Chapter Two

Schedule 0.0: List of Households

2.0.0 **Introduction**: Schedule 0.0 is meant for listing all the houses and households residing in the sample first stage unit (FSU) or sample hamlet-groups/ sub-blocks in case of large FSUs. Some household information like household size, trips performed (overnight/same day), structure type (for rural), household monthly per capita expenditure (MPCE) for urban, etc. will also be collected in this schedule. These auxiliary information will be used for grouping the households into different second-stage-strata (SSS). The sampling frames for selection of households will be prepared and details of the selection of sample households will be recorded in this schedule. Whenever hamlet-groups/ sub-blocks (hg's/sb's) are required to be formed, particulars relating to the formation and selection of hg's/ sb's are also to be recorded in this schedule. Concepts and definitions of various terms are given in Chapter One.

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

Block 0: descriptive identification of sample FSU

Block 1: identification of sample FSU

Block 2: particulars of field operations

Block 3: sketch map of hamlet-group (hg)/ sub-block (sb) formation

Block 4.1: list of hamlets (only for rural samples with hg formation)

Block 4.2: list and selection of hamlet-groups (hg's)/ sub-blocks (sb's)

Block 5: list of households and record of selection for households (hg/ sb 1/ 2)

Block 6: particulars of sampling of households

Block 7: distance of the village to the nearest facility and availability of some amenities in the village (for inhabited villages only)

Block 8: particulars relating to public works programme in the village (for inhabited villages only)

Block 9: remarks by investigator/ senior investigator

Block 10: comments by superintendent/ senior superintendent

Block 11: comments by other supervisory officer(s)

2.0.2 **Unit of survey and sampling frame**: The first stage unit (FSU) is the 2001 census village in the rural sector. FSU in the urban sector is the Urban Frame Survey (UFS) block or non-UFS town itself if UFS frame for the town is not available. *Latest list of UFS blocks, to the extent possible, will be used for selection of urban samples. Towns may, therefore, belong to different phases of UFS. It is indicated in the sample list under the head "frame code" as to which particular UFS phase has been used as the sampling frame for selection of FSUs belonging to a town*. The investigator, on arrival at a sample FSU will ascertain the exact boundaries of it. This may be done with the help of the village officials like patwari, panchayat authorities etc. for rural areas and with the help of UFS maps/ ward maps/ town maps in the urban areas.

2.0.3 **Formation of hamlet-groups (hg's) and selection of hamlet-groups 1 & 2**: With a view to controlling the workload mainly at the stage of listing of households, hamlet-group formation will be resorted to in the large villages. A large village will be divided into a certain number (D) of sub-divisions called hamlet-groups (hg's). The number of hg's to be formed (i.e. the value of D) will depend on the *approximate present population* of the sample village. The criterion for deciding the number of hg's to be formed in a large village has been discussed in detail in Chapter One.

For large sample village, two hg's will be selected. Out of all hg's formed in the village, the one with the highest percentage population will be selected with probability 1. In case there is more than one hg with same highest percentage of population, the one among them which is listed first in block 4.2 will be selected with probability 1. This hg selected with certainty will be designated as hg 1. Another hg will be selected randomly (Simple Random Sampling) from the rest of hg's of the village and designated as hg 2. *Listing and selection of households will be done separately and independently for each selected hamlet-group.* For the sample village without hg formation, entire village will be treated as *hamlet-group* 1.

The procedure for listing hamlets and forming hamlet-groups is outlined below.

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

(i)   Identify the hamlets as described above.

(ii)   Ascertain approximate present population of each hamlet.

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

(iv)   List the hamlets in block 4.1 in the order of their numbering. Indicate the present population content in terms of percentages.

(v)   Group the hamlets into D hamlet-groups. *The criteria* to be adopted for hamlet-group formation are *equality of population content and geographical contiguity* (numbering of hamlets is not to be adopted as a guideline for grouping). *In case there is a conflict* between the two aspects, *geographical contiguity is to be given priority*. However, there should not be substantial difference between the population of the smallest and the largest hamlet-group formed. Indicate the grouping in the map.

(vi)   Number the hamlet-groups serially in column (1) of block 4.2. The hamlet-group containing hamlet number 1 will be numbered as 1, the hamlet-group with next higher hamlet number not included in hg 1 will be numbered as 2 and so on. Indicate the numbers also in the notional map. It is quite possible that a hamlet-group may not be constituted of hamlets with consecutive serial numbers.

2.0.4 **Formation of sub-blocks (sb's)**: In case urban sample FSUs are found to be large in terms of population, they are subjected to sub-block formation. Procedure for formation of sub-blocks is the same as that for the formation of hamlet-groups in the case of large villages. Here the sub-blocks are to be formed artificially by dividing the FSU into a certain number (say, D) of divisions *by more or less equalizing the population giving priority to geographical compactness* within each sub-block as per the criterion specified in Chapter One. The number of sb's to be formed (i.e. the value of D) will be determined according to the same criteria as adopted in the case of rural FSUs. Sub-blocks will be numbered serially in column (1) of block 4.2.

As in the case of villages, for large sample FSUs, two sub-blocks will be selected. The procedure of selection will be same as that given for villages with hg formation – one with probability 1 and the other with SRS. *Listing and selection of households will be done separately and independently for each selected sub-block*. For the urban sample FSUs without sub-block formation entire FSU will be treated as *sub-block 1*.
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2.0.5 **Starting point for listing**: Having determined the area unit to be surveyed, the investigator will proceed to list the houses and households in this area unit. The listing may be done in the same order as that of the 2001 Census order of house listing. If the census order of house listing is not available, the listing may be started from the northwest corner of the FSU and proceeding southwards in serpentine order. While listing the households, some essential minimum particulars about the households will be collected for the purpose of second stage stratification.

2.0.6 **Use of additional sheets of blocks 4.1, 4.2, 5**: Whenever one schedule booklet is not adequate to list all the hamlets and hamlet-groups/ sub-blocks (blocks 4.1, 4.2) or all the households (block 5) of the sample FSU or hg/sb, additional sheets containing the relevant block(s) shall be used and tagged firmly to the main schedule.

The procedures to be followed for filling up the various blocks of the schedule 0.0 are described in the following paragraphs.

Before filling in blocks, it is necessary to put tick-marks in the appropriate boxes at left hand and right hand top corners of the first page of the schedule.

Block 0: Descriptive identification of sample FSU

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

Block 1: Identification of sample FSU

2.1.0 **General**: This block is meant for recording the identification particulars of the sample FSU in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for items 2 & 3, the codes of which are already printed). For multiple cells, the rightmost cell shall be used for recording the digit of the unit place, the next left cell for the tenth place digit and so on. *Items 1, 4 to 11, 13 and 14 shall be copied from the sample list*.

