

## Chapter Three

### Schedule 0.2 : List of Households and non-agricultural enterprises (Urban)

3.0.0 **Introduction** : Schedule 0.2 will be filled-in for the sample blocks of the urban sector. Formation of sub-blocks, selection of sub-blocks in the form of segments, listing of houses, households, non-agricultural enterprises, preparation of sampling frames of households by second - stage strata, preparation of sampling frames of eligible non-agricultural enterprises by broad industry groups x enterprise classes and selection of sample households / non-agricultural enterprises - all these tasks will be carried out in this schedule. **It may be said at the outset** that procedures to be followed in the case of schedule 0.2 are same as or very similar to those prescribed for schedule 0.1. Therefore, in this chapter, only those procedures which are specially meant for schedule 0.2 will be discussed in detail. Definition of the two terms, viz., 'household consumer expenditure' and 'household means of livelihood' are given below. All other terms have been defined either in Chapter One or Chapter Two.

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

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

3.0.3 **Structure of the schedule 0.2** : The schedule 0.2 consists of 13 blocks. Block 0 gives the descriptive identification along with codes of the sample block. The name and code for the items state/UT, district & town are to be recorded, whereas for the items ward, investigator unit & block number, the entries are to be made only with numbers. Block 1 is also for recording the identification particulars of the sample block

only in terms of codes along with some other particulars like approx. present population, approx. number of non-agricultural enterprises, total no. of sub-blocks formed, survey code and the reason for substitution. Block 2 will be used to draw the free hand sketch map of the sub-blocks formed in the large sample UFS block and to indicate the sub-blocks selected for survey in the map. This block is similar to block 2 of sch.0.1. Block 3 will be used to list the sub-blocks formed in the sample UFS block and to record the selection of sub-blocks in the form of segment numbers 1 & 2. Segment numbers 1 & 2 are same as defined in Chapter Two for rural sector. However, this block will be described in brief about the procedure of sub-block formation and selection of sub-blocks. Block 4 is the main block of the schedule which will be used for listing the households / non-agricultural enterprises and recording the selection of sample households. Block 5 will be used to prepare the sampling frames of eligible non-agricultural enterprises ( i.e. those identified from block 4 ) by broad industry groups x enterprise classes and to record the selection of sample enterprises. **Block 4 is similar to block 4 of sch.0.1 except for the cols. (16) to (29).** These columns will only be described in detail. The other blocks namely blocks 5, 6, 6A, 7, 8, 9 & 10 are exactly same as the corresponding blocks of sch.0.1. Thus these blocks will not be discussed here. Blocks 4A is similar to block 4A of sch.0.1 except for col.(9) where MPCE (i.e. monthly per capita consumer expenditure) will be recorded in whole no. of rupees. This is exactly same as col.(18) of block 4, sch.0.2. But this column will be discussed while describing block 4 of sch.0.2 in the following paragraphs. Thus block 4A will also not be described here.

## **Block 1 : Identification of sample block**

**3.1.0 Item 13: Frame code :** The fsu's in the urban sector are the Urban Frame Survey (UFS) blocks. The list of latest UFS blocks have been considered as sampling frame for selection of sample blocks in all cities and towns. The different types of frames used for selection of fsu's are indicated by 'frame code' in the sample list. Entry against item will be copied from the sample list. The investigator will identify the boundaries sample UFS block as per the map of the UFS block having the 'frame code' indicated in the sample list.

**3.1.1 Item 15 : Approx. present population :** The investigator will first ascertain the approximate present population of the entire sample UFS block taking into consideration of the normal growth of population along with any abnormal influx of population into or exodus of population from the sample block after the UFS block was updated/formed during the period as per the frame code used for sampling. This may be ascertained mainly from the knowledgeable persons by putting certain probing questions. The starting point can be the UFS population as per the frame. In the case of large difference with the frame population, it may be asked whether there has been any abnormal influx into or exodus from the block after the last phase of updation as per the frame code used for sampling and if so what the approximate increase or decrease of

population due to such events is, whether any new settlements / multistoried building have come up in the block after that and if so what the approximate population of the same is ; and so on.

**3.1.2 Item 16 : Approx. no. of non-agricultural enterprises :** Approximate number of non-agricultural enterprises (OAEs, NDEs and DEs combined) in the whole sample block, as ascertained by local enquiry from knowledgeable persons , may be recorded here. For doing this, the pockets or areas of concentration of non-agricultural enterprises like bazaar areas, industrial centres etc. may be identified first.

