 5 | | | | | |
| 20 | 12 | 5 | 2 | (6) | | | 2 | | |
| 21 | 13 | 3 | 1 | | (4) | | | 1 | |
| (1) | Temple | | | | | | | | |
| 22/3 | 14 | 4 | 0 | | | (4) | | | |
| 23 | 15 | 8 | 5 | 7 | | | | | |
| 24 | 16 | 4 | 1 | | 5 | | 2 | | |
| (2) | 17 | 3 | 1 | | 6 | | | | |
| 25 | 18 | 6 | 0 | | | 5 | | | |
| 26 | 19 | 5 | 3 | 8 | | | | | |
| 27 | 20 | 2 | 2 | 9 | | | | | |
| 28 | 21 | 3 | 1 | | 7 | | | | |
| 29 | 22 | 1 | 0 | | | 6 | | | 2 |
| 30 | 23 | 2 | 0 | | | 7 | | | |
| 31 | 24 | 5 | 3 | 10 | | | | | |
| (3) | 25 | 3 | 1 | | 8 | | | | |
| (4) | 26 | 4 | 3 | | 11 | | | | |

| | |
|------------|-----|
| page total | 101 |
| cum. total | 101 |

| random nos | | |
|------------|----|----|
| 2 | 4 | 12 |
| 6 | 12 | 6 |
| | 9 | |
| | 13 | |

| An example showing selection of households in Block 5 for a rural FSU without hg formation | | | | | | | | | |
|--|-------------------------|----------------|--|-------------------------------|-----------------------|-----------------------|-------------------------|------|------|
| [5] list of households and record of selection for households (hg/sb 1 / 2) | | | | | | | | | |
| house number | household serial number | household size | rural only | sampling serial number | | | sample household number | | |
| | | | number of members in the household having level of general education as secondary (10 th standard) or above | SSS | | | Schedule 10.4 | | |
| | | | | 1 | 2 | 3 | SSS | | |
| | | | | 2 or more in col. (5) H=20 | 1 in col. (5) H=16 | 0 in col. (5) H=14 | 1 | 2 | 3 |
| | | | | h=2 | h=4 | h=2 | | | |
| (1) | (2) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) |
| 32 | 27 | 3 | 3 | 12 | | | | | |
| 33 | 28 | 5 | 1 | | (9) | | | 3 | |
| 34 | 29 | 6 | 0 | | | 8 | | | |
| 35 | 30 | 2 | 0 | | | 9 | | | |
| 35A/1 | 31 | 4 | 4 | 13 | | | | | |
| 35A/2 | 32 | 3 | 1 | | 10 | | | | |
| 35A/2 | 33 | 3 | 2 | 14 | | | | | |
| 35A/3 | 34 | 5 | 2 | 15 | | | | | |
| 36A | 35 | 3 | 1 | | 11 | | | | |
| 36B | 36 | 4 | 0 | | | 10 | | | |
| 42 | 37 | 3 | 0 | | | 11 | | | |
| 43 | 38 | 4 | 1 | | (12) | | | 2 | |
| 44 | 39 | 3 | 2 | 16 | | | | | |
| 45 | 40 | 4 | 1 | | (13) | | | 4 | |
| 46A | 41 | 5 | 2 | 17 | | | | | |
| 47A | 42 | 2 | 0 | | | 12 | | | 1 |
| 48 | 43 | 7 | 7 | 18 | | | | | |
| 49 | 44 | 4 | 1 | | 14 | | | | |
| 50 | 45 | 3 | 1 | | 15 | | | | |
| 51/1 | 46 | 5 | 0 | | | 13 | | | |
| 51/2 | 47 | 2 | 0 | | | 14 | | | |
| 53 | 48 | 2 | 2 | 19 | | | | | |
| 54 | 49 | 7 | 5 | 20 | | | | | |
| 55 | 50 | 5 | 1 | | 16 | | | | |
| page total | | 94 | | | | | | | |
| cum. total | | 195 | | | | | | | |

Chapter Three

Schedule 10.4: Employment and Unemployment (Periodic Labour Force Survey)

INTRODUCTION

3.0.0 Labour Force Survey provides statistics on labour force and structure of employment and unemployment. These surveys provide the measurement of labour force indicators in cross classification of age, sex, education, industry, occupation, time disposition and wages. The behavior of labour market depends on the trend and pattern of the overall economy. The volatility in the economy, both in its inter and intra sectoral linkages as well as in the context of economic integration with rest of the world, is reflected in the domestic labour market and measuring its short term impact on labour market is considered extremely important. Accordingly, availability of labour force data at more frequent time interval is considered as the need of the hour.

3.0.1 The Standing Committee on Labour Force Statistics (SCLFS) considering all the aspects of current data demand and usefulness of the survey results suggested a Schedule of Enquiry for collection of information in the Periodic Labour Force Survey (PLFS). National Statistical Commission (NSC) suggested further improvement in the content of the Schedule of Enquiry.

SUMMARY DESCRIPTION OF THE SCHEDULE

3.0.2 Collection of information on employment and unemployment particulars for the PLFS will be done through Schedule 10.4. The schedule has two formats: one for the **first visit** and another for **revisit** to the same households.

- In rural areas, only first visit schedules will be canvassed. Revisit Schedules will not be canvassed in rural areas.
- In urban areas, information will be collected from the households in the first visit and during on subsequent revisits to the households, the revisit Schedules will be canvassed.
- The types of information that will be collected through different Blocks of Schedule 10.4 in the first visit and revisits are described in the following paragraphs.

3.0.3 Box 1, placed below, gives outlines of the structure of the Schedule 10.4 and coverage of the blocks of the schedule for collection of information during **first visit** and **revisit**.

| BOX 1: Coverage of items of information on different Blocks of the Schedule | | |
|--|--|--|
| Blocks in Sch. 10.4 | information to be collected | |
| | first visit schedule | revisit schedule |
| Block 0 | all the relevant items | all the relevant items |
| Block 1 | for all the items. For some of the items, the relevant codes are already printed, like schedule no. and visit no. | for all the items. For some of the items, the relevant codes are already printed, like schedule no. and sector. Moreover, the item 6 ' <i>sub-stratum (for rural only)</i> ' and item 19 ' <i>reason for substitution of original household</i> ', is not relevant for revisit schedule and are shaded. |
| Block 2 | all the relevant items | all the relevant items |
| Block 3 | for all the items | entry will be made in item 1 (household size) only. |
| Block 4 | for all the items from all the members of the household | <ul style="list-style-type: none"> (i) for the persons recorded in the earlier visit(s) (termed as erstwhile members), entry will be made in Part A and for those who were not household members in the preceding visits but are members of the household in the revisit (termed as new members) entry will be made in Part B of this block (ii) for the erstwhile members serial number, name and age will be copied from the schedule of the preceding visit. (iii) information on all columns (except column 12 which is shaded) will be recorded only from the new members. (iv) information on 'whether a member on the date of revisit' (in column 3) will be recorded for all the persons listed in both Part A and Part B. |
| Block 4.1 | for all the items from the household members of age 12 to 59 years who received any formal vocational/technical training | not to be filled up in revisit |
| Block 5.1 | for all the items from each of the household members | not to be filled up in revisit |
| Block 5.2 | for all the items from each of the household members who were engaged in any work in subsidiary capacity | not to be filled up in revisit |
| Block 6 | for all the items from each of the household members | for all the items but only from the current members of the household |

3.0.4 Concepts and definitions: Concepts and definitions for various terms, used in Schedule 10.4 are discussed in Chapter One.

3.0.5 Collection of information on Industry of work: For recording industry of work of household members, NIC-2008 codes will be used. It is important to note that the Division 98 of NIC-2008 will not be used for the purpose of collection of information on industry of activity. Division 98 of NIC-2008 is for *undifferentiated goods and services producing activities of private households for own use*. As a part of the activities shown under Division 98 (viz. hunting and gathering, farming and the production of shelter) is considered as economic activities in NSS surveys, the industry of these undifferentiated activities will be judged in the usual manner as is done now, i.e., by considering the industry in which major time is spent. Thus, this part of activities will get classified against the respective industries under Sections A or B relating to the primary sector or section F relating to construction and not in Division 98. The rest of Division 98 is not considered as economic activity in this NSS survey. Besides, to **identify certain category of workers separately, NIC-2008 industry class code 9700 (Division 97) has been split, for the purpose of the survey, into the following sub-classes as given below:**

Division 97: ACTIVITIES OF HOUSEHOLDS AS EMPLOYERS OF DOMESTIC PERSONNEL

| | | | |
|-------------------------------------|-------|-----------------------------|-------|
| housemaid/servant | 97001 | governess/baby-sitter | 97005 |
| cook | 97002 | tutor | 97006 |
| gardener | 97003 | driver | 97007 |
| gatekeeper/chowkidar/watchman | 97004 | others | 97009 |

These codes will be also be used to collect information on industry codes of the economic activities .

3.0.6 Collection of information on occupation of work: For recording the occupation of the work of the household members NCO 2004 will be used.

DETAILS OF SCHEDULE

Block 0: Descriptive identification of sample household

3.0.7 This block is meant for recording descriptive identification particulars of the sample household and the sample village/block to which the sample household belongs. All the items in this block are self-explanatory. The following points may be noted for filling up this Block:

- In **first visit Schedules**, item 5 is applicable to rural areas only and a dash ‘-’ will be put against this item in urban schedule.
- In **first visit Schedules**, items 7 and 8 are applicable to urban areas only and a dash ‘-’ will be put against these items in rural schedule.
- In the **first visit Schedules**, the name of the hamlet to which the sample household belongs will be recorded against the item 5 (hamlet name). On the other hand, for a sample village with no hamlet group selection, a dash (-) is to be recorded against this item.
- In revisit Schedule, item 5 is not applicable and is therefore shaded.

- In item 6 (house number, as in the listing schedule), will be entered.
- The entry against the last item, viz., 'name of informant', will be the name of the principal informant, i.e., the person from whom the bulk of the information is collected.

Block 1: Identification of sample household

3.1.0 The identification particulars of the sample households are to be recorded in this Block. The entries in item 2 (schedule number) for both the first visit and revisit Schedules, item 3 (sector) in revisit Schedules and item 20 (visit no.) of first visit Schedules are already printed. Item 6 (*sub-stratum (for rural only)*) and item 10 (*reason for substitution of original household*) of revisit Schedules are not relevant and are, therefore, shaded. For first visit, entries for items 1 and 3 to 7, 10 to 12 and for revisit entries in items 1, 4, 5, 7, 10 to 12 will be copied from the relevant items of block 1 of schedule 0.0PL.

3.1.1 **Item 8: year of survey:** The year of survey of the household will be recorded in item 8. Year of survey will be recorded putting one digit in each cell.

3.1.2 **Item 9: month of survey:** The month of survey of the sample household will be entered in item 9 in codes as follows:

| | | | |
|---------------|----|--------------|----|
| January..... | 01 | July..... | 07 |
| February..... | 02 | August..... | 08 |
| March..... | 03 | September... | 09 |
| April..... | 04 | October..... | 10 |
| May..... | 05 | November.... | 11 |
| June..... | 06 | December.... | 12 |

3.1.3 **Item 13: Sample hamlet group/ sub-block number:** This item will be copied from the heading of block 5 of schedule 0.0PL.

3.1.4 **Item 14: Second stage stratum number:** This will be taken from headings of the respective columns of block 5 of schedule 0.0PL. Entries will be any of 1, 2 or 3 in Schedules of rural areas and for urban areas entry will be any of 1, 2, 3 or 4.

3.1.5 **Item 15: Sample household number:** This is same as the order of selection of the sample household and will be copied from the respective columns of block 5 of schedule 0.0PL.

3.1.6 **Item 16: Serial number of informant:** The serial number of the person recorded in column 1 of block 4 from whom the bulk of the information is collected will be entered here. Information is to be collected from members of the household. However, under the compelling circumstances, if bulk of the information is collected from a person who is not a member of the household, '99' will be recorded against this item. This is to be consistent with the corresponding entry in Block 0.

3.1.7 **Item 17: Response code:** This item will be filled in after collecting information for all items in the schedule. The entry is to be made in terms of codes on the basis of the impression formed by the investigator regarding the overall response of the informant. The codes are:

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

3.1.8 **Item 18: Survey code:** The survey codes for visit 1 schedule and that for revisit schedule are different. Instructions for recording survey codes for visit 1 schedule and revisit schedule are described separately in the following paragraphs.

3.1.8.1 **First Visit:** For the schedule of the first visit, the survey codes are:

| | |
|-------------------------|---|
| household surveyed: | |
| original..... | 1 |
| substitute..... | 2 |
| household casualty..... | 3 |

If the originally selected sample household has been surveyed, code '1' will be entered in this item. However, if the originally selected household could not be surveyed for any reason and a substituted household is surveyed, code '2' will be recorded. Every effort must be made to survey the number of households allotted for survey for the first visit (viz. 8 households). For the purpose of surveying 8 households allotted for a village/block, substitution can be done for any number of times. It may be noted that in the urban areas, in case a substituted household has been surveyed in the first visit, this substituted household will be surveyed in all the subsequent revisits, even if the originally selected household is found during any revisit. Even after making all the efforts to survey the allotted number of households, if neither the originally selected household nor a substituted household could be surveyed, i.e., if the sample household becomes a casualty, code '3' will be recorded in this item. In case of casualty of the household, only the blocks 0, 1, 2, 7 and 8 are to be filled in and on the top of the front page of the schedule the word 'CASUALTY' is to be written in block capitals.

3.1.8.2 **Revisit (only for urban areas):** For the revisit schedule in the urban areas, the survey codes are:

| | |
|-----------------------------------|---|
| household surveyed..... | 1 |
| household casualty..... | 3 |
| household temporarily absent..... | 9 |

In revisits, all the households surveyed in the first visit will only be surveyed and no substitution of households will be made. Code 1 will be recorded in this item, if the household surveyed during first visit is also surveyed during revisit. If the household surveyed during

first visit was temporarily absent at the time of revisits or the respondent was reluctant to give any information, code 9 will be recorded in this item during revisit. Temporarily absent households are those which are not available for survey in the current visit but are likely to be available in the next visit(s). If the household canvassed in the first visit cannot be canvassed in a revisit due to reasons other than ‘temporarily absent’ (e.g., household has shifted out of the village), the household will be treated as casualty and code 3 will be recorded here.

3.1.8.3 Some important points regarding item 18 is given in Box 2.

Box 2:

- (i) In first visit, all the selected households will be surveyed.
- (ii) If for any reason, an originally selected household cannot be surveyed in the first visit, a substituted household will be surveyed.
- (iii) Substitution of households can be done for any number of times to canvass Schedule 10.4 for 8 households during first visit.
- (iv) In revisits, all the households surveyed in the first visit will only be surveyed and no substitution of households will be made during revisit.
- (v) For households with code 9 in item 18 in revisit, information collected in blocks 3, 4 and 6 during the preceding visit will be copied for the current visit.
- (vi) Among all the households surveyed in the first visit, if any household could not be surveyed during the previous revisit (survey code 9 or 3) but is possible to survey in the current revisit, information for relevant items of all the blocks will be collected in the current visit.
- (vii) In case of a casualty household either in first visit or revisit, blocks 0, 1, 2, 7 & 8 will be filled in and the word ‘CASUALTY’ is to be written in block capitals on the top of the front page of the schedule.

