Chapter One

Introduction

1.0.0 General : 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 fifty-third round field operations in December 1997. The fifty fourth round will start from January 1998 to be completed by June 1998.

General particulars of the survey

1.1.0 Subject coverage : The fifty-fourth round of NSS will be devoted to the survey on common property resources, sanitation, hygiene & services including the usual household consumer expenditure enquiry. Information on common property resources and infrastructural facilities at village level will also be collected through a separate schedule. It may be mentioned that information on common property resources both at household level & village level will be collected for the first time in NSS, whereas some information on hygiene, sanitation & services were collected in the earlier NSS rounds viz. 49th, 47th & 44th rounds.

1.1.1 Schedules of enquiry : The following table gives the list of schedules of enquiry for 54th round.

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Table 1 : Schedules to be canvassed in NSS 54th round
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srl. no.	schedule no.	description	sector
(1)	(2)	(3)	(4)
1.	0.1	list of households	rural
2.	0.2	list of households	urban
3.	3.3	common property resources & village facilities	rural
4.	31	common property resources, sanitation, hygiene & services	rural & urban
5.	1.0	household consumer expenditure	-do-

1.1.2 Period of survey : The 54th round survey will be of 6 months duration, starting from January 1998 and ending by June 1998.

1.1.3 Geographical coverage : The survey will cover the whole of the Indian Union excepting (i) Ladakh & Kargil districts of J & K, (ii) 768 interior villages of Nagaland situated beyond 5 kms. of the bus route & (iii) 195 villages of A & N Islands which remain inaccessible throughout the year.

1.1.4 Work programme : The survey period of this round is divided into two sub-rounds, each with a duration of three months. The 1st sub-round period is from January to March 1998 & the 2nd sub-round period is from April to June 1998. Equal number of sample villages and urban blocks are allotted for survey in each of these two sub-rounds. Each village/block will be surveyed during the sub-round period to which it is allotted. This restriction is not strictly enforced in A & N Islands, Lakshadweep and rural areas of Arunachal Pradesh & Nagaland because of difficult field conditions.

1.1.5 Participation of States : All states and u.t's excepting A & N Islands, Dadra & N. Haveli & Lakshadweep are participating in NSS 54th round at least on equal matching sample basis compared to the size of the central sample. The following table shows the matching pattern of the participating states/u.t's.

```
 Table 2 : Matching pattern for state sample
 ---------------------------------------------------------------
 Matching pattern                   states/u.t.'s
 ---------------------------------------------------------------
   (1)                                  (2)
 ---------------------------------------------------------------
 Triple                        Nagaland (Urban) & Delhi

 Double                        Gujarat, Haryana, J & K, Manipur &
                               Chandigarh (urban)*

 One & half                     Goa, Maharashtra (urban)

 Equal                         all other states/u.t.'s
 ---------------------------------------------------------------
 (* no state sample for the rural sector of  Chandigarh)
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Contents of this volume

1.2.0 Contents : The present volume contains the concepts & definitions relating to the topics of enquiry and detailed instructions for filling-in various schedules. It contains five chapters. Chapter one, besides giving an overview of the whole scheme, describes in details the sample design, sample size, work programme etc. adopted for this survey round. Instructions for filling the schedules 0.1, 0.2, 3.3 and 31 are given in chapters two, three, four and five respectively. Instructions for filling in sch. 1.0 (i.e. consumer expenditure schedule) is available in a separate booklet which was circulated during NSS 53rd round (there is no change in the structure of the schedule 1.0 of this round compared to that in the NSS 53rd round). Explanations of the major concepts and definitions of the technical terms used in respect of different schedules are given in the respective chapters.

Sample Design

1.3.0 **General** : As usual, a stratified sampling design is adopted in this round. The first stage units are census villages (panchayat wards in case of Kerala) in the rural sector and the NSSO Urban Frame Survey (UFS) blocks in the urban sector. The ultimate stage units are households in both the sectors.

1.3.1 Sampling frame for first stage units

(a) **Rural** : The lists of census villages of 1991 population census (1981 census list for J & K) constitute the sampling frame for the rural sector. For Kerala, however, the list of panchayat wards has been used as the sampling frame for selection of panchayat wards in the rural sector. For Nagaland, the villages located within 5 kms. of a bus route constitute the sampling frame, whereas, for Andaman & Nicobar Islands, the list of accessible villages constitutes the sampling frame.

(b) **Urban** : The lists of latest UFS blocks have been considered as the sampling frame for all cities and towns.

1.3.2 Stratification

(a) **Rural** : At first, the following three strata (namely strata types 1, 2 & 3) are formed at the level of each state/u.t.:-

Stratum 1 : list of uninhabited villages(as per '91 census).

stratum 2 : villages with population 1 to 50 (including both the boundaries)

stratum 3 : villages with population more than 15,000

 Strata types 1, 2 & 3 above are formed provided there are at least 10 villages in each of the strata types in the state/u.t. as per 1991 population census. Otherwise, these villages are included in the general strata as described below :

   After formation of the strata types 1, 2 & 3 (wherever applicable), the remaining villages of the state/u.t. are considered for formation of general strata. Each district with population less than 2 million as per 1991 census forms a separate stratum (however, district having a population of 2 million or more is divided into a number of strata as per usual procedure followed in NSS). For Gujarat, some districts cut across NSS regions. In such cases, the part of a district falling in an NSS region forms a separate stratum.

(b) **Urban** : Strata are formed within NSS region by grouping towns as indicated below :

```
-----------------------------------------------------------------
stratum                composition of strata
  no.            (considering  population as per
                 '91 census/'81 census for J & K)
-----------------------------------------------------------------
  1        All towns with population less than 50,000

  2        all towns with population 50,000 or more but less than
           2 lakhs.

  3        all towns with population 2 lakhs or more but less than
           10 lakhs

 4,5       each city with population 10 lakhs or more
-----------------------------------------------------------------
```

1.3.3 **Sub-stratification**

(a) **Rural** : There is no sub-stratification at the stratum level.

(b) **Urban** : Each stratum is divided into two 2 sub-strata as follows :

    sub-stratum 1 : UFS blocks identified as 'slum area'
    sub-stratum 2 : remaining UFS blocks of the stratum.

1.3.4 **Allocation of first-stage units (FSU's)** : The all-India sample size of FSU's (rural & urban combined) in the central sample is 7024 (this includes 60 sample villages allocated to stratum type 1 in the rural sector for those states/u.t.s where stratum type 1 is formed).   The all-India sample size of FSU's has been allocated to the states/u.t's in proportion to their investigator strength.   State/u.t. level sample size has been allocated between rural and urban sectors in proportion to their population.   State/u.t. level rural/urban allocations are given in Table 3 at the end of this chapter.

    A suitable sample size (minimum 2 and maximum 6 villages; exact number depends on the total number of villages in the frame) is allocated to stratum type 1.   From stratum type 2, a sample of maximum 6 villages is selected.   Number of sample villages to be sampled   from stratum type 3 is either 2 or 4 depending upon whether the number of villages in the frame of stratum type 3 is less than 20 or more.   The remaining sample size (i.e. total allocation for the rural sector less the allocations at strata types 2 & 3) at the state/U.T. level for the rural sector is allocated to the general strata (i.e. strata other than strata types 1, 2 & 3) in proportion to their population.   Similarly the urban allocation of samples at state/u.t. level is allocated to the urban strata in proportion to their population. Stratum level allocations have been made in multiples of 4, wherever possible.   The sample allocation for an urban stratum is further allocated between the two sub-strata in pro-

portion to the number of UFS blocks in the respective sub-strata with double weightage to sub-stratum 1 and at the same time ensuring a minimum sample size of 2 or 4 blocks to sub-stratum 1 depending upon whether stratum level allocation is 4 or greater than 4.   All sub-stratum level allocations have been made in multiples of 2.

1.3.5 **Selection of first-stage units** : Sample FSU's have been selected in the form of two independent sub-samples as follows :