2.1.1 **Item 12: FOD sub-region**: The four-digit code corresponding to the FOD sub-region to which the sample FSU belongs will be recorded against item 12. *A '–' will be put against this item for the state samples and also for the central samples in respect of the states of Arunachal Pradesh, Manipur, Mizoram, Tripura, Leh (Ladakh) and Kargil districts of Jammu & Kashmir for which field work is carried out by the respective States*.

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

 Rural: 2001 census – 13.
 Urban: 1982-87 UFS – 06, 1987-92 UFS – 07, 1992-97 UFS – 09, 1997-2002 UFS – 11,
        2002-2007 UFS –14, 2001 census – 13 (for non-UFS towns).

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

2.1.4 **Item 15: approximate present population**: The investigator will first ascertain the approximate present population of the entire sample FSU taking into consideration the normal growth of population along with any abnormal influx of population into or exodus of population from the sample FSU. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions. The starting point can be 2001 census population. <u>In the case of large difference with census population</u>, it may be asked whether there has been any abnormal influx into or exodus from the FSU after the census or the village has been split or partly merged with other village/ urban area. If so, the approximate increase or decrease of population due to such events or any new settlements that have come up in the FSU after the census is to be ascertained. **In case it is difficult to explain the large difference between frame population and approximate present population in terms of likely growth/decline of population during the intervening period, adequate remarks for such differences should be given in block 9/ 10/ 11.**

2.1.5 **Item 16: total number of hg's/ sb's formed (D)**: The total number of hg's/ sb's formed in the sample FSU will be the value of **'D'** as recorded in block 4.2. If the sample FSU does not require any hg/ sb formation, the entry against this item will be '1'.

2.1.6 **Item 17: Survey code**: The different survey codes are:

     selected FSU has been surveyed:
              inhabited ………………………… 1

uninhabited …………………….2
zero case ………………………..3

selected FSU is casualty but a substitute FSU has been surveyed:
inhabited ………………………… 4
uninhabited ……………………..5
zero case ………………………….6

selected FSU is casualty and no substitute has been surveyed ………7.

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

2.1.7 **Item 18: Reason code for substitution of original sample (for codes 4 – 7 in item 17)**: In all the cases where the *originally* selected sample FSU is a casualty irrespective of whether it has been substituted and subsequently surveyed or not surveyed (i.e. for codes 4 to 7 against item 17), the reason for its becoming a casualty will be recorded in terms of code against item 18. The codes are:

Original sample FSU:
not identifiable/ traceable……………………..…………………1
not accessible..………………..2
restricted area, survey of which is not permitted ………....... 3
others (specify)...….……………..9

A '–' may be put against this item if the entry against item 17 is 1 or 2 or 3. *Cases of FSUs comprising wholly the barracks of military and paramilitary forces will not be considered as restricted area for providing code 3 against item 18. As stated earlier, such cases will be considered as surveyed and will be treated as zero cases.*

2.1.8 **Item 19: number of slums in the FSU (urban):** Number of slums identified within the FSU will be recorded against this item. For definition of 'slum', Chapter One may be referred to. This item may be filled in after completion of listing of households. If there is no slum in the FSU, 0 may be entered here.

2.2 **Block 2**: **Particulars of field operations**: The details of field operations will be recorded in this block. While recording the total time taken to canvass the schedule 0.0 (i.e. column 3, srl. no. 4 of this block), it may be noted that the time taken to reach the sample village and come back should not be considered for filling in this item. In other words, total time spent in identification of the boundaries of the sample FSU, hamlet-group/ sub-block formation, listing of

households, formation of second-stage strata, selection of households and filling in all other blocks of this schedule may be recorded in hours. All other items are self-explanatory.

2.3 **Block 3: Sketch map of hamlet-group (hg)/ sub-block (sb) formation**

2.3.0 For large FSUs requiring hg/ sb formation, the space provided for in the block shall be used to draw a free hand sketch-map of the FSU showing the boundaries of the hamlets and hg's/ sb's formed so that they may be identifiable in the field afterwards with the help of this map. It need not be drawn to scale. The serial numbers of the hamlets as given in column (1) of block 4.1 will be written down on the map against each hamlet. The hamlet-group number given in column (1) of block 4.2 to which the hamlet belongs will also be shown against each hamlet within brackets on the right side of the hamlet number. Similarly, sub-blocks will also be numbered in the map. The areas for the selected hg's/ sb's shall be shaded in the map.

2.4.1 **Block 4.1: List of hamlets (only for rural samples with hg formation)**

2.4.1.0 This block is to be filled in only for the rural samples requiring formation of hamlet-groups (i.e. for D>1). All the hamlets located in the village will be listed in the specified order.

2.4.1.1 *Columns (1) to (3)*: A running serial number for the hamlets will be given in column (1). Name of the hamlets will be written in column (2). Present population of each hamlet expressed as percentage of the total village population will be given in column (3) in whole numbers. Entries in column (3) should add up to 100.

2.4.2 **Block 4.2: List and selection of hamlet-groups (hg's)/ sub-blocks (sb's)**

2.4.2.0 **General**: This block is meant for recording the details of the hg/ sb formation and their selection for FSUs requiring hg/ sb formation (i.e. with D>1). Reference may be made to paragraphs 2.0.3, 2.0.3.1 and 2.0.4 for the procedures of formation and numbering of hg's/ sb's.

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

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

2.4.2.3 **Column (3): percentage (%) population in the hg/ sb**: Approximate present population of the hg/ sb in terms of percentage to total FSU population will be recorded in column (3) in whole number. Entries in this column should always add up to 100.

2.4.2.4 **Column (4): sampling serial number of hg/ sb**: First locate the hg/ sb with maximum percentage of population in column (3) and enter '0' against this hg in column (4). If this percentage population in column (3) is same for more than one hg/ sb, the one among them listed first in this block may be assigned '0' in this column. Then, other listed hg's/ sb's may be

serially numbered from 1 to (D – 1) in this column starting from the top. These will be the sampling serial numbers for selecting another hg/ sb.

2.4.2.5 **Column (5): sample hg/ sb number**: Two hg's/ sb's will be selected from the large FSU for the purpose of survey. Enter '1' in this column against the sampling serial number '0' in column (4). This will be sample hg/ sb 1. The procedure for selecting sample hg/ sb 2 is as follows:

Draw a random number, say R, between 1 and (D – 1) using random number table. Enter 2 in column (5) against the sampling serial number in column (4) which equals R.

The selected serial numbers may be encircled in column (4). For all other hg's/ sb's (except the two selected), column (5) may be left blank.

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

2.5.0.1   In this block, various information are to be recorded separately for each selected hg/ sb. When there is no hg/ sb formation in the FSU, the hg/ sb number will be '1'.