3.1.9 Item 19: Reason for substitution of original household: Entry in this item will be for the first visit only. If the originally selected sample household could not be surveyed, for which either a substituted household could be surveyed or the household became a casualty, the reasons for not surveying the original household will be recorded against this item in terms of the following codes:

| | |
|---------------------------------|---|
| informant busy | 1 |
| members away from home | 2 |
| informant non-cooperative | 3 |
| others | 9 |

For the schedule of first visit, entry in item 19 is to be made if entry in item 18 is either 2 or 3 and this item is to be left blank if entry in item 18 is 1. It may be noted that all the households surveyed in the first visit will only be surveyed during revisit and no substitution of households surveyed during the first visit will be made during revisits. Therefore, situation of making entry in this item does not arise during revisit and this item has been shaded in the revisit schedule.

3.1.10 **Item 20: Visit number:** As per the rotation scheme adopted for the PLFS in the urban areas, one group of sample FSUs may be in the sample for 4 quarters. Thus, the selected households in the urban areas are to be visited 4 times for canvassing the detailed schedule. The visit numbers to the sample household in the urban areas, may, thus be any of 1, 2, 3 or 4. For rural areas, households will be visited once and there will not be any revisit to the households.

3.1.11 **Item 21: Telephone number:** The telephone numbers through which households can be contacted are recorded against this item. Mobile number is to be recorded against item 21.1 and land line number with the relevant STD codes is to be recorded against item 21.2.

Block 2: Particulars of field operation

3.2.0 The identity of the Field Investigator(s), Field Officer and Superintending Officers associated with the work, their signature, date of survey/ inspection/ scrutiny of schedules, date of despatch, etc., will be recorded in this block against the appropriate items in the relevant columns. If the schedule is required to be canvassed for more than one day, the first day of survey is to be recorded against the item serial number 2(i).

3.2.1 **Items 4: Total time taken to canvass schedule 10.4 (in minutes):** Total time taken to canvass Schedule 10.4, will be recorded in item 4 in whole number in minutes. The time taken to canvass the schedule should be the actual time spent to canvass the schedule and will not include the time needed by the Field Investigator/Assistant Superintending Officer to finalise the schedule.

Block 3: Household characteristics

3.3.0 Block 3 will be used for recording the household characteristics, like household size, household type, religion, social group and household's usual consumer expenditure in a month. During the first visit to the households, information will be collected for all the items of Block 3 and during revisits, information on 'household size' (item 1) will only be recorded and therefore, other items of Block 3 of the revisit schedule are shaded. The items of Block 3 which are to be filled in during the first visit to the household and in the revisits are given in Box 3 below.

| Box 3: Scheme of canvassing Block 3 during first visit and revisits | | |
|--|------------------------------|---------|
| Item no.: description | items to be filled in during | |
| | first visit | revisit |
| Item 1: household size | | |
| Item 2: household type | | x |
| Item 3: religion | | x |
| Item 4: social group | | x |
| Item 4: household's usual consumer expenditure (Rs.) in a month | | x |

3.3.1 **Item 1: Household size:** The size of the sample household will be recorded against this item. Definition of household size is given in Chapter One. For the first visit to the sample

household, this number will be same as the last serial number recorded in column 1 of block 4. For the revisits to the sample household, household size will be same as the number of **current members of the household**, i.e., entry in item 1, Block 3 will be same as the number of persons with codes 1, 2 or 3 in column 3 of Block 4 (considering both Part A & Part B).

3.3.2 **Item 2: Household type (code):** The household type code will be decided on the basis of the sources of the household's income during the 365 days preceding the date of survey. (procedure for determination of household type is given Chapter One). Note that the codes are not the same for rural and urban areas. For rural households, the household type codes are:

self-employed in:

| | |
|----------------------------------|---|
| agriculture | 1 |
| non-agriculture..... | 2 |
| regular wage/salary earning..... | 3 |

casual labour in:

| | |
|----------------------|---|
| agriculture | 4 |
| non-agriculture..... | 5 |
| others..... | 9 |

For **urban** areas, the household type codes are as follows:

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

For both rural and urban areas, a household, which does not have any income from economic activities, will get type code 9 (others).

3.3.3 **Item 3: Religion (code):** The religion of the household will be recorded against this item in codes. If different members of the household claim to belong to different religions, the religion of the head of the household will be considered as the religion of the household. The codes are:

| | | | |
|--------------------|---|----------------------|---|
| Hinduism | 1 | Jainism | 5 |
| Islam | 2 | Buddhism | 6 |
| Christianity | 3 | Zoroastrianism | 7 |
| Sikhism | 4 | others | 9 |

3.3.4 **Item 4: Social group (code):** Whether or not the household belongs to scheduled tribe, scheduled caste or other backward classes will be indicated against this item in terms of the specified codes, which are:

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

Those who do not come under any one of the first three social groups will be assigned code 9, meant to cover all other categories. In case different members belong to different social groups, the social group to which the head of the household belongs will be considered as the 'social group' of the household.

3.3.5 Item 5: household's usual consumer expenditure (Rs.) in a month: This may be ascertained as follows.

3.3.5.1 The question "What is your usual expenditure for household purposes in a month?" will be put to the informant. Suppose the answer is Rs. A.

3.3.5.2 Next, the purchase value of any household durables (mobile phones, TV sets, fridge, fans, cooler, AC, vehicles, computers, furniture, kitchen equipment, etc.) purchased during the *last one year* will be ascertained and the expenditure *per month* will be obtained by dividing by 12. Let this be Rs.B.

3.3.5.3 Further, it should be ascertained whether there is (usually) any consumption from (a) wages in kind (b) home-grown stock (c) free collection. If so, the approximate monthly value of the amount usually consumed in a month will be imputed. Let this be Rs.C.

3.3.5.4 Then the sum of A+B+C is to be entered against item 12 in whole number of rupees.

Block 4: Demographic particulars of household members

3.4.0 The following points may be noted for filling up Block 4.

- During first visit to the household, this block will be filled in for all the members of the household.
- During revisit to the household, this block will be filled in for all the persons listed in Block 4 of the preceding visit (i.e., for erstwhile members) as well as for the new members (due to birth or other reason) of the household listed during revisit.
- Block 4 of the revisit schedule is split in two parts viz. Part A and Part B.
- Part A will be used for the erstwhile members of the household
- Part B will be used for the new members of the household found during the revisit.
- In Part A/Part B, some of the columns need not be filled in and those are shaded.
- In Part A only the serial number, name and age of the *erstwhile members* will be copied from the schedule of the preceding visit.
- In Part B of Block 4, fresh entry will be made for all the columns for the new members of the household.

The columns which will be filled in during first visit to the households and in the revisits are given below in Box 4. The description of the items and the procedure for recording them are explained in the following paragraphs.

| Box 4: Columns of Block 4 to be filled in during first visit and revisits | | | | |
|---|------------------------------------|-----------------|-----------------|---|
| Column no.: description | to be filled up in the schedule of | | | comments |
| | first visit | Revisit, Part A | Revisit, Part B | |
| Col. 1: srl. no | | | | for any revisit, (i) for erstwhile members, to be copied in Part A from preceding visit, (ii) for the new members, entry in Part B is to be made afresh starting from the number next to the last serial number of Part A |
| Col. 2: name of member | | | | for any revisit, (i) for erstwhile members, to be copied in Part A from preceding visit, (ii) for the new members, entry in Part B is to be made afresh |
| Col. 3: whether a member on the date of revisit | x | | | To be collected in each revisit. (i) codes relevant for Part A are 1, 4 & 5 (ii) codes relevant for Part B are 2 & 3 |
| Col. 6: age | | | | for any revisit, (i) for erstwhile members, to be copied in Part A from preceding visit, (ii) for the new members, entry in Part B is to be made afresh |
| Col. 4: relation to head Col. 5: sex Col. 7: marital status Col 8: general education Col 9: technical education Col 10: number of years in formal education Col 11: status of current attendance in educational institution | | x | | for any revisit, (i) these columns are shaded in Part A (ii) to be collected for all the persons listed in Part B. |
| Col 12: whether received any vocational/ technical training | | x | x | for revisit Schedule, this column is shaded |

3.4.1 **Column (1): Serial number:** All the persons listed in this block will be given a continuous serial number in column (1). In the list, for the **first visit**, the head of the

household will appear first followed by head's spouse, the first son, first son's wife and their children, second son, second son's wife and their children and so on. After the sons are enumerated, the daughters will be listed followed by other relations, dependants, servants, etc. During **revisit**, all the persons listed during the preceding visit will be listed in Part A of the Block using the same serial numbers that were assigned to the persons in the earlier visit(s), irrespective of the situation whether the person(s) is a household member or not during the current visit. In Part B of the Block, new members of the household found at the time of revisit will be listed in the descending order of ages and the serial numbers of the persons listed in Part B will be continuous starting from the number next to the last serial number of Part A.

For example, consider a household with four members during first visit. In the second visit, it is found that one of the erstwhile members has died and as such ceased to be a household member, while two more persons have been added to the household, say one by birth and another by marriage.

- In this situation, in the first visit, all the 4 household members will be listed in Block 4 with the serial numbers 1, 2, 3, 4.
- During the second visit to the household, in Part A of the Block, the serial numbers of all the four erstwhile members will be retained without any alteration.
- The two new members found during the second visit will be listed in Part B, with the serial numbers 5 and 6 respectively.

The following points may be noted while assigning listing in Block 4:

- In the first visit, all the household members will be listed in Block 4 and will be assigned a continuous serial number in column 1 starting from 1.
- In the second visit, members listed in first visit will be listed in Part A with the same serial number given during the first visit. In Part B, the new members of the household found at the time of second visit will be listed and the serial numbers of the persons listed in Part B will be continuous starting from the number next to the last serial number given in Part A.
- In the third visit, members listed in Part A and Part B of second visit will be listed in Part A with the same serial numbers assigned to them in the earlier visits. The new members found during the third visit will be listed in Part B and the serial numbers of the persons listed in Part B will be continuous starting from the number next to the last serial number given in Part A.
- In the fourth visit, members listed in Part A and Part B of third visit will be listed in Part A with the same serial numbers assigned to them in the earlier visits. The new members found during the fourth visit will be listed in Part B and the serial numbers of the persons listed in Part B will be continuous starting from the number next to the last serial number given in Part A.
- The household members who were assigned a particular serial number on a visit to the household will maintain the same serial number during all other visits to the household.
- This approach is necessary to maintain the consistency in the serial numbers of each of the household members.

3.4.2 **Column 2: Name of member:** The names of the members corresponding to the serial numbers entered in column (1) will be recorded in column (2). At the time of revisit, for the erstwhile members, name will be copied from column 2 of the previous visit.

3.4.3 **Column 3: Whether a member on the date of revisit (for revisit only):** Information on ‘whether a member on the date of revisit’ will be entered in column 3 of this block for all the persons listed in block 4 of the **revisit schedule** to determine the **status of membership** of these persons in the household as on the date of revisit. **Status of membership** means whether the person is a member during the revisit or ceased to be a member during revisit. During revisits to the household, some of the erstwhile members may cease to be household members and some new members may join the household. Information on status of membership collected for each person listed in Block 4 will be used to identify the **current members of the household**. Information on this column will not be collected during the first visit to the household when all the household members listed in this block are the **current household members** and as such this column is shaded for the first visit schedule. In the revisit schedules, information on ‘whether a member on the date of revisit’ will be collected in column 3 of both Part A and Part B of this block in terms of the following codes:

| | |
|-------------|---|
| yes: | |
| | also a member during the earlier visit(s).....1 |
| | new member: |
| | by birth2 |
| | others3 |
| no: | |
| | due to death.....4 |
| | others.....5 |

Codes relevant in Part A (for erstwhile members) are 1, 4 & 5 and that for Part B (for new members) are 2 & 3. **It may be noted that during first visit to the household, all the household members are considered current household members and during revisit, the household members with codes 1, 2 or 3 are considered current household members.**

3.4.4 **Column 4: Relation to head:** Information on ‘relation to head’ will be recorded for all the household members during the first visit. During revisit, this will be recorded for the new members of the household listed in Part B of the Block. During the revisit, the relationship codes of the erstwhile members, listed in Part A of the Block, will not be recorded and therefore, column 4 of Part A of revisit schedule is shaded.

The relationship of each member of the household to the head of the household (for the head, the relationship is ‘self’) will be recorded in this column. The codes are:

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

For first visit, there will not be any problem in putting the relationship codes in column 4. However, in any revisit to the household, if it is found that the head of the household determined in the first visit is changed for some reason or ceased to be a member during the revisit, the relationship codes of the new household members in the revisit(s) will still be determined with respect to the head of the household of the first visit, who will be treated as a notional head.

3.4.5 Column 5: sex (male-1, female-2, third gender-3): The sex code of each member of the household will be recorded in this column. Code 1 will be recorded for male and code 2 for female. Hijras, Eunuchs or transgender are to be treated as “third gender” and in such cases code 3 will be recorded.

Information on this item will be collected from all the household members found during the first visit and for the revisit to the household, this information will be recorded only for those who are found to be the new members during the revisit. Thus, during the revisit, column 5 will be filled in for persons listed in Part B only and entry in column 5 will not be recorded in Part A. Column 5 of Part A of revisit schedule has been shaded.

3.4.6 Column 6: Age (years): The age in completed years of the household members will be ascertained and recorded in column (6). For infants below one year of age at the time of listing, ‘0’ will be entered in column (6). Similarly for persons of age more than 100 years, say 105 years, entry under this column will be 105. For the first visit to the selected household, information on age will be collected for all the household members. During revisit to the selected household, entry for age is to be made in both Part A and Part B of the revisit schedule keeping in mind the following points:

- (i) **for the erstwhile members** (listed in Part A of this block), **age as recorded in the preceding visit will be copied** i.e., for any serial number recorded in Part A, entry in column 6 will be copied from the entry in column 6 of the previous visit corresponding to that serial number. Thus, if a person remains as household member for 4 visits to the household, his age in all the 4 visits will remain same and will be the age as was recorded in the first visit. If a person becomes a new member of the household during second visit, then the person will be an erstwhile member during third visit and the age of that person recorded in the second visit will be copied to make entry for age of that person in the third visit.

- (ii) **for the new members** of the household (listed in Part B of the Block) in any revisit, information on age as on the date of survey will be collected and recorded in completed years in column 6 of this block in that revisit.

One example is cited below to illustrate the procedure for (i) filling up block 4 in first visit and revisits, (ii) determination of membership status and (iii) recording of age in the revisits.

