NATIONAL SAMPLE SURVEY
FIFTY SECOND ROUND : JULY 1995 - JUNE 1996
INSTRUCTIONS TO FIELD STAFF : VOLUME I
DESIGN, CONCEPTS, DEFINITIONS AND PROCEDURES

SECTION ONE
GENERAL

1. *INTRODUCTION*

1.1   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 first round field operation in June 1995. The fifty second round will start from July 1995 to be completed by June 1996.

2. *GENERAL PARTICULARS OF THE SURVEY*

2.1 SUBJECT COVERAGE : The 52nd round of NSS will be primarily focused on health care and education including problems of the aged persons (60 years and above). The survey on consumer expenditure and employment-unemployment shall also be carried out as in the usual annual rounds. This apart, information on availability of some infra-structural facilities to the villages, relevant in the context of social consumption, will be collected through a separate block in the listing schedule itself. It may be mentioned that the subjects of health care, education and aged persons were earlier covered in the 35th (1980-81) and 42nd (1986-87) rounds of surveys on social consumption by NSSO.

2.2 *SCHEDULES OF ENQUIRY* : The whole gamut of information intended to be collected through the survey on social consumption and aged persons has been modeled into two schedules of enquiry viz. schedule 25.0 (covering maternity, child care, medical services and aged persons) and schedule 25.2 (covering education). The following table gives the list of schedules of enquiry for the 52nd round.

Table (1.1) : Schedules to be conversed in NSS 52nd Round :

Sl. No.	Schedule No.	Description	Sector
(1)	(2)	(3)	(4)
1.	0.0	List of Households	Rural & Urban
2.	1.0	Consumer Expenditure	Rural & Urban
3.	25.0	Survey on Health Care	Rural & Urban
4.	25.2	Participation in Education	Rural & Urban

2.3 *PERIOD OF SURVEY* : As mentioned earlier, the 52nd round survey will be of one year's duration, starting from July 1995 and ending by June 1996.

2.4 *GEOGRAPHICAL COVERAGE* : The survey will cover the whole of Indian Union Excepting (I) Ladakh and Kargil districts of Jammu & Kashmir, (ii) interior villages of Nagaland (consistind of 71.2 % of total number of villages) situated beyond 5

1

kms. of a bus route and (iii) 35.5% villages of Andaman & Nicobar Islands which are inaccessible throughout the year.

2.5 **WORK PROGRAMME** : The survey period of one year of this round is divided into four sub-round of three months' duration each as indicated below :

Sub-Round	Period of Survey
1	July - September 1995
2	October - December 1995
3	January - March 1996
4	April - June 1996

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

2.6 **PARTICIPATION OF STATES** :All the states/u.t.s excepting Andaman & Nicobar Islands., Dadra and Nagar Haveli and Lakshadweep are expected to participate in this round at least on an equal matching sample basis.

3. **CONTENTS** : The present volume contains the concepts and definitions relating to the topics of enquiry and detailed instructions for filling in the various schedules.   It contains four Sections and two Appendices. Section 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 in schedules 0.0, 25.0 and 25.2 are given in sections Two, Three and Four respectively.   While the list of FOD Sub-regions is given in Appendix-I, the compositions of the NSS Regions are given in Appendix - II . Explanations of the major concepts and definitions of the technical terms used in respect of different schedules are given in the respective Sections.

4. *SAMPLE DESIGN*

4.1 GENERAL : As usual, a stratified two-stage design is adopted for the current round. The first-stage units are census villages in the rural sector (panchayat wards in case of Kerala) and the NSSO urban frame survey (UFS) blocks in the urban sector. The second-stage units are households in both the sectors.

4.2 *SAMPLING FRAME FOR FIRST STAGE UNITS* : The lists of census villages of 1991 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. For the urban sector, the lists of NSSO Urban Frame Survey (UFS) blocks have been considered as the sampling frame.

4.3 *STRATIFICATION*

4.3.1 RURAL : In the rural sector, each district is treated as a separate stratum. However, if the 1991 census population of the district is greater than or equal to 2 million (1.8 million population as per 1981 census for J & K) , the districts is split into two or more strata, by grouping contiguous thesis to form strata. In Gujarat, in the case of districts extending over more than one NSS region, the part of a district falling within each NSS region forms a separate stratum.

4.3.2 ***URBAN*** : In the urban sector, strata are formed, within each NSS region, by grouping towns on the basis of the population size class of towns. The urban strata are formed as follows :-

Table (1.2) : Composition of urban strata

	NSS Region
Stratum No.	Population size class (as per 1991 census) of towns
(1)	(2)
1	all towns with population less than 50,000
2	,, ,, ,, 50,000 - 1,99,999
3	,, ,, ,, 2,00,000 - 9,99,999
4,5	each city with population 10,00,000 or above

(Note : each city with population 10 lakhs or above forms a separate stratum)

4.4 ***ALLOCATION OF FIRST-STAGE UNITS (FSUs)*** : It is decided to select a total sample of 13,000 FSUs (rural & urban combined) for the 'central sample' at all-India level. The total sample size of FSUs (rural & urban combined) for the central sample for a state/ u.t. has been allocated to its rural and urban sectors considering the relative sizes of the rural and urban population with double weightage to the urban sector. Sate-level rural /urban allocations are adjusted to multiples of 8 . Allocation of first-stage units by state x sector is given in Table (1.5) . The state-level rural sample size is allocated to the rural strata in proportion to their rural population figures as per the census. Similarly urban sample size of the state/u.t. is allocated to the urban strata in proportion to urban population figures as per the census. All the stratum-level allocations are adjusted to multiples of 8 as far as possible)otherwise multiples of 4). Allocations have been them equally in each sub-sample x sub-round combination (2 sub-samples x 4 sub-rounds).

4.5 ***SELECTION OF FIRST-STAGE UNITS*** : Sample FSUs in the rural sector have been selected circular systematically with equal probability . In the u.t. of Goa, Daman & Diu, the district Diu consists of only two villages . Both the villages of the district have been selected for the purpose of the survey for each of central and state samples. Sample blocks in the urban sector have also been selected circular systematically with equal probability. Sample FSUs of both the rural and the urban sectors have been selected in the form of two independent sub-samples.

4.6 *ARUNACHAL PRADESH*   : For the rural areas of Arunachal Pradesh, the procedure of cluster sampling has been followed . The field staff will be supplied with a list of nucleus villages and they will select the remaining villages of the cluster according to the procedure described in para 2.0.7 of Section Two . The nucleus villages have been selected circular systematically with equal probability, in the form of two independent sub-samples.

