

भारत सरकार

सांख्यिकी और कार्यक्रम कार्यान्वयन मंत्रालय
राष्ट्रीय प्रतिदर्श सर्वेक्षण कार्यालय
समंक विधायन प्रभाग (मुख्यालय)

महलानोबिस भवन,
164, जी.एल.टी.रोड,
कोलकाता - 700 108.
दिनांक: 12.07.2019

ई-निविदा सूचना आमंत्रण

भारत के राष्ट्रपति की ओर से, समंक विधायन प्रभाग (मुख्या.), राष्ट्रीय प्रतिदर्श सर्वेक्षण कार्यालय (रा.प्र.स.का.), सांख्यिकी एवं कार्यक्रम कार्यान्वयन मंत्रालय द्वारा, स.वि.प्र.(सां.एवं.का.का.मंत्रालय) में रा.प्र.स. सर्वेक्षणों (वर्तमान एवं भविष्य) के लिए रियल टाइम वैलिडेशन सेट अप के साथ सी.ए.पी.आई. सक्षम सामान्य सर्वेक्षण उपकरणों (सी.ए.जी.एस.आई.) के डिजाइन, विकास, कार्यान्वयन तथा रखरखाव के लिए सी.ओ.टी.एस. आधारित/ कस्टमाइज्ड प्लेटफॉर्म आधारित समाधान हेतु कार्यान्वयन एजेंसी की नियुक्ति के लिए निविदा दस्तावेज में उल्लिखित कार्य क्षेत्र के अनुसार अनुभवी तथा व्यावसायिक आई.टी. कार्यान्वयन एजेंसियों से ई-निविदा आमंत्रित की जाती हैं।

निविदा जमा करने का माध्यम तकनीकी बोली तथा वित्तीय बोली की दो बोली प्रणाली में ऑनलाइन यू.आर.एल. <https://eprocure.gov.in/eprocure/app> के द्वारा है। निविदा दस्तावेज दिनांक 12.07.2019 से <https://eprocure.gov.in/eprocure/app> तथा <https://www.mospi.nic.in> पर भी उपलब्ध हैं। यदि अंग्रेजी भाषा रूपांतर तथा हिन्दी अनुवाद में कोई विसंगति पाई जाती है, अंग्रेजी रूपांतर मान्य होगा।

निविदा दिनांक 20.08.2019 को 3.00 बजे तक अवश्य ही यू.आर.एल. <https://eprocure.gov.in/eprocure/app> पर ऑनलाइन जमा किया जाना चाहिए। मैनुअल बोलियाँ स्वीकार नहीं की जाएंगी। निविदाकर्ताओं को सलाह दी जाती है कि ऑनलाइन बोलियों को ई-जमा करने के लिए निविदा दस्तावेज में दिए गए अनुदेशों का पालन करें। निविदा बोलियों के लिए महत्वपूर्ण सूचनाएं निम्नवत हैं :-

इएमडी (बोली सुरक्षा राशि)	रु. 20,00,000/- (रुपए बीस लाख मात्र)
निविदा दस्तावेज प्रकाशित करने की तारीख व समय	12/07/2019
बोली-पूर्व बैठक की तारीख व समय	22/7/2019; 14:00 बजे
निविदा-बोली जमा करने की अंतिम तारीख एवं समय	20/08/2019, 15:00 बजे
तकनीकी बिड खुलने की तारीख एवं समय	26/08/2019, 12:00 बजे
निविदाकर्ताओं की तकनीकी प्रस्तुति	29/08/2019, 11:00 बजे
केवल तकनीकी रूप से योग्य निविदाकर्ताओं से संबंधित वित्तीय बिड खुलने की तारीख एवं समय	बाद में सूचित किया जायेगा
बोली की वैधता	निविदा बोली जमा करने की अंतिम तारीख से 180 दिन

भवदीय,



(अरिन्दम मोदक)

उप महानिदेशक एवं विभागाध्यक्ष



D-11011/3/DPD (HQ)/CAGSI/Adm-IV/19-20

**Government of India
Ministry of Statistics & P.I.
National Sample Survey Office
Data Processing Division (HQ)**

Mahalanobis Bhavan
164, GLT Road
Kolkata-700108

Dated: 12-07-2019

NOTICE INVITING E-TENDER

On behalf of the President of India, Data Processing Division (DPD), National Sample Survey Office (NSSO), Ministry of Statistics & Programme Implementation, invites e-Tender for the appointment of Implementing Agency for **COTS based / Customised Platform based solution for Design, Development, Implementation and Maintenance of CAPI enabled General Survey Instruments (CAGSI) with Real Time Data Validation set up for NSS Surveys (Present and future)** at DPD (MoSPI) from reputed and professional IT Implementation Agencies as per the scope of work mentioned in the tender document.

The mode of tendering is online via URL <https://eprocure.gov.in/eprocure/app> in a two bid system of a technical bid and a financial bid. The tender document is available on <https://eprocure.gov.in/eprocure/app> and www.mospi.gov.in from 12/07/2019. In case of discrepancies found between the English text version and the Hindi translation, the English version shall prevail.