Example:

- In one household, there were three members in the first visit say, A, B, and C, with serial numbers 1, 2 and 3, respectively.
- During the second visit to that household, it is observed that one of the erstwhile members (say, C at srl. no. 3) had left the household and a new member (say, D) had joined.
- During the third visit, the erstwhile household member (C) who had left the household became a household member again. In such situations, the procedure of filling up block 4 in the three visits is given below:

| [4]demographic particulars of household members | | | | | | | | | | First Visit | |
|---|----------------|---|-------------------------|--|-------------|-----------------------|-------------------|------------------|---|--|---|
| srl. no. | name of member | for revisit only, whether a member on the date of re-visit (code) | relation to head (code) | sex (<i>male-1, female-2, transgender-3</i>) | age (years) | marital status (code) | educational level | | for persons with code 05 to 13 in column 8, number of years in formal education | for persons of age 0 to 29 years, status of current attendance in educational institution (code) | for persons of age 12 to 59 years whether received any vocational/technical training (code) |
| | | | | | | | general (code) | technical (code) | | | |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) |
| 1 | A | | 1 | 1 | 29 | 2 | 06 | 01 | 4 | 15 | 2 |
| 2 | B | | 2 | 2 | 24 | 2 | 06 | 01 | 4 | 15 | 2 |
| 3 | C | | 8 | 1 | 18 | 1 | 06 | 01 | 4 | 15 | 2 |

| [4]demographic particulars of household members | | | | | | | | | | | Second Visit | |
|---|----------------|---|-------------------------|---------------------------------------|---|-----------------------|-------------------|------------------|---|--|---|--|
| srl. no. | name of member | for revisit only, whether a member on the date of re-visit (code) | relation to head (code) | sex (male-1, female-2, transgender-3) | age (years) (copy from preceding visit for erstwhile members) | marital status (code) | educational level | | for persons with code 05 to 13 in column 8, number of years in formal education | for persons of age 0 to 29 years, status of current attendance in educational institution (code) | for persons of age 12 to 59 years whether received any vocational/technical training (code) | |
| | | | | | | | general (code) | technical (code) | | | | |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) | |
| Part A: erstwhile members | | | | | | | | | | | | |
| 1 | A | 1 | | | 29 | | | | | | | |
| 2 | B | 1 | | | 24 | | | | | | | |
| 3 | C | 5 | | | 18 | | | | | | | |
| Part B: new members | | | | | | | | | | | | |
| 4 | D | 3 | 9 | 2 | 15 | 1 | 06 | 01 | 4 | 15 | | |

| [4]demographic particulars of household members | | | | | | | | | | | Third Visit | |
|---|----------------|---|-------------------------|---------------------------------------|---|-----------------------|-------------------|------------------|---|--|---|--|
| srl. no. | name of member | for revisit only, whether a member on the date of re-visit (code) | relation to head (code) | sex (male-1, female-2, transgender-3) | age (years) (copy from preceding visit for erstwhile members) | marital status (code) | educational level | | for persons with code 05 to 13 in column 8, number of years in formal education | for persons of age 0 to 29 years, status of current attendance in educational institution (code) | for persons of age 12 to 59 years whether received any vocational/technical training (code) | |
| | | | | | | | general (code) | technical (code) | | | | |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) | |
| Part A: erstwhile members | | | | | | | | | | | | |
| 1 | A | 1 | | | 29 | | | | | | | |
| 2 | B | 1 | | | 24 | | | | | | | |
| 3 | C | 1 | | | 18 | | | | | | | |
| 4 | D | 1 | | | 15 | | | | | | | |
| Part B: new members | | | | | | | | | | | | |
| | | | | | | | | | | | | |

In the above example, following points may be noted:

- (i) During visit 2, all the persons listed in block 4 of visit 1 have been listed in Part A and the new member D has been listed in Part B. During visit 3, all persons listed in visit 2, viz. A, B, C, D have been listed in Part A of visit 3.
- (ii) The person D was a new member of the household during visit 2, for whom entry in column 3 was '3' while in visit 3, D has become an erstwhile member of the household and gets the entry 1 in column 3 of Part A.
- (iii) In visit 2, age of erstwhile members of visit 1, viz. A, B and C has been copied from visit 1 and in visit 3, age of all the members recorded in Part A has been copied from the earlier visit (visit 2).
- (iv) In visit 2, for the new member of the household, viz. D, fresh entry has been made for all the columns of block 4 in Part B.

3.4.7 Column (7): Marital status: Marital status of a person will be recorded in this column in terms of the following codes:

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

Information on this item will be recorded for all the household members listed in the first visit and for the revisit to the household, this information will be recorded only for those who are found to be new members during the revisit. Marital status will not be recorded for erstwhile members during revisit and therefore, column 7 of Part A of revisit schedule has been shaded.

3.4.8 Educational level: Information on the highest level of education successfully completed by each member of the household considering his/ her all general/ technical/ vocational educational level will be recorded in terms of codes in column (8), whereas in column (9), the highest level of technical education successfully completed will be recorded. A person who has studied up to say, first year B.A. or has failed in the final B.A. Examination, his educational attainment will be considered only as 'higher secondary', for the purpose of column (8). Educational level (both general and technical) will not be recorded for erstwhile members during revisit and therefore column 8 and column 9 are shaded in Part A of the revisit Schedule

3.4.9 Column (8): General: In column (8), the highest level of education successfully completed by the members of the household considering general/ technical/ vocational education will be recorded in codes which are given below:

| | |
|------------------------------------|----|
| not literate | 01 |
| literate without formal schooling: | |
| EGS/NFEC/AEC..... | 02 |
| TLC..... | 03 |
| others..... | 04 |
| literate: | |
| below primary | 05 |
| primary | 06 |
| middle | 07 |
| secondary..... | 08 |
| higher secondary | 10 |
| diploma/certificate course | 11 |
| graduate..... | 12 |
| postgraduate and above..... | 13 |

A person who can both read and write a simple message with understanding in at least one language is to be considered literate. Those who are not able to do so, are to be considered not literate and will be assigned code 01. Some persons achieve literacy by attending Non-formal Education Courses (NFEC) or Adult Education Centres (AEC) or by attending primary schools created under Education Guarantee Scheme (EGS). Such persons will be given code 02. Persons who have become literate through attending Total Literacy Campaign (TLC) will be given code 03. Persons who are literate through means other than formal schooling or the EGS/NFEC/AEC/TLC will be given code 04. Those, who are by definition literate through formal schooling (excluding schools created under EGS) but are yet to pass primary standard examination will be assigned code 05. Similarly codes 06, 07, 08, and 10 to 13 will be assigned to those who have passed the appropriate levels. The criteria for deciding primary, middle, secondary, etc., levels will be that followed in the concerned States/Union Territories. Persons who have attained proficiency in Oriental languages (e.g., Sanskrit, Persian, etc.) through formal but not through the general type of education will be classified appropriately at the equivalent level of general education standard. Those who have completed some diploma or certificate course in general, technical education or vocational education which is equivalent to below graduation level, code 11 will be assigned. On the other hand, those who have obtained degree or diploma or certificate in general, technical education or vocational education, which is equivalent to graduation level, will be given code 12. Code 13 will be assigned for them who have obtained degree or diploma or certificate in general or technical education which is equivalent to post-graduation level and above.

3.4.10 **Column (9): Technical:** Technical education standard achieved by the members of the household will be recorded in one of the following codes:

| | |
|---|----|
| no technical education | 01 |
| technical degree in: | |
| agriculture | 02 |
| engineering/technology..... | 03 |
| medicine..... | 04 |
| crafts | 05 |
| other subjects | 06 |
| diploma or certificate (below graduate level) in: | |
| agriculture | 07 |
| engineering/technology..... | 08 |
| medicine..... | 09 |
| crafts | 10 |
| other subjects | 11 |
| diploma or certificate (graduate and above level) in: | |
| agriculture..... | 12 |
| engineering/technology..... | 13 |
| medicine | 14 |
| crafts..... | 15 |
| other subjects... .. | 16 |

Technical diploma or certificate in ‘other subjects’ will cover diploma or certificate in management, applied arts, etc. If more than one of the codes 02 to 06 are applicable, the code indicating the technical last received will be considered. Similar will be the treatment when more than one of the codes 07 to 11 are applicable for a person or if more than one of the codes 12 to 16 are applicable for a person. It may be noted that the technical certificate/diploma obtained by the person need not necessarily be recognised by the Government.

3.4.11 **Column (10): For persons with code 05 to 13 in column 8, number of years in formal education:** Number of years in formal education refers to the number of academic years a person attended, or participated in a formal education program (structured in terms of learning objectives, learning time or learning support and leading to degree/diploma/certificate) provided by elementary and secondary schools, universities, colleges and other institutions providing general/technical/vocation education, like polytechnics, ITIs, etc. An academic year would be equivalent to a school year or in case of semester system, all the years in which semesters are planned. Entry in this column will be recorded in whole number of years by collecting the information on completed number of academic years spent in attending formal education. It may be noted that

- (i) Years in education at the level of pre-primary education will not be included. Thus, years in school in kindergarten or such preparatory schooling will be excluded. The count will start when the child gets admission in class I.
- (ii) No distinction will be made in recording the years in education among students attending institutions providing automatic promotion and those allowing repetition in the same grade/class. Thus, in reporting the number of years in education, the repetition years will also be counted.
- (iii) If a person discontinued education at one time and again started education afterwards, then the time spent in-between will not be counted.
- (iv) In counting the years in formal education, training programmes which are normally for performing specific jobs, in-service trainings will not be included. However, the trainings which are part of the formal education programmes will be considered for counting number of years in education.

3.4.11.1 In most cases there will not be any problem in determining the number of years in education. However, there are some courses, like distance education, chartered accountancy (CA), Company Secretariatship (CS), etc., for which there is no fixed/predetermined number of years of education and one can complete such courses in phased manner in a number of attempts. For such courses, it may be difficult to determine the number of years in education. So a thumb rule has been devised as follows:

1. For those pursuing distance education, CA, CS, etc., number of years in education for that particular course will be considered only when the course is completed successfully and it will refer to the scheduled number of years generally specified or known for completion of the course, say for graduation, it is three years, post graduation it is 2 years, etc.
2. In case, for a particular course, say, Doctorate, the number of years specified for completion of the course is not known. The number of years in education for such courses will be considered only when the course is completed successfully.

In the cases stated above, calculation of number of years in education will be done as follows: First determine the number of years in education for all such courses for which duration is known and then add two (2) years for each of courses completed for which number of years of education is not known. Thus, when a person completes chartered accountancy course, after completion of graduation, the number of years in education for that person will be the number of years in education for completing graduation level *plus* 2 years.

3.4.11.2 Guidelines for determining the number of years of education is given in Box 5.

Box 5: Guidelines for determining the number of years of education

1. Education programmes specified in para 3.4.11.3 is to be considered
2. Ignore the years spent in pre-primary education
3. Repetitions in the same class/grade will be counted
4. If a person did not attend formal education for the full academic year, the fractional part of the academic year will not be counted for determining the number of years in formal education. For example, when a person attended for 11 months in an academic year of 12 months, it will not be counted as 1 year while reporting entry for number of years in formal education.

5. An academic year would be equivalent to a school year or in case of semester system, all the years in which the semesters are planned. As for example, for a course of five semesters, the last semester falling in the third academic year will be considered as a complete academic year and thus, total academic year for the course will be three years.
6. Number of years actually spent on attending formal education will only be counted i.e., if a person discontinued education at one time and again started education afterwards, then the time spent in-between will not be counted.
7. For distance education, number of years in education will be considered only when the course is completed successfully. The number of years in education for such correspondence course will be the scheduled number of years specified for completion of the course, say for graduation, it is three years, post graduation it is 2 years, etc.
8. When no specified number of years is known for completion of a course, number of years in education will be recorded only when the course is completed successfully. Thus, when a person completes chartered accountant course, after completion of graduation, the number of years in education for that person will be the number of years in education for completing graduation level plus 2 years.

3.4.11.3 For collection of data on number of years in formal education, the coverage of 'education' is as stated below:

It will ***include***

- (i) School education commencing from class I to X or XII, as the case may be, irrespective of the recognition status of the educational institution,
- (ii) Higher secondary/ Pre-university education leading to certificate/ diploma/ degree, etc., including education in private unrecognised institutions, which conduct regular classes following the syllabus and pattern of the education as in recognised schools or colleges and which sponsor students for public examinations as private or external candidates,
- (iii) General University education, whether full time or part time, leading to certificate/ diploma/ degree, etc. (the Universities not recognised by University Grant Commission will not be covered),
- (iv) Correspondence courses conducted by Universities, Deemed Universities or Institutions, authorised by competent authorities for awarding regular degrees or diplomas or certificates,
- (v) Higher secondary / Pre-university / Under-graduate/ Post-graduate / Professional/ Technical education leading to certificate/diploma/degree, etc. conducted by recognised open university/schools,
- (vi) Technical or Professional courses, leading to degree/diploma/certificates, conducted by Universities, Deemed Universities or institutes like, National Institute of Fashion Technology, National School of Drama, Satyajit Ray Film and Television Institute, Film and Television Institute of India, Lok Nayak Jayaprakash Narayan National Institute of Criminology and Forensic Science, etc.

or Institutions, authorised by competent authorities like All India Council of Technical Education (AICTE), Medical Council of India (MCI) etc.,

- (vii) Professional courses conducted by Institutes like The Institute of Chartered Accountants of India, The Institute of Cost and Works Accountants of India, The Institute of Company Secretaries of India, Actuarial Society of India, etc.,
- (viii) Courses conducted by Institutions like Industrial Training Institute (ITI), National Vocational Training Institute, etc., leading to certificate/diploma/degree.

and will exclude:

- (i) Art, music and similar type of courses conducted by individuals in their houses or unrecognised/ unaffiliated institutions, Classes taken by Private tutors, coaching centres,
- (iii) Education in nursery/Kindergartens/Preparatory levels
- (iv) The non-formal system of education being implemented through various programs by government or other agencies, like TLC/AEC/NFEC, etc.
- (v) Education/Training courses which do not lead to the enhancement of the educational qualification in the hierarchical system of education and merely enable a person to fulfill the necessary condition for getting a particular type of job only, such as training for stenography and typing, TV repairing, etc.

3.4.11.4 Academic Year: The academic year will be defined in relation to the duration of the course of education in the following manner: –

- (i) If duration of the course is less than one year, it will be considered as one academic year,
- (ii) An academic year would be equivalent to a school year or in case of semester system, all the years in which semesters are planned. Thus, if for a course with five semester with total duration of two and half years and the last semester falling in the third academic year, total number of academic years for the course will be three.

3.4.12 Column (11): Current attendance in educational institution: Column (11) will be used to record ‘status of current attendance’ in educational institution **for persons of age below 30 years**. It will be first ascertained if the person is currently attending any educational institutions (government or private) or not. Persons who are registered for any regular correspondence courses or distance education courses for a stipulated period at the end of which, are allowed to appear in the examination for the course, **will also be** considered as ‘currently attending’. Persons who are awaiting results will be considered as ‘currently attending’ and the appropriate code for the level for which they have appeared in the examinations will be recorded. Persons who are not currently attending any educational institutions, reason for not attending will be ascertained and will be given any of the codes 01 to 05 if they have never attended and 11 to 15, if they ever attended but currently not attending. For those who are found ‘currently attending’, the course of study pursued by them will be further ascertained and codes will be assigned depending on the course of study pursued by them. For persons attending more than one course, the one which is of full time will be considered for recording current attendance, in case only one of the courses is full time. In case more than one of the courses are full time, the one, which is of higher level will be considered for current attendance. If the full time courses are of same level, the one with longer duration will be considered. If the person is pursuing only part time courses, the course

to be considered for current attendance will be determined in the similar way as is done for full time course.

