

NATIONAL SAMPLE SURVEY  
FIFTYFIRST ROUND : JULY 1994 - JUNE 1995  
INSTRUCTIONS TO FIELD STAFF : VOLUME - I  
DESIGN, CONCEPTS, DEFINITIONS AND PROCEDURES

SECTION ONE

GENERAL

1. Introduction :

1.1 The National Sample Survey (NSS), set up by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods will complete its fiftieth round field operations in June 1994. The fiftyfirst round will start from July 1994 to be completed by June 1995.

1.2 The fiftyfirst round of NSS will be devoted to collection of data on economic and operational characteristics of small manufacturing and repairing enterprises in the unorganised sector. The field operations of the round will commence in July 1994 and continue up to June 1995.

1.3 During 1977, the first all-India Economic Census was conducted by the Central Statistical Organisation (CSO) in collaboration with the state Statistical Bureaus with the object of collecting some basic information about non-agricultural enterprises employing at least one hired worker (hereinafter referred to as 'establishments'). Following this census, small establishments and enterprises not employing any hired workers [and hence called 'own account enterprises' (OAE)] engaged in manufacturing and repairing activities were surveyed on sample basis in the thirtythird round of NSS during 1978-79.

1.4 A second all-India economic Census was conducted in 1980 along with the house listing operations of the 1981 population census. This census had a bigger coverage than the earlier one since it covered, inter alia, the own-account enterprises also. In presenting the results, the establishments were further split into two categories as (i) Directory Establishments (DE) and (ii) Non-directory Establishments (NDE), the difference being that the former employed a total of six or more workers while the latter employed a total of five or less number of workers. Thus, in all, three categories of enterprises were formed viz., (i) OAE's (ii) NDE's and (iii) DE's in the second Economic Census. As a follow-up to the Second Economic Census, OAE's and NDE's engaged in manufacturing and repairing activities (i.e., OAME's and NDME's respectively) a/ were surveyed in the fortieth and fortyfifth rounds of NSS during July 1984-June 1985 and July 1989-June 1990 respectively. The Directory Manufacturing Establishments (DMEs) were surveyed during October 1984-September 1985 and October 1989 to September 1990 respectively by a special staff (Assistant Superintendents only) of the Field Operations Division (F.O.D) of the NSSO under the technical direction of the CSO.

1.5 A third all-India Economic Census was conducted in 1990 along with the house listing operations of the 1991 Population Census following the same concepts and definitions as in the

second all-India Economic Census conducted in 1980 referred

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a/ OAME's : own account manufacturing enterprises  
NDME's : non-directory manufacturing establishments

A - 2

General

Subject coverage

above. As a follow-up to the Economic Census 1990, the first integrated survey on unorganised manufacturing and repairing enterprises covering OAME's/NDME's/DME's will be undertaken during the fiftyfirst round of NSS (July 1994-June 1995) under the technical guidance of NSSO as per the decision taken in the fifty-eighth meeting of its Governing Council.

## 2. General Particulars of the Survey

2.1 Subject Coverage : The manufacturing sector is an important segment of the Indian Economy. Unfortunately, statistics on regular basis, giving, by location, the number of enterprises, employment, input, output, value added, etc., are not available for the unorganised part of this sector. AS per National Accounts Statistics released by C.S.O. in 1991, percentage share of manufacturing sector (organised & unorganised taken together) in the NDP at factor cost for 1988-89 is 19.6% of which 11.6% is accounted for by organised part and the rest (i.e., 8.0%) by unorganised part. As per provisional results of NSS 45th round survey (July 1989-June 1990), there were an estimated 157.3 lakh manufacturing and repairing enterprises (OAME's and NDME's) in the country, 120.2 lakhs being in the rural areas and 37.1 lakhs in the urban areas. As per the provisional results of the survey on DMEs conducted by CSO during October 1989 - September 1990, there were an estimated 6.2 lakh directory manufacturing establishments (DME's) in the country, 2.3 lakh being in the rural areas and 3.9 lakh in the urban areas. The fiftyfirst round of NSS will cover all OAME's, NDME's and DME's as mentioned in para 1.5 above. These enterprises/establishments are those which are covered by the two-digit codes (called divisions) 20 to 39 and 97 under the revised National Industrial Classification of All Economic Activities 1987 (henceforth briefly referred to as NIC, 1987). Enterprises which are registered under Sections 2m (i) and 2m (ii) of the Factories Act, 1948 (i.e. enterprises employing 10 or more workers using power and those employing 20 or more workers without using power) and bidi and cigar manufacturing enterprises registered under bidi and cigar workers (condition of employment) Act, 1966 will not be covered in this survey. The enterprises mentioned above are supposed to be covered under Annual Survey of Industries(ASI).The survey of manufacturing enterprises will constitute the main enquiry of the fiftyfirst round. In addition, the annual consumer expenditure enquiry will also be carried out in a thin sample of four households in each sample village/block. The rural retail price enquiry will also be continued.

2.2 Period of survey : As mentioned earlier fiftyfirst round will be of one year duration starting on 1st July 1994 and

ending on 30th June 1995.

2.3 Geographical coverage : The survey covers the whole of the Indian Union excepting (i) Ladakh and Kargil districts of Jammu & Kashmir, (ii) 768 interior villages of Nagaland (out of a total of 1232 villages) situated beyond five kilometres of the bus route and (iii) 195 villages in Andaman and Nicobar Islands (out of a total of 549 villages) which remain inaccessible

A - 3

General

Sample Design

throughout the year. However, in the case of Jammu & Kashmir, the districts Anantnag, Pulwama, Srinagar, Badgam, Baramulla and Kupwara in addition to Ladakh and Kargil districts are kept outside the geographical coverage of central sample.

2.4 Schedules of enquiry : The following Table lists the schedules of enquiry for the current round :-

Table 1 : Schedules to be canvassed in NSS 51st round :

srl. no.	schedule no.	title	sector
(1)	(2)	(3)	(4)
1.	0.0	List of households and non-agricultural enterprises	rural and urban
2.	2.2	Unorganised manufacture : directory establishments, non-directory establishments and own account enterprises	rural and urban
3.	1.0	Consumer expenditure	rural and urban
4.	3.01	Rural Retail Prices	rural

2.5 Programme of work : The survey period of this round is divided into four sub-rounds of three months each as follows :-

sub-round no.	period
1	July-September 1994
2	October-December 1994
3	January-March 1995
4	April-June 1995

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

Nagaland.

2.6 Participation of States : In this round all the states and union-territories excepting Andaman & Nicobar Islands, Dadra & Nagar Haveli and Lakshadweep are expected to participate at least on an equal matching basis.

### 3. Sample Design

3.1 General : As usual, a stratified two-stage sampling design has been adopted. The first-stage units are the villages (Panchayat wards in case of Kerala) in the rural areas and urban

A - 4

General

Sample Design

blocks in the urban areas. The second-stage units are the enterprises for the survey of unorganised manufacture and households for the survey on household consumer expenditure.

3.2 Sample Size (FSU's) : The total sample size (i.e. total number of villages and blocks to be surveyed) at all-India level has been fixed as 14,072 for the central sample and 16,080 for the state sample. For state-wise sample size, reference may be made to Table 2.

3.3 Allocation of sample FSU's between rural and urban sectors : State/u.t. level total sample size (i.e. total number of villages and blocks to be surveyed) has been allocated between the rural and urban sectors in proportion to population as per 1991 census with double weightage to the urban sector. All these allocations are rounded off to multiples of 8 in order to facilitate further allocation among different sub-sample and sub-round combinations. Table 2 gives the distribution of sample FSU's by state x sector.

#### 3.4 Rural Sector

3.4.1 Sampling Frame : List of villages showing numbers of OAME's, NDME's and DME's as per 1990 Economic Census has been used as the sampling frame for the selection of fsu's in the states/u.t.s wherever such list is available. For Arunachal Pradesh, however, list of villages as per 1991 population census frame has been used as the sampling frame for selection of sample 'nucleus' villages around which clusters are to be formed (refer to para 2.0.8 for further details). For the state of Kerala, list of panchayat wards, giving count of OAME's/NDME's/DME's at panchayat ward level as per 1990 Economic Census, has been used as the sampling frame for selection of sample panchayat wards. For the other states/u.t.s (including Jammu & Kashmir where 1991 census/1990 Economic Census were not conducted), lists of villages as per population census (1981 census for J & K and 1991 census for others) frames have been used as the sampling frame.

3.4.2 Stratification : Each district generally forms a separate stratum. However, for Gujarat where NSS regions cut across some district boundaries, parts (viz. group of taluks) of each such district belonging to different NSS-regions from separate strata. If any district (or part thereof lying in an NSS region in case

of Gujarat) has a small number of manufacturing enterprises, it is clubbed with the neighbouring district(s) within the same NSS region to form a stratum to ensure minimum allocation of 8 villages at the stratum level as far as possible.

3.4.3 Sub-strata : To net adequate numbers of DME's and NDME's in the sample, the fsu's in a stratum are grouped into 3 sub-strata as follows :

- (a) sub-stratum 1 consisting of fsu's having at least one DME;
- (b) sub-stratum 2 consisting of those of the remaining fsu's in the stratum which have at least one NDME; and
- (c) sub-stratum 3 consisting of all the residual fsu's in the stratum having no DME or NDME or no information

A - 5

General

Sample Design

about numbers of DME/NDME/OAME due to incompleteness of the available EC frame.

