

Chapter One

Introduction

1.0.0 **General** : The National Sample Survey (NSS) was started by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods. Different subjects are taken up for survey in different rounds of NSS. The **field work** of 55th round of NSS will start from 1st July, 1999 and is to be completed by 30th June, 2000.

Survey particulars

1.1.0 **Subject coverage** : The 55th round of NSS will be an integrated survey on household consumer expenditure, employment-unemployment and *informal* non-agricultural enterprises (other than those engaged in industrial categories of 'mining & quarrying' & 'electricity, gas and water supply'). The survey on household consumer expenditure and employment-unemployment is going to be the sixth quinquennial survey in the series, the last one being conducted in the 50th round (1993-94) of NSS.

1.1.1 **Salient feature** : One salient feature of the 55th round is that the *rotation sampling scheme* has been adopted for the first time in the NSS (**central sample only**) for the purpose of collection of **employment-unemployment data**. Under this scheme, 50 per cent of the sample first stage units (fsu's) of each sub-round will be revisited in the subsequent sub-round. From each such fsu, sample households visited in the previous sub-round for collecting data on employment-unemployment will be revisited in the subsequent sub-round for collecting employment-unemployment details. In addition, for the purpose of collecting employment-unemployment data, a thin sample of 2 households will be selected during the revisit from the frame of newly formed households in the fsu. It may be noted that the above scheme of *rotation sampling scheme* for collecting employment-unemployment data will be followed only for the fsu's belonging to the central sample. For state samples, the fsu's are to be visited only once as they appear in the sample list for canvassing various schedules in the selected households/enterprises.

1.1.2 **Work programme** : As usual, the survey period of this round is divided into four sub-rounds, each with a duration of three months. The 1st sub-round period is from July to September 1999, 2nd sub-round period is from October to December 1999 and so on. Equal number of sample fsu's is allotted for survey in each of these four sub-rounds. Each fsu will be surveyed during the sub-round period to which it is allotted. Within a particular sub-round, efforts may be made to spread out the field work of various fsu's **uniformly** over different weeks/months to the extent possible. As discussed in paragraph 1.1.1, fifty per cent of the sample fsu's of each sub-round will be revisited again (only for the central sample) in the subsequent sub-round for collecting employment-unemployment details from the sample households who were visited during the previous sub-round. In such cases **efforts** must be made to revisit the fsu just after 3 months.

1.1.3 **Schedules of enquiry** : The following table gives the list of schedules of enquiry for the 55th round.

Table 1 : Schedules to be canvassed in the NSS 55th round

srl. no.	schedule no.	description	sector
(1)	(2)	(3)	(4)
1.	0.1	list of households and non-agricultural enterprises	rural
2.	0.2	list of households and non-agricultural enterprises	urban
3.	1.0	household consumer expenditure	rural & urban
4.	10	household schedule: employment & unemployment	-do-
5.	10.1*	household (revisit) schedule: employment & unemployment	-do-
6.	2.0	informal non-agricultural enterprises	-do-

* to be canvassed in the sample households revisited in the subsequent sub-round (central sample only)

1.1.4 **Linking of sub-rounds X sub-samples X schedules of enquiry** : Sample fsu's from each *first stage stratum* will be drawn in the form of a number of independent sub-samples (see Annexure - I for details regarding selection of fsu's). There will be a one-to-one correspondence between sub-round number X sub-sample number of the fsu X schedules to be canvassed in the fsu. The same is clarified below in a tabular form.

sub-round	sub-sample	schedules to be canvassed in the fsu	remarks
1	1, 2	1.0, 10, 2.0	Visit number in sch. 0.1/0.2 is to be reported as 1 for such fsu's.
2	1	10.1 (in households revisited), 10 (in newly formed households and also in a few cases where the households surveyed in the previous visit have been casualty/substituted)	Applicable only for the fsu's belonging to the central sample. The listing schedule 0.1/0.2 which was filled up during visit 1, is to be updated during the second visit. Therefore, the schedule 01./0.2 is to be duplicated before it is despatched. During the re-visit, visit number (item 12, block-1) is to be recorded as 2 by crossing out earlier

2 (cont.)			entry (which would have been 1). It may be noted that during the re-visit, only blocks 4A and 6A are to be filled up. Entries in other relevant blocks (8, 9 and 10) may be recorded after putting a ring around the entries made during the first visit.
	3, 4	1.0, 10, 2.0	visit number in sch. 0.1/0.2 is to be reported as 1 for such fsu's.
3	3	10.1 (in households revisited), 10 (in newly formed households and also in a few cases where the households surveyed in the previous visit have been casualty/substituted)	applicable only for the fsu's belonging to the central sample; visit number 2 is to be reported in sch. 0.1/0.2 for such fsu's.
	5, 6	1.0, 10, 2.0	visit number in sch. 0.1/0.2 is to be reported as 1 for such fsu's.
4	5	10.1 (in households revisited), 10 (in newly formed households and also in a few cases where the households surveyed in the previous visit have been casualty/substituted)	applicable only for the fsu's belonging to the central sample; visit number 2 is to be reported in sch. 0.1/0.2 for such fsu's.
	7, 8	1.0, 10, 2.0	visit number in sch. 0.1/0.2 is to be reported as 1 for such fsu's.