4.7 *SELECTION OF HAMLET-GROUPS/SUB-BLOCKS (FOR 'LARGE' FSUs ONLY)* : Large FSUs will be divided into a suitable number of hamlet-groups/sub-blocks having equal population content (refer to paras 2.0.5 for detailed guidelines). Two hamlet-groups are to be selected from large FSUs in the rural sector whereas, only one sub-block is to be selected from large FSUs of the urban sector. The procedures of hamlet-group and sub-block formation/selection have been discussed in detail in Section Two. The two selected hamlet-groups in large FSUs of the rural sector will be considered together as one unit for combined listing and selection of households.

4.8 *SELECTION OF HOUSEHOLDS (SECOND-STAGE UNITS*) : From each selected FSU (or the selected hamlet-group/sub-block of the FSU for large FSUs), a sample of 4 households for schedule 1.0, 10 households for schedule 25.0 and 6 households for schedule 25.2 will be selected for the detailed enquiry. However, before selection, the listed households will be first grouped into second-stage strata for sch. 25.0 and 25.2 . The composition of different second-stage strata and the number of sample households to be selected from each of them are shown below in Table (1.3).

Table (1.3) : Number of sample households to be selected for different schedules of enquiry

sch. no.	subject coverage	no. of second-stage strata to be formed	second-stage stratum		no. of households to be selected
			no.	composition (sampling frame)	
(1)	(2)	(3)	(4)	(5)	(6)
1.0	consumer expenditure	-	-	all households	4
25.0	survey on health care	3	1	households reporting at least one child of age '0' year	2
			2	of the remaining households, those reporting any case of hospitalisation* during the last 365 days	2
			3	remaining households	6
25.2	participation in education	2	1	households reporting at least one member in the age group 5-24 years as currently enrolled at post-primary level*	3
			2	remaining households	3

* Hospitalisation : A case of hospitalisation means availing of medical services by any member of the household (including the one who died during the reference period) as an indoor patent in any hospital. Hospital covers public/ private hospital, community health centers, primary health centers (if provided with beds), nursing homes, etc.

* Enrollment at post-primary level : A member will be considered to be currently enrolled at post-primary level if he/she is enrolled for studies at any education level above the level primary. Primary level means classed up to I to IV or I to V standard depending upon the system followed in the state/ u.t. Thus students studying in, say , class VI/ class VIII or in the level of education: secondary/ higher secondary/ graduate/ post-graduate will be considered to be currently enrolled at post-primary level. Reference may also be made to paras 4.0.0 & 4.3.7 of Section Four to see the coverage of education.

For schedule 1.0, the households listed will be arranged by their means of livelihood and then the required number (i. e. 4) of sample households will be selected circular systematically with a random start. For schedules 25.0 and 25.2, the number of sample households to be selected from different second-stage strata is given in table (1.3). However, for any schedule type (i. e 25.0 or 25. 2), if there is a shortfall in the required number of households in the frame of any particular second-stage stratum, the quota for the other second-stage stratum/strata has to be increased within the same schedule type as per the guidelines given below so that the required total number of households (i.e 10 for schedule 25.0 and 6 for schedule 25.2) is selected for the particular schedule type from the FSU (or hamlet-groups/sub-block for large FSUs) for detailed enquiry.

Table (1.4) : Procedure of adjustment for shortfall

schedule number	procedure of adjustment for shortfall
25.0	Shortfall in the required number of households in second-stage stratum 1, if any, may be made up by increasing the quota for second- stage stratum 2 and viceversa. After this adjustment there can be two situations as follows (1) There is still a shortfall in the required no. of (i.e. 4) households for second-stage strata 1 and 2 combined - Total quota for second-stage stratum 3 may be increased so that a total of 10 households is selected for the schedule. (2) There is no shortfall in the total quota of 4 households for second-stage strata 1 and 2 combined - A sample of 6 households may be selected from second-stage stratum 3 so that a total of 10 households is selected for the schedule, however, if there are less than 6 households in the frame of second-stage stratum 3, the shortfall of required number of households in second-stage stratum 3 may be made up by alternatively increasing the quota for second-stage strata 1 and 2. That is, if there is a shortfall of 1 household, the same be made up from second-stage stratum 1 (if no additional household is available in second-stage stratum 1, obviously the quota will have to be filled-in from second stage stratum 2) for a shortfall of 2 households in second-stage stratum 3, one additional household from each of second stage strata 1 and 2 is to be selected, and so on.
25.2	Shortfall in the required number of households in any second-stage stratum may be made up by increasing the quota for the other second-stage stratum so that a total of 6 households is selected from each FSU.

After determining the number of households to be finally selected (h) from different second-stage as per the above guidelines, the required number of sample households for schedules 25.0 & 25.2 may be selected independently from each second-stage stratum by circular systematic sampling with a random start.

Some examples showing the number of households to be selected(h) from different second-stage strata (schedules 25.0 & 25.2) are given below:

sch. no.	2nd stage stratum	example 1 no. of hhs.		example 2 no. of hhs.		example 3 no. of hhs.		example 4 no. of hhs.		example 5 no. of hhs.	
		H	h	H	h	H	h	H	h	H	h
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
25.0	1	10	3	2	2	3	3	15	4	3	3
	2	1	1	0	0	0	0	5	3	8	5
	3	149	6	6	6	47	7	3	3	2	2
25.2	1	2	2	7	5	10	3	22	5	4	3
	2	158	4	1	1	40	3	1	1	9	3

(H : TOTAL NO. IN THE FRAME   h :   NO. TO BE SELECTED)

Table (1.5) : Distribution of sample villages and blocks for NSS 52nd round survey

state/union-territory	number of sample village/ block			
	central sample		state sample	
	rural	urban	rural	urban
(1)	(2)	(3)	(4)	(5)
1. Andhra Pradesh	528	384	528	384
2. Arunachal Pradesh	144*	24	144*	24
3. Assam	360	88	360	88
4. Bihar	768	232	768	232
5. Goa	24	24	32	32
6. Gujarat	256	264	512	528
7. Haryana	112	80	224	160
8. Himachal Pradesh	208	40	208	40
9. Jummu & Kashmir	312	200	624	400
10. Karnataka	280	248	280	248
11. Kerala	288**	208	288**	208
12. Madhya Peadesh	552	328	552	328
13. Maharashtra	456	560	436	840
14. Manipur	96	72	192	144
15. Meghalaya	112	56	112	56
16. Mizoram	56	96	56	96
17. Nagaland	96	48	96	144
18. Orissa	352	112	352	112
19. Punjab	232	200	232	200
20. Rajasthan	328	200	328	200
21. Sikkim	120	24	120	24
22. Tamil Nadu	448	472	448	472
23. Tripura	192	72	192	72
24. Uttar Pradesh	968	480	968	480
25. West Bengal	480	368	480	368
26. A & N Islands	72	48	-	-
27. Chandigarh	8	16	-	32
28. D & N Haveli	8	8	-	-
29. Daman & Diu	8	8	8	8
30. Delhi	8	128	24	384
31. Lakshadweep	8	8	-	-
32. Pondicherry	8	16	8	16
33. All India	7888	5112	8592	6320

 * 24 nucleus villages
 ** denotes number of panchayat wards.