The code structure for status of current attendance is as follows:

| status of current attendance | code | status of current attendance | code |
|--|-------------|---|-------------|
| currently not attending | | | |
| <i>never attended:</i> | | <i>ever attended but currently not attending:</i> | |
| school too far..... | 01 | school too far..... | 11 |
| to supplement hh. income | 02 | to supplement hh. income..... | 12 |
| education not considered necessary..... | 03 | education not considered necessary... | 13 |
| to attend domestic chores..... | 04 | to attend domestic chores..... | 14 |
| others | 05 | others..... | 15 |
| currently attending | | | |
| EGS/NFEC/AEC | 21 | diploma or certificate (below graduate level) in: | |
| TLC | 22 | agriculture..... | 33 |
| pre-primary (nursery/Kindergarten, etc.).. | 23 | engineering/technology | 34 |
| primary (class I to IV/V)..... | 24 | medicine | 35 |
| middle..... | 25 | crafts | 36 |
| secondary..... | 26 | other subjects..... | 37 |
| higher secondary..... | 27 | diploma or certificate (graduate level) in: | |
| graduate in: | | agriculture | 38 |
| agriculture..... | 28 | engineering/technology | 39 |
| engineering/technology | 29 | medicine | 40 |
| medicine | 30 | crafts | 41 |
| other subjects | 31 | other subjects..... | 42 |
| post graduate and above..... | 32 | diploma or certificate in post graduate and above level..... | 43 |

3.4.13 **Column (12): For persons of age 12 to 59 years, whether received any vocational/technical training:** This column will be filled in only for the first visit. For revisit Schedule, this column is shaded.

Information on whether the household member has received any vocational/technical training will be recorded in this column in codes given below:

yes:

received formal vocational/technical training..... 1

*received vocational/technical training other than
formal vocational/technical training:*

 hereditary

 self-learning

 learning on the job.....

 others

did not receive any vocational training

If the household member has received formal vocational/technical training, i.e., if the training course was successfully completed code 1 will be recorded. If the person had received vocational/technical training other than formal vocational/technical training, any of the codes 2 to 5 as the case may be will be recorded. Code will be 2 recorded for 'hereditary', code 3 for 'self-learning' and code 4 for 'learning on the job'. For all other cases of vocational/technical training, code will be 5. Persons who have failed in formal vocational/technical training after completion of the full duration of the course or who did not complete the formal vocational/technical training will also be given code 5 provided they have acquired competency through this training to employ themselves as wage salary employee or self-employed. In case, a person has received more than one vocational/technical training, then the one among the applicable codes that appears first will be recorded. Concepts of vocational/technical training have been discussed in Chapter One.

Block 4.1: Formal vocational/technical training particulars of household members of age 12 to 59

3.4.1.0 The following points may be noted to fill up this block:

- This Block will be filled in only in visit 1.
- This block will be filled in for all the households members of age 12 to 59 years who have received any formal vocational/technical training, i.e., **for those with code 1 in col. 12 of Block 4.**

The description of the items and the procedure for recording them are explained below:

3.4.1.1 **Columns (1) & (2): Srl. no. & age, as in cols. (1) & (6) of block 4:** The entries in these two columns are to be copied from columns (1) and (6) of block 4, for each of the household members of age 12 to 59 years reported to have received **formal vocational/technical training**, i.e, for those with code 1 in column (12) of block 4.

3.4.1.2 **Column (3): Whether the training was completed during last 365 days (yes-1, no-2):** If the training was completed during the last 365 days code will be 1, else code 2 will be recorded.

3.4.1.3 **Column (4): Field of training (code):** 'Field of training' **will be recorded in terms of 2 digit codes.** For a vocational/technical training, if the 'field of training' is not covered by any of the codes 01 to 21, code 99 will be assigned to that field of training. For a person when more than one of the codes are applicable, last training received will be considered for giving code for 'field of training'.

The codes for the field of training to be used for making entry in column (4) are given below:

| field of training | codes |
|--|--------------|
| aerospace and aviation..... | 01 |
| agriculture, non-crop based agriculture, food processing..... | 02 |
| allied manufacturing- gems and jewellery, leather, rubber, furniture and fittings, printing..... | 03 |
| artisan/craftsman/handicraft/creative arts and cottage based production..... | 04 |
| automotive..... | 05 |
| beauty and wellness..... | 06 |
| chemical engineering, hydrocarbons, chemicals and petrochemicals..... | 07 |
| civil engineering- construction, plumbing, paints and coatings..... | 08 |
| electrical, power and electronics..... | 09 |

| field of training | codes |
|--|--------------|
| healthcare and life sciences..... | 10 |
| hospitality and tourism..... | 11 |
| iron and steel, mining, earthmoving and infra building..... | 12 |
| IT-ITeS..... | 13 |
| logistics..... | 14 |
| mechanical engineering-capital goods, strategic manufacturing..... | 15 |
| media-journalism, mass communication and entertainment..... | 16 |
| office and business related work..... | 17 |
| security..... | 18 |
| telecom..... | 19 |
| textiles and handlooms, apparels..... | 20 |
| work related to childcare, nutrition, pre-school and crèche..... | 21 |
| others..... | 99 |

3.4.1.4 **Column (5): Duration of training (code):** Duration of the training will be entered in codes as follows:

| duration of training | code |
|--|-------------|
| less than 3 months | 1 |
| 3 months or more but less than 6 months..... | 2 |
| 6 months or more but less than 12 months..... | 3 |
| 12 months or more but less than 18 months..... | 4 |
| 18 months or more but less than 24 months..... | 5 |
| 24 months or more..... | 6 |

3.4.1.5 **Column (6): Type of training:** The vocational/technical training that was received by the household members will be identified in terms of the following codes:

| | |
|-------------------------------|---|
| on the job..... | 1 |
| <i>other than on the job:</i> | |
| part time..... | 2 |
| full time..... | 3 |

If training was received while in employment (current and/or past) it will be considered as 'on the job'. Remaining cases will be considered as 'other than on the job'. If it is 'other than on the job' through part time courses code will be 2 and if through full time courses, code will be 3.

3.4.1.6 **Column (7): Source of funding:** The source of funding the training will be recorded in terms of the following codes:

| | |
|-------------------------|---|
| Government sources..... | 1 |
| Own funding..... | 2 |
| Others..... | 9 |

Funding for the vocational/technical training will cover the course fee, tuition fee, examination fee, development fee and other compulsory payments. This will also include

other compulsory payments such as session charge, library fees, games fees, laboratory fees and other similar payments.

Code will be 1 when the funding for the course is from the central or state governments or from an organization/department, etc., wholly owned/ run/managed by Central or State governments, quasi-government institutions, local bodies, public sector undertaking, etc. If the funding was from own funding code will be 2. If the funding was from the savings/loans/sale or mortgage of assets of the household member or other member(s) of the household, code will be 2. Besides, if the funding for the course was received as gifts from friends or relatives code will also be 2. Residual cases, like those sponsored by charitable institutions/ trusts/ etc., will be code 9. If funding for the course is from more than one sources, the code will relate to that source which made the major funding.

Block 5.1: Usual principal activity particulars of household members

3.5.1.0 The usual principal activity particulars of each member of the household will be collected in this block. This will include information on industry-occupation of the working members, some particulars of the enterprises in which they are working and conditions of employment for the persons employed as regular wage/salaried employee and casual labour. The particulars of usual activity are collected with reference to a period of 365 days preceding the date of survey. The relevant concepts like 'economic activity', 'activity status', 'usual principal activity', 'usual subsidiary economic activity', etc., are explained in Chapter One.

This Block will be filled-in only in first visit to the households.

The description of the items and the procedure for recording them are explained below:

3.5.1.1 **Columns (1) & (2): Srl. no. & age, as in cols. (1) & (6) of block 4:** The entries in these two columns are to be copied from columns (1) and (6) of block 4, for each of the members of the household.

3.5.1.2 **Usual principal activity particulars of household members:** The usual principal activity particulars of each member of the household will be collected in columns (3) to (6) of this block. This will include information on industry-occupation of the working members.

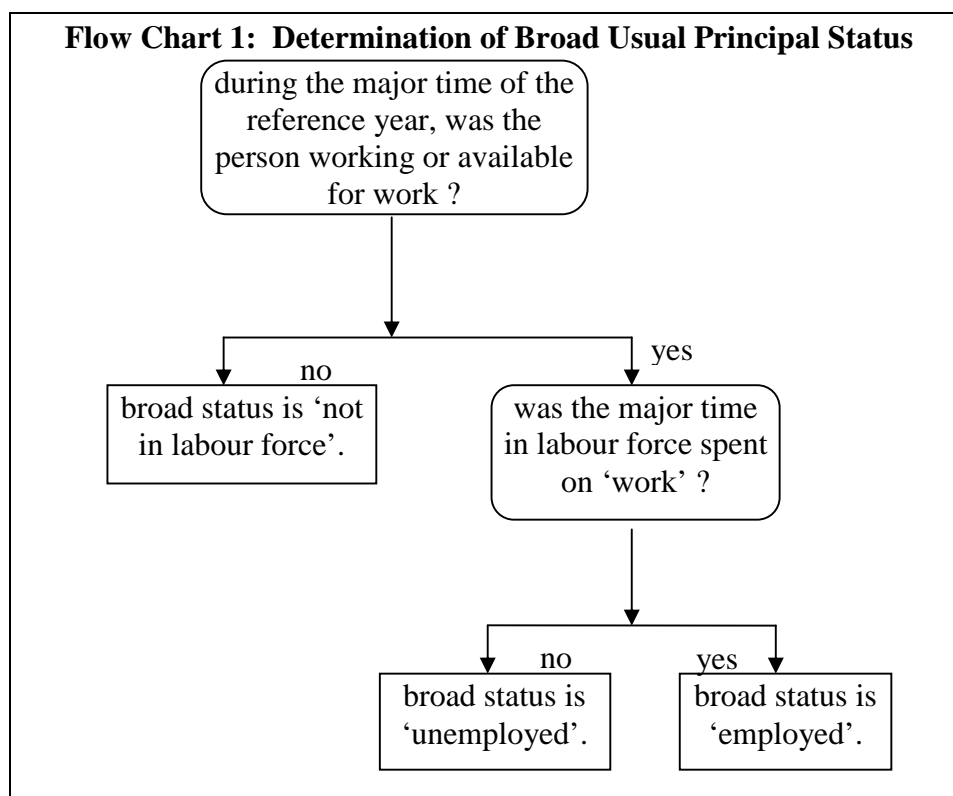
3.5.1.3 **Column (3): Status:** For each of the member, the usual principal activity status will be recorded in this column. In the first instance, the broad usual principal activity of the person will be identified based on the various activities pursued by the person during the reference period of last 365 days adopting a 'relatively long time (or major time)' criterion, not necessarily for a continuous period. The broad usual principal activity status will be one of the three categories viz. 'employed' (working), 'unemployed' (seeking/available for work) or 'not in labour force' (neither working nor seeking/available for work). *It is to be noted that in deciding this, only the period normally available in a day for pursuing various activities need to be considered, and not the 24 hours of a day.*

3.5.1.4 **Identification of broad usual principal activity status:** The broad usual principal activity status will be obtained on the basis of a two stage dichotomous classification depending on the major time spent. Persons will be classified in the first stage into (i) those who are engaged in any economic activity (i.e. employed) and / or available for any economic activity (i.e., unemployed) and (ii) who are not engaged and also not available for any economic activity (i.e., not in labour force). Thus, the persons will be first classified as those

in the labour force and those not in the labour force depending on in which status, out of these two, the person spent major part of the year. In the second stage, those who are found in the labour force will be further classified into working (i.e., engaged in economic activity or employed) and seeking and/or available for work (i.e., unemployed) based on the major time spent. Thus, we can obtain the broad usual principal status as one of the three viz. employed, unemployed and out of labour force.

3.5.1.5 The following examples will help in clarifying the procedure for identifying broad usual principal activity status of individual.

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



3.5.1.6 **Detailed usual principal activity status:** With the broad activity status identified for a person, detailed activity categories will be assigned on the basis of relatively long time spent on a detailed activity. For example, suppose person A, in the example given above worked in household enterprises without hiring labour for 3 months and worked as casual labour for 2 months, then his usual principal activity status would be, worked in household enterprise (own account worker).

Flow Chart 1 explains the procedure for determining the broad usual principal activity status.

3.5.1.7 The detailed usual principal status activity codes are as given below:

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

Codes 11, 12, 21, 31, 41 & 51 refer to the 'employed', 81 to the 'unemployed' and the remaining viz. 91 to 97 refer to the 'not in labour force'. For children of age 0 - 4 years, code 97 may be given.

Some special cases for determining usual principal activity status are listed below:

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

(ii) Again, it also needs to be emphasised that the procedure to be followed in ascertaining the activity status of a domestic servant who is a member of the employer's household is different from that adopted for other members of the household. It may be noted that engagement in domestic duties by such household members is not considered economic activity as defined for the survey. On the other hand, although a domestic servant staying in the employer's household and taking food from the common kitchen is, by definition, a member of the employer's household, he/she is also *engaged in domestic duties in return for wages* in cash and/or kind. Thus, *as a special case, domestic duties pursued by a domestic servant will be considered as an economic activity* and the activity status code as is applicable will be assigned to him/her.

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

3.5.1.8 **Columns (4) to (6): Principal industry-occupation:** Columns (4) to (6) will be filled-in for those who are 'working', i.e., those with any one of codes 11, 12, 21, 31, 41, or 51 in column (3). The description of the industry-occupation relevant to the type of economic activity pursued by the person in the status recorded in column (3) will be given in column (4). The corresponding 5-digit industry code (NIC-2008) and the 3-digit occupation code (NCO-2004) will be entered in columns (5) and (6), respectively. In case, two or more industry-occupation combinations corresponding to the status code given in column (3) have been reported by a person, the principal industry-occupation will be the one in which **relatively long time** has been spent during the preceding 365 days by the person.

3.5.1.9 Besides, to **identify certain category of workers separately, NIC-2008 industry class code 9700 (Division 97) has been split, for the purpose of the survey, into the following sub-classes as given below:**

Division 97: ACTIVITIES OF HOUSEHOLDS AS EMPLOYERS OF DOMESTIC PERSONNEL

| | | | |
|-------------------------------------|-------|-----------------------------|-------|
| housemaid/servant | 97001 | governess/baby-sitter | 97005 |
| cook | 97002 | tutor | 97006 |
| gardener | 97003 | driver | 97007 |
| gatekeeper/chowkidar/watchman | 97004 | others | 97009 |

These additional codes are to be used, wherever necessary, in **recording five digit industry codes in column 5 of block 5.1**. In assigning the industry code under Division 97, it should be kept in mind that the work is to be performed predominantly in the premises of the household irrespective of whether it is performed in one or more than one household. If services provided by the individuals to the household originate and terminate in the same household, they will be classified under Division 97.

For example, all persons who collect electric bills from the households for payment, who provide potable water in the container made available by the household, who collect grocery items from the shops/market as per the list of items supplied by the household, who give tuition to the members of the household at the residence of the household members, etc., **will be** classified under this division. On the other hand, if the households avail these services by approaching such persons (providing these services) in their establishment/house, then those services **will not be** classified under Division 97. They will be classified under appropriate division. For example, for a person providing tutoring services in his coaching classes, his activity may be classified under NIC 85491. **Note that the persons classified under NIC division 97 in the above example will be considered as 'wage earners/employees', while those not classified under division 97 will be considered as 'self-employed'.**

3.5.1.10 It may be noted that in determining the usual principal status of a person, it is not essential to consider the time disposition in respect of various activities pursued by the person on a day-to-day basis - which is generally done in the case of current status. What is important is that the activity, which a person usually performed or the status in which the person usually belonged to for a longer period during the reference period, is to be assessed. In order to determine the usual principal status, the dominant activity of the individual that kept the person engaged for a longer period during the reference period, may be identified. This may largely be understood by the functional role of the individual in daily life or normal attachment of the individual to an activity or the activity situation in which an individual disposes himself or herself. This may even be understood by the response to the question generally asked 'what he/she normally does or did during the reference period?' such as,

teaching or housekeeping or tutoring others or studying or farming or renting or prostitution. For example, the dominant activity of a person whose normal attachment is with household chores, even though gives tuition for some time – maybe for three/ four hours in a day, will be considered as performing ‘domestic duties’ or, that of a boy who disposes himself as a student though performs some work activity regularly will be considered as ‘student’. Note that the dominant activity of a person during the reference period is determined irrespective of the activity situation on a specific point of time (say, 1 day) or during a short period of time (say, 1 week).