1.1.5 Geographical coverage : The survey will cover the whole of the Indian Union excepting (i) Ladakh & Kargil districts of Jammu & Kashmir, (ii) interior villages of Nagaland situated beyond 5 kms. of a bus route & (iii) villages of Andaman & Nicobar Islands remaining inaccessible throughout the year. All the villages of the country, uninhabited according to 1991 census, are also left out of the survey coverage of the NSS 55th round.

1.1.6 Sample size (fsu's) : A sample of 10,400 fsu's (rural & urban combined) will be surveyed at all-India level during the round under the *central sample* for canvassing each of schedules 1.0, 10 & 2.0 (for *state samples*, there will be additional sample fsu's as per the usual matching pattern). Out of 10,400 fsu's of the central sample, a total of 3,900 fsu's (1,300 each from sub-rounds 1, 2 & 3) will be revisited in the subsequent quarters for collection of employment-unemployment data.

1.1.7 Participation of the States/ Union Territories : All the States/U.T.s excepting Andaman & Nicobar Islands, Dadra & Nagar Haveli and Lakshadweep are participating in the NSS 55th round at least on equal matching sample basis compared to the size of the central sample. Sample sizes for the state samples are given in Appendix-I.

Contents of this volume

1.2.0 Contents : The present volume contains six chapters and three appendices. Chapter one, besides giving an overview of the whole survey operation, discusses the concepts and definitions of certain important technical terms used in the survey. It also describes in detail the procedure of selection of households/enterprises. Instructions for filling the schedules 0.1, 0.2, 1.0, 10 and 2.0 are given in chapters two, three, four, five and six respectively. Appendix-I describes the procedure for selection of sample fsu's. Appendix -II and Appendix-III give the list of the FOD Sub-Regions and the list of NSS regions respectively.

Concepts and definitions

1.3.0 Some important concepts and definitions to be followed in the round are described below in the subsequent paragraphs:-

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

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

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

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

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

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

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

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

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

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

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

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

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

1.3.0.4 Self-employed : Persons who are engaged in their own farm or non-farm enterprises are defined as self-employed. There are different types of self-employed persons. Some may operate their enterprises without hiring any labour. Others normally work on their own but occasionally hire a few labourers. There is also a third category who by and large regularly run their enterprises by hiring labour. The first two groups of self-employed are known as 'own account workers' and the third as 'employers'. For more details regarding identification of self-employed persons (including '*home workers*'), reference may be made to paragraph 5.0.8 of chapter five.

1.3.0.5 Manual work is work which essentially involves physical operations. However, jobs essentially involving physical labour but also requiring a certain level of general, professional, scientific or technical education are not to be termed as manual work. On the other hand, jobs not involving much of manual labour but at the same time nor requiring much educational

background either, are to be treated as manual work. Thus, engineers, doctors, dentists, midwives etc. are not considered as manual workers even though their jobs involve some amount of physical labour. But peons, chowkidars, watchmen etc. are considered as manual workers even though their work may not involve much physical labour. Manual work will cover one or more of the following occupational groups of the National Classification of Occupations (Revised 1968):-

Division 5 - Service workers :-

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

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

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

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

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

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

1.3.0.7 Means of livelihood : For the purpose of the survey, every household is to be placed into one and only one of the following categories of mean of livelihood (m.l.):

Rural Households	Urban households
1. Self-employed in non-agriculture	1. Self-employed
2. Rural labour	2. Regular wage/salary earners
3. Others	3. Casual labour
	4. Others

For a majority of the households, there may be only one source of income and, thus, their placement will be relatively straightforward. In a few cases, where there are two or more sources of income, following procedure is to be adopted for determining m.l. code/category:

For urban households, m.l. class to be recorded in schedule 0.2 will be either of 'self employed', 'regular wage/salary earners', 'casual labour' and 'others' depending upon the source which fetched maximum income to the household during the last 365 days.

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

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

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

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

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

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

1.3.0.8 Please note that for deciding the means of livelihood of a household, the income of servants and paying guests will not be taken into account. Also, only the economic activities are to be taken into account (economic activity is defined in para 1.3.0.9 below).

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

- (i) all the market activities described above i.e. the activities performed for pay or profit and
- (ii) of the non-market activities:

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

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

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

1.3.0.10 Land possessed : Land possessed is given by (land owned including land under "owner like possession") + (land leased-in) - (land leased out) + (any land possessed by the household which is neither owned nor leased-in). A plot of land is considered to be 'owned by the household' if permanent heritable possession, with or without the right to transfer the title, is vested in a member or members of the household. Land held in owner like possession under long term lease or assignment is also considered as land owned. As regards lease, land given to others on rent or free by owner of the land without surrendering the right of permanent heritable title is defined as leased out. Land leased-in is defined as land taken by a household on rent or free without any right of permanent or heritable possession. The lease contract may be written or oral. If the household has possession of land for which it lacks title of ownership and also does not have any lease agreement for the case of the land transacted either verbally or in writing, such land will be considered as "neither owned nor leased-in".