```
---------------------------------------------------------------
sector     strata type  sub-stratum       selection procedure
---------------------------------------------------------------
rural         1            -        CSS with equal probability @
              2            -                  -do- *
              3            -                  -do- *
            others         -            CSS with pps *

urban        each         each     CSS with equal probability **
---------------------------------------------------------------
```

     (CSS : circular systematic sampling &
   pps : probability proportional to size, size = population)

@ arrangement of villages in the frame is same as that of census

 * after arranging the FSUs in ascending order of population

** after arranging the towns by districts and further arranging the towns in each district in ascending order of their population.

1.3.6 **Formation of hamlet-groups in large villages and no. of hamlet-groups (hgs.) to be selected for survey** : Large villages will be divided into a number of hamlet-groups having equal population content and geographical contiguity. The number of hamlet-groups to be formed & selected for survey will be decided as follows :

```
---------------------------------------------------------------
approx. present popu-     no. of hgs(D)    no. of  hgs  to  be
lation of the village     to be formed     selected for survey
---------------------------------------------------------------
   less - 1200           no hg formation     entire village is
                             (D = 1)         selected for survey
   1200 - 1999               4                      2
   2000 - 2499               5                      3
   2500 - 2999               6                      .
   3000 - 3499               7                      .
```

```
              .                    .                    .
              .                    .                    .
   4500  -  4999               10                    2
   5000  -  5499               11                    3
              .                    .                    .
              .                    .                    .
   9500  -  9999               20                    3
  10000  - 10499               21                    4
              .                    .                    .
              .                    .                    .
  14500  - 14999               30                    4
  15000  - 15499               31                    5  @
    and so on
```

@ 5 hgs are to be selected for survey from each selected village having approx. present population 15000 or more

However, for rural areas of Himachal Pradesh, Sikkim, and Punch, Rajouri, Udhampur and Doda districts of Jammu & Kashmir, the limit will be D=1 for population less than 600, D=4 for population 600 - 1199; D=5 for population 1200 - 1599; D=6 for population 1500 – 1799; D=7 for population 1800-2099 and so on. Number of h.g.s to be selected (d) is e for D=4 to 10; 3 D=11 to 20; 4 for D=21 to 30 and 5 for D>= 31.

(**Note: There will be no sub-block formation even for large UFS blocks in the urban areas**)

1.3.7 **Second-stage stratification**

(a) **Rural** : Rural households engaged in free collection (other than fuelwood and marine fishing) will form second-stage stratum 1. Other households will be grouped into two second-stage strata: those with wage/salary earning but possessing land less than 0.40 hectare will form second-stage stratum 2 and the rest of the households will form second-stage stratum 3. The households of second-stage stratum 3 will be arranged by area of land possessed before sample selection (see chapter two for details).

(b) **Urban** : Urban households will be grouped into 3 second-stage strata. Households with means of livelihood (m.l.) as self-employed or regular wage/salary earnings will form second-stage stratum 1. Those with means of livelihood as casual labour will constitute second-stage stratum 2 and the rest second-stage stratum 3. The households of second-stage stratum 1 will be arranged by m.l codes x mpce classes before sample selection(see chapter two for details).

1.3.8 **Selection of households** : A sample of 16 households from each selected village (or selected hamlet-groups) and 18 households from each selected UFS block for schedule 31 and 4 households for schedule 1.0 from each sample FSU (both rural and urban) will be selected for survey. The 16 households to be selected from each selected village (or selected hamlet-groups) will be allocated among the 3 second-stage strata in proportion to the number of households in the respective frames with a minimum allocation of 4, 2 and 2 households respectively to second-stage strata 1, 2 and 3. In the case of selected urban

blocks, the total of 18 households will be allocated to the 3 second stage strata in proportion to the number of households in the respective frames with a minimum of 2 samples to each second-stage stratum. While allocating the above total number of sample households among the three second-stage strata, if allocation for one particular second-stage stratum comes out to be less than the minimum allocation specified for the second-stage stratum, its quota may be increased to the said minimum number and the residual total allocation may be allocated between the other two second-stage strata in proportion to the total number of households in the respective frames (see the examples given in chapter three).

Table 3 : Allocation of Sample FSUs by state/u.t.

	no. of fsu's allotted for survey			
	central sample		state sample	
	rural	urban	rural	urban
(1)	(2)	(3)	(4)	(5)
Andhra Pradesh.	364	132	364	132
Ar. Pradesh *	52	8	52	8
Assam	214	28	214	28
Bihar	478	72	478	72
Goa	18	12	24	18
Gujarat	190	96	378	192
Haryana	82	24	162	48
Himachal Pradesh	132	12	132	12
Jammu & Kashmir	192	60	384	120
Karnataka	204	88	204	88
Kerala	204	72	204	72
Madhya Pradesh	372	112	372	112
Maharashtra	344	212	344	318
Manipur	60	24	120	48
Meghalaya	70	16	70	16
Mizoram	42	36	42	36
Nagaland	56	12	56	36
Orissa	220	36	220	36
Punjab	166	72	166	72
Rajasthan	228	64	228	64
Sikkim	60	8	60	8
Tamil Nadu	338	176	338	176
Tripura	108	20	108	20
Uttar Pradesh	638	156	638	156
West Bengal	340	124	340	124
A & N Islands	38	12	-	-
Chandigarh	4	12	-	24
D & N Haveli	4	4	-	-
Daman & Diu	4	4	4	4
Delhi	10	68	26	204
Lakshadweep	6	4	-	-
Pondicherry	4	12	4	12
All India	**5242**	**1788**	**5736**	**2256**
(*no cluster sampling	**in Arun**	**-achal**	**Pradesh)**	

Chapter Two

Schedule 0.1 : List of households (rural)

2.0.0 **Introduction** : Schedule 0.1 is meant for listing all the households residing in the sample village (or selected hamlet-groups in case of large village), collection of some household particulars like household size, means of livelihood, area of land possessed along with particulars for identifying whether the household is engaged in free collection (except fuelwood and marine fishing). This schedule also prepares the sampling frame for selection of households for schedules 31 and 1.0 after desired stratification. Whenever hamlet-groups are required to be formed, particulars relating to the formation and selection of hamlet-groups, are also recorded in this schedule.

2.0.1   **Unit of survey** : The first stage sampling unit (FSU) and also the unit of survey is the census village in the rural sector (Panchayat wards for Kerala). It is indicated in the sample list under the head "frame code" as to which particular list has been used as the sampling frame for selection of FSUs. The investigator, on arrival at a sample village (or panchayat ward for Kerala), will ascertain the exact boundaries of the sampled unit as mentioned in the sample list. This may be done with the help of the village officials like patwari, panchayat authorities,etc.

2.0.2 **Number of hamlet-groups to be formed** : With a view to controlling the work load mainly at the stage of listing of households, hamlet-group selection will be resorted to in the 'large' FSUs having present population of 1200 and more. A large village will be divided into a certain number(D) of sub-divisions called hamlet-groups. The number of hamlet-groups to be selected for survey is indicated in para 1.3.6 of chapter one. The survey will be confined only to the selected hamlet-groups, considering them as one unit. The procedure for forming the hamlet-groups is outlined below:-

2.0.3 **Procedure** : The investigator will first ascertain the approximate population of the sample village (panchayat ward for Kerala) at the time of the survey. This has to be ascertained mainly from the village officials and/or other knowledgeable individuals by putting certain probing questions. The starting point can be the 1991 census population. In the case of large difference with 1991 census population, it may be asked whether there has been any abnormal influx into or exodus from the village after 1991 census and if so, what is the approximate increase or decrease of population ascribable to such events; whether any new settlements have come up in the village after 1991 census and if so what is the approximate population of the same, and so on. If it is not possible to know the present population or the 1991 census population, 1981 census population may be used