SAMPLING DESIGN, NSSO 52ND ROUND - A FLOW CHART

The survey covers the whole of the country excepting (i) Ladakh &Kargil districts of J & K, (ii) villagds beyond 5 kms. of a bus route in Nagaland and (iii) inaccessible villages of A & N Islands. A stratified two - stage design, with villages/urban blocks as the FSUs and hhs. as the SSUs, is adopted. A total sample of 13,000 FSUs in the central sample and 14,912 FSUs in the state sample is contemplated for survey at all India level.

	State/u.t	
	rural	urban

STEPS

	rural	urban
1. SAMPLING FRAME OF FSUs	1991 census lists of villages (panchayat wards for Kerala, 1981 list for J & K)	Urban Frame Survey (UFS) lists of blocks
2. STRATIFI-CATION	generally each district is a stratum, district having census population ≥ 2, millions (1.8 million as per'81census for J & K) is, however, split into a no. of strata. For Gujarat, some districts are spread over more than one NSS regions. In such cases part of district falling within each NSS region forms a separate stratum	strata are formed within each NSS region by grouping towns according to population size classes as follows : stratum 1 : $P < 0.5$ 2 : $0.5 \leq P < 2$ 3 : $2 \leq P < 10$ 4,5 : each city with $P \geq 10$ (P = '91 census population of the town in lakhs)
3. ALLOCA-TION OF FSUs	state-level rural sample size [ref. Table (1.5), Section One] allocated to different strata in proportion to census population figures	state-level urban sample size [ref. Table (1.5), Section One] allocated to different strata in proportion to census population figures
4. SELECTION OF FSUs	selected circular systematically with equal probability, in the form of two independent sub-samples	selected circular systematically with equal probability, in the form of two independent sub-samples
5. H.G./S.B. SELECTION	2 h.g.s to be selected circular systematically from 'large' FSUs and be considered as one unit for survey	1 s.b. to be selected at random from 'large, FSUs

			second-stage stratum		
6. SELECTION OF HOUSE-HOLDS (SSUs)	sch.	no.	composition	no. of hhs. to be selected	remarks
	1.0	-	all households	4	make adjustment for
	25.0	1	hhs. with any child of age '0' yr.	2	shortfall if necessary
		2	rest with cases of hospitatisation during last 365 days	2	and select the required no. of hhs. circular
		3	rest of the hhs.	6	systematically
	25.2	1	hhs. with any member (5-24 yrs.) currently enrolled at post-primary level	3	
		2	rest of the hhs.	3	

SECTION TWO
SCHEDULE 0.0 : LIST OF HOUSEHOLDS

2.0.0 Introduction : Schedule 0.0 is meant for listing all the households of the sample FSU (selected hamlet-groups/sub-block in case of large FSU), collection of same households particulars, preparation of the sampling frame for selection of sample households for schedules 1.0, 25.0 and 25.2 and recording the details of sample selection. Whenever hamlet-groups/sub-blocks are required to be formed, particulars relation to their formation and selection will also be 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 and UFS block in the urban sector. 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 the FSUs . For the rural sector of Kerala, panchayat wards as per 1991 census are, however, the FSUs (Hereinafter, wherever the term 'village' is mentioned in the Instructions Manual, it means panchayat ward for the state of Kerala as an exception). The investigator, on arrival at a sample village/block, will ascertain the exact boundaries of the sampled census village/block mentioned in the sample list. Necessary help of the officials like patwari, panchayat/ municipal authorities, etc. may be taken in this regard.

2.0.2 Number of hamlet-group/sub-block to be formed : With a view to controlling the work load mainly at the stage of listing of households, hamlet-groups/sub-block selection will be resorted to in FSU's having 'large' population. A village/block having present population 1200 or more (600 or more for rural areas of H.P., Sikkim and Punch. Rajouri, Udhampur and Doda districts of J & K) will be divided into a certain number(D) of sub-divisions called 'hamlet-groups' (rural) /'sub-blocks' (urban). In the rural sector, two hamlet-groups will be selected circular systematically and the survey will be confined only to the selected hamlet-groups considering them as one unit. It the urban sector, however, only one sub-block will be selected for the purpose. The procedure for forming the hamlet-groups/ sub-blocks is outlined in paras 2.0.3 to 2.0.5.

2.0.3 The investigator will first ascertain the approximate present population of the sample village/block at the time of survey. This has to be ascertained mainly from the knowledgeable individuals by putting certain probing questions. The starting point can be the 1991 census population. In the case of large difference with the 1991 census population, it may be asked : whether there has been any abnormal influx into or exodus from the FSU 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 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/sub-blocks to be formed (D) will be decided as follows :

Table (2.1) : Number of hamlet-groups (h.g)/sub-blocks (s.b) to be formed (D).

rural samples		urban samples	
approx. present population of the FSU	value* of D	approx. present population of the FSU	value of D
(1)	(2)	(3)	(4)
less than 1200	1 (i.e.no h.g. formation)	less than 1200	1 (i.e.no s.b. formation)
1200 - 1799	4	1200 - 1999	2
1800 - 2199	5	2000 - 2799	3
2200 - 2599	6	2800 - 3599	4
2600 - 2999	7	3600 - 4399	5
(and so on)		(and so on)	

* Note : For rural areas of Himachal Pradesh, Sikkim and Punch, Rajouri, Udhampur and Doda districts of Jammu & Kashmir, the values of D will be D=1 for population less than 600; D=4 for population 600 to 1199; D=5 for population 1200 to 1499; D=6 for population 1500 to 1799 and so on.

2.0.4 Formation of hamlet-groups : In a large village there exists usually a few localities or pickets where to houses of the village tend to cluster together. These are called 'hamlets'. In case there are no such recognised hamlets in the village, the census sub-divisions of the village (e.g. enumeration blocks or groups of census house numbers or geographically distinct blocks of houses) may be treated as 'hamlets'. Large hamlets may be divided artificially to achieve equality of population content for the purpose of hamlet-group formation (refer to para 2.0.4(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 described above.