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

1.3.0.12 Non-agricultural enterprise : All enterprises covered under Tabulation Categories 'A' and 'B' of the National Industrial Classification (NIC) 1998 are "agricultural enterprises" while the others covered under Tabulation Categories 'C' to 'O' are "non-agricultural enterprises". The NIC 1998 booklet may be used for recording NIC codes in various schedules. **Reference** may also be made to paragraph 1.3.0.17 of this chapter and paragraph 5.0.8 of chapter five for further details regarding listing of various activities.

1.3.0.13 Informal non-agricultural enterprises : All non-agricultural enterprises (excluding those covered under the Annual Survey of Industries) with type of ownership as either '**proprietary**' and '**partnership**' may be treated as *informal non-agricultural enterprises* in the present survey.

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

1.3.0.15 Establishment : Those enterprises which have got at least one hired worker on a 'fairly regular basis' are called establishments.

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

1.3.0.17 **Activity coverage** : The survey will cover all informal non-agricultural enterprises other than those covered under ‘mining & quarrying’ (i.e. Tabulation Category ‘C’ of NIC 1998) and ‘electricity, gas & water supply’ (Tabulation Category ‘E’). It may be noted that the activities classified under Tabulation Categories L, P and Q are not to be covered. Further details giving the coverage of various activities are summarized below in a tabular form.

Activity / NIC 2 digit code	Coverage
Manufacturing NIC(15-37)	<p>Manufacturing is the process of transformation of raw materials into final products.</p> <p>All units mainly engaged in manufacturing which are not registered under Sections 2m(i) and 2m(ii) of the Factories Act 1948, will be covered under this activity. Enterprises engaged in manufacturing of Bidi and Cigars, other than those covered in ASI, will also be covered.</p> <p>NIC 98 classifies custom tailoring under manufacturing. For the purpose of this survey, enterprises engaged in providing custom tailoring services to the households may be given a new code 18105 (which is not provided in NIC '98) in schedule 2.0.</p>
Construction NIC(45)	<p>All units like contractors, sub-contractors, overseers, plumbers, masons, electricians, <i>Mistries</i> for mosaic or tiles fitting, etc. connected with the construction activity will be covered. However, own account construction will be outside the coverage. The self employed persons engaged in construction activity will generally be listed in their households. But promoters / contractors, who have offices of their own will be listed against their main offices, if they have any such main office.</p>
Trade and repair services NIC(50-52)	<p>Generally, the activity of trade (wholesale as well as retail) involves only purchase of goods and their disposal by way of sale, without any intermediate physical transformation of goods.</p> <p>In wholesale trade, goods are generally purchased from the producer and sold to the retailer. The activities of intermediaries (commission agents) who do not actually purchase or sell goods but only arrange their purchase and sale and earn remuneration by way of brokerage and commission are also included.</p> <p>In retail trade, goods are generally purchased from the wholesaler and sold to the ultimate consumers.</p>

Activity / NIC 2 digit code	Coverage
Trade and repair services (cont.)	All units engaged in maintenance and repair of motor vehicles, motorcycles and personal and household goods are also included. Sale of agricultural produce or manufactured goods directly by the producer are to be excluded. Also excluded are the agency activities of intermediaries in stock exchange, real estate and other financial matters. Free-collection and sale of agricultural produce is excluded. Separate and distinct trading units of manufacturing concerns (like Sale shops of DCM, Bombay Dying, Bata Shoe etc.) are to be excluded. However, if these units are run by private dealers or agents, they will be covered.
Hotels and restaurants NIC(55)	<p>A hotel is an enterprise which provides lodging services with or without arrangements for meals, other prepared food and refreshments. Dharamshala type lodging places are also to be covered under hotels.</p> <p>A restaurant generally provides eating and drinking services where prepared meals, food and refreshments and other snacks are sold for immediate consumption without any provision for lodging.</p> <p>Such establishments are variously known as restaurants, cafes, cafeteria, snack bars, lunch counters, refreshment stands, milk bar canteens, etc. Bars and other drinking places will also be treated as restaurants. Canteens located in offices, factories, etc. will be treated as restaurants if they are operated by private contractors. But departmental canteens run by government will be excluded.</p>
Transport, storage and communications NIC(60-64)	<p>Transport means rendering transport service to others as a business proposition.</p> <p>Transport activity relates to the act of carrying passenger and/or goods from one place to another. Supporting services incidental to transport such as packing, freighting, travel agency etc. will also be covered under transport. Both mechanised and non-mechanised transport will be covered. The following activities are also to be covered : (i) hackney carriages, carriage by bullock-carts/ekka/tonga etc. (ii) transport by animals like horses, elephants, mules, camels, etc., (iii) transport by man including rickshaw-pullers, cart-operators, etc., (iv) non-mechanised inland/ ocean/ coastal and water transport, (v) pipeline transport, (vi) supporting services to land transport like operation of highway bridges, toll roads, parking lots, etc. and (vii) supporting services to water transport like operation and maintenance of piers, docks, light house, loading and discharging vessels, etc.</p> <p>The operation of storage and warehouses on hire to the farm producer, dealer, trader, processor and manufacturing enterprises,</p>