2.5.0.2 This is the main block of the schedule. Listing of all houses and households along with collection of a few particulars for identification, preparation of sampling frame, formation of second stage strata and selection of sample households for the schedules 21.1 and 1.2 are to be carried out in this block.

2.5.0.3 It is essential to ensure that there is no omission or duplication of any house or household. A house to house enquiry will be made to list all the houses and households. *Households, which are found to be locked (including such households which are absent in the present place for a period of less than six months during last one year) at the time of listing, are also to be listed and included in the frame of households before sample selection*. After obtaining from the neighbours as much details as possible about the absentee households, attempt should be made to contact the households at the appropriate hours (even outside the normal working hours of the investigators) and if need be by revisiting the households during the survey period in the sample FSU. While listing a house the investigator shall find out how many households (including locked households) reside there and list all of them. After this, the investigator will proceed to list the next house. In order to ensure complete listing of houses/ households, it is better to follow some definite order for listing. The order followed in 2001 Population Census may be adopted, wherever possible, taking care that any house that has come up later is not omitted; otherwise, listing may be done in serpentine manner starting from the north-west corner and moving southwards. The names of any natural grouping of the houses like hamlet, street, mohalla, etc. and date of listing may be written at the top before the listing of houses starts. This will help in checking completeness.

2.5.0.4 If there is hg/ sb formation in the FSU, listing of houses and households will be done for sample hg/ sb no. 1 first. The serial number of sample hg/ sb and the names of hamlets will be written before the listing of households starts. After completing the listing of houses/ households of each hamlet of the sample hg, one line will be left blank. On completion of the job for sample hg/ sb 1, listing for sample hg/ sb 2, if formed in the FSU, will be taken up in a separate page of block 5.

First tick-mark the appropriate hg/ sb number (1 or 2) in the heading of the block 5 correctly and cross the one not applicable.

Various columns of block 5 are described below:

2.5.1 **Column (1): house number**: All houses including vacant ones shall be listed by giving a house number. The 2001 Population Census house number or the number given by the local panchayat, municipality or other local bodies, may be used if available. The houses without such numbers will be given a separate running serial number starting from 1 within brackets. Wherever house numbers are available, even if not for all the houses, the actual house numbers shall be recorded without any brackets. After listing all the households associated with a house, the next house shall be listed. If the house is used solely for non-residential purposes or is vacant, the purpose to which it is put will be written across the line, e.g. temple, vacant structure, etc. For family living under a tree or bridge etc. (i.e. without any house), a '–' may be put in this column.

2.5.2 **Column (2): household serial number**: The household(s) normally residing in the house or in a fixed location (e.g. under a tree/ bridge/ open space etc.) listed in column (1) will be numbered in column (2). All households (including those found temporarily absent) will be given a running serial number in this column starting from 1. In case of persons staying, say, in hostels and forming single member households, each of them will be listed in separate lines giving a household serial number. Continuous serial number starting from 1 will be given in column (2) for each of the sample hg's/ sb's 1 & 2 separately. This column will be left blank for the lines meant for vacant houses, non-residential buildings, etc.

2.5.3 **Column (3): name of head of household**: For a household having serial number in column (2), the name of the head shall be recorded here.

2.5.4 **Column (4): household size**: The size of each household as defined in Chapter One will be recorded in this column. A small box space is provided against this column at the end of each page to record the total for this column.

2.5.5 **Column (5): structure type code (rural):** The type of structure in which the household resides may be entered in code in this column. The codes are:

type of structure	code
pucca	1
semi pucca	2
others (including those with no structure)	3

2.5.6 **Column (6) – (8): These columns are relevant for urban samples only**.

2.5.6.1 **Column (6): average monthly total consumer expenditure for the entire household (Rs)**: The household consumer expenditure has been explained in Chapter One. The average of total monthly consumer expenditure incurred by the household during last 12 months may be recorded in this column in whole number of rupees.

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

2.5.6.2 **Column (7): MPCE (Rs. in whole numbers)**: Monthly per capita expenditure of the household will be recorded in this column. The figure will be derived by dividing the average monthly expenditure (column 6) by the household size (column 4) and rounding it off to the nearest whole number.

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

2.5.6.3 **Column (8): MPCE code**: Two cut-off points 'A' and 'B' (in Rs.) have been determined from NSS 61st round data for **each NSS region** for urban areas in such a way that top 30% of the population have monthly per capita expenditure (MPCE) equal to or more than 'B' and bottom 30% of the population have MPCE equal to or less than 'A'. The values of 'A' and 'B' are given in Table 2.

Table 2: The values of urban cut-off points A and B (MPCE in Rs) for each NSS region

| State/UT | NSS Region | description | cut-off values | |
			A	B
(1)	(2)	(3)	(4)	(5)
Andhra Pradesh	281	Coastal Northern	600	1,144
	282	Coastal Southern	623	1,061
	283	Inland North Western	566	1,037
	284	Inland North Eastern	554	940
	285	Inland Southern	467	901
Arunachal Pradesh	121	Arunachal Pradesh	629	1,010
Assam	181	Plains Eastern	748	1,520
	182	Plains Western	695	1,172
	183	Cachar Plain	492	863
	184	Central Brahamputra Plains	553	952
Bihar	101	Northern	386	708
	102	Central	418	808
Chhattisgarh	221	Northern Chhattisgarh	655	1,040
	222	Mahanadi Basin	472	1,040
	223	Southern Chhattisgarh	355	705
Goa	301	Goa	773	1,255
Gujarat	241	South Eastern	819	1,316
	242	Plains Northern	679	1,344
	243	Dry areas	675	951
	244	Kachchh	494	1,014
	245	Saurashtra	643	1,021

Table 2: The values of urban cut-off points A and B (MPCE in Rs) for each NSS region

State/UT	NSS Region	description	cut-off values	
			A	B
(1)	(2)	(3)	(4)	(5)
Haryana	061	Eastern	683	1,244
	062	Western	553	991
Himachal Pradesh	021	Central	828	1,341
	022	Trans Himalayan & Southern	878	1,558
Jammu & Kashmir	011	Mountainous	850	1,527
	012	Outer Hills	759	971
	013	Jhelam Valley	740	1,083
	014	Ladakh*	*740	*1,083
Jharkhand	201	Ranchi Plateau	552	1,065
	202	Hazaribagh Plateau	557	1,097
Karnataka	291	Coastal & Ghats	482	1,098
	292	Inland Eastern	587	990
	293	Inland Southern	741	1,436
	294	Inland Northern	438	742
Kerala	321	Northern	534	1,004
	322	Southern	754	1,476
Madhya Pradesh	231	Vindhya	491	996
	232	Central	436	844
	233	Malwa	536	1,210
	234	South	449	917
	235	South Western	462	825
	236	Northern	438	688
Maharashtra	271	Coastal	844	1,476
	272	Inland Western	608	1,044
	273	Inland Northern	506	1,090
	274	Inland Central	400	712
	275	Inland Eastern	516	902
	276	Eastern	588	978
Manipur	141	Plains	595	798
	142	Hills	485	739

* No previous data for Ladakh is available as there was no consumer expenditure survey done earlier in the region. Cut-off values are taken as that of the neighbouring region.