For states/u.t.s where population census frame has been used for selection of fsu's, there is no sub-stratification as above. All the fsu's in a stratum of these states/u.t.s are, however, identified with sub-stratum 3.

3.4.4 Allocation of sample fsu's among strata and sub-strata : Rural sample size for a state/union territory has been allocated to the constituent strata/sub-strata in proportion to 16 DME + 4

NDME + OAME (i.e., weighted sum of the numbers of manufacturing enterprises in the ratio 16:4:1) as per 1990 EC (or in proportion to population if EC frame is not available) in the respective stratum/sub-stratum. The allocation at sub-stratum level has been made as a multiple of 2 to enable equal allocation for the two sub-samples and the same at stratum level has been made as multiples of 8 as far as possible to enable equal allocation for each sub-sample and sub-round combination.

3.4.5 Selection of fsu's: Sample fsu's for each state/u.t. have been selected in the form of two independent sub-samples from each stratum x sub-stratum using circular systematic sampling with probability proportional to size. The size is as follows :-

Case I : States/u.t.s where 1990 EC frame is used :

Size = number of DME's/NDME's/OAME's in the fsu in case of sub-stratum : 1/2/3 (after assigning size '1' to the fsu's of sub-stratum 3 having no OAME or no information about number of enterprises due to incompleteness of the frame ).

Case II : Other states/u.t.s :

- (a) Arunachal Pradesh : size = 1 for each fsu.

(b) Jammu & Kashmir : size = population in the fsu as per 1981 census.

(c) Remaining states/u.t.s: size = population in the fsu as per 1991 census.

### 3.5 Urban Sector :

3.5.1 Sampling Frame : Latest available lists of Urban Frame Survey (UFS) blocks have been used as the sampling frame. However, for a few newly declared towns of 1991 census for which UFS lists of blocks are not received, lists of 1991 census EBs are used as the sampling frame.

3.5.2 Stratification : Strata are formed within each NSS region by grouping cities/towns according to the fixed population size classes viz.  $p < 0.5$ ,  $0.5 < p < 1$ ,  $1 < p < 5$ ,  $5 < p < 10$  and  $p > 10$  (where  $p$  stands for population of the town in lakhs as per 1991 census). Each city with population 10 lakhs or more forms a separate stratum.

A - 6

#### General

#### Sample Design

3.5.3 Sub-strata : The blocks of a stratum have been grouped into 2 sub-strata as follows :

- (a) sub-stratum 1 consisting of the UFS blocks having area designated as 'industrial area' in the UFS frame; and
- (b) sub-stratum 2 consisting of all the remaining blocks (including EBs of some new towns with no UFS frame available) in the stratum.

3.5.4 Allocation of sample blocks among strata and sub-strata : Urban sample size for a state/u.t. has been allocated to the constituent strata in proportion to  $16 \text{ DME} + 4 \text{ NDME} + \text{OAME}$  (i.e., weighted sum of the number of manufacturing enterprises in the ratio  $16 : 4 : 1$ ) as per 1990 EC (or in proportion to population as per 1991 census if EC frame is not available) in the respective strata.

Further allocation of stratum size to sub-strata are done as under :-

UFS blocks belonging to sub-stratum 1 will be completely enumerated (central and state samples put together) subject to a maximum of 50 per cent of the stratum sample (with the added restriction that the allocation in the sub-stratum is an even number) and the rest of the stratum sample will be allocated to sub-stratum 2. As in the rural sector, allocation of fsu's at the stratum level is made as multiple of 8 as far as possible and that at sub-stratum level as a multiple of 2.

3.5.5 Selection of blocks : Sample blocks have been selected for each stratum x sub-stratum in the form of two independent sub-samples following circular systematic sampling with equal probabilities.

3.6 Hamlet-group/sub-block selection : Large villages/blocks having (i) approximate present population 1200 or more (600 or more for rural areas of Himachal Pradesh, Sikkim and Punch, Rajouri, Udhampur and Doda districts of Jammu & Kashmir) and/or (ii) approximate present number of non-agricultural enterprises 201 or more, will be divided into a suitable number (say, D) of hamlet-groups (h.g.)/sub-blocks (s.b.) and then the survey will be conducted in 2 h.g.s/s.b.s to be selected in the following manner. The h.g./s.b. having maximum number of manufacturing/repairing enterprises (OAMEs, NDMEs and DMEs combined) will be always selected and allotted a serial number '0'. From the remaining h.g.s/s.b.s, one more h.g./s.b. will be selected at random for survey and allotted a serial number '1'. If the same maximum number of manufacturing/repairing enterprises appears in more than one h.g./s.b., the one among these which contains maximum population will be allotted serial number '0'. In case there is not even a single manufacturing/repairing enterprise in a large village/block, the h.g./s.b. having maximum population will be selected and allotted serial number '0' and from the remaining h.g.s/s.b.s, another one will be selected at random and allotted serial number '1'. For the rules to be followed for determining the value of D and further details, reference may be made to Section Two. When there is no h.g./s.b.

A - 7

General

Sample Design

formation, the whole village/block will be treated as bearing h.g./s.b. serial number '0'. It may be mentioned that there will be no hamlet-group formation in the rural areas of Arunachal Pradesh.

3.7. Sampling of enterprises (for schedule 2.2) : All the manufacturing/repairing enterprises which belong to the category of OAME's, NDME's & DME's and which have operated for at least 30 days (15 days in case of seasonal enterprises) during the last 365 days (excluding those registered under sections 2m(i) and 2m(ii) of the Factories Act, 1948 and bidi and cigar manufacturing enterprises registered under bidi and cigar workers (condition of employment) Act, 1966) will be considered for sampling. All enterprises of different types will be separately arranged by broad industry division codes as per NIC, 1987. For villages/blocks where h.g./s.b. formation is done, this grouping by NIC codes shall be done independently for each of the two selected hamlet-groups/sub-blocks. The required number of sample enterprises will then be selected circularly systematically with a random start from this regrouped frame, separately for OAME's, NDME's and DME's. Number of sample enterprises to be selected from the sample village/block is as follows.

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number of enterprises/establishments to be selected			
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enter- prise type	villages/blocks not requiring hamlet-group/ sub-block	other villages/blocks	
		hamlet-group/sub- block containing	other selected hamlet-group/

formation (identified as srl. no. '0')	maximum no. of manufacturing enterprises (identified as srl. no. '0')	sub-block (identified as srl. no. '1')
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(1)	(2)	(3)	(4)
OAME	4	2	2
NDME	4	2	2
DME	8	6	2
all	16	10	6

3.7.1 FSU's with no h.g./s.b. formation : For villages/blocks not requiring hamlet-group/sub-block formation, shortfall in required number of enterprises of any particular type, if any, will be made up by increasing the quota for the other type(s) in the priority order of the enterprise type(s) : DME/NDME/OAME. For example, if in the frame, there are 10 enterprises for OAME, 7 for NDME and 6 for DME , the number of enterprises to be selected for OAME's,NDME's and DME's will be 4, 6 and 6 respectively. In another case, if in the frame, there are 2 OAME's, 10 NDME's and 10 DME's, the number of enterprises to be selected for OAME's, NDME's and DME's will be 2, 4 and 10 respectively. In yet another example, if there are 10 OAME's, 5

A - 8

General

Sample Design

NDME's and 6 DME's in the frame, then the no. of enterprises to be selected for OAME, NDME & DME will be 5, 5 & 6 respectively.

3.7.2 FSU's with h.g./s.b. formation : For villages/blocks with h.g./s.b. formation if there are sufficient number of enterprises considering all enterprise types together (i.e., at least 10 and 6 in h.g./s.b. serial numbers '0' and '1' respectively), the same principle as in para 3.7.1 will be followed for each of columns (3) and (4). However, if there is a shortfall in the required total number of enterprises in one h.g./s.b., the quota for the total number of enterprises of the other selected h.g./s.b. will first be increased to make up for the shortfall. Now for the h.g./s.b. having shortfall, all the enterprises will be selected; the total shortfall will be made up from other h.g./s.b. by selecting additional enterprises in the priority order of DME, NDME & OAME; the selection of requisite no. of enterprises for the second h.g./s.b. will be made thereafter following para 3.7.1.

Some examples showing the number of enterprises to be selected from different types (after adjustment for shortfall) are as follow:

Case I:FSU with no h.g./s.b. formation

enterprise	example 1	example 2	example 3	example 4
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type	-----		-----		-----		-----	
	E	e	E	e	E	e	E	e
OAME	10	4	2	2	10	5	7	7
NDME	7	6	10	4	5	5	2	2
DME	6	6	10	10	6	6	0	0
all	23	16	22	16	21	16	9	9

<E = number of enterprises listed  
e = number of enterprises to be selected >  
Case II: FSU with h.g./s.b. formation

enterprise type	example 1				example 2				example 3			
	-----				-----				-----			
	h.g./s.b.				h.g./s.b.				h.g./s.b.			
	'0'		'1'		'0'		'1'		'0'		'1'	
	E	e	E	e	E	e	E	e	E	e	E	e
OAME	8	6	6	5	5	3	3	3	5	5	1	1
NDME	3	3	0	0	7	7	0	0	1	1	1	1
DME	1	1	1	1	3	3	0	0	1	1	0	0
all	12	10	7	6	15	13	3	3	7	7	2	2

3.8 Sampling of households (for schedule 1.0) : A thin sample of 4 households will be selected from among the households listed in the sample village/block for canvassing the household schedule 1.0 : Consumer Expenditure. In villages/blocks with h.g./s.b.