for the purpose. The number of hamlet-groups to be formed(D) will be decided as per the instructions given in para 1.3.6 of chapter one.

2.0.4 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 census house numbers of 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. The procedure for formation of hamlet-groups is best described, perhaps, by listing sequentially the steps involved:

(i) Identify the hamlets as described above.

(ii) Ascertain approximate present population of each hamlet.

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

(iv) List the hamlets in block 3 of sch. 0.1 in the order of their numbering and indicate the present population content in terms of percentages.

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

(vi) Numbering of hamlet-groups will be done next in block 4 of sch. 0.1. Hamlet-groups will be numbered serially in col.(1) of block 4 in the order of the first hamlet included in each. Indicate the numbers also in the notional map. It is quite possible that a hamlet-group may not be constituted of hamlets with consecutive serial numbers.

2.0.5 **Selection of hamlet-groups** : The number of hamlet-groups to be selected for survey is indicated in para 1.3.6 of chapter one. It may be noted that a minimum of two and a maximum of five hamlet-groups is suggested for survey. The required number of

hamlet-groups to be taken up for survey may be selected circular systematically with a random start.

2.0.6 Sampling in Arunachal Pradesh : Like NSS 53rd round, cluster sampling will not be adopted for the rural sector of Arunachal Pradesh. Thus the sample list supplied by SDRD contains all the villages to be taken up for survey. No additional villages need be surveyed.

2.0.7. Starting point for listing : After having determined the areal unit to be surveyed, the investigator will proceed to list the houses and households in the unit. The listing may be done in the same order as that of the 1991 census order of house listing. If the census order of house listing is not available, the listing may be started from the north-west corner of the village. While listing the households, some essential minimum information about the households will be collected. The definition of some terms used in this connection are given below.

Concepts and definitions

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

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

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

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

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

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

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

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

2.0.8.3 **Household size** : The number of normally resident members of a household is its size. It will include temporary stayaways 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 procedures 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 or she will be treated as a member of the household with whom he or she resides.

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

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

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

2.0.8.4 **Self-employed** : Persons who are engaged in their own farm or non-farm enterprises are defined as self-employed. There are different types of self-employed

persons. Some may operate their enterprises without hiring any labour. Others normally work on their own but occasionally hire a few labourers. There is also a third category who by and large regularly run their enterprises by hiring labour. The first two groups of self-employed are known as 'own account workers' and the third as 'employers'.

2.0.8.5 **Non-agricultural enterprises** : All enterprises covered by industry section '0' of National Industrial Classification (NIC) 1987 are "agricultural enterprises" and all the others are "non-agricultural enterprises".

2.0.8.6 **Manual work** is work which essentially involves physical operations. However, jobs essentially involving physical labour but also requiring a certain level of general, professional, scientific or technical education are not to be termed as manual work. On the other hand, jobs not involving much of manual labour but at the same time nor requiring much educational background either, are to be treated as manual work. Thus engineers, doctors, dentists, midwives etc. are not considered as manual workers even though their jobs involve some amount of physical labour. But peons, chowkidars, watchmen etc. are considered as manual workers even though their work may not involve much physical labour. Manual work will cover one or more of the following occupational groups of the National Classification of Occupations (Revised 1968) :-

Division 5 - Service workers :-

Group 52 : cooks, waiters, bartenders and related workers.

Group 53 : maids and other housekeeping service workers.

Group 54 : building caretakers, sweepers, cleaners and related workers.

Group 55 : launders, dry cleaners and pressers.

Group 56 : hair dressers, barbers, beauticians and related workers.

Family 570 : fire fighters.

Family 574 : watchmen, gate-keepers

Family 579 : protective service workers not elsewhere classified.

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

Group 63 : agricultural labourers.

Group 64 : plantation labourers and related workers.

Group 65 : other farm workers.

Group 66 : forestry workers.

Group 67 : hunters and related workers.

Group 68 : fishermen and related workers.

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

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

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

2.0.8.8 **Means of livelihood** : The means of livelihood of a household will be decided on the basis of the sources of the household's income during the 365 days preceding the date of survey. For rural samples it will be classified as one of the following (a) self-employed in non-agriculture, (b) rural labour and (c) others. For the purpose, only the household's income from economic activities 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 income of servants and paying guests will not be taken into account.

2.0.8.9 If a household's income is mostly from one source, there will not be any difficulty in determining its means of livelihood but if it derives its income from several sources, the following procedure will be followed to determine its 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 (i) > that from (iii) and also income from (i) > that from (ii) + (iv). If it does, the m.l. class will be self-employment in non-agriculture and code 1 will be given. If not, then see if income from (iii) > that from (iv) and also income from (iii) > that from (i) + (ii). If it does, then household's m.l. class is rural labour and the appropriate code will be 2. In all other cases, the m.l. class will be 'others' i.e. code 3 or 9 depending upon whether major income is from regular wage/salary earning or not.

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

  (i) all the market activities described above i.e. the activities performed for pay or profit and

  (ii) of the non-market activities,

   (a) all the activities relating to agricultural sector (industry section 0 of the NIC 1987) which result in production (including gathering of uncultivated crops, forestry, collection of firewood, hunting, fishing etc.) of agricultural produce for own consumption and

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

2.0.8.11 **Land possessed** : Land possessed is given by (land owned including land under "owner like possession") + (land leased-in)-(land leased out) + (any land possessed by the household which is neither owned nor leased in e.g., encroached land etc.). A plot of land is considered to be 'owned by the households' if permanent heritable possession, with or

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

2.0.9 **The structure of the schedule**: Schedule 0.1, to be filled in the sample villages (panchayat wards for Kerala), contains the following blocks :

Block 0 : descriptive identification of sample village
Block 1 : identification of sample village
Block 2 : sketch map of hamlet-group formation
Block 3 : list of hamlets
Block 4 : list & selection of hamlet-groups
Block 5 : list of households and record of selection
Block 6 : particulars of sampling of households
Block 7 : remarks by investigator
Block 8 : comments by supervisory officer
