

Chapter One

Introduction: Coverage, Concepts, Design and Definitions

1.0 Introduction

1.0.1 The National Sample Survey (NSS), set up by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods, will start its sixty-eighth round from 1st July 2011. The survey will continue up to 30th June 2012.

1.0.2 **Subject Coverage:** The 68th round (July 2011-June 2012) of NSS is earmarked for surveys on 'Household Consumer Expenditure' and 'Employment and Unemployment'. The last survey on these subjects was conducted in 66th round of NSS (2009-10) which was the eighth quinquennial survey in the series on 'household consumer expenditure' and 'employment and unemployment'. Current survey is similar to a quinquennial survey as far as subjects of enquiry, design, questionnaires and sample sizes are concerned.

1.1 Objective of the Survey

1.1.1 Both these subjects have remained important since the origin of NSS, being the prime source of statistical indicators on social consumption and wellbeing, level of living and inequality thereof and for estimating various parameters of factor market of labour and activity participation of the population. The survey instruments for both these subjects have been stabilized over the years, since their quinquennial inception in the NSS 27th round (October 1972 – June 1973), the last being the NSS 66th round. Besides, there have been annual rounds, alternate modules and occasional methodological studies for updating and refining the survey instruments, especially, for the measurement of Household Consumer Expenditure (HCE).

1.1.2 **Objective of the consumer expenditure survey (CES):** Firstly, as an indicator of level of living, monthly per capita expenditure (MPCE) is both simple and universally applicable. Average MPCE of any sub-population of the country (any region or population group) is a single number that summarises the level of living of that population. It is supplemented by the distribution of MPCE, which highlights the differences in level of living of the different parts of the population. More detailed analysis of the distribution of MPCE reveals the proportion and absolute numbers of the poor with respect to a given poverty line. A welfare state has to take note of these numbers in allocating its resources among sectors, regions, and socio-economic groups. The distribution of MPCE can also be used to measure the level of inequality, or the degree to which consumer expenditure is concentrated in a small proportion of households or persons, and this can be done without any predetermined poverty line or welfare norms.

If socialism was the ideal of the 1950's, the ideal of policy-makers during the last decade was "inclusive growth". Increasingly, inclusive growth is seen as the all-important target that we should aim at, at least for the immediate future. Not surprisingly, the NSS CES is being used by scholars as a searchlight focused on the country's development process that shows up just how inclusive the country's growth has been.

Since the data is collected not only on consumption level but also on the pattern of consumption, the CES has another important use. To work out consumer price indices (CPIs) which measure the general rise in consumer prices, one needs to know not only the price rise for each commodity group but also the budget shares of different commodity groups (used as weights). The budget shares as revealed by the NSS CES are being used for a long time to prepare what is called the weighing diagram for official compilation of CPIs. More extensive use of NSS CES data is planned to have a weighing diagram that uses a finer commodity classification, to prepare rural and urban CPIs separately for each State.

Apart from these major uses of the CES, the food (quantity) consumption data are used to study the level of nutrition of different regions, and disparities therein. Further, the budget shares of a commodity at different MPCE levels are used by economists and market researchers to determine the elasticity (responsiveness) of demand to income increases.

1.1.3 Objective of the survey on employment and unemployment: The basic objective of the employment-unemployment surveys of NSSO is to get estimates of the employment and unemployment characteristics at national and State level. The statistical indicators on labour market are required for planning, policy and decision making at various levels, both within government and outside. Some of the important uses of these indicators include use by the Planning Commission in evolving employment strategy, use by National Accounts Division in estimating gross domestic product using sector wise workforce participation, and use by various researchers to analyse the condition of the labour market. In this context, it may be mentioned that data collected in NSS employment-unemployment surveys was widely used by the National Commission for Enterprises in the Unorganised Sector (NCEUS), 2009. In NSS 68th round, information on various facets of employment and unemployment will be collected in Schedule 10 (Employment and Unemployment) from all the members of the selected households.

The critical issues in the context of labour force enquiries pertain to defining the labour force and measuring participation of labour force in different economic activities. The activity participation of the people is not only dynamic but also multidimensional; it varies with region, age, education, gender, industry and occupational category. These aspects of the labour force will be captured in detail in the present survey on employment and unemployment. Major types of information that will be collected in this round relate to activity status, industry, occupation and earning from employment for the employees along with education particulars, etc. Besides, the survey will also provide insight into the informal sector and informal employment. Information will be collected from the workers about the type of enterprises in which they were engaged and conditions of employment for the employees. Using the data collected from employment and unemployment surveys, indicators will be generated on labour force participation rate, worker population ratio, unemployment rates, employment in the informal sector, informal employment, wages of employees, etc.

1.2 Outline of Survey Programme

1.2.1 Geographical coverage: The survey will cover the whole of the Indian Union *except* (i) interior villages of Nagaland situated beyond five kilometres of the bus route and (ii) villages in Andaman and Nicobar Islands which remain inaccessible throughout the year.

1.2.2 Period of survey and work programme: The period of survey will be of one year duration starting on 1st July 2011 and ending on 30th June 2012. The survey period of this round will be divided into four sub-rounds of three months' duration each as follows:

- sub-round 1 : July - September 2011
- sub-round 2 : October - December 2011
- sub-round 3 : January - March 2012
- sub-round 4 : April - June 2012

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

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

- Schedule 0.0 : list of households
- Schedule 1.0 : consumer expenditure
- Schedule 10 : employment and unemployment

It has been decided that two types of Schedule 1.0 viz. Schedule Type 1 and Schedule Type 2 will be canvassed in this round. Schedule Type 1 and Type 2 are similar to those of NSS 66th round.

1.2.4 Participation of States: In this round all the States and Union Territories except Andaman & Nicobar Islands, Chandigarh, Dadra & Nagar Haveli and Lakshadweep are participating. The following is the matching pattern of the participating States/ UTs.

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

1.3 Contents of Volume I

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

1.3.2 Along with the instructions, a list of Frequently Asked Questions (FAQ) is also appended with each of the chapters Two to Four.

1.4 Sample Design

1.4.1 Outline of sample design: A stratified multi-stage design has been adopted for the 68th round survey. The first stage units (FSU) will be the 2001 census villages (Panchayat wards in case of Kerala) in the rural sector and Urban Frame Survey (UFS) blocks in the urban sector. The ultimate stage units (USU) will be households in both the sectors. In case

of large FSUs, one intermediate stage of sampling will be the selection of two hamlet-groups (hgs)/ sub-blocks (sbs) from each rural/ urban FSU.

1.4.2 Sampling Frame for First Stage Units: For the rural sector, the list of 2001 census villages (henceforth the term 'village' would mean Panchayat wards for Kerala) will constitute the sampling frame. For the urban sector, the list of UFS blocks (2007-12) will be considered as the sampling frame.

1.4.3 Stratification: Within each district of a State/ UT, generally speaking, two basic strata will be formed: i) rural stratum comprising of all rural areas of the district and (ii) urban stratum comprising of all the urban areas of the district. However, within the urban areas of a district, if there are one or more towns with population 10 lakhs or more as per population census 2001 in a district, each of them will form a separate basic stratum and the remaining urban areas of the district will be considered as another basic stratum.

1.4.4 Sub-stratification:

Rural sector r: If 'r' be the sample size allocated for a rural stratum, the number of sub-strata formed will be 'r/4'. The villages within a district as per frame will be first arranged in ascending order of population. Then sub-strata 1 to 'r/4' will be demarcated in such a way that each sub-stratum will comprise a group of villages of the arranged frame and have more or less equal population.

Urban sector: If 'u' be the sample size for an urban stratum, 'u/4' number of sub-strata will be formed. In case u/4 is more than 1, implying formation of 2 or more sub-strata, this will be done by first arranging the towns in ascending order of total number of households in the town as per UFS phase 2007-12 and then arranging the IV units of each town and blocks within each IV unit in ascending order of their numbers. From this arranged frame of UFS blocks of all the towns/million plus city of a stratum, 'u/4' number of sub-strata will be formed in such a way that each sub-stratum will have more or less equal number of households as per UFS 2007-12.

1.4.5 Total sample size (FSUs): 12784 FSUs will be surveyed for the central sample at all-India level and 14980 FSUs will be surveyed for state sample. Statewise allocation of sample FSUs has been given in Table-1, Page A-33.

1.4.6 Allocation of total sample to States and UTs: The total number of sample FSUs is allocated to the States and UTs in proportion to population as per census 2001 subject to a minimum sample allocation to each State/ UT. While doing so, the resource availability in terms of number of field investigators has been kept in view.

1.4.7 Allocation of State/ UT level sample to rural and urban sectors: State/ UT level sample size is allocated between two sectors in proportion to population as per *census 2001* with double weightage to urban sector subject to the restriction that urban sample size for bigger states like Maharashtra, Tamil Nadu etc. should not exceed the rural sample size. A minimum of 16 FSUs (minimum 8 each for rural and urban sector separately) will be allocated to each state/ UT.

1.4.8 Allocation to strata/ sub-strata: Within each sector of a State/ UT, the respective sample size will be allocated to the different strata/ sub-strata in proportion to the population as per census 2001. Allocations at stratum level will be adjusted to multiples of 4 with a

minimum sample size of 4. Allocation for each sub-stratum will be 4. Equal number of samples will be allocated among the four sub-rounds.

1.4.9 Selection of FSUs:

For the rural sector, from each stratum/ sub-stratum, required number of sample villages will be selected by probability proportional to size with replacement (PPSWR), size being the population of the village as per Census 2001.

For the urban sector, UFS 2007-12 phase will be used for all towns and cities and from each stratum/sub-stratum FSUs will be selected by using Simple Random Sampling Without Replacement (SRSWOR).

Both rural and urban samples are to be drawn in the form of two independent sub-samples and equal number of samples will be allocated among the four sub rounds.

1.4.10 Selection of hamlet-groups/ sub-blocks - important steps

1.4.10.1 Proper identification of the FSU boundaries: The first task of the field investigators is to ascertain the exact boundaries of the sample FSU as per its identification particulars given in the sample list. For urban samples, the boundaries of each FSU may be identified by referring to the map corresponding to the frame code specified in the sample list (even though map of the block for a latter period of the UFS might be available).

1.4.10.2 Criterion for hamlet-group/ sub-block formation: After identification of the boundaries of the FSU, it is to be determined whether listing will 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 will 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, Uttarakhand (except four districts Dehradun (P), Nainital (P), Hardwar and Udham Singh Nagar), Poonch, Rajouri, Udhampur, Doda, 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 |
|and so on | |

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

Two hamlet-groups (hg)/ sub-blocks (sb) will be selected from a large FSU wherever hamlet-groups/ sub-blocks have been 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 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 have same maximum percentage share of population, the one among them which is listed first in block 4.2 of schedule 0.0 will be treated as hg/ sb 1.

1.5 Listing of households: Having determined the hamlet-groups/ sub-blocks, i.e. area(s) to be considered for listing, the next step is to list all the households (including those found to be temporarily locked after ascertaining the temporariness of locking of households through local enquiry). The hamlet-group/ sub-block with sample hg/ sb number 1 will be considered for listing first, to be followed by the listing of households within the sample hg/sb number 2.

1.6 Formation of second stage strata and allocation of households

1.6.1 Two cut-off points 'A' and 'B' (in Rs.) are determined from NSS 66th round data for each NSS region for urban areas in such a way that top 10% of the population have MPCE more than 'B' and bottom 30% of the population have MPCE less than A. The values of A and B for each NSS Region have been given in Chapter Two.

1.6.2: For both Schedule 1.0 and Schedule 10, households listed in the selected FSU/ hamlet-group/ sub-block will be stratified into three second stage strata (SSS). Composition of the SSS and number of households to be surveyed from different SSS for each of the three schedules of enquiry namely, Schedule 1.0 (Type 1), Schedule 1.0 (Type 2) and Schedule 10 will be as follows:

| SSS | composition of SSS | number of households to be surveyed | |
|--------------|---|-------------------------------------|---|
| | | FSU without hg/sb formation | FSU with hg/sb formation (for each hg/sb) |
| Rural | | | |
| SSS 1: | relatively affluent households | 2 | 1 |
| SSS 2: | of the remaining, households having principal earning from non- agricultural activity | 4 | 2 |
| SSS 3: | other households | 2 | 1 |

| SSS | composition of SSS | number of households to be surveyed | |
|--------------|--|-------------------------------------|---|
| | | FSU without hg/sb formation | FSU with hg/sb formation (for each hg/sb) |
| Urban | | | |
| SSS 1: | households having MPCE of top 10% of urban population (MPCE > B) | 2 | 1 |
| SSS 2: | households having MPCE of middle 60% of urban population ($A \leq \text{MPCE} \leq B$) | 4 | 2 |
| SSS 3: | households having MPCE of bottom 30% of urban population (MPCE < A) | 2 | 1 |

1.6.3 The above table provides the plan of allocation of the sample household in the respective SSS. However, there can be situations in the selected FSUs both in rural and urban sectors where adequate number of households is not available for required allocation. In such situation, the selection of household for the SSS is compensated from the other SSS. This is done by adopting specified procedure. To meet the shortfall of households in one SSS compensation can be made from other SSSs. The details of the compensation rules are given in the Chapter two dealing with household Listing Schedule 0.0.

1.7 Selection of households: From each SSS the sample households for each of the schedules will be selected by SRSWOR. If a household is selected for more than one schedule, only one schedule will be canvassed in that household in the priority order of Schedule 1.0 (Type 1), Schedule 1.0 (Type 2) and Schedule 10 and in that case the household will be replaced for the other schedule. If a household is selected for Schedule 1.0 (Type 1) it will not be selected for Schedule 1.0 (Type 2) or Schedule 10. Similarly, if a household is not selected for Schedule 1.0 (Type 1) but selected for Schedule 1.0 (Type 2) it will not be selected for Schedule 10.

1.8 Concepts and Definitions:

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

1.8.1 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.

1.8.2 **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.

1.8.3 **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.

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

1.8.5 **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

1.8.5.1 **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 household 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.

It may be noted that the household types and the procedure suggested here for rural areas are different from those followed in NSS surveys till now.

1.8.5.2 For **urban** areas the different urban types correspond to four sources of household income, unlike the rural sector where five sources are considered. 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*.

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

1.8.7 Land owned: A piece of land is considered '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. Thus, in determining the ownership of a plot of land, the following basic concepts are involved:

- Land owned by the household i.e., land on which the household has the right of permanent heritable possession with or without the right to transfer the title e.g., Pattadars, Bhumidars, Jenmons, Bhumiswamis, Rayat, Sithibans etc. A plot of land may be leased out to others by the owner without losing the right of permanent heritable possession.
- Land held under special conditions such as the holder does not possess the title of ownership but the right for long-term possession of the land (for example, land possessed under perpetual lease, hereditary tenure and long-term lease for 30 years or more) will be considered as being held under owner-like possession. In the states where land reform legislation has provided for full proprietorship to erstwhile tenants, they are to be considered as having owner-like possession, even if they have not paid the full compensation.
- Sometimes a plot may be possessed by a tribal in accordance with traditional tribal rights from local chieftains or village/district council. Again a plot may be occupied by a tenant for which the right of ownership vests in the community. In both the cases the tribal or other individual (tenant) will be taken as owner; for in all such cases, the holder has owner-like possession of the land in question.
- Frequently, the land possessed by the household is *owned by the head of the family, who stays in a different town or village and therefore is not a member of the household*. In such cases the land should be regarded as not owned but *leased in* by the household.

1.8.8 Land possessed: The area of land possessed will include land 'owned', 'leased in' and 'land neither owned nor leased in' (i.e. encroached) by the household but exclude land 'leased out'. Note that

- 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 land 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.
- For a piece of public/institutional land under the possession of the household, if the household lacks title of ownership and also does not have lease agreement for the use of land transacted, either verbally or in writing, such land will be considered as 'neither owned nor leased in'. Private land (i.e. land owned by the household sector) possessed by the household without title of ownership and occupancy right will *not* be considered in the 'otherwise possessed' category. All private land encroached upon by the household will be treated as leased-in land.
- Land possessed by the household members by virtue of family ties with the owner who stays elsewhere (forms a different household), is also to be treated as a case of land leased in. For such owners (those found to be living away from their family members who are in possession of the land), the land is to be recorded as owned and leased out.
- It may be noted that land owned, leased in, etc., by a particular household does not include the area of land owned, leased in, etc., by the servants/paying guests who are considered as normal members of the household. However, land owned/cultivated jointly by two or more households may be apportioned to determine the land owned/cultivated by any one of them.
- Land possessed by the households living in a block of flats is to be calculated by apportioning the total area occupied by the building among the households in proportion to the size of the flats.

1.8.9 Land cultivated: Land cultivated is defined as the *net sown area* (area sown with field crops and area under orchards and plantations counting an area only once in an agricultural year) during the agricultural year. Land cultivated may be from the land 'owned', 'land leased in' or from 'land otherwise possessed (neither owned nor leased in)'.

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

1.8.11 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.

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

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

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

(ii) of the non-market activities,

(a) all the activities relating to the primary sector (i.e., **industry Divisions 01 to 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.

1.8.11.3 Determination of economic activities described above will be done irrespective of the situation whether such activity is carried out illegally in the form of smuggling or not. However, by convention, as in earlier rounds, the activities like prostitution, begging, etc., which may result in earnings, will not be considered as economic activities in this round also.

1.8.12 Activity status: Determination of activity status is the first and foremost step in the employment-unemployment surveys. Each person of the selected households is assigned a unique activity status for which further detailed information is collected. It is the

activity situation relating to participation in economic or non-economic activities in which a person is found engaged during a reference period. According to this, a person will be found in one or a combination of the following three 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 that of (ii) above with 'unemployment'.

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

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

- (a) worked in household enterprise (self-employed) as an own-account worker
- (b) worked in household enterprise (self-employed) as an employer
- (c) worked in household enterprise (self-employed) as 'helper'
- (d) worked as regular 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,
- (d) tailoring, weaving, etc., for household use
- (e) recipients of rent, pension, remittance, etc.
- (f) not able to work due to disability
- (g) others
- (h) did not work due to sickness (for casual workers only).

1.8.13 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.

1.8.14 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.

1.8.15 **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.

1.8.16 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.

1.8.17 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.

1.8.18 **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.*

1.8.19 **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.

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

1.8.21 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 activity 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.

1.8.22 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.

1.8.23 Subsidiary economic activity status: A person whose principal usual status is determined on the basis of the major time criterion may have pursued some economic activity **for 30 days or more** during the reference period of 365 days preceding the date of survey. The status in which such economic activity is pursued during the reference period of 365 days preceding the date of survey is the subsidiary economic activity status of the person. In case of multiple subsidiary economic activities, the major activity and status based on the 'relatively 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.

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

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

- i) Each day of the reference week is looked upon as comprising either two 'half days' or a 'full day' for assigning the activity status.
- ii) A person is considered 'working' (employed) for the entire day if he/ she had worked for 4 hours or more during the day.
- iii) If a person was engaged in more than one economic activity for *4 hours or more* on a day, he/ she would be assigned two economic activities out of the different economic activities according to descending order of time spent on these on the reference day. In such cases, one 'half day' work will be considered for each of

those two economic activities (i.e., 0.5 intensity will be given for each of these two economic activities).

- iv) If the person had worked for *1 hour or more but less than 4 hours on a day*, he/ she is considered 'working' (employed) for half-day and 'seeking or available for work' (unemployed) or 'neither seeking nor available for work' (not in labour force) for the other half of the day depending on whether he was seeking/ available for work or not.
- v) If a person was not engaged in 'work' even for 1 hour on a day but was seeking/ available for work even for 4 hours or more, he/ she is considered 'unemployed' for the entire day. However, if a person was not engaged in 'work' even for 1 hour on a day but was 'seeking/ available for work' for more than 1 hour and less than 4 hours only, he/ she is considered 'unemployed' for half day and 'not in labour force' for the other half of the day.
- vi) A person who neither had any 'work' to do nor was available for 'work' even for half a day was considered 'not in labour force' for the entire day and is assigned one or two of the detailed non-economic activity status depending upon the activities pursued by him/her during the reference day.

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

1.8.26 Nominal work: Work done by a person **for 1 - 2 hours in a day** during the reference week is said to be a day with nominal work for the person. In the day-to-day labour time disposition of the reference week, such a day's work is considered to be half-day work (and it gets half intensity while accounting).

1.8.27 Operation: It is the type of work performed by a person during a reference period such as manual, non-manual, agricultural, non-agricultural, etc. Operation has been combined with activity status and industry corresponding to the work performed. Information regarding the type of operation is collected **only for rural areas and relating to current status only**. The different types of operations are - ploughing, sowing, transplanting, weeding, harvesting, others (manual) and others (non-manual). In the last two cases, the sector in which the work is performed is indicated by the industry. It may be noted that for 'regular wage/ salaried employees' on leave or on holiday, the 'operation' relates to their respective function in the work or job from which he/ she is temporarily off. Similarly, for persons categorised as 'self-employed' but not working on a particular day in spite of having work on that day, the operation will relate to the work that he/ she would have done had he/ she not enjoyed leisure on that day.

1.8.28 Manual work: A job essentially involving physical labour is considered as manual work. 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 physical labour and at the same time not requiring much educational (general, scientific, technical or otherwise) background are to be treated as 'manual work'. Thus, engineers, doctors, dentists, midwives, etc., are not considered manual workers even though their jobs involve some amount of physical labour.

But peons, chowkidars, watchman, etc. are considered manual workers even though their work might not involve much physical labour. A few examples of manual workers are cooks, waiters, building caretakers, sweepers, cleaners and related workers, launderers, dry cleaners and pressers, hair dressers, barbers, beauticians, watchmen, gate keepers, agricultural labourers, plantation labourers and related workers.

1.8.29 Rural Labour: Manual labour working in agricultural and/ or non-agricultural occupations *in return for wages* paid either in cash or in kind (excluding exchange labour) and *living in rural areas*, will be taken as rural labour.

1.8.30 Agricultural labour: A person will be considered to be engaged as agricultural labour, if he/ she follows one or more of the following agricultural occupations in the capacity of a wage paid manual labour, whether paid in cash or kind or both:

- (i) farming
- (ii) dairy farming
- (iii) production of any horticultural commodity
- (iv) raising of livestock, bees or poultry
- (v) any practice performed on a farm as incidental to or in conjunction with farm operations (including forestry and timbering) and the preparation for market and delivery to storage or to market or to carriage for transportation to market of farm produce. Further, 'carriage for transportation' refers **only to the first stage of the transport** from farm to the first place of disposal.

Working in fisheries is excluded from agricultural labour.

1.8.31 Wage-paid manual labour: A person who does manual work in return for wages in cash or kind or partly in cash and partly in kind (excluding exchange labour) is a wage paid manual labour. Salaries are also to be counted as wages. A person who is self-employed in manual work is **not treated** as a wage paid manual labour.

1.8.32 Cultivation: All activities relating to production of crops and related ancillary activities are considered as cultivation. Growing of trees, plants or crops as plantation or orchards (such as rubber, cashew, coconut, pepper, coffee, tea etc.) are not considered as cultivation activities for the purpose of this survey. In general, the activities covered under NIC-2008 classes 0111, 0112, 0113, 0114, 0116, 0119 and among class 0128 sub classes 01281, 01282, etc. are to be considered as cultivation.

1.8.33 Homestead land: (i) Homestead of a household is defined as the dwelling house of the household together with the courtyard, compound, garden, out-house, place of worship, family graveyard, guest house, shop, workshop and offices for running household enterprises, tanks, wells, latrines, drains and boundary walls *annexed* to the dwelling house. All land coming under homestead is defined as homestead land.

(ii) Homestead may constitute only a part of a plot. Sometimes, gardens, orchards or plantations, though adjacent to the homestead and lying within the boundary walls, may be located on a clearly distinct piece of land. In such cases, land under garden, orchard or plantation will not be considered as homestead land.

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

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

1.8.35 Industry and occupation of the economic activity: For every household member who is engaged in economic activity during the reference period, information on industry and occupation of the economic activity is collected in the employment-unemployment survey in the usual status approach, current daily status approach, current weekly status approach. The sector of the economic activity in which a person is found engaged is his/her industry of work and the corresponding occupation is the occupation of the person. For collection of information on industry, National Industrial Classification-2008 (NIC-2008) will be used and for collection of information on occupation, National Classification of Occupation-2004 (NCO-2004) will be used.

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

1.8.37 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 programmes such as Mahatma Gandhi National Rural Employment Guarantee (MGNREG) 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 programmes, 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'.

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

1.8.38 Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA): The Mahatma Gandhi National Rural Employment Guarantee Act, 2005 (MGNREGA) is an important step towards the realization of the right to work and to enhance the livelihood security of the households in the rural areas of the country. According to this Act, Rural Employment Guarantee Schemes (REGS) are formed by the State Governments. The Scheme provides at least 100 days of guaranteed wage employment in every financial year to every household whose adult members volunteer to do unskilled manual work. Adult means a person who has completed his/ her eighteen years of age. Unskilled manual work means any physical work which any adult person is capable of doing without any special skill/ training. The implementing agency of the scheme may be any Department of the Central Government or a State Government, a Zila Parishad, Panchayat/ Gram Panchayat or any

local authority or Government undertaking or non-governmental organization authorized by the Central Government or the State Government.

1.8.39 Vocational Training: A vocational training may broadly be defined as a training, which prepares an individual for a specific vocation or occupation. The main objective of vocational education and training is to prepare persons, especially the youth, for the world of work and make them employable for a broad range of occupations in various industries and other economic sectors. It aims at imparting training to persons in very **specific fields** through providing significant **‘hands on’** experience in acquiring necessary skill, which will make them employable or create for them opportunities of self-employment. Thus, the essential feature of the vocational training is that it lays more emphasis on development of skill in a specific vocation or trade rather than building knowledge. Mere possession of a skill, which neither creates opportunities for self-employment nor makes a person employable, will not be considered as having vocational training.

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

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

By structured training programme, it is meant that:

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

1.8.41 Non-formal Vocational 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, through gradual exposures to such works as are involved in carrying out the profession by their ancestors. The expertise gained through significant ‘hands-on’ experience enables the individual to take up activities in self-employment capacity or makes him employable. When such marketable expertises are acquired by one, which enables him/her to carry out the trade or occupation of their ancestors over generations, may also be considered, for the purpose of survey, to have received ‘non-formal’ vocational training and that through ‘hereditary’ sources.

(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 non-formal vocational 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 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 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 will be considered to have received non-formal vocational training through 'other' sources.

1.8.42 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/Public Sector Enterprise:** An enterprise, which is wholly owned/run/managed by Central or State governments, quasi-government, institutions, local bodies like universities, education boards, municipalities, etc. An enterprise should not be treated as a public sector enterprise if it is run on a loan granted by government, local body, etc.

(iv) **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 company is seven.

(v) **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**.]

(vi) **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.

(vii) **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.

(viii) **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.

(ix) **Employer Households (i.e., private households employing maid servant, watchman, cook, etc.):** The households which are employing maid servant, watchmen, cook, private tutor, etc. will be considered notionally as enterprise for the purpose of this survey and will be classified as 'Employer households'.

1.8.43 AN EXPLANATORY NOTE ON AYUSH

1.8.43.1 **AYUSH:** Each letter of the word AYUSH represents a specified system of medicine:

- A**=Ayurveda
- Y**=Yoga & Naturopathy
- U**=Unani
- S**=Siddha
- H**=Homeopathy.

The system is also known as Indian System of Medicines and Homoeopathy (ISM&H).

1.8.43.2 Ayurveda, Siddha, Unani medicines are also called **Desi Dawaiyan** in India. Herbal Medicines are also included in the category of these medicines. The practitioners of these systems are called Vaidji, Vaidyas, Siddha Vaidyas and Hakims. Sometimes people also say Jadi-Booti wale Vaidji, Hakimji etc. Hence, for the survey purpose, the information on Ayurveda, Unani and Siddha (including herbal medicines, *Desi dawa and Jadi bootiyan*) will be collected under one head namely “Indian System of Medicines”.

1.8.44 Some details of the systems coming under the umbrella of AYUSH are given below:

1.8.44.1 Ayurveda

1.8.44.1.1 **Desi Medicines prescribed by Vaidji / Vaidya are called Ayurvedic medicines.** Ayurveda is a **classical system of medicine originating from the Vedas**, founded around 5000 years ago in India, and currently recognized and practiced in India and many subcontinent countries. The system gives emphasis to preventive, curative and promotive aspects. **For therapeutic uses, plants are abundantly used along with some metals and minerals in specially processed forms.**

1.8.44.1.2 Some popular Ayurvedic medicines used in India are as follows:

1. For cough and cold: Kadha – Kawatha/kasayam e.g. Kadha (decoction) of *Tulsi Patra, Adarakh* (Ginger), *Mulethi, Kali Mirch, Lavanga*, pippali (Black pepper) and honey etc., and Herbal Tea.
2. For fever: Herbal juices, e.g. juice of Aloe Vera (*Gvarpatha/ Gheekumari*) leaves, Neem leaves and bark, *Tulsi Patra*, Kvatha of *Giloya* (Guduch) stem, Chirayata.
3. For Stomach and digestion related problems: Trifala churna, Hingwashtak churna, Lavanbhaskar Churna, Drakshasava, Hing, Jeera, Pudina, Saindha Namaka, Ajwain, Shuthi (dry ginger).
4. As a tonic (for energy): Chyavanprash and Ashwagandha.
5. For Stri rog: Supari pak, Ashokarishta, Dashmoolarishta.
6. For Indigestion: Hing ki goli.
7. For Constipation: Isabgol, Harde, Gulkand and Trifala Churna.
8. For Body Pain: Guggule Goli, Narayan Tail, Balm.
9. For joint pain and swelling/Gathiya: Guggula ki goli like Yogaraja Guggula, Haldi powder, Methi beej, Sahajan ke phool and patra, Lahasun (garlic).
10. For Children: Bal Ghutti/ Mugli Ghutti/ Janam Ghutti.
11. For Hair Oil: Bhringraj Tail, Brahmi Amla Tail.
12. For the purpose of soothing the body, tiredness, general weakness, body ache, joint pain, stiffness: massage with various oils like Tila ka Tail, Mahanarayan Tail.

