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, structure type, household MPCE 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 village/block

Block 1:   identification of sample village/block

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, availability of some amenities and participation in MGNREG work (for inhabited villages only)

Block 8:   remarks by investigator/ asst. superintending officer

Block 9:   comments by supervisory officer(s),

2.0.2 Unit of survey: 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) blocks of phase 2007-12. 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 share of population will be selected with probability 1. In case there is more than one hg with same highest percentage share 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.*

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 2011 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.

2.0.7 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.

2.0.8 *For urban FSUs selected in sub-sample 3, only blocks 0, 1, 2, 8 and 9 will be filled in.*

Block 0: Descriptive identification of sample village/block

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

Block 1: Identification of sample village/block

2.1.0 **General**: This block is meant for recording the identification particulars of the sample village/block in terms of codes or numbers. The particulars relating to all the items will be recorded in box spaces provided in the block against each item (except for items 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 and Tripura 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: 2007-12 UFS – 15.

2.1.3 **Item 14: frame population*/households***: The population or the households of the sample FSU as given in the sample list will be copied here. For villages, it will be the census 2001 population and for UFS blocks, it will be <u>the number of households in UFS block</u> as per UFS frame 2007-12.

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 8/ 9.**

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 lying wholly or partly within the sample block (for urban only):** This item is to be filled up for the urban samples having a slum or part of a slum inside it. The entry will be the number of such distinct slums (whole slum/part slum). For definition of a slum, Chapter one may be referred.

2.2 **Block 2**: **Particulars of field operations**: The details of field operations will be recorded in this block. In the serial number 1(a) and 1(b), names of the field investigator (FI)/asst. superintending officer (ASO)/ field officer (FO)/ superintending officer (SO), their employee codes and signatures will be recorded. In the serial number (4), total time taken to canvass the schedule by the team of investigators (FI/ASO) will be recorded. Time taken by the **team jointly** may be reported in hours after rounding off to whole numbers**.** While recording the total time taken to canvass (i.e. column 3, srl. no. 4 of this block), it may be noted that the time taken to reach the sample village and return 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. In serial number 5, number of investigators (FI/ASO) in the team will be recorded in column (3)**.** 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 **Block 4.1: List of hamlets (only for rural samples with hg formation)**

2.4.0 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 **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.

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

2.5.0 **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.

2.5.1 **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.

2.5.2 **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.

2.5.3 **Column (3): percentage (%) of 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.

2.5.4 **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/ sb 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.

2.5.5 **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.

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

2.6.0.1 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'.

2.6.0.2 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 are to be carried out in this block.

2.6.0.3 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 2011 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.

2.6.0.4 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 strike out the one not applicable.

Various columns of block 5 are described below:

2.6.1 **Column (1): house number**: All houses including vacant ones shall be listed by giving a house number. The 2011 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.

2.6.2 **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.

2.6.3 **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.

2.6.4 **Column (4): household size**: The size of each household as defined in Chapter one will be recorded in this column. Two small box spaces are provided against this column at the end of each page to record the current page total for this column and the cumulative total for the pages.

2.6.5 **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

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

2.6.6.1 **Column (6): average monthly total consumer expenditure for the entire household (`)**: 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.

2.6.6.2 **Column (7): MPCE (` 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.

2.6.6.3 **Column (8): MPCE code**: Two cut-off points 'A' and 'B' (in `) have been determined from NSS 66th round data for **each NSS region** for urban areas in such a way that top 10% of the population have monthly per capita expenditure (MPCE) more than 'B' and bottom 30% of the population have MPCE less than 'A'. The values of 'A' and 'B' are given in Table 1.

Table 1: The values of urban cut-off points A and B (MPCE in `) for each NSS region

State/UT	NSS Region	description	cut-off values	
			A	B
(1)	(2)	(3)	(4)	(5)
Andhra Pradesh	281	Coastal Northern	1050	3770
	282	Coastal Southern	1030	3190
	283	Inland North Western	1200	3770
	284	Inland North Eastern	970	2400
	285	Inland Southern	830	2600
Arunachal Pradesh	121	Arunachal Pradesh	970	3020
Assam	181	Plains Eastern	1010	2880
	182	Plains Western	950	3940
	183	Cachar Plain	800	1620
	184	Central Brahamputra Plains	870	1860
Bihar	101	Northern	680	1600
	102	Central	660	1920
Chhattisgarh	221	Northern Chhattisgarh	960	2030
	222	Mahanadi Basin	820	2300
	223	Southern Chhattisgarh	710	2720
Goa	301	Goa	1460	3290
Gujarat	241	South Eastern	1210	3290
	242	Plains Northern	1100	3250
	243	Dry areas	920	3480
	244	Kachchh	1050	3170
	245	Saurashtra	1060	2490
Haryana	061	Eastern	1000	3750
	062	Western	1050	3340