3.5.1.11 There may be several situations for a person during the reference period. The individual might be engaged in a single dominant activity throughout the year or, the dominant activity might be carried out with other activities simultaneously or in succession or in alternation. In the first situation, the dominant activity for the person, which did not change during the reference period, will determine his/her usual principal activity status. In the second situation, where the dominant activity changed, the usual principal status for the person will be determined by the activity that prevailed for a longer period for the person during the reference period, that is, by major time criteria. For example, the dominant activity situation for a person may be ‘employed’ throughout the year, with or without any other activity carried out simultaneously, and accordingly, his/her usual principal activity status will be assigned as ‘employed’. On the other hand, the dominant activity situation for a person may be outside the labour force for some period, unemployed for some period and employed for the remaining period during the year. The broad usual principal status of the person will be the activity that prevailed for the person for a longer period during the year, which is obtained following a two-stage dichotomous classification depending on the major time spent on the different broad activities. However, if a person did any economic activity for a period of 30 days or more, he/she will be considered as worker either in the principal status or in the subsidiary status depending upon the situation during reference period.

3.5.1.12 **Column (7): Whether engaged in any work in a subsidiary capacity (yes-1, no-2):** For each member of the household listed in this block, it has to be ascertained whether he/she worked in a subsidiary capacity during the 365 days preceding the date of survey or in other words if he/she had any subsidiary economic status. A person will be considered to have worked in the subsidiary capacity if he/she has worked for a minimum period of 30 days, not necessarily for a continuous period, during the last 365 days, and for them code 1 will be recorded in this column. Otherwise, code will be 2.

3.5.1.13 The identification of those working in a subsidiary capacity will be done as follows:

(i) For example, a person categorised as working and assigned the usual principal activity status as own account worker may also be engaged for a relatively minor time, but not less than 30 days, during the reference year as casual wage labour. In such a case, he will be considered to have worked also in a subsidiary capacity, i.e., having a subsidiary economic status which is different from the principal economic status. A person may be own account worker in trading for a relatively long period and simultaneously also engaged in agricultural production for a relatively minor time, say for at least 30 days. In such a case, the usual principal status will be own account worker in trade and usual subsidiary economic status will be own account worker in agriculture.

(ii) Similarly, persons categorised as 'unemployed' or 'not in labour force' on the basis of relatively long time criterion might have pursued some economic activity for relatively minor time, say for at least 30 days, during the year (as in the case of persons 'B', 'D' and 'F' in the example cited earlier). In such cases, they will be treated as having subsidiary economic activity and code 1 will be recorded in column (7).

(iii) Differentiation between usual principal economic activity and usual subsidiary economic activity will be made by considering activity status and industry at 2-digit level of NIC-2008. Thus, while for a person with two or more economic activities pursued at different activity status, one of the economic activities will be considered as usual principal economic activity on the basis of major time criteria, another activity will be considered as usual subsidiary economic activity. On the other hand, if a person pursues two or more economic activities in the same activity status but if the industry at 2-digit level of NIC-2008 are different, then the person will be considered to have different usual principal activity and usual subsidiary economic activity.

3.5.1.14 *Columns (8) to (13): Particulars of enterprise and conditions of employment:*

Certain probing questions will be asked to determine the particulars of enterprises and conditions of employment to those engaged in the non-agricultural sector as well as in the agricultural sector excluding growing of non-perennial crops (NIC-2008 group 011), growing of perennial crops (NIC-2008 group 012), plant propagation (NIC-2008 group 013) and mixed farming (NIC-2008 group 015). Thus, for persons with **industry groups 014, 016, 017 and divisions 02 to 99 of NIC 2008 in col. (5)**, particulars of the enterprises where the household members are usually engaged will be recorded in columns (8) to (10) **for all the workers (i.e., for those with activity status codes 11, 12, 21, 31, 41 or 51 in column 3)**, and conditions of employment will be recorded in columns (11) to (13) for those with **status codes 31, 41 or 51 in column (3)**. **Note that in this block the particulars to be collected in columns (8) to (13) will pertain to the principal status (col. 3) and industry (col. 5) obtained for the person.**

3.5.1.15 *Columns (8): Location of workplace:* In column (8), information on location of workplace will be recorded in terms of the following codes. The detailed codes are:

| description | code |
|--|------|
| place of work in rural areas and located in: | |
| own dwelling unit..... | 10 |
| structure attached to own dwelling unit..... | 11 |
| open area adjacent to own dwelling unit..... | 12 |
| detached structure adjacent to own dwelling unit..... | 13 |
| own enterprise/unit/office/shop but away from own dwelling..... | 14 |
| employer's dwelling unit..... | 15 |
| employer's enterprise/unit/office/shop but outside employer's dwelling | 16 |
| street with fixed location..... | 17 |
| construction site..... | 18 |
| others..... | 19 |
| place of work in urban areas and located in: | |
| own dwelling unit..... | 20 |
| structure attached to own dwelling unit..... | 21 |
| open area adjacent to own dwelling unit..... | 22 |
| detached structure adjacent to own dwelling unit..... | 23 |
| own enterprise/unit/office/shop but away from own dwelling..... | 24 |
| employer's dwelling unit | 25 |
| employer's enterprise/unit/office/shop but outside employer's dwelling | 26 |
| street with fixed location..... | 27 |
| construction site..... | 28 |
| others | 29 |
| no fixed workplace..... | 99 |

It may be noted that the location of the sample household (rural or urban) is not to be considered for entry in this column; location of the enterprise is to be ascertained and appropriate code is to be recorded. For the purpose of the survey, the term 'adjacent' area/structure will be restricted within *homestead land* only. For the working members, if the enterprise in which they are working does not have a fixed premises or in other words if these enterprises do not have fixed workplace (as in the case of a hawker or an artisan like carpenter, cobbler, knife-grinder, own-account carpenters, etc., who moves from place to place and goes to the customers), code 99 will be assigned, irrespective of whether the enterprise is in operation in rural or urban areas. For those working in enterprises with fixed location, two sets of codes have been provided, one for the enterprises, which are located in the rural areas and the other for those that are in the urban areas. The two sets are identical in their classification. In the case, where the sector of location is both rural and urban, appropriate code is to be given on the basis of major time criterion. Code 18/ 28 is relevant only for persons engaged in construction industry. The workplace of the workers engaged in construction activity is normally the site of construction and may change frequently. For them appropriate entry will be 18 / 28 and not 99. If the enterprise changes its location from time to time, e.g., a trading enterprise may shift its location from one market to the other on different days of the week although operates in a fixed place of the market, code will be 19 or 29 depending on whether the workplace is in the rural areas or in the urban areas. Similarly for the own account workers such as, rickshaw pullers, auto drivers, taxi drivers, lorry drivers, etc., code 19 or 29 will be assigned on the basis of major time of operation of such enterprises.

3.5.1.16 Column (9): Enterprise type: The type of enterprise in which the household member is working is to be recorded under this column. The entry is to be made in terms of codes as given below:

| | |
|--|----|
| proprietary | |
| <i>male</i> | 01 |
| <i>female</i> | 02 |
| partnership: | |
| <i>with members from same household</i> | 03 |
| <i>with members from different household</i> | 04 |
| Government/local body | 05 |
| Public Sector Enterprises | 06 |
| Autonomous Bodies..... | 07 |
| Public/Private limited company..... | 08 |
| Co-operative societies..... | 10 |
| Trust/other non-profit institutions..... | 11 |
| Employer's households (<i>i.e., private households employing maid servant, watchman, cook, etc.</i>) | 12 |
| Others..... | 19 |

Definition of enterprise types mentioned above is given in Chapter One. If the informant does not know the type of enterprise in which the household member works and the investigator is unable to collect such information in spite of his/her best efforts, code 19 will be recorded for such working member against type of enterprise. For persons engaged in own account production of fixed assets, the enterprise type will be either proprietary or partnership, i.e., any of the codes 01 to 04.

3.5.1.17 Column (10): Number of workers in the enterprise: Number of workers would mean the number of workers employed in the enterprise on an average in a day of operation,

irrespective of whether they are hired workers, household members working in the enterprise and working owners. The number of workers will be recorded in terms of codes as detailed below:

| | |
|-----------------------------------|---|
| less than 6 | 1 |
| 6 & above but less than 10..... | 2 |
| 10 & above but less than 20 | 3 |
| 20 & above | 4 |
| not known | 9 |

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

3.5.1.18 **Column (11) to Column (13):** Columns 11 to 13 will be filled in for each employee (i.e., those with code 31, 41, or 51 in column 3) working in industry groups 014, 016, 017 and divisions 02 to 99 of NIC 2008 as recorded in column (5).

3.5.1.19 **Column (11): Type of job contract:** It is to be ascertained for each employee (i.e., those with code 31, 41, or 51 in column 3) whether for the job in which he/she is engaged, there is any written contract or agreement, irrespective of whether such contract is protected under national legislation or not, in respect of duration of employment with his/her employer. For those who report to have written job contract with their employer, further probing may be done in respect of the length of duration of job contracted, and the information so obtained may be recorded in terms of the code 2, 3 or 4, depending upon the length of such contract, as given below:

| | |
|--------------------------------------|---|
| no written job contract..... | 1 |
| written job contract: | |
| for 1 year or less..... | 2 |
| for more than 1 year to 3 years..... | 3 |
| more than 3 years..... | 4 |

If the contract of employment specifies a particular date of termination which is more than 3 years or if the type of job contracted is such that no time is fixed but the contract can only be terminated for certain administrative reasons such as incompetence, misconduct or for economic reasons then code 4 will be recorded. However, if no written contract exists, then irrespective of the duration of employment, code 1 will be recorded.

3.5.1.20 **Column (12): Whether eligible for paid leave:** If the employee is eligible for paid leave then code 1 will be entered, otherwise code will be 2. Paid leave may include leave during sickness, maternity, or such leaves, as the employee is eligible to take without loss of pay as per the conditions of employment. The situation will be obtained excluding the paid off days/holidays which an enterprise normally allows to its employees.

3.5.1.21 **Column (13): Availability of social security benefits:** It will be ascertained from the employees whether they are covered under any of the specified social security benefits or a combination of them which are arranged or for which contribution is made by the employer. The following code structure is to be adopted for recording the entry against this column:

| | |
|---|---|
| eligible for: | |
| only PF/ pension (i.e., GPF, CPF, PPF, pension, etc.) | 1 |
| only gratuity | 2 |
| only health care & maternity benefits..... | 3 |
| only PF/ pension and gratuity..... | 4 |
| only PF/ pension and health care & maternity benefits..... | 5 |
| only gratuity and health care & maternity benefits..... | 6 |
| PF/ pension, gratuity and health care & maternity benefits | 7 |
| not eligible for any of above social security benefits | 8 |
| not known..... | 9 |

The term Provident Fund (PF) will include General Provident Fund, Contributory Provident Fund, Public Provident Fund, Employees Provident Fund, etc. It may be mentioned that coverage under any of these social security schemes will mean that the employer contributes/ arranges/ pays in implementing the social security benefits for the worker. If an employee operates, in his/ her individual capacity, a PPF account and the employer is not contributing in that account then it will not be considered a social security benefit. On the contrary, a scheme, in which both the employee and the employer contribute, will be considered a social security benefit. When benefits are given by the employer for treatment of illness/ injury or an employee is eligible for paid leave for a specified period of pre-natal/ childbirth/ post-natal stage or the expenditure for maternity care or childbirth is borne by the employer as per the conditions of employment, then such benefits will be considered as health care & maternity benefits. There may be cases where the employer is not directly contributing in a social security scheme for the employees, but being the member of the welfare association or organization or scheme in relation to the specific activity carried out by the employer, the employees get the benefit from that welfare association/ organization/ scheme. Such cases will also be considered as social security benefits availed through the employer and appropriate code will be assigned. If information about the availability of social security benefits is not known to the employee, code 9 may be put in this column.

Block 5.2: Usual subsidiary economic activity particulars of household members

3.5.2.0 This block will be filled in for those who have reported to have carried out some *economic* activity in the subsidiary capacity, i.e., **for those with code 1 in col. 7 of Block 5.1**. Information in this block will be recorded for each and every member of the household reporting subsidiary economic activity (i.e., for those with code 1 in col. 7 of Block 5.1) irrespective of whether in the usual principal activity status the person is a worker or not. This will include information on industry-occupation of the working members, some particulars of the enterprises in which they are working and conditions of employment for the persons employed as regular wage/salaried employee and casual labour. The particulars will be collected with reference to a period of 365 days preceding the date of survey. The relevant concepts like 'activity status', 'economic activity', 'principal usual activity', 'subsidiary economic activity', etc., are explained in Chapter One. In the situation where a person has been found to have pursued more than one economic activity during the last 365 days in his or

her subsidiary capacity, the details of the subsidiary economic activity on which more time has been spent would be considered for recording entry in this block.

This Block will be filled-in only in first visit to the households.

The description of the item and the procedure for recording them are explained below:

3.5.2.1 Columns (1) & (2): Srl. no. & age, as in cols. (1) & (2) of block 5.1: The entries in these two columns are to be copied from columns (1) and (2) of block 5.1, for each of the members of the household reported to have carried out some economic activity in the subsidiary capacity, i.e., with code 1 in column (7) of block 5.1.

3.5.2.2 Column(3): Usual subsidiary economic activity status: For all persons engaged in any 'work' in subsidiary capacity, i.e., **for those with code 1 in col. 7 of Block 5.1**, the status code corresponding to the economic activities pursued by them in their subsidiary capacity will be recorded in column (3). Activity status codes 11, 12, 21, 31, 41 and 51 relate to economic activity and only these codes are applicable for column (3).

3.5.2.3 Columns (4) to (6): Subsidiary industry-occupation: For the economic activities pursued in the subsidiary capacity, the particulars of industry-occupation will be entered in columns (4) to (6). The procedure for making entry in these columns is similar to that given for block 5.1.

3.5.2.4 Columns (7) to (12): Particulars of enterprise and conditions of employment: These columns are applicable for persons with **industry groups 014, 016, 017 and divisions 02 to 99 of NIC 2008 in col. (5)**. Particulars of the enterprises where the household members are usually engaged in the subsidiary capacity will be recorded in columns (7) to (9). This apart, conditions of employment will be recorded in columns (10) to (12) for those with **status codes 31, 41 or 51 in column (3)**. **Note that in this block the particulars to be collected in columns (7) to (12) will pertain to the subsidiary status (col. 3) and industry (col. 5) obtained for the person. The detailed instructions for columns (7) to (12) of Block 5.2 are similar to those given for Block 5.1 for the relevant columns, and therefore, those are not repeated here.**

Block 6: Current weekly activity particulars of the household members

3.6.0 The following points may be noted for filling up Block 6.

- This block will be filled in the **first visit** and in all the **revisit** to the households.
- In the **first visit** to the household, the block will be filled in for all the household members
- In the **revisits** to the household, this block will be filled in only for the **current members** of the household, i.e. for those with codes 1, 2 or 3 in column 3 of Block 4.
- In this block, provision has been made to record particulars of one person in one page.