The tender has to be submitted online on URL <https://eprocure.gov.in/eprocure/app> latest by 20/08/2019 by 15:00 hrs. Manual bids shall not be accepted. Tenderers are advised to follow the instructions provided in the tender documents for the e-submission of the online bids. The important information of the bids are as under:

EMD (Bid Security)	Rs. 20,00,000/- (Rupees Twenty lakhs only)
Date & Time of Publishing of Tender	12/7/2019
Date & Time of Pre-Bid Meeting	22/7/2019; 14 : 00 hrs
Last Date & Time For Submission Of Bid	20/08/2019; 15 : 00 hrs
Date & Time of For Opening of Technical Bid	26/8/2019; 12 : 00 hrs
Technical presentation of Bidders	29/8/2019; 11 : 00 hrs
Date & Time for opening of financial bid in respect of technically qualified bidders only	To be intimated later
Validity of bid	180 Days from the last date of closing

(Arindam Modak)
Deputy Director General and HOD

भारत सरकार

सांख्यिकी और कार्यक्रम कार्यान्वयन मंत्रालय
राष्ट्रीय प्रतिदर्श सर्वेक्षण कार्यालय
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बोली की वैधता	निविदा बोली जमा करने की अंतिम तारीख से 180 दिन

भवदीय,



(अरिन्दम मोदक)

उप महानिदेशक एवं विभागाध्यक्ष



D-11011/3/DPD (HQ)/CAGSI/Adm-IV/19-20

**Government of India
Ministry of Statistics & P.I.
National Sample Survey Office
Data Processing Division (HQ)**

Mahalanobis Bhavan
164, GLT Road
Kolkata-700108

Dated: 12-07-2019

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Validity of bid	180 Days from the last date of closing

(Arindam Modak)
Deputy Director General and HOD

**Request for Proposal
For
Selection of
Implementing Agency
For
COTS based/Customized
platform based Solution
For
Design, Development, Implementation and Maintenance of
CAPI enabled General Survey Instruments with Real-time Data
Validation Set-up for**

*Periodic Labour Force Survey(PLFS)
Annual Survey of Unincorporated Non-Agricultural Sector Enterprises (ASUSE)
(Commencement from Oct, 2019)
Annual Surveys of Services Sector Enterprises (ASSSE) and NSS 78th round
(Commencement from Jan,2020)
and future NSS surveys*



**Data Processing Division (DPD)
NATIONAL SAMPLE SURVEY OFFICE
Ministry of Statistics and Planning Implementation
Government of India**

Tender No: D-11011/3/DPD(HQ)/CAGSI/Adm-IV/19-20

Date: 12.07.2019

Acronym

Acronym	Definition
COTS	Commercial off-the-shelf
CAPI	Computer Assisted Personal Interviewing
NSS	National Sample Survey
DPD	Data Processing Division
ASUSE	Annual Survey of Unincorporated Non
PLFS	Periodic Labour Force Survey
ASSE	Annual Surveys of Services Sector Enterprises
HQ	Head Quarters
NSSO	National Sample Survey Office
MOSPI	Ministry of Statistics and Program Implementation
QCBS	Quality Cum Cost Based Selection
RFP	Request for Proposal
EMD	Earnest Money Deposit
LoA	Letter of Authorization
MSA	Master Service Agreement
NDA	Non-Disclosure Agreement
PAPI	Paper Aided Personal Interview
IT	Information Technology
DQAC	Data Quality Assurance Centre
DPC	Data Processing Centre
IA	Implementing Agency
FOD	Field Operations Division
CWS	Current Weekly Status
MPCE	Monthly per Capita Expenditure
NIC	The National Informatics Centre
ICT	Information and Communication Technology
NCO	National Classification of Occupations
EFC	Expenditure Finance Committee
SDRD	Survey Design and Research Division
CPD	Co-ordination & Publication Division
DG&CEO	Director General and Chief Executive Officer
JSO	Junior Statistical Officer
SSC	Staff Selection Commission
SSS	Subordinate Statistical Service
PQ	Pre-Qualification
GIS	Geographical Information Systems
B.Tech	Bachelor of Technology
B.E.	Bachelor of Engineering
MCA	Master of Computer Applications
IPR	Intellectual Property Rights
RDBMS	Relational Database Management System
OTP	One-Time Password
SSO	Senior Statistical Officer
FO	Field Officer
FI	Field Investigator
RO	Regional Officer

USU	Ultimate Stage Unit
VM	Virtual Machine
ZO	Zonal Officer
FSU	First Stage Unit
LAN	Local Area Network
WAN	Wide Area Network
TSG	Technical Support Group
SDD	Software Design Document
EPFO	Employees Provident Fund Organization
SLA	Service Level Agreement
O&M	Operations and Maintenance
DBA	Database Administrator
CV	Curriculum Vitae

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1. FactSheet

Sl. No.	Key Information	Details
1.	Assignment Title	COTS based/Customized platform based solution for Design, Development, Implementation and Maintenance of CAPI enabled General Survey Instruments with Real-time Data Validation Set-up for: Periodic Labour Force Survey (PLFS), Annual Survey of Unincorporated Non-Agricultural Sector Enterprises (ASUSE), Annual Surveys of Services Sector Enterprises (ASSSE), NSS 78th round and future NSS surveys.
2.	Purchaser	Data Processing Division (HQ), National Sample Survey Office (NSSO), Ministry of Statistics and Program Implementation (MOSPI), Government of India
3.	Location	Mahalanobis Bhawan, 164 G.L.T.Road, Kolkata - 700108
Bid Submissions and Evaluation		
4.	Bid Submissions	E-procurement submission at https://www.eprocure.gov.in
5.	Technical Bid	E-form for Technical bid through the portal https://www.eprocure.gov.in
7.	Financial Bid	E-form for Financial bid through the portal https://www.eprocure.gov.in
Bid Conditions		
8.	Method of Selection / Bid Parameter	The evaluation of proposals shall be on the principle of Quality Cum Cost Based Selection (QCBS) based on the final weighted score. <ul style="list-style-type: none"> ● Only the Bidders matching the pre-qualification criteria will be selected for further evaluation ● The technical proposal shall be evaluated based on technical evaluation as mentioned under "Technical Proposal Evaluation Criteria". Each responsive Proposal will be given a technical score (St). Technical weightage (Tw) will be