Block 9 : particulars of field operations

2.0.10 **Use of additional sheets of block 5** : Whenever one schedule booklet is not adequate to list all the households in the sample FSU, additional sheets containing block 5 shall be used and tagged firmly to the main schedule. The procedure to be followed for filling up the various blocks of the schedule are described in the following paragraphs.

2.0.11 **Block 0 : Descriptive identification of sample village** : This block is meant for recording descriptive identification particulars of the sample village along with their relevant codes. State/u.t., district, tehsil and village name along with codes may be copied from the sample list. The names of the hamlets surveyed with their serial numbers as in block 3, col.(1) may be recorded here, for large FSUs.

Block 1 : Identification of the sample village

It may be noted that the number of hamlet-groups to be selected for survey (d) is to be recorded against item 18,by creating one additional row below item 17.

2.1.0 **General**: This block is meant for recording the identification particulars of the sample village in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for items 1, 2 & 4, the codes for which are already printed). Each cell (box space) is meant for recording only one digit of the entry. For multiple cells, the rightmost cell shall be used for recording the digit of the unit place, the next left cell for the tenth place digit and so on. If the 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 most box space(s). For example, if the total no. of hamlet-groups formed in the sample village is 5, the entry against item 15 should be recorded as 05. Items 3, 5 to 10, 12 and 13 shall be copied from the sample list.

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

2.1.2 **Item 14 : Approximate population** : The approximate present population of the whole sample village will be ascertained as per the procedure laid down in para 2.0.3 and will be recorded against item 14.

2.1.3 **Item 15 : Total number of hamlet-groups** : The total number of hamlet-groups actually formed in the sample village (as per the guidelines given in para 1.3.6 of chapter one) will be recorded against item 15. If the sample village does not require any hamlet-group formation, the entry against this item will be "01".

2.1.4 **Item 16 : survey code** : When the original sample village (particulars of which are provided in the sample list) is surveyed, survey code will be one of the codes 1 to 3. Code will be 1 when the village is inhabited and 2 when it is found to be uninhabited. Code will be 3, when the sample village is treated as a 'zero case'. Examples of zero cases are : villages comprised wholly of barracks of military and para-military forces (like CRPF, BSF etc.), rural areas declared as urban areas and now forming part of UFS frame used for urban sampling, villages wholly submerged under water in a dam or villages with the whole population evicted because of acquisition of land to construct a new factory or other project work etc., with no chance of habitation in future. As against this, the village whose entire population has shifted elsewhere due to some natural calamities like fire, cyclone etc., but is likely to return in the future, will be considered as uninhabited village and will be given code 2. When the original sample village is a casualty and it has been substituted by another village which is surveyed (inhabited, uninhabited or zero case), the survey code will be 4 if the substitute village is inhabited; 5 if the substitute village is uninhabited and 6 if it is treated as a zero case. If the substitute village cannot be surveyed, survey code will be 7. Code 7 will also be applicable in cases where the originally selected sample village is a casualty and no substitute was even asked for .

2.1.5 **Item 17 : Reason for substitution of original sample** : In all the cases where the originally selected sample village is a casualty irrespective of whether it has been substituted or not (i.e. when one of the codes 4 to 7 is given against item 16), the reason for its becoming a casualty will be recorded in terms of code against item 17. The codes are :

Original sample village :

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not identifiable/traceable .............. 1
not accessible.......................... 2
restricted area (not permitted to survey)..3
others (specify)........................9
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  A cross mark (X) may be put against this item if the entry against item 16 is 1 or 2 or 3. Cases of purely barracks of military and para-military forces will not be considered as restricted area for providing code 3 against item 17. As stated earlier (para 2.1.4), such cases will be considered as surveyed and will be treated as zero cases.

2.1.6   **Item 18 (not printed**; to be created below item 17): **Number of hgs selected (d)**: Number of hamlet-groups to be selected for survey (d) form villages having approximate present population of 1200 or more will be either of 2,3,4 and 5 depending upon the population of the villages (see para 1.3.6 of chapter one for guidelines). The exact value of the same may be recorded against this item. When there is hg formation in a village, the entry against this item will be 1.

Block 2 : Sketch map of hamlet-group formation

2.2.0 For large FSUs requiring hamlet-group formation, the space provided for in the block shall be used to draw a free hand sketch-map of the village showing the boundaries of the hamlets and hamlet-groups formed so that they may be identifiable in the field afterwards with the help of this map. It need not be drawn to scale. The serial numbers of the hamlets as given in col.(1) of block 3 will be written down on the map against each hamlet. The hamlet-group number given in col.(1) of block 4 to which the hamlet belongs will also be shown against each hamlet within brackets on the right side of the hamlet number. The areas for the selected hamlet-groups shall be shaded in the map.

Block 3 : List of hamlets

2.3.0 This block is to be filled-in for the rural samples requiring formation of hamlet-groups. All the hamlets located in the village will be listed in the specified order. A running serial number will be given in col.(1) to the hamlets. Present population of each

hamlet expressed as percentage of the total village population will be given in col.(3) in whole numbers.

Block 4 : List and selection of hamlet-groups

2.4.0 **General**: This block is meant for recording the details of the hamlet-group formation and their selection for villages requiring hamlet-group formation. Reference may be made to paras 2.0.3 to 2.0.5 for the procedures of formation and numbering of hamlet-groups. Number of hamlet-groups to be formed (D) will be decided as per the criterion given in para 4.7 of chapter one.

2.4.1 **Column (1) : Hamlet-group (h.g.) no.** : The hamlet-groups formed will be given a running serial number (starting from 1) in column (1) as per the guidelines given in paras 2.0.4 & 2.0.5.

2.4.2 **Column (2) : Srl. nos. of hamlets in the h.g.** : The serial numbers of the hamlets recorded in column(1) of block 3 constituting each hamlet-group are to be recorded in col.(2) separated by commas.

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

2.4.4 **Column (4) : Order of selection** : A minimum of two h.g.s and a maximum of five will be selected for the rural samples . A random no. 'R' is to be drawn first between 1 and D (D is the total no. of h.g.s formed) from the table of random numbers (refer to para 2.11.0 for the guidelines). The h.g. whose serial number in column (1) agrees with the value of R will be the first selected h.g. Order of selection number '1' may be recorded in column (4) for this h.g. For selecting other h.g.s the interval of sampling 'I' may be worked out as I = integral part of the ratio D/d where 'd' is the number of h.g.s to be selected. The h.g.s whose srl. nos. in column (1) agree with the value (R+I), (R+2I), ..., R+(d-1)I will be the other selected h.g.s and order of selection nos. 2, 3, ...,d be respectively given in column (4) for these h.g.s(if value of R+kI, where k=1 to (d-1),exceeds D , subtract D from R+kI for this purpose). The serial numbers of the selected hamlet-groups will be ringed in column(1), block 4. **Values of D, d, I and R may be recorded just below the block heading.**

Block 5 : List of households and record of selection

2.5.0 This is the main block of the schedule. Apart from listing all the houses and households of the sample village/hamlet-groups, some auxiliary information like household size, means of livelihood, area of land possessed along with the information whether the