Table 1: The values of urban cut-off points A and B (MPCE in `) for each NSS region

State/UT	NSS Region	description	cut-off values	
			A	B
(1)	(2)	(3)	(4)	(5)
Himachal Pradesh	021	Central	940	3200
	022	Trans Himalayan & Southern	1280	3450
Jammu & Kashmir	011	Mountainous	1170	3340
	012	Outer Hills	1320	2550
	013	Jhelam Valley	960	1960
	014	Ladakh	1110	2780
Jharkhand	201	Ranchi Plateau	740	2750
	202	Hazaribagh Plateau	760	2650
Karnataka	291	Coastal & Ghats	1100	3030
	292	Inland Eastern	980	2080
	293	Inland Southern	1380	3600
	294	Inland Northern	700	1680
Kerala	321	Northern	880	2720
	322	Southern	1250	4340
Madhya Pradesh	231	Vindhya	710	2250
	232	Central	710	3310
	233	Malwa	1130	3360
	234	South	700	2430
	235	South Western	720	1610
	236	Northern	800	1800
Maharashtra	271	Coastal	1420	5450
	272	Inland Western	1150	3880
	273	Inland Northern	820	2280
	274	Inland Central	770	2490
	275	Inland Eastern	900	3120
	276	Eastern	820	1990
Manipur	141	Plains	820	1530
	142	Hills	620	880
Meghalaya	171	Meghalaya	1000	2440
Mizoram	151	Mizoram	1280	2640
Nagaland	131	Nagaland	1280	2850

Table 1: The values of urban cut-off points A and B (MPCE in `) for each NSS region

State/UT	NSS Region	description	cut-off values	
			A	B
(1)	(2)	(3)	(4)	(5)
Odisha	211	Coastal	770	3130
	212	Southern	670	1740
	213	Northern	740	2470
Punjab	031	Northern	1030	3330
	032	Southern	1100	3910
Rajasthan	081	Western	960	2030
	082	North-Eastern	940	3090
	083	Southern	1150	2680
	084	South Eastern	960	2430
	085	Northern	830	2190
Sikkim	111	Sikkim	1570	2460
Tamil Nadu	331	Coastal Northern	1170	3560
	332	Coastal	990	2310
	333	Southern	860	2130
	334	Inland	910	2890
Tripura	161	Tripura	1000	2800
Uttar Pradesh	091	Northern Upper Ganga Plains	810	2990
	092	Central	750	3280
	093	Eastern	670	1980
	094	Southern	790	2380
	095	Southern Upper Ganga Plains	750	1990
Uttarakhand	051	Uttarakhand	930	2750
West Bengal	191	Himalayan	890	2860
	192	Eastern Plains	820	2370
	193	Southern Plains	1020	4090
	194	Central Plains	810	2760
	195	Western Plains	930	3830
A & N Islands	351	A & N Islands	1730	3890
Chandigarh	041	Chandigarh	1810	7120
Delhi	071	Delhi	1240	4050

Table 1: The values of urban cut-off points A and B (MPCE in `) for each NSS region

State/UT	NSS Region	description	cut-off values	
			A	B
(1)	(2)	(3)	(4)	(5)
Dadra & N. Haveli	261	Dadra and Nagar Haveli	1080	2340
Daman & Diu	251	Daman & Diu	890	2440
Lakshadweep	311	Lakshadweep	1340	3770
Puducherry	341	Puducherry	1210	3580

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 > B	1
A ≤ MPCE ≤ B	2
MPCE < A	3

 For locked household, MPCE code 2 may be given.

2.6.7 **Columns (9) – (11)**: **sampling serial number: SSS:** It may be recalled that for schedules 1.2 there will be three SSS. Column (9), (10) and (11) will provide the sampling frames for SSS 1, 2 & 3. Each household will be tick-marked (√) in one and only one of these three columns.