		<p>70%</p> <ul style="list-style-type: none"> The proposal with the lowest cost (Fm) shall be given financial score (Fs) of 100 points. The financial scores of other proposals shall be computed as follows:- $F_s = 100 \times F_m / F$ Where F=amount of Financial Proposal Financial Weightage (Fw) 30% Combined Quality and Cost Evaluation- The total score shall be obtained by weighting the combined quality/technical and cost scores and adding them, as follows:- $S = S_t \times T_w + S_f \times F_w$
9.	EMD/Bid Security	Rs. 20,00,000/- only (Twenty lakhs only) in the form of Demand Draft
10.	Validity for EMD/Bid Security	90 days from bid submission date.
11.	Performance Security	10 % of the Cost discovered through tender process
12.	Tender Processing fee	Nil
13.	Tender Cost	Can be downloaded from https://www.eprocure.gov.in free of cost.
14.	Availability of RFP	Distribution of the RFP Document on website from 12 July, 2019
15.	Pre-bid meeting	22nd July 2019, 1400 Hrs (IST) at Conference hall DSDD, Computer Centre, East Block 10, RK Puram, New Delhi
16.	Due Date for Submission of Bids	Upto 1500 Hrs (IST) on 20 August, 2019
17.	Date and Time of Opening of Bids	26 August, 2019, 1200 Hrs or any other date as intimated by NSSO
18.	Technical Presentation of Bidders	1100 Hrs (IST) on 29 August, 2019 or any other date as intimated by NSSO
19.	Opening of Price/Financial Bid	To be intimated later.
20.	Issue of LoA	Within a week from the opening of Financial Bid
21.	Language	English
22.	Assignment Duration	Duration of assignment will be for 2 years 3.5 months from the date of issuance of work order. Extendable up to three more periods of one year each.

2. Request for Proposal

Sealed tenders are invited from eligible, reputed, qualified Software Application Developers / Implementers for COTS based/Customized platform based solution for Design, Development, Implementation and Maintenance of CAPI enabled General Survey Instruments with Real-time Data Validation Set-up for Periodic Labour Force Survey (PLFS), Annual Survey of Unincorporated Non-Agricultural Sector Enterprises (ASUSE) (Commencement from Oct, 2019), Annual Surveys of Services Sector Enterprises (ASSSE), NSS 78th round (Commencement from Jan, 2020) and future and other NSS surveys for National Sample Survey Office (NSSO), Ministry of Statistics and Program Implementation (MOSPI) as detailed out in the Scope of Work under Section 8 of this RFP Document. This invitation to bid is open to all Bidders meeting the minimum eligibility criteria as mentioned in Section 6.1 of this RFP Document.

3. Structure of the RFP

This Request for Proposal (RFP) document for Design, Development, Implementation and Maintenance of CAPI enabled General Survey Instruments with Real-time Data Validation Set-up for PLFS, ASUSE, ASSE, NSS 78th Round and future and other NSS surveys for NSSO, MOSPI comprise of the following.

3.1 Instructions on the Bid process for the purpose of responding to this RFP. This broadly covers:

- 3.1.1 General instructions for bidding process
- 3.1.2 Bid evaluation process including the parameters for Pre-qualification, Technical evaluation and commercial evaluation to facilitate Purchaser in determining Bidder's suitability as the implementation partner
- 3.1.3 Payment schedule
- 3.1.4 Commercial bid and other formats

3.2 Functional and Technical Requirements of the project. The contents of the document broadly cover the following areas:

- 3.2.1 About the project and its objectives
- 3.2.2 Scope of work
- 3.2.3 Functional and Technical requirements
- 3.2.4 Project Schedule
- 3.2.5 Service levels for the implementation partner

The Bidder is expected to respond to the requirements as completely and in as much relevant detail as possible, and focus on demonstrating Bidder's suitability to become the Software developer & Implementation partner of Purchaser.

3.3 Master Service Agreement (MSA), Service Level Agreement and Non-Disclosure Agreement (NDA). (Provided separately in Annexure IV,V,VI)

The Bidders are expected to examine all instructions, forms, terms, Project requirements and other information in the RFP documents. Failure to furnish all information required as mentioned in the RFP documents or submission of a proposal not substantially responsive to the RFP documents in every respect will be at the Bidder's risk and may result in rejection of the proposal.

4. Background information

4.1 Basic Information

- 4.1.1 Purchaser invites responses (“Tenders”) to this Request for Proposals (“RFP”) from Systems Implementation Agencies/Partners (“Bidders”) for Design, Development, Implementation and Maintenance of of CAPI enabled General Survey Instruments with Real-time Data Validation Set-up for
- 4.1.2 Periodic Labour force survey (PLFS) (commencement from July,2019
Annual Survey of Unincorporated Non-Agricultural Sector Enterprises (ASUSE) (Commencement from Oct, 2019)
Annual Surveys of Services Sector Enterprises (ASSSE) and NSS 78th round (Commencement from Jan, 2020) and future and other NSS surveys for NSSO, MOSPI as described in Section 8 of this RFP, “Scope of Work” (“the Software Solution and Services”).
- 4.1.3 Any contract that may result from this Government procurement competition will be issued for a term of two years six months (“the Term”).
- 4.1.4 The Purchaser reserves the right to extend the Term for a period or periods of up to one years with a maximum of three such extension or extensions on the same terms and conditions, subject to the <Purchaser’s> obligations at law.
- 4.1.5 Proposals must be received not later than time, date and venue mentioned in the Fact-sheet. Proposals that are received late WILL NOT be considered in this procurement process.