Table 2: The values of urban cut-off points A and B (MPCE in Rs) for each NSS region

State/UT	NSS Region	description	cut-off values	
			A	B
(1)	(2)	(3)	(4)	(5)
Meghalaya	171	Meghalaya	770	1,430
Mizoram	151	Mizoram	834	1,346
Nagaland	131	Nagaland	1,035	1,698
Orissa	211	Coastal	448	896
	212	Southern	389	777
	213	Northern	426	852
Punjab	031	Northern	734	1,274
	032	Southern	697	1,339
Rajasthan	081	Western	594	1,015
	082	North-Eastern	529	989
	083	Southern	604	1,116
	084	South-Eastern	606	1,108
	085	Northern	479	798
Sikkim	111	Sikkim	812	1,257
Tamil Nadu	331	Coastal Northern	663	1,365
	332	Coastal	622	1,138
	333	Southern	523	894
	334	Inland	599	1,091
Tripura	161	Tripura	588	1,077
Uttarakhand	051	Uttarakhand	580	1,034
Uttar Pradesh	091	Northern Upper Ganga Plains	505	881
	092	Central	537	1,077
	093	Eastern	439	758
	094	Southern	401	710
	095	Southern Upper Ganga Plains	453	901
West Bengal	191	Himalayan	495	1,103
	192	Eastern Plains	454	981
	193	Southern Plains	698	1,406
	194	Central Plains	535	1,037
	195	Western Plains	557	970

Table 2: The values of urban cut-off points A and B (MPCE in Rs) for each NSS region

State/UT	NSS Region	description	cut-off values	
			A	B
(1)	(2)	(3)	(4)	(5)
A & N Islands	351	A & N Islands	1,009	1,829
Chandigarh	041	Chandigarh	897	2,116
D & N Haveli	261	D & N Haveli	1,019	1,729
Daman & Diu	251	Daman & Diu	777	1,098
Delhi	071	Delhi	794	1,409
Lakshadweep	311	Lakshadweep	840	1,454
Pondicherry	341	Pondicherry	611	1,160

For entry in column (8), MPCE of the household in column (7) may be compared with the values of 'A' and 'B'. The criteria for MPCE codes to be entered in this column are as follows:

Criteria	**MPCE code to be entered**
MPCE $\geq$ B	1
A $<$ MPCE $<$ B	2
MPCE $\leq$ A	3

For locked household, MPCE code 2 may be given.

2.5.7 **Column (9): did any household member perform any trip during last 30 days**:

Probing may be done regarding the trips undertaken by the household members during last 30 days. For definition of a 'trip', Chapter One may be referred. Trips made for the purposes of (i) taking up employment or (ii) setting up of residence or (iii) migration will not be treated as a trip for the purpose of the present survey. Codes 1, 2 or 3 may be entered in this column depending on the replies given:

Reply	**Code**
Yes: at least one member performed an overnight trip during last 30 days	1
Yes: no member performed any overnight trip during last 30 days but at least one member performed a same day trip during last 30 days	2
No: none of the members performed any trip during last 30 days	3

For locked household, code 3 may be given.

2.5.8 Columns (10) – (14): Schedule 21.1: SSS: sampling serial number: It may be recalled that for schedule 21.1, there will be five SSS. These columns are meant for preparation of frames for the five SSS of schedule 21.1. All the households including the locked households with a serial number in col. (2) will be tick-marked (√) in one and only one of the five columns following the procedure given below.

For households with code 1 in column (9), tick-mark (√) will be given either in column (10) or column (11):

In rural samples, the households with 'structure type' code 1 in column (5) will be , tick-marked in column (10) while the households with 'structure type' code 2 or 3 in column (5) tick-will be tick-marked in column (11).

In urban samples, for the households with MPCE code 1 in column 8, tick-marks are to be given in column (10) while for those with MPCE code 2 or 3 in column 8, tick-marks may be given in column (11).

For households with code 2 in column (9), tick-mark (√) will be given either in column (12) or column (13):

In rural samples, the households with 'structure type' code 1 in column (5) will be , tick-marked in column (12) while the households with 'structure type' code 2 or 3 in column (5) tick-will be tick-marked in column (13).

In urban samples, for the households with MPCE code 1 in column 8, tick-marks are to be given in column (12) while for those with MPCE code 2 or 3 in column 8, tick-marks may be given in column (13).

For the remaining households with code 3 in column (9), tick-marks (√) will be given in column (14) only.

The tick-marks (√) in cols.(10)/ (11)/ (12)/ (13)/ (14) will then be serially numbered starting from 1 independently and separately in all the five columns and these will be the sampling serial numbers for SSS 1, SSS 2, SSS 3, SSS 4 and SSS 5 respectively. The values of H, the highest serial numbers in each of these columns will be recorded against 'H' in the space provided in the column headings. **It must be ensured/checked that sum of these 'H' values for columns 10 to 14 tallies with the last household serial number in column 2**.

2.5.9 Columns (15) – (19): Schedule 21.1: SSS: sample household number: Number of sample households to be selected (h) for each combination of (hg/ sb) × SSS has been given in Chapter One. The values of 'h' are to be recorded in the space under the column headings.

For selecting the sample households of any particular (hg/ sb) × SSS by SRSWOR, the following procedure will be followed. Suppose 'H' denotes the total number of households in the

frame [i.e. the highest entry in column (10)/ (11)/ (12)/ (13)/ (14)] and 'h' the number of households to be selected. If H = h, all the households will be selected and no random number needs to be drawn. Otherwise, first draw a random number, say R1, between 1 and H. Next, draw another random number, say, R2, also between 1 and H. If R2 = R1, then reject R2 and draw a fresh R2. Continue this way till requisite number of distinct R's [i.e. R1, R2, ... , R(h)] have been drawn. Then the households with sampling serial numbers R1, R2, ... , R(h) [in column (10)/ (11)/ (12)/(13)/(14)] will be the selected households and be given sample household numbers as 1, 2,...….., h respectively in columns (15)/ (16)/ (17)/ (18)/ (19). Encircle the corresponding sampling serial numbers in columns (10)/ (11)/ (12)/ (13)/ (14).