A - 9

General

Sample Design

formation, two households each will be selected from the two selected hamlet-groups/sub-blocks for this purpose. If, however, there is a shortfall in the required number of households in a particular h.g./s.b., the quota for the other h.g./s.b. shall be increased so that a total of 4 households are selected in all.

The households will be first arranged by their means of livelihood and then the required number of sample households will be selected circular systematically with a random start from the village/block/h.g./s.b. as the case may be.

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Table 2 : Distribution of sample villages and blocks for NSS 51st round.

state/u.t.	number of sample villages/blocks			
	central sample		state sample	
	rural	urban	rural	urban
	(1)	(2)	(3)	(4)
1. Andhra Pradesh	568	424	568	424
2. Arunachal Pradesh	144*	32	144*	32
3. Assam	392	96	392	96
4. Bihar	824	256	824	256
5. Goa	24	32	32	48
6. Gujarat	272	280	544	560
7. Haryana	128	80	256	160
8. Himachal Pradesh	240	48	240	48

9. Jammu & Kashmir	304	192	608	384
10. Karnataka	304	272	304	272
11. Kerala	320**	224	320**	224
12. Madhya Pradesh	592	360	592	360
13. Maharashtra	488	608	488	912
14. Manipur	112	80	224	160
15. Meghalaya	128	64	128	64
16. Mizoram	64	112	64	112
17. Nagaland	112	48	112	144
18. Orissa	384	120	384	120
19. Punjab	248	216	248	216
20. Rajasthan	360	216	360	216
21. Sikkim	136	24	136	24
22. Tamil Nadu	488	512	488	512
23. Tripura	208	80	208	80
24. Uttar Pradesh	1048	520	1048	520
25. West Bengal	520	400	520	400
26. Andaman & Nicobar Is.	72	48	-	-
27. Chandigarh	8	16	-	32
28. Dadra & Nagar Haveli	16	8	-	-
29. Daman & Diu	8	8	8	8
30. Delhi	8	136	24	408
31. Lakshadweep	8	8	-	-
32. Pondicherry	8	16	8	16
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All India	8536	5536	9272	6808
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\* 24 nucleus villages

\*\* figures denote number of Panchayat wards.

B - 1

SECTION TWO

SCHEDULE 0.0 :LIST OF HOUSEHOLDS AND NON-AGRICULTURAL ENTERPRISES

2.0.1 Introduction : Schedule 0.0 is meant for listing all the houses, households and non-agricultural enterprises in each sample village/block (or selected hamlet-groups/sub-blocks), for collecting some particulars about them, preparing the sampling frame and recording the details of selection of enterprises and households for schedules 2.2 and 1.0 respectively. Whenever hamlet-group/sub-block selection is required, particulars relating to hamlet-group/sub-block formation and their selection will also be recorded in this schedule.

2.0.2 Unit of survey - first stage sampling unit (fsu) :

(a) Rural : The first stage sampling units (fsu's) in the rural areas are the villages listed in the summary statements of

the 1990 Economic Census (EC) wherever available and 1991 population census list of villages elsewhere. For Arunachal Pradesh, even though 1990 EC frame is available, 1991 population census villages are treated as the fsu's because of the adoption of cluster sampling. For Jammu & Kashmir, villages as per 1981 census are the fsu's as 1991 census was not conducted there. For Kerala, panchayat wards as per 1991 census are the fsu's (Hereinafter, wherever the term 'village' is mentioned in the Instructions Manual, it means panchayat ward for the state of Kerala as an exception). For Nagaland, the villages connected by bus route or situated within 5 kms. of a bus route constitute the fsu's. For Andaman & Nicobar Islands, the villages other than those remaining inaccessible throughout the year are the fsu's.

(b) Urban : The fsu's in the urban sector are the Urban Frame Survey (UFS) blocks. However, for some of the newly declared towns of 1991 census for which UFS lists of blocks are not available, 1991 census EBs are the fsu's.

The different types of frames used for selection of fsu's are indicated by 'frame code' in the sample list.

2.0.3 On arrival at a sample village/block, the investigator is to ascertain first the boundaries of the village/block mentioned in the sample list. This may be done with the help of patwari, local officials, panchayat authorities, etc.

2.0.4 Number of hamlet-groups/sub-blocks to be formed : As usual hamlet-groups/sub-blocks will be formed in large fsu's. The procedure for forming hamlet-groups (h.g.)/sub-blocks (s.b.) is stated below :

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

B - 2

Hamlet-group/sub-block formation

The number (say, D) of hamlet-groups/sub-blocks to be formed will be the higher value of D obtained from the two charts given in (A) and (B) below.

Chart (A)

approx. present population of the sample village/block	no. of hamlet-groups/sub-blocks to be formed (D)
(1)	(2)

less than 1200	1
1200 - 1599	4
1600 - 1999	5
2000 - 2399	6
2400 - 2799	7

and so on

However, for rural areas of Himachal Pradesh, Sikkim and PUNCH, Rajouri, Udhampur and Doda districts of Jammu & Kashmir, the criterion for forming hamlet-groups will be as follows : for population less than 600, D = 1; for population 600 to 1199, D = 4; for population 1200 to 1499, D= 5; for population 1500 to 1799, D=6; ... and so on.

Chart (B)

approx. present number of non-agricultural enterprises (OAE'S, NDE's and DE's combined) in the sample village/block	no. of hamlet-groups/sub-blocks to be formed (D)
(1)	(2)
less than or equal to 200	1
201 - 400	4
401 - 500	5
501 - 600	6
and so on	

2.0.5 Formation of hamlet-groups : In a large village there exists 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 the census house numbers, or geographically distinct blocks of houses may be treated as 'hamlets'. Large hamlets may be divided artificially to achieve equality of population content for the purpose of hamlet-group formation (refer to para 2.0.5(V) in this context).

The procedure for formation of hamlet-groups is best described, perhaps, by listing sequentially the steps involved. These are as follows :

- (i) Identify the hamlets as defined above.
- (ii) Ascertain approximate present population of each of the hamlets.

B - 3

Hamlet-group/sub-block  
formation/selection

- (iii) Draw a notional map in block 3 showing the approximate locations of the hamlets and number them in a serpentine order starting from north-west corner and proceeding south-wards. While drawing this map, each uninhabited area (non abadi area) of the village will be included as a part of the nearby hamlet so that no area of the village is left out. The

boundaries of the hamlets may be defined with the help of some land marks like canals, foot paths, railway lines, roads, cadastral survey plot numbers, etc. so that it may be possible to identify and locate the geographical boundaries of the hamlet-groups to be formed in that village.

(iv) List the hamlets in block 4 of schedule 0.0 in order of their numbering and indicate their present approximate population content in terms of percentages of the whole village population.

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

(vi) Numbering of the hamlet-groups has to be done next. Hamlet-groups will be numbered serially in col.(1) of block 5 in the order of the first hamlet included in each. Show the numbers in the notional map in block 3. It is possible that the serial numbers of the constituent hamlets of a hamlet-group are not in proper serial order.

2.0.6 Formation of sub-blocks : A sample block requiring sub-block formation will be divided into D sub-blocks each having approximately equal population content. Each sub-block should be a geographically compact areal unit with well defined identifiable boundaries. Draw a notional map in block 3 showing the location and boundary particulars of the sub-blocks and number them in a serpentine order starting from the north-west corner and then proceeding south wards. List the sub-blocks in block 5 of schedule 0.0 in order of their numbering.

2.0.7 Selection of hamlet-groups/sub-blocks : The hamlet-group/sub-block having maximum number of manufacturing/repairing enterprises [the one having highest entry in column (4) of block 5] will be selected invariably. If the same maximum number appears in more than one hamlet-group/sub-block, the one from among these hamlet-groups/sub-blocks having maximum population [viz. highest entry in col. (3), block 5] will be selected. In addition, one more hamlet-group/sub-block will be selected at random out of the remaining hamlet-groups/sub-blocks. These two selected hamlet-groups/sub-blocks will be given serial numbers 0 and 1 respectively in column (6) of block 5. For large villages/blocks not having even a single manufacturing/repairing enterprise, the hamlet-group/sub-block having maximum population will be selected and one more hamlet-group/sub-block will be selected at random and these two selected hamlet-groups/sub-blocks will be given serial numbers '0' and '1' respectively in column (6) of block 5.

B - 4

#### Cluster sampling in Arunachal Pradesh

2.0.8 Cluster sampling in Arunachal Pradesh : Due to the special field difficulties experienced in Arunachal Pradesh, the

procedure of "cluster sampling" will be followed in the rural sector of this state. The procedure to be adopted is described below :-

2.0.8.1 The rural sample list gives the list of so-called 'nucleus' villages. The clusters of villages to be surveyed will be built around the nucleus villages. A cluster will contain a maximum of 6 villages including the nucleus village. If the villages contain large number of households, number of villages in a cluster will have to be reduced. In the reverse case, it will have to be increased. But in no case should it be allowed to exceed 6.

2.0.8.2 The following working procedures are to be followed while forming clusters :-

(a) The maximum distance to be travelled in moving between the sample villages within a cluster may not ordinarily exceed 15 km.