**3.1.3 Item 17 : Total number of sub-blocks formed :** The total number of sub-blocks formed in the sample block will be the value of 'D' as recorded in **block 3, sch.0.2**. If the sample block does not require any sub-blocks formation, the entry against this item will be "01".

**3.1.4 Procedure of formation of sub-blocks and identification of segments 1 & 2 in terms of the selected sub-blocks :** Procedure of formation of sub-blocks is same as that for the formation of hamlet-groups in the case of large villages. There is nothing like natural hamlets in the large UFS blocks as in the case of large villages. Here the sub-blocks are to be formed artificially by dividing the block into a certain number (say, D) by equalising the population giving priority to geographical compactness within each sub-block as per the criterion specified in Chapter One. Sub-blocks will be numbered serially in col.(1) of block 3. Ascertain the approximate present population of the sub-blocks in terms percentage of the total population and record these in col.(2) of block 3. Sampling serial will be given as '0' in col.(3), bl. 3 for the sub-block(s.b) with maximum concentration of non-agricultural enterprises and the remaining sub-blocks will be given sampling serial numbers starting from 1. The s.b with sampling serial no. '0' in col.(3) will be selected with certainty and its segment no. will be given as '1' in col.(4). Two more s.b.s will be selected circular systematically with equal probability from the remaining (D-1) s.b.s and will be assigned segment number '2' in col.(4). For further details, reference may be made to chapter Two.

#### **Block 4 : List of households / non-agricultural enterprises and record of selection for households ( segment 1 / 2 )**

**3.2.0 General:** Listing of houses, households and non-agricultural enterprises are to be carried out in this block as in the rural sector. Besides this, some additional information like household size, means of livelihood, average household monthly consumer expenditure for each household and some enterprise particulars like description of activity, number of total and hired workers, ownership particulars, duration of operation etc will be collected for grouping the households into different second-stage strata and

enterprises into different broad industry groups by enterprise class before selection of sample households / enterprises for detailed enquiry.

**3.2.1 Col. (16) : Means of livelihood (m.l.) code :** The household's means of livelihood will be determined as per instructions given in chapter one and the appropriate code will be recorded in col.(16). The codes are :

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

**3.2.2 Col. (17): Average household monthly consumer expenditure :** The average monthly consumer expenditure of the household will be ascertained and recorded in rupees (whole number) in col.(17). It may be noted that this will be the average expenditure per month based on the preceding twelve months' expenditure and not simply the expenditure of the preceding month.

**3.2.3 Col. (18) : Monthly per capita expenditure(MPCE) :** The average household monthly consumer expenditure (col. 17) will be divided by household size (col.3) to get monthly per-capita-expenditure which will be recorded in rupees after rounding off to nearest integer in col.(18).

**3.2.4 Treatment for locked households :** For locked households, if information with respect to some or all of the columns (3), (16) & (17) cannot be obtained even from the neighbours, write "locked household" against the space in col.(8) and code '2' as m.l. code in col.(16). Treat such households as having MPCE between A & B for the purpose of giving sampling serial numbers.

**3.2.5 Col. (19) : Sampling serial number for second-stage stratum 1 :**

Case (i) : For FSU's belonging to towns with population less than 10 lakhs: Households with MPCE > Rs 1200 (i.e. entry in col. (18) > C1 (as referred to in the table for 'MPCE cut-off points') will be treated as 'affluent' households and they will constitute the second-stage stratum 1.

Case (ii) : For FSU's belonging to cities with population 10 lakhs or more : Households with MPCE > Rs 1500 (i.e. entry in col. (18) > C2 (as referred to in the table for 'MPCE cut-off points') will be treated as 'affluent' households and they will constitute the second-stage stratum 1.

Put a tick-mark ( $\checkmark$ ) in col. (19) against the households in the frame of second-stage stratum 1. A running serial number from 1, beginning with the first tick-mark, may be given to all the tick-marks in the column in the order as they appear. These numbers will be the sampling serial numbers for the second-stage stratum number 1. If there is no

affluent household in the FSU, the second-stage stratum will be void and all the households of the FSU will be in second-stage stratum 2.