household is engaged in free collection (except fuel wood and marine fishing) will be collected from each household and recorded in this block. Preparation of sampling frame and details of selection of sample households for schedules 31 and 1.0 will also be recorded in this block. It may be noted that in the case of large village, two to five hamlet-groups (depending upon the population of the village) are to be selected for survey. These selected hamlet-groups together will be considered as one unit. Instructions for filling in various columns of the block are given in the following paragraphs.

2.5.1 A house to house visit will be made to list all the houses and households of the selected village/hamlet-groups. It is essential to ensure that there is no omission or duplication of any house or household. Households which are found to be temporarily absent at the time of listing are also to be listed. After ascertaining from the neighbours, as much details as possible about the absentee households, attempt should be made to contact the households at the appropriate hours (even outside the normal working hours of the investigators and if need be, by revisiting the households during the survey period in the sample village. All locked households due to temporary absence should be listed and included in the over all frame for sample selection. In order to ensure complete listing of households, it is always better to follow some definite order for listing. The order followed in 1991 census may be adopted by taking care that any house/household that has come afterwards is not omitted. Otherwise listing may be done starting from the north-west corner of the village/hamlet-groups. The name of any natural grouping of houses like hamlet, street, mohalla, etc. and the date of listing may be written at the top before starting the listing of the houses of the locality. This will help in checking completeness of the listing operation.

2.5.2 While listing in villages for which hamlet-group formation have been resorted to, the houses and households of the selected hamlet-groups will be listed one after another maintaining a continuous serial numbers for households, as if they together constitute one unit. For doing so, the serial number and the names of the hamlets belonging to the hamlet-group which was selected first (i.e. the hamlet-group with order of selection 1) will be recorded in block capitals on the first line of the listing block (i.e. block 5). After completing the listing of houses and households of this hamlet-group, one line will be left blank and on the next line, the serial number and the names of the hamlets belonging to the next hamlet-group (i.e. the hamlet-group with order of selection 2) will be clearly written in block capital and listing of houses/households belonging to this hamlet-group will start from the next line. If more than two hamlet- groups are selected for survey, the same procedure will be followed for listing of houses/households of the 3rd hamlet-group and so on.

2.5.3 **Col.(1) : House number** : All houses including vacant ones will be listed by giving a house number. The 1991 census house number or the number given by the local panchayat or any other local body may be used, if available. The houses without any such numbers or where house numbers are not available at all, will be given a separate running

serial number within brackets, starting from 1. But whenever house numbers are available even for some houses, the actual house numbers will be recorded without any bracket for the houses for which such numbers are available and a running serial number starting from 1 enclosed within bracket will be given to those houses which do not have any house number.

2.5.4 After listing all the households residing in a house, the next house will be listed. If a house is used solely for non-residential purpose or is vacant, the purpose to which it is put, will be written across the line e.g. temple, dispensary, vacant etc. In the case of households living within an establishment such as hospital, hotel, institution, etc, the name of the establishment will be written in the first line across the page and the normal resident households thereof be listed from next line. If two or more households live in a house, all of them will be listed one by one in different lines. For a household living under a tree or bridge (i.e. without any house), a cross mark (x) may be put in col.(1).

2.5.5 **Col.(2) : Household serial number** : The household(s) normally residing in the house listed in col.(1) will be listed in col.(2). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. Household serial number will be given against the lines listed for households only. In case of persons staying, say, in hostels and forming single member households, each of them will be listed in separate lines giving a household serial number. In case of large villages where two to five hamlet-groups have been selected for survey, a continuous serial numbering will be given in col.(2) considering the selected hamlet-groups as one unit.

2.5.6 **Col.(3) : Name of head of household** : The name of head of the household will be recorded in col.(3). The head of the household need not be necessarily the eldest person. The person whom the household members report as the head should be treated as the head of the household.

2.5.7 **Col.(4) : Household size** : The size of the household determined as defined in para 2.0.8.3, will be recorded in this column.

2.5.8 **Col.(5) : Means of livelihood code** : The means of livelihood of household will be determined according to the definitions given in para 2.0.8.9 and it will be recorded in terms of codes in col.(5). The codes are as follows :

     self-employed in non-agriculture ……………. 1
     rural labour …………………………………. 2
     others:
     salary/regular wage earning ………………… 3
     rest ………………………………………………...9

For locked household, if information on m.l. code could not b4 collected even from the neighbours, m.l. code may be   recorded as 9.

2.5.9 Col.(6): Whether the household is engaged in free collection (except fuelwood and marine fishing): As the main thrust of the survey is to collect information on common property resources (which has been defined in detail in chapter four), it is better to classify the households into two categories : those which are engaged in free collection of goods (other than fuelwood and marine fishing) and the rest. The former category of households will form a separate second stage stratum, namely second-stage stratum 1 from which a minimum sample of 4 households will be selected for survey. Thus by this sort of classification it is ensured that the households utilising the common property resources are in the sample. From each household it will asked whether the household is engaged in free collection of goods (other than fuelwood and marine fishing) like fodder, leaves, honey, medical herbs, manure, forest produces like fruits, rubbers, tubes etc. from common property resources. If answer is yes, code 1 will be recorded in col.(6), other-wise code 2 will be put in this column. **For locked household** for which the above information could not be obtained even from the neighbours, code 2 may be recorded in this column.

2.5.10 Col.(7) : Land possessed (in ha 0.00) as on date of survey : The total area of land possessed by the members of the household as on the date of survey will be ascertained and entered in hectare in two places of decimal. However, as in the case of livelihood, the land possessed by normally resident servants, paying guests etc. will not be included in household's land possessed. **For locked household** for which information on land possessed cloud not be collected even with best efforts, '*' marks may be put in this column. For the purpose of second-stage stratification or giving sampling serial numbers in subsequent columns, such households may be considered as possessing land less than 0.40 hectare.

2.5.11 Col.(8) : Sampling serial number for second-stage stratum 1 : This column prepares the sampling frame for the households which are engaged in free collection of goods(except fuelwood and marine fishing). To do this, tick-mark (_/) may be put in this column against those households for which code 1 is recorded in col.(6). Then a running serial number starting from 1 will be given to these tick-marks in the order as they are appearing in this column.

2.5.12 Col.(9) : Sampling serial number for second-stage stratum 2 : This column prepares the sampling frame for second-stage stratum 2 which consists of those households(not engaged in free collection) dependent on salary/regular wage earnings but possessing an insignificant area of land less than 0.40 hectare.   To do this, cols.(5), (6) & (7) are to be considered. Thus a tick-mark (_/) will be put in this column against those households for which code 3 in col.(5), code 2 in col.(6) & an entry of less than 0.40 in

col.(7) are there. Then a running serial number starting from 1 will be given to these tick marks in the order they are appearing in this column.