13. For minor injuries: Haldi powder with milk and local application with oil /ghee, leaves of Erand (erandi).
14. For minor eye problems: Gulab Jala.
15. Toothache: Oil of lavanga (Laung ka Tail)
16. Earache: luke warm Sarason ka Tail processed with Lahasuna.
17. For diabetes: juice of Karela, powder of Jamun seeds, Methi seeds, Haldi, Amala fruit, Neem leaves.
18. For skin diseases: oil of neem seeds, Karpur or/and Gandhaka powder mixed with oil of coconut or Sarson.

1.8.44.1.3 Panchakarma massage and body massage with oils are very popular practices of Ayurveda for joint pains and promotional health.

Ayurvedic Medicines nowadays are often available in the form of capsules, tablets, syrups, powders and many new forms.

1.8.44.2 Yoga & Naturopathy

1.8.44.2.1 **YOGA** refers to **traditional physical and mental disciplines originating in India**. The word "Yoga" came from the Sanskrit word "yuj" which means "to unite or integrate." Yoga is about the union of a person's own consciousness and the universal consciousness. It is a healing system of theory and practice. **It is a combination of breathing exercises, physical postures, and meditation** that has been practised for more than 5,000 years. The Yogic exercises are the physical postures explained and referred to in Yoga for physical disciplines. The word is also associated with meditative practices.

1.8.44.2.2 Some popular YOGA ASANAS used by common people are as follows:

1. For diabetes, stress management: Pranayam, shavasan, ardhmatsyendra asana.
2. For pain, to regulate blood circulation: Different body postures of Yoga.
3. For Psychosomatic Disorders: Yogic Relaxation techniques, kriyas like trataka.
4. For Digestive Disorders: Pavanamuktasana, Vajrasana and Kriyas like Dhauti, Kunjal, Agnisara.

1.8.44.2.3 **NATUROPATHY** refers to methods of treating diseases using natural therapeutics viz. Water therapy (Hydrotherapy), Colour therapy (chromotherapy), Fasting therapy, Mud therapy, Magnet therapy and food therapy to assist the natural healing process.

Naturopathic philosophy favours a holistic approach without the use of surgery and drugs and emphasizes the use of natural elements (air, water, heat, sunshine) and physical means (massage, water treatment etc.) to treat illness.

It is an eclectic alternative medical system that focuses body's vital ability to heal and maintain itself.

1.8.44.2.4 Some popular Naturopathy treatments used by common people are as follows:

1. For skin diseases: Mud bath, Sun bath.
2. For pain and tension: Massage therapy.
3. For chronic ailments like Diabetes, Hypertension: Hydrotherapy like Hip bath, Spinal bath, Diet Therapy.
4. For acute diseases like Fever: Fasting, Enema, Cold Packs, Cold Compress.

1.8.44.2.5 Some other popular Yoga Asanas and Naturopathy treatments listed below:

1. **Shatkarma** (Six cleansing procedures): Kapalabhati, Neti, Dhouti.
2. **Asana** (psycho-physical postures): Padmasana, Shavasana.
3. **Pranayama** (controlled and regulated breathing): Nadishodhana pranayama, Sitali Pranayama, Bhramari pranayama.
4. **Bandha & Mudra** (Neuromuscular locks and gestures): Jalandhara bandha and Uddiyana bandha.
5. **Dhyana** (Meditation).
6. **Mitahara** (Yogic Diet).

1.8.44.3 Siddha

1.8.44.3.1 Siddha is an **ancient system of medicine prevalent in South India**. The word Siddha comes from the Tamil word for perfection. Those who attained an intellectual level of perfection were called Siddhas. Siddha literature is in Tamil and the system is practised largely in the Tamil-speaking part of India and abroad. The Siddha System is largely therapeutic in nature and like Ayurveda, it also advocates the use of plants abundantly along with some metals and minerals with specialized processes of preparation of therapeutic formulations.

1.8.44.3.2 Some popular Siddha medicines are as follows:

1. Kudiner.
2. For Fever: Nilavembu Kudineer, Thirikadugu Churnam.
3. For Headache & sinusitis: Neer koavai mathirai (External use).
4. For Stomach and digestion-related problems: Elathi Chooranam, Ashtathi chooram, Thiripala Churnam.
5. As a Tonic (for energy): Thetrankottai legium, Amukkara legium.
6. For Women (menstrual problem): venpoosani legium, venpoosani nei, katrazhai ilagam.
7. For Body pain: Amukkara chooranam, karpoorathy thylam (external use), vatha kesari thylam (external use).
8. For Joint pain: Pinda thylam, Vizha mutty thylam.
9. For Constipation: Thiri pala Churanam, Nilavagai Churanam.
10. For Diarrhea: Thayirchunti Churnam.
11. For Children: Urai Mathirai, Omathener, vallari nei.
12. For Hair Oil: Neeli Bringathy thylam, Karisalai thylam.
13. For Body massage: Asai thailam, vathakesari thylam.
14. For Head massage Chukku thylam & Arakku thylam.

1.8.44.4 Unani

1.8.44.4.1 **Desi medicines prescribed by Hakims are called Unani medicines.** The Unani System of Medicines originated in Greece and is based on the teachings of Hippocrates and Gallen, developed into an elaborate Medical System by Arabs. The Unani system became enriched by imbibing what was best in the contemporary systems of traditional medicines in Egypt, Syria, Iraq, Persia, India, China and other Middle East countries. The literature of the Unani system is mostly found in Arabic, Persian and Urdu languages. In Unani system the plants, metals and minerals are used in specialized forms for therapeutic uses.

1.8.44.4.2 Some popular Unani medicines are as follows:

1. For cough and cold: Joshanda (Kaadha) made of Adrak, Kaalimirch, Mulethi, Unnab.
2. For stomach-ache: Arak Saunf, Arak Ajawaian.
3. For cough: Sharbat zuffa, Sualin tablet, Lauq-e-Sapistan (Lasode ki chatni).
4. For skin problem (blood purification): Safi, Khoonsafa, Arq-e-Shatra & Chiraita.
5. General tonic: Halwa-e-gheekawar, Cinkara, Roghan-e-Badam.
6. Brain tonic: Khamira-e-Gaozaban, Dimagheen.
7. Liver diseases (Jaundice): Arq-e-Mako, Arq-e-Kasni.
8. Digestive problems: Habb-e-Kabid, Jawarish-e-Jalinos.
9. Constipation: Qurs-e-Mulliyan, Itrifal Zamani.
10. Fever: Sharbat Khaksi (Khub Kalan), Gilow, Tabasheer.

1.8.44.5 Sowa-Rig-pa:

1.8.44.5.1 “*Sowa-Rig-pa*”, which originated in India and is commonly known as Tibetan or Amchi medicine, is the traditional medicine of many parts of the Himalayan region. *Sowa-Rig-pa* (Bodh-Kyi) means ‘science of healing’ and the practitioners of this medicine are known as *Amchi* (superior to all).

In India, this system of medicine has been popularly practiced in Ladakh and Paddar-Pangay regions of Jammu and Kashmir, Himachal Pradesh, Arunachal Pradesh, Sikkim, Darjeeling-Kalingpong (WB) and now in Tibetan settlements all over India and abroad.

1.8.44.6 Homeopathy

1.8.44.6.1 The common man understands that the sweet white pills which are dispensed in small globule form contain homoeopathic medicines. Homeopathy was invented over 200 years ago by a German physician, Dr. Samuel Hahnemann, who, after observing many natural phenomena, became convinced that a substance which could cause a disease-like state could also cure a similar condition. The word ‘Homoeopathy’ means ‘similar sufferings’ and the system of Homoeopathy is based on ‘let likes be treated by likes’.

1.8.44.6.2 Homeopathy is a system of medicine that uses highly diluted doses from the plant, mineral and animal kingdoms to stimulate natural defenses in the body. Oral homoeopathic medicine is available in many forms, including the traditional homoeopathic pellets (balls), liquid dilution, tablets (lactose-based) and mother tincture.

1.8.44.6.3 *Application of Single Remedy:* Homoeopathic medicines are usually administered in single, simple and unadulterated form. Even if a patient suffers from several complaints, the homoeopathic physician never prescribes different medicines for each of these ailments; but administers a single medicine at a time, which suits the patient as a whole.

1.8.44.6.4 *Administration of Medicines:* Homoeopathic medicines are prepared in a special way known as Drug Dynamization or Potentisation. Potentised Homoeopathic medicines are dispensed in small globules prepared from lactose (sweet white pills). Mother tinctures, ointments for external use and eye drops & ear drops are also commonly used.

1.8.44.7 **Indian System of Medicines:** This includes Ayurveda, Siddha, Unani and Sowa-Rig-pa medicines. These medicines are also called *Desi Dawaiyan* in India. Herbal Medicines are also included in the category of these medicines. The practitioners of these systems are called Vaidji, Vaidyas, Siddha Vaidyas and Hakims. (Sometimes people also say *Jadi-Booti wale* Vaidji, Hakimji, etc.) This category also includes Home-made medicines and Gharelu Nuskhe, Herbal Medicines (*Jadi-Bootiyan or Desi Dawa*), and the medicines given by local Vaidya/Hakim. e.g. Neem leaves for skin diseases, Tulsi leaves for common cold, Haldi (turmeric) for injuries and fracture, Adarak (ginger) for cough, cold, throat problem, Garlic for gathiya/ joint pain, pepper and honey for dry cough, Ashwagandha, Chyawanprash as tonics for energy, Gulab Jal for eye wash, face wash, Saunf for indigestion, Ajowain and Hing for Stomach pain.

1.8.44.8 **Traditional Medicines:** This term is used for **curative and preventive practices which are a part of tradition in various sects/cults/tribes/cultures based on the experiences of many generations.** In India, the practices described in ancient systems of medicines like Ayurveda, Unani, Siddha, etc. sometimes prevail as a tradition, and may therefore be termed traditional medicines although they are part of a well-recognized system.

1.8.44.9 **Herbals:** In our country, many home remedies used for prevention and cure are made up of plant parts and in general referred to as *Jadi-Bootiyan or Desi Dawa*. These plant-based recipes or *Jadi-Bootiyan*, although part of either Ayurveda or Unani or Siddha system of medicines, are not used under these specific names of AYUSH systems, due to ignorance or because they are so universally used.

1.8.44.10 Frequently, the plants which are used in these home remedies do not find mention in the present regulatory books of AYUSH systems. There are more than 10,000 plants in such use in India but only a few thousand have been incorporated in various Pharmacopeias or regulatory books so far. Hence, the term is used for defining or capturing data on use of those recipes/ *Jadi-Bootiyan* which, although part of AYUSH, could not be counted/ captured under any specified system of AYUSH due to lack of awareness and other reasons.

1.8.45 A few other definitions relevant to the enquiry on AYUSH

1.8.45.1 ‘AYUSH Unit’:

AYUSH Unit will mean any Health Care Center/ unit providing treatment facility for any discipline under AYUSH (Ayurveda, Yoga, Naturopathy, Unani, Siddha, Homoeopathy), such as:

- (1) **‘Hospital’** Medical institutions having provision of admission of sick persons as in-door patients (in-patients) for treatment are called hospitals. Hospital run by the central/ state government or local bodies like municipalities are considered Government Hospital. It is pertinent to mention here that if any allopathic Hospital is having treatment facility for any discipline under AYUSH (for examples if an allopathic Hospital has a wing of Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.
- (2) **‘Dispensary’** is the consulting place/ chamber, which does not generally have facilities for treatment of in-patients. A dispensary is a public institution that dispenses medicine or medical aids or an office in a hospital, school or other institution from which medical supplies, preparations, and treatments are dispensed. Hospitals without bed may be treated as Dispensaries. Dispensary having treatment facility for any discipline under AYUSH (for examples if an allopathic Hospital/ Dispensary has out-patient facility for Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.
- (3) **‘Primary health centre (PHC)’** is the first contact point between a village community and the medical officer. It has a medical officer and other paramedical staff. It is run by the Government and usually has in-patient and out-patient facilities. A PHC has jurisdiction over 6 sub-centres and serves about 30,000 populations in plain area and 20,000 populations in hilly/ tribal area. PHC having treatment facility for any discipline under AYUSH (for examples if any PHC has treatment facility for Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.
- (4) **‘Community health centre’ (CHC)** serves about 1.2 lakh populations in plain area and 80,000 in the hilly/ tribal area. The CHC functions as referral centre for the PHC. It is manned by medical specialists and paramedical staff and has in-patient and out-patient facilities. CHC having treatment facility for any discipline under AYUSH (for examples if an CHC has treatment facility of Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.
- (5) **AYUSH Health Center (AHC):** In some of the State Govt. Institutions, Ayurveda, Unani, Siddha dispensaries are also called as AYUSH Health Centers. Generally these centers are managed by one doctor, one pharmacist and one other staff and provide only out-door patient care.
- (6) **Panchkarma Centers / Kendra:** These are small hospitals where Panchkarma Procedures / Ayurveda massage etc. is carried out. Panchkarma Center provides the facilities for ladies and gents both types of patients.

- (7) **Ayurveda / Panchkarma Hospitals:** There are many hospitals providing indoor patient care through Panchkarma / Massage therapy. Kerala State is well known to have Panchkarma Hospitals of very high quality. Various procedures of massage, fomentation, putting oil on forehead (called as Shirodhara) and applying medicated oils all over the body.

Note: In case, if an AYUSH doctor visits an allopathic health care centre (Hospital/Dispensaries/PHCs/CHCs) once or twice in a week or so (but not on all working days) such Allopathic centre may not be treated as 'AYUSH Unit' for this survey purpose.

1.8.45.2 Doctor/ Vaidya/ Hakims/ Homoeopaths: Medical practitioners providing treatment in any discipline under AYUSH will be covered by this term. In different parts of the country, AYUSH practitioners are known by different names like Vaidya, Hakim, Siddh, Homoeopath, Naturopath, Yoga guru, etc.

1.8.45.3 Medicine: Under AYUSH system, Yoga & Naturopathy are drugless systems. For Ayurved, Unani and Siddha, plant-based medicines are sometimes given to patients. Even home-based medicines like kadha¹, tulsi, neem leaves etc. may be prescribed. Some of the common medicines for various diseases have been mentioned under each discipline, viz., Ayurveda, Unani and Siddha. Homeopathic medicines are available in many forms including the traditional Homoeopathic pellets (sweet white balls), liquid dilution, tablets (lactose based) and mother tinctures.

1.8.45.4 System of Medicine: This term pertains to the recognized systems of medicines, which are used for curative and/or preventive purposes in India such as Ayurveda, Unani, Yoga & Naturopathy, Homeopathy, Allopathy etc., and are regulated in the country by the Deptt. of AYUYSH, Ministry of Health & Family Welfare.

1.8.46 Regarding overlap of different systems of medicines under AYUSH: It needs to be mentioned that due to geographical and cultural diversity in India, the same medicine/ plant is frequently called by different names under different systems of AYUSH. To explain, the same plant may be used in Uttar Pradesh by its Hindi or Sanskrit name by an Ayurveda practitioner (Vaidya) and by its Urdu name under Unani system by a Unani practitioner (Hakim). Furthermore, the same plant may be used in South India by its Tamil name by a Siddha practitioner (called Siddh) under the Siddha system of medicines. Hence it becomes very difficult to draw clear-cut boundaries when self-use of a plant is to be classified according to system of medicine. The practice of AYUSH systems is highly culture- and geography- oriented; even then, in many parts of the country, more than one AYUSH system is in practice concurrently. Hence, it is very difficult to demarcate the exact boundaries of Ayurveda, Siddha and Unani systems of medicine, particularly when it pertains to the use of plants. It is for this reason that information on Ayurveda, Unani and Siddha is proposed to be collected under one head, namely, Indian System of Medicine. However, if the plant or medicine is prescribed by a registered practitioner of the specified system of AYUSH, then it can be classified easily. When there is a use of Proprietary or Classical medicines either as over-the-counter (OTC) medicine or through prescription of any specified system of

¹ The term 'Kadha' (decoction) is used for pharmaceutical form of medicine, not as name of medicine itself. It is prepared from various single or multiple herbal medicines for different diseases

AYUSH, then there is a clear mention of the type of AYSUH system on the label or prescription of the practitioner about the specific system of AYUSH to which the treatment belongs. **Nevertheless, it is clarified that plant-based medicines used in different parts of the country are necessarily part of the Indian System of Medicine (Ayurveda, Unani, Siddha or Sowa-Rigpa).**

1.8.47 Therapies **not included** in AYUSH Systems for the purpose of this survey are:

1. Acupuncture, Aromatherapy, Astrology, Atlas Orthogonal, Auricular Therapy, Alexander Technique, Autogenic Training, Anthroposophical Medicine, Auto -Urine Therapy;
2. Breathwork, Biofeedback, Bach Flower Remedies;
3. Cellular Therapy, Chelation Therapy, Chemotherapy, Chinese (Oriental) Medicine, Colonics, Counseling/Psychotherapy, Cupping, Craniosacral Therapy;
4. Dance/Movement Therapies, Dentistry, Dowsing;
5. Ear Candling, Electropathy;
6. Feng Shui, Feldenkrais Method, Flower Essences;
7. Gem Therapy;
8. Holotropic, Heliotherapy (use of positive effects of the sun in boosting the immune system), Hypnotherapy;
9. Kinesiology;
10. Lymph Drainage Therapy;
11. Midwifery/Childbirth Support;
12. Native American Herbology, Network Chiropractic;
13. Ohashiatsu, Oriental Diagnosis, Osteopathic Medicine;
14. Physiotherapy, Pyramid Healing;
15. Radiesthesia, Radionics, Reconstructive Therapy/Prolotherapy, Reflexology, Reiki, Rolfing;
16. Shiatsu, Sound Therapy.

1.8.48 It may be noted that treatments or use of materials for beauty care or routine personal care and use of substances for flavouring of food or as mouth fresheners are to be excluded from the coverage of this survey.

Table 1: allocation of sample villages and blocks for NSS 68th round

| State/UT | number of FSUs | | | | | |
|-------------------|----------------|-------------|-------------|--------------|-------------|-------------|
| | Central sample | | | State sample | | |
| | total | rural | urban | total | rural | urban |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| ANDHRA PRADESH | 864 | 492 | 372 | 1728 | 984 | 744 |
| ARUNACHAL PRADESH | 216 | 140 | 76 | 216 | 140 | 76 |
| ASSAM | 432 | 332 | 100 | 432 | 332 | 100 |
| BIHAR | 576 | 416 | 160 | 576 | 416 | 160 |
| CHHATTISGARH | 280 | 188 | 92 | 280 | 188 | 92 |
| GOA | 56 | 20 | 36 | 56 | 20 | 36 |
| GUJARAT | 432 | 216 | 216 | 432 | 216 | 216 |
| HARYANA | 328 | 180 | 148 | 328 | 180 | 148 |
| HIMACHAL PRADESH | 256 | 208 | 48 | 256 | 208 | 48 |
| JAMMU & KASHMIR | 432 | 260 | 172 | 864 | 520 | 344 |
| JHARKHAND | 344 | 220 | 124 | 344 | 220 | 124 |
| KARNATAKA | 512 | 256 | 256 | 512 | 256 | 256 |
| KERALA | 560 | 328 | 232 | 840 | 492 | 348 |
| MADHYA PRADESH | 592 | 344 | 248 | 592 | 344 | 248 |
| MAHARASHTRA | 1008 | 504 | 504 | 1260 | 504 | 756 |
| MANIPUR | 320 | 172 | 148 | 640 | 344 | 296 |
| MEGHALAYA | 160 | 108 | 52 | 160 | 108 | 52 |
| MIZORAM | 192 | 80 | 112 | 192 | 80 | 112 |
| NAGALAND | 128 | 88 | 40 | 208 | 88 | 120 |
| ORISSA | 504 | 372 | 132 | 504 | 372 | 132 |
| PUNJAB | 392 | 196 | 196 | 392 | 196 | 196 |
| RAJASTHAN | 520 | 324 | 196 | 520 | 324 | 196 |
| SIKKIM | 96 | 76 | 20 | 96 | 76 | 20 |
| TAMIL NADU | 832 | 416 | 416 | 832 | 416 | 416 |
| TRIPURA | 232 | 164 | 68 | 232 | 164 | 68 |
| UTTAR PRADESH | 1128 | 740 | 388 | 1128 | 740 | 388 |
| UTTARAKHAND | 224 | 132 | 92 | 224 | 132 | 92 |
| WEST BENGAL | 792 | 448 | 344 | 792 | 448 | 344 |
| A & N ISLANDS | 72 | 36 | 36 | 0 | 0 | 0 |
| CHANDIGARH | 40 | 8 | 32 | 0 | 0 | 0 |
| D & N HAVELI | 24 | 12 | 12 | 0 | 0 | 0 |
| DAMAN & DIU | 16 | 8 | 8 | 16 | 8 | 8 |
| DELHI | 128 | 8 | 120 | 256 | 16 | 240 |
| LAKSHADWEEP | 24 | 8 | 16 | 0 | 0 | 0 |
| PONDICHERRY | 72 | 16 | 56 | 72 | 16 | 56 |
| ALL- INDIA | 12784 | 7516 | 5268 | 14980 | 8548 | 6432 |

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

Chapter Two

Schedule 0.0: List of Households

2.0.0 Introduction: Schedule 0.0 is meant for listing all the houses and households residing in the sample first stage unit (FSU) or sample hamlet-groups/ sub-blocks in case of large FSUs. Some household information like household size, relative affluence, if principal earning is from non-agricultural activity, household MPCE etc. will also be collected in this schedule. These 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. Whenever hamlet-groups/ sub-blocks (hg's/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 are given in Chapter One.

2.0.1 Structure of the schedule: The schedule 0.0 contains the following blocks:

- Block 0: descriptive identification of sample FSU
- Block 1: identification of sample FSU
- Block 2: particulars of field operations
- 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 (hg's)/ sub-blocks (sb's)
- Block 5: list of households and record of selection for households (hg/ sb 1/ 2)
- Block 5.1: working sheet for identifying relatively affluent households (hg 1 / 2) (rural only)
- Block 6: particulars of sampling of households
- Block 7: distance of the village to the nearest facility, availability of some amenities and participation in MGNREG work (for inhabited villages only)
- Block 8: remarks by investigator/ asst. superintending officer
- Block 9: comments by supervisory officer(s)

2.0.2 Unit of survey and sampling frame: The first stage unit (FSU) is the 2001 census village in the rural sector. FSU in the urban sector is the Urban Frame Survey (UFS) block. *Latest list of UFS blocks, to the extent possible, will be used for selection of urban samples. Towns may, therefore, belong to different phases of UFS. It is indicated in the sample list under the head "frame code" as to which particular UFS phase has been used as the sampling frame for selection of FSUs belonging to a town.* 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.

2.0.3 Formation of hamlet-groups (hg's) and selection of hamlet-groups 1 & 2: With a view to controlling 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 sub-

divisions called hamlet-groups (hg's). The number of hg's 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 hg's to be formed in a large village has been discussed in detail in Chapter One.

For large sample village, two hg's will be selected. Out of all hg's formed in the village, the one with the highest percentage population will be selected with probability 1. In case there is more than one hg with same highest percentage of population, the one among them which is listed first in block 4.2 will be selected with probability 1. This 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 and independently 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.

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

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

2.0.4 Formation of sub-blocks (sb's): In case urban sample FSUs 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 divisions *by more or less equalizing the population giving priority to geographical compactness* within each sub-block as per the criterion specified in Chapter One. The number of sb's to be formed (i.e. the value of D) will be determined according to the same criteria as adopted in the case of rural FSUs. Sub-blocks will be numbered serially in column (1) of block 4.2.

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

2.0.5 Starting point for listing: Having determined the area unit to be surveyed, the investigator will proceed to list the houses and households in this 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 second stage stratification.

2.0.6 Use of additional sheets of blocks 4.1, 4.2, 5, 5.1: Whenever one schedule booklet is not adequate to list all the hamlets and hamlet-groups/ sub-blocks (blocks 4.1, 4.2) or the working sheet for identifying affluent households (5.1) 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.

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

Block 0: Descriptive identification of sample FSU

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

Block 1: Identification of sample 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 items 2 & 3, the codes of which are 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, 4 to 11, 13 and 14 shall be copied from the sample list.*

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

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

Rural: 2001 census – 13.

Urban: 1982–87 UFS – 06, 1987–92 UFS – 07, 1992–97 UFS – 09, 1997–2002 UFS – 11,
2002–2007 UFS – 14, 2007-12 UFS - 15.

2.1.3 Item 14: frame population/households: The population or the households of the sample FSU as given in the sample list will be copied here. For villages, it will be the census 2001 population and for UFS blocks, it will be the number of households in UFS block as per UFS frame.

2.1.4 Item 15: approximate present population: The investigator will first ascertain the approximate present population of the entire sample FSU taking into consideration the normal growth of population along with any abnormal influx of population into or exodus of population from the sample FSU. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions. The starting point can be 2001 census population. In the case of large difference with census population, it may be asked whether there has been any abnormal influx into or exodus from the FSU after the census or the village has been split or partly merged with other village/ urban area. If so, the approximate increase or decrease of population due to such events or any new settlements that have come up in the FSU after the census is to be ascertained. **In case it is difficult to explain the large difference between frame population and approximate present population in terms of likely growth/decline of population during the intervening period, adequate remarks for such differences should be given in block 8/ 9.**

2.1.5 Item 16: 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’.

2.1.6 Item 17: 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.), rural areas declared as urban areas and now forming part of UFS frame used for urban sampling, FSUs wholly submerged under water in a dam or FSUs with the whole population evicted because of acquisition of land to construct a new factory or other project work etc. with no chance of habitation in future. As against this, the FSU whose entire population has shifted elsewhere due to some natural calamities like fire, cyclone etc., but is likely to return in the future, will be considered as uninhabited FSU and will be given code 2 or 5 as the case might be. If the substitute FSU cannot be surveyed, survey code will be 7.

2.1.7 Item 18: Reason code for substitution of original sample (for codes 4 – 7 in item 17): 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 17), the reason for its becoming a casualty will be recorded in terms of code against item 18. 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 17 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 18. 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. While recording the total time taken to canvass the schedule 0.0 (i.e. column 3, srl. no. 4 of this block), it may be noted that the time taken to reach the sample village and come back should not be considered for filling in this item. In other words, total time spent in identification of the boundaries of the sample 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. All other items are self-explanatory.

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 (hg's)/ sub-blocks (sb's) (Note: Please also refer Para 1.4.10 of Chapter One)

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, 2.0.3.1 and 2.0.4 for the procedures of formation and numbering of hg's/ sb's.

2.5.1 **Column (1): serial no. of hg/ sb:** The hg's/ sb's formed will be given a running serial number (starting from 1) in column (1) as per the guidelines given in paragraphs 2.0.3, 2.0.3.1 and 2.0.4. The last serial number in this column will be the value of 'D' which is to be recorded against 'D' below the block heading.

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

2.5.3 **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 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 this 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 hg's/ sb's 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 hg's/ sb's 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 hg's/ sb's (except the two selected), column (5) may be left blank.

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

(Note: Please also refer para 1.5, 1.6 and 1.7 of Chapter One)

2.6.0.1 In this block, various information 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 the schedules 1.0 (Type 1 and Type 2) and 10 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 need be 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 no. 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 heading of the block 5 correctly and cross the one 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 local panchayat, municipality or other local bodies, may be used if available. The houses without such numbers will be given a separate running serial number starting from 1 within brackets. Wherever house numbers are available, even if not for all the houses, the actual house numbers shall be recorded without any brackets. After listing all the households 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). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. In case of persons staying, say, in hostels and forming single member households, each of them will be listed in separate lines giving a household serial number. Continuous serial number starting from 1 will be given in column (2) for each of the sample hg's/ sb's 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 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) – (6): These two columns are to be filled-in for rural samples only.

2.6.5.1 Column (5): relatively affluent household (yes – 1, no – 2): This column prepares the frame for the second-stage stratum (SSS) 1 which consists of the households identified as relatively affluent as per particulars in block 5.1.

This column will be filled-in after completion of listing of all affluent households in block 5.1.

A household will be classified as affluent in block 5.1 if (i) it owns any of the items such as motor car/ jeep/ tractor/ combine-harvester/ truck/ bus etc., consumer durables like refrigerator/ washing machine/ spacious pucca house in good condition etc. or (ii) a household member is a professional such as doctor/ advocate or has a high salaried job or has a large business or (iii) the household owns 7 hectares or more cultivable land or 3.5 hectares or more irrigated land or (iv) owns at least 10 heads of cattle, buffaloes and camels. If no affluent household could be identified, SSS 1 will be void. But in case the number of affluent households as per block 5.1 exceeds 10 for a hamlet-group, the top ten among them in order of their relative affluence (as per the information obtained from the local knowledgeable person) will form the frame for SSS1.