Activity / NIC 2 digit code	Coverage
Transport, storage and communications (cont.)	<p>as an independent business is covered in this survey. Warehousing services may be given to the private individuals/households also.</p> <p>Storage and warehousing services in respect of grains, other food articles, oil seeds and other agricultural commodities like cotton, jute and tobacco are included. Also included are the refrigerated storage facilities on hire to other enterprises for potato, fruits, dairy products, fish and other food products and also refrigerated food locker on rental services chiefly delivered to individual household. Storage of all manufactured products including textiles, machine tools, apparatus and equipment are to be included. Space for lumber, waste and scrap materials are to be included.</p> <p>But farm produce stored by the owner of the farm in his own godown or a dealer or a manufacturer storing his commodities in his own godown or warehouse are excluded from the scope of this survey. Also excluded are the establishments of Central Warehousing corporation, State Warehousing Corporations and the warehousing by the Central and State Governments. Lockers in commercial banks and in other type of enterprises for safe storage of precious belongings are also excluded.</p> <p>All enterprises providing communication services, not owned by government, Public Sector undertakings, local bodies and corporate sector, will be covered.</p> <p>This will include courier services, ISD/STD/ PCO booths; Voice Mail Services through computer networking, Video/fax services, phone plus services, voiced and non-voiced leased circuits, telex/FAX/data services through computer network, radio paging, cellular mobile telephone services, and audio services etc.</p>
Financial intermediation NIC(65-67)	<p>All financial intermediation activities like, financial leasing, activities of hire-purchase financing, life insurance agents, non-life insurance agents, administration of financial markets, stock brokers, actuaries, financial advisors, etc. will be covered.</p>
Real estate, renting and business activities NIC(70-74)	<p>Real estate activities are covered under NIC code 70. They include activities like : (i) purchase, sale, letting and operating of real estate i.e. residential/non-residential buildings, (ii) developing and sub-dividing real estate into lots, (iii) lessors of real property and (iv) real estate agents, brokers and managers engaged in renting, buying and selling, managing and appraising real estate on a contract or fee basis. Letting out of an accomodation will not be included except in case of real estate agents running such a business.</p>

Activity / NIC 2 digit code	Coverage
Real estate, renting and business activities (cont.)	<p>Renting of machinery and equipment will be covered under NIC 71. Note that a household hiring out machinery & equipment or household durables will also be treated as an enterprise. All business activities classifiable under NIC codes 72 to 74 are to be covered in this survey.</p>
Education NIC(80)	<p>Stamp vendors should not be covered here but be covered under retail trade.</p> <p>Only such educational institutions are included which are under proprietary or partnership control. Research and scientific services rendered by institutions and laboratories are also covered provided they satisfy the above criterion. These may be engaged in research in biological, physical and social sciences. Meteorological institutes and medical research organizations belonging to the informal sector are also included.</p> <p>Management training institutes, computer training centres, Nursing schools, schools of music, drama, dance, modelling, fashion designing, yoga and physical education and general coaching centres (e.g. for various competitive examinations) etc. are to be covered.</p> <p>Private tutors are to be covered and assigned NIC code 80904 only when the person (tutor) is giving tuition in his own house/coaching centre.</p>
Health and social work NIC(85)	<p>All enterprises engaged in health and medical services other than those owned by government, public sector undertakings, local bodies or corporate sector will be covered, irrespective of the system of medicine.</p> <p>All dispensaries, clinics and consultation chambers run by doctors will also be covered. The survey will also cover activities of veterinary services including bird hospitals. An employed doctor and para-medical person (such as midwife, dai etc.) doing private practice will be covered and his/her private practice alone will be considered as an enterprise provided the services are delivered from their own premises. Included in this activity are all kinds of health clubs. Big hospitals like Escort, Appollo, Peerless etc., will not be covered as they belong to the corporate sector.</p>

Activity / NIC 2 digit code	Coverage
Other community, social and personal service activities (excluding domestic services) NIC(90-93)	<p>This will cover the activities like sewage and refuse disposal, activities of membership organizations, recreational, cultural and sporting activities covered under NIC 90 to 93; and other service activities like washing and cleaning of textile products, hair dressing, funeral and related activities, massage saloons, sauna baths, activities of shoe shiners, porters, car parkers etc; activities such as portrait and commercial photographic studios etc. classified under NIC 93. Palmists and astrologers are also covered here.</p> <p>It may be noted that individuals serving as housemaids, cooks, gardeners, governess, baby sitters, chowkidars, night watchmen, etc. will in general be outside the coverage of the present survey. However, if such activities are provided by some agencies against prescribed fees, those agencies will be treated as enterprises under NIC 93. For example, an agency which supplies baby sitters or nurses or night watchmen with some profit margin will be covered in this survey.</p>