(ii) Ascertain approximate present population of each of the hamlets.

(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 southwards. While drawing this map, uninhabited area (non-abadi area) of the village will be included as 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 landmarks like canals, footpaths, railway lines, roads, cadastral survey plot numbers etc., so that it would be possible to identify and locate the geographical boundaries of the hamlet-groups to be formed in the village.

(iv) List the hamlets in block 3 of schedule 0.0 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 schedule 0.0 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 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 aerial unit with well-defined identifiable boundaries. Draw a notional map in block 2 showing the location and boundary particulars of the sub-blocks and number them in serpentine order starting from the north–west corner and then proceeding south-wards. List the sub-blocks in block 4 of schedule 0.0 in order of their numbering.

2.0.6 Selection of hamlet-groups/sub-block (For the large FSUs) : Two hamlet-groups may be selected circular systematically with a random start for the rural samples whereas only one sub-block may be selected at random for the urban samples.

2.0.7 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 different steps involved in the procedure to be adopted are described in the following sub-paras.

(I) The rural sample list gives in the case of Arunachal Pradesh, the list of what are called 'nucleus' villages. The clusters of villages to be surveyed will be built around the nucleus villages.

(ii) While forming the clusters the following points are to be kept in mind :

(a) The maximum distance to be traveled to move between the sample villages within a cluster may not ordinarily exceed 15 kms.

(b) Starting from the nucleus village, the households of each village within the cluster will be completely listed using separate listing schedule for each village of the cluster. The order of listing of villages will be that of increasing distance from the nucleus village.

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

(d) After listing completely the households of a village, it will be checked whether the total number of households listed so far in the cluster is equal to or greater than 400. If it is so, no more villages are to be listed.

(e) If, however, even after listing four villages, 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.

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

(iv) 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 the villages between this cluster and those of the next. Serial number of the nucleus village of the next cluster should not be altered to bridge this gap. The gap may be allowed to 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.

(v) 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 that of the sample list supplied originally.

2.0.8 Starting point for listing : After having determined the aerial unit to be surveyed, the investigator will proceed to list the houses and the 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/block. While listing the households, some essential minimum information about the households will be collected. The definitions of some terms used in this connection are given below in para 2.0.9.

2.0.9 Concepts and definitions :

2.0.9.1 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.

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

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

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

(v)   Barracks of military and para-military forces (like police, BSF etc.) are outside the survey coverage.   However, civilian population residing in their neighborhood, 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.

2.0.9.0   Household size : The number of normally resident members of a household is its size. It will include temporary stairways but exclude temporary visitors and guest. Even though the determination of the actual composition of a household will be left to the judgment of the head of the household, the following procedures will be 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 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.

2.0.9.4   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'.

2.0.9.5   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".

2.0.9.6 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, job not involving much of manual labour but at the same time not 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.

Division 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).

2.0.9.7 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'.

2.0.9.8 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 and for urban samples, it will be any one of (a) self-employed, (b) regular wage/salary earning, (c) casual labour and (d) 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.

(i) Rural samples : If a household's income is mostly from one source, there will not be any difficulty in classifying 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' (code 9).

(ii) Urban samples : List the household's income from the economic activities under four categories viz. (i) self-employment, (ii) regular wage/salary earning, (iii) casual labour and (iv) other economic activities. If the income from at least one of the categories of (i) to (iii) is greater than or equal to the income from (iv), the household's m.l. code will be either of 1 to 3; the appropriate code will relate to the category [any one of (i) to (iii)] from which maximum income was derived (if income from different

categories is, however, equal, the code may be given in the priority order as listed). If income from category (iv) is greater than income from each of categories (i) to (iii) and also if there is no income from economic activities, the m.l. code will be 9.

2.0.10   The structure of the schedule : Schedule 0.0, to be filled in the sample FSUs, contains the following blocks :

Block 0 : descriptive identification of sample village/block
Block 1 : identification of sample village/block
Block 2 : sketch map of hamlet-groups/sub-blocks formation
Block 3 : list of hamlets
Block 4 : selection of hamlet-groups/sub-block
Block 5 : availability of some facilities in the village
Block 6 : list of households and record of selection
Block 7 : particulars of sampling of households
Block 8 : remarks by investigator
Block 9 : comments by supervisory officer
Block 10 : particulars of field operations

2.0.11   Use of additional sheets of block 6 : Whenever one schedule booklet is not adequate to list all the households in the sample FSU, additional sheets containing block 6 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.

2.0.12 **Block 0** : **Descriptive identification of sample village/block** : This block is meant for recording descriptive identification particulars of the same village/block. Name of state/u.t., district, tehsil (for rural samples) / town (for urban samples and village alongwith ward/investigator unit/block/charge/circle/EB number relevant to the sample block, may be copied from the sample list.

2.1.0 **Block 1** : **Identification of the 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 relating to all the items will be recorded in box spaces provided in the block against each item (except for items 4 & 5, 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 big spaces provided, '0' shall be entered in the left most big space (s). For example, if the total no. of hamlet-group/sub-blocks formed in the sample village/block 5, the entry against item 15 should be recorded as 05. Items 1, 2 and 6 to 13 shall be copied from the sample list.

2.1.1 Item 3 : FOD sub-region :   The four digited code corresponding to the FOD sub-region (see Appendix - I) to which the sample village/block belongs will be recorded against item 3. 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 present population : The approximate present population of the <u>whole</u> sample village/block 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/sub-blocks formed : The total number of hamlet-group/sub-blocks actually formed as per the guidelines given in table (2.1) in the sample village/block will be recorded against item 15. If the sample village/block does not require any hamlet-group/sub-block formation, the entry against this item will be "01".

2.1.4 Item 16 : Survey code : When the original sample village/block (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/block is inhabited and 2 when it is found to be uninhabited. Code will be 3, when the sample village/block is treated as a 'zero case'. Examples of zero cases are : villages/blocks 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/blocks wholly submerged under water in a dam or villages/blocks with the whole population evicted because of acquisition of land to construct a new factory or other project work etc. <u>With no chance of habitation</u> in future. As against this, the village/block 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/block and will be given code 2. When the original sample village/block is a casualty and it has been substituted by another village/block which is surveyed (inhabited, uninhabited or zero case), the survey code will be 4 if the substitute village/block is inhabited; 5 if the substitute village/block is uninhabited and 6 if it is treated as a zero case. If the substitute village/block cannot be surveyed, survey code will be 7. Code 7 will also be applicable in cases where the originally selected sample village/block 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/block 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 :

Sample village/block :

       not identifiable/traceable 1
       not accessible 2
       restricted area (not permitted to survey) 3
       others (specify) 4

This item will be left blank 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.