At the listing stage, if a household is observed to satisfy at least one of the criteria for affluent household, block 5.1 will be filled-in for the household. After completion of the listing of all households, **10 most affluent households will be identified** in block 5.1 for **each hamlet-group** and code '1' will be entered in column (5) of block 5 against the corresponding households. If the number of households listed in block 5.1 does not exceed 10, code '1' will be entered in column (5) of block 5 against all the households listed in block 5.1. Code '2' will be entered in column (5) of block 5 against all other households.

For locked households, efforts must be made to get the information from the neighbours. If no information is available even from the neighbours, code 2 will be entered in this column.

2.6.5.2 Column (6): principal earning from non-agricultural activity (yes – 1, no – 2): This column prepares the frame for the second-stage stratum 2. If principal earning of the household is from non-agricultural activities (i.e. activities other than those under Sections A and B of NIC 2008),

code 1 will be entered in this column. Otherwise, code 2 will be entered. For ascertaining the source of principal earning, incomes of all the household members may be taken into account.

For locked households, efforts must be made to get the information from the neighbours. If no information is available even from the neighbours, code 2 will be entered in this column.

2.6.6 Columns (7) – (9): These columns are relevant for urban samples only.

2.6.6.1 Column (7): average monthly total consumer expenditure for the entire household (Rs): The household consumer expenditure has been explained in Chapter One. The average of total monthly consumer expenditure incurred by the household during last 12 months may be recorded in this column in whole number of rupees.

For locked household, a ‘–’ may be recorded in this column.

2.5.6.2 Column (8): MPCE (Rs. in whole numbers): Monthly per capita expenditure of the household will be recorded in this column. The figure will be derived by dividing the average monthly expenditure (column 7) by the household size (column 4) and rounding it off to the nearest whole number.

For locked household, a ‘–’ may be recorded in this column.

2.6.6.3 Column (9): MPCE code: Two cut-off points ‘A’ and ‘B’ (in Rs.) have been determined from NSS 66th round data for **each NSS region** for urban areas in such a way that top 10% of the population have monthly per capita expenditure (MPCE) more than ‘B’ and bottom 30% of the population have MPCE less than ‘A’. The values of ‘A’ and ‘B’ are given in Table 1.

Table 1: The values of urban cut-off points A and B (MPCE in Rs) for each NSS region

| State/UT | NSS Region | description | cut-off values | |
|-------------------|------------|----------------------------|----------------|------|
| | | | A | B |
| (1) | (2) | (3) | (4) | (5) |
| Andhra Pradesh | 281 | Coastal Northern | 1050 | 3770 |
| | 282 | Coastal Southern | 1030 | 3190 |
| | 283 | Inland North Western | 1200 | 3770 |
| | 284 | Inland North Eastern | 970 | 2400 |
| | 285 | Inland Southern | 830 | 2600 |
| Arunachal Pradesh | 121 | Arunachal Pradesh | 970 | 3020 |
| Assam | 181 | Plains Eastern | 1010 | 2880 |
| | 182 | Plains Western | 950 | 3940 |
| | 183 | Cachar Plain | 800 | 1620 |
| | 184 | Central Brahmaputra Plains | 870 | 1860 |
| Bihar | 101 | Northern | 680 | 1600 |
| | 102 | Central | 660 | 1920 |
| Chhattisgarh | 221 | Northern Chhattisgarh | 960 | 2030 |
| | 222 | Mahanadi Basin | 820 | 2300 |
| | 223 | Southern Chhattisgarh | 710 | 2720 |

Table 1: The values of urban cut-off points A and B (MPCE in Rs) for each NSS region

| State/UT | NSS Region | description | cut-off values | |
|------------------|---------------|-------------------------------|----------------|------|
| | | | A | B |
| (1) | (2) | (3) | (4) | (5) |
| Goa | 301 | Goa | 1460 | 3290 |
| Gujarat | 241 | South Eastern | 1210 | 3290 |
| | 242 | Plains Northern | 1100 | 3250 |
| | 243 | Dry areas | 920 | 3480 |
| | 244 | Kachchh | 1050 | 3170 |
| | 245 | Saurashtra | 1060 | 2490 |
| Haryana | 061 | Eastern | 1000 | 3750 |
| | 062 | Western | 1050 | 3340 |
| Himachal Pradesh | 021 | Central | 940 | 3200 |
| | 022 | Trans Himalayan & Southern | 1280 | 3450 |
| Jammu & Kashmir | 011 | Mountainous | 1170 | 3340 |
| | 012 | Outer Hills | 1320 | 2550 |
| | 013 | Jhelam Valley | 960 | 1960 |
| | 014 | Ladakh | 1110 | 2780 |
| Jharkhand | 201 | Ranchi Plateau | 740 | 2750 |
| | 202 | Hazaribagh Plateau | 760 | 2650 |
| Karnataka | 291 | Coastal & Ghats | 1100 | 3030 |
| | 292 | Inland Eastern | 980 | 2080 |
| | 293 | Inland Southern | 1380 | 3600 |
| | 294 | Inland Northern | 700 | 1680 |
| Kerala | 321 | Northern | 880 | 2720 |
| | 322 | Southern | 1250 | 4340 |
| Madhya Pradesh | 231 | Vindhya | 710 | 2250 |
| | 232 | Central | 710 | 3310 |
| | 233 | Malwa | 1130 | 3360 |
| | 234 | South | 700 | 2430 |
| | 235 | South Western | 720 | 1610 |
| | 236 | Northern | 800 | 1800 |
| Maharashtra | 271 | Coastal | 1420 | 5450 |
| | 272 | Inland Western | 1150 | 3880 |
| | 273 | Inland Northern | 820 | 2280 |
| | 274 | Inland Central | 770 | 2490 |
| | 275 | Inland Eastern | 900 | 3120 |
| | 276 | Eastern | 820 | 1990 |

Table 1: The values of urban cut-off points A and B (MPCE in Rs) for each NSS region

| State/UT | NSS Region | description | cut-off values | |
|---------------|---------------|--------------------------------|----------------|------|
| | | | A | B |
| (1) | (2) | (3) | (4) | (5) |
| Manipur | 141 | Plains | 820 | 1530 |
| | 142 | Hills | 620 | 880 |
| Meghalaya | 171 | Meghalaya | 1000 | 2440 |
| Mizoram | 151 | Mizoram | 1280 | 2640 |
| Nagaland | 131 | Nagaland | 1280 | 2850 |
| Orissa | 211 | Coastal | 770 | 3130 |
| | 212 | Southern | 670 | 1740 |
| | 213 | Northern | 740 | 2470 |
| Punjab | 031 | Northern | 1030 | 3330 |
| | 032 | Southern | 1100 | 3910 |
| Rajasthan | 081 | Western | 960 | 2030 |
| | 082 | North-Eastern | 940 | 3090 |
| | 083 | Southern | 1150 | 2680 |
| | 084 | South Eastern | 960 | 2430 |
| | 085 | Northern | 830 | 2190 |
| Sikkim | 111 | Sikkim | 1570 | 2460 |
| Tamil Nadu | 331 | Coastal Northern | 1170 | 3560 |
| | 332 | Coastal | 990 | 2310 |
| | 333 | Southern | 860 | 2130 |
| | 334 | Inland | 910 | 2890 |
| Tripura | 161 | Tripura | 1000 | 2800 |
| Uttar Pradesh | 091 | Northern Upper Ganga Plains | 810 | 2990 |
| | 092 | Central | 750 | 3280 |
| | 093 | Eastern | 670 | 1980 |
| | 094 | Southern | 790 | 2380 |
| | 095 | Southern Upper Ganga Plains | 750 | 1990 |
| Uttarakhand | 051 | Uttarakhand | 930 | 2750 |
| West Bengal | 191 | Himalayan | 890 | 2860 |
| | 192 | Eastern Plains | 820 | 2370 |
| | 193 | Southern Plains | 1020 | 4090 |

Table 1: The values of urban cut-off points A and B (MPCE in Rs) for each NSS region

| State/UT | NSS Region | description | cut-off values | |
|-------------------|------------|------------------------|----------------|------|
| | | | A | B |
| (1) | (2) | (3) | (4) | (5) |
| | 194 | Central Plains | 810 | 2760 |
| | 195 | Western Plains | 930 | 3830 |
| A & N Islands | 351 | A & N Islands | 1730 | 3890 |
| Chandigarh | 041 | Chandigarh | 1810 | 7120 |
| Delhi | 071 | Delhi | 1240 | 4050 |
| Dadra & N. Haveli | 261 | Dadra and Nagar Haveli | 1080 | 2340 |
| Daman & Diu | 251 | Daman & Diu | 890 | 2440 |
| Lakshadweep | 311 | Lakshadweep | 1340 | 3770 |
| Puducherry | 341 | Puducherry | 1210 | 3580 |

For entry in column (9), MPCE of the household in column (8) may be compared with the values of 'A' and 'B'. The criteria for MPCE codes to be entered in this column are as follows:

| <u>Criteria</u> | <u>MPCE code to be entered</u> |
|-----------------------------|--------------------------------|
| MPCE > B | 1 |
| $A \leq \text{MPCE} \leq B$ | 2 |
| MPCE < A | 3 |

For locked household, MPCE code 2 may be given.

2.6.7 Columns (10) – (12): sampling serial number: SSS: It may be recalled that for each of the schedules 1.0 (Type I), 1.0 (Type II) and 10, there will be three SSS. Column (10), (11) and (12) will provide the sampling frames for SSS 1, 2 & 3 pertaining to all the three schedules. Each household will be tick-marked (✓) in one and only one of these three columns.

For rural samples, if col. (5) has code 1, a tick-mark (✓) will be given in column (10). Households with code 2 in col. (5) will not be tick-marked in column (10). For these households col. (6) will be considered. If entry in col. (6) is 1, a tick-mark (✓) will be given in column (11). Otherwise, tick-mark (✓) will be given in column (12).

In case of urban samples, col. (9) will be considered. If the entry in col. (9) is 1, tick-mark (✓) will be given in column (10). For code 2 in col. (9), tick-mark (✓) will be given in column (11) and column (12) will be tick-marked for code 3 in col. (9).

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. For SSS 1 of a rural FSU/hg, highest serial number will be less than or equal to 10.

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

2.6.8 Shortfall and compensation: Allocation of sample households for each SSS have been specified in Chapter one. However, there may be situation where number of households in the frame of an SSS for a particular schedule type is less than the required allocation leading to a shortfall. To maintain the total allocation of sample households at the specified level (8 for each schedule type) for any schedule, 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 the SSS 1 and then to the SSS 2 and then SSS 3. 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 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 table given below will be useful for deciding the SSS from which the compensation is to be made.

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

To illustrate further, if shortfall in SSS 2 of hg/ sb 2 exists details of step 2 & step 3 are given below.

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

step 3: try to compensate from SSS 1 of hg/ sb 2, failing which try from SSS 1 of hg/ sb 1. If the shortfall still remains then try from SSS 3 of hg/ sb 2, failing which try from SSS 3 of hg/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 0.0.

Examples for compensation of shortfall

| Example 1 –FSU without hg/sb formation | | | | | |
|--|----------------------------------|----|--------|-----------|---|
| SSS | no. of households to be surveyed | H | Step 1 | Step 3 | e |
| 1 | 2 | 5 | 2 | 1+1 | 4 |
| 2 | 4 | 2 | 2* (2) | C (SSS 1) | 2 |
| 3 | 2 | 58 | 2 | | 2 |
| total | 8 | 65 | 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/sb | SSS | no. of households to be surveyed | H | Step 1 | Step 2 | Step1 + Step2 | Step 3 | e |
| 1 | 1 | 1 | 1 | 1 | | 1 | | 1 |
| | 2 | 2 | 1 | 1*(1) | C(SSS2,hg2) | 1 | | 1 |
| | 3 | 1 | 98 | 1 | | 1 | | 1 |
| | total | 4 | 100 | 3 | | 3 | | 3 |
| 2 | 1 | 1 | 0 | 0*(1) | | 0*(1) | C(SSS2,hg2) | 0 |
| | 2 | 2 | 5 | 2 | 1 | 3 | 1 | 4 |
| | 3 | 1 | 125 | 1 | | 1 | | 1 |
| | total | 4 | 130 | | | 4 | 1 | 5 |
| 1+2 | total | 8 | 230 | 6 | 1 | 7 | 1 | 8 |
| | shortfall | | | 2 | 1 | 1 | 0 | × |

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

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

| Example 3 – FSU with hg formation | | | | | | | | |
|-----------------------------------|-----------|----------------------------------|-----|--------|--------|---------------|-------------|---|
| hg/sb | SSS | no. of households to be surveyed | H | Step 1 | Step 2 | Step1 + Step2 | Step 3 | e |
| 1 | 1 | 1 | 2 | 1 | | 1 | 1 | 2 |
| | 2 | 2 | 1 | 1*(1) | | 1*(1) | C(SSS1,hg1) | 1 |
| | 3 | 1 | 96 | 1 | | 1 | | 1 |
| | total | 4 | 99 | 3 | | 3 | 1 | 4 |
| 2 | 1 | 1 | 1 | 1 | | 1 | | 1 |
| | 2 | 2 | 0 | 0*(2) | | 0*(2) | C(SSS3,hg2) | 0 |
| | 3 | 1 | 100 | 1 | | 1 | 1+1 | 3 |
| | total | 4 | 101 | 2 | | 2 | 2 | 4 |
| 1+2 | total | 8 | 200 | 5 | | 5 | 3 | 8 |
| | shortfall | | | 3 | 0 | 3 | 0 | × |

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

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

2.6.9 Columns (13) – (15): schedule 1.0 (Type 1): sample household number: SSS: The number of households to be selected (h) for each combination of hg/sb × SSS has been given in Chapter One. The value of ‘h’ may be recorded in the space provided in 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 (10)/ (11)/ (12)] and ‘h’ the number of households to be selected. If H = h, all the households will be selected and no random number need to be drawn. Otherwise, first draw a random number, say R1, between 1 and H. Next, draw another random number, say, R2, also between 1 and H. If R2 = R1, then reject R2 and draw a fresh R2. Continue this way till requisite number of distinct R’s [i.e. R1, R2, ..., R(h)] have been drawn. Then the households with sampling serial numbers R1, R2, ..., R(h) [in column (10)/(11)/(12)] will be the selected households and be given sample household numbers as 1, 2,....., h respectively in columns (13)/ (14)/ (15). Encircle the corresponding sampling serial numbers in columns (10)/ (11)/ (12).

2.6.10 Columns (16) – (18): schedule 1.0 (Type 2): sample household number: SSS: Required number of sample households (h) will be drawn from each (hg/sb) × SSS. The values are to be recorded in the space under the column headings. The sample households will be selected with SRSWOR in each hg/sb × SSS. The procedure is similar to that described for schedule 1.0 (Type 1) in para 2.6.9 with the modification that if the sample household is found to have been already selected for schedule 1.0 (Type 1), it will be *replaced* by the next non-selected household in the frame. The household selected after replacement will be treated as an originally selected household. The sampling serial number of this household will be encircled twice. This modification has been

done with a view to select separate households for the two schedule types. However, if the number of households in any SSS is small, one or more sample households may be common for both the schedule types in that SSS. In such cases both schedules will be canvassed in the same household.

2.6.11 Columns (19) – (21): schedule 10: 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. The procedure for selecting the sample households is similar to that described for schedule 1.0 (Type 2) in para 2.6.9. If the sample household is found to have been already selected for schedule 1.0 (Type 1) or 1.0 (Type 2), it will be *replaced* by the next non-selected household in the frame. The household selected after replacement will be treated as an originally selected household. The sampling serial number of this household will be encircled twice and also a ‘#’ may be given to indicate that it has been replaced for Schedule 10. However, if the number of households in frame is small, one or more sample households may be common for different schedule types. *In such cases more than one schedule will be canvassed in the same household.*

2.7 Block 5.1: working sheet for identifying relatively affluent households (hg 1 / 2) (rural only):

2.7.0.1 This block will be used for identifying the relatively affluent households in the FSU/ selected hg. This will be done by taking into account the factors generally associated with affluent households such as: ownership of motor car/ jeep/ tractor/ combine-harvester/ truck/ bus/ etc.; consumer durables like refrigerator/ washing machine etc.; ownership of large business/ highly remunerative profession/ high salaried income etc.; ownership of spacious pucca house in good condition; ownership of 7 hectares or more of cultivable land; ownership of 3.5 hectares or more of irrigated land; ownership of a good number of cattle, buffaloes and camels (10 or more in number). A household will qualify for classification as affluent if it owns any one of the items listed in cols. (4) to (6) of this block or the household has a member as doctor/ advocate etc. or a household member has a high salaried job or household has a large business, etc. or the household owns cultivable land / irrigated land / cattle, buffaloes and camels equal to or more than the limits specified above. However, in case majority of the households in the selected village/ hg satisfy some specific criterion, then it need not be considered for identification of the relatively affluent household.

2.7.0.2 At the time of listing of households in block 5, if it is found that a household satisfies at least one of the criteria, it will be considered as an affluent household and will be listed in block 5.1. In other words, the investigator will record the particulars in block 5.1 only for those households that fulfil the criteria for affluent households as described above. If the number of such households exceeds 10, the investigator will have to rank them in descending order of their affluence. For assigning the ranks when the number of affluent households listed is more than 10, help of local knowledgeable persons may be sought. Members of the panchayat, or patwari or gram sevak or local teacher of school or health personnel may be in a position to provide the information. The top ranking 10 households will constitute the frame for SSS 1. The rank assigned to the household may be indicated on the left margin of the block against the household. If the number of such households is less than or equal to 10, all of them will be included in the frame of SSS 1. Code ‘1’ will be given against these households in col. (5) of block 5 for each hg.

The appropriate code for the local knowledgeable person who has been consulted for assigning the rank may be recorded in the cell meant for it at the bottom of the block 5.1. The codes are:

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

2.7.0.3 For columns (4) to (7), the entry will be either 1 or 2. For columns (8)/ (9), the entries will be either blank or more than or equal to 7 hectares/ 3.5 hectares and these will be recorded in one place of decimal. Similarly, column (10) will have entry blank or more than or equal to 10. Entry against the item 'local knowledgeable person' will be blank if the number of affluent households listed in block 5.1 is less than 10 for a selected hamlet-group.

2.8 Block 6: particulars of sampling of households:

2.8.0 Particulars of sampling of households, separately for schedules 1.0 (Type 1 & Type 2) and 10 for each of the hg/sb 1 & 2 will be recorded in this block. If there is no hg/sb formation, entry will be made against hg/sb 1.

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 against the rows for schedule 1.0 (Type 1).

2.8.2 **Columns (5) to (10): number of households:** Total number of households in the frame of all the SSS of schedule 1.0 (Type 1) will be recorded in the corresponding cells of column (5) for each hg/sb. Value of 'H' for each SSS will be same for Schedules 1.0 (Type 1), 1.0 (Type 2) and 10. Number of selected households will be copied in column (6). These are to be copied from the relevant columns of block 5. References are as below:

Schedule 1.0 (Type 1): Column (5) entries for SSS are same as the value of 'H' recorded in heading spaces of columns (10), (11) & (12) of block 5 for each hg/sb. Column (6) entries will be equal to the value of 'h' recorded in heading spaces of columns (13), (14) & (15) for Schedule type 1 of block 5.

Schedule 1.0 (Type 2): Column (6) entries will be the value of 'h' recorded in heading spaces of columns (16), (17) & (18) of block 5.

Schedule 10: Column (8) entries will be the value of 'h' recorded in heading spaces of columns (19), (20) & (21) of block 5.

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

2.8.3 Column(11): number of households replaced: Total number of households for schedule 1.0 (Type 2) replaced (being already selected for schedule 1.0, Type 1) will be reported for all SSS separately for hg/sb 1 & 2 against the rows for schedule 1.0, Type 2. Entries will be the number of double circles in columns (10), (11) & (12) of block 5 for each hg/sb. Entry against 'all' will be sum of all SSS for hg/sb 1 & 2. Similarly, total number of households replaced for Schedule 10 (being already selected either for Schedule 1.0, Type 1 or Schedule 1.0, Type 2) may be recorded against the different rows for Schedule 10. Entries will be the number of double circles along with '#' in columns (10), (11) & (12) of block 5 for each hg/sb.

Entry against 'all' will be sum of SSS 1 – 3 for hg/ sb 1 & 2 for each schedule type.

2.9 Block 7: distance of the village to the nearest facility, availability of some amenities and participation in MGNREG work:

2.9.0.1 In this block, it is aimed to collect information on the availability of some specific facilities like communication, educational institutions, health institutions, banks, credit societies, drainage, participation in MGNREG works etc. in rural FSUs. *In case of hamlet-group formation, information are to be collected in respect of the entire sample FSU.*

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

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

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

2.9.1 Items 1- 23 and 24(b): Column (3): distance (in code):

Distance in terms of code will be entered in this column against items 1 to 23 and also for 24 (b). Distance from the nearest facility available to the villagers will be considered. The distance will be measured from the geographical centre of the village irrespective of whether hamlet-groups have been formed or not. However, if a particular facility is available within the village, the distance code will always be 1 irrespective of its distance from the centre of the village. One of the codes 2 or 3 will be applicable when the facility is available at a place outside the village. If a facility is available at two different places, the distance of the nearest place will be considered for recording the distance code. In this connection, it may be noted that if at a particular location, more than one facility is available in a combined form and if that location is the nearest one to the village in respect of all the facilities under consideration, then the distance code of that location is to be recorded against all the

facilities. For example if the nearest secondary school also provides primary education and the nearest primary school is farther away than the secondary school then the distance code of the secondary school is to be recorded for the primary school also. The codes for distances are:

| | |
|-----------------------|---|
| within village..... | 1 |
| outside village: | |
| less than 5 kms | 2 |
| 5 kms. or more | 3 |

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

2.9.1.1 **Items 1- 3:** These items are self – explanatory.

2.9.1.2 **Item 4: metalled road:** This will include roads made of pucca materials like asphalt, cement, concrete, bricks, stones, etc.

2.9.1.3 **Item 5: school having primary level classes:** Generally, up to the standard of class IV is considered as primary education. However, the practices differ in some states where education of class V is also included under ‘primary’ level. For the purpose of this survey, education up to class IV or V, as the local practice may be, will be considered as primary education. This item will cover institutions providing such educational facilities.

2.9.1.4 **Item 6: school having secondary level classes:** Secondary level means education up to class - X. A school providing secondary level education will be considered for entry against this item.

2.9.1.5 **Item 7: higher secondary school/ junior college:** Higher secondary school provides education up to 10+2 standard. In some places it is also known as junior college. Institutions providing education up to 10+2 standard will be covered under this item.

2.9.1.6 **Item 8: health sub-centre/ dispensary:** A health sub-centre is the most peripheral contact point in the primary health care system. It covers around 5,000 populations in plain area and 3,000 populations in hilly/ tribal area. It is run by government and located in the rural area. It is manned by two multi-purpose health workers – one male and one female. A sub-centre usually does not have facilities for treatment as in-patients. Dispensary is the consulting place/ chamber which does not generally have facilities for treatment of in-patients.

2.9.1.7 **Item 9: primary health centre:** Primary health centre (PHC) is the first contact point between a village community and the medical officer. It has a medical officer and other paramedical staff. It is run by the Government and usually has in-patient and out-patient facilities. A PHC has jurisdiction over 6 sub-centres and serves about 30,000 populations in plain area and 20,000 populations in hilly/ tribal area.

2.9.1.8 **Item 10: community health centre:** Community Health Centres (CHC) serves about 1.2 lakh populations in plain area and 80,000 in the hilly/ tribal area. The CHC functions as referral centre for the PHC. It is manned by medical specialists and paramedical staff and has in-patient and out-patient facilities.

2.9.1.9 **Item 11: government hospital:** Medical institutions having provision of admission of sick persons as in-door patients (in-patients) for treatment are called hospitals. Hospital run by the central/ state government or local bodies like municipalities will be covered under this item.

2.9.1.10 **Item 12: AYUSH unit:** AYUSH Unit will mean any Health Care Center/ unit providing treatment facility for any discipline under AYUSH as detailed in Para 1.8.45.1 in Chapter one.

2.9.1.11 **Item 13 : private clinic/ doctor:** Private clinic is the consulting place/ chamber of private doctors. Doctors are those having degrees/ diploma in medicine and also registration from recognised universities/ institutions deemed to be universities. These doctors may follow any of the systems – allopathic, homeopathy, ayurvedic, unani.

2.9.1.12 **Item 14: medicine shop:** A shop which sells drugs and medicines of any system of medicine viz. allopathic, homeopathic, ayurvedic or unani medicines, will be considered as a medicine shop.

2.9.1.13 **Item 15: anganwadi centre (ICDS):** The Integrated Child Development Services (ICDS) scheme is the primary government programme providing health and nutrition services for children under age 6, pregnant women, and nursing mothers. These services are provided through community-based *anganwadi* centres.

2.9.1.14 **Items 16: post office:** The item is self-explanatory.

2.9.1.15 **Item 17: fair price shop:** Fair price shop is the shop, which sells some essential commodities at subsidised rate. This may be owned by the government, local self-government, a government undertaking, the proprietor of a firm, co-operative(s) or private persons (individually or jointly) or other bodies like club, trust, etc.

2.9.1.16 **Item 18: cooperative credit society:** Co-operative credit society is a society that is formed through the co-operation of a number of persons (members of the society) for the benefit of the members. The funds are raised through contributions/ investments by the members and the profits are shared by the members. Cooperative banks will also be considered here.

2.9.1.17 **Item 19: commercial bank:** This includes all nationalised banks including the State Bank of India and its subsidiaries. All other scheduled and non-scheduled banks, other than co-operative banks, should also be considered here.

2.9.1.18 **Item 20: PCO:** Distance of the facility which is nearest to the village among telegraph office/ public call office (PCO)/ e-mail centre will be recorded in this item in code. A public call office or e-mail centre will refer to a place accessible to the villagers with or without payment of fee. E-mail is the electronic mail, which is sent through network (internet) from one place to another.

2.9.1.19 **Item 21: veterinary hospital/ dispensary:** A veterinary hospital/ dispensary has provision for the treatment of animals.

2.9.1.20 **Item 22: fertiliser/ pesticide shop:** Fertiliser/ pesticide shop is one which sells fertiliser and / or pesticide.

2.9.1.21 **Item 23: agricultural produce market/rural primary market:** This category would include periodical markets regulated/linked to regulated markets and markets owned by local bodies i.e. panchayats in the rural areas popularly called haats, painths, and shandies etc.

2.9.2 Items 24 - 26: Column (3): availability of amenities (code):

2.9.2.1 **Item 24(a): drinking water: major source (code):** Major source of water used for drinking by the residents of the village may be identified and recorded in codes here. 'Bottled water' means packaged drinking water obtained through sealed bottles, jars or pouches. These are the items supplied through market. The codes are:

| <u>major source</u> | <u>code</u> | <u>major source</u> | <u>code</u> |
|----------------------|-------------|------------------------------------|-------------|
| bottled water | 01 | tank/ pond (reserved for drinking) | 06 |
| tap | 02 | other tank/ pond | 07 |
| tube well/ hand pump | 03 | river/ canal/ lake | 08 |
| well: | | spring | 10 |
| protected | 04 | harvested rainwater | 11 |
| unprotected | 05 | others | 19 |

2.9.2.2 **Item 24(b): drinking water: distance (code):** Major source of drinking water may be situated within or outside the village. If it is within the village, code 1 may be entered. Otherwise code 2 or 3 may be recorded depending on the distance of the major source.

2.9.2.3 **Item 25: type of drainage arrangement (code):** The information may be recorded in codes. The codes are:

| <u>type of drainage</u> | <u>code</u> |
|-------------------------|-------------|
| underground | 1 |
| covered pucca | 2 |
| open pucca | 3 |
| open katcha | 4 |
| no drainage | 5 |

2.9.2.4 **Item 26: electricity connection (code):** The information is to be recorded in code. The codes are:

| <u>availability of electricity connection</u> | <u>code</u> |
|---|-------------|
| yes: | |
| percentage (P) of households connected: | |
| P < 25% | 1 |
| 25% ≤ P < 50% | 2 |
| P ≥ 50% | 3 |
| no: | 4 |

If no household is using electricity, code will be 4.

2.9.3 **Item 27: whether the villagers participated in MGNREG programme during last 365 days:** It may be enquired if the villagers participated in MGNREG programme during last 365 days. Status of participation will be recorded, participation need not be within the village, it may be in any

neighbouring villages also. If the answer is yes then code 1 may be recorded, otherwise code 2 may be entered.

2.9.4 Item 28: informant code: The information in block 7 is to be collected from one or more knowledgeable person(s) of the village. The source of such information collected is to be reported in this item. In case there is more than one source then the code will relate to the informant from whom maximum information has been collected. The codes are:

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

2.10 Block 8: remarks by investigator/asst. superintending officer: The investigator/ Asst. superintending officer may give remarks here on any abnormal situation or entry in the schedule.