Listing of enterprises - Procedure

1.4.0 Enterprises *without fixed premises* may be listed against the **households** of the owners whereas those with *fixed premises* are to be listed at their **sites**. By ‘fixed premises’, we mean that the entrepreneurial activity is carried out within some sort of permanent structure (refer to chapter two for further details). Partnership enterprises run without fixed premises may be listed against the household of the **partner who takes major decisions** for running the enterprise. An enterprise pursuing multiple/mixed activities may be listed separately under respective NIC codes if separate accounts of employment, receipts, expenses, etc. for each such activity are available. Otherwise it will be listed as one enterprise with NIC code corresponding to the *major* activity. By major activity, we mean the activity fetching maximum income to the enterprise during the last year. If it is difficult to decide major activity based on income, the same may be done by looking at the turnover/employment in the order specified. In case accounts for various activities of the enterprise are mixed up, data in schedule 2.0 must be collected for all the activities taken together when such an enterprise is selected for survey.

1.4.1 It is to be noted that **all enterprises** found to be in operation for at least some time during the last 365 days are to be listed irrespective of whether they are operating on the date of survey or not. However, if any enterprise *with fixed premises* is come across which has changed its place of operation (i.e. stopped operating in the current structure under listing), the same may not be listed in the present place but be listed against the place/site where it is currently operating. For more details regarding listing of enterprises, reference may be made to chapter two.

Selection of households/enterprises - important steps

(a) Proper identification of the fsu boundaries

1.5.0 The first important task of the field investigators is to ascertain the exact boundaries of the sample fsu [i.e. villages (panchayat wards for rural areas of Kerala) / Urban Frame Survey blocks] as per its identification particulars given in the sample list. For urban samples, the boundaries of each Urban Frame Survey (UFS) block may be identified by referring to the map corresponding to the frame code specified in the sample list (even though map of the block for a latter period of the UFS might be available).

(b) Decision on hamlet-group/sub-block formation

1.6.0 Having determined the boundaries of the sample fsu (both rural & urban), a **decision** has to be taken whether listing has to be done in the whole fsu or not. For this, approximate present population (P) and approximate total number of non-agricultural enterprises (E) for the whole fsu may be ascertained first from knowledgeable persons. Depending upon the values of 'P' and 'E', decision may be taken to divide the fsu into a fixed number of hamlet-groups (hg's - the term applicable for rural samples) / sub-blocks (sb's - the term applicable for urban samples) as per the rules given below:

value of P	no. of hg's/sb's to be formed in the fsu as per population criterion	value of E	no. of hg's/sb's to be formed in the fsu as per enterprise criterion
(1)	(2)	(3)	(4)
less than 1200	1 @	less than 100	1 @
1200 - 1999	5	100 - 249	5
2000 - 2399	6	250 - 299	6
2400 - 2799	7	300 - 349	7
2800 - 3199	8	350 - 399	8
(and so on)		(and so on)	

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

[For rural areas of Himachal Pradesh, Sikkim and Poonch, Rajouri, Udhampur and Doda districts of Jammu & Kashmir, number of hg's to be formed in the village as per population criterion will be : 1 for P < 600, 5 for P = 600 to 999, 6 for P = 1000 to 1199, 7 for P = 1200 to 1399, 8 for P = 1400 to 1599, and so on (procedure remains unchanged as per enterprise criterion)]

1.6.1 The number (D) of hamlet-groups (hg)/ sub-blocks (sb) to be **actually** formed in the fsu will be the **higher** of the two values as per population and enterprise criteria. If value of P is less than 1200 (600 for certain hilly areas specified above) as well as value of E is less than 100 for an fsu, hg/sb formation should not be resorted to and the whole fsu has to be considered for listing.

(c) How to form hamlet-groups/sub-blocks ?

1.7.0 In case hg's/sb's are to be formed in the sample fsu, the same may be always done by more or less **equalizing** population (refer to chapter two for details). Please note that while doing so, it is to be ensured that the hg's/sb's formed are clearly identifiable in terms of physical landmarks.

(d) Which of them to be considered for listing ?

1.8.0 The hg/sb having **maximum** concentration of non-agricultural enterprises will be selected with certainty for listing of households/enterprises. This hg/sb will be referred to as **segment 1**. From the remaining (D-1) hg's/sb's of the fsu, 2 more hg's/sb's will be selected

circular systematically and these 2 selected hg's/sb's will together be referred to as **segment 2** for doing a combined listing of households/enterprises. Thus listing of households/enterprises will be done only in segments 1 and 2 of the fsu. The fsu's not requiring hg/sb formation will always be referred to as **segment 1** for the purpose of data collection.