In rural samples, the households with 'structure type' code 1 in column (5) will be tick-marked in column (9) while the households with 'structure type' code 2 in column (5) tick-mark will be in column (10), for code 3 in column (5) tick-mark will be given in column (11).

In urban samples, for the households with MPCE code 1 in column 8, tick-marks are to be given in column (9) while for those with MPCE code 2 in column 8, tick-marks may be given in column (10) and for MPCE code 3 in column 8, tick-marks may be given in column (11).

Then all the tick-marks will be given a running serial numbers from the top starting from 1 in each column independently. These will be the sampling serial numbers for SSS1, SSS2 and SSS3 respectively.

The highest serial numbers in each of these columns will be the value of 'H' for the respective SSS for the schedule. This value will be recorded against 'H' in the space provided in the column headings.

2.6.8 **Shortfall and compensation:** Allocation of sample households for each SSS have been specified in Chapter one. However, there may be situation where number of households in the frame of an SSS is less than the required allocation leading to a shortfall. To maintain the total allocation of sample households at the specified level (of 12 households), shortfall in required number of households in the frame of any second-stage stratum (SSS) will be compensated from other SSS. While making such compensation, the general principle will be to give priority to the SSS 1 and then to the SSS 2 and then SSS 3. The procedure of compensation may be implemented by following the steps described below.

step 1: Allocate the required number of households to each SSS wherever possible and identify the SSS having shortfall.

step 2: In case of hg/ sb formation, compensate from the same SSS of the other hg/sb, if available, for the SSS having shortfall. *Complete the step sequentially for all SSS of hg/sb 1 and thereafter for all the SSS of hg/sb 2.* If the shortfall still remains identify the SSS having shortfall and go to Step 3.

step 3: Find the SSS where additional households are available following the priority order of SSS 1, SSS 2 & SSS 3 and compensate. The step may be repeated for **all** SSS having shortfall after step 2. First, SSSs of hg/sb 1 will be compensated and thereafter SSSs of hg/sb 2 will be completed sequentially.

The table given below will be useful for deciding the SSS from which the compensation is to be made.

SSS having shortfall	priority order of SSS for compensation
1	2, 3
2	1, 3
3	1, 2

To illustrate further, if shortfall in <u>SSS 2 of hg/ sb 2</u> exists details of step 2 & step 3 are given below.

step 2: Try to compensate the shortfall from SSS 2 of hg/ sb 1. If the shortfall still remains,

step 3: try to compensate from SSS 1 of hg/ sb 2, failing which try from SSS 1 of hg/ sb 1. If the shortfall still remains then try from SSS 3 of hg/ sb 2, failing which try from SSS 3 of hg/sb 1.

The resulting number of households (h) for each SSS will be entered at the top of relevant column(s) of block 5 and also in col.(6) against the relevant SSS × hg/ sb number of block 6 of schedule 0.0.

Examples for compensation of shortfall

SSS	no. of households to be surveyed	H	Step 1	Step 3	h

Example 1 –rural FSU without hg formation					
SSS	no. of households to be surveyed	**H**	Step 1	Step 3	**h**
1	4	**5**	4	1	**5**
2	4	**2**	2* (2)	C (SSS1, SSS 3)	**2**

3	4	**58**	4	1	**5**
total	12	**65**	10	2	**12**
shortfall			2	0	×

Example 2 – rural FSU with hg formation								
hg/sb	SSS	no. of households to be surveyed	**H**	Step 1	Step 2	Step1 + Step2	Step 3	**h**
	1	2	**1**	1*(1)		1*(1)	C(SSS2,hg2)	**1**
	2	2	**1**	1*(1)	C(SSS2,hg2)	1		**1**
	3	2	**98**	2		2		**2**
	total	6	**100**	4		4		**4**
	1	2	**0**	0*(2)		0*(2)	C(SSS2hg2, SSS3hg2)	**0**
2	2	2	**5**	2	1	3	1+1	**5**
	3	2	**125**	2		2	1	**3**
	total	6	**130**	4	1	5	3	**8**
1+2	total	12	**230**	8	1	9	3	**12**
	shortfall			4	3	3	0	×

* indicates the SSS having shortfall (the number of shortfall);