In Box 6, placed below, an outline is given on the broad coverage and guideline to fill up Block 6.

Box 6

- (i) Details of activities for each day of the 7 days of the reference week will be recorded in items 3.1 to 3.7.
- (ii) Activities will be identified by priority-cum-major time criteria.
- (iii) According to the priority criterion, the status of 'working' gets priority over the status of 'not working but seeking or available for work', which in turn gets priority over the status of 'neither working nor available for work'.
- (iv) Item 3.1 is for recording the particulars of activities for the 7th day, Item 3.2 is for the 6th day and so on.
- (v) The economic activities (work activities) in this block will be identified and recorded in terms of 'status' (status codes 11-72) and 'industry' (at 2-digit of NIC 2008).
- (vi) On each day in each of the items 3.1 to 3.7 provision has been made to record details of at most two work status codes if the person performed two or more economic activities.
- (vii) The two work statuses will be recorded in srl. no. of activity 1 and 2 respectively for a particular day, for the persons having two economic activities on that day.
- (viii) If a persons had only one economic activity on a day, it will be recorded against srl. no. of activity 1 on that day.
- (ix) For each of the work status codes 11-51 recorded in items 3.1 to 3.7, corresponding industry of work (in 2-digit of NIC-2008), number of hours actually worked will be recorded.
- (x) For each of the work status codes 61, 62, 71 and 72 recorded in items 3.1 to 3.7, corresponding industry of work (in 2-digit of NIC-2008) and number of 'hours would have worked' in the corresponding economic activity will be recorded.
- (xi) For status codes 71/72 (had regular salaried/wage employment but did not work), 'hours would have worked' will correspond to that regular salaried/wage employment (status code 31) from which the person is temporarily off.
- (xii) For status codes 61/62 (had self-employment work in household enterprises but did not work), 'hours would have worked' will correspond to that self-employment (status codes 11/12/21) activity from which the person is temporarily off.
- (xiii) If a person does not have economic activity (i.e., no work status code), only one status code relevant for unemployment status or out of labour force status, as the case may be will be recorded against 'srl. no. of activity' 1 using a priority-cum-major time criteria.
- (xiv) For the work status code 41, 42 or 51, wage and salary earnings (received/ receivable) corresponding to that activity (*identified in terms of status x 2-digit code of NIC*) will be recorded.
- (xv) For the days on which a person had work status, 'total hours actually worked considering all the work performed during the day' and '**if available for additional work**, hours available for such work during the day' will also be recorded.
- (xvi) Current weekly status will be determined from the time disposition in different activities during the 7 days of the week by priority-cum-major time criteria.
- (xvii) If the current weekly status is any of the work status codes, corresponding industry (2-digit of NIC 2008) and occupation (3-digit of NIC 2004) will be recorded.
- (xviii) If a person is classified as a regular salaried/wage employee in the current weekly status, earnings (received/receivable) during the preceding calendar month corresponding to the regular salaried/wage activity (Rs.) will be recorded.
- (xix) If a person is classified as a self-employed person in the current weekly status, gross earning during last 30 days from the self-employment activity (Rs.) will be recorded.

Different items of this block are described below

3.6.1 Item (1) & (2): Serial number and age of member: The following points may be noted for making entry in item 1 and 2:

- For the first visit, *serial number* of each person as recorded in column 1 of block 4 will be copied in item 1 of this block.
- For the revisit, serial number of all the **current members** of the household (i.e., for persons with codes 1, 2 or 3 in column 3 of Block 4) as recorded in column 1 of Part A and Part B of block 4 will be copied in item 1 of this block.
- In this block the serial numbers of the household members (**for all members in the first visit and for the current members during revisit**) will be entered sequentially one in each page as they appear in column (1) of block 4.
- For a person listed in item 1 (srl. no. of member) of this block, age of the person as recorded in column 6 of Block 4 will be copied for making entry in item 2 (age) for that person.

3.6.2 Determination of activities for recording against srl. no. of activities in items 3.1 to 3.7:

- (i) Activities will be identified using priority-cum-major time criteria.
- (ii) According to the priority criterion, the status of 'working' gets priority over the status of 'not working but seeking or available for work', which in turn gets priority over the status of 'neither working nor available for work'.
- (iii) *Different economic (work) activities* will be identified in terms of *status x industry* (2-digit of NIC 2008).
- (iv) If a person was engaged in work for at least one hour on a day (i.e., 60 minutes or more), the person will be given work status code 11- 72 on that day.
- (v) To consider whether a person was engaged in work for at least one hour on a day, both the following situations are to be considered:
 - a. 'had actually worked for 1 hour or more' or
 - b. 'had work for 1 hour or more but did not do the work'
- (vi) To consider whether a person was engaged in work for at least 1 hour on a day, no rounding off for the time worked will be made i.e., if a person worked for less than 1 hour on a day, say, worked for 55 minutes, it will not be considered as 1 hour of work.
- (vii) The following situations describe the method of determination of activity status:
 1. **Situation 1:** On a day, a person had only one economic activity for 1 hour or more.
In this situation, he/she will be given only one work status code for that day against serial no. of activity 1 and entry in column 6, hours actually worked (for status codes 11-51)/ hours would have worked (for status codes 61/62/71/72) corresponding to that activity will be recorded by rounding the hours worked in that activity. No entry will be made against serial no. of activity 2.

2. **Situation 2:** On a day total hours considering all the economic activities of a person was 1 hour or more but none of the activities was for at least one hour.

*In this situation, he/she will be given one work status code against serial no. of activity 1 following major time criteria (MTC) among all the economic activities performed by him/her on that day. **Entry in column 6 corresponding to that activity will be recorded as 1.** No entry will be made against serial no. of activity 2.*

3. **Situation 3:** One of the economic activities was for one hour or more and each of the other economic activities was for less than one hour.

In this situation, the economic activity with one hour or more will be recorded against serial no. of activity 1 and entry in column 6 will be made by rounding the hours worked in that activity. No entry will be against serial no. of activity 2.

4. **Situation 4:** Two or more economic activities were done on a day by a person and each of these activities was for more than one hour.

In this situation, two of the economic activities will be recorded following major time criteria against activity serial no. of activity 1 and 2 respectively. Entry in column 6 corresponding to these activities will be recorded by rounding.

5. **Situation 5:** A person did not work even for one hour on a day but he/she was seeking work for one hour or more on that day.

In this situation, status code 81 will be recorded in srl. no. of activity 1 and no entry will be against serial no. of activity 2.

6. **Situation 6:** A person did not work even for one hour on a day and was also not seeking work for 1 hour or more but was available for work for 1 hour or more

In this situation, entry will be 82 in srl. no. of activity 1 and no entry will be against serial no. of activity 2.

7. **Situation 7:** A person did not work even for one hour on a day and he/she was not seeking work for at least 1 hour and the duration for which he/she was available for work was also not for at least 1 hour but total period of seeking work/available for work in the day was 1 hour or more.

In this situation entry in srl. no. of activity 1 will be 81 or 82 following major time criterion and no entry will be against serial no. of activity. 2.

8. **Situation 8:** If a person did not work even for one hour on a day and neither sought/available for work for at least one hour on a day.

In this situation, one of the activity status codes 91 to 98 will be recorded against activity srl. no. 1 following major time criterion and no entry will be made against activity serial no. 2.

3.6.3 An example of determination of activities by priority-cum-major time criteria:

- (i) On a day, a person worked for 2 hours as *own account worker in household enterprises* (activity status code 11), 1 hour as *casual wage labour in works other than public works* (activity status code 51) and 3 hours as *helper in household enterprises* (activity status code 21). He also searched for work for 6 hours. In this example;
- Using priority criteria it is determined that the person will have work status code on that day.
 - In both the srl. no. of activities 1 and 2, work status codes will be recorded.
 - Using major time criteria it is determined that in the srl. no. of activity 1 entry will be 21 and in srl. no of activity 2 entry will be 11.
- (ii) On a day, a person worked for 1 hour as *own account worker in household enterprises* (activity status code 11) and searched for work for 8 hours. In this example;
- Using priority criteria it is determined that in srl. no. of activity 1, work status code 11 will be recorded.
 - No entry will be made against srl. no. of activity 2.
- (iii) On a day, a person did not work but searched for work for 2 hours and was engaged in household chores for 6 hours. In this example;
- Using priority criteria it is determined that in srl. no. of activity 1, entry will be 81.
 - No entry will be made against srl. no. of activity 2.

3.6.4 **Column(3): Serial number of activity:** For each day, in column 3 two serial numbers (1 and 2) are printed.

3.6.5 **Column (4): Status:** The activity status codes which will be used in recording daily activity particulars against items 3.1 to 3.7 in items 'srl. no. of activity' and the weekly activity particulars are as follows:

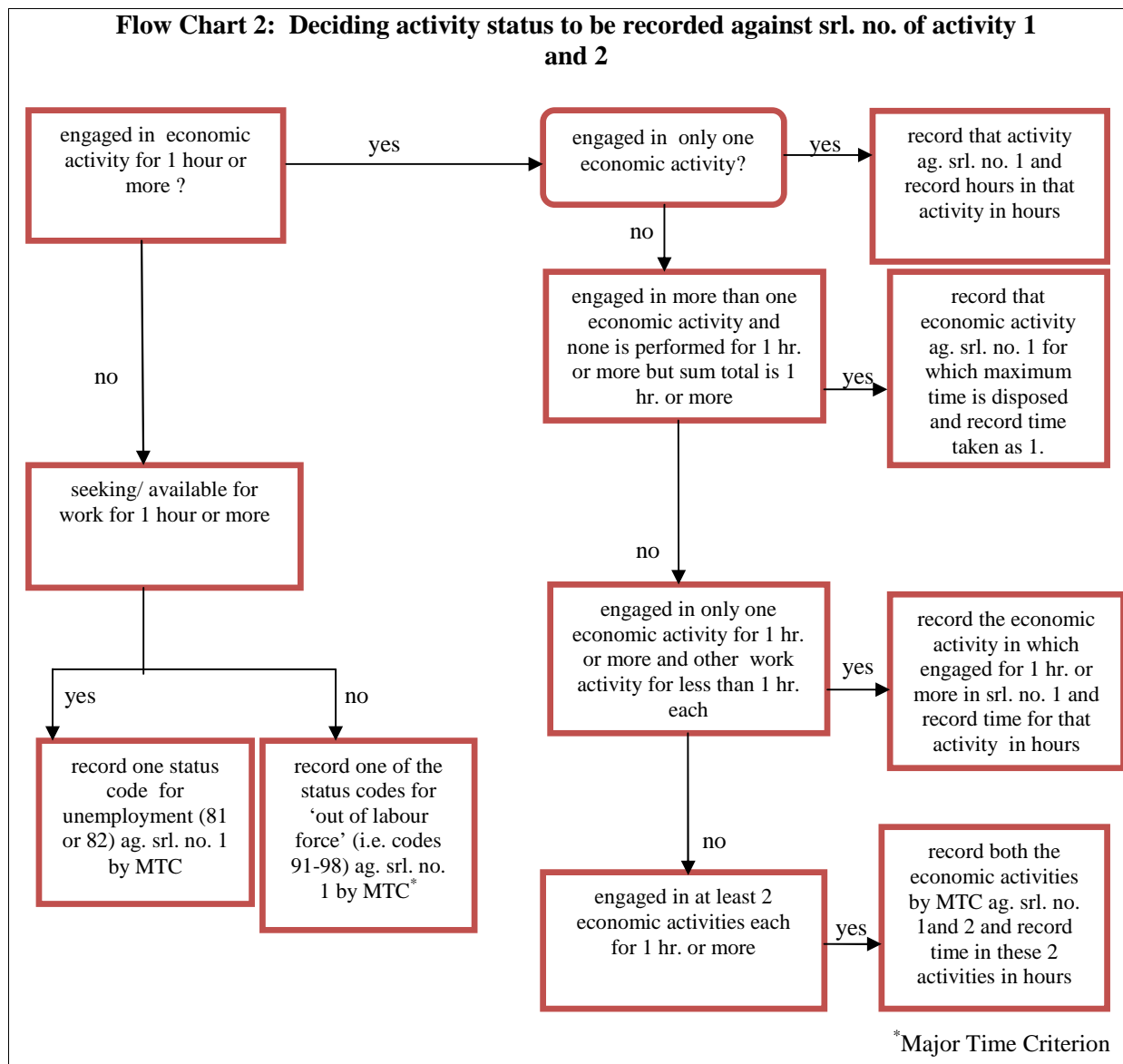
| <i>activity status</i> | code |
|---|--------------------------|
| <i>situation of working or being engaged in economic activities</i> | <i>(employed)</i> |
| <i>worked in hh. enterprise (self-employed) as own account worker.....</i> | 11 |
| <i>worked in hh. enterprise (self-employed) as employer</i> | 12 |
| <i>worked as helper (unpaid family worker) in hh. enterprises(self-employed).....</i> | 21 |
| <i>worked as regular salaried/wage employee</i> | 31 |
| <i>worked as casual wage labour in public works other than MGNREG works....</i> | 41 |
| <i>worked as casual wage labour in MGNREG works.....</i> | 42 |
| <i>worked as casual wage labour in other types of work</i> | 51 |
| <i>had work in h.h. enterprise (self-employed) but did not work due to:</i> | |

| <i>activity status</i> | code |
|---|------------------------------|
| <i>situation of working or being engaged in economic activities</i> | (employed) |
| <i>sickness</i> | 61 |
| <i>other reasons</i> | 62 |
| <i>had regular salaried/wage employment but did not work due to :</i> | |
| <i>sickness</i> | 71 |
| <i>other reasons</i> | 72 |
| <i>situation of being not engaged in work but available for work</i> | (unemployed) |
| <i>sought work</i> | 81 |
| <i>did not seek but was available for work</i> | 82 |
| <i>situation of being not available for work</i> | (not in labour force) |
| <i>attended educational institutions</i> | 91 |
| <i>attended domestic duties only</i> | 92 |
| <i>attended domestic duties and was also engaged in free collection of goods (vegetables, roots, firewood, cattle-feed, etc.), sewing, tailoring, weaving, etc. for household use</i> | 93 |
| <i>rentiers, pensioners, remittance recipient, etc.</i> | 94 |
| <i>not able to work due to disability</i> | 95 |
| <i>others (including begging, prostitution, etc.)</i> | 97 |
| <i>did not work due to sickness (for casual workers only)</i> | 98 |

It may be noted that these codes are the same as the usual activity status codes, except the codes 42, 61, 62, 71, 72, 82 and 98 which are not applicable for usual status. Moreover, **activity status code 41 in the usual status is used for casual wage labour in all types of public works, whereas in the current activity status, code 41 is for casual wage labour in public works other than MGNREG works and code 42 is for casual wage labour in MGNREG works. It may be noted that though under MGNREG Act persons of age 18 years and above in rural areas who are willing to do unskilled manual work are entitled to get MGNREG public works, for this survey, activity status code 42 may be assigned to those who have worked under MGNREG works irrespective of the age and place of residence of the person.** Besides, code 81 in usual status is used to indicate both the situations of seeking and being available for work, while in the current activity status, code 81 is for the persons 'seeking work' and code 82 is for the persons who 'did not seek but was available for work'.