### 3.2.6 Cols. (20) to (27): Sampling serial number for second-stage stratum

**2** :These columns will be used to prepare the frame for second-stage stratum number 2. Households which are not part of the frame of second-stage stratum 1 are only to be included in this frame. The households of the frame with m.l. code 1 in col. (16) will get tick-marks (✓) in one of the columns (20), (21) or (22) depending on whether its MPCE ( col. 18) is less than A , A to B (both inclusive) or greater than B respectively. The values of A and B are given for each state/u.t. at the end of this chapter. The values of A and B have been determined at state/u.t. level such that the monthly per capita expenditure (MPCE) classes viz. below A, A to B & above B, will roughly include lowest 30 %, middle 60% and the top 10% of the population respectively. Similarly, the households of the frame with m.l. code 2 in col. (16) will get tick-marks (✓) in one of the columns (23), (24) or (25) depending on whether its MPCE ( col. 18) is above B , A to B (both inclusive) or less than A respectively. The households of the frame with m.l. code 3 in col. (16) will get a tick-mark (✓) in col. (26). Lastly , the households with m.l. code 9 will be tick-marked in col. (27). The tick-marks from cols. (20) through (27) will be given a running serial number from 1 starting with the first tick-mark and ending with the last one in columns (20) to (27). It should be ensured that all the tick-marks in a particular column, spread over all the pages of block 4, have been exhausted for the purpose of giving serial numbers before proceeding to the first tick mark of the next column. All these serial numbers are the sampling serial numbers for the second-stage stratum 2.

**3.2.7 Cols. (28) and (29) : Order of selection** : Instructions for allocation of households among the second stage strata and their selection for sch.10 and sch.1.0 are exactly same as those for villages in the rural sector. Reference may also be made to Chapter One **for exceptional cases.**

**3.3.0 Random numbers** : A table of random numbers is supplied to each investigator. The n-th column of the table will be consulted in the case of the central sample and (n+1)-th column in the case of the state sample, where n is the last two digits of the serial number of the sample village/block. When n=00, it will be taken as 100. The number of digits to be used will be the same as that of the highest number of the range within which the random number is to be selected. However, if random number is required to be drawn between 1 and 10 or between 1 and 100, only one or two digit random numbers may be used where random number '0' will stand for '10' and random number '00' for '100'. The first random number will be used for hamlet group selection, whenever required. The subsequent random numbers may be used for selection of households from second-stage strata 1 & 2 and of non-agricultural enterprises from the 12 groups formed by broad industry groups x enterprise classes respectively in the order

specified for segment 1 and the subsequent random numbers in the same order for segment 2.

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

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

In case no village/block (originally selected / substituted ) could be surveyed even with best effort (i.e. code 7 in item 18, block 1 of sch.0.1/ sch. 0.2 ), a blank sch.0.1 or 0.2, will be submitted with only blocks 0,1, 8, 9 and 10 of sch.0.1 / sch.0.2 filled-in. The word 'CASUALTY' is to be written at the top of the front page of the schedule in such cases.

3.4.1 If a sample village/block is found to be uninhabited at the time of survey or its population has been shifted elsewhere due to some natural calamity or it is a zero case, it will not be substituted. It will be treated as valid sample and blank schedule 0.1/0.2 with only blocks 0, 1, 8, 9 & 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 (for any one of the survey codes 2,3,5 and 6 in item 18 of block 1 of sch. 0.1/0.2). However, in Arunachal Pradesh and possibly elsewhere also in the hill tracts of North-Eastern states where, for example, jhum cultivation is prevalent, whole village may shift from place to place. In such cases, the sample village will be surveyed in the place where it is currently located and not treated as a zero case even if found absent in its original location.

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

3.4.3 It is important to note that the schedule 0.1/0.2 will be submitted for every sample village / block irrespective of whether it is surveyed/substituted (including zero case) or a casualty. Schedule 0.1/0.2 is also to be submitted in respect of the FSUs surveyed in visit 2.

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

**3.5.1 Case (a) : Samples without hamlet-group/sub-block formation :**

(I) If a FSU for which all the schedules are to be canvassed, is found repeated within 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 / non-agricultural enterprises will be selected afresh. In case any household already selected is selected again, it is to be substituted. In case due to the new random start, the whole set of sample households is re-selected, another random start will be taken. If the required number of fresh households (viz. not selected in the first occasion) is not available in the frame as a result of which some (or all) households are re-selected in the second occasion, for such households, the entries in various blocks of the relevant schedules may be copied.

(II) If a FSU for which all the schedules are to be canvassed, is found repeated in different sub-rounds, listing is to be done afresh and selection of households/non-agricultural enterprises will be made as per the procedure followed for fresh FSU.

(II) If a FSU , for which only sch10.1/sch.10 is to be canvassed in the second occasion, is found repeated in the next sub-round, the sample households surveyed in visit 1 for sch.10 will remain the same in visit 2 for sch.10.1 The new households that have come up after visit 1 will be listed in visit 2. Sch.10 will be canvassed in the households selected from the frame of new households. No other schedules need be canvassed. However, if the same FSU repeats more than once in next sub-round with visit number '2' only as per sample list, sample households selected for sch.10 as per the listing schedule made in visit 1 for the particular FSU serial number should remain the same for sch.10.1 in visit 2. However, listing of new households will be done only once and the same will be used for all FSUs that are repeated. The households selected from the frame of new households for canvassing of sch.10 will be same for all the repeated FSUs.