2.2.0 Block 2 : Sketch map of hamlet-groups/sub-blocks formation : (a) For large FSUs requiring hamlet-groups/sub-blocks formation, the space provided for in the block shall be used to draw a free hand sketch-map of the village/block showing the boundaries of the hamlets and hamlet-groups/sub-blocks formed so that the hamlets/ hamlet-groups sub-block formed 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. For the urban areas, the sub-blocks numbers given in col. (1) of block 4 will be shown in the map. The areas for the two selected hamlet-groups for the rural samples and the area for the only selected sub-block for the urban samples shall be shaded in the map.

(b) In the case of rural areas of Arunachal Pradesh, where no hamlet-group selection is to be done, this block will be used for giving the sketch-map of the cluster of villages to which the sample village 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 brackets below the name of the village in the map and the area corresponding to the nucleus village may be shaded.

2.3.0 Block 3 : List of hamlets : Block 3 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 as stated in para 2.0.4 (iii). A running serial number will be given in col. (1) for each hamlet listed and the names of the corresponding hamlets will be recorded in col. (2). The population of each hamlet expressed as percentage of the total village population will be given in col. (3) in whole numbers. Entries in col. (3) would add up to 100.

2.4.0 Block 4 : Selection of hamlet-groups/sub-block : This block is meant for recording the details of the hamlet-groups/sub-blocks formation and their selection for village/blocks requiring hamlet-groups/sub-blocks formation. Reference may be made to paras 2.0.3 to 2.0.5 for the procedures of formation and numbering of hamlet-groups/sub-blocks. Number of hamlet-groups/sub-blocks to be formed (D) will be decided as per the criterion given in Table (2.1).

2.4.1. Column (1) : Hamlet-group(h.g.)/sub-block(s.b.) no. : The hamlet-groups / sub-blocks 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. (rural samples only) : 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) : % of population in the h.g./s.b. : Approximate present population of the h.g. /s.b. in terms of percentage to total village/block 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 : Two h.g.s will be selected for the rural samples whereas only one s.b. is to be selected for the urban samples. A random no. 'R' is to be drawn first between 1 and D (D is the total no. of h.g.s/s.b.s formed) from the table of random numbers (refer to para 2.11.0 for the guidelines). The h.g./s.b. whose serial number in column (1) agrees with the value of R will be the first selected h.g. /s.b. order of selection no. '1' may be recorded in column 4 for this h.g./s.b. For the rural samples, one more h.g. is to be selected. For doing so, the interval of sampling 'I' may be worked out as I =integral part of the ratio D/2. The h.g. whose srl. no. in column (1) agrees with the value (R+I) or '(R+I)-D' if (R+I) exceeds D, will be other selected h.g. and order of selection no. '2' be given in column (4) for this h.g. The serial numbers/number of the selected hamlet-groups/sub-block will be ringed in column (1), block 4.

2.5.0 Block 5 : Availability of some facilities in the village : This block has been provided to collect information on some facilities in the sample villages in terms of codes provided in the body of the schedule itself. The block will be filled-in only for rural samples and be left blank for the urban samples. The definitions of the terms used in this block are given below :

Item 1.1 : Primary school : Generality a school upto class IV standard is called 'primary school'. However, in some states, schools upto class V standard are also considered as primary schools. For the educational pattern followed in different states/u.t.s., reference may be made to the Appendix under Section Four.

Item 1.2 : Middle/Secondary school : Middle school is one which provided education generally upto class VIII and secondary school provides education upto class X (Also refer to Appendix under Section Four).

Item 1.3 : Higher Secondary School/Intermediate College : It is a school providing education upto 10+2 standard. An intermediate college having classes 10+2 in the present system of education or IA/ISc. class in the past system if it exists.

Item 1.4 : Adult/Non-formal education centre : AECs (adult education centres) are those meant for providing education to persons in the age-group 15-35 years, who are not enrolled in any formal educational institutions. There may be persons above 35 years also. There is no formal schooling hour in such education centres. NFEC (non-formal education centre) is there to provide education to the children in the age-group 6-14

years who are not attending any formal institutions.   As in   AEC, there is no fixed school-hour.   The syllabus is so designed that children if possible can attend formal institutions after some years of training here.

Item 1.5 :   Child feeding centre :   Under the 'Integrated Child Development Scheme', supplementary nutrition is given to the children upto 6 years and to expectant and nursing mothers through its service centres - anganwadi/balwadi and special nutrition centres.   Some other special nutrition programmes are also there in some areas.   All these along with similar service centres run by voluntary organisations will be considered here.

Item 1.6 :   Maternity/child care centre :   There are the centres exclusively meant for expectant mothers/infants, providing immunisation/vaccines to children below 6 years and the expectant mothers. It also guides women in family planning.

Item 1.7 :   Civil hospital :   Medical institutions having privision of admission of sick persons as in-door patients (in-patients) for treatment are called hospitals. Civil hospital here means Govt. hospital.

Item 1.8 :   Other hospital (including nursing homes) :   These are the hospitals run by private bodies.   It also has inpatient and outpatient facilities.   Nursing homes run by private bodies are also included in this category.

Item 1.9 :   Private doctor's dispensary : This is the consulting place/chamber of private doctors.

Item 1.10 :   Community health centre (CHC) :   Health centre managed and run by a community for providing health services exclusively for the community.   This includes health centres run by institutions/organisations for their employees.

Item 1.11 :   Primary health centre (PHC) :   This is a health centre purely run by the Government. It usually has in-patient and out-patient facilities.

Item 1.12 :   Primary health sub-centre (PHSC) :   A primary Health Centre may have small units in remote are as of the village. These small units are called Primary Health Sub-centres.   They have similar activities like PHCs, but they usually do not have facilities for treatment as in-patients.

Item 2.2.1 :   Registered medical practitioner : Medical practitioners are those having degrees in medicine and also registration from regognised universities/institutions deemed to be universities.   These doctors may follow any of the systems - allopathic, homeopathy, ayurvedic, unani, etc.

Item 2.2.2 :   Other medical practitioner :   Those who do not have degree/registration from any university/institution.   They are generally the diploma holders in medicine/surgery.   All para medical persons are to be considered in this category.

Item 2.2.3 : Traditional healer : They are the persons treating patients with herbs, etc. They do not have any formal education in medicine. Faith healers/witch-crafters are also covered here.