In the case of children of age 0 - 4 years status code 97 will be assigned against srl. no. of activity 1 for all the seven days preceding the date of survey without any probing.

3.6.6 The Flow Chart 2 outlines the method of determination of activity status in srl. no. of activity 1 and 2 in items 3.1 to 3.7 of block 6:



3.6.7 Column (5): Industry division (2-digit NIC-2008 code) for the work activity: Against any serial number of activity with status code grouped under the activity category 'working' (i.e., for the status codes 11-72 recorded in column (4)) corresponding 2-digit NIC-2008 code will be entered in the corresponding cell in column (5). For codes 81-98 in any items 3.1 to 3.7, both the cells in this column corresponding to that item will be left blank.

3.6.8 Column (6): hours actually worked (for status codes 11-51)/ hours would have worked (for status codes 61/62/71/72): Entry in column 6 will be made as per the following guidelines:

- Entry in column 6 will be made corresponding to the economic activities, identified in terms of status x industry at 2-digit of NIC 2008, against the srl. no. of activity printed in column 3.
- For work status codes 11, 12, 21, 31, 41, 42, or 51 in column 4, hours actually worked will be recorded.

- For status codes 71/72 (had regular salaried/wage employment but did not work) in column 4 ‘hours would have worked’ will be recorded in column 6 which will correspond to the regular salaried/wage employment (status code 31) from which the person is temporarily off.
- Similarly for status codes 61/62 (had self-employment work in household enterprises but did not work) in column 4 ‘hours would have worked’ will be recorded in column 6 which will correspond to the self-employment (status codes 11/12/21) activity from which the person is temporarily off.
- For entry 81, 82 or 91 to 98 in any item 3.1 to 3.7, both the cells of column 6 corresponding to that item will be left blank.
- Concepts relating to hours actually worked is given in Chapter One.
- Entry in column 6 against srl. no. of activity will be reported in whole number of hours.

3.6.9 Column (7): Total hours actually worked considering all the work performed during the day: For each person with at least one work status code (i.e. with status codes 11-72 in column 4), on any day (items 3.1 to 3.7), entry in this column will be the total hours actually worked by the person during the day considering all the economic activities on that day. Thus, ‘hours actually worked’ by a person on a day is the total time spent (in terms of hours) by the person for performing all the economic activities on that day.

Total hours actually worked during the day by the person will be recorded as A+B where:

A= sum of the *hours actually worked* as recorded against srl. no. of activity 1 and 2 in column 6 corresponding to status codes 11-51 in column 4 on a day.

and

B= total of the *hours actually worked* in all the other economic activities, (i.e., in economic activities other than those recorded against serial no. of activity 1 and 2) during the day.

This will be rounded to nearest whole number of hour and recorded in column 7 for that day.

3.6.10 Column (8): If available for additional work, hours available for such work during the day: This column will be filled in for those days (items 3.1 to 3.7) when person had at least one work activity status recorded in column 4, i.e., for those who had entry any of 11 -72 in column 4 against at least one of the srl. no. of activity in that day. It may be noted that for persons with activity status code 61, 62, 71, 72, (i.e., *had work but did not do the work due to sickness or other reasons*), if the person reports that he/she was *available for additional work, hours available for such work during the day*’ will also be recorded in this column.

For the persons who were available for additional work, total hours available for additional work will be derived as follows:

- (a) Situation 1: A person was seeking/available for additional work in addition to his/ her work activities recorded in column 4 for less than one hour (i.e., less than 60 minutes, say for 55 minutes) or a person was not seeking/available for additional work in addition to his/her work activities recorded in column 4.

In this situation, entry in this column will be 0 (zero).

- (b) Situation 2: A person was seeking work for 1 hour or more in addition to his/ her work activities recorded in column 4.

In this situation, the total time for which he/she was seeking work will be rounded to hours and recorded in this column.

- (c) Situation 3: A person was not seeking work but was available for work for 1 hour or more in addition to his/ her work activities recorded in column 4.

In this situation, the total time for which he/she was available for additional work will be rounded to hours and recorded in this column.

- (d) Situation 4: A person was seeking work for some time and for some other time of the day he/she was not seeking but was available for work, which together was for 1 hour or more, in addition to his/ her work activities recorded in column 4.

In this situation, the total time for which he/she was seeking work and for which he was not seeking but was available for additional work will be rounded to hours and recorded in this column.

Thus, it may be noted that entry in column 8 will be greater than or equal to 1 if entry exists.

3.6.11 Column (9): Wage earnings (received/ receivable) for the work activity: The wage earnings will be recorded in column (9), separately for each day (items 3.1 to 3.7), in respect of each of the economic activities with status code 41, 42 and 51 recorded in column 4.

The following guidelines may be followed for recording wage (received/receivable):

- (a) The wage earnings (not total earnings) received or receivable for the economic activity (determined by *status x industry*) performed as casual wage labourers (status codes 41, 42 and 51) on a day recorded against any activity serial nos. in column (4) will be recorded in the corresponding cell in column (9).
- (b) The wages receivable for the work done during the day may be already received or may still be due to be received in cash or in kind or partly in cash and partly in kind. In case the entire wage is paid in kind or a part of it is paid in kind, it will be first **evaluated at the current retail price**. The total wage received/receivable in cash *plus* the value of wages received/receivable in kind (**evaluated at the current retail price**) for the work done during the day as reported against srl. no. of activity (in column 3) will be recorded against the corresponding srl. no. of activity in column 9.
- (c) The entries for in this column will be made in whole number in rupees.

3.6.12 **Item 4: Total hours actually worked during the week:** Against item 4, in the **first cell** sum total of all the entries in column (7) for items 3.1 to 3.7 will be recorded.

3.6.13 **Item 4: Total hours available for additional work during the week:** Against item 4, in the **second cell** sum total of all the entries in column (8) for items 3.1 to 3.7 will be recorded against this item.

3.6.14 **Item (5): Current weekly status:** Based on the activity status for a person on the seven days of the reference week, the current weekly status is to be identified and the status code so obtained is to be recorded here. The following points may be noted for determination of current weekly status.

- The activity status of a person falls into one of the three broad categories, viz. employed (any of codes 11-72), unemployed (any of codes 81 or 82) and out of labour force (any of codes 91-98).
- The activity status of a person for each of the seven days is recorded in column 4 against srl. no. of activity 1 and 2. If any of the entries in column 4 against items 3.1 to 3.7 is a work status code, i.e., any of 11 to 72, the person will fall in the employed category in the current weekly status.
- In other words, if the person is found to have been assigned a work status code on any of the days of the last week against any srl. no. of activity, he will be considered as working in the current weekly status.
- If a person is classified as a 'worker' in current weekly status, detailed work status code will correspond to that economic activity for which total of hours actually worked and would have worked considering all the 7 days of the week is the highest.
- To arrive at the total of hours (actually worked+ would have worked) in the last 7 days of the week against an economic activity (*status in col. 4 and 2-digit NIC in col. 5*) the following points may be considered:

(a) Hours recorded in column 6 for status codes 31 and 71/72 will be added together if industry at 2-digit NIC-2008 for these statuses are same and such total hours will be considered against the status code 31, 71 or 72 for which individually total hours is the highest during the week.

(b) Hours recorded in column 6 for status codes 11 and 61/62 will be added together if industry at 2-digit NIC-2008 for these statuses are same and such total hours will be considered against the status code 11, 61 or 62 for which individually total hours is the highest during the week.

(c) Hours recorded in column 6 for status codes 12 and 61/62 will be added together if industry at 2-digit NIC-2008 for these statuses are same and such total hours will be considered against the status code 12, 61 or 62 for which individually total hours is the highest during the week.

(d) Hours recorded in column 6 for status codes 21 and 61/62 will be added together if industry at 2-digit NIC-2008 for these statuses are same and such total hours will be considered against the status code 21, 61 or 62 for which individually total hours is the highest during the week.

(e) In all other cases, the total hours for the economic activities (status in col. 4 x 2-digit of NIC-2008 in col. 5) will be determined by adding the entries in column 6 corresponding to that economic activity.

- For assigning the unemployed status code (i.e., either 81 or 82) to a person as his weekly activity status code, the person *should not have had any work status codes* on any of the days of the reference week but should have one of codes 81 or 82 on at least one day of the last week (i.e., the entry in column (4) should not be any of 11-72 against any srl. no. of activity on any of the 7 days of the reference week but should be 81 or 82 against at least one of the serial nos. of activity against items 3.1 to 3.7).
- Persons without any of codes 11-82 in column (4) will be those who will be treated as out of labour force in the current weekly status and will be assigned one of the codes 91-98.

3.6.14.1 Some points for determining *status, industry and occupation in the current weekly status* is mentioned in Box 7, placed below.

Box 7

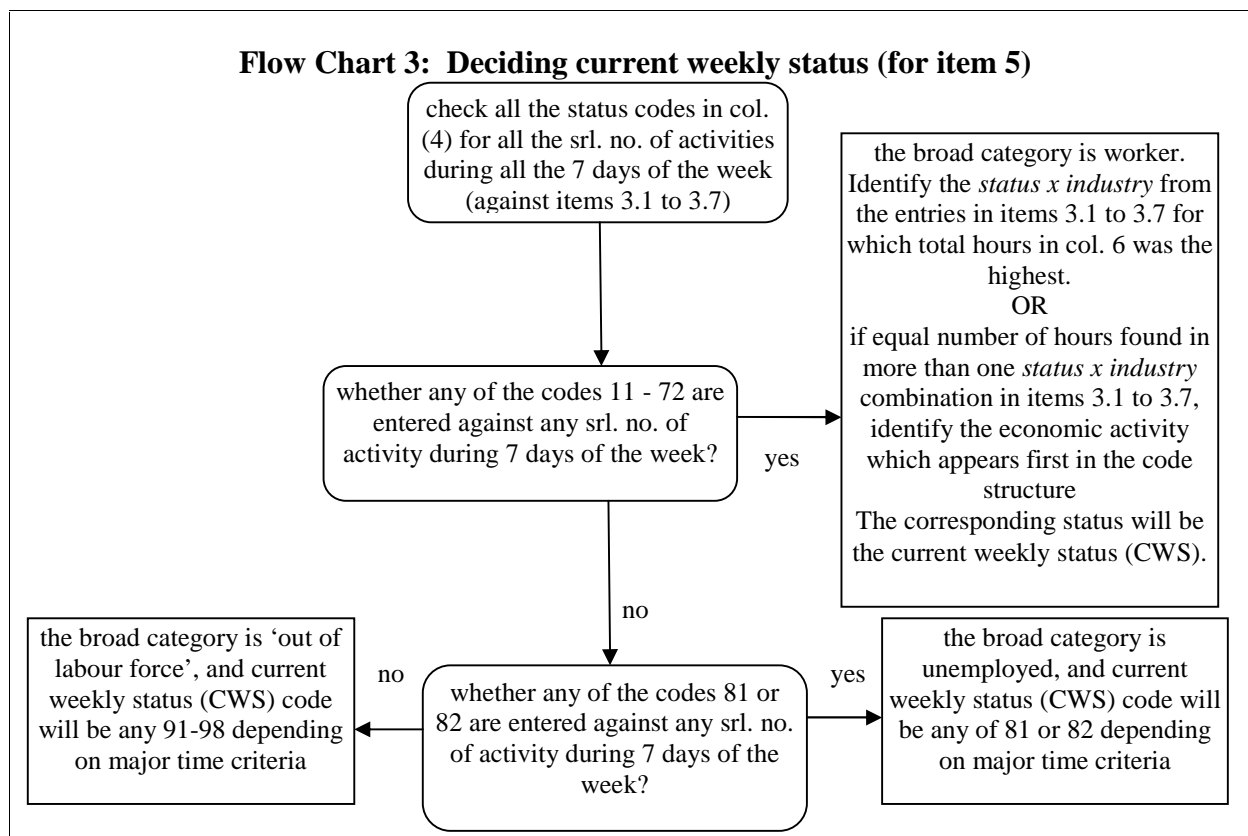
- (i) If any of the activity status codes 11 to 72 is reported in column (4) in at least one of the items 3.1 to 3.7, the person will be considered as worker in the current weekly status.
- (ii) If a person is classified as a 'worker' in current weekly status, to determine detailed work status code in current weekly status, total hours actually worked/ would have worked in different economic activities (determined by *status x 2-digit of NIC*) considering all the 7 days of the week will be considered.
- (iii) Activities status 31 and 71/72 will be treated as the same activity if 2-digit of NIC for these activities are the same. Similarly, the following statuses (11 and 61/62), (12 and 61/62) and (21 and 61/62) will be treated as same activity if 2-digit code of NIC for these activities is the same.
- (iv) Among the different *status x industry* combinations, the status code of the economic activity corresponding to which total of 'hours actually worked and hours would have worked' during the week is the highest will be the weekly activity status code and the corresponding 2-digit industry code and 3-digit occupation code will be the industry and occupation in the current weekly status.
- (v) In case, during the week equal number of hours (total of actually worked and would have worked) is found for more than one *status x industry* combination, if the status codes are different for such combinations, the status code appearing first in the code list will be the current weekly activity status code and the corresponding 2-digit NIC code and the 3-digit NCO code will be the industry and occupation in the current weekly status, respectively.
- (vi) In case, during the week equal number of hours (total of actually worked and would have worked) is found for more than one *status x industry* combination, if activity status code is same it will be the status code in current weekly status and the 2-digit NIC code appearing first in the code list of NIC will be the industry of activity corresponding to the current weekly status and the corresponding 3-digit NCO code will be the occupation code in the current weekly status.
- (vii) If a person has none of the status codes 11-72 in any srl. no. of activity in items 3.1 to 3.7 on any of the days during the week but has codes 81/82 on at least one srl. no. of activity, he/she will be considered unemployed in the current weekly status.
- (viii) For a person classified as unemployed in the current weekly status, status code (codes 81 or 82) in current weekly status will be decided by major time criteria.
- (ix) Persons without any of codes 11-82 against any of the srl. no. of activity in items 3.1 to 3.7 on any of the 7 days of the reference week will be treated as out of labour force in the current weekly status and one of the codes 91- 98 will be assigned by major time criteria.

An example for determination of status and industry in the current weekly status is given below:

| Example 1: | | | | | |
|---|---------------------|-------------------------|--------|--|--|
| 3. activity status, industry, earnings, hours worked and hours available for additional work | | | | | |
| srl. nos. for day of the week | day of the week | srl. no. of activity | status | for 11 – 72 in column 4 | |
| | | | | industry (2-digit of NIC-2008) for the work activity | hours actually worked (for status codes 11-51)/ hours would have worked (for status codes 61/62/71/72) |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 3.1 | 7 th day | 1 | 31 | 64 | 8 |
| | | 2 | 11 | 01 | 10 |
| 3.2 | 6 th day | 1 | 31 | 64 | 8 |
| | | 2 | 11 | 01 | 10 |
| 3.3 | 5 th day | 1 | 31 | 64 | 8 |
| | | 2 | 11 | 01 | 10 |
| 3.4 | 4 th day | 1 | 72 | 64 | 8 |
| | | 2 | 62 | 01 | 10 |
| 3.5 | 3 rd day | 1 | 72 | 64 | 8 |
| | | 2 | 62 | 01 | 10 |
| 3.6 | 2 nd day | 1 | 72 | 64 | 8 |
| | | 2 | 62 | 01 | 10 |
| 3.7 | 1 st day | 1 | 72 | 64 | 8 |
| | | 2 | 62 | 01 | 10 |

In this example, the person have two economic activities and not four economic activities during the week: the status codes 11 and 62 are considered to be in the same economic activity since their 2-digit of NIC code is same (01) and similarly status cods 31 and 72 are considered to be in the same economic activity since their 2-digit NIC code is same (64). In this example the status in CWS will be 62 and the NIC will be 01(since total hours for status codes 11 and 62 together is the highest, 70 hours, and between status codes 11 and 62, for status code 62 it is highest).