2.11 Block 9: comments by other 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 of a particular schedule type 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. If this household also turns out to be a casualty, further substitute need not be taken. However, it must be ensured that for each schedule type (i.e. Schedules 1.0 (Type 1), schedule 1.0 (Type 2), schedule 10), a minimum of one sample household is always surveyed for each SSS if H>0 and for each hg/ sb. Substitution may be attempted more than twice in a few cases to adhere to this restriction.* In such cases, the fact has to be recorded in the remarks block (blocks 8 & 9).

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.

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 and (n + 1) th column in the case of the state sample, where n is the last two digits of the serial number of the sample FSU. When n = 00, it will be taken as 100. The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digit random numbers may be used, 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 in the order: (i) for hg/ sb 1 –

households for three SSS of schedule 1.0 (Type 1), households for three SSS of schedule 1.0 (Type 2), households for three SSS of schedule 10 and then (ii) for hg/ sb 2 – households for three SSS of schedule 1.0 (Type 1), households for three SSS of schedule 1.0 (Type 2), households for three SSS of schedule 10. 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. 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: sdrd@cal2.vsnl.net.in
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 to prevent voidness of stratum. In case no substitute FSU could be surveyed even with best efforts [i.e. code 7 in item 17, block 1], a blank schedule 0.0 will be submitted with only blocks 0, 1, 2, 8 and 9 filled in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

All efforts must be made to ensure that at least one FSU is always surveyed from each stratum/ sub-stratum for each sub-sample so as to prevent occurrences of void strata.

- (b) If a sample FSU is found to be depopulated at the time of survey, or its population has shifted elsewhere due to some natural calamity, or it is treated as a "zero-case", it will not be substituted. It will be treated as a valid sample and blank schedule 0.0 with only blocks 0, 1, 2, 8 and 9 filled in will be submitted in such cases. The word/ words 'UNINHABITED' or 'ZERO CASE', as appropriate will be written on the top of the front page of the schedule in such cases. However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North Eastern States where, for example, jhum cultivation is prevalent, whole village may shift from place to place. In such cases the sample village will be surveyed in the place where it is currently located and not treated as uninhabited if found absent in its original location.

(c) If a sample village is found to have been declared as urban (as a town by itself or as merged in another town) either by State Govt. notification or by Census authorities after Census 2001 and if it is covered in the urban frame used for selection of FSUs, it will be treated as a zero case and the procedure given in the previous para will be followed in this case. However, if it is not covered in the urban frame of FSUs, it is to be surveyed as per the rural programme. In such cases, however, if the boundaries of the original village are not identifiable, it may be substituted. If only a part of the village has been merged in the town, the remaining part will be surveyed as per rural programme even in this situation. *It is suggested* to write to SDRD before treating any sample as a zero case.

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

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

2.15.1 Repetition within state or central sample FSUs:

Case (a): without hamlet-group/ sub-block formation: If repetition is in the *same sub-round*, listing is to be done only once. The listing schedule will be copied with the identification particulars changed to those of the serial number against which it is found repeated. (The items that may change are only these: serial number and sub-sample). The sample households will be selected afresh. 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 sub-round, it is to be surveyed just like a new sample with fresh listing and sample selection.

Case (b): With hamlet-group/ sub-block formation: If repetition is in the *same sub-round*, the hamlet-groups/ sub-blocks formed during the first occasion will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-groups/ sub-blocks selected afresh. Of course, sample hg/ sb number '1' will remain the same. For the selection of households, the usual procedure as suggested in case (a) may be followed. If, however, repetition of the FSU takes place in a *different sub-round*, it is to be surveyed just like a new sample with fresh listing and sample selection.

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 | | | | | | | | |
|--------------|-------------------------|----------------|--|---|-------------------------|------|------|--------------------------|------|------|--------------------------|------|------|-------------|------|------|
| | | | relatively affluent household (yes - 1, no - 2) | principal earning from non-agri activity (yes - 1, no - 2) | SSS | | | Schedule 1.0 (Type 1) | | | Schedule 1.0 (Type 2) | | | Schedule 10 | | |
| | | | | | SSS | | | SSS | | | SSS | | | SSS | | |
| | | | | | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 |
| (1) | (2) | (4) | (5) | (6) | (10) | (11) | (12) | (13) | (14) | (15) | (16) | (17) | (18) | (19) | (20) | (21) |
| 12 | 1 | 3 | 2 | 2 | | | √1 | | | | | | | | | |
| 13/1 | 2 | 5 | 2 | 1 | | √1 | | | | | | | | | | |
| 14 | 3 | 6 | 2 | 2 | | | √2 | | | | | | | | | |
| - | 4 | 1 | 2 | 1 | | (√2) | | | | | | | | | 4 | |
| 15B | 5 | 5 | 1 | 2 | (√1) | | | | | | | | | 2 | | |
| 9 | 6 | 2 | 2 | 2 | | | √3 | | | | | | | | | |
| 10 | 7 | 4 | 2 | 2 | | | (√4) | | | | | | | | | 2 |
| 16 | 8 | 6 | 2 | 1 | | √3 | | | | | | | | | | |
| 17 | 9 | 2 | 1 | 1 | (√2) | | | 1 | | | | | | | | |
| 18 | 10 | 3 | 1 | 2 | (√3) | | | | | | | | | 1 | | |
| 19 | 11 | 6 | 2 | 2 | | | √5 | | | | | | | | | |
| 20 | 12 | 5 | 2 | 1 | | (√4) | | | 1 | | | | | | | |
| 21 | 13 | 3 | 1 | 2 | √4 | | | | | | | | | | | |
| (1) | Temple | | | | | | | | | | | | | | | |
| 22/3 | 14 | 4 | 2 | 2 | | | (√6) | | | 2 | | | | | | |
| 23 | 15 | 8 | 1 | 2 | √5 | | | | | | | | | | | |
| 24 | 16 | 4 | 1 | 2 | (√6) | | | 2 | | | | | | | | |
| (2) | 17 | 3 | 1 | 1 | ((√7)) | | | | | | 2 | | | | | |
| 25 | 18 | 6 | 2 | 2 | | | (√7) | | | | | | 2 | | | |
| 26 | 19 | 5 | 2 | 1 | | (√5) | | | | | 2 | | | | | |
| 27 | 20 | 2 | 2 | 2 | | | √8 | | | | | | | | | |
| 28 | 21 | 3 | 2 | 1 | | √6 | | | | | | | | | | |
| 29 | 22 | 1 | 2 | 2 | | | (√9) | | | | | | | | | 1 |
| 30 | 23 | 2 | 2 | 1 | | (√7) | | | | | 3 | | | | | |
| 31 | 24 | 5 | 2 | 2 | | | √10 | | | | | | | | | |
| (3) | 25 | 3 | 1 | 2 | √8 | | | | | | | | | | | |
| (4) | 26 | 4 | 2 | 1 | | (√8) | | | | | | | | | 3 | |

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| page total | 101 |
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| random nos | | | random nos | | | random nos | | |
|------------|----|----|------------|----|----|------------|----|---|
| 2 | 4 | 12 | 9 | 15 | 19 | 3 | 13 | 9 |
| 6 | 12 | 6 | 6 | 5 | 7 | 1 | 15 | 4 |
| | 9 | | | 7 | | | 8 | |
| | 13 | | | 11 | | | 2 | |

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 | | | | | | | | |
|--------------|-------------------------|----------------|--|---|-------------------------|----------|-------|--------------------------|------|------|--------------------------|------|------|-------------|------|------|
| | | | relatively affluent household (yes - 1, no - 2) | principal earning from non-agri activity (yes - 1, no - 2) | SSS | | | Schedule 1.0 (Type 1) | | | Schedule 1.0 (Type 2) | | | Schedule 10 | | |
| | | | | | SSS | | | SSS | | | SSS | | | SSS | | |
| | | | | | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 | 1 | 2 | 3 |
| (1) | (2) | (4) | (5) | (6) | (10) | (11) | (12) | (13) | (14) | (15) | (16) | (17) | (18) | (19) | (20) | (21) |
| 32 | 27 | 3 | 2 | 2 | | | √11 | | | | | | | | | |
| 33 | 28 | 5 | 2 | 1 | | (√9) | | | 3 | | | | | | | |
| 34 | 29 | 6 | 2 | 2 | | | (√12) | | | 1 | | | | | | |
| 35 | 30 | 2 | 2 | 2 | | | √13 | | | | | | | | | |
| 35A/1 | 31 | 4 | 1 | 1 | (√9) | | | | | | 1 | | | | | |
| 35A/2 | 32 | 3 | 2 | 1 | | √10 | | | | | | | | | | |
| 35A/2 | 33 | 3 | 2 | 2 | | | √14 | | | | | | | | | |
| 35A/3 | 34 | 5 | 2 | 2 | | | √15 | | | | | | | | | |
| 36A | 35 | 3 | 2 | 2 | | | √16 | | | | | | | | | |
| 36B | 36 | 4 | 2 | 1 | | (√11) | | | | | | 4 | | | | |
| 42 | 37 | 3 | 1 | 2 | √10 | | | | | | | | | | | |
| 43 | 38 | 4 | 2 | 1 | | (√12) | | | 2 | | | | | | | |
| 44 | 39 | 3 | 2 | 2 | | | √17 | | | | | | | | | |
| 45 | 40 | 4 | 2 | 1 | | (√13) | | | 4 | | | | | | | |
| 46A | 41 | 5 | 2 | 2 | | | √18 | | | | | | | | | |
| 47A | 42 | 2 | 2 | 2 | | | (√19) | | | | | | 1 | | | |
| 48 | 43 | 7 | 2 | 2 | | | √20 | | | | | | | | | |
| 49 | 44 | 4 | 2 | 1 | | ((√14))# | | | | | | | | | 1 | |
| 50 | 45 | 3 | 2 | 2 | | | √21 | | | | | | | | | |
| 51/1 | 46 | 5 | 2 | 1 | | (√15) | | | | | | 1 | | | | |
| 51/2 | 47 | 1 | 2 | 2 | | | √22 | | | | | | | | | |
| 53 | 48 | 2 | 2 | 1 | | ((√16))# | | | | | | | | | 2 | |
| 54 | 49 | 7 | 2 | 2 | | | √23 | | | | | | | | | |
| 55 | 50 | 5 | 2 | 2 | | | √24 | | | | | | | | | |

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| page total | 93 |
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| rural | | | |
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| col. 5 | col. 6 | | SSS |
| 1 | 1 / 2 | → | 1 |
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Frequently asked questions and their replies: Schedule 0.0

| sl. no | block | item | col. | subject | query | reply |
|--------|-------|---------|------|-----------------------|---|--|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| 1. | 5 | general | | listing of households | Old age persons deserted by their children and staying in Old Age Home on payment. Whether they should be listed? | Yes. However, if they are deserted by children and living in destitute home like orphans they will not be listed. |
| 2. | 5 | general | | listing of households | Part of the village is urbanized and part is rural. Whether only rural part is to be covered. | Urban part of village is to be excluded provided urban part is used in UFS for selection of urban sample. Otherwise whole village is to be surveyed as rural sample. |
| 3. | 5 | general | | listing of households | At the time of listing it is observed that the dwelling is locked and household left since last 8 months. Whether it is to be treated as locked or vacant? | It will be treated as vacant. |
| 4. | 5 | general | | listing of households | If two brothers are living together in a hostel in a single room, pooling their income, will they be regarded as single household? | Yes, they will be considered a single household, as they pool their income for spending. Refer to para 1.8.3 (i). |
| 5. | 5 | general | | listing of households | A household has paying guests and 10 people are staying there and taking food from the same kitchen. Whether all members constitute a single household or each member is a single member household? | It is more like a mess or hostel. Each member may be treated as single member household. |
| 6. | 5 | general | | listing of households | Whether to list a monk who is appointed on salary basis to teach the students studying in a monastery. | Monks staying in monastery are excluded from the coverage of the survey. |
| 7. | 5 | general | | listing of households | When catholic institutions are listed, the students studying there to become priests or nuns and also residing there, will they come in the listing? | Students staying in ashramas/hostels will be listed. |
| 8. | 5 | general | | listing of households | Whether citizens having dual citizenship are to be listed? | If their usual residences are outside the country, they should not be listed. |
| 9. | 5 | general | | listing of households | A married daughter is staying with her parents for more than 6 months. Will she be considered as a member of the parent household? | Yes |

| sl. no | block | item | col. | subject | query | reply |
|--------|-------|---------|------|----------------------------|---|--|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| 10. | 5 | general | | listing of households | A truck driver stays away from home for more than six months continuously or otherwise during the reference year. Will he be listed as a normal household member? | No, he will not be listed. |
| 11. | 5 | general | | listing of households | Due to drought condition some of the household members temporarily go out of the village/town in search of employment. If such members are listed, it is difficult to get the information at the time of detail enquiry. Whether such members are to be excluded? | Members temporarily staying away for less than six months are to be included. If selected for detail enquiry all efforts should be made to get the information of the particular person. |
| 12. | 5 | general | | listing of households | Whether block 5 and block 5.1 will be filled in simultaneously? | Yes. At the time of listing if it is found that a household possesses at least one of the items listed in block 5.1, it will be considered affluent and it will be also listed in block 5.1. |
| 13. | 1 | 14&15 | - | approx. present population | If there is wide variation in population for items 14 &15 what is to be recorded in item 15. | Report the approximate present population with remarks. Refer to para 2.1.4. |
| 14. | 4.1 | - | 2 | hamlet group formation | For a big village with no natural hamlets, whether the entire village has to be divided into smaller hamlets and reported in Block 4.1? | Yes. Hamlets will be formed by artificially dividing the village area suitably and they will be listed in block 4.1. Refer to para 2.0.3.1. |
| 15. | 4.1 | - | 1 | hamlet group formation | Can the number of hamlets listed in block 4.1 be less than the number of hamlet groups? | No. However, number of natural hamlets can be less than number of hamlet groups if the population of natural hamlet is very high. |
| 16. | 5 | - | 6 | Principal earning | A household uses own agriculture product to run non-agricultural activity. In this case how to classify the household? | The household will be classified according to the earning from agriculture and non-agricultural activities, irrespective of the source of inputs used for non agricultural production. |

| sl. no | block | item | col. | subject | query | reply |
|--------|-------|------|-------|--|--|---|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| 17. | 5 | - | 6 | SSS formation | In a household major income comes from pension/ remittance. Whether this can be considered as earning from non-agricultural activity for this column? | No, code 2 will be given for this household as it is not considered as an economic activity. |
| 18. | 5 | - | 7 | average monthly consumer expenditure for household | Whether all expenditure during the reference year like marriage etc. should also be considered for determining average monthly total consumer expenditure for the household? | Yes, all expenditures during the reference year should be taken. Refer to para 2.6.6.1. |
| 19. | 5 | - | 16-21 | sample household no. | In case of replacement of households in columns 16-21, what shall be the sample household number of the household selected after replacement? | The sample household number of the originally selected household will be the sample household number of the household selected after replacement. |
| 20. | 5 | - | 16-21 | repetition of sample household | If the total no. of household is less than or equal to 24 in the FSU, the repetition of households for canvassing Sch.1.0 (type-1) & (type-2) and Sch.10 will be allowed or not? | <p>Yes, in this case, repetition of households for canvassing the schedule is allowed.</p> <p>In that case, schedule 1.0 (type 1) will be canvassed first. Then block 5.2 and block 13 of schedule 1.0 (type 2) will only be canvassed. It is to be kept in mind that the information of block 5.2 of schedule 1.0 (type 2) will have 7- days' reference period and this information to be collected independently regardless of block 5.2 of schedule 1.0 (type 1). Then Schedule 10 may be taken up and worksheet need not be canvassed.</p> <p>Now, those parts which were not directly canvassed i.e, all parts except block 5.2 and 13 of schedule 1.0 (type 2) and worksheet of schedule 10, may be filled in from the corresponding information available in schedule 1.0 (type1).</p> |

| sl. no | block | item | col. | subject | query | reply |
|--------|-------|---------|-------|-------------------------------|--|--|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| 21. | 5 | - | 16-21 | selection of sample household | <p>Sample FSU without sub block formation: SSS-1 is having 4 households only. Two households are selected for schedule 1.0, (type 1) out of 4 households.</p> <p>a) Whether remaining non-selected households are allotted to schedule 1.0, (type 2) without using random number or to use random number?</p> <p>b) For schedule 10, no household is separately available; then how to select two households - by random or first two by preference.</p> <p>c) The households selected for schedule 10, which are already encircled for schedule 1.0 (type 1 or 2), then it is again encircled for schedule 10 or not.</p> | <p>a) Remaining non-selected households may be allocated.</p> <p>b) By using random number table.</p> <p>c) No, not to be encircled twice, because they are not replaced households.</p> |
| 22. | 5.1 | general | | frame of SSS1 | In case no hamlet group or sub-block is formed, whether 20 affluent households will constitute the frame for SSS1. | If there is hamlet group/sub-block formation, 10 affluent households will constitute the frame for SSS1 in each of the hamlet group/sub-block. If there is no hamlet group/sub-block formation, then also 10 affluent households will constitute the frame for SSS1. |
| 23. | 5.1 | general | | relatively affluent household | If a household has entry of code 1 in more than one of the columns 4 to 7, whether the count of such codes shall form the basis for determining relatively affluent households? | In case a household has got code 1 in more than one of the columns 4 to 7, the count of such codes should not be the determining criteria for considering relatively affluent households. Investigator may consult local knowledgeable persons to choose top 10 affluent households. |
| 24. | 5.1 | general | | relatively affluent household | In a selected village majority of the households were found to be possessing items for column 4 to 6. How they are to be judged as relatively affluent households? | If majority of the households in the selected village/ hg satisfy criteria of affluency, then it need not be considered for identification of the relatively affluent household. |

| sl. no | block | item | col. | subject | query | reply |
|--------|-------|---------|------|-------------------------------|--|--|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| 25. | 5.1 | general | | relatively affluent household | A household owned some durable goods by hire purchase or got as gift. Will it be treated as relatively affluent household? | Yes, household will be treated as relatively affluent household if it owns any of the specified items by gift/hire-purchase. |
| 26. | 5.1 | general | | relatively affluent household | In a village no household satisfies any criteria of block 5.1. However, some households are having motor cycles (two wheelers), whether this can be considered as criterion for affluence? | No, households having motor cycle will not be considered as affluent. |
| 27. | 5.1 | general | | relatively affluent household | If for a particular FSU, there is no household that satisfies any of the criteria mentioned in columns 4-10 in block 5.1, then how affluent class will be identified? | In that case SSS1 will be void. |
| 28. | 5.1 | - | 4 | relatively affluent household | Whether a household owning a car, which is not in a running condition, would be considered for determining the affluent household? | Yes, it will be considered for determining affluent household provided it has not reached its scrap value. |
| 29. | 5.1 | - | 4-6 | relatively affluent household | In Kerala it is usually found that for items 4-6, the owner is employed in the Gulf or elsewhere in the country and is not a member of the household, but his family is having owner like possession for the items in 4 to 6. (a) Whether owner like possession of the said items can be considered for positive entries for the household? (b) What happens if the actual owner, elsewhere in the country gets surveyed and claims ownership of the said items? | (a) Such family residing in the country will be treated as owners. (b) He will not be treated as owner for the purposes of identifying affluent households. |
| 30. | 5.1 | - | 7 | relatively affluent household | Can Doctors/ Advocates having very low income be treated as affluent households? | Yes. |
| 31. | 5.1 | - | 7 | relatively affluent household | To ascertain a high salaried person whether salary for more than one household member will be | High salary relates to individual household member only. |

| sl. no | block | item | col. | subject | query | reply |
|--------|-------|------|------|-------------------------------|---|--|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| | | | | | clubbed? | |
| 32. | 5.1 | - | 7 | relatively affluent household | Should the households with large business to be considered as affluent households? | Yes. |
| 33. | 5.1 | - | 8 | relatively affluent household | Two or more households are jointly found to have owner like possessions of cultivable land more than 7 hectares. It is their non- partitioned property. On partition the property is likely to be reduced below 7 hectares. Whether it can be included as an affluent household under block 5.1 column 8, where other households also have a share/ right to this property? | Household may not be considered as affluent in this case. |
| 34. | 5.1 | - | 8 | relatively affluent household | A household acquired leased-in land of more than 7 hectors and cultivating the same. Will the household be considered as affluent? | No. The household should own the land. |
| 35. | 5.1 | - | 10 | relatively affluent household | A household has large number of goats/ sheep/ pigs etc. Is the household to be treated as affluent household? | The household will not be treated as affluent as only cattle, buffaloes & camels are to be considered. |
| 36. | 5.1 | - | 10 | relatively affluent household | Adult buffaloes are only to be considered or young ones are also to be counted? | All will be considered. |
| 37. | 5.1 | - | 10 | relatively affluent household | A rural household has one elephant and two horses, but do not fulfill any other affluent criteria. Will that household be treated as affluent? | No. |
| 38. | 5.1 | - | 10 | relatively affluent household | A household owns a good nos. of pigs (i.e. 10 or more), whether this household will be treated as affluent household? | No. |
| 39. | 7 | 2 | 3 | village facility | Whether a bus stop designated as request bus stop will be considered against this item? | Yes. |
| 40. | 7 | 9 | 3 | village facility | In some PHC/dispensary there are no doctors and medicine is also not available. | Irrespective of the presence of doctor or availability of medicine the relevant distance code will be given. |

| sl. no | block | item | col. | subject | query | reply |
|--------|-------|------|------|------------------|---|--|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| 41. | 7 | 13 | 3 | village facility | In a village, grocery shops are also selling medicine without registration. Will that village be considered as having a medicine shop? | It will not be considered as having the facility |
| 42. | 7 | 13 | 3 | village facility | In a village there is no allopathic medicine shop. Only herbal medicines are selling from the dwelling and this facility is availed by the villagers. Will that village be considered as having a medicine shop? | It will not be considered as having medicine shop. |
| 43. | 7 | 19 | 3 | village facility | As per Volume II, the item description is PCO, but as per Volume I it includes telegram office, email centres also. What is the exact coverage for this item? | The description in item 20 (para. 2.9.1.18) of Volume I for the item coverage of this item may be followed. |
| 44. | 7 | 19 | 3 | village facility | Will telephone with coin inserting facility be considered as PCO? | Yes, it will be considered. |
| 45. | 7 | 24 | 3 | village facility | Major source of drinking water is available from a pond of a neighbouring village. What code is to be recorded here? | Code 06 or 07 may be given as per the status (reserved for drinking or other tank/pond) of the pond. The distance code will be 2 or 3. |
| 46. | 7 | 24 | 3 | village facility | Whether tap water collected and stored in bottles by the hhs will be considered as bottled water? | No. it will be treated as tap water (code :02) |
| 47. | 7 | 25 | 3 | village facility | If there are different types of drainage arrangement in different parts of the sample village, say somewhere – covered pucca, somewhere open pucca and somewhere open cuttcha, then which code will be applicable ? | Type of drainage which covers major area will be considered and appropriate code will be entered. |
| 48. | 7 | 25 | 3 | village facility | If the majority of the households uses open pucca drainage although there is a facility of underground drainage in the village which connect village canal to the main canal. What code to be given for type of drainage arrangement? | Code-1 may be given as this facility is available in the village. |

| sl. no | block | item | col. | subject | query | reply |
|--------|-------|------|------|--------------------------|--|---|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |
| 49. | 7 | 26 | 3 | village facility | In case most of the electricity connections used by the villagers are unauthorised/ illegal, whether they will be considered as having electricity connection? | Yes, since the facility is being availed by the villagers it will be considered. |
| 50. | 7 | 27 | 3 | participation in MGNREGA | Whether participation in MGNREG work by the villagers of the selected FSU is limited to the selected village only? | No, participation in MGNREG work by villagers of the selected FSU in any neighbouring villages may also be considered. |
| 51. | 7 | 27 | 3 | Participation in MGNREGA | A person residing in the sample village had participated in MGNREG programme at his last usual place of residence. No other villager has participated in MGNREG work. What will be the entry in this item for the village? | Code 2 will be given for the village, as the person has not participated in MGNREG work as a villager of this particular village. |

Chapter Four

Schedule 10: Employment and Unemployment

INTRODUCTION

4.0.0 The survey on employment and unemployment is the prime source of estimates of various parameters of labour force and activity participation of the population. The first quinquennial survey on employment – unemployment, carried out by the NSSO in the 27th round (September 1972 - October 1973), made a marked departure from the earlier employment surveys of NSSO in procedure and content. The concepts and procedures followed in this survey were primarily based on the recommendations of the 'Expert Committee on Unemployment Estimates' (1970). Since then, the seven successive quinquennial surveys conducted in the 32nd, 38th, 43rd, 50th, 55th, 61st and 66th rounds have, more or less, followed an identical approach in the measurement of employment and unemployment. The basic approach (in all these seven quinquennial surveys) had been the collection of data to generate the estimates of employment and unemployment according to the 'usual status' based on a reference period of one year, the 'current weekly status' based on a reference period of one week, and the 'current daily status' based on each day of the seven days preceding the date of survey. In order to reveal the multi-dimensional aspects of the employment-unemployment situation in India, information on several correlates were also gathered in these surveys. Sets of probing questions on some of these aspects had also been one of the basic features of these surveys. In NSS 68th round (July 2011-June 2012), detailed information on employment-unemployment will be collected in the same way as was done in the last quinquennial survey, i.e., in NSS 66th round.

4.0.1 A Working Group was set up for the purpose of finalising the survey methodology and schedules of enquiry of the 68th round. Considering all the aspects of current data demand and usefulness of the survey results, the Group has suggested a few improvisations, additions and deletions in the content of the schedule of enquiry for the present survey. The major changes made in the schedule for employment and unemployment survey vis-à-vis the previous quinquennial survey (NSS 66th round) are given below:

- a) Block 3:
 - 1) In NSS 66th round survey, along with the information on 'whether the household has NREG job card', information was collected on 'whether got work in NREG works during the last 365 days', 'number of days worked' and 'mode of payment'. In NSS 68th round for rural households, information on Mahatma Gandhi National Rural Employment Guarantee (MGNREG) works will be collected on the following:
 - i. whether the household has MGNREG job card
 - ii. number of MGNREG job cards issued to the household
 - iii. whether any member of the household has any bank/post office account

Information on the last two items (viz., ii & iii) will be collected from the households which have got MGNREG job card.
 - 2) Household type codes and procedure for determination of household type codes in rural areas have been modified.
- b) Block 3.1: In this block information on indebtedness of rural labour households was collected in NSS 66th round. This Block will not be canvassed in NSS 68th round.

- c) Block 4:
- i. Instead of collecting information on ‘*whether currently registered with employment exchange*’ for persons of age 15-45 years as was done in NSS 66th round, information will be collected for the same age group on ‘*whether currently registered with any placement agency*’.
 - ii. In NSS 66th round, for vocational training, detailed information was collected on ‘*duration of training*’, ‘*source from which degree/diploma/certificate received*’ and ‘*whether the vocational training was ever helpful in getting a job*’. In NSS 68th round, collection of information on vocational training will be restricted only to ‘*whether receiving/received any vocational training*’ and ‘*field of training*’.
 - iii. For persons of age 18 years and above in rural households with MGNREG job card, information will be collected on ‘*whether registered in any MGNREG job card*’ and, for those who were registered in any MGNREG job card ‘*whether worked in MGNREG work during last 365 days*’. Such information was not collected in NSS 66th round.
- d) Block 5.1/5.2:
- i. Information on ‘*seeking or available or suitable for the type of occupation*’ which was collected in NSS 66th round in Block 5.1 from the non-workers of age below 75 years, will not be collected.
 - ii. The probing questions to the self-employed persons in the usual status (Block 5.1/5.2) to identify Home Based Workers have been deleted.
- e) Block 5.3:
- i. In this block, for those who were unemployed on all the 7 days of the week, information will also be collected on ‘*duration of present spell of unemployment*’. In NSS 66th round, this question was placed in Block 6. Except retaining this item in Block 5.3, Block 6 of NSS 66th round on *follow-up questions for persons unemployed on all the 7 days of the week* has been deleted.
- f) Block 6 (Block 7.1/7.2 of NSS 66th round):
- i. Block 7.1 and Block 7.2 have been restructured by deleting some of the items and a new block (Block 6) has been formed in NSS 68th round.
 - ii. Questions on remunerativeness of the *earning from self-employment* which were asked in NSS 66th round in Block 7.1 to the self-employed persons in principal status and/or subsidiary status have been deleted. These were, ‘*do you regard the current earning from self-employment as remunerative?*’ and ‘*what amount per month would you regard as remunerative?*’.
 - iii. Information was collected in NSS 66th round in Block 7.2 on some aspects of labour mobility, such as, whether changed *establishment, status, industry, occupation* during the period of last two years. Information on these items will not be collected in NSS 68th round.
 - iv. The three items of Block 7.2 of NSS 66th round which have been retained in NSS 68th round are placed in Block 6. These are:
 1. Is there any union/association in your activity?
 2. Whether a member of union/association
 3. Nature of employment

4.0.2 *Collection of information on Industry of work:* For recording household principal industry and 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 will not be considered as economic activity for the 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 used to collect information on household principal industry and industry codes of the workers.