2.5.13 **Cols.(10) to (14) : Sampling serial number for second-stage stratum 3** : These columns prepare the sampling frame for second-stage stratum 3 which consists of the remaining households i.e. those which are not considered for giving tick-marks/sampling serial numbers in cols. (8) & (9). All these households will be arranged by area of land possessed classes (the classes are : <0.40 ha, 0.40-1.00 ha, 1.00 - 2.00 ha, 2.00 - 4.00 ha & 4.00 ha or more) and given tick-marks (_/) in the relevant cols. (10) to (14) by looking at the amount of land figures recorded in col.(7). Then all the tick-marks of cols.(10) to (14) will be given a fresh running serial number from 1 starting with the first tick mark of col.(10) and ending with the last tick mark of col.(14). It should be ensured that all the tick marks in a given column, spread over all the pages of block 5, have been exhausted for the purpose of giving sampling serial numbers before proceeding to the first tick mark of the next column.

2.5.14 **Cols.(15) to (17) : Order of selection** : The cols.(15), (16) & (17) will be used to give the order of selection numbers to the households selected respectively from the frame of second-stage strata 1, 2 & 3. Before putting the order of selection in these columns, the values of H_i, h_i, I_i & R_i (i=1,2,3) are to be recorded in the respective places of the column headings. The value of H_i is equal to the total number of households in the frame of i-th second-stage stratum. That is,

H_1 = highest sampling serial number given to the tick marks in col.(8).
H_2 = highest sampling serial number given to the tick marks in col.(9)
H_3 = highest sampling serial number given to the tick marks of cols. (10) to (14).

Before giving order of selection numbers in columns (15) to (17), it must be checked that value of (H_1 + H_2 + H_3) agrees with the last household serial number recorded in col.(2).

A total of 16 households will be selected from second-stage strata 1, 2 & 3 together. This sample size will be allocated among the three second-stage strata in proportion to H_1 : H_2 : H_3 and the respective allocations (i.e. h_1/h_2/h_3) may be rounded to nearest integers. While doing so, it should be ensured that $h_1 >= 4$ and h_2 or $h_3 >= 2$ (subject to availability of the required number of households in the respective frame). For $H_1 <= 4$, h_1=H_1 and for H_2 or $H_3 <= 2$, h_2=H_2 and h_3=H_3. Thus following the above procedure the values of h_i (i=1, 2, 3) are determined. They will be recorded against the respective symbols in the column headings. These 16 households are meant for canvassing sch. 31. The required number of households will be selected circular systematically with a random start from the frame of each second-stage stratum. The value of R_i (random start; i=1,2,3) will be selected independently. For each i, R_i should lie between 1 to H_i. Also calculate the values of I_i (called sampling interval) where I_i = integer part of H_i/h_i. The values of h_i,

Ii and Ri will be recorded in the space provided in the appropriate column headings. To select the sample households from i-th second-stage stratum, consider the hi numbers : Ri, Ri+Ii, Ri+2Ii,...., Ri+(hi-1)Ii.   The sample households are those households whose sampling serial numbers agree with those numbers i.e. Ri, Ri+Ii ....Ri+(hi-1)Ii. When any of these numbers exceeds Hi, the sampling serial number is to be obtained by subtracting Hi from it.   The order of selection will be given exactly in the order Ri, Ri+Ii, Ri+2I.....That is to say, it will be 1 for sampling serial number Ri, 2 for sampling serial number Ri+Ii and so on. The sampling serial numbers of the selected households will be encircled in cols. (8) to (14). For Hi = hi (i=1,2,3), values of Ii and Ri may be crossed. In such cases, order of selection numbers will be same as sampling serial numbers.

2.5.15 Col.(18) : Sampling serial number (SS) for the households considered for sch.1.0: :   This column prepares the sampling frame for selection of households for schedule 1.0.   To do this, tick mark (_/) will be put in this column against those households whose m.l. code =1 (i.e. code 1 in col.5). Then 'X' mark will be put against those households whose m.l. code = 2 (i.e. code = 2 in col.5). After this, '-'mark will be put for households with code 3 in col.(5). Lastly '*' marks will be put for the remaining households with m.l. code 9 in col.(5). Then a running serial number starting from 1 will be given first to the tick marks, then subsequent serial numbers to all the 'x' marks, followed by continuous numbering to all the '-' marks and lastly to all the 'x' marks. It may be checked that highest sampling serial number in this column agrees with the last household serial number in col.(2).

2.5.16 Col.(19) : Order of selection for sch. 1.0 :   This column gives the order of selection numbers to the selected households, to be taken up for canvassing sch. 1.0. Before selecting the sample households, the values of H, h, I & R are to be recorded in the places given in the column heading. The value of H is the total number of households listed in this block. In fact, H = highest sampling serial number given in col.(18). Four households are to be selected for sch. 1.0.. That is h = 4 provided H >=4. The households will be selected circular systematically with a random start (R). So the value of R should be such that it lies between 1 & H. Then calculate sampling interval I= integer part of (H/4). The values of h, I & R so obtained may be recorded in the column heading.   Then to select h sample households, consider h numbers : R, R+I, R+2I,....,R+(h-1)I. The sample households are those households whose sampling serial numbers agree with the numbers R, R+I, R+2I.....,R+(h-1)I. When any of these numbers exceeds H, the sampling serial number is to be obtained by subtracting H from it.   The order of selection will be given exactly in the order R, R+I, ...That is to say, it will be 1 for sampling serial number R; 2 for sampling serial number R+I and so on. The sampling serial number of the selected households will be encircled in col.(18).

Block 6 : Particulars of sampling of households

2.6.0 **General**: This block is meant for recording the summary information relating to sampling of households of the selected village. Columns(3) & (4) of this block are to be filled in only after completing entries in block 5, columns (15) to (17) and (19) whereas columns (5) to (8) of this block are to be filled in after completion of the survey in the sample village.

2.6.1 **Col.(2) : Second-stage stratum** : Second stage stratum numbers 1, 2 & 3 are already printed in this column against sch. 31 and there is no second-stage stratum for sch. 1.0. Appropriate entries are to be made in cols.(3) to (8).

2.6.2 **Col.(3) : Number of households in the frame** : Against sch. 1.0, the value of H as recorded in column heading of col.(19) of block 5 is to be copied here in col.(3). In fact the value of H is the highest sampling srl. no. (SS) in col.(18) of block 5. Similarly the values of H1, H2 and H3 as recorded respectively in column headings of cols.(15), (16) & (17) of block 5 are to be copied in col.(3) of this block against second-stage strata numbers 1, 2 & 3 of sch. 31. In fact, the value of H1 is the highest sampling serial number given in col.(8) of block 5. Again the value of H2 is the highest sampling serial number given in col.(9) of block 5. Lastly the value of H3 is the highest sampling serial number given in cols.(10) to (14) of block 5.

2.6.3 **Col.(4) : Number of households selected for survey** : The value of h as recorded in column heading of col.(19) of block 5 is to be copied in this column against sch. 1.0. Generally the value of h should be 4 wherever H >= 4. Similarly, the values of h1, h2 & h3 as recorded respectively in column headings of cols.(15), (16) & (17) of block 5 are to be copied in this column respectively against the second-stage strata numbers 1, 2 & 3 of sch. 31. It may be noted that the value of (h1+h2+h3) should be 16 when (H1+H2+H3) or H >= 16.

2.6.4 **Cols.(5) to (8) : Number of households surveyed and number of casualty households** : These columns will be filled in after canvassing the detailed schedules in the selected households. Number of households with survey code 1 in block 1 of sch.1.0 and 31 will be recorded in col.(5) respectively against sch.1.0 and corresponding second-stage stratum 1/2/3 of sch.31 . Similarly number of households with survey code 2 in block 1 of sch. 1.0 and 31 will be recorded in col.(6) respectively against sch. 1.0 & corresponding second-stage stratum numbers of sch.31. The number of casualty households (i.e. selected households which could not be surveyed) will be recorded in col.(8) which may be derived as follows :

> col.(8) = col.(4) - col.(7), where
> col.(7) = col.(5) + col.(6)

Block 7 : Remarks by Investigator