Item 2.2.4 Trained dai : They are the female nursing attendants who attend pregnant women at the time of child birth. They are trained at PHC/PHSC for this job.

Item 2.3.2 : All weather road : This is the road usable throughout the year every in the rainy season.

2.5.1 Detailed instructions (Block 5) :

(i) Item 1.1. to 1.12 : Distance from the nearest : The distance of the nearest school/various centres/hospital/dispensary (as listed against different items) from the centre of the village is to be recorded in code against each of the items. If it is located within the sample village, code 1 will be recorded. Otherwise, i.e. if it is outside the sample village, the appropriate code will be recorded as under :-

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distance from the centre of the village	appropriate code
less than 2 kms.	2
2 kms. to less than 5 kms.	3
5 kms. to less than 10 kms.	4
10 kms. or more	5

It may be noted that if a new of the facilities listed against items 1.1. to 1.12 are available in the same building, the code corresponding to the distance of the building from the centre of the village, will be recorded against these facilities (i.e. items) provided that the building is nearest to the village than any other building providing these facilities.

(ii) Item 2.1 : Type of the nearest CHC/PHC/PHSC : It may first be seen which one of the community health centre (CHC), primary health centre (PHC) and primary health sub-centre (PHSC) is nearest to the village (it may be within the village also). If it has provision for bed, code 1 will be recorded against the item else code 2.

(iii) Items 2.2.1 (Registered medical practitioner), 2.2.2 (other medical practitioner), 2.2.3 (Traditional healer), 2.2.4 (Trained dai), 2.3.1 (Telephone), 2.3.2 (All weather road) & 2.3.3 (Bus service) : Admissible codes for each of these items are 1 & 2. Code 1 will be recorded against the item if the facility is available within the village and code 2 if not available within the village.

(iv) Item 2.3.3 : Bus Service : A village will be considered to be connected by bus services provided there is a bus road either passing through the village or through its

boundary and there is a bus stop for the village (either within the village or at the boundary).

(v) Item 2.3.4 : Frequency of bus services : If the village is connected by bus services (i.e. code 1 in item 2.3.3), it maybe inquired about the number of trips of bus services per day while counting the number of trips per day, the same will be considered in one particular direction. If the total number of trips different for two different directions, the lower value may be considered. Depending upon the actual number of trips per day, the appropriate code will be recorded against the item as follows :-

no. of trips per day (in one direction)	appropriate code
1-2	1
3-6	2
7-10	3
>10	4

A cross-mark(x) may be put against the item for code 2 in item 2.3.3.

(vi) Item 2.4 : Whether the village was covered under total literacy campaign during last five years ? : During the last few years, under the National Literacy Mission, Total Literacy Campaign (TLC) is being organised in many parts of the country. If the village was covered under TLC during the last five years, code 1 will be recorded against the item else code 2.

2.6.0 Block 6 : List of households and record of selection : This is the main block of the schedule. Apart from listing all the houses and households of the sample village/block/hamlet- groups/sub-block, some auxiliary information will also be collected from each household and recorded in this block. Preparation of sampling frame for selection of sample households and details of selection of sample households for schedules 1.0, 25.0 and 25.2 will also be recorded in this block. It may be noted that in the case of large village, two hamlet-groups are selected for survey. These two hamlet-groups together will be considered as one unit. and a running continuous serial number (true for sampling serial numbers also to be given in various columns) starting from 1 should be given to all the households residing in these two selected hamlet-groups. Instructions for filling in various columns of the block are given in the following paragraphs.

2.6.1   A house to house visit will be made to list all the houses and households of the selected village/block/hamlet-groups/sub-block. It is essential to ensure that there is no omission or duplication of any house or household. Households which are found temporarily absent at the time of listing are also to be listed. After ascertaining from the neighbors 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 investigator) and if need be, by revisiting the households during the survey period in the sample village/block. All locked households due to temporary absence should be listed and included in the overall frame for sample selection. For filling in different columns of blocks of block 6 for locked households, reference may be made to para 2.6.16. 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, if possible, taking care that any house/household that has come up after wards is not omitted. Otherwise, listing may be done starting from the north-west corner of the village/block/hamlet-groups/sub-block. The name of any natural grouping of houses like hamlet, street, mohalla, etc. and the date of listing may be writtten at the top before starting the listing of the houses of the locality. This will help in checking completeness of the listing operation.

2.6.2   While listing in villages for which hamlet-group formation have been resorted to, the houses and households of the two selected hamlet-groups will be listed one after another maintaining a continuous serial numbering for households, as if they together constitute one unit. For doing so, the serial numbers 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 block. 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 numbers 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 capitals and the listing of the houses/households belonging to this hamlet-group will start from the next line.

2.6.3   Col. (1) : House number : All houses including vacant ones, will be listed by giving a house number. The 1991 census house numbers or the numbers given by the local panchayat or any other local body may be used, if available. The house without any such numbers will be given a separate running serial no. 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 those houses.

After listing all the households residing in a house, the next house will be listed. If the 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. The next house will be listed only after listing all the households living in the previous house. For a household living under a tree or bridge (i.e. without any house), a cross mark (x) may be put in col. (1).

2.6.4   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 line bearing a household serial number. In case of large villages where two hamlet-groups have been selected for survey, a continuous serious numbering will be given in col. (2) considering the two selected hamlet-groups as one unit.

2.6.5   Cols. (3) & (4) : Name of head of household and household size : The name of head of the household will be recorded in col. (3) and the size of household, as defined in para 2.0.9.3, in col. (4).

2.6.6   Col. (5) :   Means of livelihood (m.l.) code :   The means of livelihood of the households will be determined according to the definitions given in para 2.0.9.8 and it will be recorded in terms of codes in col. (5). The codes are as follows :

(a) rural samples :
self-employed in non-agriculture 1
rural labour   2
others   9

(b) urban samples :
self-employed   1
regular wage/salary earning 2
casual labour   3
others   9

2.6.7   Col. (6) :   Sampling serial number (schedule 1.0) :   For rural samples, the households having m.l. code 1, 2 and 9 in col. (5) may respectively be given '✓', 'x' and '-' marks in col. (6). Then the sampling serial numbers will be given by the right side of these symbols as follows. All the '✓' marks may first be given continuous serial numbers starting from 1 ; followed by continuous serial numbering (in continuation of the previous numbering) to the 'X' marks and lastly to the '-' marks. It may be noted that the highest sampling serial number given in this column agrees with the last serial number in col.(2).