2.5.10   **Columns (20) – (22): Schedule 1.2: SSS: sampling serial number:** There will be three SSS for the schedule 1.2. Sampling frames for SSS 1, 2 & 3 will be prepared through these columns. If there is any household with code 1 in column (5) in case of rural FSU or code 1 in column (8) in case of urban FSU, a tick-mark (√) will be given against the household in col.(20). For the households with code 2 in column (5) in case of rural FSU or code 2 in column (8) in case of urban FSU, a tick-mark (√) will be given against the households in col.(21). Remaining households will be tick-marked in col.(22). The tick-marks (√) in cols.(20)/ (21)/ (22) will then be serially numbered starting from 1 independently in each of the three columns.

The values of H, the highest serial nos. in each of these columns will be recorded against 'H' in the space provided in the column headings. **The sum of these 'H' values for columns 20 to 22 must tally with the last household serial number in column 2.**

2.5.11 **Columns (23) – (25): Schedule 1.2: SSS: sample household number:** The number of households to be selected (h) for each combination of (hg/ sb) × SSS has been given in Chapter One. The values are to be recorded in the space under the column headings. The sample households will be selected with SRSWOR in each (hg/ sb) × SSS. The procedure is similar to that described for schedule 21.1 in para 2.5.9 **with the modification that if the sample household is found to have been already selected for schedule 21.1, it will be *replaced* by the next non-selected household in the frame.** The household selected after replacement will be treated as the originally selected household. The sampling serial number of this household will be underlined encircled twice. This modification has been done with a view to select separate households for the two schedule types. *However, if the number of households in the frame is so small that distinct sample households cannot be selected for schedule type 1.2 following the procedure for replacement, the restriction of distinct households need not be adhered to. In such a situation, one or more sample households may be common for both the schedule types.* In such cases both schedules 21.1 as well as 1.2 will be canvassed in the same household.

2.6 **Block 6**: **particulars of sampling of households**: Particulars of sampling of households, separately for schedules 21.1 and 1.2 for each of the hg/ sb 1 & 2 will be recorded in this block. If there is no hg/ sb formation, entry will be made against hg/ sb 1.

2.6.1 **Column (3): population**: Population as obtained by summing up the page totals of household sizes in column (4) of block 5 over all the listed households may be recorded in this column separately for hg/ sb 1 & 2 against the rows for schedule 21.1. The total of populations of hg/ sb 1 & 2 will be recorded in the cell for the corresponding hg/sb.

2.6.2 **Columns (5) to (10): number of households**: Total number of households in the frame of various SSS of schedules 21.1 and 1.2 will be recorded in the corresponding cells of column (5) for each hg/sb. Number of selected households will be copied in column (6). These are to be copied from the relevant columns of block 5. References are as below:

Schedule 21.1: Column (5) entries for SSS will be equal to the value of 'H' recorded in heading spaces of columns (10) – (14) of block 5 for each hg/ sb while column (6) entries will be the value of 'h' recorded in heading spaces of columns (15) – (19) of block 5.

Schedule 1.2: Column (5) entries for SSS will be equal to the value of 'H' recorded in heading spaces of columns (20) – (22) of block 5 for each hg/ sb while column (6) entries will be the value of 'h' recorded in heading spaces of columns (23) – (25) of block 5.

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

2.6.3 **Column (11): number of replaced households**: Total number of households for schedule 1.2 replaced (being already selected for schedule 21.1) will be reported for all SSS separately for hg/ sb 1 & 2 against the rows for schedule 1.2. Entries will be the number of double circles in columns (20)/ (21)/ (22) of block 5 for each hg/ sb. Entry against 'all' will be sum of SSS 1 – 3 for hg/ sb 1 & 2.

2.7 **Block 7**: **distance of the village to the nearest facility and availability of some amenities in the village**: In this block, it is aimed to collect information on the availability of some specific facilities like communication, educational institutions, health institutions, wholesale markets, banks, credit societies, drainage, etc. in rural FSUs. *In case of hamlet-group formation, information are to be collected in respect of the entire sample FSU.*

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

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

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

2.7.1 **Items 1- 35: Column (3): distance code**:

Distance in terms of code will be entered in this column against items 1 to 35. Distance from the nearest facility available to the villagers will be considered. The distance will be measured from the geographical centre of the village irrespective of whether hamlet-groups have been formed or not. However, if a particular facility is available within the village, the distance code will always

be 1 irrespective of its distance from the centre of the village. One of the codes 2 to 6 will be applicable when the facility is available at a place outside the village. If a facility is available at two different places, the distance of the nearest place will be considered for recording the distance code. In this connection, it may be noted that if at a particular location, more than one facility is available in a combined form and if that location is the nearest one to the village in respect of all the facilities under consideration, then the distance code of that location is to be recorded against all the facilities. For example if the nearest secondary school also provides primary education and the nearest primary school is farther away than the secondary school then the distance code of the secondary school is to be recorded for the primary school also. The codes for distances are:

> within village……………………………………………....1
> outside village:
> > less than 2 kms…………………………………..2
> > 2 kms. or more but less than 5 kms……………..….3
> > 5 kms. or more but less than 10 kms……………....4
> > 10 kms. or more but less than 20 kms…………..…5
> > 20 kms. or more…………………………………....6

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

2.7.1.1 **Items 1- 7:** These items are self – explanatory. In States/ UTs where districts do not have block/ mandal, block/ mandal headquarters will mean headquarters of immediately lower administrative unit under the district.

For item 1, code '1' will not be applicable. Also, the distance from the centre of the village to the centre of the town will be considered for recording the appropriate code against item 1.

2.7.1.2 **Item 8: metalled road:** This will include roads made of pucca materials like asphalt, cement, concrete, bricks, stones, etc.

2.7.1.3 **Item 9: all weather road:** This is the road usable for all seasons of a year irrespective of the material used for the road.

2.7.1.4 **Item 10: school having primary level classes**: Generally, up to the standard of class IV is considered as primary education. However, the practices differ in some states where education of class V is also included under 'primary' level. For the purpose of this survey, education up to class IV or V, as the local practice may be, will be considered as primary education. This item will cover institutions providing such educational facilities.

2.7.1.5 **Item 11: school having secondary level classes**: Secondary level means education up to class- X. A school providing secondary level education will be considered for entry against this item.

2.7.1.6 **Item 12: higher secondary school/ junior college**: Higher secondary school provides education up to 10+2 standard. In some places it is also known as junior college. Institutions providing education up to 10+2 standard will be covered under this item.

2.7.1.7 **Item 13: college**: Colleges providing degree courses with a minimum of bachelor degree recognised by a university or equivalent will be covered under this item. Colleges providing diploma courses, which are equivalent to degree courses, are also to be covered under this item.