SUMMARY DESCRIPTION OF THE SCHEDULE

4.0.3 In the present round, Schedule 10 on employment-unemployment consists of 13 blocks. List of the Blocks along with the description of the blocks are given in Table 1 below:

| Table 1: The description of different blocks of Schedule 10 of NSS 68th round | |
|---|--|
| block no. | block description |
| (1) | (2) |
| 0 | descriptive identification of sample household |
| 1 | identification of sample household |
| 2 | particulars of field operation |
| 3 | household characteristics |
| 4 | demographic particulars of household members |
| 5.1 | usual principal activity particulars of household members |
| 5.2 | usual subsidiary economic activity particulars of household members |
| 5.3 | time disposition during the week ended on..... |
| 6 | follow-up questions on availability for work, existence of union/association and nature of employment for persons working in the usual principal or subsidiary status (i.e., those with codes 11-51 in col. 3 of bl. 5.1 or bl. 5.2) |
| 7 | follow-up questions for persons classified as 'engaged in domestic duties' (i.e., activity code 92 or 93 in column (3) of block 5.1) in usual principal activity status |
| 8 | household consumer expenditure |
| 9 | remarks by investigator/assistant superintending officer |
| 10 | comments by supervisory officer (s) |

4.0.4 Broad Item coverage different Blocks: The first three blocks, viz. Blocks 0, 1 and 2, are used to record identification of sample households and particulars of field operations, as is the common practice in usual NSS rounds. The last two blocks, viz., Blocks 9 and 10 are to record the remarks of investigators/Assistant Superintending Officer and comments by supervisory officer(s), respectively. Block 3 will be used for recording the household characteristics, like household size, religion, social group, land possessed, land cultivated, etc. For the rural households, information will also be collected, in Block 3, on whether the household has MGNREG job card, number of MGNREG job cards issued to the households and whether the household has any bank/post office account. Block 4 is for recording the demographic particulars and attendance in educational institutions of the household members. Particulars of vocational training being received/received by the household members will also be collected in this block along with the field of training. In this block, for persons of age 15 to 45 years, information will be collected on whether registered with any placement agency. In addition, for persons of age 18 years and above in the rural household with MGNREG job card, information will be collected on whether registered in any MGNREG job card and whether worked in MGNREG works during the last 365 days. In Block 5.1, particulars of usual principal activity of all the household members will be recorded along with some particulars of the enterprises in which the usual status workers (excluding those in crop and plantation activities) are engaged. In this block, information for all the workers about the location of workplace will also be collected. Information on conditions of employment will also be collected for the employees to identify informal employment. Particulars of one subsidiary economic activity of the household members along with some particulars of the enterprises, and informal employment will be recorded in Block 5.2. The daily time disposition for the seven days preceding the date of survey along with the corresponding activity particulars will be recorded for each household member in Block 5.3. Besides this, the current weekly status (CWS) will be derived from the daily time disposition data and will be recorded in this block. As in the past, wage and salary earnings and mode of payment will also be collected for regular salaried/wage employees and for the casual labourers in this block. For those found to be unemployed on all the 7 days of week, duration of present spell of unemployment will be collected in Block 5.3. Block 6 contains the probing questions which are related to the under-utilisation of labour time and information about the membership of union/association and nature of employment. For the members of the household classified as engaged in 'domestic duties' as per their usual principal status, some follow-up questions have been framed and listed in Block 7 with a view to collecting some additional information which might explain as to whether their usual attachment to domestic duties was voluntary or involuntary and also to throw light on their participation in some specified activities for family gain. A worksheet to obtain the total monthly household consumer expenditure has been provided in Block 8.

4.0.5 Concepts and definitions: Concepts and definitions for various terms, viz., economic activity, activity status, procedure for determining the activity status by different approaches, vocational training and other related terms used in this schedule have been discussed in Chapter One.

DETAILS OF SCHEDULE

Block 0: Descriptive identification of sample household

4.0.6 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. Items 4 and 5 are applicable to rural areas only and a dash '-' will be put against this item in urban schedule. The name of the hamlet to which the sample household belongs will be recorded against the fifth item 'hamlet name'. On the other hand, for a sample village with no hamlet group selection, a dash (-) is to be recorded against this item.

Item 6 is applicable to urban areas only and a dash (-) will be put against this item in rural schedules. 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

4.1.0 The identification particulars for items 1, 4-12 will be copied from items 1, 4-12 of Block 1 of the listing schedule (Schedule 0.0). The entries against items 2 and 3 are already printed in the schedule.

4.1.1 **Item 13: Sample hamlet group/ sub-block number:** This item is to be recorded from the heading of Block 5 of Schedule 0.0.

4.1.2 **Item 14: Second stage stratum number:** This item will be copied from the headings of columns (19) to (21) of Block 5 of Schedule 0.0. Entries will be any of 1, 2 or 3.

4.1.3 **Item 15: Sample household number:** The sample household number (i.e., order of selection) of the selected household is to be copied from columns (19) to (21) of Block 5 of Schedule 0.0.

4.1.4 **Item 16: Serial number of informant:** The serial number of the person recorded in column 1 of block 4 of Schedule 10 from whom the bulk of the information is collected will be entered. Information has to be collected from one of the household members. In an extreme case, information may be collected from a person other than the household member who is supposed to know all the requisite information. In such a case, '99' should be recorded against this item.

4.1.5 **Item 17: Response code:** This item is to be filled in at the end of the interview. It is meant to classify the informant according to the degree of his co-operation as well as his/her capability to provide the required information. The codes are:

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

4.1.6 **Item 18: Survey code:** Whether the originally selected sample household has been surveyed or a substituted household has been surveyed will be indicated against this item by recording code '1', if the sample household is the one originally selected, and code '2' if it is a substituted household. If neither the originally selected household nor the substituted household could be surveyed, i.e., if the sample household is a casualty, code '3' will be recorded. In such cases, only the Blocks 0, 1, 2, and the last two (remarks and comments) blocks will be filled in and on the top of the front page of the schedule the word 'CASUALTY' will be written and underlined.

4.1.7 **Item 19: Reason for substitution of original household (code):** In case the originally selected sample household could not be surveyed, the reason for not surveying the original household will be recorded against this item, irrespective of whether a substituted household could be surveyed or not. The codes are:

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

This item is applicable if the entry against item 18 is either 2 or 3. Otherwise, this item is to be left blank.

Block 2: Particulars of field operation

4.2.0 The identity of the investigator/ assistant superintending officer and the supervisory officer associated with the work, 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. Besides, from the 46th round onwards, person codes of field officials have been introduced which are to be recorded against item 1(ii) (for Central sample only). If canvassing the schedule takes more than one day, the first day of survey is to be recorded against the item srl. no. 2(i).

4.2.1 **Items 4 and 5: Total time taken to canvass schedule 10 (in minutes):** The “total time taken to canvass the schedule” means the actual time spent in canvassing the schedule and will not include the time taken by the investigator/ assistant superintending officer to finalise the schedule. Total time taken to canvass schedule 10, which will include time taken to canvass block 8 also, will be recorded in item 4. Time taken to canvass Block 8 only will be recorded against item 5. Entries in item 4 and 5 will be made in whole number in minutes.

4.2.2 **Item 6: Whether the schedule contains remarks? (yes –1, no-2):** In blocks 9 and 10, remarks of (i) Investigator/ Assistant Superintending Officer and (ii) other Supervisory officer(s) are to be recorded when some difficulty is encountered in collection of data or if some of the items of information seem doubtful in nature. Besides the remarks blocks, sometimes remarks are also recorded in the available blank spaces in the schedules. These remarks may help to make proper assessment of the entries made in the schedule. In item 6 (i & ii), entry will be 1 against the appropriate cell if relevant remarks are recorded, else entry will be 2.

Block 3: Household characteristics

4.3.0 Certain household characteristics, such as, household size, household type, religion, social-group, household industry, household occupation, land owned/ land possessed as on the date of survey, land cultivated (including orchard and plantation) during July 2010- June 2011, etc., which are intended to be used mainly as classificatory characteristics in studying the indicators of employment and unemployment will be recorded in this block. For the households in the rural areas information will also be collected on some items related to MGNREG works.

4.3.1 **Item 1: Household size*:** The size of the sample household i.e., the total number of persons normally residing together (i.e., under the same roof) and taking food from the same kitchen (including temporary stay-aways and excluding temporary visitors) will be recorded against this item. This number will be the same as the last serial number recorded in column 1 of Block 4.

4.3.2 **Item 2: Principal industry (NIC-2008):** The description of the principal household industry will be recorded in the space provided. The description of the principal industry should be recorded in as specific terms as possible based on the description given by the informant. In

* see paragraph 1.8.3 and 1.8.4 of Chapter One

other words, the industry description should not be copied from the NIC booklet if the informant's description gives a clearer idea of the industrial activity which determines the principal industry of the household. The entry cell for item 2 has been split into five parts for recording each digit separately. The appropriate five-digit industry code of the NIC-2008 will be recorded here. For households deriving income from non-economic activities only, a dash (-) may be put against this item. For the definition of principal household industry see paragraph 1.8.36, Chapter One.

4.3.3 Item 3: Principal occupation (NCO-2004): The description of the principal household occupation will be recorded in the space provided. As in case of principal household industry, the description of the principal occupation, too, should be recorded in as specific terms as possible based on the description given by the informant. In other words, the occupation description should not be copied from the NCO booklet if the informant's description gives a clearer idea of the principal occupation pursued by the household. The appropriate three-digit occupation code of the NCO-2004 is to be recorded in the entry cell, which has been trisected for recording each digit separately. For households deriving income from non-economic activities only, a dash (-) may be put against this item. For the definition of principal household occupation see paragraph 1.8.36, Chapter One

4.3.4 Item 4: Household type (code): The household type code based on 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. (For the definition of household type, see paragraph 1.8.5, 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 |
| <i>casual labour in:</i> | |
| 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).

4.3.5 Item 5: Religion (code): The religion of the household will be recorded against this item in code. 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 |

4.3.6 Item 6: Social group (code): Whether or not the household belongs to Scheduled Tribes, Scheduled Castes 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 group to which the head of the household belongs will be considered as the 'social group' of the household.

4.3.7 Item 7: Land owned as on date of survey (in 0.000 hectares): The land area, including homestead land, owned by the household as on the date of survey will be recorded in hectares in three places of decimal. Special care is to be taken so that for urban households land owned in rural areas and for rural households land owned in urban areas are not excluded. The entry cells have been split into two parts – one for the integer part and the other for the fractional i.e., decimal part. For 'nil' entry a dash (-) may be recorded here. A piece of land is considered '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. Detailed discussion regarding ownership of land has been made in Para. 1.8.7 of Chapter One.

4.3.8 Item 8: Land possessed as on date of survey (in 0.000 hectares): Land possessed is given by land owned (including land under 'owner like possession') + land leased in – land leased out + land held by the household but neither owned nor leased in (e.g., encroached land). The land area possessed by the household as on the date of survey will be recorded in hectares in three places of decimal. The entry cells have been split into two parts – one for the integer part and the other for the fractional i.e., decimal part. Detailed discussion regarding possession of land has been made in Para. 1.8.8 of Chapter One.

4.3.9 Item 9: Land cultivated (including orchard and plantation) during July 2010-June 2011 (in 0.000 hectares): Land cultivated is defined as *net sown area* (i.e., areas sown with field crops and area under orchards and plantations being counted only once in an agricultural year) during the agricultural year 2010-11, i.e., July 2010 to June 2011. Land cultivated (including orchard and plantation) during the agricultural year 2010-2011, i.e., July 2010 to June 2011 will be recorded against this item. Land cultivated may be from the land 'owned', 'land leased-in' or from 'land neither owned nor leased-in'. It will be recorded against item 9 in hectares in three places of decimal. Separate provision has been kept for recording integral and decimal parts. For 'nil' entry a dash (-) may be recorded here.

4.3.10 Items 10 to 12: Information for these items will be collected from the households in the rural areas only. For urban samples, dash (-) may be put in these items.

4.3.11 Item 10: Whether the household has MGNREG job card?: Under the provisions of the MGNREG Act, the Gram Panchayat is to issue job cards to every registered household. The Photographs of the adult members ("adult" means a person who has completed his eighteenth

years of age) who are applicants are attached to the job cards. The job cards shall be valid for a period of five years and will have provision for the addition/deletion of members eligible for work. If name of at least one member of the sample household is listed in any job card, entry will be 1, else entry 2 will be recorded.

4.3.12 **Items 11 and 12:** Items 11 and 12 will be filled in for those households with MGNREG job card, i.e., for those with code 1 (i.e., if answer is 'yes') in item 10. For other households dash (-) may be put in these items.

4.3.13 **Items 11: Number of MGNREG job cards issued to the household:** For the households with MGNREG job card(s), information on number of job card(s) issued to the household till the date of survey will be collected. For those households with job cards (i.e. for those households with name of at least one member listed in any job card), number of distinct job cards, in which name(s) of members have appeared, will be reported in this item.

4.3.14 **Column 12: Whether any member of the household has any bank/post office account:** In this item, information on whether any member of the household has any bank/post office account will be collected. For the purpose of collection of information only the savings bank accounts of banks/post offices will be considered. It may be noted that MGNREG Act envisages payment of the wages through bank/post office accounts. If any member of the household has such accounts in which wages earned in MGNREG works are paid, these will also be considered in reporting information in this item. If any member of the household has any bank/post office account, entry will be 1, else entry 2 will be recorded.

Block 4: Demographic particulars of household members

4.4.0 This block is meant to record the demographic particulars like sex, age, marital status, educational level, current attendance in educational institution, current registration with placement agencies, vocational training, etc., of all the household members. Besides for the household members of age 18 years and above in the rural households with MGNREG job card, some particulars of MGNREG works will also be collected. The description of the items and the procedure for recording them are explained below:

4.4.1 **Column (1): Serial number:** All the members of the sample household will be listed in this Block 4 using a continuous serial number in column (1). 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

4.4.2 **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).

4.4.3 **Column 3: Relation to head:** 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 | grandchild | 6 |
| spouse of head..... | 2 | father/mother/father-in-law/mother- in-law | 7 |
| married child | 3 | brother/sister/brother-in-law/sister-in-law | |
| spouse of married child .. | 4 | /other relatives..... | 8 |
| unmarried child | 5 | servant/employees/other non-relatives | 9 |

4.4.4 **Column 4: Sex (male-1, female-2):** The sex of each member of the household will be recorded in this column. For eunuchs, code '1' will be recorded.

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.

4.4.9 **Column (8): 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 / engineering / technology / medicine etc. | 02 |
| diploma or certificate (below graduate level) in: | |
| agriculture | 03 |
| engineering/technology..... | 04 |
| medicine..... | 05 |
| crafts | 06 |
| other subjects | 07 |
| diploma or certificate (graduate and above level) in: | |
| agriculture..... | 08 |
| engineering/technology..... | 09 |
| medicine | 10 |
| crafts..... | 11 |
| other subjects... .. | 12 |

Technical diploma or certificate in 'other subjects' will cover diploma or certificate in management, applied arts, etc. If more than one of the codes 03 to 07 are applicable, the code indicating the diploma/ certificate **last received** will be considered. Similar will be the treatment when more than one of the codes 08 to 12 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.

4.4.10 **Column (9) & (10): Current attendance in educational institution:** Columns (9) & (10) will be used to record the particulars of current attendance in educational institution **for persons of age below 30 years**. Column (9) will be used to record 'status of current attendance'. Column (10) will be used to record 'type of institution' for those who are currently attending educational institution, i.e., with entry 21 to 43 in column (9). Procedure for recording the particulars in these columns is explained in the subsequent paragraphs.

4.4.11 **Column (9): Status of current attendance.** 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 | | | |
| never attended: | | ever attended but currently not attending: | |
| 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 |

4.4.12 Column (10): Type of institution: Those with code 21 to 43 in column (9) will be considered for recording entries here. The type of institution refers to the type of management by which the institution is run. It may be government, local body, or private body receiving government aid. Thus, the type may be (a) Government, (b) Local body, (c) Private aided or (d) Private unaided. All schools/ institutions run by the State, Central Government, Public Sector Undertakings or Autonomous Organisations, which are completely financed by the Government will be treated as government institutions. Schools/ institutions where some intervention of government is in the management and are mainly financed by the government will also be

treated as government institutions. All institutions run by municipal corporations, municipal committees, notified area committees, zilla parishads, panchayat samitis, cantonment boards, etc., will be treated as local body institutions. Private and aided institution is one, which is run by an individual or a private organisation and receives maintenance grant partly or fully from the Government or local body. Private and unaided institution is one that is managed by an individual or a private organisation and not receiving maintenance grant either from a Government or a local body.

Relevant codes to be given are:

| | | | |
|-------------------------|---|---------------------------|---|
| government | 1 | private and unaided | 4 |
| local body | 2 | not known | 5 |
| private and aided | 3 | | |

4.4.13 Column (11): Whether currently registered with any placement agency: For persons of age 15 to 45 years listed in column (1) of this block, it is to be ascertained whether or not they are currently on the register in any placement agency in terms of the following codes;

registered:

| | |
|---|---|
| only in government employment exchanges..... | 1 |
| only in private placement agencies..... | 2 |
| in both government employment exchanges and private placement agencies..... | 3 |
| not registered | 4 |

Registration in both government employment exchanges or private placement agencies will be considered. For a person to be currently on the live register, he or she should renew his/her registration before it lapses, i.e., when the renewal becomes due. For registration in government employment exchanges, the period specified for renewal varies from state to state and also perhaps, from one employment category to the other. The investigator, therefore, should ascertain from some knowledgeable sources, the period specified for such renewal in the particular region where he has to carry out the field work. With this background information, the investigator should find out when the person has registered in the government employment exchange, whether he has renewed the registration, etc., and thus determine whether or not he or she was currently on the live register of the government employment exchange. Persons may also register in various private placement agencies, who act as facilitator for the prospective job seekers. Some of the private placement agencies also have job portals in the Internet, through which the prospective job seekers register their names. If the person is registered in only government employment exchanges code 1 will be recorded and in case the household member is registered in private placement agencies code will be 2. When a person is registered in both the government employment exchanges and private placement agencies code 3 will be recorded. Code 4 will be recorded for those persons who are not registered in either government employment exchanges or private placement agencies.

4.4.14 Column (12) and (13): Particulars of vocational training: Columns (12) and (13) will be used to record particulars of vocational training received/ being received by **persons of age 15 to 59 years**. Procedure for recording the particulars in these columns is explained in the subsequent paragraphs.

4.4.15 **Column (12): Whether receiving/received any vocational training:** Information on whether the household member is receiving or has received any vocational training will be collected in this column in codes given below:

| | |
|---|---|
| receiving formal vocational training..... | 1 |
| received vocational training: | |
| formal..... | 2 |
| <i>non-formal:</i> | |
| hereditary | 3 |
| self-learning | 4 |
| learning on the job..... | 5 |
| others | 6 |
| did not receive any vocational training | 7 |

Only those who are currently receiving 'formal vocational training' will be given code 1 and if the vocational training, which is formal, has already been received, i.e., if the training course is successfully completed, then code will be 2. Codes 3 to 6 relate to non-formal vocational training. Code 3 will be applicable for those who have received 'hereditary' non-formal vocational trainings and code 4 for those who have received non-formal vocational trainings though 'self-learning'. Persons who have received non-formal vocational training through 'learning on the job' will be given code 5. All other cases of non-formal vocational training received will be assigned code 6. Persons who have failed in formal vocational training after completion of the full duration of the course will also be given code 6 provided they have acquired competency through this training to employ themselves as wage salary employee or self-employed. Note that if one has already received some vocational training, formal or informal, and also currently receiving some formal vocational training, then the vocational training already received will be recorded for him/her. In case, he/she has received more than one vocational training, then the one among the applicable codes that appears first will be recorded. Concepts of vocational training, formal and non-formal vocational trainings have been discussed in Paras. 1.8.39, 1.8.40 and 1.8.41, respectively, of Chapter One. Examples of some formal vocational trainings have been given in Annexure 1.

4.4.16 Columns (13) will be filled in for those who are receiving/ have received formal vocational training, i.e., for code 1 or 2 in column (12).

4.4.17 **Column (13): Field of training (code):** Field of training in this column refers to the broad area/ trade, say, 'Mechanical engineering trades', 'Electrical and electronic trades', 'Leather related work', etc., on which the formal vocational training has been received/being received by the household member. 'Field of training' **will be recorded in terms of 2 digit codes.**

4.4.17.1 For a formal vocational 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. It may be noted that under a particular broad area of the training stated above, an individual may have received the vocational training for development of skill in specific area(s). For example, a vocational training may develop skill in specific area(s) like 'blacksmithy', 'fitter', etc., under the broad area 'Mechanical engineering trades' or in the specific area 'Cutting and Tailoring' under the broad area 'Textile related work' or in the specific area 'Cane & Bamboo work' under the broad area 'Artisan/ craftsman/ handicraft and cottage based production work'. Specific areas and broad areas of the vocational training, in most cases, will be understood from the name of trade/training course.

4.4.17.2 To facilitate the collection of data on ‘field of training’, an indicative list of specific areas on which one can receive the vocational training and the broad area covering the specific area(s) is given in Annexure 2. There may be cases where broad area of training can be understood from the specific area of training though the specific area is not covered under any of the broad areas in the list given in Annexure 2. 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’.

4.4.17.3 Some instances for recording field of training are being illustrated with the help of the following examples:

1. A person has received a vocational training for which the name of the training course is ‘**Fitter**’. In this case the specific area of the training is ‘**Fitter**’ and the broad area will be ‘**Mechanical engineering trades**’. In this case, the entry against ‘field of training’ will be the code for the broad area of training ‘Mechanical engineering trades’, i.e., 01.
2. For the vocational training course ‘**Cutting and Tailoring**’, the specific area is ‘**Cutting and Tailoring**’, and the broad area will be ‘**Textile related work**’. In this case, the entry against ‘field of training’ will be the code for the broad area of training ‘Textile related work’, i.e., 07.

The codes for the field of training to be used for making entry in column (13) are given below:

| field of training | codes |
|--|--------------|
| Mechanical engineering trades | 01 |
| Electrical and electronic engineering trades..... | 02 |
| Computer trades..... | 03 |
| Civil engineering and building construction related works..... | 04 |
| Chemical engineering trades..... | 05 |
| Leather related work..... | 06 |
| Textile related work..... | 07 |
| Catering, nutrition, hotels and restaurant related work..... | 08 |
| Artisan/ craftsman/ handicraft and cottage based production work..... | 09 |
| Creative arts/ artists..... | 10 |
| Agriculture and crop production related skills and food preservation related work..... | 11 |
| Non-crop based agricultural and other related activities..... | 12 |
| Health and paramedical services related work..... | 13 |
| Office and business related work..... | 14 |
| Driving and motor mechanic work..... | 15 |
| Beautician, hairdressing and related work..... | 16 |
| Work related to tour operators/ travel managers..... | 17 |
| Photography and related work..... | 18 |
| Work related to childcare, nutrition, pre-schools and crèche..... | 19 |
| Journalism, mass communication and media related work..... | 20 |
| Printing technology related work..... | 21 |
| Other..... | 99 |

4.4.18 **Columns (14) and (15):** Columns (14) and (15) will be used to record *whether registered in any MGNREG job card and whether worked in MGNREG works during last 365 days*. These two columns will be used for **household members of age 18 years and above in rural households with MGNREG job card**. This is in relation to the information on *whether the household has MGNREG job card* as specified in Block 3, item 10.

4.4.19 **Column (14): whether registered in any MGNREG job card:** In the MGNREG job card, particulars of all the adult members (persons of age 18 years and above) of the household who are willing to work are listed. If a household member is listed in a job card issued to the household, entry will be 1, else 2 will be recorded in column 14 against that member.

4.4.20 **Column (15): Whether worked in MGNREG works during last 365 days:** In this column, for each household member of age 18 years and above who have their names registered in a job card (i.e., with entry 1 in column 14), situation will be determined with a reference period of last 365 days in respect of whether got work in MGNREG work for at least one day or sought but did not get work and did not seek work, and accordingly the entry will be made in terms of the following codes.

worked.....1
sought but did not get work.....2
did not seek work.....3

Code 1 will be recorded in respect of those household members who have worked for at least one day in MGNREG works during last 365 days. Code 2 will be recorded for those who sought but did not get work¹ during the last 365 days. Code 3 will be applicable for those household members who did not seek work during the last 365 days.

Block 5.1: Usual principal activity particulars of household members

4.5.1.0 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 Paras. 1.8.11, 1.8.12, 1.8.22 and 1.8.23, respectively, of Chapter One. The description of the items and the procedure for recording them are explained below:

4.5.1.1 **Columns (1) & (2): Srl. no. & age, as in cols. (1) & (5) of block 4:** The entries in these two columns are to be copied from columns (1) and (5) of block 4, for each of the members of the household.

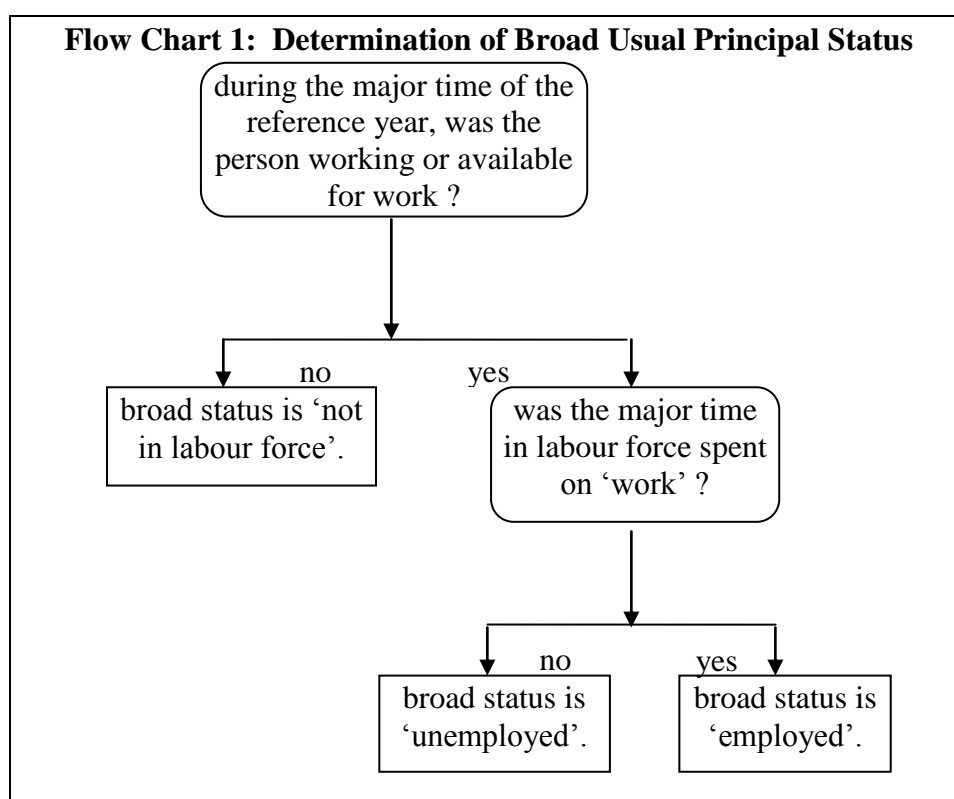
4.5.1.2 **Usual principal activity particulars of household members:** The usual principal activity particulars of each member of the household will be collected in columns (3) to (6) of this block. This will include information on industry-occupation of the working members.

4.5.1.3 **Column (3): Status:** For each of the members, 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' (available for work) or 'not in labour force' (neither

¹ As per Operational Guidelines (2008) of MGNREGA (Ministry of Rural Development, Government of India), application for work should generally be submitted to the Gram Panchayat. In addition, as prescribed by the Act, workers should have the option of submitting an application directly to the Programme Officer, but this should be treated as 'fallback' option only. Applications should be given in writing and should include: the registration number of the job card, the date from which employment is required and the number of days of employment required.

working nor 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.*

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



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

| person | number of months | | | usual principal activity status | remarks |
|--------|-----------------------|-------------------------|---------------------|---------------------------------|---|
| | labour force employed | labour force unemployed | not in labour force | | |
| 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> |

4.5.1.6 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).

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

| activity status | code |
|---|-------|
| worked in hh. enterprise (self-employed) as own account worker | ...11 |
| worked in hh. enterprise (self-employed) as employer | ...12 |
| worked as helper in hh. 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.

4.5.1.7 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.

4.5.1.8 **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.

4.5.1.9 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. Similarly, a person who is supplying potable water to one or more households (and uses his own container - which is his asset) will be classified under NIC 96903. **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'.**

4.5.1.10 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).

4.5.1.11 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 who 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.

4.5.1.12 **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 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.

4.5.1.13 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.

4.5.1.14 Columns (8) to (15): 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 (11) **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 (12) to (15) 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 (15) will pertain to the principal status (col. 3) and industry (col. 5) obtained for the person.**

4.5.1.15 Column (8): Location of workplace (code): The location of the workplace will be recorded in terms of code under this column. The detailed codes are:

| description | code |
|---|------|
| workplace 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 |
| workplace 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 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.

4.5.1.16 **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:

enterprise type:

| | |
|--|----|
| proprietary: male..... | 1 |
| female | 2 |
| partnership: with members from same hh..... | 3 |
| with members from different hh..... | 4 |
| Government/public sector | 5 |
| Public/Private limited company | 6 |
| Co-operative societies/trust/ other non profit institutions..... | 7 |
| Employer's households (i.e., private households employing maid servant, watchman, cook, etc.) | 8 |
| others..... | 9. |

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 9 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 1 to 4.