        Similarly, for the urban samples, the households having m.l. code 1,2,3 and 9 in col. (5) shall respectively be given '✓', 'X', '-' and '+' marks in col. (6). Then the sampling serial numbers in a continuous fashion (starting from 1) be given to the households as done for the rural samples exhausting the marks '✓', 'X', '-' and '+' one by one as per the sequence given. The highest sampling serial number must agree with the last serial number recorded in col. (2).

2.6.8   Col. (7) :   Order of selection (Schedule 1.0) :   Usually 4 sample households will be selected for conversing the schedule 1.0. The sample households will be selected circular systematically with a random start. The procedure is as follows : Let H be the total number of households in the frame [Value of H to be recorded in col. (7) = the last serial no. in col. (2)]. Let h be the number of households to be selected [h = 4 generally]. Calculate H/h. The sampling interval, denoted by I be given by the integer part of H/h. Next select a random number between 1 and H from the table of random numbers as per the procedure given in para 2.11.0. Let it be R. Obtain h numbers R, R+I, R+2I, ... R+(H-1)I. The sample households are those households whose sampling serial numbers in col. (6) agree with these numbers. However, when any of these numbers say, R+K.I [$1 \leq K \leq (h-1)$] exceeds H, obtain R` = R+K.I-H. The household whose sampling serial no. agrees with R' will be the selected household corresponding to the number R+K.I.
Again calculate R`, R`+I, R`+2I, ... and so on to decide about the other selected households. The order of selection numbers will be given in col. (7) starting from 1 exactly in the order R, R+I, R+2I................................... That is to say, it will be 1 for sampling serial no. R, 2 for sampling serial no. R+I, and so on. The sampling serial

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numbers of the selected households will be encircled in column (6). It may be noted that if H = h (which might be true in rare cases), all the households listed are to be surveyed and hence no selection is required to be done. In such a situation values of I and R may be crossed and the order of selection numbers will be the same as sampling serial numbness. This principle holds good for other schedules also for which instructions are given in subsequent paragraphs.

2.6.9   Col.(8) : Whether there is any child of age '0' year in the household ? : From each household, it may be ascertained if there is any member (child) in the household who has not completed one year of age. If it is there, ✓ may be put in this column else 'x' mark may be given. All the households with ✓ marks in this column will form second-stage stratum 1 for schedule 25.0 and these households may be given continuous sampling serial numbers (starting from 1) in this column by the right side of the ✓ marks.

2.6.10 Col. (9) : Whether there is any case of hospitalisation during the last 365 days ? : For the households with 'x' in col. (8), it may be enquired if there was any case of hospitalisation (including hospitalisation of any former member died) during last 365 days. If it is, '✓' may be put in this column else 'x' mark may be put. The households getting '✓' marks in this column form second-stage stratum 2 for schedule 25.0 and these households be given continuous sampling serial numbers starting from 1 in this column by the right side of the '✓' marks.

2.6.11 Col. (12) : Schedule 25.0 : Second-stage stratum 3 -Sampling serial number : The households getting 'x' marks in col. (9) will form second-stage stratum 3 for schedule 25.0. All such households may be given continuous sampling serial numbers starting from 1 in col. (12).

2.6.12 Col. (10)/(11)/(13) columns : Order of selection for second-stage stratum 1/2/3 (Schedule 25.0) : The last sampling serial number in col. (8)/(9)/(12) will be the value of H1/H2/H3 (i.e. total number of households in the frame of second-stage stratum 1/2/3 for schedule 25.0). It may be seen that the value of (H1+H2+H3) agrees with the value of H in col. (7). The number of sample households to be selected (h1/h2/h3) from second-stage stratum 1/2/3 for schedule 25.0 may be decided as per the guidelines given in para 4.8 of section one (after making necessary adjustments for shortfall). Values of h1/h2 may be recorded appropriately. The order of selection numbers may be given independently in col. (10)/(11)/(13) separately for households belonging to different second-stage strata exactly as per the guidelines given for schedule 1.0 (para 2.6.8). Sampling serial numbers of the selected households may be encircled in col. (8)/(9)/(12).

2.6.13 Col. (14) : Whether any member currently enrolled at post-primary level ? For each household, it may be inquired if there is any member in the age-group 5-24 years in the household who is currently enrolled at post-primary level. If it is there, '✓' mark may be put in this column else a 'x' mark. The households getting '✓' marks form second-stage stratum 1 for schedule 25.2 and they may be given continuous sampling serial numbers starting from 1 in this column by the right side of the '✓' marks.

2.6.14 Col. (16) : Schedule 25.2 : Second-stage stratum 2 - sampling serial number : The households having 'x' marks in col. (14) form second-stage stratum 2 for schedule

25.2. All such households may be given continuous sampling serial numbers starting from 1 in col. (16).

2.6.15 Col. (15)/(17) : Order of selection for second-stage stratum 1/2 (schedule 25.2) : The last sampling serial number in col. (14)/(16) will be the value of H1/H2. It may be seen that the value of (H1 + H2) agrees with the value of H in col. (7). The number of sample households to be selected (after adjustments for shortfall) i.e. h1/h2 may be decided as per the guidelines given in para 4.8 of section one and their values may be recorded in these columns against h1/h2. The sample households may be selected independently for second-stage strata 1 and 2 and their order of selection numbers may be given in col. (15)/(17) exactly as per the guidelines given for sch.1.0 (para 2.6.8). Sampling serial numbers of the selected households may be encircled in col. (14)/(16).

2.6.16 Treatment of locked households at the time of listing : As stated earlier, all the locked households will be listed and included in the overall sampling frame. Thus the locked households will also get serial numbers in col. (2) of block 6. After making attempts, if the member of the locked households could not be contacted, efforts may be made to collect related information in cols. (3), (4) , (5), (8), (9) & (14) from the neighbours failing which the following enteries are to be made :- (a) cols. (3) & (4) : 'Locked household' may be written against the space; (b) col. (5) : entry = '9' for rural and '2' for urban; cols. (8), (9) & (14) : 'x' may be put in each of the columns .

2.7.0 **Block 7** : **Particulars of sampling of households** : This block is meant for recording the summary information relating to sampling of households of the selected village/block. Entries in cols. (3) & (4) will be copied from block 6 and cols. (5) to (8) will be filled-in after completion of the entire survey of the sample village/block.

2.7.1 **Column (3)** : **Total number of households (H) in the frame** : Values of H are to be copied appropriately from cols. (7) , (10) , (11) , (13) , (15) and (17) of block 6.

2.7.2 **Column (4) : Number of households selected (h) :** Values of h as recorded on the top of cols. (7) , (10) , (11), (13), (15) and (17) of block 6 are to be recorded in this column.