2.7.0 The investigator may give his remarks here on any abnormal situation or entry in the schedule.

Block 8 : Comments by Supervisory Officer

2.8.0 The Assistant Superintendent, the Superintendent or any other officer who inspects the work relating to the schedule may give his comments here.

Block 9 : Particulars of field operations

2.9.0 The details of field operations will be recorded in this block. While recording the total time taken to canvass the sch. 0.1 (col.3, sl. no. 7), it may be noted that the journey time for reaching the sample village and returning back should not be considered for filling in this item. In other words, total time spent in identification of the boundaries of the sample village, estimation of the present population, hamlet-group formation, listing of households, formation of second-stage strata, selection of households and filling in all other blocks of this schedule may be recorded in hours in one place of decimal.

Chapter Three

Schedule 0.2 : List of households (urban)

3.0.0 **Introduction** : Schedule 0.2 will be filled-in for the sample blocks of the urban sector. Listing of houses, households, preparation of sampling frames of households by second - stage strata and selection of sample households - all these tasks will be carried out in this schedule. It may be said at the outset that procedures to be followed in the case of schedule 0.2 are same as or very similar to those prescribed for schedule 0.1. Therefore, in this chapter, only those procedures which are specially meant for schedule 0.2 will be discussed in detail. Definition of the two terms, viz., 'household consumer expenditure' and 'household means of livelihood' are given below. The former term was not needed for schedule 0.1, and the means of livelihood classes differ between the rural and urban sectors. All other terms have been defined in chapter two.

3.0.1 **Household consumer expenditure** :   This is the total expenditure of a household on domestic consumption only (concept similar to that followed in the usual consumer expenditure enquiry). This will not include any expenditure on enterprise account.

3.0.2 **Household means of livelihood** :   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.   The household will be classified into one of the following classes on the basis of the source(s) the household's income :(1)   self-employed, (2) regular wage/salaried employment, (3) casual labour and (4) others. A household's means of livelihood will be considered as that one which contributed the maximum amount of household's income from economic activities during the last 365 days. The m.l. class of households with no income from economic activities will be 'others'.

3.0.3 **Structure of the schedule 0.2** :   The schedule 0.2 consists of 7 blocks. Block 0 gives the descriptive identification along with codes of the sample block. The name and code for the items state/u.t., district & town are to recorded, where as for the items ward, IV unit & block number, the entries are to be mode only with numbers. Block 1 is also for recording the identification particulars of the sample block only in terms of codes along with some other particulars like present population, survey code and the reason for substitution. It may be noted that present population to be recorded against item 15 of

block 1 is a transfer   entry from col.(4) of block 2. The household sizes of all the households listed in the sample UFS block may be added to obtain the present population of the FSU and the same may be reported against item 15 of block 1. Block 2 is the main block of the schedule   which will be used for listing the households and recording the selection of sample households. This block will be described in detail in the following paragraphs. Block 3 will be used for recording the particulars of sampling of households. This block is same as block 6 of sch. 0.1. That is, number of households in the frame of sch. 1.0 and in the frame of the second-stage strata 1, 2 & 3 for sch. 31 will be copied from the detail block 2 and the information on number of surveyed households & casualty households may be recorded only after canvassing the detail schedules 1.0 and 31. Thus there will be no further explanation on this block. Blocks 4 and 5 are for the investigator and supervisory officers to record their special remarks, if any. Block 6 is for recording the particulars of field operation. Thus block is same as block 9 of sch. 0.1.

Block 2 :   List of households and record of selection

3.1.0 **General**:   Listing of houses and households is to be carried out in this block as in the rural sector. Besides this, some additional information like household size, means of livelihood, average household monthly consumer expenditure will also be collected in this block for classifying the households.

3.1.1 **Cols. (1) to (4) :   House number, household serial number, name of head of household & households size** :   As in sch. 0.1, the house number, household serial number, name of head of household and household size will be entered in cols.(1) to (4) respectively. Page totals of household size (col.4) may   be provided to obtain present population of the FSU, to be recorded in item 15 of block 1. Reference may be made to para 3.1.5 for treatment of **locked households.**

3.1.2 **Col. (5) :   Means of livelihood** :   The household's means of livelihood will be determined as per instructions given in para 3.0.2 and the appropriate code will be recorded in col.(5). The codes are :

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

3.1.3 **Col. (6): Average household monthly consumer expenditure** :   The average monthly consumer expenditure of the household will be ascertained and recorded in rupees (whole members) in col.(6). It may be clarified that this will be the average expenditure per month based on the preceding twelve months' expenditure and not simply the expenditure of the preceding month.

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3.1.4 **Col. (7) : Monthly per capita expenditure** :   The average household monthly consumer expenditure (col. 6) will be divided by household size (col.4) to get per-capita-expenditure which will be recorded in rupees (whole number) after rounding off to nearest integer in col.(7).

3.1.5   Treatment for locked households: For locked households, if information with respect to some or all of the columns (3) to (6) cannot be obtained even from the neighbours, the following entries are to be made in various columns:-

column no.	entry to be made
3 / 4	write "locked household" against the space
5	2
6 / 7	put '*' mark in each column and treat such households as having MPCE between A & B for the purpose of giving sampling serial numbers

3.1.6 **Cols. (8) to (15) : Sampling serial number** :   The households will be classified into three groups, namely, second-stage stratum 1,2 and 3. The second-stage stratum 2 will consist of the households whose means of livelihood are identified as 'casual labour' i.e. m.l. code 3 in col.(5). Thus to prepare the frame for second-stage stratum-2, tick marks (_/) will be put in col. (14) against those households whose m.l. code = 3 in col.(5). A running serial number starting from 1 will be given to these tick marks in the order they are appearing in this column. This completes the preparation of the sampling frame of households belonging to second-stage stratum-2. Similarly col.(15) prepares the sampling frame for second-stage stratum 3 which consists of the households whose m.l. code = 9 in col. (5). In other wards, second-stage stratum 3 consists of the households with no income from economic activity. All such households will be given tick marks with running serial numbers starting from 1 by the right side of the tick marks in col.(15). The second-stage stratum 1 consists of the households whose m.l. codes are either 1 or 2. Before selection of sample households from this stratum, the households with m.l. code = 1 will be arranged by per capita expenditure classes viz. below A, A to B (both inclusive) & above B and similarly the households with m.l. code = 2 will also be arranged by 3 per capita expenditure classes viz. above B, A to B & below A, where A and B have been determined at state/u.t level such that the above per capita expenditure (pce) classes : below A, A to B & above B will roughly include lowest 30%, middle 60% and the top 10% of the population. The values of A and B by state/u.t. are given in Appendix. Thus to prepare the sampling frame for second - stage stratum 1, put a tick mark (_/) in one of the cols.(8), (9) or (10) depending on whether the household with m.l. code = 1 has its pce less than A, A to B or greater than B. Similarly put a tick mark (_/) in one of the cols.(11), (12) or (13) if pce of the households with m.l. code = 2 is greater that B, A to B