4.5.1.17 **Column (10): Whether uses electricity for its production of goods and services (yes -1, no -2, not known -9):** The information as to whether the enterprise in which the person works, uses electricity for its production of goods and services is to be recorded here. It may be mentioned that use of electricity exclusively for purposes other than production like, for comfort, security, illumination, etc., will not be considered as the use of electricity by the enterprise for its production. Code 1 will be assigned if the enterprise uses electricity for its

production. If the enterprise does not use electricity for its production, code will be 2. If the informant does not know whether the enterprise uses electricity for its production, code 9 will be recorded.

4.5.1.18 **Column (11): 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 worker or household members working in the enterprise. The number of workers that includes working owner(s), 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.

4.5.1.19 **Column (12) to Column (15):** Columns 12 to 15 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 in col. (5).

4.5.1.20 **Column (12): 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 reports 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.

4.5.1.21 **Column (13): 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.

4.5.1.22 **Column (14): 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.

4.5.1.23 **Column (15): Method of payment:** The method of payment received by the person for work done will be recorded in codes. The applicable codes are:

| | |
|------------------------------|---|
| regular monthly salary..... | 1 |
| regular weekly payment | 2 |
| daily payment | 3 |
| piece rate payment..... | 4 |
| others | 5 |

4.5.1.24 **Column (16): Period of seeking/ available for work during last 365 days:** For persons of age 5 years and above, it is to be ascertained whether they were seeking/ available for work for some period during last 365 days. The period, which need not necessarily be continuous, for which the person was seeking/ available for work during last 365 days will be first rounded off

to the nearest number of months and then appropriate code is to be given. For example, a person may be employed in his/ her principal usual activity status based on the major time criterion. But he/ she may have been looking for work for some period. Similarly, a girl may have been looking for job for sometime but subsequently got married and may be engaged in the domestic duties. The latter activity might have been pursued for a relatively longer period. In all such cases, one of the codes 1 to 5, applicable for the situation, will be given. If a person was not seeking or available for work any time during the preceding 365 days, the appropriate code will be 6.

The code structure for period of seeking/ availability for work is as given below:

sought/ available for:

| | |
|--|---|
| less than 1 month..... | 1 |
| 1 month & above but less than 3 months | 2 |
| 3 months & above but less than 7 months..... | 3 |
| 7 months & above but less than 10 months | 4 |
| 10 months to 12 months | 5 |
| did not seek/ not available..... | 6 |

Block 5.2: Usual subsidiary economic activity particulars of household members

4.5.2.0 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 employed 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 of usual activity are 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. The description of the item and the procedure for recording them are explained below:

4.5.2.1 **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.

4.5.2.2 **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).

4.5.2.3 **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.

4.5.2.4 Columns (7) to (14): 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 (10). This apart, conditions of employment will be recorded in columns (11) to (14) 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 (14) will pertain to the subsidiary status (col. 3) and industry (col. 5) obtained for the person. The detailed instructions for columns (7) to (14) of Block 5.2 are similar to that given for Block 5.1 for the relevant columns, and therefore, those are not repeated here.**

Block 5.3: Time disposition of members during the week

4.5.3.0 The data compiled in this block will generate various estimates of employment and unemployment based on the approach of current daily status (CDS) and current weekly status (CWS). The relevant concepts of CDS and CWS have been discussed in paras. 1.8.24 and 1.8.25 of Chapter One. This block is meant for recording the time disposition for all the 7 days preceding the date of survey, the current weekly status based on the 7 days' time disposition, wage and salary earnings during the week, duration of present spell of unemployment for those who were unemployed on all the 7 days of the week, etc. *Time disposition will be recorded for every member of the household listed in block 4.* This involves recording of different activities pursued by the members along with the time intensity in quantitative terms for each day of the reference week. The different activities will be identified and recorded in terms of 'status' and 'industry' codes for persons in urban areas and 'status', 'industry' and 'operation' codes for persons in rural areas. The time intensity will be measured in half-day units. Since a person may be engaged in more than one type of activity on a single day, (in which case two such activities will be considered for that day) and different activities may be carried out on different days of the week, more than one line have been provided for each person in this block to record information on different activity particulars which have been carried out by the person in the week in separate lines.

4.5.3.1 **Columns (1) & (2): Serial number and age:** In columns (1) and (2) of this block, serial number of each person and his/her age recorded in columns (1) and (5), respectively of block 4, will be copied. The serial numbers in block 5.3 will be entered sequentially as they appear in column (1) of block 4. Provision has been made to record particulars of four persons in one page. Four such sheets have been provided. In case more pages are required to record the particulars of all the persons listed in block 4, additional sheets of block 5.3 may be used. These sheets should be firmly stapled with the main schedule at the appropriate place.

4.5.3.2 Since a person may pursue more than one activity during the seven days of the reference week, four lines have been provided for each serial number recorded in column (1) for making separate entries relevant to the different activities on a day (two such activities) on different days of the reference week. Past experience indicates that provision of four lines will cover almost all the situations. However, if a person reports more than four different activities during the reference week the block of four lines meant for the next serial number of persons may be utilised by putting cross (x) marks in columns (1) and (2), and continuous serial numbers in column (3). Obviously, the particulars of the next person will be entered in the cell meant for serial number of persons subsequent to the cell already utilised for the previous person. In the case of children of age 0 - 4 years, their particulars will be entered and status code 97 will be assigned to them with intensity 1.0 for all the seven days preceding the date of survey without any probing.

4.5.3.3 Column(3): Serial number of activity: For each person listed in column (1) of this block (which will be same as listed in column (1) of block 4), different activities pursued by them during all the seven days of the reference week will be serially numbered and this serial number of activity will be recorded in column (3). Presuming that the likelihood of one person pursuing more than four different activities in a week is rather remote, only four lines are provided for each person. As stated earlier, if a person pursues more than four different activities, the lines meant for the next person may be utilised. **The current activity of a person in the rural areas is denoted by his status-cum-industry-cum-operation.** Thus, for a person in the rural areas with the same status, if the industry division (2-digit NIC-2008 code) or operation are different on the same or different days, he will be considered to have pursued different activities and these activities will be entered in different lines. Similarly, **in urban areas, the current activity of a person is denoted by his status-cum-industry.** Thus, if a person in urban area ploughs his own field in the first half of the day and sows in the second half of the day, he will be considered to have only one activity during the day. But, in rural areas, he will be considered to have two activities.

4.5.3.4 Column (4): Status: The current activity 'status' codes corresponding to the serial number of activity entered in column (3) will be recorded in this column. The status codes which will be used in recording daily activity particulars and the weekly activity particulars are as follows:

| activity status | code |
|---|-------------|
| situation of working or being engaged in economic activities (employed) | |
| <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>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 |
| situation of being not engaged in work but available for work (unemployed) | |
| <i>sought work</i> | 81 |
| <i>did not seek but was available for work</i> | 82 |
| situation of being not available for work (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 are 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 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'. The current weekly activity status for each individual will be identified based on the daily activity status codes. The procedure for doing this will be explained later in this chapter. The following paragraphs describe in details the procedure to be followed in making entries in each of the columns.

4.5.3.5 Column (5): Industry division (2-digit NIC-2008 code): For each status code grouped under the activity category 'working' (i.e., for the status codes 11-72 recorded in column 4), 2-digit NIC-2008 code will be entered in column (5) in terms of the specified codes.

4.5.3.6 Column (6): Operation (for rural areas): This column will be filled in for persons belonging to the rural households only. The actual working operation performed by the persons relevant to the status codes grouped under the activity category working (i.e., status codes 11-72) will be entered in terms of codes in this column. It may be noted that for regular salaried/wage employees on leave or holiday, the 'operation' will relate to their respective function in the work or job from which he is temporarily off in view of his taking leave or holiday. Similarly for persons categorized as 'self-employed' (status codes 11, 12 & 21) if they are not at work on a particular day in spite of their having work on that day, operation to be recorded will relate to the work they would have done if they had not enjoyed leisure on that day. The relevant codes to be used for making entries in this column are:

- a) manual work in cultivation :
 - ploughing - 01 sowing - 02 transplanting - 03
 - weeding - 04 harvesting -05 other cultivation activities - 06;
- b) manual work in other agricultural activities :
 - forestry - 07 plantation - 08 animal husbandry- 10
 - fisheries - 11 other agricultural activities - 12;
- c) manual work in non-agricultural activities - 13;
- d) non-manual work in :
 - cultivation - 14 activities other than cultivation- 15.

4.5.3.7 Although it may be theoretically possible that **on a particular day of the reference week, a person may have any number of activities, the particulars relating to two activities identified on the basis of priority cum major time criterion need only be considered for making entries in columns 7-13**. Thus, on a day, a person may either have only one activity with 'full' intensity or two activities with 'half' intensity for each. If the activity is pursued with intensity 'half' on a particular day, the entry will be 0.5 against that activity and if that is pursued with intensity more than half, 1.0 will be recorded against that activity in the relevant columns (7) to (13). Generally, an activity, which is pursued for 1 hour or more but less than 4 hours is considered to have been pursued with 'half' intensity. If it is pursued for 4 hours or more, the activity is considered to have been pursued with 'full' intensity. However, for some persons,

less than four hours of work daily is their normal working hours for the work or profession. In such cases they will be considered to have worked with 'full' intensity.

4.5.3.8 The decision whether the intensity to be recorded for an activity will be 0.5 or 1.0 has to be taken by the investigating staff after making careful probes into the actual situation obtaining for the person on a particular day. Mere declaration made by the informants, that less than four hours of work daily is their normal working hours for the work or profession, should not be the basis for recording the intensity as 1.0. In the case of a cultivator, a village artisan or a small trader, it should not be presumed that a few hours on a day, say during the lean periods of the year, is their normal work, and the intensity 1.0 need not necessarily be recorded for them. Since this particular block of the schedule is meant for recording the information on periodical or seasonal under-utilisation of available labour time, careful probes about the nature of work performed by a person during the day has to be made before recording the relevant entries.

To illustrate, in so far as the daily activity pattern of a person is concerned, the following seven different situations can be visualized for a person on a single day:

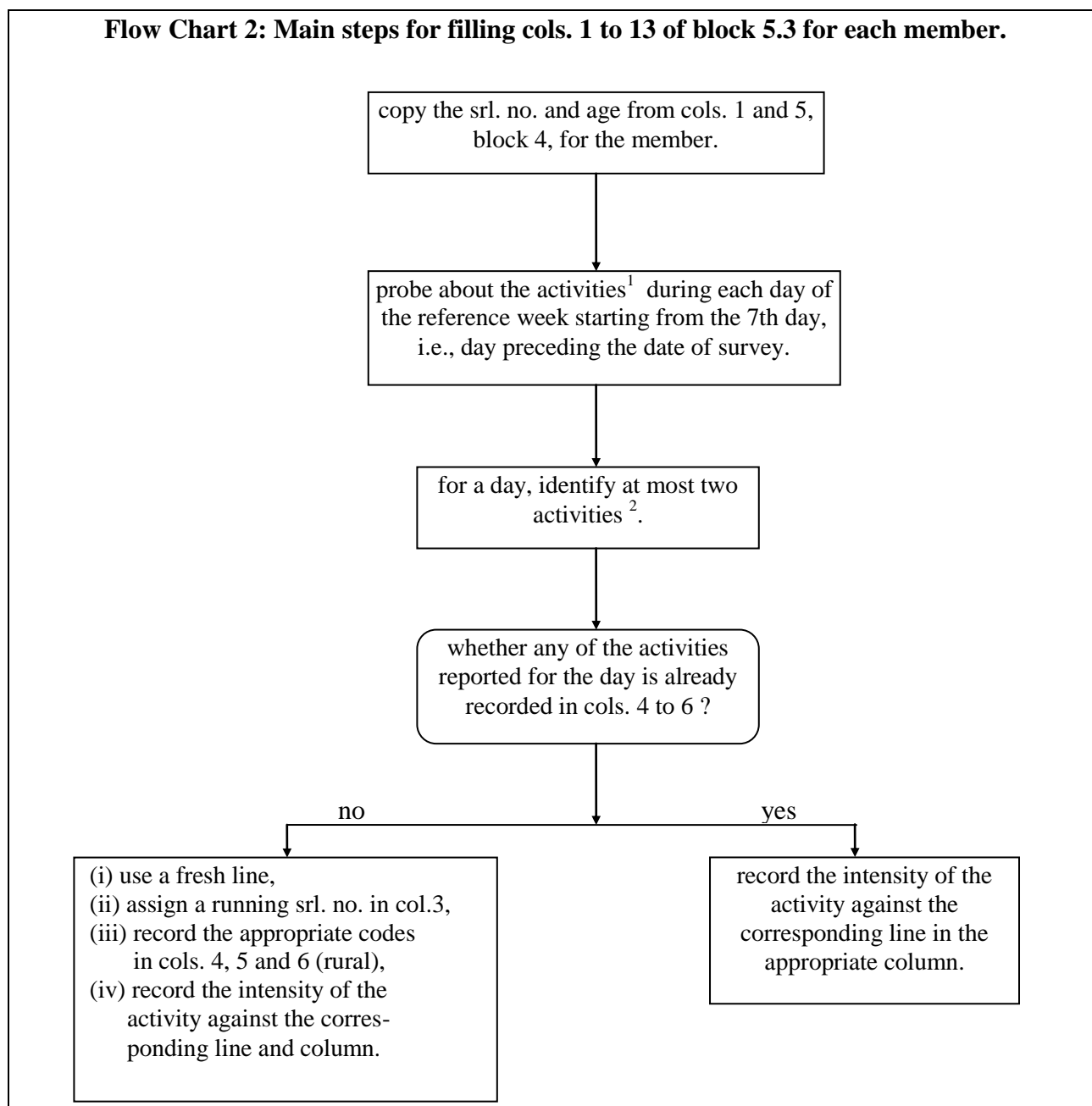
- (i) he/she may be engaged fully in one economic activity;
- (ii) he/she may be engaged in two different types of economic activities;
- iii) he/she may be partly engaged in economic activity and for the rest of the day he may be seeking or available for work and at the same time may or *may not be doing some non-economic activities*;
- (iv) he/she may be partly engaged in economic activity and during the rest of the day he is not available for work and *may be doing some non-economic activities*;
- (v) he/she may be available for work for the entire day;
- (vi) he/she may be available for work for part of the day and for the remaining part he may not be available for work and may be pursuing some non-economic activity and
- (vii) he/she may be fully engaged in non-economic activities.

4.5.3.9 Which of the status codes are to be entered in column (4) will depend on whichever of the above situations are obtaining for a person on the different days of the reference week. The investigator is to first ascertain the exact situation from the informant and will then record the appropriate status code or codes, as the case may be, in this column using the priority-cum-major time criterion. The relevant codes to be used for recording the status are already given. The following illustrations may be noted for general guidance.

- (a) A person found to be engaged in domestic duties should not be categorised 'engaged in domestic duties' (code 92) if the person reports that he/she has also been available for work concurrently.
- (b) A person engaged in regular salaried/wage employment but currently not at work will be assigned code 71 or 72 irrespective of whether he is engaged in any other 'economic or non-economic' activity.
- (c) Unpaid apprentices will be treated as 'students' while paid apprentices will be treated as employees.
- (d) 'Free collection for sale' will be treated as self-employment.

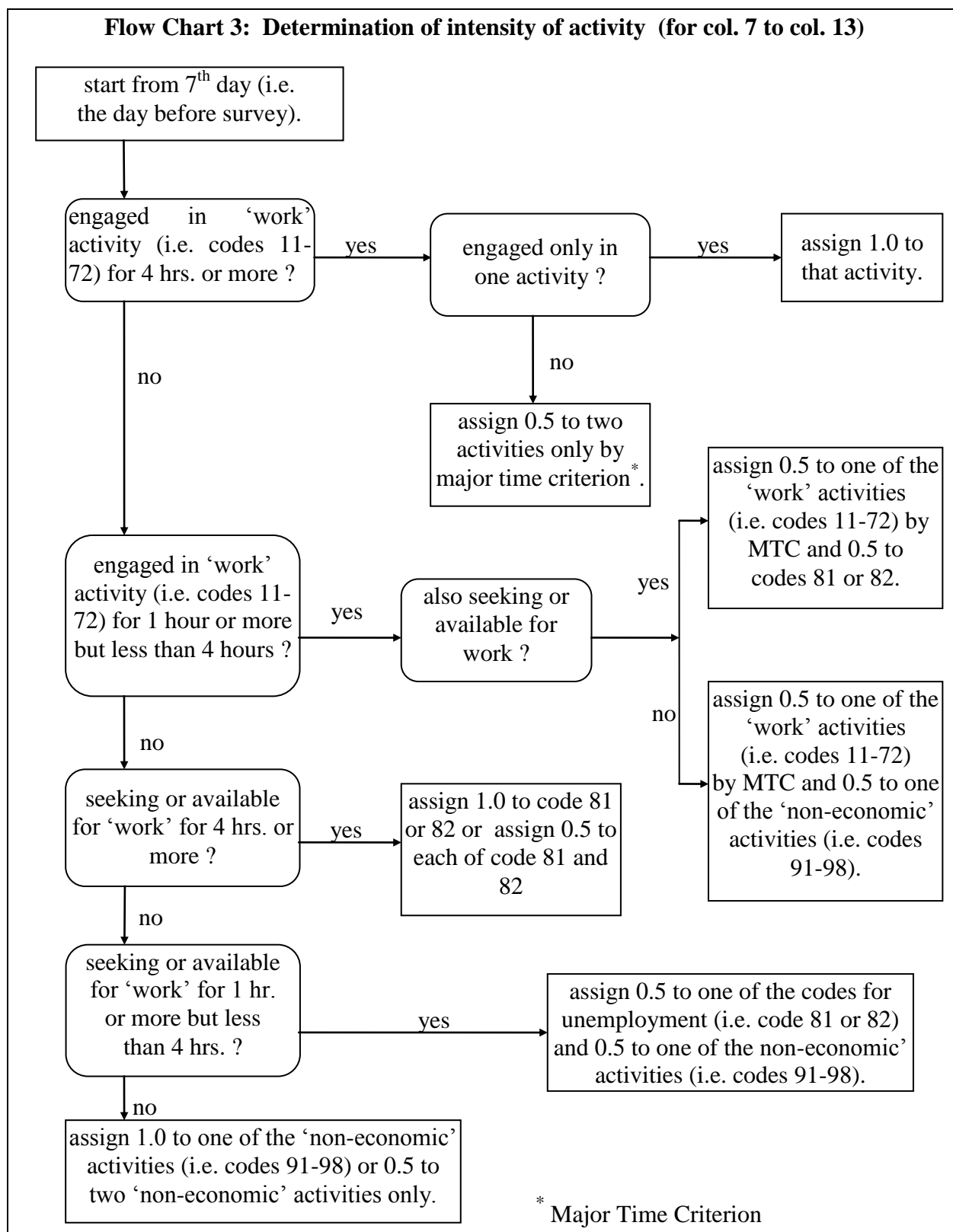
4.5.3.10 **Columns (7) to (13): Intensity of activity:** For each activity recorded in column (3), the intensity with which the particular activity is performed on the different days of the reference week will be recorded in quantitative terms 'half' or 'full' in these columns. As described earlier, for each activity listed in column (3) either one 'full' intensity or two 'half' intensity may be assigned to a person on any one of the seven days of the reference week. For a particular activity, the recording of entries in columns (7) to (13) should start from column (7) which is

provided for recording the intensity of that activity on the seventh day of the reference week, i.e., the day preceding the date of survey. Similarly, the intensity of that activity on the sixth, fifth and earlier days of the week will be recorded in columns (8), (9), (10), (11), (12) and (13) respectively. If the intensity of an activity is 'full' on a particular day, '1.0' will be recorded in the relevant column. On the other hand, if the intensity is 'half', the entry will be '0.5'. If that particular activity is not pursued on some other days of the reference week, the corresponding columns provided in the block for those days will be left blank against that activity. Thus, for each day, for a person, there will be either only one entry with intensity 1.0 in any one of the lines or two entries with intensity 0.5 each in any two of the lines. Procedure for recording different activities and the intensities of the activities on different days are explained in the Flow Charts 2 and 3.



Note: 1. An activity relating to work will be identified on the basis of the status-cum-industry-cum-operation in the rural areas and on the basis of status-cum-industry in the urban areas. An activity relating to 'other than work' will be identified on the basis of status only both in rural and urban areas.

2. On a day, a person will be considered to have been engaged in one activity with full intensity (1.0) or in two activities with half intensity (0.5). Of the many activities, two activities to be chosen based on priority-cum-major time criterion.



4.5.3.11 For determining the various activities pursued by a person during the reference week and their intensities, the following thumb rule may be adopted:

- (a) If a person had worked or was employed, that is, if he was engaged in any one or more of the activities 11-72 for four hours or more on a day he would be considered 'working' or 'employed' for the whole day and assigned the one or two out of the different work activities on which he devoted relatively long time. In the former case, intensity will be 1.0 and in the latter cases, 0.5 for each of the two activities recorded.
- (b) A person, who had worked for 1 hour or more but less than 4 hours on a day, would be considered 'working' for half day and for the other half he would be considered either 'seeking or available for work', i.e., 'unemployed' (code 81 or 82) or as 'neither working nor available for work', i.e., 'not in labour force' (91-98) depending on whether or not the person was seeking/available for work. The person will be assigned the relevant work status code (11-72) with 'half' intensity and non-work status code 81 or 82 if 'unemployed' or any one of the relevant codes 91-98 if 'not in labour force', with 'half' intensity. If the nature of work is such that, (when employed in a full day) he/she works for less than 4 hours, full intensity will be given (e.g., a doctor may practise for 3 hours only on each day).
- (c) If a person had not worked even for an hour on the day but had sought work or was available for work for four hours or more, he/she would be considered unemployed for the whole day and assigned the code 81 or 82 as the case might be with 'full' intensity. But if he/she sought work or was available for work for one hour or more but less than four hours, he/she would be considered 'unemployed' for half day and assigned the activity status code 81 or 82 with 'half' intensity and 'not in labour force' with 'half' intensity for the other half of the day, for which the relevant code (any one of the codes 91-98) would be assigned.
- (d) A person not so considered 'employed', or 'unemployed' either for 'full' day or 'half' day as shown in (a), (b) or (c), would be given activity codes 91-98 with intensity 'full' or two of them with each having intensity 'half', as the case may be.

4.5.3.12 A few special cases are stated below regarding assigning of intensity.

- (a) In the case of a person engaged in self-employment, such as a doctor, a stationary or peripatetic trader or vendor, a freelance artisan or a mason or a carpenter, etc., the following may be kept in view while recording entries on intensity.
- (i) A doctor sitting in his chamber for 4 hours or more, no matter whether he examined and prescribed medicine for a single patient or not, intensity 1.0 should be recorded.
- (ii) For stationary or peripatetic vendor or trader moving around in his professional rounds for 4 or more hours, intensity 1.0 should be recorded whatever little business is done by the person.
- (iii) For recording intensity (entries 1.0 or 0.5) in columns (7) to (13) in the cases of masons or carpenters in their professional rounds, similar procedure is to be adopted.
- (b) In the case of regular or casual salaried or wage employees, the activity beyond the normal working hours need not be considered for recording entries in these columns. On the other hand, if a person pursues two economic activities of duration, say 4-5 hours each, both are to be recorded with 0.5 intensity for each. In the case of self-employed persons, time spent on any ancillary activity relating to the actual activity of production of goods or services, will also be considered as time spent on 'work'.

4.5.3.13 **Column (14): Total number of days in each activity:** The number of days for which a particular activity was pursued during the seven days, i.e., the total of columns (7) to (13) will be

recorded in one place of decimal in column (14) separately for each activity listed in column (3). It may be noted that the total number of days for all the activities taken together should always be 7.0 for each individual entered in column (1).

4.5.3.14 Columns (15) to (17): Wage and salary earnings (received or receivable) for the work done during the week (Rs): The wage and salary earnings (not total earnings) receivable for the wage/ salaried work done during the reference week, separately for each of the relevant activities pursued by each person, will be recorded in these columns. The wage and salary earnings are collected for regular wage/salaried employees and casual wage labours, the relevant status codes for which wages & salary are to be recorded are 31, 41, 42, 51, 71 and 72. The wages and salaries receivable for the work done during the reference week 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. The total wage or salary receivable for the week in cash will be recorded in column 15 and the value of salary or wages in kind (**evaluated at the current retail price**) receivable for the week will be recorded in column 16. The total of columns 15 and 16 will be entered in column 17. *The entries for all these columns will be made in whole number in rupees.* For recording the wages or salaries, amount receivable as 'overtime' for the additional work done even from the same economic activity beyond normal working time will be **excluded**. Bonus (expected or paid) and perquisites evaluated at retail prices duly apportioned for the reference week will be considered as wages and **included** for making entries in these columns. For the activity statuses '71' and '72', the amount receivable for the week will be worked out on the basis of the number of days reported under the activity during the week.

4.5.3.15 Column (18): Mode of payment: This column will be filled in for those members with status codes 31, 41, 42, 51, 71, and 72 in column (4). The mode of payment made by the employer will be recorded in this column in terms of codes. The codes to be used for recording entries are given below:

- piece rate in cash:* daily-01, weekly-02, fortnightly-03, monthly-04, other-05.
- piece rate in kind:* daily-06, weekly-07, fortnightly-08, monthly-09, other-10.
- piece rate in both cash and kind:* daily-11, weekly-12, fortnightly-13, monthly-14, other-15.
- other (non-piece) rate in cash:* daily-16, weekly-17, fortnightly-18, monthly-19, other-20.
- other (non-piece) rate in kind:* daily-21, weekly-22, fortnightly-23, monthly-24, other-25.
- other (non-piece) rate in both cash and kind:* daily-26, weekly-27, fortnightly-28, monthly-29, other-30.

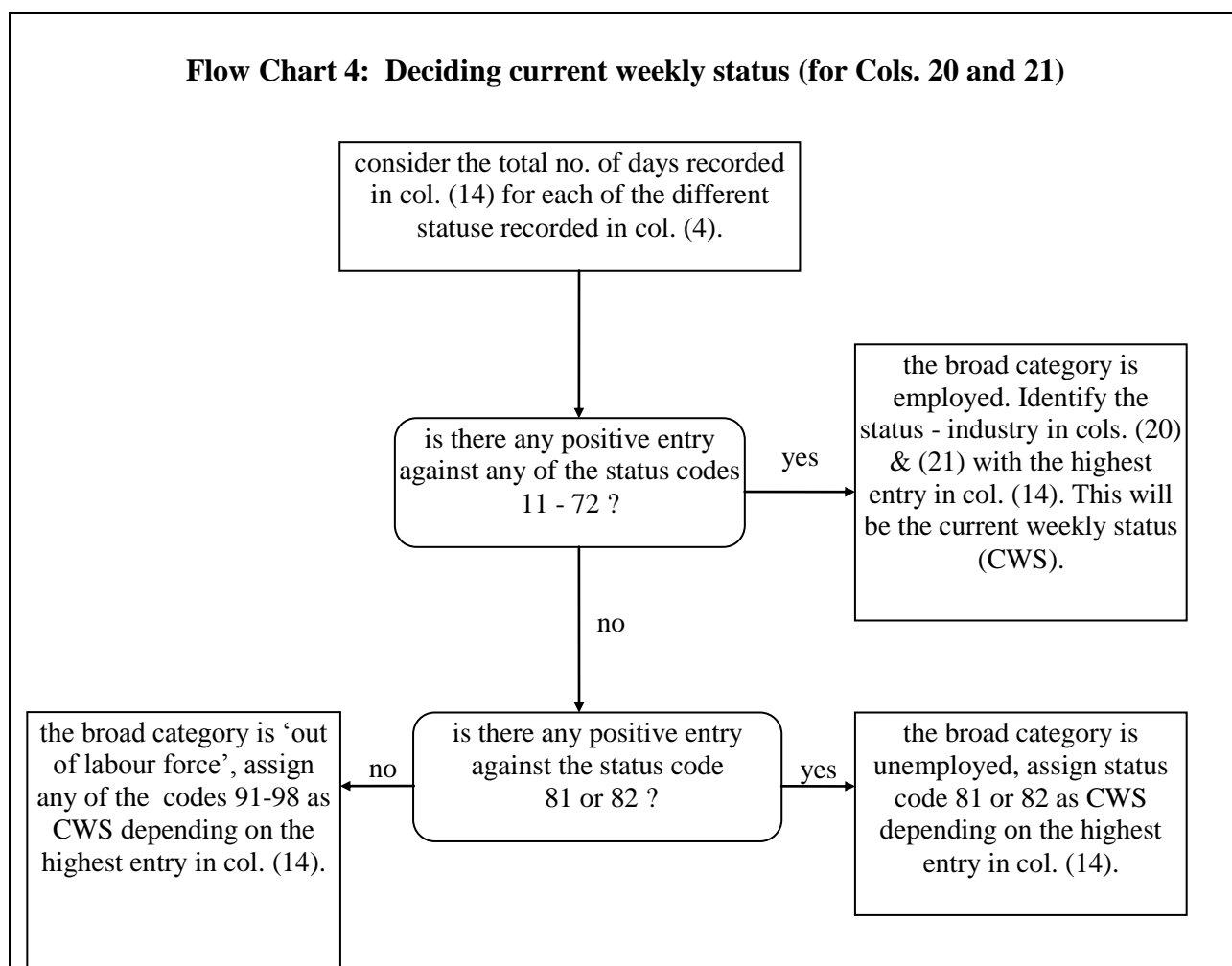
4.5.3.16 Column (19): Total number of days with nominal work: This column will be filled in for the persons with status code 11 to 72 recorded in column (4) against any 'serial number of activity' in column (3). Some of these persons who have reported intensity of work as 'half', for some of the days might have had work only for say, 1-2 hours on certain days out of them. Such days would be considered as days with nominal work. For each person, total number of days with only nominal work, out of the 7 days reference period, for which intensity has been collected in columns (7) to (13) would be recorded in this column against the first line for the person. If for a person with status code 11 to 72, none of the days in the week are with nominal work entry in this column will be made as 0.