4.2 Project Background

NSSO has been, traditionally, using paper schedule to collect information in its surveys. Collection of information through paper schedule suffers from a plethora of disadvantages, like longer processing time caused due to data transcription, execution of data scrutiny and validation programme subsequent to data transcription. All these result in delay in bringing out the results of the survey.

Since primary aim of the Socio economic survey is to generate indicators and release of timely and quality data at a short span, speed of data processing has to be an inbuilt aspect of the survey operation. This can be achieved only when data collection in the field is done through computer assisted personal interviewing (CAPI) method. Therefore, NSSO first introduces the concept of data entry in CAPI module for the periodic labour force survey (PLFS) using Tablets in field.

For PLFS, CAPI solution developed by the World Bank was being used for collection of information. Unlike in the paper schedule, data for PLFS was collected in the field using Tablets with the help of CAPI software. The CAPI software platform enables Seamless transition from Paper Aided Personal Interview (PAPI) system in an intelligent, simple and efficient manner using IT solutions. It also offers effective management of survey operation through its set of survey management tools such as management of individual interviews (cases), data transfer and data export of interviews (cases) into a standard format.

While the World Bank CAPI module is being phased out, the department want to address the issue through indigenous initiative and develop an in-house CAPI module Survey Instrument.

Like PLFS, NSSO is planning to develop the CAPI solution in respect of other upcoming surveys viz. Annual Survey of Unincorporated Sector Enterprises (ASUSE) ,Annual Surveys of Services Sector Enterprises (ASSSE), NSS 78th round and future NSS surveys, for collection of information in field using Tablets/mobiles.

CAPI should facilitate:

- (i) Interviewers to receive interview assignments and manage the completeness and quality of their questionnaires and submitting the questionnaires to supervisor with comments for review.
- (ii) Field supervisors assigning interviews, overseeing the completeness and quality of interviewer outputs, and uploading interviews with comments for management review or rejecting the same and pushing it to the interviewer, and
- (iii) Survey managers (Regional Office) allocate workload across field teams (Supervisor and interviewer) and track the progress of survey operations as well as action against any errors that may arise.
- (iv) A significant part of data validation will be an in-built process of the CAPI to improve data quality. This will reduce time lag and ensure quality of survey results.

For PLFS, ASUSE, ASSSE, NSS 78th Round and future surveys, a CAPI enabled General Survey Instruments with Real-time Data Validation through proposed DQAC (Data Quality Assurance Centre) [presently DPC] Set-up module are to be developed by the implementing agency for collection of information.

It is intended to build a general and robust CAPI module to address the following issues:

- (i) The Geo tagged CAPI module of capturing the data through a structured and well defined schedule/questionnaire (Annexure-II) and uploading the same in the NIC Cloud server through necessary security audit. Together with collecting all necessary para-data for subsequent validation and management of field staffs.
- (ii) Validating (Annexure-III) and finalizing the data collected in the above process through customized modules embedded in the web portal.
- (iii) The control of the entire field survey to be controlled through the proposed DQAC back-office in the Data Processing Centres (DPCs) of DPD and also acting as Help line and trouble - shooting centre for the field.
- (iv) Generation of Tables, Graphs and charts along with reports and progress reports (for internal use) through the module, again embedded in the web portal and available through Dashboard.

NSSO, DPD (HQ.) is looking forward to implement the work as outlined in this RFP as per Industry best practices. The PLFS, ASUSE, ASSSE, NSS 78th rd. and the future surveys, CAPI Survey Solutions Development Agency/System Integrator will be responsible for Requirement Elicitation, Designing, Developing, Testing and Deployment of the said Survey Solution and Maintenance services for 2 years post stabilization of the system. The project can be extended by three optional periods of one year each at the sole discretion of the NSSO, DPD (HQ.). The proposed web portal should incorporate key requirements like Security, High-availability, Resiliency, Scalability, High-Performance, Interoperability and Manageability. The RFP intends to bring out the details with respect to scope of work that are deemed necessary to share with the implementing agency (IA).

The main objectives of this section are given as under:

- (i) To briefly highlight the organizational structure and functions of different divisions of NSSO.
- (ii) To provide some details about PLFS, ASUSE, ASSSE, NSS 78th round and future and other surveys for developing a survey solution/ web portal including division wise requirements of NSSO.
- (iii) To mention the project requirements in terms of both functional and technical requirements for developing the CAPI enabled General Survey Instruments (say PLFS, ASUSE, ASSSE, other future surveys, etc) as mentioned here.
- (iv) To provide the scope of work to the IA for developing the CAPI enabled General Survey Instruments for PLFS, ASUSE, ASSSE, NSS 78th r and future and other surveys.

4.3 Project Stakeholders

NSSO envisages the involvement of following stakeholders for the successful project implementation. They are:

- i. FOD Users (Head Quarters, Zonal Offices, Regional Offices and Sub-Regional Offices)
- ii. DPD Users(DPCs)
- iii. Others NSSO Divisional Users
- iv. Portal Admin
- v. Any designated agency for data and survey verification
- vi. Other Third Party Service providers

4.4 Brief note on the future surveys of NSSO

4.4.1 Periodic Labour Force Survey

National Sample Survey Office (NSSO) under the MOSP&I has been given the responsibility of the entire PLFS project which include formulation of sampling design, data collection, data processing and publication of reports periodically. A Standing Committee on Labour Force Statistics (SCLFS) which has been constituted by NSSO under the Chairmanship of Prof. S. P. Mukherjee, Emeritus Professor, University of Calcutta with the broad terms of reference to periodically review the whole

system of collection, compilation and dissemination of Labour Force Statistics and to make recommendations thereof, has formulated the sampling design and structure of the schedule of enquiry for the PLFS.