(b) All the households of a village included in a cluster should be listed. That is to say, there will not be any hamlet-group selection.

(c) Starting from the nucleus village, the households of each village within the cluster will be completely listed. For this purpose the villages of the cluster shall be taken up one by one in the order of increasing distance from the nucleus village.

(d) After the households in a village have been completely listed, it should be checked whether the total number of households listed so far in the cluster has reached or exceeded 400. If it is so, no more villages are to be listed.

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

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

2.0.8.4 In the sample list, the serial numbers of the nucleus villages are given with a gap of six. The serial numbers of the remaining villages of each cluster will be given in continuation to that of the nucleus village, in the order in which they are selected. In case the selected number of villages in a cluster is less than six, there will be a gap in the serial numbering of villages between this cluster and the next. Serial number of the nucleus village of the next cluster should not be altered to bridge this gap. The gap may stand as it is. Sample village number will also be given in the same manner. The sub-sample and sub-round numbers of all the villages of a given cluster will be those of the nucleus village.

## Definitions

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

2.0.9 Starting point for listing ; Having fixed the area to be covered, the investigator shall proceed to prepare a list of houses, households and non-agricultural enterprises in the sample village/block (or selected hamlet-groups/sub-blocks) starting from the point where 1990 Economic Census began and following the order of listing in the census. If the census order of house-listing is not available, the houses, etc. will be listed by starting first from the north-west corner of the village/block. In any case care should be taken to list all houses, households and non-agricultural enterprises.

2.0.10 Concepts and Definitions : Some broad information about the households and enterprises shall be collected during listing. These are required mainly to have a count of enterprises of different types and also to identify the enterprises relevant to schedule 2.2. The definitions of the terms required in this connection are given below.

2.0.11 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 may even be vacant.

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

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

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

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

(iv) Foreign national will not be listed, nor their domestic servants, if by definition they belong to the foreign national household. In some cases, however, a foreign national



might have become an Indian citizen for all practical purposes. Such persons will be covered.

B - 6

#### Definitions

(v) Barracks of military and paramilitary forces (like police, BSF, etc.) are outside the survey coverage. However, civilian population residing in their neighbourhood including the family quarters of services personnel are to be covered, for which of course, permission may have to be obtained from appropriate authorities. Orphanages and vagrant houses also will be outside the survey coverage. (It may, however, be noted that the inmates of institutions like orphanages, Nari Niketans, etc. may be taught some crafts and skills and they may be engaged in manufacturing articles of utility for sale. In such cases, the enterprises run by these institutions should be listed).

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

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

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

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

(iv) When one member of a household (say, a son of the head of the household) stays elsewhere, say, in hostel for studies or for any other reason, he shall not be considered as a member of his parent's household.

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

2.0.15 Non-agricultural enterprises : All enterprises covered by industry sections other than '0' of the NIC 1987 are non-agricultural enterprises. Only such enterprises will be considered for listing.

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

B - 7

#### Definitions and Schedule contents

2.0.17 Establishment : Those enterprises which have got at least one hired worker on a 'fairly regular basis' are called establishments. The concept of hired worker is given in para 2.12.8(o).

Establishments have been further sub-divided into two classes :

(i) Non-directory establishment (NDE) and (ii) Directory establishment (DE).

2.0.18 Non-directory establishment (NDE) : An establishment having less than six workers (household and hired taken together) is termed a non-directory establishment.

2.0.19 Directory establishment (DE) : A directory establishment is an establishment which has got six or more workers (household and hired taken together).

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

2.0.21 Non-household enterprise : Non-household enterprises are those which are institutional i.e. owned and run by the public sector (Central or State Government, local self-governments, local bodies, government undertakings, etc.), corporate sector, co-operative societies, other type of societies, institutions, associations, trusts, etc.

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

2.0.23 Manufacture : The term 'manufacture' is used to denote all activities relating to the transformation of materials as well as all types of repair services. Thus all activities covered by industry sections 2 and 3 and division 97 of section 9 of NIC, 1987 will be considered as 'manufacturing' for the purpose of the survey. It is important to note that production of goods for the sole purpose of domestic consumption will not be considered as manufacture.

Only the unorganised part of this manufacturing sector will be covered in the present survey (refer to paras 2.1 and 3.7 of Section One to see the coverage in this context).

2.0.24 The schedule (0.0) : Printed in a booklet form, it

contains the following blocks :

- Block 0 : descriptive identification of sample village/  
block
- Block 1 : identification of sample village/block.
- Block 2 : particulars of field operations.
- Block 3 : sketch map of hamlet-groups/sub-blocks  
formation.
- Block 4 : list of hamlets.
- Block 5 : selection of hamlet-groups/sub-blocks.

B - 8

Blocks 0 & 1

- Block 6 : households and population.
- Block 7 : number of non-agricultural enterprises.
- Block 8 : particulars of sampling of enterprises  
(for sch.2.2).
- Block 9 : particulars of sampling of households  
(for sch. 1.0).
- Block 10 : remarks by investigator.
- Block 11 : comments by supervisory officers.
- Block 12 : list of households and non-agricultural  
enterprises (selected hamlet-group/  
sub-block serial number 0 or 1).
- Block 13 : identification and some important key  
information about the sample village/block.

Whenever one booklet is inadequate to list all the houses, households and non-agricultural enterprises, additional sheets/booklets shall be used and firmly tagged to the main schedule.

Item-wise instructions for the listing schedule are given in the following paragraphs.

2.0.25 Block 0 : This block is meant for recording descriptive identification particulars of the sample village/block. Names of state/u.t., district, tehsil/town and village and also ward/inv. unit/block numbers (or charge/circle/EB numbers as the case may be) are to be copied from the sample list.

2.1 Block 1 : Identification of sample village/block : This block is meant for recording the identification particulars of the sample village/block in terms of codes or numbers . The particulars of all the items will be recorded in the box space(s) provided in the schedule against each item. Each cell (box space) is meant for recording only one digit of the entry. For multiple cells, the right most cell shall be used for recording the unit place digit, the next left cell for the tenth place digit and so on. Most of the items (viz., items 1, 2 and 6 to 14) shall be copied from the sample list. It may be noted that if the no. of digits of the entry to be recorded against an item is less than the no. of box spaces provided, '0' shall be entered in the left hand box space(s). Instructions for the remaining items are given below :

(a) Item 3 : FOD sub-region : This will be a four digit code corresponding to the FOD sub-region to which the sample

village/block belongs. This item may be crossed (X) for the state sample.

(b) Item 15 : Approximate present population : The approximate present population of the whole sample village/block is to be ascertained as per the procedure laid down in para 2.0.4 and is to be recorded here.

(c) Item 16 : Approximate number of non-agricultural enterprises : Approximate number of non-agricultural enterprises (OAEs, NDEs and DEs combined) in the whole sample village/block, as ascertained by local enquiry, may be recorded here.

B - 9

Blocks 1 & 2

(d) Item 17 : Total number of hamlet-groups/sub-blocks formed : The total number (D) of hamlet-groups/sub-blocks to be formed may be decided as per the guidelines given in para 2.0.4 and this value of D may be recorded against this item. If the village/block does not require hamlet-group/sub-block formation, '01' may be recorded against item 17.

(e) Item 18: Survey code : When the original sample village/block is surveyed, code shall be one of 1,2 and 3. Code shall be 1 when it is inhabited and 2 when it is found to be uninhabited. Code shall be 3 when it is treated as a 'zero case'. Examples of zero cases are villages/blocks comprised wholly of barracks of military and para-military forces (like police, BSF, etc.), rural areas declared as urban areas and now forming part of urban frame used for sampling, villages/blocks wholly sub-merged under water in a dam or the whole population evicted because of acquisition of land to construct a new factory or other project work, etc., that is there is practically no chance of habitation in future. Uninhabited villages/blocks will include cases where the entire population has shifted elsewhere due to some natural calamities like fire, cyclone, etc., that is, chance of habitation in future is there. In case the original sample village/block is a casualty and it has been substituted by another village/block which has been surveyed (inhabited, uninhabited or zero case), the survey code will be 4 if the substituted village/block is inhabited, 5 if the substituted village/block is uninhabited and 6 if it is treated as a zero case. If even the substituted village/block could not be surveyed, survey code shall be 7. Code 7 will also be applicable in cases where the originally selected village/block is a casualty and no substitution is attempted.

(f) Item 19 : Reason for substitution of original sample: In all cases where the originally selected sample village/block is a casualty irrespective of whether it has been substituted or not (i.e. for entry any of 4 to 7 against item 18), the reason for its becoming a casualty will be recorded in code against item 19.

Codes are :

sample village/block : not identifiable/traceable .....1  
not accessible .....2  
restricted area (not permitted

to survey) .....	3
others (specify) .....	9

This item may be kept blank for entry 1 or 2 or 3 against item 18. Restricted area under code 3 above will exclude cases of not surveying areas under barracks of military and para-military forces, which will be treated as surveyed as a 'zero case' (Code 3 against item 18).

2.2 Block 2 : Particulars of field operations : Details of field operations shall be recorded in block 2. A new item under sl. no. 2 is introduced in this round. Total time taken to canvass the schedule 0.0 may be recorded in col.3 in hours in one place of decimal against this item.