(e) Listing of households/enterprises vis-à-vis their frame

1.9.0 Having determined the area(s) to be considered for listing, the next step is to list all the households (including those found to be temporarily locked) and non-agricultural enterprises. Although all non-agricultural enterprises are to be listed, only the 'informal non-agricultural enterprises' (other than mining & quarrying and electricity, gas & water supply) which operated at least 30 days (15 days for seasonal enterprises) during the last year will **qualify** for survey. Such enterprises will hereafter be referred to as '**eligible enterprises**'. Listing of households as well as eligible enterprises for the purpose of sample selection will be independent for segments 1 & 2.

(f) Stratification of households/enterprises

1.10.0 All the households listed in a segment (both rural & urban) will be stratified into 2 second stage strata viz. '**affluent households**' (forming second stage stratum 1) and **the rest** (forming second stage stratum 2). The criterion for classifying a household as 'affluent' is different for rural and urban samples. In rural sector, a household is classified as 'affluent' if the household owns certain items like motor car/ jeep, tractor, truck/van/bus, large business, colour T.V., telephone, etc. or owns land / livestock in excess of certain limits (refer to the working sheet of schedule 0.1 as well as instructions given in chapter two for details). If no household qualifies to form affluent household, second stage stratum 1 will remain void. On the other hand, if more than 10 rural households qualify to form affluent households in a segment, only top 10 of them will be included in the frame of second stage stratum 1 and the rest (including other households) in the frame of second stage stratum 2. The field investigator may exercise his or her own judgment to decide such top 10 households to be included in the frame of second stage stratum 1. Thus total number of households in the frame of second stage stratum 1 for segment 1 or 2 may vary from 0 to 10 for rural samples. For **urban samples**, the households having MPCE (Monthly Per Capita consumer Expenditure) greater than Rs. 1200/- (for towns with population less than 10 lakhs as per 1991 census) or greater than Rs. 1500/- (for towns having population of 10 lakhs or more as per 1991 census) will be treated as 'affluent' households for the present survey and all such urban households (there being no restriction on the number) may be included in the frame of second stage stratum 1. Rest of the urban households will be included in the frame of second stage stratum 2.

1.10.1 All the eligible enterprises in a segment (both rural & urban) will be stratified into **12 strata** by jointly considering their *broad industry group* and *enterprise class*. Eligible enterprises could belong to any of the 6 broad industry groups viz. manufacturing - 1, construction - 2, trade & repair services - 3, hotels & restaurants - 4, transport, storage & communication - 5 and other service sector - 6. The enterprises will be classified into 2 enterprise classes. Enterprise class of an enterprise will be '1' if the entrepreneurial activity was pursued with no hired worker during the major part of the period of operation in the last year (in other words, enterprise class will be '1' for Own Account Enterprises). Otherwise enterprise class will be '2' (i.e. for Establishments). Thus there could be 12 possible strata of various combinations of broad industry groups and enterprise classes.

(g) Number of households/enterprises to be selected for survey

1.11.0 The **number** of households/enterprises to be selected for survey from each fsu is given below :-

seg- ment	household allotment * (sch. 1.0/10 each)			enterprise allotment (sch. 2.0) @												
	SSS			broad industry group												
	1	2	total	1		2		3		4		5		6		total
	ent. class		ent. class		ent. class		ent. class		ent. class		ent. class		ent. class		total	
1 2		1 2		1 2		1 2		1 2		1 2		1 2		total		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)
fsu with hg/sb formation :																
1	1	3	4	1	1	1	1	1	1	1	1	1	1	1	1	12
2	1	7	8	1	1	1	1	1	1	1	1	1	1	1	1	12
fsu with no hg/sb formation :																
1	2	10	12	2	2	2	2	2	2	2	2	2	2	2	2	24

('SSS' means second stage stratum and 'ent. class' means enterprise class)

* if the fsu is to be revisited in the next sub-round (this is applicable to central sample only), a sample of 2 additional households may be surveyed from out of all new households that may have come up during the last three months. Thus, a total of 14 households are to be surveyed from the fsu at the time of revisit (see paragraph 1.11.1)

@ for shortfall in the requisite number of enterprises under the frame of at least one cell (i.e. segment X broad industry group X enterprise class), final allocation for different cells will undergo change as per the guidelines given in paragraph 1.11.2.2

1.11.1 If the fsu is to be revisited in the next quarter/sub-round for collecting employment-unemployment data (applicable only for central sample), all the households surveyed under schedule 10 in visit 1 will be **revisited** for collection of employment-unemployment data afresh during visit 2. In addition, a **thin sample** of 2 households (1 each from segments 1 & 2 for the fsu's requiring hg/sb formation) will be selected for survey in visit 2 from the newly formed households for collection of employment-unemployment data. It is **important** to note that when the same sample household is revisited, schedule 10.1 will be canvassed during the revisit. But if it is either a newly formed household or a casualty household in visit 1 but available for canvassing in visit 2 or a substitute of the earlier household surveyed in the previous sub-round (substitute necessitated due to difficulties in collecting information at the time of revisit), schedule 10 will be canvassed. For substituted households, 1st page of schedule 10.1 should be filled in and attached with the canvassed schedule 10 (1st page of schedule 10.1 may appear at the beginning of the lot). It is also important to note that when field work for an fsu to be revisited in the next sub-round has been over, **no copy** of schedule 10 should be retained in the field office (for reference during visit 2) when the schedules are despatched to the Data Processing Centre. However, copy of listing schedule may be **retained** for identifying the households to be revisited in the next sub-round to collect employment-unemployment details.