4.4.1.1 Structure and Content of the Schedule of enquiry for PLFS

Data from each sample household was collected using two types of schedules of enquiry, viz. Sch. 10.4 (First visit) and Sch. 10.4 (Revisit). Whereas information on both usual status and current weekly status (CWS) was collected during the first visit, only CWS was collected in sub-sequent visits to the households. Some major items of data collection includes:

- Data on household characteristics to have some idea about the level of living of the households for the purpose of ordering the households, e.g., information on usual MPCE, 'Household type' etc.
- Demographic particulars of household members like, age, sex, level of education, status of current attendance, etc.
- Information on vocational/technical training like, 'field of training', 'duration of training', 'type of training', 'source of funding', etc.
- Usual activity particulars of household members, like status, industry, occupation, type of enterprise, conditions of employment, etc.
- For each day of the reference week information were collected for at most two work activities.
- For each day of the reference week, 2-digit of NIC code, hours actually worked, hours available for work, wage earnings, etc.
- Current weekly activity particulars shall be derived from the daily activity particulars. For current weekly activity, 2-digit NIC code, 3-digit NCO code, earnings during the preceding calendar month for the regular wage/salaried persons and gross earnings during last 30 days from self-employment activity shall be recorded.
- The concepts & definition etc. (vol-I) and schedule of enquiry (vol-II) are enclosed as annexures.

The structure mentioned above is subject to modification as per the latest available norms of ICLS.

4.4.2 Initiatives for new surveys on service sector and unorganized sector

In the recent past there has been an increasing demand for collection and dissemination of unorganized sector data more frequently. Prof. Radhakrishnan, Chairman of the Committee on

Unorganized Sector Statistics, in his report, noted increasing lack of reliable statistics on the size, distribution and economic contribution of the sector as a major constraint in providing a realistic understanding of the significance of the Indian economy, leading to its neglect in development planning.

Keeping in view the necessity to improve the data quality and periodicity of surveys in the services sector as outlined in the meetings mentioned above, two proposals for an '*Annual Survey of Services Sector Enterprises (ASSSE)*' and '*Annual Survey of Unincorporated Non-Agricultural Sector Enterprises (ASUSE)*' was made.

Consequent upon the decision to undertake Annual Surveys of Services Sector Enterprises (ASSSE) and Unincorporated Sector Enterprises (ASUSE) by the EFC in its meeting dated 23.07.2018, a Standing Committee on Services Sector and Unincorporated Sector Enterprises (SCSSUSE), with the approval of the National Statistical Commission (NSC), has been constituted.

4.4.3 Annual Survey of Unincorporated Sector Enterprises (ASUSE)

All the enterprises in the services sector and unincorporated manufacturing sector enterprises other than the ones covered under ASSSE will be covered in this survey.

The main objective of the ASUSE would be to get annual estimates of various economic and operational characteristics of unincorporated non-agricultural enterprises in manufacturing, trade and other service sector (excluding construction) at national and State level. These economic and operational indicators are required for planning, policy and decision making at various levels, both within the government and outside.

Since there is a survey on unincorporated non-agricultural enterprises (excluding construction) being conducted periodically by NSSO, coverage, survey design and instruments will be modified suitably.

(Instruction Vol. I and II of NSS 73rd. are annexed as indicative instruction set and schedule of enquiry)

A significant part of data validation shall be an in-built process of the CAPI to improve data quality. This will reduce time lag and ensure quality of survey results.

4.4.4 Annual Survey of Services Sector Enterprises (ASSSE)

The main objective of the ASSSE would be to get activity-wise annual estimates of various economic and operational characteristics of incorporated services sector enterprises at national and State level. The survey will cover the whole of the Indian Union except the inaccessible areas of Andaman & Nicobar islands.

The proposed ASSSE may cover incorporated (i.e. units registered under Companies Act) services sector enterprises. The activities proposed to be covered under the survey as per NIC 2008 are like code G, H, I J, K, L, M, N, O, P, Q, R, S

However following enterprises may be excluded from the coverage of the survey:

- (a) Unincorporated Services sector enterprises (i.e. units not registered under Companies Act, 1956) which are proposed to be covered in ASUSE.
- (b) Government departmental enterprises

The exact inclusion/exclusion of activities at detailed NIC level may be finalised while preparing the final survey instruments.

4.4.5 Future and other NSS Surveys

From 78th rd. onwards all NSS surveys are proposed to be in CAPI mode in the field supported by an online back office and helpline. Therefore, NSSO gears up to shift completely to CAPI-DQAC mode

4.5 About the Department

4.5.1 About NSSO

The National Sample Survey Office (NSSO) under the Ministry of Statistics and Programme Implementation is broadly responsible for conduct of large scale sample surveys throughout India on various socio-economic subjects of interest to Government on yearly basis. The organization also conducts surveys on agricultural statistics; Annual Survey of Industries; price collection, etc. The field work of collection of data on sample basis, through scientifically designed structured schedules of inquiries, is done by the Field Operations Division (FOD) of the NSSO through its network of offices located throughout the country, The Processing of the Data is done by Data Processing Division (DPD), while the Design of survey and survey instruments and generation of the final reports are being done by Survey Design and Research Division (SDRD).