Canvassing time means the total time taken to fill-in all the blocks of the schedule 0.0 including the time taken for (i) drawing sketch map of hamlet-groups/sub-blocks formation, (ii)

B - 10

Blocks 3 to 5

listing, (iii) selection of sample enterprises/households and (iv) dressing of the schedule, if necessary. However, it should exclude the time taken for (i) reaching the sample fsu, (ii) returning back to the office from the fsu and (iii) duplication of the schedule.

All other items are self-explanatory.

2.3 Block 3 : Sketch map of hamlet-groups/sub-blocks formation:  
 (a) A freehand sketch map of the village/block showing the boundaries of the hamlets and hamlet-groups/sub-blocks formed, is to be drawn in this space so that the hamlet-groups/sub-blocks formed can be identified in the field later 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 will be written down on the map against each hamlet. The hamlet-group number given in column (1) of block 5 to which the hamlet belongs will also be shown against each hamlet within bracket on the right side of the hamlet number. For the urban areas, the sub-block numbers as given in column (1) of block 5 will be noted on the map. For villages/blocks with hamlet-group/sub-block formation, the areas for the two selected hamlet-groups/sub-blocks [with serial numbers 0 and 1 respectively in column (6) of block 5 ] shall be shaded in the map and 'HAMLET-GROUP/SUB-BLOCK SERIAL NUMBER 0/1' may be written prominently over the respective shaded areas.

(b) In the case of rural areas of Arunachal Pradesh, where no hamlet-group selection is to be done, this block will be used to give sketch map of the cluster of villages to which the sample belongs. The map to be drawn in the schedule of each village of a cluster will show the whole cluster along with names of the constituent villages of the cluster . The nucleus village will be indicated by writing 'nucleus village' within bracket below the name of the village in the map and the area corresponding to the nucleus village may be shaded.

2.4 Block 4 : List of hamlets : This block shall be filled in only for the villages requiring hamlet-group formation for the

rural sector. All the hamlets (as defined in para 2.0.5) in the village shall be listed in a specified order (refer to para 2.0.5 for details) and given a running serial number in column (1). Names of hamlets shall be recorded in column (2). The population of each hamlet expressed as percentage to the total village population shall be given in column (3) in whole number. Total of entries in column (3) should add up to 100.

2.5 Block 5 : Selection of hamlet-groups/sub-blocks : This block is meant for recording the details of selection of hamlet-groups/sub-blocks whenever necessary (viz. for large villages/blocks with h.g./s.b. formation).

Hamlet-groups/sub-blocks shall be formed in the usual manner as in all NSS rounds. Reference may be made to paras 2.0.5 and 2.0.6 for formation and numbering of hamlet-groups/sub-blocks. Number of hamlet-groups/sub-blocks(D) to be formed will be decided as per the criteria given in para 2.0.4.

(a) Column (1) : Hamlet-group/sub-block no. : The hamlet-groups/sub-blocks so formed shall be given running serial number starting from 1 in column (1).

B - 11

#### Block 5

(b) Column (2) : Serial numbers of hamlets in the hamlet-group : The serial numbers of the hamlets recorded in column (1) of block 4 constituting each hamlet-group, are to be recorded in column (2) separated by commas. This column is not applicable to the urban sector and shall be left blank in the case of urban blocks.

(c) Column (3) : Percentage of population in the hamlet-group/sub-block : Approximate present population of the hamlet-group/sub-block expressed as percentage (whole number) to total village/block population shall be recorded in column (3). Entries in this column should add up to 100.

(d) Column (4) : Percentage of manufacturing enterprises in the hamlet-group/sub-block : The number of manufacturing enterprises (OAMEs, NDMEs and DMEs taken together) in the hamlet-groups/sub-blocks as percentage to total number of manufacturing enterprises in the village/block, may be ascertained from local knowledgeable persons and recorded in whole number in column (4). The entries of this column should also add up to 100.

(e) Column (5) : Sampling serial no. : The hamlet-group/sub-block having maximum percentage share of manufacturing enterprises (maximum percentage share of population in case the whole village/block does not contain any manufacturing enterprise) shall be given serial number '0' in column (5). The other hamlet-groups/sub-blocks shall be given a running serial number from 1 to (D-1) in the order in which they are listed in block 5.

(f) Column (6) : Order of selection : Two hamlet-groups/sub-blocks shall be selected from the large village/block for the purpose of survey. The hamlet-group/sub-block having maximum

number of manufacturing enterprises (maximum population if the village/block does not contain any manufacturing enterprise)[i.e. entry '0' in column (5)] shall always be selected for survey and given a serial number '0' again in column(6). From the remaining hamlet-groups/sub-blocks [(D-1) in number], one more hamlet-group/sub-block shall be selected at random by using random number table. A random number R may be drawn between 1 and (D-1). Values of (D-1) and R may be recorded at the top of the block. Then the hamlet-group/sub-block whose serial number noted in column (5) [ and not in column (1)] agrees with R, shall also be selected for survey. This selected hamlet-group/sub-block shall be given a serial number '1' in column (6). The hamlet-group/sub-block srl. no. in column (5), for this randomly selected hamlet-group/sub-block shall be ringed, that is, marked by a circle drawn around it.

For all other hamlet-groups/sub-blocks (besides the two selected), column (6) may be left blank.

2.6 (a)Blocks 6 to 9 and 12 : In all these blocks, various information are to be given separately for each of the two hamlet-groups/sub-blocks selected for survey [i.e., hamlet-groups/sub-blocks with serial numbers 0 and 1 in column(6) of block 5]. When there is no hamlet-group/sub-block selection, the information in respect of the whole village/block shall be given against the hamlet-group/sub-block srl.no. '0' in all these blocks.

B - 12

Blocks 6 to 11

(b) Block 6 : Households and population : This block is meant for recording the summary information from block 12 on total number of households and total population of the village/block separately for hamlet-group/sub-block srl. nos. 0 and 1. Last serial number of column (3) and total of column (5) as in block 12 may be copied and recorded in columns (2) and (3) respectively of this block.

2.7 Block 7 : Number of non-agricultural enterprises : This block also gives from block 12 , the summary information on total number of non-agricultural enterprises by NIC section (division for NIC code 97), separately for each of the two hamlet-groups/sub-blocks (srl. nos. '0' and '1'). Entries in column 9, block 12 may be considered/counted for filling up the columns (2) to (12) of this block.

2.8 Block 8 : Particulars of sampling of enterprises (for sch. 2.2) : In this block, particulars of sampling of enterprises shall be recorded.

Columns (3) to (8) : Number of enterprises : Total number of enterprises in the frame for each of OAMES, NDMEs and DMEs i.e. the entries for column (3), are the highest entries recorded in columns(17), (18) & (19) respectively of block 12. These highest entries are also to be recorded against the symbols E1/E2/E3 appearing in the headings of column (20)/(21)/(22).They may be recorded properly in col.3 of block 8. Number of enterprises to be selected for survey shall be recorded in column

(4). These numbers are also recorded against e1/e2/e3 in the headings of column (20)/(21)/(22) of block 12. Columns (5) and (6) shall be filled up on the basis of survey code recorded against item 18 of block 1 of schedule 2.2. Number of 2.2 filled-in schedules with survey codes 1 and 2 shall be recorded in columns(5) and (6) respectively. Total number of surveyed enterprises shall be recorded in column (7). It may be seen that (i)col.(7) = col.(5) + col.(6) and (ii) col.(8) = col.(4) - col.(7).

2.9 Block 9 : Particulars of sampling of households (for sch. 1.0) : Particulars of sampling of households, separately for the selected hamlet group/sub-block serial numbers 0 and 1, will be recorded in this block.

(a) Column (2) : Total number of households (H) : This is the last serial number recorded in column (3) of block 12.

(b) Columns (3) to (7) : The concepts and procedures are similar to those given above for columns (4) to (8) of block 8.

2.10 Block 10 : Remarks by investigator : The investigator may record his remarks on any abnormal situation/entry in the schedule.

2.11 Block 11 : Comments by supervisory officers : The Assistant Superintendent, the Superintendent or any other officer inspecting the work relating to this schedule, may give his comments here.

B - 13

#### Block 12 : Listing Procedure

2.12 Block 12 : List of households and non-agricultural enterprises :

2.12.1 This is the main block of the schedule. Listing of houses, households and non-agricultural enterprises, collection of a few particulars for identification of unorganised (i.e. non-factory) manufacturing enterprises under the break-ups of OAME, NDME & DME, preparation of sampling frame and selection of sample enterprises (for sch. 2.2) and sample households (for sch. 1.0) - all these operations shall be carried out in this block.

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



houses/households/non-agricultural enterprises, it is, therefore, better to follow some definite order for listing. The order followed in 1991 census, may be adopted, if possible, taking care that any house that has come up later is not omitted; otherwise, listing may be done starting from the north-west corner. While listing, the name of any natural grouping of the houses like hamlet, street, mohalla, etc. and date of listing may be written at the top before starting the houses of the locality. This will help in checking completeness.

2.12.3 A house to house enquiry will be made to list all the houses, households and non-agricultural enterprises. A household is enumerated in the house where it resides and an enterprise will be listed in the house in which it is situated. The following two situations may be kept in mind during listing. First, an enterprise may not be clearly visible or prominent from the outside of a house/room. For example, one member of a household may manufacture small toys, dolls, transistor/radios etc. in the inside of his room. Secondly, the enterprise may not have physical existence at any fixed location; a hawker or a peripatetic vendor selling his goods like vegetables, fruits, cloth, etc. without having any fixed premises are cases in point. These types of enterprises can be detected only by enquiring about the activities of the members of the household. Necessary care may be taken to list such enterprises.