2.7.1.8 **Item 14: health sub-centre/ dispensary:** A health sub-centre is the most peripheral contact point in the primary health care system. It covers around 5,000 populations in plain area and 3,000 populations in hilly/ tribal area. It is run by government and located in the rural area. It is manned by two multi-purpose health workers – one male and one female. A sub-centre usually does not have facilities for treatment as in-patients. Dispensary is the consulting place/ chamber which does not generally have facilities for treatment of in-patients.

2.7.1.9 **Item 15: primary health centre:** Primary health centre (PHC) is the first contact point between a village community and the medical officer. It has a medical officer and other paramedical staff. It is run by the Government and usually has in-patient and out–patient facilities. A PHC has jurisdiction over 6 sub-centres and serves about 30,000 populations in plain area and 20,000 populations in hilly/ tribal area.

2.7.1.10 **Item 16: community health centre/ government hospital:** Community Health Centres (CHC) serves about 1.2 lakh populations in plain area and 80,000 in the hilly/ tribal area. The CHC functions as referral centre for the PHC. It is manned by medical specialists and paramedical staff and has in-patient and out-patient facilities. Medical institutions having provision of admission of sick persons as in-door patients (in-patients) for treatment are called hospitals. Hospital run by the central/ state government or local bodies like municipalities will be covered under this item.

2.7.1.11 **Item 17: private clinic/ doctor**: Private clinic is the consulting place/ chamber of private doctors. Doctors are those having degrees/ diploma in medicine and also registration from recognised universities/ institutions deemed to be universities. These doctors may follow any of the systems – allopathic, homeopathy, ayurvedic, unani.

2.7.1.12 **Item 18: medicine shop:** A shop which sells drugs and medicines of any system of medicine viz. allopathic, homeopathic, ayurvedic or unani medicines, will be considered as a medicine shop.

2.7.1.13 **Item 19: community centre:** It is a place accessible to the villagers where facilities of viewing TV, video, etc., arranging ceremonies like marriage, festivals and other community programmes, etc., are available. The centre is generally located at a fixed place. The villagers will have access to the centre.

2.7.1.14 **Items 20 – 23: post office, library, park/playground, police station/ police outpost:** The items are self-explanatory.

2.7.1.15 **Item 24: wholesale market:** Wholesale market is a market where the buying and selling of goods or merchandise is done to retailers and other merchants and commercial users but generally not to ultimate consumers. Thus, it is a market where wholesaler acts as a middleman between producer and retailer or ultimate consumer. The operations like sales, purchases and prices etc. of a wholesale market are sometimes supervised/ controlled by market committee or some other agency.

2.7.1.16 **Item 25: cooperative credit society:** Co-operative credit society is a society that is formed through the co-operation of a number of persons (members of the society) for the benefit of the members. The funds are raised through contributions/ investments by the members and the profits are shared by the members. Cooperative banks will also be considered here.

2.7.1.17 **Item 26: commercial bank:** This includes all nationalised banks including the State Bank of India and its subsidiaries. All other scheduled and non-scheduled banks, other than co-operative banks, should also be considered here.

2.7.1.18 **Item 27: land development bank:** Land development banks are co-operative societies established for advancing loans for acquiring assets of capital nature connected with land improvements, productivity of land and agricultural development. The land development banks sanction long terms loans, which are repayable over a period exceeding five years. If a cooperative bank performs the activities of a land development bank in addition to the usual activities of a cooperative bank, it will be considered under item 23 and not under this item.

2.7.1.19 **Item 28: marketing society:** Co-operative marketing society means a registered society established for the purpose of promoting marketing facilities primarily of agricultural produce. The marketing society receives the produce directly from the producers or through primary credit societies. The produce is then sold in different markets or to the high level marketing organisations etc. In addition to the marketing function, the societies may also undertake supply of agricultural requisites such as seeds, manure and fertilizer, pesticides and insecticides etc.

2.7.1.20 **Item 29: PCO:** Distance of the facility which is nearest to the village among telegraph office/ pubic call office (PCO)/ e-mail centre will be recorded in this item in code. A public call office or e-mail centre will refer to a place accessible to the villagers with or without payment of fee. E-mail is the electronic mail, which is sent through network (internet) from one place to another.

2.7.1.21 **Item 30: video parlour/ cinema hall:** Distance of the nearest video parlour/ cinema hall will be recorded in terms of codes.

2.7.1.22 **Item 31: veterinary hospital/ dispensary**: A veterinary hospital/ dispensary has provision for the treatment of animals.

2.7.1.23 **Item 32: fertiliser/ pesticide shop**: Fertiliser/ pesticide shop is one which sells fertiliser and / or pesticide.

2.7.1.24 **Item 33: fair price shop**: Fair price shop is the shop, which sells some essential commodities at subsidised rate. This may be owned by the government, local self-government, a government undertaking, the proprietor of a firm, co-operative(s) or private persons (individually or jointly) or other bodies like club, trust, etc.

2.7.1.25 **Items 34-35: cold storage, Industrial Training Institute**: These items are self-explanatory.

2.7.2 **Items 36 - 39: Column (3): availability of amenities in the village (code)**:

2.7.2.1 **Item 36: Major source of drinking water:** Major source of water used for drinking by the residents of the FSU may be identified and recorded in codes here. The codes are:

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

 2.7.2.2 **Item 37: approach road/ lane/ constructed path remain waterlogged in monsoon (yes-1, no-2):** Code 1 or 2 will be entered as per the information obtained.

2.7.2.3 **Item 38: type of drainage arrangement:** The information may be recorded in codes. The codes are:

type of drainage	code
underground	1
covered pucca	2
open pucca	3
open katcha	4
no drainage	5

2.7.2.4 **Item 39: electricity connection (code)**: The information is to be recorded in code. The codes are:

availability of electricity connection	code
yes:	
percentage (P) of households connected:	
$P < 10\%$	1
$10\% \leq P < 25\%$	2
$25\% \leq P < 50\%$	3
$50\% \leq P < 75\%$	4
$P \geq 75\%$	5
no:	6

If no household is using electricity, code will be 6.

2.7.3 **Item 40: informant code:** The information in block 7 is to be collected from one or more knowledgeable person(s) of the village. The source of such information collected is to be reported in this item. In case there is more than one source then the code will relate to the informant from whom maximum information has been collected. The codes are:

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

2.8 **Block 8**: **particulars relating to public works programme in the village**: The purpose of this block is to collect some information about public works taken up in the village during last 12 months. For explanation of the term public works, reference may be made to Chapter One. Enquiries about the most recent public works programme will also be made through the block. *In case of hamlet-group formation, information are to be collected in respect of the entire sample village.*

The required information has to be obtained by contacting the panchayat/ village officials and / or other knowledgeable person(s). In case they are unable to provide any information about public works programmes in the village, the nearest Block Development Officer or other related agencies might be contacted for collection of the relevant information.