4.5.3.17 Column (20): Current weekly status (codes): Based on the activity status obtaining 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. This will be done as follows:

4.5.3.18 As already explained, 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 for any day of the seven days is recorded

in column (4). If any of these is a work related activity code, i.e., any of 11 to 72 the person will fall in the employed category on the current weekly status. In other words, if the person is found to have been assigned a work status code on any of the day of the last week he will be considered as working in the current weekly status. 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 activity 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 but should be 81 or 82 against one of the serial nos. of activity). 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.

4.5.3.19 Further, within the three broad activity status categorisation, the detailed activity status codes will be assigned taking into account the number of days in each activity recorded in column (14) in terms of the aggregate of intensities obtaining on various days. Within the broad activity status category identified for a person, the activity status code in column (4), which has the highest value in column (14), corresponding to a serial number of activity within the broad activity status, will be recorded in column (20). The entries for column (20) will be made in the line corresponding to the first line for each person, i.e., the line in which serial no. of activity in col. (3) is 1. The procedure for assigning the CWS to a person is explained in the form of Flow Chart 4.



4.5.3.20 A few examples for determination of current weekly status are given below :

| reference to block 5.3 columns | | | | | |
|--------------------------------------|--|--------------------|--|---|---|
| srl. no. of person <i>col.(1)</i> | srl. no. of activity <i>col.(3)</i> | status col. (4) | industry division <i>col.(5)</i> | total no. of days in each activity <i>col.(14)</i> | current weekly activity status <i>col.(20)</i> |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 1 | 1 | 51 | 01 | 3.5 | 51 |
| | 2 | 41 | 50 | 2.0 | |
| | 3 | 98 | - | 1.5 | |
| 2 | 1 | 82 | - | 1.0 | 82 |
| | 2 | 92 | - | 6.0 | |
| 3 | 1 | 11 | 01 | 0.5 | 11 |
| | 2 | 81 | - | 6.5 | |
| 4 | 1 | 11 | 01 | 3.0 | 11 |
| | 2 | 11 | 61 | 3.0 | |
| | 3 | 92 | - | 1.0 | |

4.5.3.21 **Columns (21) & (22): Industry and occupation:** For persons with any of codes 11-72 in column (20), the 5-digit industry (NIC-2008) and 3-digit occupation (NCO-2004) will be recorded in these two columns. **Note that to identify certain category of workers separately, NIC-2008 industry class code 9700 has been split.** Those are to be considered here also. The industry and occupation will correspond to the economic activity in which the highest number of days have been spent as explained in the previous paragraph. In the cases where equal number of days is spent on two or more activities (like in case of person with serial number 4 in the above example) the industry and occupation corresponding to the activity appearing first in the code list in terms of status and industry (in urban areas) or in terms of status, industry and operation (in rural areas) will be noted in columns (21) & (22).

4.5.3.22 **Column (23): Whether unemployed on all the 7 days of the week:** From the daily time disposition recorded in columns (7) to (13), it is to be ascertained whether the person was unemployed on all the seven days, i.e., if he/she had total intensity 1.0 against code 81/82 in column (4) on all the seven days of the week. Code 1 or 2 will be recorded in this column depending on the situation.

4.5.3.23 **Column (24): Duration of present spell of unemployment:** The spell of unemployment means the continuous period for which the person remains unemployed. The present spell will, therefore, refer to the period starting from the day the person became unemployed to the survey date, if there is no change in his/ her activity status (i.e., from unemployed to either employed or not in labour force) in the intervening period. In the case of persons who are first entrants to the labour force, the present spell will be equal to the entire length of unemployment starting from the day such person joins the labour force, i.e., the day since when he/ she was seeking/ available for work. For those who had any previous employment, the present spell will be the period starting from the day they were seeking or available for work after losing their last employment to the survey date. The spell will be recorded in terms of codes indicating various durations as follows:

| duration | code | duration | code |
|-----------------------------------|------|------------------------------------|------|
| only 1 week..... | 1 | more than 2 months to 3 months.... | 5 |
| more than 1 week to 2 weeks..... | 2 | more than 3 months to 6 months.... | 6 |
| more than 2 weeks to 1 month..... | 3 | more than 6 months to 12 months... | 7 |
| more than 1 month to 2 months.... | 4 | more than 12 months..... | 8 |

Block 6: Follow-up questions on availability for work, existence of union/association and nature of employment for persons working in the usual principal or subsidiary status (i.e. those with codes 11-51 in col. 3 of bl. 5.1 or bl. 5.2)

4.6.0 In this block an attempt is made to collect information on certain qualitative aspects of employment of those who are categorised as employed either in the principal or subsidiary status. The procedure for recording the information under each column is described below.

4.6.1 **Column (1) & (2): Srl no. and age as in block 5.1:** As already stated, this block will be filled in only for those who are employed either in the principal status or in the subsidiary status (i.e., codes 11-51 in col. 3 of block 5.1 or block 5.2). The serial number and age of such persons will be copied from block 5.1 in the same order in columns (1) and (2), respectively.

4.6.2 **Columns (3) & (4): Usual Principal activity status and usual subsidiary activity status:** The usual principal activity status and usual subsidiary activity status will be copied from column (3) of block 5.1 and 5.2 to columns (3) and (4), respectively, as described below.

- (i) For persons having one of the codes 11-51 in column (3) of block 5.1, the entry in column (3) of block 6 will be same as that in column (3) of block 5.1. For these persons, the subsidiary status will also be recorded in column (4) and will be copied from column (3) of block 5.2. For persons with one of the codes 11-51 in column (3) of block 5.1 and not having any subsidiary economic activity, put a 'x' mark in col. (4).
- (ii) For persons engaged in economic activity in subsidiary capacity only, their subsidiary status will be copied from column (3) of block 5.2 and recorded in column (4), and principal status will be copied from column (3) of block 5.1 and recorded in column (3).

4.6.3 **Column (5): Whether engaged mostly in full time or part time work during last 365 days:** In column (5), it will be ascertained if the person was engaged mostly in full time work or part time work during last 365 days. Persons working for less than or equal to half of the normal working hours of the enterprise on a fairly regularly basis will be considered as part time workers and others will be considered as full time workers. Those who are mostly engaged in full time work will be given code 1 and those who are mostly engaged in part time work will be given code 2. The codes are:

full time 1
part time 2

4.6.4 **Column (6): Whether worked more or less regularly during last 365 days:** According to the usual principal status approach, the broad activity category has been determined on the basis of the major time criterion. Thus, the persons, who are 'employed' in their usual principal status may or may not be employed throughout the last 365 days. By virtue of the procedure adopted for classification of activity statuses it is possible that some of them were not employed for considerable length of time. In the case of those, who were employed only in the subsidiary status, this will be the situation occurring most often. Thus, this item will be filled in both for usual principal status workers and usual subsidiary status workers. Those who have worked more or less regularly, considering both principal economic activity and subsidiary economic activity, during the reference year will be given code 1. Others will be given code 2.

4.6.5 Column (7): Approximate no. of months without work: In column (7), the number of months a person was without work will be recorded. The months without work need not be continuous. It is quite possible that a person was without any work for a couple of months, then in employment for some months and again out of work for a couple of months. The 'approximate number of months without work' will include the months in which a person was unemployed and also the months in which he/she was out of labour force, i.e., neither seeking/available for work. For a month if the period without work is reported to be less than 30 days but 15 days or more, it should be recorded as 1 month without work. Situation is to be assessed for all the months separately to get number of months without work during the reference year. Note that some of those, who have reported to have worked more or less regularly during the reference year, i.e., code 1 in column (6), may be found to be without work for some months, after deep probing. For such persons also, number of months without work will be recorded in column (7) and entry in col. (6) **should not be changed**.

4.6.6 Column (8): If entry ≥ 1 in column (7), whether sought/available for work during those months: Column (8) will be filled in for persons who were without work for at least one month, i.e., entry greater than or equal to 1 in column (7). The codes for column (8) are given below:

| | |
|--------------------------|---|
| yes : on most days | 1 |
| on some days | 2 |
| no | 3 |

4.6.7 Column (9): Whether made any efforts to get work: For those who were not at work for some months and sought or were available for work on most or some days of those months (i.e., with codes 1 or 2 in col. 8), the efforts made by them to get work will be recorded in terms of the following codes:

| | |
|---|---|
| yes: | |
| registered only in government employment exchanges..... | 1 |
| registered only in private placement agencies..... | 2 |
| registered in both government employment exchanges and private placement agencies..... | 3 |
| other efforts..... | 4 |
| no effort..... | 5 |

If the effort to get work was made exclusively by registration in government employment exchanges code will be 1. Code 2 will be given to those who made effort to get work through registration in private placement agencies. When a person made effort to get work by registration in both government employment exchanges and private placement agencies, code 3 will be recorded. In case, the codes 1 to 3 are not applicable but the person had made other efforts to get work, code 4 will be recorded. When no efforts were made, code 5 will be recorded.

4.6.8 Column (10): Whether sought/ available for additional work during the days he/ she had work: The time reference to record whether the person was seeking/ available for additional work (i.e., work in addition to the present work) will be that period of last 365 days during which the person was employed either in principal status or in subsidiary status or in both the statuses. Thus, for a person, whose usual principal status is unemployed but had subsidiary work for a relatively short period, the availability for additional work will refer only to the short period he/ she was working. This criterion will be applicable to column (12) also. The entries will be made in codes given below:

| | | |
|-------|--------------------|---|
| yes : | on most days | 1 |
| | on some days | 2 |
| no | | 3 |

4.6.9 **Column (11): Reason for seeking/ available for additional work:** For codes 1 and 2 in column (10), the reason for seeking/ available for additional work will be entered in this column in terms of codes as follows:

| | | |
|--|----------------------------|---|
| | to supplement income | 1 |
| | not enough work | 2 |
| | both | 3 |
| | others | 9 |

4.6.10 **Column (12): Whether sought/ available for alternative work during the days he/ she had work:** As in the case of availability for additional work, information in respect of a person's availability for alternative work (i.e., work instead of the present work) will be collected with reference to that period of last 365 days during which he/ she was employed either in principal status or in subsidiary status or in both the statuses. The entry will be made in codes as given below.

| | | |
|-------|--------------------|---|
| yes : | on most days | 1 |
| | on some days | 2 |
| no | | 3 |

4.6.11 **Column (13): Reason for seeking/ available for alternative work:** For the persons who 'sought/ available' for alternative work at least for some days, i.e., for persons with codes 1 and 2 in column (12), the reason for doing so will be recorded in codes as follows:

| | | |
|--|--|---|
| | present work not remunerative enough | 1 |
| | no job satisfaction | 2 |
| | lack of job security | 3 |
| | work place too far | 4 |
| | wants wage/salary job | 5 |
| | others | 9 |

When more than one code is applicable, the code **appearing first in the list** may be given.

4.6.12 **Columns 14 to 16:** Information in these three columns will be collected in the following ways:

i) if a person is a worker either only in the usual principal activity status (i.e., if entry in column 3 is any of 11-51 and entry is 'x' in column 4) or in subsidiary economic activity status (i.e., if entry in column 3 is any of 81-97 and entry is any of 11 to 51 in column 4), information in columns 14 to 16 will relate to the activity performed either in usual principal activity status or in subsidiary economic activity status, as the case may be.

ii) if a person is a worker in both usual principal status and subsidiary activity status (i.e., if entry in column 3 is any of 11 to 51 and entry is any of 11 to 51 in column 4), the information will relate to the activity performed in the usual principal activity status.

4.6.13 Column (14): Is there any union/association in your activity?: Union/association will mean any registered/recognised body whose membership is open to a section of those engaged in a specific activity or trade and whose main objective is to look into the interests of its members. ‘Trade’ here refers to any occupation under the usual statuses 11-51. Thus, besides the usual trade unions, association of owners, self-employed persons, etc., will also be covered. The union/association sometimes may be a large body like a factory union looking after the welfare of different types/levels of workers. Depending on the respondents reply, codes 1, 2 or 9 will be recorded in this column. It is to be noted that even if a self-employed person is aware of an association which looks after the interests of those of his kind, the answer to the question will be 'no' (code-2) if the membership of such an association is not open to him or the association does not cover the locality where he/she runs the enterprise. It is possible that some of the self-employed persons are not aware of the existence of any association of the kind described above relating to his trade. In such cases, code 9 will be entered in this column.

The relevant entries for this column are:

| | |
|-----------------|---|
| yes | 1 |
| no | 2 |
| not known | 9 |

4.6.14 Column (15): Whether a member of union/association: If the respondent reports that a union/association exists in his/her activity, i.e, if entry is 1 in column (14), it is to be ascertained if he/she is a member of that union/association. If the household member is a member of that union/association, code 1 will be recorded, otherwise code will be 2.

4.6.15 Column (16): Nature of employment: In column (16), the nature of employment (i.e., whether permanent or temporary) will be recorded in terms of code. Nature of employment will be considered as permanent if the person is, in normal course, likely to continue in the same employment. If the nature of employment is permanent code will be 1 and if the nature of employment is temporary code will be 2.

Block 7: Follow-up questions for persons with usual principal activity status code 92 or 93 in column (3) of block 5.1

4.7.0 In order to study the pattern of activities carried out along with domestic chores of the persons classified as engaged in domestic duties, a separate set of special follow-up questions have been designed. These follow-up questions will be asked to all the members of the household classified as engaged in domestic duties according to usual principal status (i.e. those with usual principal status codes 92 or 93 in column 3 of block 5.1) and the relevant answers will be recorded in terms of the specified codes.

4.7.1 Items 1 & 2: Serial number and age as in column (1) & (2) of block 5.1: For all members categorized as 'engaged in domestic duties' according to usual principal status, i.e., those assigned the usual status codes 92 or 93 in column (3) of block 5.1, their serial number and age as in columns (1) and (2) of block 5.1 will be entered against items 1 and 2. Different columns will be used for different members.

4.7.2 Item 3 to 5: It will be ascertained whether the members are “required to spend most of their time on domestic duties during 365 days preceding the date of survey”. If the answer is in the affirmative, code 1 and if the answer is in the negative, code 2 will be recorded against item 3 for each of the members. If the answer is 'yes', i.e., if the entry against item 3 is code 1 for a

member, the reason for his/her participation in the household duties will be ascertained and recorded in terms of the specified codes against item 4.

The relevant codes to be used for item 4 are:

| | |
|--|---|
| no other member to carry out the domestic duties | 1 |
| cannot afford hired help | 2 |
| for social and/or religious constraints | 3 |
| others | 9 |

For persons with code 1 in item 3, item 5 will be left blank. On the other hand, if the entry against item 3 is 2 for a person, (i.e., such participation was not required but still the he/she participated in the household chores) the reason for his/her voluntary participation in household chores will be ascertained and the code relevant to the answer obtained will be recorded against item 5. In such a case, item 4 will be left blank.

The codes to be used for making entries against item 5 are:

| | |
|--------------------------------|---|
| non-availability of work | 1 |
| by preference | 2 |
| others | 9 |

4.7.3 Items 6 to 19: These 14 questions relate to the participation in 14 specified activities, which are self-explanatory. It will be ascertained whether the person along with his/her normal domestic duties also participated, during the 365 days preceding the date of survey, *more or less regularly* in the specified activities listed. For the questions 6 to 9 and 15 to 19, if the answer is 'yes', code '1' and if the answer is 'no', code '2' will be recorded against the relevant items for the particular person. It may be noted that item 19 and 20 will be filled in for rural areas only. On the other hand, for the items 10 to 14, if the answer is in the affirmative, it will be further ascertained whether the person participated in the processing of mainly own farm/free collected commodities or processing of commodities procured otherwise and the code relevant to the situation will be recorded. The codes to be used are:

| | | |
|-------------|--|---|
| <i>yes:</i> | commodities produced in own farm/free collection | 1 |
| | commodities acquired otherwise | 2 |
| <i>no</i> | | 3 |

4.7.4 Item 20: This item will be used for rural areas only. If for a particular person the answer to the question listed against item 19 (i.e., whether the person brings water from outside the village), is 'yes' (i.e., code 1), the distance (rounded off to the nearest kilometre) he/she had to travel from the household premises to the source of water will be recorded against this item.

4.7.5 Item 21: For all those categorised as 'usually engaged in domestic duties' and listed against item '1' it will be ascertained whether they will be prepared to accept work if work is made available at their household premises. If the answer is in the affirmative, code 1 and if the answer is in the negative, code 2 will be recorded against this item.

Information on items 22 to 25 is to be collected for those with code 1 in item 21.

4.7.6 Item 22 to 25 (for persons with code 1 in item 21): The questions listed against these items will be put only to those who have answered in the affirmative for the question listed

against item 21 (i.e., persons with entry 1 against item 21). The codes appropriate for the answers obtained will be recorded against the relevant items. For items 22, 23 and 25, if more than one code is found to be applicable, the code which appears first in the code list only will be recorded. The relevant codes to be used for filling in the items 22, 23 and 25 are as under:

(i) *Item 22: nature of work acceptable:*

| | |
|----------------------------|---|
| regular full time | 1 |
| regular part time | 2 |
| occasional full time | 3 |
| occasional part time | 4 |

(ii) *Item 23: type of work acceptable:*

| | |
|---|---|
| dairy | 1 |
| poultry | 2 |
| other animal husbandry | 3 |
| food processing | 4 |
| spinning & weaving | 5 |
| manufacturing wood & cane products..... | 6 |
| tailoring | 7 |
| leather goods manufacturing | 8 |
| others | 9 |

(iii) *Item 25: assistance required to undertake that work:*

| | |
|--|---|
| no assistance..... | 1 |
| yes: | |
| initial finance on easy terms | 2 |
| working finance facilities | 3 |
| easy availability of raw materials | 4 |
| assured market | 5 |
| training | 6 |
| accommodation | 7 |
| others..... | 9 |

(iv) *Item 24:* In this item information on whether the person have any skill/experience to undertake the work which is acceptable to him/her as mentioned in item 23, will be recorded. If the person has any skill/experience to undertake the work code will be 1, otherwise code will be 2.

Block 8: Household consumer expenditure

4.8.0 Household consumer expenditure is the sum total of monetary values of all goods and services consumed (out of purchase or procured otherwise) by the household on domestic account during a specific reference period. The definition of household consumer expenditure and the procedure for evaluating it will be the same as for Schedule 1.0. Care should be taken to exclude (i) expenditure on purchase of land and building (ii) expenditure on household enterprise including farm (iii) interest payments (iv) cash transfers (one-way transactions where the household does not receive any consumer goods and services in return), as all these may be mistakenly reported by the household as “consumer expenditure”.

4.8.1 A worksheet has been designed to collect information on household consumer expenditure in Schedule 10. The aim of this worksheet is to arrive at an approximate value of household consumer expenditure, which will serve as proxy for total expenditure that could be obtained through the detailed consumer expenditure schedule. This approximate value of consumer expenditure will be used for classifying sample households into different levels of living for studying employment characteristics of households at different levels of living. The worksheet contains 36 different components of household consumer expenditure. Considering that an item group may contain different items, an attempt has been made to indicate, in parentheses, some of the items included in a particular group, so as to facilitate collection of consumer expenditure data for an item group. Two reference periods, viz., 30 days and 365 days, will be used to record consumption of different groups of items; these are indicated in the headings of columns (3) and (4).

4.8.2 The items of consumption have been classified into four groups and the definition of consumption differs from group to group, as explained in tabular form below.

| group | items in the group | serial numbers of items in the worksheet | definition of consumption |
|-------|---|--|--|
| I | food (other than purchased cooked meals), pan, tobacco & intoxicants, fuel & light | 1 to 13 | Consumption is the value of actual amount used during the reference period. The value of home-produce will be imputed at the ex-farm or ex-factory rate. This should not include any element of distributive service charges. <u>Exception:</u> When a person consumes food cooked in a different household, the preparing household is considered to be the consuming household. But when a person consumes meals received as assistance from the Government or a non-Government agency, it will be considered to be the consumption of the household to which the person belongs. |
| II | purchased cooked meals, miscellaneous goods and services including education, medical, rent, taxes and cesses | 11, 14 to 22, 24 to 26 | Expenditure incurred on the item during the reference period. <u>Exceptions:</u> 1. If cooked meals are purchased and then used by the purchaser as means of payment, they will be accounted in the household receiving the meals as payment. 2. If payments of tuition fees and rent of household dwelling are regularly made by another household, the household making use of the accommodation or receiving the education is to be considered as the consuming household, and not the household making the payment |

| group | items in the group | serial numbers of items in the worksheet | definition of consumption |
|-------|-----------------------|--|--|
| III | clothing and footwear | 27 and 28 | An item is consumed if it is brought into first use during the reference period. The item may or may not be procured within the reference period. It can be procured by purchase, home production, gift, charity, etc. Purchase and use of second hand clothing materials will also be included. <u>Exception:</u> When second-hand purchase of clothing and footwear occurs, consumption is considered to occur <i>at the moment of purchase</i> , irrespective of whether and when the article is used. |
| IV | durable goods | 29 to 37 | Expenditure incurred on the items for purchase or towards cost of raw materials and services for its construction and repair during the reference period. |

4.8.3 Imputation of value: Consider the items of Group I and Group III in the table above. If an item is purchased and consumed by a household, the value of consumption can be taken as its purchase value. But the value of an item consumed out of commodities received in exchange of goods and services, home-grown/home-produced stock, transfer receipts or free collection requires imputation. The rule for imputation of value of consumption of commodities is given below:

- The value of goods and services received in exchange of goods and services – including those received as perquisites by the members of the household from their employers - will be imputed at the rate of average local retail prices prevailing during the reference period. However, the judgement of the respondent about the price of the goods purchased in exchange is to be taken into account.
- The value of home produce will be imputed at the ex farm or ex factory rate. This should not include any element of distributive service charges.
- The value of consumption out of gifts, loans, free collection, etc., will be imputed at the average local retail prices prevailing during the reference period.
- The value of consumption out of purchase will be the value at which the purchase was made.

4.8.4 Special care is to be taken to ensure that the items which are consumed by the household out of home grown stock as well as from other sources like free collection, gifts, loans, etc., do not get missed out and necessary probing is to be done to include such consumption, if any, in the total consumption of the household.

4.8.5 Note: For items of Group II and Group IV, the question of imputation of value normally does not arise, as value of consumption is, for these groups, defined as expenditure incurred, and is zero when zero expenditure is incurred. However, in case of items of Group II and Group IV received from employer as perquisite or payment, imputation of value is necessary because for such items it is considered as if the receiver incurs expenditure on them. Imputation in such cases should be done at local retail prices.

Value of consumption during last 30 days

4.8.6 Item 1: Cereals & cereal products: This will include items like rice, wheat/atta, jowar, bajra, maize, barley, small millets and their products like chira, khoi, lawa, muri, maida, suji, rawa, sewai, noodles, bread (bakery), cornflakes, pop-corn, etc. and sattu prepared from barley/

other cereals. Besides these, tapioca, jackfruit seed, mahua, etc, which are consumed as substitutes for cereals will also be included here.

4.8.7 **Item 2: Pulses & pulse products:** This includes pulses such as arhar, gram, moong, masur, urd, peas, soyabean, khesari, etc., and pulse products such as besan, sattu, papad, badi, etc.

4.8.8 **Item 3: Milk:** This will mean milk as directly obtained from cow, buffalo, goat or any other livestock, milk sold in bottle or polypack. If the household purchases milk and prepares sweetmeats or transforms milk into curd, casein, ghee, etc., at home these will be included here.

4.8.9 **Item 4: Milk products:** This will include condensed/powder milk, curd, ghee, butter and also baby food, ice-creams, etc., the principal constituent of which is milk.

4.8.10 **Item 5: Edible oil and vanaspati:** Oil used in food preparation will be considered as 'edible oil' such as vanaspati, margarine, mustard oil, groundnut oil, etc. If oil is extracted by crushing purchased or grown oilseeds and the oil is consumed then the entry will be shown against this item.

4.8.11 **Item 6: Vegetables:** This item will include potato, onion, radish, carrot, turnip, beet, sweet potato, arum, leafy vegetables, tomato, peas, etc. It will also include green fruits like mango, watermelon, etc. consumed after preparing processed food.

4.8.12 **Item 7: Fruits & nuts:** This includes fresh fruits such as mango, banana, jackfruit, watermelon, pineapple, sugarcane coconut, guava, orange, etc. and also dry fruits and nuts.

4.8.13 **Item 10: Salt and spices:** It will include all edible salt irrespective of whether it is iodised or not. This item will also include spices such as turmeric, black pepper, dry chillies, oilseeds, garlic, ginger, etc., which are generally used in food preparations.

4.8.14 **Item 11: Other food items:** This will include prepared tea, coffee, tea leaf, coffee powder, ice, cold beverages, fruit juice, green coconut, biscuits, salted refreshments, prepared sweets, cake, pastry, pickles, sauce, jam, jelly, cooked meals, prepared rice, snacks, tiffin, food packets, etc. Food items for babies like Farex, Cerelac, etc., whose principal constituent is not milk will also be included here.

4.8.15 **Item 12: Pan, tobacco & intoxicants:** This will include pan leaf, finished pan, supari, lime, katha, bidi, cigarettes, snuff, cheroot, zarda, ganja, toddy, country liquor, beer, foreign liquor, etc.

4.8.16 **Item 13: Fuel & light:** This will include coke, firewood and chips, electricity, dung cake, kerosene, match box, coal, LPG, gobar gas, candle, etc. and petrol, diesel, etc. used for generating electricity.

4.8.17 **Item 20: Rent/house rent:** This item consists of rent for residential building and garage rent for private vehicle of the household. Amount last paid divided by the number of months for which the payment was made will be recorded here. The rent for government quarters will be the amount of house rent allowance (HRA) per month not paid to the employee plus the licence fee deducted per month from the salary for the quarters. Salami/pugree will not be considered anywhere in the schedule. No imputation of rent will be done for owner occupied dwellings.

4.8.18 **Item 21: Consumer taxes and cesses:** This will include road cess, chowkidari tax, municipal rates, water charges, etc.. Sometimes, while purchasing a new vehicle, life tax is paid. In such case, monthly average of tax & cess will be recorded against this item.

4.8.19 **Item 22: Medical expenses (non-institutional):** This includes expenditure which were incurred on medical treatment not as an in-patient of a medical institution. This includes expenses on medicine, clinical tests, X-ray, pathological tests, payments made to doctor, nurse, etc., on account of professional fees. Expenditure on family planning appliances such as IUD, oral pills, condoms, diaphragm, spermicide. Expenditure incurred on MTP (medical termination of pregnancy) may be recorded against here if hospitalisation is not necessary. Similarly, hiring charges for ambulance may be recorded here if hospitalization is not necessary. Reference period for medical expenses (non-institutional) is 30 days.

Value of consumption during last 365 days

4.8.20 **Item 24: Medical expenses (institutional):** This includes expenditure which were incurred on medical treatment as an in-patient of a medical institution. Expenditure incurred on MTP (medical termination of pregnancy) may be recorded against here if hospitalisation is necessary. Similarly, hiring charges for ambulance may be recorded here if hospitalization is necessary. Expenditure incurred for clinical tests, X-ray, etc. will be recorded against this item if hospitalisation was necessary.

4.8.21 **Item 25: Tuition fees and other fees:** It also includes fees paid to educational institutions (e.g., schools, colleges, universities, etc.) on account of tuition (inclusive of minor items like game fees, fan fees, etc.) and payment to private tutor. Occasional payments to the school fund made on account of charities provided for indigent students and 'donations' generally will not be included here as these are regarded as transfer payments.

4.8.22 **Item 26: School books and other educational articles:** Expenditure on all kinds of books, magazines, journals, etc., including novels and other fiction will be covered under this item. Expenditure on Internet other than telephone charges will also be covered here. Besides these, expenses on library charges, stationery, etc., will also be covered here.

4.8.23 **Item 27: Clothing and bedding:** In this item, information on value of consumption of all items of clothing and bedding during the last 365 days will be collected. When any garment is sewn at home by a household member, its value will be equal to the value of cloth only. No labour charges for sewing of the garment need be included unless the sample household itself is running a tailoring shop. Similarly, for a quilt made at home of which the materials (viz., cloth, stuffing, cotton, thread, etc.) were purchased the value of the materials used will be shown against this item. All second-hand clothing items, like dhoti, saree, ready-made garments, etc., purchased and brought into first-use will be recorded against this item.