2.12.4 While listing a house, the investigator shall first find out how many households (including temporarily absent i.e. locked households) reside there. From each household he will collect the details of all enterprises run by its members during 365 days preceding the date of survey (the enterprise may not be in operation on the date of listing). The enterprises run by the household and located in the same house where the household lives and those run without any fixed premises shall be listed one

B - 14

#### Block 12 : Listing Procedure

after another against that household. But enterprises run by the same household and located at other fixed premises will be listed at their places of location. After exhausting the resident households and all the different types of enterprises as described above, the investigator will list other enterprises, if any, which may be located in that house and existing on the date of survey and operated either by households staying in some other houses (either within or outside the selected h.g./s.b.) or by an institutional body. After this, the investigator will proceed to list the next house. Care should be taken to list all the seasonal enterprises that may be existing, though not operating, on the date of survey.

The term 'fixed premises' with reference to an enterprise is used to mean some sort of fixed structures (excluding purely temporary structures/make-shift types; also see para 2.12.6).

2.12.5 To ensure uniformity in classifying the activities into proper categories (i.e. manufacturing/repairing or not), some

examples are given below :

(A) LIST OF ACTIVITIES WHICH ARE TO BE CLASSIFIED AS  
MANUFACTURING AND REPAIRING ACTIVITIES

srl. no.	activity	NIC code
1.	Slaughtering of animals/birds and selling meat.	200
2.	Manufacture of ghee for sale	201.3
3.	Manufacture of ice cream, kulfi, etc. for sale	201.5
4.	Milling of paddy (home-grown or otherwise ) undertaken by a household or a non-household enterprise, primarily for the purpose of sale or undertaken as a service in return for payment. (Milling includes de-husking of paddy by devices like dhenki, etc.)	204.4
5.	Manufacture of gur (jaggery), Khandsari, boora, candy, etc. for sale, from sugarcane and/or other produces like palm, beet, etc.	207
6.	Manufacture of sweetmeats for sale	209.3
7.	Manufacture of country liquor (toddy, arrack, etc.) for sale	223
8.	Curing of tobacco leaves in barus and selling of the leaves after curing	225
9.	Manufacture of readymade textile products (garments, dresses, knitted goods like sweaters, etc.) for sale	265
10.	Manufacture for sale of baskets, mats and other common household articles out of bamboo and reed	273, 277, 279

B - 15

Block 12 : Listing Procedure

11.	Publishing of books, periodicals, etc.	285.2
12.	Engraving of names etc. on metal utensils.	345
13.	Painting of advertisement signboards	389.2

srl. no.	activity	NIC code
14.	Making of garlands, wreaths etc. out of fresh flowers and leaves for purpose of sale	389.9
15.	Stitching of leaves (with pieces of dried stem, etc.) to make leaf-plates and leaf-cups (dona) for sale	389.9

16. Framing of pictures	389.9
17. Sharpening of knives, scissors, etc.	979

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(B) LIST OF ACTIVITIES WHICH ARE NOT TO BE CLASSIFIED  
AS MANUFACTURING ACTIVITIES BUT UNDER TRADE OR SERVICES

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srl. no.	activity	NIC code
1.	Ice cream vendor vending ice cream manufactured in a factory (in a fixed stall or in mobile cart) on commission basis	640
2.	Selling of meat purchased from slaughter houses after cutting it into small pieces	652
3.	Cooling of aerated water, soft drinks and ice cream for sale	654
4.	Sale of pan (dressed with masala, etc.), bidi and cigarettes	655
5.	Sale of bicycles after fitting parts as per customer's order	686
6.	Sale of spectacle frames and glasses (lenses) fitted into the frames after grinding, polishing, etc.	689.1
7.	Making and serving of fruit and vegetable juices (including sugarcane juice) for immediate consumption	690
8.	Photostat, xeroxing, copying of documents	899.5
9.	Recording of audio and video cassettes	957
10.	Stitching of saree falls and pecko work	964

B - 16

Block 12 : Listing Procedure

11.	Tailoring establishments which stitch garments on order, from cloth supplied by customer (who may purchase that cloth from the establishment itself)	964
12.	Tattooing of arms etc., making decorative drawings/pictures on palms through application of henna;etc.	969

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2.12.6 In connection with listing, some special situations are described below :

(i) In a 'hat' (i.e. periodical market) there are some permanent structures built by panchayat or local bodies. The entrepreneurs occupy them on 'hat' days and carry out their activities. These will be considered as activities without fixed premises and listed through the residences of the owners even though they carry out the activities at more or less fixed locations. It may be mentioned that the activities carried on by the roadside or in the open public places like that under a bridge or a tree, etc. with temporary make-shift shelter or no structure at all, will be considered to be carried out without fixed premises.

(ii) In daily markets or 'hats', some vegetable/fish sellers carry out their activities in open space or under tents/shelters (having canvas/cloth on the top and tied/fixed with sticks on the corners). These enterprises will be listed not in the markets/'hats' but against the households of the owners where they reside.

(iii) Enterprises run without fixed premises on partnership basis shall be listed against the household of the senior most partner among the participant households. By senior most partner, it means the partner having maximum age.

(iv) The brick kilns having fixed site (with or without structure) will always be listed at their sites. In case of pottery also, the same procedure may be followed.

(v) For mixed activities or the same activity being conducted in two different places, if the accounts, employment, etc. for various activities can be separated out, then each activity shall be separately listed. Otherwise, they should be listed under one major activity i.e. the one having major income/turnover/employment (a). To determine the appropriate NIC code for such enterprises, the major activity will be first determined at the three digit level of NIC on the basis of maximum income/turnover/employment. The exercise will then be repeated at the four digit level of NIC to have the appropriate NIC 4-digit code to be recorded in schedule 2.2.

(vi) In cases of mixed activity of manufacturing and trade, such as handloom weavers, sweetmeat shops, by convention, manufacturing will be taken as the major activity. If the manufacturing activity of the enterprise is carried out in the household and products are sold in a fixed stall or shop or a fixed structure then the enterprise will be listed as

B - 17

#### Block 12 : Listing Procedure

manufacturing at the location of the household and not at the stall/shop.

(vii) Recording of blank audio and video tapes for sale or providing the service of recording on blank tapes of customers will be listed under 'service' (NIC section code 9). Providing the service of xerox copying will also be listed under 'service' (NIC section code 8).

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(a) The criterion to be chosen in the order of preference indicated.

(viii) If a household prepares rice mainly for home consumption by husking paddy produced either from its own cultivation or obtained in exchange of services rendered to other households but sometimes sells out a part then such activity will not be treated as manufacturing. However, households undertaking milling of paddy into rice, mainly for the purpose of sale or the households which provide the service of husking to customers by using household devices like 'dhenki' etc. will be taken as engaged in manufacturing enterprise.

(ix) When a master weaver distributes yarn to weavers working at home according to his specifications, offers them credit facilities, etc. and pays them at agreed rates against delivery of woven cloth, he is treated as a manufacturer. Similar is the case of entrepreneur/master craftsman in bidi making, furniture making, etc. who procures orders, distributes raw materials to workers (who may work in their homes or elsewhere) and pays for the manufacturing services in piece rate or time rate. In all such cases, the master weaver/craftsman/entrepreneur will be treated as engaged in manufacturing activity. The persons who work for him or under his patronage, may be either entrepreneurs in their own right i.e. self-employed persons or merely wage paid employees receiving remuneration for work done, either on time-rate or piece-rate basis. This can easily be judged by studying the situation carefully. Only when the persons working for the master craftsman are found to have tangible or intangible means of production and their remuneration contains an element of profit in addition to labour compensation, they should be treated as constituting separate or independent household enterprises.

(x) Though the inmates of a hostel, etc. will be listed as single-member households, the institution itself will qualify as an enterprise (provided it satisfies the criteria of becoming an enterprise). The name of the institution and its nature of activity will be recorded in the first line and inmates will be listed in subsequent lines.

(xi) Sale of own agricultural produce directly by the producer will not be treated as non-agricultural (i.e. trading) activity. Similar is the case of a person engaged in production of milk and selling the same. However, door-to-door collection of milk and selling will be listed as a trading activity.

2.12.7 In sample villages/blocks with hamlet-group/sub-block formation, list of houses, households and non-agricultural enterprises will be recorded in separate pages of block 12 for

B - 18

Block 12

hamlet-group/sub-block serial numbers 0 and 1. At first, listing will be done for hamlet-group/sub-block serial number 0. Then listing for hamlet-group/sub-block serial number 1 will be started in a separate page. One of the hamlet-group/sub-block

serial numbers 0 or 1 (printed in the heading of block 12), as appropriate to the selected hamlet-group/sub-block, may be retained and the other serial number may be deleted in the heading of block 12 before listing is started.

2.12.8 Various columns of block 12 are described below :

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

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

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

(i) some members of the households are pursuing non-agricultural activities without fixed premises.

(ii) one member of a household is engaged in selling vegetables in the market. At night, the member keeps unsold vegetables within the premises of the house.

(iii) one member of a household is a rickshaw-puller. The member places his rickshaw near the house when he is not at work.

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

In case of Arunachal Pradesh only, code 4 shall be assigned to dormitory houses locally known as 'Mashuk'.