 C – indicates compensation made (SSS from which compensation is made)

Example 3 – rural FSU with hg formation								
hg/sb	SSS	no. of households to be surveyed	**H**	Step 1	Step 2	Step1 + Step2	Step 3	**h**
	1	2	**2**	2		2		**2**
1	2	2	**1**	1*(1)		1*(1)	C(SSS3,hg1)	**1**
	3	2	**96**	2		2	1	**3**
	total	6	**99**	5		5	1	**6**
	1	2	**1**	1*(1)		1*(1)	C(SSS3,hg2)	**1**
2	2	2	**0**	0*(2)		0*(2)	C(SSS3 hg2, SSS3 hg2)	**0**
	3	2	**100**	2		2	1+1+1	**5**
	total	6	**101**	3		3	3	**6**

	total	12	**200**	8		8	4	**12**
1+2	shortfall			4	0	4	0	×

* indicates the SSS having shortfall (the number of shortfall);

C – indicates compensation made (SSS from which compensation is made)

2.6.9 **Columns (12) – (14): schedule 1.2: sample household number: SSS**: The number of households to be selected (h) for each combination of hg/sb × SSS will be determined considering the allocation and compensation rules. The value of 'h' may be recorded in the space provided in 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 (9)/ (10)/ (11)] and 'h' the number of households to be selected. If H = h, all the households will be selected and no random number need 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 (9)/(10)/(11)] will be the selected households and be given sample household numbers as 1, 2,.…....., h respectively in columns (12)/ (13)/ (14). Encircle the corresponding sampling serial numbers in columns (9)/ (10)/ (11).

2.7 **Block 6**: **particulars of sampling of households**:

2.7.0 Particulars of sampling of households, 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.

2.7.1 **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.

2.7.2 **Columns (5) to (10): number of households**: Total number of households in the frame of all the SSS 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:

Column (5) entries for SSS are same as the value of 'H' recorded in heading spaces of columns (9), (10) & (11) of block 5 for each hg/sb. Column (6) entries will be equal to the value of 'h' recorded in heading spaces of columns (12), (13) & (14).

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 schedule 1.2. The entries in columns (7), (8) & (10) will be the number of filled-in schedules with the survey codes 1, 2 & 3. 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).

Entry against 'all (9)' will be sum of SSS 1 – 3 for hg/ sb 1 & 2.

2.8 Block 7: **distance of the village to the nearest facility, availability of some amenities and participation in MGNREG work**:

2.8.0.1 In this block, it is aimed to collect information on the availability of some specific facilities like communication, educational institutions, health institutions, banks, credit societies, drainage, participation in MGNREG works etc. in rural FSUs. *In case of hamlet-group formation, information are to be collected in respect of the entire sample FSU.*

2.8.0.2 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.

2.8.1 **Items 1- 23 and 24(b): Column (3): distance (in code)**:

Distance in terms of code will be entered in this column against items 1 to 23 and also for 24 (b). 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 or 3 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 5 kms ..………………………………………..2
> > 5 kms. or more ………………………………….…....3

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

2.8.1.1 **Items 1- 3:** These items are self – explanatory.

2.8.1.2 **Item 4: metalled road:** This will include roads made of pucca materials like asphalt, cement, concrete, bricks, stones, etc.

2.8.1.3 **Item 5: 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.

2.8.1.4 **Item 6: 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.

2.8.1.5 **Item 7: 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.

2.8.1.6 **Item 8: 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.

2.8.1.7 **Item 9: 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.

2.8.1.8 **Item 10: community health centre:** 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.

2.8.1.9 **Item 11: government hospital:** 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.

2.8.1.10 **Item 12: AYUSH unit:** AYUSH Unit will mean any Health Care Center/ unit providing treatment facility for any discipline under AYUSH as detailed in Para 1.8.28 in Chapter one.

2.8.1.11 **Item 13 : 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.

2.8.1.12 **Item 14: 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.

2.8.1.13 **Item 15: anganwadi centre (ICDS):** The Integrated Child Development Services (ICDS) scheme is the primary government programme providing health and nutrition services for children under age 6, pregnant women, and nursing mothers. These services are provided through community based *anganwadi* centres.

2.8.1.14 **Items 16: post office:** The item is self-explanatory.

2.8.1.15 **Item 17: 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.