1.11.2 Compensation for shortfall: Various possible situations that may arise due to non-availability of requisite number of households/ enterprises in the respective frames and action to be taken thereby before sample selection are discussed at length in the subsequent paragraphs.

1.11.2.1 Selection of households:

Case I: There is no hg/sb formation (fsu treated as segment 1): A sample of 2 households is to be selected from second stage stratum 1 (affluent households) and 10 households from second stage stratum 2. Shortfall in the number of households under the frame of any particular second stage stratum may be made up by increasing the quota for the other second stage stratum so that a total of 12 households are selected for survey for each of schedules 1.0 & 10.

Case II: There is hg/sb formation: If there is no household (affluent household) in the frame of second stage stratum 1 for a particular segment, quota for this second stage stratum for the other segment may be increased so that a total of 2 affluent households is always selected for canvassing each of schedules 1.0 & 10. Then the sample allocation for the other second stage stratum may be obtained by residual method so that a sample of 4 households is selected from segment 1 and 8 households from segment 2. It is to be noted for the cases where 4 households are not there in the entire segment 1 (considering both second stage strata), allocation for segment 2 has to be raised so that a total of 12 households are selected for survey from the fsu for each of schedules 1.0 & 10. Examples given at the end of this Chapter may be seen for further clarifications.

1.11.2.2 Selection of enterprises: Let the symbol E^* denote total number of enterprises listed in the fsu considering both the segments (segment 1 only for fsu's with no hg/sb formation). Then, the rules for selection of enterprises will be as follows:

Case I: Value of E^* is equal to 24 or less: **All** enterprises in the fsu are to be selected for survey.

Case II: Value of E^* is 25 or more but there is no hg/sb formation: If there are at least 2 enterprises under every combination of broad industry group X enterprise class (note that there are 12 such combinations), then 2 enterprises are to be selected for each combination as shown under paragraph 1.11.0. If this is not the case, then 2 enterprises (or '1' if only 1 enterprise is there in the frame) may first be allotted to various strata/combinations in the following order: broad industry group 1 and enterprise class 1; broad industry group 1 and enterprise class 2; broad industry group 2 and enterprise class 1; broad industry group 2 and enterprise class 2;; broad industry group 6 and enterprise class 1; broad industry group 6 and enterprise class 2. Then allot 1 additional enterprise to various strata (subject to availability) in the priority order of strata mentioned above and repeat this rule till a total number of 24 enterprises get selected. Refer to examples given at the end of this Chapter.

Case III : Value of E^* is 25 or more and there is hg/sb formation: Ideally, a sample of 1 enterprise from each of the 24 combinations (2 segments X 6 broad industry groups X 2 enterprise classes) should be selected for the enterprise survey. However, in practice, there may be no enterprise in some of the strata/combinations. In such cases, following **compensation rule** is suggested to ensure selection of 24 enterprises:

- Step 1 : 1 enterprise may first be allotted to various combinations of **segment 1** in the following order: broad industry group 1 and enterprise class 1; broad industry group 1 and enterprise class 2; broad industry group 2 and enterprise class 1; broad industry group 2 and enterprise class

2;; broad industry group 6 and enterprise class 1; broad industry group 6 and enterprise class 2. Repeat the same for segment 2 in the same order.

- See whether a total allocation of 24 enterprises has been achieved. This will only happen when 1 enterprise has been selected for each of the 24 combinations (2 segments X 6 broad industry groups X 2 enterprise classes).
- Step 2: If not, additional enterprises are to be selected for the 12 combinations (6 broad industry groups X 2 enterprise classes) as if there were no hg/sb formation. That is, allot 1 additional enterprise (subject to availability) to only those combinations where the quota of 2 enterprises was not fulfilled after Step 1.
- Check if the total number has reached 24. If not, go for Step 3.
- Step 3: Go on allocating 1 additional enterprise to each of the 24 combinations starting from the first combination (segment 1, broad industry group 1, enterprise class 1) to the last.
- Check if the total number has reached 24. If not, repeat Step 3.

[Illustrative examples given at the end of this Chapter.]

(h) General procedure of selection of households/ enterprises

1.12.0 Sample households/enterprises are to be selected from the respective frames by circular systematic sampling with equal probability. For the purpose of systematic sampling, households in the frame of second stage stratum 2 are to be arranged by means of livelihood X land possessed classes for rural samples and by means of livelihood X MPCE classes for urban samples. Enterprises under each stratum (i.e. segment X broad industry group X enterprise class) will however be arranged in the ascending order of NIC 2-digit codes (3-digit codes for hotels & restaurants) before sampling.