4.5.2 NSSO's Organization Structure

- 4.5.2.1** Survey Design and Research Division (SDRD): This Division, located at Kolkata, is responsible for technical planning of surveys, formulation of concepts and definitions, sampling design, designing of inquiry schedules, drawing up of tabulation plan, analysis and presentation of survey results.
- 4.5.2.2** Data Processing Division (DPD): The Division, with its headquarters at Kolkata and 6 other Data Processing Centers at various places, is responsible for sample selection, software development, processing, validation and tabulation of the data collected through surveys.
- 4.5.2.3** Co-ordination & Publication Division (CPD): This Division, located at New Delhi, coordinates all the activities of different Divisions of NSSO. It also brings out the bi-annual journal of NSSO, titled "Sarvekshana", and organizes National Seminars on the results of various Socio-economic surveys undertaken by NSSO.
- 4.5.2.4** Field Operations Division (FOD): The Division, with its headquarters at Delhi/Faridabad and a network of six Zonal Offices, 53 Regional Offices and 116 Sub-Regional Offices spread throughout the country, is responsible for the collection of primary data for the surveys undertaken by NSSO.

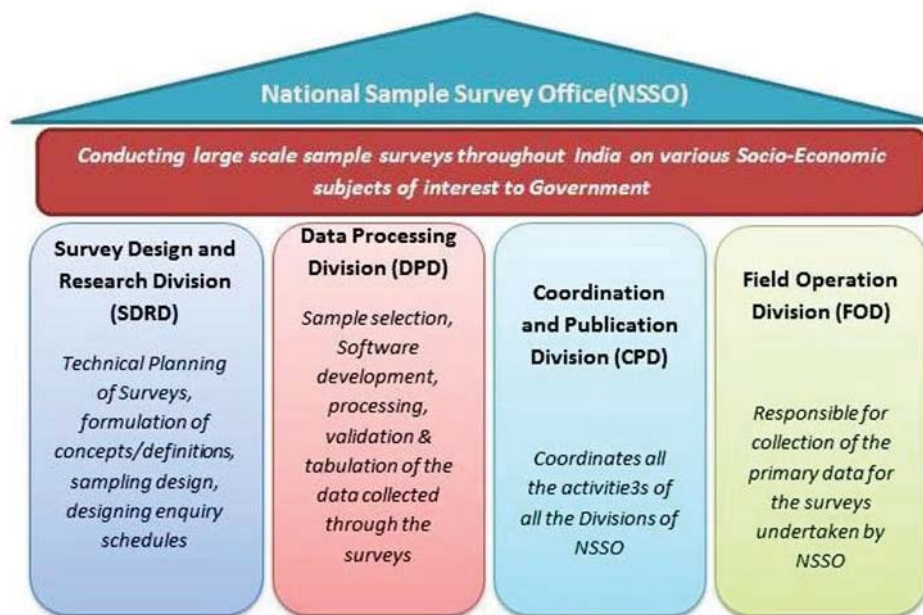


Figure 1: NSSO Organization Structure

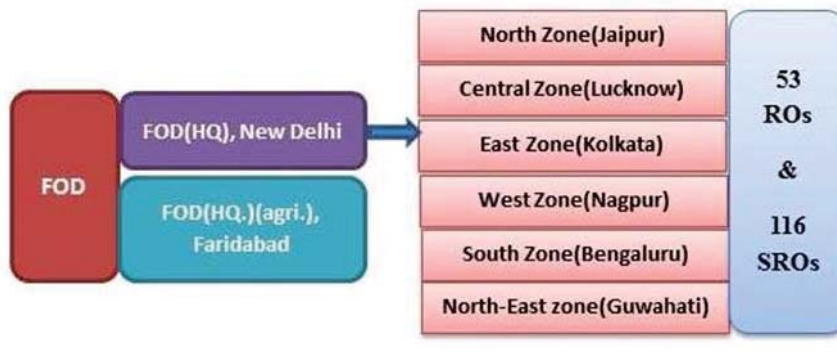


Figure 2: FOD Organization Structure within NSSO

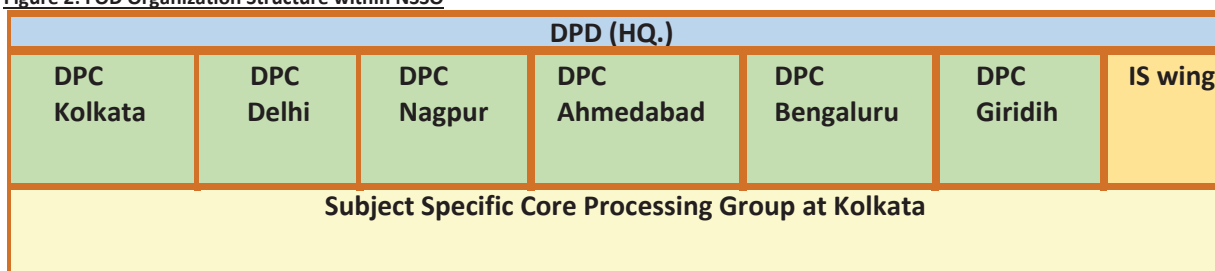


Figure 3: DPD Organization Structure within NSSO

4.5.3 Functions of NSSO

4.5.3.1 The NSSO carries out Household and Enterprise Surveys, undertakes the fieldwork for the Annual Survey of Industries, provides technical guidance to the States in respect of the Crop Estimation Surveys besides assessing the quality of primary work done by the State Agencies in area enumeration and yield estimation, prepares the urban frames useful for selection of urban blocks for the surveys and collects price data for rural retail prices as well as selected items consumed by the urban non-manual employees required for the preparation of consumer price indices for agricultural labourers and urban non-manual employees, respectively.