2.8.1.16 **Item 18: 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.

2.8.1.17 **Item 19: 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.

2.8.1.18 **Item 20: 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.

2.8.1.19 **Item 21: veterinary hospital/ dispensary**: A veterinary hospital/ dispensary has provision for the treatment of animals.

2.8.1.20 **Item 22: fertiliser/ pesticide shop**: Fertiliser/ pesticide shop is one which sells fertiliser and / or pesticide.

2.8.1.21 **Item 23: agricultural produce market/rural primary market**: This category would include periodical markets regulated/linked to regulated markets and markets owned by local bodies i.e. panchayats in the rural areas popularly called haats, painths, and shandies etc.

2.8.2 **Items 24 - 26: Column (3): availability of amenities (code)**:

2.8.2.1 **Item 24(a): drinking water: major source (code):** Major source of water used for drinking by the residents of the village may be identified and recorded in codes here. 'Bottled water' means packaged drinking water obtained through sealed bottles, jars or pouches. These are the items supplied through market. The codes are:

major source	code	major source	code
bottled water	01	tank/ pond (reserved for drinking)	06
tap	02	other tank/ pond	07
tube well/ hand pump	03	river/ canal/ lake	08
well:		spring	10

major source	code	major source	code
protected	04	harvested rainwater	11
unprotected	05	others	19

2.8.2.2 **Item 24(b): drinking water: distance (code)**: Major source of drinking water may be situated within or outside the village. If it is within the village, code 1 may be entered. Otherwise code 2 or 3 may be recorded depending on the distance of the major source.

2.8.2.3 **Item 25: type of drainage arrangement (code):** 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

2.8.2.4 **Item 26: 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:	
$P < 25\%$	1
$25\% \leq P < 50\%$	2
$P \geq 50\%$	3
no:	4

If no household is using electricity, code will be 4.

2.8.3 **Item 27: whether the villagers participated in MGNREG programme during last 365 days:** It may be enquired if the villagers participated in MGNREG programme during last 365 days. Status of participation will be recorded, participation need not be within the village, it may be in any neighbouring villages also. If the answer is yes then code 1 may be recorded, otherwise code 2 may be entered.

2.8.4 **Item 28: 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

2.9 **Block 8**: **remarks by investigator/asst. superintending officer**: The investigator/ Asst. superintending officer may give remarks here on any abnormal situation or entry in the schedule.

2.10 **Block 9: comments by other supervisory officer(s)**: The supervising officer inspecting the work relating to this schedule may give comments here.

2.11 **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, 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 8 & 9).

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.

2.12 **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 three SSS and then (ii) for hg/ sb 2 – households for three SSS. 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.

2.13 **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 Deputy Director General (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: nsso.sdrd@gmail.com
fax: 033-25776439

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/sub-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, 8 and 9 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, 8 and 9 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 2011 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.

2.14 **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:

2.14.1 **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)*

								urban	schedule 1.2					
											SSS				
									sampling serial number			sample household number		
house number	household serial number	name of head of household	household size	structure type code (rural)	average monthly total consumer expenditure for the entire household ( )	MPCE ( ) (col. 6 ÷ col. 4)	MPCE code	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. 8 (U)				
								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)
12	1		3	2					√1				
13/1	2		5	3						√1			
14	3		6	2					√2				
–	4		1	3						√2			
15B	5		5	1				√1					
9	6		2	2					(√3)			4	
10	7		4	3						√3			
16	8		6	2					√4				
17	9		2	1				√2					
18	10		3	1				(√3)			3		
19	11		6	2					(√5)			1	
20	12		5	3						√4			
21	13		3	1				√4					
22		VACANT											
22/2	14		5	2					√6				
22/3	15		4	1				(√5)			1		
23	16		8	1				(√6)			2		
24	17		4	1				(√7)			4		
(1)	18		3	2					√7				
25	19		6	3						√5			
26	20		5	3						(√6)			1
27	21		2	3						√7			
28	22		3	2					(√8)			2	
29	23		1	1				√8					
30	24		2	1				√9					

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CODES FOR BLOCK 5

col.(5): **structure type code** (only for rural samples): pucca – 1, semi pucca – 2, others (including those with no structure)– 3