or less than A. The tick marks from cols.(8) through (13) will be given a fresh running serial numbers starting from 1 from the first tick mark of col.(8) and ending with last one of col.(13).

3.1.7 **Cols. (16) to (18) : Order of selection** :   The cols. (16), (17) & (18) give the order of selection numbers to the households selected respectively from the frame of second-stage strata 1,2 & 3.   The households will be selected independently from each of the second-stage strata 1, 2 & 3 circular systematically with independent random starts. A total of 18 households will be selected altogether from the three second strata. The actual number of households to the selected from the 3 second-stage strata will be determined by distributing 18 households to the 3 second-stage strata in proportion to the total number of households(Hi) in the respective frames with the restriction hi(i.e. number of households to be selected from i-th second-stage stratum) >= 2 (values of hi may be rounded to nearest integers). To select the sample households, get the random numbers Ri (i=1,2,3) where 1 <= Ri <= Hi & calculate Ii = integer part of (Hi/hi).

  H1 = highest sampling serial number in cols.(8) to (13) = total number of households in
         the frame of second stage stratum 1.

  H2 = highest sampling serial number in col.(14) = total no. of households in the frame
         of second-stage stratum 2.

  H3 = highest sampling serial number in col.(15) = total number of households in the
         frame of second - stage stratum 3.

 It may be checked that the value of (H1 + H2 + H3) agrees with the last household serial number in col.(2). The values Hi, hi, Ii & Ri (i.e. 1,2,3) so obtained will be recorded in the places provided in the column headings of the cols. (16) to (18). The procedure of sample selection is same as that described for sch 0.1 . Order of selection will be given in the same fashion as that followed for sch 0.1. The sampling serial numbers of the selected households will be encircled.

3.1.8 **Cols. (19) & (20) : Sampling serial number (SS) and order of selection for sch. 1.0** : Col.(19) gives the sampling serial numbers for the households considered for sch 1.0. To do this, put the symbol _/ or X or - or * in col. (19) depending on whether the household's m.l. code is 1 or 2 or 3 or 9. Then serial number starting from 1 will be given to the _/ marks first, then to the marks x in continuation of the last number given to _/ marks and subsequently to '-'marks and lastly to '*' marks in the similar fashion. The highest serial number of col. (19) will be equal to total number of households (i.e. last serial number of col.(2)) listed in the block. This gives the values of H. Here also 4 households will be selected for survey (i.e. h = 4) from the frame by circular systematic method of sampling. Record the values H, h, I & R in the space given in column heading

of col. (20). The procedure of selection & putting the order of selection numbers is same as that followed for sch. 0.1 in the rural sector.

3.2.0 **Random numbers** : A table of random numbers is supplied to each investigator. The n-th column of the table will be consulted in the case of the central sample and (n+1)-th column in the case of the state sample, where n is the last two digits of the serial number of the sample village/block. When n=00, it will be taken as 100. The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digited 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 selection, whenever required. The subsequent random numbers may be used for selection of households from second-stage strata 1,2 & 3 of sch. 31 and from the frame of households for sch. 1.0, in the order specified.

3.3.0 **Substitution of villages/blocks** : If a sample village/block cannot be surveyed due to say, it being not identifiable or traceable, not accessible or for any other reason, it will be substituted. All such cases will be referred to :

> The Deputy Director,
> N.S.S.O., DPD Co-ordination,
> 164, Gopal Lal Tagore Road,
> Calcutta - 700 035.

In case no village/block (originally selected / substituted) could be surveyed even with best effort (i.e. code 7 in item 17, block 1), a blank sch. 0.1 or 0.2, will be submitted with only blocks 0,1, 7, 8 and 9 of sch.0.1 or blocks 0, 1, 4, 5 and 6 of sch.0.2 filled-in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

3.3.1 If a sample village/block is found to be depopulated at the time of survey or its population has been shifted elsewhere due to some natural calamity or it is a zero case, it will not be substituted. It will be treated as valid sample and blank schedule 0.1/0.2 with only blocks 0,1,7,8 & 9/ 0,1, 4,5 & 6 filled-in will be submitted in such cases. The word/words UNINHABITED or ZERO CASE, as appropriate, is/are to be written on the top of the front page of the schedule (for any one of the survey codes 2,3,5 and 6 in item 16 of block 1). However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North-Eastern states where, for example, jhum cultivation is prevalent, whole village may shift from place to place. In such cases, the sample village will be surveyed in

the place where it is currently located and not treated as a zero case even if found absent in its original location.

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

3.3.3 It is important to note that the schedule 0.1/0.2 will be submitted for every sample village/block irrespective of whether it is surveyed/substituted (including zero case) or a casualty.

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

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

3.4.2 **Case (b) : With hamlet-group formation** :   If repetition is in the same sub-round, the hamlet-groups formed during the first visit will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-groups selected afresh. In the rural sector, if all the earlier hamlet-groups are re-selected, then a new random number may be drawn so that different hamlet-groups are selected for survey. But if only one or some hamlet-groups are re-selected, they may be substituted by the next one not selected earlier. For the selection of households, the

procedure suggested in para 3.4.1(a) may be followed. If the repetition of FSU is in a different sub-round, it may treated as a new sample.

3.5.0 **Substitution of sample households** : If any sample household could not be surveyed due to some reason or other, it will be substituted by another suitable household. The household to be considered as substitute should also belong to the same second-stage stratum. The household with the next sampling serial number of the same column(same m.l. code for sch.1.0) will be the substitute for the originally selected household. The substitute for the last household (i.e. having highest serial number) of a column (m.l. code for sch.1.0) will be the first household (i.e. having lowest serial number) of the same column.

Table 4: Values of the cut-off points (A & B) of per capita expenditure (in Rs.)
　　　　　 for urban sector by state/u.t.

State/u.t.	A	B	State/u.t.	A	B
Andhra Pradesh	325	1014	Nagaland	571	1074
Arunachal Pradesh	486	1204	Orissa	351	1003
Assam	413	1126	Punjab	482	1182
Bihar	317	869	Rajasthan	390	981
Goa	501	1200	Sikkim	516	1242
Gujarat	431	1024	Tamil Nadu	369	1067
Haryana	455	1151	Tripura	467	1142
Himachal Pradesh	508	1548	Uttar Pradesh	340	950
J & K	513	1316	West Bengal	392	1198
Karnataka	364	1038	A & N Islands	672	2061
Kerala	427	1167	Chandigarh	637	2951
M. P.	495	945	D & N Haveli	378	1028
Maharastra	427	1375	Daman & Diu	520	1001
Manipur	362	620	Delhi	565	1888
Meghalaya	526	1208	Lakshadweep	474	1190
Mizoram	615	1091	Pondicherry	388	962

Note: the values of A & B are based on NSS 50th round estimates and adjusted by a correction factor (C.F) given by :

C.F = (projected CPI at 1998 March for all-India) / (CPI at mid point 1993-94 for all-India)

(a) Example showing the determination of the values of h1, h2 & h3 in some hypothetical cases in the rural sector :

Case types	Values of			Values of h1,h2,h3 in proportion to H1,H2,H3			Reallocation of residual allocation total to two other 2nd-stage strata if any of h1,h2,h3 falls below the min. reqd. allocation			Final allocation of		
	H1	H2	H3	H1	H2	H3	H1	H2	H3	H1	H2	H3
Case 1	12	2	65	2.43	0.41	13.16	-	-	-	4	2	10
Case 2	10	70	20	1.60	11.20	3.20	4	9.3	2.7	4	9	3
Case 3	2	60	30	0.34	10.43	5.22	2	9.3	4.7	2	9	5
Case 4	4	25	40	0.93	5.80	9.27	4	4.6	7.4	4	5	7

(b) Example showing the determination of the values of h1,h2 & h3 in some hypothetical cases in the urban sector :

Case types	Values of			Values of h1,h2,h3 in proportion to H1,H2,H3			Reallocation of residual allocation total to two other 2nd-stage strata if any of h1,h2,h3 falls below the min. reqd. allocation			Final allocation of		
	H1	H2	H3	H1	H2	H3	H1	H2	H3	H1	H2	H3
Case 1	40	10	20	10.3	2.6	5.1	-	-	-	10	3	5
Case 2	60	2	15	14.0	0.5	3.5	12.8	2	3.2	13	2	3
Case 3	60	30	10	10.8	5.4	1.8	10.7	5.3	2	11	5	2
Case 4	80	6	9	15.2	1.1	1.7	-	-	-	14	2	2