- 4.5.3.2 The Director General and Chief Executive Officer (DG&CEO) heads the NSSO. He is responsible for implementing all activities of the organization. The NSSO has four Divisions namely, the Survey Design and Research Division (SDRD), Field Operations Division (FOD), Data Processing Division (DPD), and Coordination and Publication Division (CPD), with each Division headed by an Additional or Deputy Director General. The headquarters of both the SDRD and the DPD are located at Kolkata. The DPD has Data Processing Centres at Ahmedabad, Bangalore, Delhi, Giridih, Kolkata and Nagpur. While the headquarters for the CPD are located at Delhi, the headquarters for the FOD are located at Delhi and Faridabad with a network of Zonal Offices, Regional Offices and Sub-Regional Offices spread over the country.
- 4.5.3.3 The field work of collection of data on sample basis, through scientifically designed structured schedules of inquiries, in scientifically selected samples (household or enterprises), is done by the Field Operations Division (FOD) of the NSSO through its network of offices located throughout the length and breadth of the country. The FOD has its Headquarters located at New Delhi and Faridabad; 6 Zonal Offices (Names); 53 Regional Offices, and; 116 Sub-Regional Offices spread throughout the country.
- 4.5.3.4 The primary field work relating to collection of data in socio-economic surveys, price collection schemes, urban frame survey, etc. is done by a cadre of officers called Junior Statistical Officers (JSOs), recruited through Staff Selection Commission (SSC), a Government Organization responsible for recruitment to subordinate posts in Government of India. The supervision of the data collected by the primary field staff is done by the supervisory staff of FOD called Senior Statistical Officers (SSOs) consisting of officers promoted from the level of JSO. JSOs and SSOs together constitute the SSS (Subordinate Statistical Services) cadre. Apart from the technical work related to the survey, the administrative work of the Division is done by the clerical/secretarial personnel called Ministerial Staff.
- 4.5.3.5 For its surveys/scheme, the collection of data is done by NSSO from selected households, enterprises, markets etc. in rural and urban areas of the country by using paper schedule or hand-held devices viz. tablets (to be supplied by the agency) for capturing data from the respondents. Part or full field work of the data collection, supervision and administrative support of these surveys are done by outsourcing the process of engaging contractual manpower to the required extent.

5. Instructions to Bidders

5.1 General

- 5.1.1 While every effort has been made to provide comprehensive and accurate background information and requirements and specifications, Bidders must form their own conclusions about the solution needed to meet the requirements. Bidders and recipients of this RFP may wish to consult their own legal advisers in relation to this RFP.
- 5.1.2 All information supplied by Bidders may be treated as contractually binding on the Bidders, on successful award of the assignment by the Purchaser on the basis of this RFP.
- 5.1.3 No commitment of any kind, contractual or otherwise shall exist unless and until a formal written contract has been executed by or on behalf of the Purchaser. Any notification of preferred Bidder status by the Purchaser shall not give rise to any enforceable rights by the Bidder. The Purchaser may cancel this public procurement

at any time prior to a formal written contract being executed by or on behalf of the Purchaser.

- 5.1.4 This RFP supersedes and replaces any previous public documentation & communications, and Bidders should place no reliance on such communications.

5.2 Compliant Proposals / Completeness of Response

5.2.1 Bidders are advised to study all instructions, forms, terms, requirements and other information in the RFP documents carefully. Submission of the bid shall be deemed to have been done after careful study and examination of the RFP document with full understanding of its implications.

5.2.2 Failure to comply with the requirements of this paragraph may render the Proposal non-compliant and the Proposal may be rejected. Bidders must:

- i. Include all documentation specified in this RFP;
- ii. Follow the format of this RFP and respond to each element in the order as set out in this RFP
- iii. Comply with all requirements as set out within this RFP.

5.3 Code of integrity

- 5.3.1 No official of a procuring entity or a bidder shall act in contravention of the codes which includes
- a. Prohibition of
 - i. making offer, solicitation or acceptance of bribe, reward or gift or any material benefit, either directly or indirectly, in exchange for an unfair advantage in the procurement process or to otherwise influence the procurement process
 - ii. Any omission, or misrepresentation that may mislead or attempt to mislead so that financial or other benefit may be obtained or an obligation avoided.
 - iii. any collusion, bid rigging or anticompetitive behavior that may impair the transparency, fairness and the progress of the procurement process
 - iv. improper use of information provided by the procuring entity to the bidder with an intent to gain unfair advantage in the procurement process or for personal gain
 - v. any financial or business transactions between the bidder and any official of the procuring entity related to tender or execution process of contract; which can affect the decision of the procuring entity directly or indirectly
 - vi. any coercion or any threat to impair or harm, directly or indirectly, any party or its property to influence the procurement process
 - vii. obstruction of any investigation or auditing of a procurement process
 - viii. making false declaration or providing false information for participation in a tender process or to secure a contract
 - b. Disclosure of conflict of interest.
 - c. Disclosure by the bidder of any previous transgressions made in respect of the provisions of sub-clause (a) with any entity in any country during the last three years or of being debarred by any other procuring entity.
- 5.3.2 In case of any reported violations, the procuring entity, after giving a reasonable opportunity of being heard, comes to the conclusion that a bidder or prospective bidder, as the case may be, has contravened the code of integrity, may take appropriate measures.