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

house number	household serial number	name of head of household	household size	structure type code (rural)	average monthly total consumer expenditure for the entire household (`)	MPCE (`) (col. 6 ÷ col. 4)	MPCE code	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. 8 (U)	sample household number 1	sample household number 2	sample household number 3
					urban			schedule 1.2 SSS sampling serial number			sample household number		
								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)
31	25		5	2					(√9)				
(3)	26		3	3						√8			
(4)	27		4	3						(√9)			3
32	28		3	2					(√10)			3	
33	29		5	2					√11				
33/1		SHOP											
34	30		6	1				√10					
35	31		2	3						√10			
35A/1	32		4	3						(√11)			4
35A/2	33		3	3						(√12)			2
35A/3	34		5	3						√13			
36A	35		3	2					√12				
36B	36		4	1				√11					
42	37		3	1				√12					
43	38		4	3						√14			
44	39		3	2					√13				
45	40		4	3						√15			

page total   61
cum. total   155

random nos.

5	5	6
6	8	12
3	10	9
7	3	11

Frequently asked questions and their replies: Schedule 0.0

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1.		General			If the whole sample village is shifted outside the village boundary, should that area be treated as the old sample village and be surveyed?	If the shifting is for reasons other than those for 'zero' or 'uninhabited' case, the sample FSU will be surveyed in the new place. Refer para 2.13 (b), page B-21 of instruction volume – I.
2.	0	General			Whether is it required to report codes along with the descriptive identification of the sample FSU?	Codes need not be reported, only descriptive identification is to be reported.
3.	1	15			In an urban FSU, if a knowledgeable person is not available, how is one supposed to estimate the approximate present population?	The approximate present population has to be ascertained from knowledgeable person by putting certain probing questions. If this is not available the present population may be ascertained by keeping the frame households in mind and putting certain probing questions to the local residents.
4.	2	4	3		Whether time taken should be taken in man-hours or hours taken by team jointly?	Hours taken by team jointly may be reported against this item and the number of investigators against item 5.
5.	3	-	-		Before going to the field, an investigator draws the map of the FSU village from the census handbook and takes it to the field for identification and hamlet group formation. But in a particular instance, the panchayat has said that the map taken by the investigator from the census handbook is not correct and they have provided a separate map, which covers some additional area	The updated and correct map should always be used. Moreover, the concerned investigator should verify both the maps from knowledgeable persons of the village and he should cross-check the validity of the maps with the population criteria and other details. However, if the census map is not used, then the investigator should give note

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
					than that given in the map of the census handbook. In such a situation which map should be referred for field work?	explaining the change.
6.	3	Sketch Map	-		Whether hg's/sb's can be formed by using imaginary line	Under normal circumstances imaginary line may be avoided. However, imaginary lines may be used in some special cases where there is no other alternative. The hg/sb formed should be clearly identifiable on the field.
7.	4.1	-	1	hamlet group formation	Can the number of hamlets listed in block 4.1 be less than the number of hamlet groups?	No. However, number of natural hamlets can be less than number of hamlet groups if the population of natural hamlet is very high.
8.	4.1	-	3	hamlet group formation	If the number of hamlet groups formed in the selected village is more than 100, how to report the rounding of percentage in column 3.	This is an exceptional situation and population may be recorded in one place of decimal.
9.	4.2	-	1 - 3		There is only one hamlet in the village which contains 1700 population. How to go about for hg formation and to record the percentage of population in block 4.1 & 4.2?	The large hamlet has to be artificially divided to form the required no of hamlets groups and record the same in Block 4.1 as per the numbering in Block 3 i.e. sketch map. In this case serial nos. of the hamlets listed in column 1 of Block 4.1 will be the serial nos. of hamlet groups in Block 4.2.
10.	4.2	-	4		In a FSU, there is more than 1200 population and there are four multi-storeyed buildings with identical population. In this case how to make purposive selection of segment 1?	The no. which comes first from northwest corner will be treated as segment 1.
11.	4.2	-	4	hamlet	If two or more hamlet groups are	In this case the hg, which is