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

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

2.8.1 **Item 1: whether any public works taken up in the village in last 12 months? (yes – 1, no – 2)**: If any public work was in operation in the village during last 12 months, code '1' will be entered, otherwise '2' will be entered. Public works might be of different types, e.g. road construction, building construction, land levelling, digging of ponds, making embankments, digging/ construction of irrigation canal, etc. They might be sponsored under various 'public works programme' such as National Rural Employment Guarantee Programme (NREGP), Sampoorna Grameen Rojgar Yojana (SGRY), National Food for Work Scheme (NFFWP), etc. Two or more 'types of public works' might be taken up under same 'public works programme' or one of them might be sponsored under one 'public works programme' while others might be sponsored under another 'public works programme'. Also, same 'type of public works' might be undertaken at different points of time under different 'public works programmes'.

For code '2' against this item, items 2 – 8 will remain blank.

2.8.2 **Item 2: number of public works taken up in last 12 months**: The number of distinct public works under different programmes that were in operation in the village during last 12 months will be recorded here. If same 'type of public works' were carried out under two different 'public works programme', it will be counted only once.

2.8.3 **Items 3 – 8**: These items relate to the most recent *public works programme*. If two or more types of public works were in operation under the same public works programme, information will relate to the public work that *started later*. But if there were two or more public works in operation under more than one public works programme, the information will relate to the *public*

works programme that started later and the type of public work will be the one that started later under the same public works programme.

2.8.3.1 **Item 3**: **type of programme (code)**: After identifying the most recent public works programme, codes will be entered for the public works programme as follows:

type of programme	code
National Rural Employment Guarantee Programme (NREG) ……	1
Sampoorna Grameen Rojgar Yojana (SGRY)……………………..	2
National Food for Work Scheme (NFFWP) ……………………	3
Any other wage employment programme for 'poverty alleviation' or as 'relief measure' …..………………………………………	4

2.8.3.2 **Item 4: type of public works (code)**: Type of work, most recent one under the most recent public works programme, will be recorded here in terms of code. The codes are:

type of public works	code
irrigation canal/ water conservation/ water harvesting/ drought proofing/ flood control/ embankment etc. …..………	1
land levelling, development of orchard etc…………………..	2
road construction, laying pipes and cables…………………..	3
building construction/ repair……………………………………	4
sanitation, running creche, etc………………………………..	5
any other work…………………………………………………..	9

2.8.3.3 **Item 5: wage rate for public works (Rs.)**: Wage rate given to the persons working under the most recent public works programme in the village will be reported here in whole number of rupees. If there were more than one wage rate, average wage rate will be reported.

2.8.3.4 **Item 6: prevailing casual agricultural wage rate at that time (Rs.)**: The prevailing wage rate for casual workers in agriculture during the time of operation of the most recent public works programme in the village will be reported here in whole number of rupees. If there is more than one agricultural wage rate, e.g. different rates for males and females or for different agricultural activities, the average wage rate will be reported.

2.8.3.5 **Item 7: who made the choice of the public works**: Code for the authority deciding the choice of the type of public work under reference will be recorded in this item. The codes are:

gram panchayat…………...	1
zila parishad ………..……..	2
State Govt… ……………...	3
don't know………………...	4

2.8.3.6 **Item 8: was there enough work on public works to satisfy demand?**: Perception of the informant about the sufficiency of work generated by the type of public works under consideration in relation to the demand for work will be recorded here. The codes are: *yes – 1, no – 2, don't know – 3*.

2.8.4 **Item 9: informant code**: Code will be entered against this item even if there was no public work in the village. The information is to be collected from one or more knowledgeable person(s) of the village. The source of such information collected is to be reported in this item. In case there is more than one source then the code will relate to the informant from whom maximum information has been collected. The codes are:

sarpanch (male)………………………………	1
sarpanch (female)…………………………..	2
other panchayat member…………………...	3
patwari/gram sewak ………………………	4
others………………………………………	9

2.9 **Block 9**: **remarks by investigator/senior investigator**: The investigator/ senior investigator may give remarks here on any abnormal situation or entry in the schedule.

2.10 **Block 10: comments by superintendent/ senior Superintendent:** The Superintendent/ Senior Superintendent may give remarks here on any abnormal situation or entry in the schedule.

2.11 **Block 11: comments by other supervisory officer(s)**: The supervising officer inspecting the work relating to this schedule may give comments here.

2.12 **Substitution of sample households**:

If a sample household of a particular schedule type cannot be surveyed due to some reason or the other, it will be substituted by the next one having higher sampling serial number (provided not already selected) of the same SSS. The substitute for the one having last sampling serial number of an SSS will be the one having smallest sampling serial number within the same SSS. If the substituted household becomes a casualty, *it will be substituted by another in the same manner. If this household also turns out to be a casualty, further substitute need not be taken.* **However, it must be ensured that for each schedule type (i.e. Schedule 21.1/ 1.2), a minimum of one sample household is always surveyed for each SSS if H>0 and for each hg/ sb. Substitution may be attempted more than twice in a few cases to adhere to this restriction.** In such cases, the fact has to be recorded in the remarks block (blocks 9 & 10).

It is to be noted that in the case of a substitution of a household, the word "SUBSTITUTED" should be written at the top of the front page of schedule.

2.13 **Random numbers**: A table of random numbers is supplied to each investigator. The n – th column of the table will be consulted in the case of the central sample and (n + 1) th column in the case of the state sample, where n is the last two digits of the serial number of the sample FSU. When n = 00, it will be taken as 100. The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digit random numbers may be used, as the cases may be, where random number '0' will stand for '10' and random number '00' for '100'.

The first random number will be used for hamlet-group/ sub-block selection whenever required. The subsequent random numbers may be used for selection of households in the order: (i) for hg/ sb 1 – households for five SSS of schedule 21.1, households for three SSS of schedule 1.2 and then (ii) for hg/ sb 2 – households for five SSS of schedule 21.1, households for three SSS of schedule 1.2. If the particular column of random numbers is exhausted in the process, next column may be used. Similarly, if all the columns of the random number table are exhausted, then the first column will be used.