4.8.24 **Durables goods (items 29 to 37):** Information on expenditure incurred for purchase and cost of raw materials and services for construction and repairs of durable goods for domestic use during the last 365 days will be collected in items 29 to 37. Expenditure will include both cash and kind. Purchase will include both first-hand and second-hand purchase. Only if some expenditure is incurred towards purchase of an item, may be in cash or kind or both, the item will be considered as purchased. Expenditure incurred on purchase of durable goods for giving gifts will also be included. In case of credit/ hire-purchase, the actual expenditure made during the reference period will be recorded.

4.8.25 It should be noted that the purchase of residential building and land, whether first-hand or second-hand, should not be entered in item 37, since such purchases are considered capital expenditure on real estate. Any new construction of building is also an expense on capital account and should not be entered in item 37. The total expenditure incurred by the household towards repairs and maintenance of dwelling unit (only) during the reference period would be entered against item 37.

4.8.26 Investigators should not spend too much time for filling up the worksheet. Unless the respondents themselves ask for clarifications, they are not to ask about quantities consumed item by item to arrive at sub-total figure. The idea is to fill up the worksheet in about half an hour per household. Experience shows that one can obtain a fair enough estimate of household consumer expenditure in half an hour per household.

4.8.27 In case both Schedule 1.0 (Type 1) and Schedule 10 are canvassed in the same household, then the entries in the worksheet (Block 8) of Schedule 10 for item groups 1 to 22 (which has a reference period of last 30 days) and 24 to 37 (which has a reference period of last 365 days) will be obtained from the corresponding items of Schedule 1.0 (Type 1). On the other hand, if Schedule 1.0 (Type 2) and Schedule 10 are canvassed in the same household, then the entries in the worksheet for item groups 1 to 22 and 24 to 37 of Schedule 10 will be copied from the corresponding **items bearing same reference period obtained for Schedule 1.0 (Type 2)**. For the other items, for which the reference period is different, the information in the worksheet of Schedule 10 will be collected afresh from the household corresponding to the reference period for these item groups.

4.9.0 Block 9: Remarks by investigator/ assistant superintending officer: Any remark which is considered necessary for explaining any peculiarity in the consumption pattern of the household or any other item-specific unusual feature of the household or of any member thereof will be noted here. Such remarks will help in understanding the entries made in different blocks of the schedule, especially when any entry is numerically very high or very low or entry is unusual.

4.10.0 Block 10: Comments by supervisory officer(s): The supervisory officers should note their views on any aspect pertaining to the characteristics under enquiry in this schedule relating to the household or any member thereof.

4.11.0 Some Important Clarifications for determining activity status:

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 are to be considered as an economic activity as a special case, although he/she is a member of the household as per definition of household member. Activity status code 31 will be assigned to domestic servants.
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. If the products collected relate to agricultural sector, the NIC-2008 section will be 'A' and for other goods like rag, waste paper, tins, etc., the NIC-2008 section will be 'G'.
4. A disabled person/ pensioner will be considered as 'employed' according to usual principal status if he/she is engaged in an economic activity for a relatively long time during the reference year. He/she will be treated as unemployed if reported to be seeking/available for work for a relatively long time during the reference year, and not as a disabled person/pensioner.
5. Any person carrying out domestic duty for major part of the day and additionally doing some economic activity for three/ four hours in a day, both on a regular basis, will be considered as engaged in domestic duties according to the usual principal status. Similarly, a pensioner/ student doing agricultural activities in household agricultural enterprise for three/ four hours in a day, his usual principal activity status will be pensioner/ student, and not worker in the usual

principal status. However, according to the usual status considering principal status and subsidiary status together, they will be considered as worker.

6. Sometimes it is found that a regular student is currently on live register of the Employment Exchange and such a situation creates confusion in deciding his usual activity status. Normally, the person will be categorised as a student. But before categorising him/her as a student, further probes should be made as to whether he/she will give up his/her studies the moment he/she gets a job. If it is found that he/she will leave his studies to take up the type of job for which he/she has registered, he/she will be considered as unemployed.
7. Current weekly activity status of a student/ disabled person/ pensioner/person engaged in domestic duties will be 'employed' if he/she is engaged in an economic activity for at least 1 hour on any day during the reference week (i.e at least 0.5 intensity against any of the activity status codes 11 to 72 in column 14 of block 5.3).
8. A Government servant who is on extraordinary leave or suspended, his/her usual principal status code will be 31. Other economic activities pursued by him/her during the period will not be considered for determining his usual principal activity status but those activities will be considered as subsidiary economic activities.
9. According to the current status approach, for a regular salaried/wage employee, activity status code 31 is to be given on holidays and code 71/72 for the days he is on leave depending on the reason. Additional economic activity carried out on these days by a regular wage/ salaried employee will not be considered to determine his current daily status, e.g., for a Govt. employee who is on leave for 1 week and does agricultural activity during that week, his current daily status code for all the 7 days of the week will be 72.
10. According to the current status approach, for a self-employed person, activity status code 11 is to be given on holidays or weekly-off days and code 61 or 62 for the days he is on leave depending on the reason.
11. If a casual worker works for 4 days in a week and remains without work for the other 3 days, then for the days he did not work, his current activity status codes will be 81, 82 or any of 91 to 98 depending upon the situation on those days.
12. For regular salaried/wage employees on leave or holiday, the 'operation' will relate to their respective function in the work or job from which he is temporarily off in view of his taking leave or holiday. Similarly for persons categorised 'self-employed' (status codes 11, 12 & 21) if they are not at work on a particular day in spite of their having work on that day, operation to be recorded will relate to the work they would have done if they had not enjoyed leisure on that day.
13. If a person performed 3 economic activities in a day then number of hours spent on each activity is to be considered to assign intensity for the different activities.
 - a. If only 1 of the activities is done for 4 hours or more, 1.0 intensity to be given for that activity.
 - b. If any of the 2 activities are done for 4 hours or more, then 0.5 intensity is to be given to each of these two activities.
 - c. If all activities are done for more than 4 hours then two of the activities by major time criteria (MTC) will be given intensity 0.5.
 - d. If all the activities are performed for less than 4 hours but the total is more than 4 hours then 2 activities by MTC will be assigned 0.5 intensity.
 - e. If all the activities are performed for less than 4 hours and the total is less than 4 hours but more than 1 hour, then 1 activity by MTC will be assigned 0.5 intensity.

14. If a person is engaged in 2 economic activities each of less than 1 hour duration but the total duration is 1 to 4 hours, then one of the activities will be assigned intensity 0.5 by MTC.
15. When a female casual labourer reports that she is not able to work due to pregnancy, she will be treated as 'casual labour not working due to sickness' and will be given current activity code 98.
16. Exchange labour will be considered as 'self-employed'. But a regular employee, on holiday or while on leave, working as 'exchange labour', will be assigned status code 31/71/72. On the other hand, a casual labourer working as 'exchange labour' on some days will be categorised as 'self-employed' for those days.
17. The 'meal carriers' (who collect meals from respective households and deliver 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'.
18. 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.
19. Unpaid apprentices will be treated as 'students' while paid apprentices will be treated as employees.
20. Persons under 'paid lay-off' will be considered 'employed'. Those under 'unpaid lay off' will not be considered as employed and they will be considered 'unemployed' if they are seeking and/or available for work. Persons who are under lay-off without any payment from the establishment but get some benefits from other sources because of the lay-off will not be considered as worker.
21. MPs and MLAs will be 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.
22. 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 and may be given the industry code 96903 as per NIC-2008.
23. 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.

Frequently Asked Questions on Schedule 10 (Employment and Unemployment)

| references to the schedule | | | | | |
|----------------------------|-------|------|------|---|---|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 1. | 3 | 2/3 | - | Two persons of a household are carrying out economic activities. Out of the two persons, one member is not contributing anything to the household expenditure. In such cases, whether principal industry/occupation of the household will be decided on the basis of the contribution of earnings to household expenditure? | The contribution to the household expenditure by the household members engaged in economic activities is not a criterion for determining household principal industry/occupation. The criterion to be followed is the earnings from economic activities by the household members. |
| 2. | 3 | 2,3 | - | Whether industry/ occupation description is to be copied from NIC/NCO booklet. | No. NIC/NCO description is to be given, in as specific terms as far as possible. |
| 3. | 3 | 2,3 | | A single member household is engaged in free collection of firewood for own consumption. The household is having no other economic activity. Can it be considered for determining the principal industry/occupation of the household? | To determine the household principal industry and occupation, the general procedure is to list all the occupations pertaining to economic activities pursued by the household members during the one year preceding the date of survey. Out of the occupations listed, that one which fetched the maximum earnings would be considered as the principal household occupation. Thus in this case also, free collection of firewood for own consumption, will be considered for determination of household principal industry and occupation. |
| 4. | 4 | - | 6 | 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. |

| references to the schedule | | | | | |
|----------------------------|-------|------|------|--|--|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 5. | 4 | - | 7 | 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. |
| 6. | 4 | - | 7 | What level of educational code should be given to company secretary, chartered accountant and cost accountant? | Code will be 13. |
| 7. | 4 | - | 8 | In which category (general or technical) of education MBA degree will be considered. | MBA degree will be considered as technical degree and code 02 will be given in column 8. However, for determining the appropriate code in column 7 (general educational level), highest level of education, considering general/ technical/ vocational education, successfully completed by the household member will be considered. |
| 8. | 4 | - | 9 | 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 14 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. |
| 9. | 4 | - | 9 | If a person appears in examination as private student without attending class, then whether he/she will be considered as currently attending? | Those who are registered for any course or enrolled in an educational institution and are allowed to appear in the examination, will be considered as currently attending. |
| 10. | 4 | - | 12 | Whether R.T.C. training of NSSO will be considered as vocational training? | No. |
| 11. | 4 | - | 12 | Whether Law Courses, Hotel Management, MCA, MBA, etc. courses will be covered under vocational training? | Such courses will not be considered as vocational training. |

| references to the schedule | | | | | |
|----------------------------|-----------------|------|---------|--|---|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 12. | general | | | What is the coverage of household members in Blocks 4, 5.1, 5.2, 5.3, 6 and 7? | <p>1. Coverage of block 4: In block 4 all the household members will be listed.</p> <p>2. Coverage of block 5.1: In block 5.1 all the household members listed in block 4 will be covered.</p> <p>3. Coverage of block 5.2: This block will be filled in for all those household members who have carried out some economic activity in the subsidiary capacity, i.e., for those with code 1 in column 7 of block 5.1</p> <p>4. Coverage of block 5.3: In block 5.3 all the household members listed in block 4 will be covered.</p> <p>5. Coverage of block 6: This block will be filled in only for those who are employed in the principal status or in the subsidiary status, i.e., for those with codes 11-51 in column 3 of block 5.1 or block 5.2.</p> <p>6. Coverage of block 7: This block will be filled in for all the household members of the household classified as engaged in domestic duties according to usual principal status, i.e., for those with usual principal status codes 92 or 93 in column 3 of block 5.1.</p> |
| 13. | 5.1/5.2/ 5.3 | - | 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. |

| references to the schedule | | | | | |
|----------------------------|-----------------|------|---------|--|---|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 14. | 5.1/ 5.2/5.3 | - | 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. |
| 15. | 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. |
| 16. | 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. |
| 17. | 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 reported in such cases? | Since the person is working voluntarily without remuneration, he/she will not be treated as worker. His usual principal activity status code will be 97. |
| 18. | 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. |
| 19. | 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. |

| references to the schedule | | | | | |
|----------------------------|-------|------|------|---|---|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 20. | 5.1 | - | 9 | For a car driver employed by private households what enterprise type code is to be given? | Code 8 will be given |
| 21. | 5.1 | - | 10 | An enterprise uses the electricity for Xeroxing/computer job work. Which code will be given: 1 or 2? | Code 1 will be recorded in such cases. |
| 22. | 5.1 | - | 11 | 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. |
| 23. | 5.1 | - | 11 | 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. |
| 24. | 5.1 | - | 13 | If a domestic servant working under several employers fell sick and did not attend her duties, some of the employers have not paid the salary for that period and some of the employers paid the salary. What code should be given for such domestic servant? | If the majority of the employers are paying salary during the days of absence from duty, code 1 may be recorded. |
| 25. | 5.1 | - | 14 | 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. |
| 26. | 5.1 | - | 16 | For regular salaried persons with code 31 in column 3, who is seeking better employment, is any code from 1 to 5 applicable? | The period for which the person was seeking better employment will not be considered in this column. |

| references to the schedule | | | | | |
|----------------------------|-------|------|--------|--|---|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 27. | 5.1 | - | 16 | If no work is available in a village due to lean season, how to determine whether a person is available for work? | If a person reports that he/she was available for work, irrespective of whether work was available or not in the village, the period of such availability is to be determined and recorded. |
| 28. | 5.2 | - | 1 & 2 | Whether all the rows from block 5.1 will be copied or only those with code '1' in column 7 of block 5.1. | Only those with code '1' in column 7 of block 5.1 will be copied in block 5.2 |
| 29. | 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 5.2, which one of the two should be considered. | The activity which is appearing first in the code list in terms of status and industry taken together will be considered in such cases. |
| 30. | 5.2 | - | 8 | A person is a LIC agent. What should be his enterprise code? | Code will be 1 or 2 as the case may be. |
| 31. | 5.3 | - | 4 | What will be the current daily activity status of a regular wage/salaried employee during leave? | For regular salaried /wage employee, activity status code 71/72 may be given for the days he/she was on leave depending on the reason. However, code 31 will be recorded for holidays. |
| 32. | 5.3 | - | 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 due to strike. What current activity status code is to be given in this case? | Code 62 is applicable in this case. |
| 33. | 5.3 | - | 7-13 | For casual wage paid employee, what status code (col.4) is to be reported for the day on which the enterprise, in which he is engaged, is closed and he has not done any other work or available for work? | For casual workers, his activity status for such days will be determined depending on his activities during those days. |

| references to the schedule | | | | | |
|----------------------------|-------|------|--------|--|---|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 34. | 5.3 | - | 7 to14 | One person is doing two economic activities, each with duration of 4 hours in a day. How to report intensity of activity in such situations? | In such cases, intensity of activity 0.5 is to be given to each of these two activities. |
| 35. | 5.3 | - | 4 & 20 | A retired person is working without honorarium as Secretary in co-operative society. What status code is to be recorded in 4 & 20? | The person will not be considered as worker of the co-operative society. For such persons, the activity status will be determined depending on the actual situation applicable for the person. However, in case of a pensioner code 94 will be entered. |
| 36. | 5.3 | - | 14 | If the intensity of two activities is same say 3.5 & 3.5, in col.20 (status), which activity will get the priority? | Out of two activities, if one is work activity code (11-72) that will get priority. If none of these are work activity codes, but one of these is either 81 or 82 and another is out of labour force codes (91 to 98), code 81 or 82 will get priority. If none of these are the codes related to labour force (11-82), the code appearing first in the code list will get priority. However, if both the codes relate to work activity code (11-72), the code appearing first in the code list will get priority. Similarly, if code 81 is with intensity 3.5, and code 82 is also with intensity 3.5, code 81 will be recorded. |
| 37. | 5.3 | - | 19 | If a person had worked only half an hour during the last seven days, what entry will be made here? | Column 19 will be filled in for the persons with status code 11-72 recorded in column 4 against any serial no. of activity. It may be noted that those who have worked for only half an hour during the last 7 days will not get any work status code (codes 11 to 72) in column 4 and column 19 will be left blank for such persons. |

| references to the schedule | | | | | |
|----------------------------|-------|------|------|--|--|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 38. | 6 | - | 5 | If a person is pursuing both full time and part time work, whether he will be treated as engaged in full time work or part time work? | In such cases, he/she will be treated as engaged in full time work. |
| 39. | 6 | - | 7 | Whether there will be entry in column 7 if there is entry is 1 in column 6.? | There may be entry in column 7 even if entry is 1 in column 6. |
| 40. | 6 | - | 16 | What is the nature of employment for self employed persons? | Code 1 is to be recorded, if he/she is, in normal course, likely to continue in the same employment. Else code 2 will be recorded. |
| 41. | 6 | - | 16 | A watchman has been working in an apartment for 10 years. During the course of probing, with regard to the question of his permanency, he replied that he did not know how long he would continue in the job as it depends upon the mercy of the employer. How should we treat him for column 16 of block 6 (nature of employment)? Whether the nature of employment considered as permanent or temporary? | Though the watchman replied that he was uncertain of his employment and did not know about his nature of employment (i.e., whether temporary or permanent), he will be considered as permanent, if the person is, in normal course, likely to continue in the same employment. |
| 42. | 7 | 11 | - | Whether grinding done through electrical equipments (such as, mixer and grinder) is to be considered for this item. | No. |
| 43. | 7 | 19 | - | For item 19 (bringing water from outside the village?), whether village means revenue boundary of the village? | Here village refers to Census village. |
| 44. | 7 | 20 | - | If the distance is 400 metres, what entry would be recorded in the item? | Entry 0 will be reported with suitable remarks. |
| 45. | 7 | 25 | - | If a household member needs more than one assistance, how the code is to be made? | If more than one code is found applicable, the code appearing first in the code list will be recorded. |

| references to the schedule | | | | | |
|----------------------------|---------|------|------|--|--|
| sl. no. | block | item | col. | question | clarifications |
| (1) | (2) | (3) | (4) | (5) | (6) |
| 46. | general | | | What are the different broad activity statuses into which the members of the selected households are classified? What is the relationship between the broad activity statuses? | <p>Each member of the selected households is classified into a unique broad activity status in the employment-unemployment surveys for collection of further detailed information. The broad activity statuses are: employed, unemployed and not in labour force.</p> <p>Accordingly, the population, can be classified into three mutually exclusive and exhaustive categories: employed, unemployed and not in the labour force.</p> <p>The different broad activity status components into which the population can be split has been presented below graphically;</p> <p>This relationship between the broad activity statuses may be expressed as:</p> <p>(i) labour force = employed + unemployed</p> <p>(ii) population = labour force + not in the labour force.</p> |
| 47. | general | | | What are the key employment-unemployment indicators? | The key employment-unemployment indicators are given the Box 1 below: |

Box 1: The architecture of key employment-unemployment indicators

| activity profile* | | key indicators |
|--|---------------------|---|
| activity status (code) | category of persons | |
| 11, 12, 21, 31, 41, 42, 51, 61, 62, 71, 72 | workers | 1. Labour Force Participation Rate (LFPR): $\frac{\text{no. of employed persons} + \text{no. of unemployed persons}}{\text{total population}}$ 2. Worker Population Ratio (WPR): $\frac{\text{no. of employed persons}}{\text{total population}}$ 3. Proportion Unemployed (PU): $\frac{\text{no. of unemployed persons}}{\text{total population}}$ 4. Unemployment Rate (UR): $\frac{\text{no. of unemployed persons}}{\text{no. of employed persons} + \text{no. of unemployed persons}}$ |
| 81, 82 | unemployed | |
| 91, 92 93, 94, 95, 97, 98 | not in labour force | |

Note: *: Activity status codes, 42, 61, 62, 71, 72, 82, and 98 are used only in *the current status* (in CWS and CDS) and the remaining activity status codes are used in both *usual in current status*

The definitions of the key indicators are given below:

Labour force participation rate (LFPR): LFPR is defined as the number of persons/ person-days in the labour force per 1000 persons /person-days

Worker Population Ratio (WPR): WPR defined as the number of persons/person-days employed per 1000 persons/person-days.

Proportion Unemployed (PU): It is defined as the number of persons/person-days unemployed per 1000 persons/person-days.

Unemployment Rate (UR): UR is defined as the number of persons/person-days unemployed per 1000 persons/person-days in the labour force (which includes both the employed and unemployed).

Annexure-1

Examples of some formal vocational trainings

| Name of the trade/training course | Duration | Educational qualification required |
|--|-----------|---|
| ADVANCE WELDING | 12 Months | 8th standard passed |
| BOOK BINDER | 12 Months | 8th standard passed |
| CARPENTRY | 12 Months | 7th standard passed |
| CUTTING & SEWING | 12 Months | 8th standard passed |
| EMBROIDERY & NEEDLE WORK | 12 Months | 8th standard passed |
| FASHION DESIGN | 12 Months | 10th standard passed |
| FITTER | 24 Months | 10th standard passed |
| SURVEYOR | 24 Months | 10th standard passed with Science & Maths |
| TELEPHONE OPERATOR CUM RECEPTIONIST | 12 Months | 10th standard passed |
| SANITARY HARDWARE FITTER | 6 Months | 8th standard passed |
| TOURIST GUIDE | 6 Months | 12th standard passed |
| DENTAL LABORATORY TECHNICIAN | 24 Months | 10th standard passed and typing speed of 30 WPM in English / Hindi / any local language |
| TOOL & DIE MAKER | 36 Months | 10th standard passed with Science & Maths |
| HANDICRAFT | 12 Months | 7th standard passed |
| HOSIERY & KNITTING | 12 Months | 7th standard passed |
| SHORT TERM COMPUTER COURSES (DATA ENTRY OPERATOR) | 3 Months | 10th standard passed with English |
| SHORT TERM COMPUTER COURSES (DESK TOP PUBLISHING OPERATOR) | 3 Months | 10th standard passed with English |
| MEDICAL TRANSCRIPTION | 6 Months | 12th standard passed with Biology/ Physiology as major subject. Knowledge of English Language is essential. |
| MECHANIC WATCH & CLOCK | 12 Months | 10th standard passed |

Annexure-2

An indicative list of specific areas and the broad area covering the specific area(s) associated with formal vocational training to be used for identification of ‘field of training’

Broad area: Mechanical engineering trades (01)

Specific areas:

- Blacksmithy
- Denting & Painting
- Draftsman (mechanical)
- Drilling and Boring
- Fitter
- Forger and Heat Treater
- Foundry man
- Grill Maker
- Grinder
- Instrument Mechanic
- Lock Repairer and Key Maker
- Machinist
- Mechanic (Agriculture machinery)
- Mechanic Bio-gas
- Mechanic Farm Machinery
- Mechanic machine tools Maintenance
- Mechanic (Watch and Clock)
- Millwright/Maintenance Mechanic
- Pattern Maker
- Pump Operator cum mechanic
- Repair Cart, Cycle, Cycle Rickshaw
- Repairer–Umbrella, Stove, Cooker etc.
- Repair Watch
- Sheet Metal Worker
- Tools & Die Maker
- Turner
- Upholster
- Rural Engineering Technology
- Moulder

Broad area: Electrical and electronic engineering trades (02)

Specific areas:

- Audio Visual Technician
- Battery Maintenance
- Cable Operator
- Choke Making
- Electrician
- Electroplater
- Fitter electronics
- Radio & TV Repairer
- Refrigerator & Air conditioner repairer
- Repair Fans, Cooler
- Servicing Phones, Tape recorder
- Stabilizer Assembling
- Transformer Coil Rewinding
- Welder
- Wireless Mechanic
- Wireman
- Mechanic-cum-operator electronics communication system

Broad area: Computer trades (03)

Specific areas:

- Computer Operator & Programme Assistant
 - Data Entry Operator
 - Electronic System Maintenance
 - Information Technology
 - Office Assistant
 - Phototype Setter & Desktop Publishing Operator
 - Technician Computer
 - Desk top publishing operator
 - Data preparation & Computer Software
 - Networking Technician
 - Computer repairing
-

Broad area: Civil engineering and building construction related works (04)

Specific areas:

- Bar Bending
- Brick Making
- Carpenter
- Cement Block and Article Making
- Colour Washing, Distemper, White Wash
- Construction worker
- Draftsman (Civil)
- Ferro Cement Work
- Floor Furnishing and Grinding
- Mason
- Painter
- Plumber
- Polishing of Furniture
- Soil Testing
- Surveyor
- Tiles Work
- Waste Water Disposal System
- Water Shed Management
- Wood Work
- Building and Road Construction
- Building Maintenance

Broad area: Chemical engineering trades (05)

Specific areas:

- Candle making
- Instrument Mechanic (Chemical Plant)
- Laboratory Assistant (Chemical Plant)
- Maintenance Mechanic (Chemical Plant)
- Match Box & Sticks making
- Pest Control Operator
- Phenyl making
- Plastic Processor
- Soap & Detergent Maker
- Soap making
- Vegetable Dyeing
- Attendant operator (chemical plant)
- Agricultural Chemicals
- Ceramic Technology

Broad area:Leather related work (06)

Specific areas:

- Flaying and Carcass

- Leather Goods Maker
- Manufacture of Footwear
- Shoe/Chappal making
- Tanning
- Tanneries
- Making of leather & Rubber sports goods
- Rubber mats making

Broad area: Textile Related work(07)

Specific areas:

- Bleaching, Dyeing and Calico Printing
- Cutting & Tailoring
- Cotton Classifier
- Dress Designing
- Dress Making
- Embroidery & Needle Work
- Fabric Painting
- Fabric Printing
- Hand Weaving of Newar, Tape and Carpet
- Knitting Technology
- Knitter (Hosiery)
- Knitting with Machine
- Screen Printing
- Spinning (Power looms)
- Textiles Wet Process
- Weaving (Handlooms)
- Weaving Silk & Woolen Fabrics
- Structure and Fabrication Technology
- Winder (Textile)

Broad area: Catering, nutrition, hotels and restaurant related work (08)

Specific areas:

- Baker & Confectioners
- Catering and Restaurant Management
- Cooking – Selling networking
- Craftsman Food Production
- Drying and Dehydration of vegetables
- Food Processing (Papad, Achar etc.)
- Fruit and Vegetable Processing
- House keeping
- Hotel Clerk or Front office Assistant
- Preservation of Fruits & Vegetables
- Steward

Broad area: Artisan/ craftsman/ handicraft and cottage based production work(09)Specific areas:

- Aggarbati Making
- Bee keeping and related skills
- Cane & Bamboo work
- Chalk Making
- Coir Products
- Crewel Work
- Flower making
- Glass Painting
- Gur Making
- Handmade paper work
- Jute Work
- Oil making skills
- Packing Skills
- Pottery Making
- Toy Making

Broad area: Creative arts/ artists (10)Specific areas:

- Dance
- Folk Arts
- Music Instrumental
- Music Vocal
- Oil Painting
- Interior Design
- Classical Dance (Kathak)
- Commercial Art

Broad area: Agriculture, crop production related skills and food preservation work(11)Specific areas:

- Agricultural Chemicals
- Crop cultivation/Production
- Food Preservation
- Medicinal and Aromatic Plant industry
- Plant Protection
- Seed Production Technology
- Plantation Crops & Management
- Vegetable Seed Production
- Repair & Maintenance of Power Driven Farm Machinery
- Agro Based food Industries (Crop based)
- Post Harvest Technology
- Soil Conservation
- Sugar Technology

Broad area: Non-crop based agricultural and other related activities(12)Specific areas:

- Apiculture
- Dairying
- Fish Farming
- Fish Processing
- Fish seed Production
- Floriculture
- Poultry Farming
- Sericulture
- Sheep and Goat Husbandry
- Inland Fisheries
- Swine Production
- Agro Based Food Industries (Animal based)
- Fishing Technology
- Horticulture

Broad area: Health and paramedical services related work (13)Specific areas:

- Health Sanitary Inspector
- Health Worker
- Hospital Documentation
- Hospital House Keeping
- Medical Laboratory Assistant
- Medical Transcription
- Multi Rehabilitation Worker
- Nursing
- Ophthalmic Technician
- Physiotherapy and Occupational therapy
- X-Ray Technician
- Health Care and Beauty Culture
- Bio Medical Equipment and Technician
- Dental Hygienist
- Dental Technician
- ECG and Audiometric Technician
- Nutrition and Dietetics
- Auxiliary Nurse and Midwives
- Primary Health Worker
- Physical Education

Broad area: Office and business related work (14)Specific areas:

- Accountancy & Auditing
- Basic Financial Service
- Banking
- Cooperation
- Export-Import Practices and Documentation
- Insurance
- Industrial Management
- Marketing and Salesmanship
- Office Management
- Purchasing & Store Keeping
- Receptionist
- Secretarial Practice
- Stenography
- Taxation Practices/taxation Laws/
Tax Assistant

Broad area: Driving and motor mechanic work (15)Specific areas:

- Mechanic (Diesel)
- Mechanic (Motor Vehicle)
- Mechanic tractor
- Repairer (Scooter, Car)
- Driving motor vehicle
- Motor vehicle body builder

Broad area: Beautician, hairdressing and related work (16)Specific areas:

- Beautician
- Barber/ Hair Cutter / Dresser
- Beautician Assistant
- Hair and Skin Care
- Hair Dresser
- Health and Slimming Assistant

Broad area: Work related to tour operators/ travel managers (17)Specific areas:

- Tour Operators
- Travel Managers
- Tourism and Travel Techniques
- Tourist Guide

Broad area: Photography and related work (18)Specific areas:

- Cameraman
- Photography

Broad area: Work related to childcare, nutrition, pre-schools and creche (19)Specific areas:

- Child care & Nutrition
- Pre-Play School Management
- Preschool & Creche Management

Broad area: Journalism, mass communication and media related work (20)**Broad area: Printing technology related work (21)**Specific areas:

- Engraver
- Hand Compositor
- Offset Machine Minder
- Photocopying
- Plate Maker (Lithographic)
- Printer
- Retoucher Lithographic

Broad area: Other (99)Specific areas:

- Book Binder
- Call Centre Assistant
- Entrepreneurship skills
- Financial Skills
- Gardening
- Maintenance Library
- Marketing skills
- Office Gum Paste making
- Sign Board Painting
- Tat Patti Making