2.7.3 **Column (5) to (8) : Number of households surveyed and number of casualty households:** As mentioned earlier, these columns will be filled-in after canvassing the detailed schedules in the selected sample households. For each line i.e. for a particular schedule type x second-stage stratum, number of households with survey code 1 in block 1 of schedules 1.0/25.0/25.2 will be recorded in col. (5). Similarly, number of households with survey code 2 in block 1 of schedules 1.0/25.0/25.2 will be recorded in col. (6) in the appropriate lines. The number of casualty households (i.e. those out of the selected which could not be surveyed even after substitution) will be recorded in col. (8) . It may be seen that :

$$col. (7) = col. (5) + col. (6)$$
$$and$$
$$col. (8) = col. (4) - col. (7)$$

2.8.0 Block 8 : Remarks by investigator : This block is meant for recording the remarks by the investigator.

2.9.0 Block 9 : Comments by supervisory officer : The supervisory officer inspecting the work of the investigator may record his/her comments here.

2.10.0 Block 10 : Particulars of field operations : The block is self-explanatory. For serial no. 2, total time taken to canvass the schedule 0.0 may be recorded in 0.0 hours against the item. The total time <u>includes</u> the time spent in visiting different households, time required for hamlet-groups / sub-blocks formation/selection and time for drawing their sketch map in block 2 but <u>excludes</u> the journey time to reach the FSU and to return back from the FSU.

2.11.0 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 as (n+1)-the 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 / sub-block selection, whenever required. The subsequent random numbers may be used for selection 25.0 - second stage stratum 1, 2, 3; schedule 25.2 - second stage stratum 1, 2.

2.12.0 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 Joint Director,
> N.S.S.O. (D.P.D) co-ordination,
> 164, Gopal Lal Tagore Road,
> Calcutta - 700 035.

In case no substitute village/block could be surveyed even with best effort [i.e. code 7 in item 16 of block 1], sch. 0.0 will be submitted with only blocks 0, 1, 8, 9 and 10 filled-in. the word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases. <u>In this context it may be kept in mind that at least one fsu must always be surveyed from each stratum x sub-sample for both the rural and the urban sectors.</u>

2.12.1 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 a valid sample and blank schedule 0.0, with only blocks 0,1, 8, 9 and 10 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 in such cases. However, in Arunachal Pradesh and possibly elsewhere also in the hole 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.

2.12.2 If a sample village is found to have been declared as urban (as a town by itself or as merged in another town) by the appropriate 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 proevious 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 indentifiable, it may be substituted. If only a part of the village has been merged with town, the remaining part will be surveyed as per the rural programme in this situation.

2.13.0 Dispatch of listing schedules :   It is important to not that the schedule 0.0 will be submitted for every sample village/blocks irrespective of whether it is surveyed or not.

2.14.0 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.

2.14.0.1 Case (a) : Without hamlet-groups/sub-block selection :   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. If the required number of fresh households (i.e. not selected in the earlier occasions) is both available in the frame as a result of which some (or all) households are reelected, for such households, the entries in various blocks of the relevant schedules, may be copied. In case due to the new random start, the whole set of sample households is reselected, another random start will be taken. 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.

2.14.0.2 Case (b) : With hamlet-groups/sub-block selection : If repetition is in the same sub-round, the hamlet-group / sub-block formed in the first occasion will be used for all subsequent repetitions. However, on the second and subsequent occasions, the survey will be conducted in the hamlet-groups / sub-block selected afresh. In the rural sector, if two earlier hamlet-groups are re-selected, then a new random may be drawn so that different hamlet-groups are selected for survey. But if only one hamlet-groups is re-selected, it may be substituted by the next one not selected earlier. For the urban sector, the sub-block in the second or subsequent occasions may be selected from the remaining sub-blocks not selected earlier. If the repetition of FSU is in a different sub-round, it may treated as a new sample.

2.15.0   Substitution of sample households :   If any sample household cannot be surveyed due to some reason or other it will be substituted by another suitable household.

For schedule 1.0, the substitute may be the household (not selected already) having the next higher sampling serial number within the same m.l. code. Substitute for the higher sampling srl. no. may be the lowest sampling srl. no. in the same m.l. code. If there is no

fresh household (i.e. not selected earlier) in the same m.l. code, substitute may be taken from the next m.l. code. If suitable substitute is not available in m.l. code 9 the same may be taken from m.l. code 1.

For schedule 25.0 & 25.2, the substitute of any household will be the household having the next higher sampling srl. no. (which is not already selected) in the same second-stage stratum. The substitute of the last household (i.e. the one having highest sampling srl. no.) may be the first household (i.e. the one having lowest sampling srl. no.) in the same second-stage stratum.

For any schedule type (1.0/25.0/25.2), if the substituted household also becomes a casualty, another substitute may be taken in the same manner. If this also becomes a casualty, no further substitutes need to taken. However, it must always be ensured that at least one household is invariably surveyed from each second-stage stratum of schedules 25.0 & 25.2. To achieve this, the process of substitution may be repeated more than twice, if required.

Selection of households – An example : An illustration is given below regarding selection of sample households for schedules 1.0 and 25.0 only in respect of a rural sample. It is assumed that there are 13 households in the FSU.

(6) List of households and record of selection									
hh. srl. no.	hh. m.l. code	sch. 1.0		any child of age '0' year? ($\checkmark$ or X)	for 'X' in col.(8) any case of hosp-Italisation in last 365 days ? ($\checkmark$ or X)	sch.25.0 second-stage stratum			
		SS	OS H=13 h=4 1=3 R=8*			1 OS H1=4 h1=3 l1=1 R1=3*	2 OS H2=1 h2=1 l2=X R2=X	3 SS	3 OS H3=8 h3=6 l3=1 R3=5*
(2)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
1	1	$\checkmark$(1)	3	X	X			(1)	5
2	9	- (8)	1	X	X			(2)	6
3	9	- 9		$\checkmark$ (1)		3			
4	1	$\checkmark$ 2		$\checkmark$ 2					
5	2	X 5		X	X			3	
6	9	- 10		X	X			4	
7	9	-(11)	2	X	$\checkmark$ (1)		1		
8	1	$\checkmark$ 3		X	X			(5)	1
9	2	X 6		$\checkmark$ (3)		1			
10	9	- 12		X	X			(6)	2
11	1	$\checkmark$(4)	4	$\checkmark$ (4)		2			
12	9	- 13		X	X			(7)	3
13	2	X 7		X	X			(8)	4

* indicates 'assumed'