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
				group formation	having maximum but same population, then which hg is to be selected as '0'?	listed first in column 1, is to be assigned the sampling serial number '0'.
12.	5	general		listing of households	Old age persons deserted by their children and staying in Old Age Home on payment. Whether they should be listed?	Yes. However, if they are deserted by children and living in destitute home like orphans they will not be listed.
13.	5	general		listing of households	Part of the village is urbanized and part is rural. Whether only rural part is to be covered.	Urban part of village is to be excluded provided urban part is used in UFS for selection of urban sample. Otherwise whole village is to be surveyed as rural sample.
14.	5	General		listing of households	At the time of listing it is observed that the dwelling is locked and household left since last 8 months. Whether it is to be treated as locked or vacant?	It will be treated as vacant.
15.	5	general		listing of households	If two brothers are living together in a hostel in a single room, pooling their income, will they be regarded as single household?	Yes, they will be considered a single household, as they pool their income for spending.
16.	5	general		listing of households	Whether citizens having dual citizenship are to be listed?	If their usual residences are outside the country, they should not be listed.
17.	5	general		listing of households	A married daughter is staying with her parents for more than 6 months. Will she be considered as a member of the parent household?	Yes
18.	5	general		listing of households	A truck driver stays away from home for more than six months continuously or otherwise during the reference year. Will he be listed as a normal household	No, he will not be listed.

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
					member?	
19.	5	general		listing of households	Due to drought condition some of the household members temporarily go out of the village/town in search of employment. If such members are listed, it is difficult to get the information at the time of detail enquiry. Whether such members are to be excluded?	Members temporarily staying away for less than six months are to be included. If selected for detail enquiry all efforts should be made to get the information of the particular person.
20.	5	-	-	listing of households	Newly married couple shifts to the area of listing should they be considered for listing?	If they are likely to stay in that area for the next six months or more should be considered.
21.	5	all	2-4		Five single member households are staying with a family which provides them food and accommodation. Whether the five members will be listed as single member households or will they be clubbed with the family as paying guest?	They will be treated as paying guest of the family and will be listed as members of the household with which they are staying as paying guest. However, if the situation is more like a mess or hostel, then each member may be treated as single member household. It may be noted that a person will not be considered as a paying guest unless he/she takes breakfast and major meals from the household.
22.	5	all	3		Whether enterprises will be listed?	If a structure houses enterprises as well as households, names of the heads of all the households will be listed. If the structure is used only for non-residential purposes, the purpose (e.g., temple, shop, etc.) only may be written. Name of the enterprise is not required.
23.	5	all	4		Four students from different families are staying together &	Each student will be treated as single member household.

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
					taking food from common kitchen and pooling their expenditure jointly for food purpose only, But they are incurring their daily needs separately other than food as per their daily needs. Whether this will be treated as single household or single member households.	
24.	5	all	4		A married daughter has been staying with her parents for more than three months due to some reasons. Parents confirm that she will remain with them for future. Whether we have to list this daughter in the parent household or not?	If the parents confirm that she will be staying for more than 6 months, she may be listed in the parents' household.
25.	5	all	4		A servant resides at his / her home at night. In the remaining part of the day he/she works at the employer's house and takes both the meals at the household of the employer. In which household the servant should be listed?	The servant should be listed in the household where he/she resides.
26.	5	-	1	listing of households	i. During detailed enquiry if two households found missing at listing stage, how it is to be treated? ii. In this case what will be done for repeat sample in the same sub round?	i. These households should be listed at the end of listing and 'H' values may be modified without fresh selection. ii. Fresh selection will be done from revised 'H' values.
27.	5	-	5		The house consists of both pucca and semi pucca structures. Which code is to be given?	On the basis of major floor area of the structure appropriate code is to be given.
28.	5	-	5		A house is having two Pucca rooms & two rooms Katcha. Whether it will be considered Pucca or Katcha?	On the basis of major floor area it is to be decided.

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
29.	5	-	6	average monthly total consumer expenditure for the entire household	Whether all expenditure during the reference year like marriage etc. should also be considered for determining average monthly total consumer expenditure for the household?	Yes, all expenditures during the reference year should be taken.
30.	5	-	6	average monthly total consumer expenditure for the entire household	Whether the dowry in cash in marriages is to be taken into account when the expenditure is asked?	Neither income from dowry nor expenditure towards dowry need to be included.
31.	7	2	3	village facility	Whether a bus stop designated as request bus stop will be considered against this item?	Yes.
32.	7	5	-	-	There is a primary school situated on the other side of a river, the facility of which is not being used by the villagers. Instead, they use another school, although a little farther but connected by a road, for primary education. Which of the schools will be considered as nearest facilities available to the villagers?	Facility being generally used is to be considered in this case.
33.	7	12	3		Whether a AYUSH facilities provided by private institution will be considered as AYUSH unit?	The facility will be considered irrespective of whether run by Government or private institution.
34.	7	12			If any person from the village, giving any kind of jadibuti and massage for the orthopaedic diseases, whether it is to be considered as 'Ayush Unit'	No. Ayush Unit will mean any Health care centre/unit providing treatment facilities. An individual providing some relief may not necessarily be an Ayush Unit.
35.	7	12	3		The village is served by a local	If the Ayurvedic practitioner