3.6.14.2 Guideline for determination of current weekly status is given in Flow Chart 3, placed below.



3.6.15 Item (6) and (7): Industry and Occupation: For persons with any of codes 11-72 in item (5), corresponding 2-digit industry (NIC-2008) and 3-digit occupation (NCO-2004) codes will be recorded in item 6 and item 7 respectively. The industry and occupation will correspond to the activity in which the highest number of hours is spent as explained in Box 7.

3.6.16 Item (8): Description of the industry-occupation: The description of the industry-occupation relevant to the type of economic activity pursued by the person in the status recorded in item 5 will be given in item 8. The description of industry-occupation should be recorded in as specific terms as possible based on the description given by the informant. In other words, the description of the industry-occupation should not be copied from the NIC-2008 and NCO-2004 booklets if the informant's description gives a clearer idea of the industry-occupation pursued by an individual.

3.6.17 Item (9): For 31 71 or 72 in item 5, earnings (received/receivable) during the preceding calendar month for regular salaried/wage activity: Those who had regular salaried/wage activity in the current weekly status, i.e., for those with current weekly status code any of 31, 71 or 72 in item 5, earnings (received/receivable) of the person from the regular salaried/wage employment identified in terms of (status in item 5) x (2-digit industry code in item 6) x (3-digit occupation code in item 7) for the **preceding calendar month** will be reported in item 9 of this block. **It may be noted that earnings to be reported will refer to the earnings during the preceding calendar month and not for the last 30 days.**

3.6.18 Item (10): If entry 11, 12, 21, 61, 62 in item 5, gross earning during the last 30 days from self-employment activity: Those who had self-employment activity in the current weekly status, i.e., for those with current weekly status code any of 11, 12, 21, 61 or 62 in item 5, gross earning of the person from the **self-employment activity identified in terms of (status in item 5) x (2-digit industry code in item 6) x (3-digit occupation code in item 7)**

during the last 30 days will be reported in item 10 of this block. For derivation of earnings corresponding to the self employment activity of the person during the last 30 days, earnings from the activity as ‘helpers in household enterprises’ during the last 30 days will be considered as zero (0). If the gross earning is negative, put negative sign (-) before the value (say, -100).

3.6.19 Earnings for the regular wage/salaried employment in the current weekly status is to be recorded for the last calendar month. It may happen that a person classified as ‘regular wage/salaried employee’ in the current weekly status may not have pursued that work during the last calendar month. In such cases, earnings during the last calendar month will be recorded as 0.

3.7 Some Important Clarifications regarding Concepts:

1. Production of primary goods for own consumption is considered as economic activity. It may be noted that ‘production of agricultural goods for own consumption’ covers all activities up to and including stages of threshing and storing of produce.
2. Engagement in domestic duties by a member of the household is not considered economic activity but the domestic duties performed by the domestic servant staying in the employer's household and taking food from the common kitchen and thereby being a member of the household is to be considered as an economic activity, as a special case.
3. ‘Free collection for sale’ will be treated as self-employment. In the case of primary products in the agricultural sector, even if the products collected are not for sale but for household consumption, persons engaged in these activities will be considered as self-employed.
4. A Government servant who is on extraordinary leave or suspended will be treated as a person who had regular salaried/wage employment and expected to work but did not work.
5. The ‘meal carriers’ (who collects meals from respective households and delivers the same at various offices), ‘night watchmen’ of a locality, ‘cowherd’, etc., are normally employed by a group of households on a regular monthly wage. The ‘activity status’ of such workers will be the same as that of maid servant/male servant, etc., i.e., ‘wage/salaried employee’.
6. Carpenters, masons, plumbers, etc., who in their professional rounds, move from place to place in search of work and carry out the work on contract basis whenever work is available will be considered as own account worker. But if such persons are working on a wage basis or so under a contractor or for a household, they will be considered as regular salaried/wage employee.
7. Unpaid apprentices are treated as ‘students’ while paid apprentices are treated as employees. Persons under ‘paid lay-off’ are considered ‘employed’ and those under ‘unpaid lay off’ are not considered as employed.
8. MPs and MLAs are considered as regular salaried worker. Party functionaries not getting salaries are not to be considered as economically active if they are not engaged in any other economic activity.
9. A porter/ coolie in their professional rounds in search of jobs contracts with several clients for the amount of remuneration depending upon the quantity and volume of goods to be carried for a given distance. Thus in a day, he/ she, in fact, serves several clients and generally, possess some tangible assets to perform these activities. Moreover, they decide

the scale of operation of their own. In view of this, a porter/ coolie may be considered as self-employed.

10. Renting of machinery and equipment, building for residential or non-residential purposes is considered as economic activity, if those are performed as a business activity, for which substantial amount of time is spent.
11. Special care is to be taken to identify some of the economic activities which are performed predominantly in the self-employment capacity and lack in clear visibility. These are sometimes not clearly identifiable for classifying as economic activity. Some examples of such economic activities are cited below:
 - a) Manufacturing of goods within household premises for sale like, making of goods for consumption of other households or enterprises, preparation of paper packets, incense sticks, dress making, making of dolls, doing *false & picos* for sarees, preparation of *papad, ghee, pickle, muri*, etc.
 - b) Preparation of processed food for sale like activities of home delivery of meals.
 - c) Activities of insurance agents, tax consultants, legal consultants, private tutors, etc.
 - d) Collection of goods for sale, like waste paper, tin, iron, etc.
 - e) Activities of supply of water by individuals.
 - f) Activities of individual beauticians providing service to household members in the households.
 - g) Activities of selling like selling of *sarees*, own products, products of different companies, to households.
 - h) Participation of the household members in the activities of the household enterprises like shop, STD booth, book stalls etc. by rotation e.g., husband, wife, son, daughter or other relatives etc. spending time for the same household enterprises by rotation.

Frequently Asked Question

| references to the schedule | | | | question | clarifications |
|----------------------------|-------|------|------|--|--|
| sl. no. | block | item | col. | | |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 1. | 4 | - | 7 | One adult boy and one adult girl are living together without any formal marriage. In such cases, what marital status code will be given? | 'Live-together' will be treated similar to marriage for determining marital status code. |
| 2. | 4 | - | 8 | A person had passed the primary level of education in the past. Now he cannot read or write a simple message. Will he be considered a literate? | Persons who cannot read and write a simple message in any language with understanding will be considered as 'not literate' and code 01 will be recorded for such persons. |
| 3. | 4 | - | 8 | What level of educational code should be given to company secretary, chartered accountant and cost accountant? | Code will be 13. |
| 4. | 4 | - | 9 | In which category (general or technical) of education MBA degree will be considered. | MBA degree will be considered as technical degree and code 06 will be given in column 9. However, for determining the appropriate code in column 8 (general educational level), highest level of education, considering general/technical/vocational education, successfully completed by the household member will be considered. |
| 5. | 4 | - | 10 | One member of a household has passed Class 12. His result has been declared but he has not taken admission in the next class. What would be the status of current attendance code? | If he/she does not intend to continue his/her education, the appropriate code from 11 to 15 would be recorded. However, if he/she intends to continue his/her education (i.e., if awaiting admission), any of the status of current attendance codes 28 to 31 and 33 to 42 will be recorded. |
| 6. | 4 | - | 10 | If a person appears in examination as private student without attending class, then whether he/she will be | Those who are registered for any course or enrolled in an educational institution and are allowed to appear in the |

| references to the schedule | | | | question | clarifications |
|----------------------------|-----------|------|---------|--|---|
| sl. no. | block | item | col. | | |
| (1) | (2) | (3) | (4) | (5) | (6) |
| | | | | considered as currently attending? | examination, will be considered as currently attending. |
| 7. | 5.1/5.2/6 | - | general | The code structure followed for usual principal and CWS mentions only household enterprises. There could be companies big or small where in the owner(s) households may be covered as sample households. It is felt that code 12 is not the proper code. | Codes 11, 12, 21 in usual status and codes 11, 12, 21, 61, 62 in current status are for the self-employed persons in household enterprises. The owner-managers of incorporated enterprises should be regarded as employees, though they may share the characteristics of self-employment in terms of total remuneration and control over resources. |
| 8. | 5.1/5.2/6 | - | general | Whether smuggling activity is to be treated as economic activity? | Determination of economic activities will be done irrespective of the situation whether such activities are done illegally in the form of smuggling or not. |
| 9. | 5.1/5.2 | - | 3 | A person has pursued an economic activity for 35 days & another economic activity for 30 days and is seeking and is available for work for rest of the period for 365 days preceding the date of survey. What will be his usual principal activity status? | Usual principal activity status should be unemployed and his subsidiary economic activity will be the activity which was pursued for 35 days. |
| 10. | 5.1 | - | 3 | What usual activity status code will be assigned for student who does newspaper vendor work daily for an hour? | In the usual principal activity status, such students will be assigned usual activity status code as 91. However, he/she will be treated as engaged in subsidiary economic activity, if such economic activity was pursued for 30 days or more during last 365 days. |
| 11. | 5.1 | - | 3 | One person is working in an NGO without any remuneration for major time during the reference period. What usual activity status code should be | Since the person is working voluntarily without remuneration, he/she will not be treated as worker. His usual principal activity |

| references to the schedule | | | | question | clarifications |
|----------------------------|-------|------|--------|---|---|
| sl. no. | block | item | col. | | |
| (1) | (2) | (3) | (4) | (5) | (6) |
| | | | | reported in such cases? | status code will be 97. |
| 12. | 5.1 | - | 3 | A washerman is working in different households on monthly basis. Whether he is to be treated as regular salaried/ wage employee or self employed? | If the washerman, collects clothes from different households and uses his own assets for the work he will be treated as self-employed. On the other hand, if he uses assets supplied by the households for doing his work he will be considered as employees of the households. |
| 13. | 5.1 | - | 8 | In case of a government employee who is working in rural/urban area, which code will be given? | Code 16/26 may be reported as the case will be. |
| 14. | 5.1 | - | 10 | In case of a govt. office, what will be the code for number of workers in the enterprise? Whether it would be the employee strength of local/branch office or total organization. | The number of employee in the local/branch office in which the member of the household works will be taken into account for determining code in this column. |
| 15. | 5.1 | - | 10 | One household member is working in the packing section of a big trading enterprise. The informant is aware of the number of workers in the packing section only. He is not aware of the total number of workers in the entire trading enterprise. Whether the entry can be limited to the packing section in which he is working. | Information is to be recorded for the entire trading enterprise provided the packing section is not a separate branch office and it is in the same office. If the informant is not aware of the number of workers, the relevant code may be reported. |
| 16. | 5.1 | - | 13 | Whether PPF will also be considered a social security benefit? | If the payment for the PPF has been made by the employer, then it will be considered as social security benefit. |
| 17. | 5.2 | - | 3 to 6 | A person has two subsidiary economic activities, in which he was engaged in 40 days each, during the last 365 days. Since, only one subsidiary economic activity is considered in block | The activity which is appearing first in the code list in terms of status and industry taken together will be considered in such cases. |

| references to the schedule | | | | question | clarifications |
|----------------------------|-------|------|------|--|---|
| sl. no. | block | item | col. | | |
| (1) | (2) | (3) | (4) | (5) | (6) |
| | | | | 5.2, which one of the two should be considered. | |
| 18. | 6 | - | 4 | What will be the status code of a regular wage/salaried employee during leave? | For regular salaried /wage employee, status code 71/72 will be applicable depending on the reason for the days he was on leave. |
| 19. | 6 | - | 4 | A self-employed person is running his own account enterprise in the Tehsil Complex as Deed Writer. During the reference period of last 7 days, his working place remained closed for some days due to strike. What will be the status code in this case during those days. | Code 62 is applicable in this case for the days the working place remained closed. |

3.8 Some important points for collection of data

1. Some of the items of information such as years in formal education, whether worked for one hour in a week, hours worked, wages earned/income from employment may be difficult to collect from proxy respondents. Therefore, every effort is to be made to collect such information from the person concerned.
2. In recording Block 4 during a revisit to the household, all the persons listed during the previous visit to the household will be listed in Part A, irrespective of whether some of them are presently household members or not. The new members found during the revisit will be recorded in Part B of the Block 4 and they will be given running serial numbers following the last serial number recorded in Part A. This approach is necessary to maintain the consistency in the serial numbers of each of the household members. Thus, persons who had been assigned a particular serial number on a visit to the household will maintain the same serial number during all other visits to the household.
3. For part A (erstwhile members) of block 4 in the second and subsequent visits, serial number (col.1) and name (col.2) will be copied from block 4 of the schedule 10.4 of the preceding visit in the same sequence. In Part B, the new member(s) (i.e., those who were not the members in the first visit) will be listed with new serial numbers starting from the number next to the last serial number of Part A. Moreover, for the persons listed in Part A, age of a person on any revisit will be copied from the preceding visit i.e., if a person listed in the 4th visit was also a member of the household in the first visit, then age of that person in the 4th visit will be the age as was recorded in the first visit.
4. During the first visit to the household, if information cannot be collected from the originally selected household, it will be substituted which will be canvassed in all the subsequent visits. During revisit, only those households which were surveyed in the first visit will be surveyed and no substitution of households will be done in the revisits.
5. In any revisit (i.e., in the second and subsequent visit), if it is found that a household has shifted out of the FSU or ceased to exist at the time of revisit (and hence cannot be located within the FSU), the household will be treated as casualty and code 3 will be recorded against item 18 of block 1 for that household. In such a situation, blocks 0, 1, 2, 7, and 8 only will be filled in for the household. However, if the household has changed its location within the FSU, then that household should be surveyed at the present location.
6. If the household surveyed during first visit was temporarily absent at the time of revisits or the respondent was reluctant to give any information, code 9 will be recorded in item 18 of Block 1 of the revisit schedule. Temporarily absent households are those which are not available for survey in the current visit but are likely to be available in the next visit(s). For households with code 9 in item 18 of block 1 of any revisit Schedule, information on different items and columns collected during the preceding visit will be copied for the current visit to minimize variations in the results from one quarter to another. However, if the household has left the FSU with no chance of coming back during the period of remaining visits to that FSU, it will be treated as a casualty and blocks 0, 1, 2, 7, and 8 only will be filled in for the household.
7. Among the households surveyed during the first visit, if a household has become casualty or found to be temporarily absent (i.e., survey code 3 or 9) in any revisit, efforts are to be made to trace that household on the subsequent revisits and if found in the same FSU,

Schedule 10.4, in respect of the **current visit only** is to be filled in. In no case, information from such households will be collected with respect to the preceding visit(s) when the survey code for the household was either 3 or 9.

8. In case the household surveyed during first visit is found to be split on the second or subsequent visits, data may be collected from that partitioned household where the senior-most member of the original household resides. If the senior-most member is in a household which is outside the selected FSU, data may be collected from the other partitioned household where next senior-most member resides within the FSU. If no member of the original household now resides within the sample village, the household may be treated as a casualty.