(c) Column (3) : Household serial number : All households (including those found temporarily absent) shall be given a running serial number (starting from 1) in this column.

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

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

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

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

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

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

(I)Rural Samples :

If a household's income is mostly from one source, there will not be any difficulty in identifying the means of livelihood but if it is derived from several sources, the following procedure will be adopted to determine the means of livelihood. At first the sources of the household's income from economic activities during the last 365 days will be grouped into the four categories given below :

- (i) self-employment in non-agriculture.
- (ii) self-employment in agriculture

- (iii) wage-paid manual labour (i.e., rural labour),
- (iv) wage-paid non-manual employment.

Then see if income from (iii) > that from (i) + (ii) as also > that from (iv). If it does, the m.l. class will be 'rural labour' and code-2 will be given. If not, then see if income from (i) > that from (iii) as also > that from (ii) + (iv). If it does, then household's m.l. class is self-employment in non-agriculture and the appropriate code will be 1. In all other cases, the m.l. class will be 'others' and code 9 will be given. For 'locked' households for which the above information could not be collected even from neighbours, code 9 will be given in this column.

(II) Urban samples :

The means of livelihood of a household will be determined on the basis of the total income of all the household members (excluding servants, paying guests, etc.) derived from 'economic activities' during the 365 days preceding the date of survey. Consider separately the income from the sources : (i) self-employment, (ii) regular wage/salaried employment, (iii)

casual labour and (iv) other economic activities. If out of the total income from different economic activities, the maximum income is from the source (i)/(ii)/(iii)/(iv), the m.l. code of the household will be 1/2/3/9. If there is no income from economic activities, m.l. code 9 will be recorded. For 'locked' households for which the above information could not be collected even from neighbours, code 2 will be recorded in this column.

(g) Column (7) : Enterprise serial number : All non-agricultural enterprises shall be given a running serial number starting from 1 in this column.

(h) Column (8) : Description of activity : The activity of the enterprise shall be briefly described in words in this column, such as bread making, coffee curing, grocery, museum, zoo, etc .

For manufacturing enterprises which are seasonal in nature, the code 'S' shall be recorded within brackets below the description of activity. This will be consulted for recording the eligibility code in column (16).

(i) Column (9) : Industry section code : This is one-digit (left-most digit) code of NIC 1987.

However, activities with NIC division code 97 may not be given code 9 but be given code 97.

If the code in this column is anything other than 2, 3 or 97, columns (11) to (24) shall not be filled.

(j) Column (10) : Ownership code : For all the non-



agricultural enterprises listed, ownership codes are to be recorded in this column. Codes are as follows : proprietary (male)-1, proprietary (female)-2, partnership with members of the same household-3, partnership between members not all from the

B - 21

Block 12

same household - 4, Co-operative society - 5, public sector - 6, limited company (outside public sector) - 7 and others - 9.

If an individual is the sole owner of the enterprise, the enterprise will be termed proprietary and for such an enterprise ownership code will be 1/2 if the proprietor is male/female. If there are two or more owners of the enterprise on a partnership basis with or without formal registration, code shall be 3/4 if all the owners belong/do not belong to the same household. Code 5 shall be recorded for co-operative societies (irrespective of possession of share by government, local body etc.) registered under the laws for registration of co-operative societies. An establishment which is wholly owned or run/managed by central or state government or quasi-government institution, or by local bodies like Panchayat, Zilla Parisad, City Corporation, Municipal authorities, autonomous bodies like universities, education boards and institutions like schools, libraries etc. set up by the government, panchayat, etc. will be treated as a public sector establishment. All such establishments shall be given ownership code 6. (If an enterprise is run on loans granted by Government, local body etc., it will not come under public sector for the purpose of ownership code.) For all enterprises registered as public or private limited company outside the public sector, ownership code shall be 7 irrespective of the amount of share held by the Government. All other enterprises shall get ownership code 9.

(k) Columns (11) to (22) : These columns relate to manufacturing and repairing enterprises only. If there is code 2 in column (11), then only columns (12) to (16) shall be filled up. Again, if eligibility code in column (16) is 1, then only columns (17) to (22) shall be filled up.

(l) Column (11) : Registration code : If the enterprise is registered under section 2m(i) or 2m(ii) of the Factories Act, 1948 or if the enterprise is a bidi or cigar manufacturing enterprise registered under bidi and cigar workers (condition of employment) Act 1966, code 1 shall be recorded. Otherwise, code 2 shall be recorded.

(m) Column (12) : Broad division code : One of the codes 1 to 6 as appropriate to the enterprise depending upon its activity noted in column (8), shall be recorded here for each enterprise.

The codes are as follows. Enterprises with activity belonging to : (i) NIC 20 to 22-1; (ii) NIC 23 to 26-2; (iii) NIC 27 to 29-3; (iv) NIC 30 to 34-4; (v) NIC 35 to 38-5 and (vi) NIC 39 & 97-6. These codes shall be considered for giving sampling serial numbers in columns (17) to (19).

(n) Column (13) : Total number of workers : The total number of persons usually working on a working day during the reference year for perennial and casual enterprises and during the last working season for seasonal enterprises, shall be recorded in this column. This total should include both household workers and hired workers. All categories of workers including supervisory and primary shall be considered. Total should also include other workers, working proprietors and

B - 22

Block 12

apprentices (paid or unpaid), unpaid helpers and part-time workers so long they are engaged on a fairly regular basis. A worker need not mean that the same person is functioning continuously; it only refers to a position. Two part-time workers will be counted as 2 and not 1. Part-time workers are those who work for less than or equal to half of the period of normal working hours of the enterprise on a fairly regular basis. For enterprises running in shifts, workers of all the shifts may be considered together (i.e. the numbers of workers will be added) for the purpose of making entries in columns (13) and (14). The modal value of number of workers on a working day during the reference year shall be recorded for both total and hired workers in columns (13) and (14) respectively. In cases where two or more modal values are found to exist, the lower or lowest of these values shall be recorded.

Information on total number of workers may be recorded properly so as to avoid misclassification of enterprises by enterprise type.

(o) Column (14) : Number of hired workers : The number of hired workers in the enterprise, usually employed on fairly regular basis shall be recorded in this column. If there is no hired worker, '0' shall be entered here. Apprentices, paid or unpaid, shall be treated as hired workers. Unpaid helpers and labour exchanged between households shall be treated as household workers. A paid household member/ servant/ resident worker working in the enterprise, shall be considered as hired worker.

(p) Column (15) : Enterprise type code : Each manufacturing/repairing enterprise with entry '2' in column (11) shall be given enterprise type code on the basis of the entries made in columns (13) and (14). The codes are as follows :

(i) enterprises with entry zero in column (14) i.e. OAME-1

(ii) establishment with entry 5 or less in column(13) and positive entry in column(14) i.e. NDME-2.

(iii) establishment with entry 6 or more in column(13)  
and positive entry in column (14) i.e. DME-3.

(q) Column (16) : Eligibility code : Code 1 shall be recorded if the enterprise operated for at least 30 days (15 days for seasonal enterprises) during the reference year. For enterprises which operated for less than 30 days (15 days for seasonal enterprises), code 2 shall be recorded in this column.

(r) Columns (17), (18) & (19) : Sampling serial number (Sch. 2.2)-OAME/NDME/DME: The enterprises/establishments with  
B - 23

Block 12

code 1 in column (16) and enterprise type code 1, 2 and 3 in column (15) shall be separately tick-marked in columns(17), (18) and (19) as the case may be. Then all the tick-marks appearing in each of the columns (17), (18) & (19) shall be given a separate running serial number starting from 1 as follows : The tick-marks with code 1 in column (12) shall first be given running serial numbers starting from 1. After all such cases with code 1 in column (12) are covered, the tick-marks with code 2 in column (12) shall be given continuous running serial numbers

(p) Column (15) : Enterprise type code : Each manufacturing/repairing enterprise with entry '2' in column (11) shall be given enterprise type code on the basis of the entries made in columns (13) and (14). The codes are as follows :

(i) enterprises with entry zero in column (14) i.e.  
OAME-1

(ii) establishment with entry 5 or less in column(13)  
and positive entry in column(14) i.e. NDME-2.

(iii) establishment with entry 6 or more in column(13)  
and positive entry in column (14) i.e. DME-3.

(q) Column (16) : Eligibility code : Code 1 shall be recorded if the enterprise operated for at least 30 days (15 days for seasonal enterprises) during the reference year. For enterprises which operated for less than 30 days (15 days for seasonal enterprises), code 2 shall be recorded in this column.

(r) Columns (17), (18) & (19) : Sampling serial number (Sch. 2.2)-OAME/NDME/DME: The enterprises/establishments with code 1 in column (16) and enterprise type code 1, 2 and 3 in column (15) shall be separately tick-marked in columns(17), (18) and (19) as the case may be. Then all the tick-marks appearing in each of the columns (17), (18) & (19) shall be given a

separate running serial number starting from 1 as follows : The tick-marks with code 1 in column (12) shall first be given running serial numbers starting from 1. After all such cases with code 1 in column (12) are covered, the tick-marks with code 2 in column (12) shall be given continuous running serial numbers in continuation of the previous series of tick-marks, and so on. In this manner all enterprises/establishments with codes 1 to 6 in column (12) shall be given running serial numbers for each of these three columns. If number of tick-marks (i.e. number of enterprises in the frame) in a column is equal to the number of enterprises to be selected, no arrangement of the enterprises by broad division code is necessary and the tick-marks may be given running serial numbers starting from 1 for each of these columns viz. (17), (18) & (19), in the order in which they are listed.