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
					Ayurvedic practitioner (who is not having any formal education on medicine). Whether this can be treated as an "AYUSH UNIT" for the purpose of current round/survey?	visits a dispensary or any of the AYUSH units specified in para 1.8.28 of chapter one of Instruction Vol-I, then village may be considered to have AYUSH Facility.
36.	7	12	3		One of the villagers in the selected FSU use leaves of plants for treating tooth ache, headache etc. People within and outside the village avail his services. Will this be considered as having AYUSH unit within the village?	As per the instruction contained in para 1.8.28, AYUSH unit includes hospitals, dispensary, primary health centre, community health centre, AYUSH health centre, Panchkarma centres/ Kendra, Ayurveda/ Panchkarma hospitals. Hence treatment provided by a villager by using leaves of plant should not be considered for making entry in this item.
37.	7	13	3		A grocery shop is selling medicine and has the required registration to sell medicine. Will that grocery shop be considered as a medical shop for that village?	Yes.
38.	7	13	3	village facility	In a village, grocery shops are also selling medicine without registration. Will that village be considered as having a medicine shop?	It will not be considered as having the facility
39.	7	13	3	village facility	Whether doctors of alternative medicine, RMP's (Registered Medical Practitioners) are to be considered for this item.	If they do not possess any recognised degree then they should not be considered.
40.	7	19	3	village facility	Will telephone with coin inserting facility be considered as PCO?	Yes, it will be considered.
41.	7	24	3	village	Major source of drinking water is	Code 06 or 07 may be given as

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
				facility	available from a pond of a neighbouring village. What code is to be recorded here?	per the status (reserved for drinking or other tank/pond) of the pond. The distance code will be 2 or 3.
42.	7	24	3	village facility	Whether tap water collected and stored in bottles by the hhs will be considered as bottled water?	No. it will be treated as tap water (code :02)
43.	7	25	3	village facility	If there are different types of drainage arrangement in different parts of the sample village, say somewhere – covered pucca, somewhere open pucca and somewhere open katcha, then which code will be applicable ?	Type of drainage which covers major area will be considered and appropriate code will be entered.
44.	7	25	3	village facility	If the majority of the households uses open pucca drainage although there is a facility of underground drainage in the village which connect village canal to the main canal. What code to be given for type of drainage arrangement?	Code-1 may be given as this facility is available in the village.
45.	7	26	3	village facility	In case most of the electricity connections used by the villagers are unauthorised/ illegal, whether they will be considered as having electricity connection?	Yes, since the facility is being availed by the villagers it will be considered.
46.	7	26	3	village facility	Whether the use of non-conventional energy (e.g. Solar Energy) will be considered?	Yes. Source will not be considered in determining the availability of electric connection.
47.	7	26	3	village facility	If electricity facility is available in the sample village but no household has taken connection legally where as some households illegally got connected with electricity, whether entry would be	Report appropriate code as per the percentage of households using electricity irrespective of whether the connection is legal or illegal.

sl. no	block	item	col.	subject	query	reply
(1)	(2)	(3)	(4)	(5)	(6)	(7)
					1-3 or 4.	
48.	7	27	3	participation in MGNREGA	Whether participation in MGNREG work by the villagers of the selected FSU is limited to the selected village only?	No, participation in MGNREG work by villagers of the selected FSU in any neighbouring villages may also be considered.
49.	7	27	3	Participation in MGNREGA	A person residing in the sample village had participated in MGNREG programme at his last usual place of residence. No other villager has participated in MGNREG work. What will be the entry in this item for the village?	Code 2 will be given for the village, as the person has not participated in MGNREG work as a villager of this particular village.