**3.5.2 Case (b) : Samples with hamlet-group/sub-block formation:** If a FSU for which all the schedules are to be canvassed, is found repeated, 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 excepting the hamlet-group/sub-block marked as segment '1'. If all the earlier hamlet-groups/sub-blocks in segment '2' are re-selected, then a new random number may be drawn so that different hamlet-groups/sub-blocks are selected for survey. But if only one hamlet-group/ sub-block of segment '2' is re-selected, it may be substituted by the next one not selected earlier. For the selection of

households / enterprises, the usual procedure will be followed. However, further clarification of particular cases may be sought from SDRD.

**3.6.0 Substitution of sample households / non-agricultural enterprises :** If any sample household could not be surveyed due to some reason or other, it will be substituted by another suitable household. The household to be considered as substitute should also belong to the same second-stage stratum. The household with the next sampling serial number of the same column but not selected for either of the two schedule types will be the substitute for the originally selected household. The substitute for the last household (i.e. having highest serial number) of a column will be the first household (i.e. having lowest serial number) of the same column not selected for any schedule type. The same procedure may be followed for substitution of sample enterprise i.e. it should also belong to the same frame from which the original enterprise was selected. If there is no more enterprise available in the frame for substitution, it will be treated as casualty.

Table showing values of cut-off points (A & B) of monthly per capita expenditure (in Rs.) for Urban sector for different states

State / U.T.	A	B	State / U.T.	A	B
Andhra Pradesh	420	1209	Nagaland	681	1281
Ar. Pradesh	580	1436	Orissa	419	1202
Assam	493	1343	Punjab	575	1409
Bihar	378	1035	Rajasthan	466	1170
Goa	597	1431	Sikkim	615	1481
Gujarat	514	1220	Tamil Nadu	440	1273
Haryana	543	1372	Tripura	556	1362
Himachal Pr.	605	1846	U.P.	405	1133
J & K	612	1570	West Bengal	467	1429
Karnataka	434	1237	A & N Is	802	2458
Kerala	509	1392	Chandigarh	760	3518
M.P.	422	1126	Dadra & NH	451	1225
Maharashtra	509	1639	Daman & Diu	620	1194
Manipur	432	740	Delhi	674	2251
Meghalaya	627	1441	Lakshadweep	565	1419
Mizoram	733	1301	Pondicherry	462	1146

## An example showing sampling of households for a Rural FSU

sch. 0.1

[4] list of households / non-agricultural enterprises and record of selection for households (segment 1)\*

household srl. no.	m.l. code	land pos- sessed (0.00 ha)	sampling serial number for households								order of selection			
			second stage stratum (SSS)											
			1 (relat- ively afflu- ent hhs)	2 (i.e remaining households)									SSS	
				m.l. code										1
9 : land possessed classes (0.00 ha)														
1	2	< 0.40	0.40 - 1.00	1.00 - 2.00	2.00 - 4.00	>=4.00								
(2)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)	(26)	(27)		
1	1	0.45	√ 1								3			
2	2	0.52			√ 7							3		
3	1	4.5		√ 1								19		
4	9	2.3							√ 15			11		
5	9	1.6						√ 12				8		
6	9	5.6	√ 2								1			
7	2	0.39			√ 8							4		
8	1	0.73		√ 2								20		
9	1	1.23		√ 3										
10	9	0.24				√ 10						6		
11	9	1.32						√ 13				9		
12	9	3.22							√ 16			12		
13	9	1.58						√ 14				10		
14	1	0.92		√ 4										
15	9	9.42	√ 3								2			
16	9	3.52							√ 17			13		
17	1	0.15		√ 5								1		
18	9	4.22								√ 20		16		
19	1	2.3		√ 6								2		
20	9	2.9							√ 18			14		
21	2	0.37			√ 9							5		
22	9	2.13							√ 19			15		
23	9	5.24								√ 21		17		
24	9	0.89					√ 11					7		
25	9	4.25								√ 22		18		

(In second stage stratum 1, sch.1.0 to hhs with OS 1,2 and sch.10 to OS 3,1; and in second stage stratum 2, sch.1.0 to hhs with OS 1,3,5,7,9,11,13,15,17 & 19 and sch.10 to OS 2,4,6,8,10,12,14,16,18 & 20)