B - 24

Block 12

(s) columns (20) to (22):Order of selection-OAME/NDME/DME : Total number of OAME's/NDME's/DME's in the frame will be the number of tick-marks (i.e. the highest serial number) appearing in column(17)/(18)/(19) and these values will be recorded against E1/E2/E3 in col.(20)/(21)/(22). Similarly number of enterprises to be selected (after adjustment for shortfall, if necessary) for OAME/NDME/DME will be recorded against e1/e2/e3. Values of intervals for sampling and random starts i.e. I1/I2/I3 and R1/R2/R3 are also to be recorded against the corresponding symbols. If  $E = e$ , values of I and R may be crossed. For selecting the sample enterprises of any particular type, the following procedure will be followed. Suppose 'E' denotes the total number of enterprises in the frame [i.e. the highest entry in column (17)/(18)/(19)] and 'e' the number of enterprises to be selected. First calculate the interval I as the integral part of  $E/e$  and draw a random number R between 1 and E. Then the enterprises with serial numbers R, R+I, R+2I, ..... ,R+(e-1)I in column (17)/(18)/(19) will be the selected enterprises and be given order of selection numbers 1, 2, 3..... e respectively. If  $R + K.I.$  (where K is some integer) exceeds E, then subtract E from  $R + K.I.$ . Let  $(R + K.I) - E$  be  $R'$ . Then the enterprise with serial number  $R'$  in column (17)/(18)/(19) will be the selected enterprise representing the random number  $R + K.I.$  Again calculate  $R', R' + I$ .....and so on. When  $E=e$ , the order of selection numbers in column (20)/(21)/(22) will be the same as the sampling serial numbers in column (17)/(18)/(19). The sampling serial numbers of the selected enterprises may be encircled in col.(17)/(18)/(19).

(t) Column (23) : Sampling serial number (Sch. 1.0) : All the households listed in the village/block/h.g./s.b. will be first arranged by their means of livelihood code before giving sampling serial numbers.

For the rural sector, the households with m.l. code 1 in

column (6) may be given tick marks (\_/) in column (23). Similarly the households with m.l. code 2 will be given cross-marks (X) and those with m.l. code 9 will be given dashes (-) in column (23). Then all the tick-marks will be serially numbered in column(23) starting from 1 followed by continuous serial numbering of all the cross-marks and lastly of all the dashes.

For the urban sector, the similar procedure will be followed. The symbols \_/ , X, - and + will be given in column (23) for the m.l. codes 1, 2, 3 and 9 respectively.

For both rural and the urban sectors (for each h.g./s.b.), it must be checked that the highest serial number recorded in column (23) agrees with the last serial number in column(3).

(u) Column (24) : Order of selection-household (for Sch. 1.0) : The procedure for recording order of selection numbers is exactly similar as for enterprises (OAMEs/NDMEs/DMEs). Total

B - 25

#### Block 12 & Example

number of households in the frame is the last serial number appearing in column (3). This value may be recorded against the symbol 'H'. The number of households to be selected from the frame is generally 4 for villages/blocks without hamlet-group/sub-block formation and 2 for each of the two selected hamlet-groups/sub-blocks with serial numbers '0' and '1' in case of large villages/blocks requiring hamlet-group/sub-block formation. This value may be recorded against the symbol 'h'. Values of interval (I) and random start (R) may also be recorded as per the procedure followed for enterprises.

Case I : Villages/blocks without hamlet-group/sub-block formation : Draw a random number 'R' between 1 and H and calculate the interval I as the integral part of  $H/h$  (h is generally 4). Then the households with serial numbers R, R+I, R+2I and R+3I [ If R+KI exceeds H, consider (R+KI)-H for the purpose] in column (23) will be the selected households and these households will be given order of selection numbers 1, 2, 3 and 4 respectively in column (24). Sampling serial numbers of the selected households may be encircled in column (23).

Case II : Villages/blocks with hamlet-group/sub-block formation : For each selected hamlet-group/sub-block (i.e. serial numbers 0 and 1), the similar procedure as in Case I will be followed with the only change that (i) H is now the total number of households in the particular hamlet-group/sub-block, (ii) h is generally 2 and (iii) the households having sampling



		*	3	1	1	5							
		*	4	3	1			1			1		
		*	1	1	1	1			4				
3	9											- 4	1
		*	6	2	1		1			1			
		*	4	1	1	7			2				
		*	1	1	1	2			5				
		*	2	2	1		2			2			
4	2											x 2	
		*	3	1	1	6			1				
		*	1	2	1		3			3			
		*	2	1	1	4							
5	9											- 5	

\_/\_ denotes column numbers.

B - 27

Block 13, Substitution of enterprises/  
households, Misclassification of  
enterprises and Random numbers

2.13 Block 13 : Identification and some important key information about the sample village/block : This block is divided into two parts viz. part A and part B. The entries in this block will be transfer entries from the other blocks of the listing schedule as indicated against each of the items.

2.14 Substitution of enterprises/households : If any OAME/NDME/DME/household cannot be surveyed due to some reason or the other, it will be substituted by the next higher sampling

serial number (provided not already selected) of the same broad division code (for sch.2.2)/same m.l.code (for sch. 1.0).The substitute for the highest sampling serial number of a broad division code (sch.2.2) or of a particular m.l. code (sch. 1.0) in a column will be the smallest sampling serial number within the same broad division/m.l. code of the same column. If there is no proper substitute within the same broad division code (or m.l. code for sch.1.0), consider the next higher broad division (or m.l.) code for taking the substitute. If there is no proper substitute for the highest broad division/m.l.code, consider the lowest broad division/m.l. code for the purpose. If the substituted enterprise/household becomes a casualty, it will be substituted by the another in the same manner. If this

enterprise/household also turns out to be a casualty, further substitute need not be taken. However, it must be ensured that a minimum of one sample enterprise/household is always surveyed for each of OAME/NDME/DME/households if E/H > 0. Substitution may be attempted more than twice in a few cases to adhere to this restriction.

#### 2.15 Misclassification of an enterprise during listing :

(a) It is quite possible in a few cases that a sample enterprise listed under a particular type (i.e. OAME or NDME or DME) in schedule 0.0 actually belongs to other type as detected during canvassing of schedule 2.2. Entries for schedule 0.0 will not be changed if misclassification is found to occur.

(b) In case a sample enterprise is found, during detailed enquiry, having some industry section code/broad division code other than the one recorded in column (9)/(12) of block 12 of schedule 0.0, then the same enterprise will be surveyed (fresh selection will not be done) under revised codes recorded in schedule 2.2. However, if the enterprise goes out of the survey coverage because of the revision in industry section code, substitute may be taken. In all these cases entries made in blocks 7 and 8 need not be disturbed.

2.16 Random numbers : A table of random numbers is supplied to each investigator. The n-th column of the table will be consulted in the case of the central sample and (n + 1)th column in the case of the state sample, where n is the last two digits of the serial number of the sample village/block. When n = 00, it will be taken as 100. The number of digits to be used will be

B - 28

#### Random numbers and substitution of villages/blocks

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 digitted random numbers may be used where random number '0' will stand for '10' and random number '00' for '100'. The first random number will be used for hamlet-group/sub-block selection, whenever required. The subsequent random numbers may be used for selection of enterprises/households in the order :  
(i) for h.g./s.b. serial number '0' - OAME, NDME, DME, household and then (ii) for h.g./s.b. serial number '1' - OAME, NDME, DME, household.

#### 2.17 Substitution of villages/blocks :

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

The Deputy Director,  
NSSO (DPD) Co-ordination,



164, Gopal Lal Tagore Road,  
Calcutta- 700035.

If the substituted village/block has same problem as the original, correspondences may be made immediately so that another substitute can be provided. All efforts must be made to ensure that at least one fsu is always surveyed from each stratum X sub-stratum for each sub-sample.

In case no substitute village/block could be surveyed even with best efforts [ i.e. code 7 in item 18, block 1], a blank schedule 0.0 will be submitted with only blocks 0, 1, 2, 10 and 11 filled-in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

(b) If a sample village/block is found to be depopulated at the time of survey, or its population has shifted elsewhere due to some natural calamity, or it is treated as a "zero-case", it will not be substituted. It will be treated as a valid sample and blank schedule 0.0 with only blocks 0,1,2,10 &11 filled-in will be submitted in such cases. The word/words 'UNINHABITED' or 'ZERO CASE', as appropriate will be written on the top of the front page of the schedule in such cases. However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North Eastern states where, for examples, jhum cultivation is prevalent, whole village may shift from place to place. In such cases the sample village will be surveyed in the place where it is currently located and not treated as uninhabited if found absent in its original location.

(c) If a sample village is found to have been declared as urban (as a town by itself or as merged in another town) either by State Govt. notification or by census authorities and if it is covered in the urban frame used for selection of fsu's, 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

B - 29

#### Substitution/Repetition of villages/blocks

covered in the urban frame of fsu's, it is to be surveyed as per the rural programme. In such cases, however, if the boundaries of the original village are not identifiable, it may be substituted. If only a part of the village has been merged in the town, the remaining part will be surveyed as per rural programme even in this situation. It is suggested to write to SDRD before treating any sample as a zero case.

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

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