2.14 **Substitution of sample FSU:**

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

   The Director (TC), DPD, NSSO,
   Mahalanobis Bhavan,
   164, Gopal Lal Tagore Road, Kolkata- 700108.
   e-mail address: dpd_tc@yahoo.co.uk
   fax: 033-25771025

A copy of the letter may be given to:

   The Director (Coordination), SDRD, NSSO
   Mahalanobis Bhawan
   164, Gopal Lal Tagore Road, Kolkata- 700108.
   e-mail address: **sdrd@cal2.vsnl.net.in**
   fax: 033-25776439, Tele: 033-25781495

If the substituted FSU has same problem as the original, correspondences may be made immediately so that another substitute can be provided to prevent voidness of stratum. In case no substitute FSU could be surveyed even with best efforts [i.e. code 7 in item 17, block 1], a blank schedule 0.0 will be submitted with only blocks 0, 1, 2, 9, 10 and 11 filled in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

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

(b) If a sample FSU is found to be depopulated at the time of survey, or its population has shifted elsewhere due to some natural calamity, or it is treated as a "zero-case", it will not be substituted. It will be treated as a valid sample and blank schedule 0.0 with only blocks 0, 1, 2, 9, 10 and 11 filled in will be submitted in such cases. The word/ words 'UNINHABITED' or 'ZERO CASE', as appropriate will be written on the top of the front page of the schedule in such cases. However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North Eastern states where, for example, jhum cultivation is prevalent, whole village may shift from place to place. In such cases the sample village will be surveyed in the place

where it is currently located and not treated as uninhabited if found absent in its original location.

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

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

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

2.15.1 **Repetition within state or central sample FSUs**:

Case (a): **without hamlet-group/ sub-block formation**: If repetition is in the *same sub-round*, listing is to be done only once. The listing schedule will be copied with the identification particulars changed to those of the serial number against which it is found repeated. (The items that may change are only these: serial number and sub-sample). The sample households will be selected afresh. However, if any household already selected is selected again, it is to be substituted. If the required number of fresh households (i.e. not selected in the first occasion) is not available in the frame as a result of which some households are reselected in the second/ subsequent occasion, entries in various blocks for such household may be copied. If, however, repetition of the FSU takes place in a different sub-round, it is to be surveyed just like a new sample with fresh listing and sample selection.

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

An example showing selection of households in Block 5 for a rural FSU without hg formation

[5] list of households and record of selection for households (hg/ sb 1/ 2)

house number	household serial number	name of head of house-hold	household size	structure type code (rural)	average monthly total consumer expenditure for the entire household (Rs)	MPCE (Rs. in whole number) (col. 6 ÷ col. 4)	MPCE code	did any household member perform any trip* during last 30 days ….	schedule 21.1 SSS — for code 1 in col. 9 — code 1 in col. 5 (R) / 8(U) — 1 H=7	for code 1 in col. 9 — code 2or 3 in col. 5 (R) / 8 U) — 2 H=4	for code 2 in col. 9 — code 1 in col. 5 (R) / 8 U) — 3 H=5	for code 2 in col. 9 — code 2or 3 in col. 5 (R) / 8 U) — 4 H=7	for code 3 in col. 9 — 5 H=17	sample household number — 1 h=4	2 h=2	3 h=2	4 h=2	5 h=2	schedule 1.2 SSS sampling serial number — code 1 in col. 5 (R) or in col. 8 (U) — 1 H=12	code 2 in col. 5 (R) or in col. 8 U — 2 H=13	code 3 in col. 5 (R) or in col. 8U — 3 H=15	sample household number — 1 h=4	2 h=4	3 h=4
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)
12	1		3	2				3					√1							√1				
13/1	2		5	3				3					√2								√1			
14	3		6	2				2				√1									√2			
–	4		1	3				3					√3								√2			
15B	5		5	1				1	(√1)					3					√1					
9	6		2	2				1		(√1)					1					√3				
10	7		4	3				2				(√2)					2				√3			
16	8		6	2				2				(√3)					1			√4				
17	9		2	1				1	(√2)					4					√2					
18	10		3	1				2			√1								(√3)			3		
19	11		6	2				3					√4							(√5)			1	
20	12		5	3				3					√5							((√4))				1
21	13		3	1				2		(√2)						1			√4					
22	14	VACANT																						
22/2	14		5	2				3					√6							√6				
22/3	15		4	1				1	√3										((√5))			1		
23	16		8	1				1	√4										(√6)			2		
24	17		4	1				2			√3								((√7))			4		
(1)	18		3	2				3					(√7)					1		√7				
25	19		6	3				3					√8								√5			
26	20		5	3				1		√2											√6			
27	21		2	3				1		(√3)						2					√7			
28	22		3	2				3					√9							((√8))				2
29	23		1	1				1	(√5)					2					√8					
30	24		2	1				2			(√4)						2		√9					

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[5] list of households and record of selection for households (hg/ sb 1/ 2)

					urban				schedule 21.1 SSS										schedule 1.2 SSS					
									sampling serial number					sample household number					sampling serial number			sample household number		
									for code 1 in col. 9		for code 2 in col. 9		for code 3 in col. 9											
house number	household serial number	name of head of house-hold	household size	structure type code (rural)	average monthly total consumer expenditure for the entire household (Rs)	MPCE (Rs. in whole number) (col. 6 ÷ col. 4)	MPCE code	did any household member perform any trip* during last 30 days ….	code 1 in col. 5 (R)/8(U)	code 2or3 in col. 5 (R)/8(U)	code 1 in col. 5 (R)/8 U	code 2or3 in col. 5 (R)/8 U	for code 3 in col. 9						code 1 in col. 5 (R) or in col. 8 (U)	code 2 in col. 5 (R) or in col. 8 U	code 3 in col. 5 (R) or in col. 8U			
									1 H=7	2 H=4	3 H=5	4 H=7	5 H=17	1 h=4	2 h=2	3 h=2	4 h=2	5 h=2	1 H=12	2 H=13	3 H=15	1 h=4	2 h=4	3 h=4
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)
31	25		5	2				3					√10							(√9)			3	
(3)	26		3	3				3					√11								√8			3
(4)	27		4	3				2				√4									√9			
32	28		3	2				2				√5								√10				
33	29		5	2				3					√12							√11				
34	30		6	1				1	(√6)					1					√10					
35	31		2	3				3					(√13)				2				√10			
35A/1	32		4	3				3					√14								√11			
35A/2	33		3	3				2				√6									√12			4
35A/3	34		5	3				3					√15								√13			2
36A	35		3	2				1		√4										(√12)			4	
36B	36		4	1				1	√7										√11					
42	37		3	1				2			√5								√12					
43	38		4	3				3					√16								√14			
44	39		3	2				3					√17								√13			
45	40		4	3				2				√7									√15			
page total:			**61**																					

random nos. drawn:

Sch 21.1 | 6, 5, 1, 2 | 1, 3 | 2, 4 | 3,2 | 07, 13

Sch 1.2 | 02, 06, 03, 04 | 05, 07, 09, 12 | 03, 13, 08, 12

col.(5): **structure type code** (only for rural samples): pucca – 1, semi pucca – 2, others – 3