1.12.1 For selection of sample households, **double** the allocation for each schedule type (viz. 1.0 & 10), as discussed in paragraphs 1.11.0 & 1.11.2.1, may be selected during first visit to the fsu itself from respective frames. Sample households with odd orders of selection will be visited for canvassing schedule 1.0 and those with even orders of selection will be visited for canvassing schedule 10 (or schedule 10.1 during the revisit). When number of households in the frame (say 'H') of any segment X second stage stratum is less than '2h' ('h' being the allocation for each of schedules 1.0 & 10), following procedure is to be adopted:

Case I: $H = h$: Canvass both schedules 1.0 & 10 in each household in the frame.

Case II: $h < H < 2h$: Sampling serial numbers 1 to H will be given to the households as per the general procedure. A random start (R) may be drawn between 1 and H (both inclusive). Then the household whose sampling serial number tallies with R will be given order of selection number 1. Household with next sampling serial number will be given order of selection number 2 (consider sampling serial number 1 after sampling serial number R in this process). Household with next higher sampling serial number will be given order of selection number 3 and so on. In this process order of selection numbers 1 to H will be assigned to the

households in the frame. Canvass schedule 1.0 in the households with order of selection numbers 1, 2, 3, 4,, h and schedule 10 in the households with order of selection numbers (h+1), (h+2), (h+3),, H, 1, 2,, etc. (there will be 'h' such households).

1.13.0 Substitution of households/enterprises: If any sample household/ enterprise cannot be surveyed due to some reason, it will be substituted by the one with next higher sampling serial number. If this, in turn, becomes a casualty, another substitute may be taken in the same manner. If this also becomes a casualty, no further substitute may be taken. It may however be ensured that at least one household (for each of schedules 1.0 & 10) or at least one enterprise is always surveyed from various frames of households/enterprises. More number of substitutes may be taken to adhere to this restriction. For instructions regarding drawl of random numbers and substitution/ repetition of fsu's, reference may be made to chapter three.

Examples for allocation of sample households/enterprises

Allocation of households

In the following examples, 'H' denotes total number of households listed under the frame of a segment X second stage stratum (SSS) and 'h' denotes the corresponding final allocation of sample households for each of schedules 1.0 & 10.

<i>Case I: fsu's with hg/sb formation</i>													
seg- ment	SSS	Example 1		Example 2		Example 3		Example 4		Example 5		Example 6	
		H	h	H	h	H	h	H	h	H	h	H	h
1	1	0	0	5	2	0	0	10	2	0	0	10	1
	2	75	4	85	2	3	3	63	2	4	4	73	3
2	1	1	1	0	0	1	1	0	0	1	1	7	1
	2	155	7	165	8	9	8	157	8	5	5	149	7

<i>Case II: fsu's with no hg/sb formation (segment 1)</i>								
SSS	Example 7		Example 8		Example 9		Example 10	
	H	h	H	h	H	h	H	h
1	10	2	1	1	0	0	1	1
2	175	10	145	11	205	12	9	9

Examples for allocation of sample households/enterprises (Contd.) :

Allocation of enterprises

In the following examples, 'E' denotes total number of enterprises listed under the frame of a segment X broad industry group (BIG) X enterprise class (EC) and 'e' denotes the corresponding final allocation of sample enterprises.

<i>Case I: fsu with hg/sb formation</i> (Example 11)							
segment	BIG	EC	'E'	step 1	step 2	step 3	'e'
1	1	1	5	1		+ 1	2
		2	1	1			1
	2	1	10	1	+ 1	+ 1	3
		2	0	-			-
	3	1	25	1		+ 1	2
		2	1	1			1
4	1	0	-	-		-	
	2	1	1			1	
5	1	5	1		+ 1	2	
	2	7	1		+ 1	2	
6	1	30	1		(STOP)	1	
	2	0	-			-	
2	1	1	1	1			1
		2	0	-			-
	2	1	0	-	-		-
		2	0	-			-
	3	1	1	1			1
		2	5	1			1
4	1	10	1	+ 1		2	
	2	0	-			-	
5	1	1	1			1	
	2	1	1			1	
6	1	5	1			1	
	2	1	1			1	
Total	X	X	110	17	+ 2	+ 5	24

Examples for allocation of sample households/enterprises (Contd.) :

Allocation of Enterprises

<i>Case II: fsu with no hg/sb formation</i>				(Example 12)				
segment	BIG	EC	'E'	step 1	step 2	step 3	'e'	
1	1	1	15	2	+ 1	+ 1	4	
		2	3	2	+ 1		3	
	2	1	2	2				2
		2	0	-				-
	3	1	10	2	+ 1	+ 1		4
		2	7	2	+ 1	+ 1		4
	4	1	0	-			STOP	-
		2	1	1				1
	5	1	2	2				2
		2	0	-				-
	6	1	10	2	+ 1			3
		2	1	1				1
Total	X	X	51	16	+ 5	+ 3	24	