5.4 Pre-Bid Meeting & Clarifications

5.4.1 Pre-bid Conference

- 5.4.1.1 Purchaser shall hold a pre-bid meeting with the prospective Bidders on 22nd July 2019, 14:00 Hrs. (IST) at Conference Room DSDD, Computer Center East Block 10 RK Puram New Delhi -110066.
- 5.4.1.2 The Bidders will have to ensure that their queries for Pre-Bid meeting should reach to Arindam Modak, DDG Address: Mahalanobis Bhawan, emailid : arindam.modak@gov.in : 9831655569 through email on or before 22nd July 1100 Hrs. (IST)
- 5.4.1.3 The queries should necessarily be submitted in the following format:

S. No.	RFP Document Reference(s) (Section & Page Number(s))	Content of RFP requiring Clarification(s)	Points of clarification
1.			
2.			
3.			
4.			
5.			
6.			

5.4.1.4 Purchaser shall not be responsible for ensuring that the Bidders' queries have been received by them. Any requests for clarifications post the indicated date and time may not be entertained by the Purchaser.

5.4.2 Responses to Pre-Bid Queries and Issue of Corrigendum

5.4.2.1 The Nodal Officer notified by the Purchaser will endeavour to provide timely response to all queries. However, Purchaser makes no representation or warranty as to the completeness or accuracy of any response made in good faith, nor does Purchaser undertake to answer all the queries that have been posed by the Bidders.

5.4.2.2 At any time prior to the last date for receipt of bids, Purchaser may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective Bidder, modify the RFP Document by a corrigendum.

5.4.2.3 The Corrigendum (if any) & clarifications to the queries from all Bidders will be posted on the www.eprocure.gov.in and emailed to all participants of the pre-bid conference.

5.4.2.4 Any such corrigendum shall be deemed to be incorporated into this RFP.

5.4.2.5 In order to provide prospective Bidders reasonable time for taking the corrigendum into account, <Purchaser>may, at its discretion, extend the last date for the receipt of Proposals.

5.5 Key instructions of the bid

5.5.1 Right to Terminate the Process

5.5.1.1 Purchaser may terminate the RFP process at any time and without assigning any reason. Purchaser makes no commitments, express or implied, that this process will result in a business transaction with anyone.

5.5.1.2 This RFP does not constitute an offer by Purchaser. The Bidder's participation in this process may result Purchaser selecting the Bidder to engage towards execution of the contract.

5.5.2 RFP document fees

5.5.2.1 The RFP documents have been made available to be download without any fee from the website www.eprocure.gov.in.

5.5.2.2 The demand draft of RFP document fees (if any, as mentioned in the Fact Sheet) should be submitted along with the bidder's proposal. Proposals received without or with inadequate RFP Document fees shall be rejected.

5.5.3 Earnest Money Deposit (EMD)/ Bid Security

- a. Bidders shall submit, along with their Proposals, an EMD of Rs. 20,00,000/- (INR Twenty Lakhs) only, in the form of a demand draft OR Bankers Cheque OR bank guarantee. The payment transfer related information is as follows:
 - i. EMD BG in the format specified in Appendix I: Form 3 issued by a commercial bank in favour of **PAO, MOSPI, Kolkata**. The EMD BG should remain valid for a period of 45 days beyond the final tender validity period.
 - ii. Demand Draft/Banker cheque : Payable at Kolkata
- b. EMD of all unsuccessful Bidders would be refunded by Purchaser within 90 days of the Bidder being notified as being unsuccessful. The EMD, for the amount mentioned above, of successful Bidder would be returned upon submission of Performance Bank Guarantee as per the format provided in Appendix III.
- c. The EMD amount is interest free and will be refundable to the unsuccessful Bidders without any accrued interest on it.
- d. The bid/proposal submitted without EMD, mentioned above, will be summarily rejected.
- e. The EMD may be forfeited:
 - i. If a Bidder withdraws its bid during the period of bid validity.
 - ii. In case of a successful Bidder, if the Bidder fails to sign the contract in accordance with this RFP.

5.5.4 Submission of Proposals

Bidders should submit their responses as per the procedure specified in the e-Procurement portal www.eprocure.gov.in being used for this purpose. Generally, the items to be uploaded on the portal would include all the related documents mentioned in this Model RFP, such as:

- a. EMD
- b. Pre-qualification response
- c. Technical Proposal
- d. Financial proposal
- e. Additional certifications/documents E.g. Power of Attorney, CA certificates on turnover , Signed RFP and signed corrigendum etc.

However, each of the above documents must be uploaded in the format specified for this purpose and as per the specified folder structure in the e-Procurement portal.

The bidder must ensure that the bid is digitally signed by the Authorized Signatory of the bidding firm and has been duly submitted (freezed) within the submission timelines. NSSO will in no case be responsible if the bid is not submitted online within the specified timelines.

- f. All the pages of the Proposal document must be sequentially numbered and must contain the list of contents with page numbers. Any deficiency in the documentation may result in the rejection of the Bidder's Proposal.

5.5.5 Authentication of Bids

A Proposal should be accompanied by a power-of-attorney in the name of the signatory of the Proposal. A copy of the same should be uploaded under the relevant section/folder on the e-Procurement portal. Furthermore, the bid must also be submitted online after being digitally signed by an authorized representative of the bidding entity.

5.6 Preparation and submission of Proposals

5.6.1 Proposal preparation costs

The Bidder shall be responsible for all costs incurred in connection with participation in the RFP process, including, but not limited to, costs incurred in conduct of informative and other diligence activities, participation in meetings/discussions/presentations, preparation of proposal, in providing any additional information required by Purchaser to facilitate the evaluation process, and in negotiating a definitive contract or all such activities related to the bid process.

Purchaser will in no event be responsible or liable for those costs, regardless of the conduct or outcome of the bidding process.

5.6.2 Language

The Proposal should be filled by the Bidder in English language only. If any supporting documents submitted are in any language other than English, translation of the same in English language is to be duly attested by the Bidders. For purposes of Proposal evaluation, the English translation shall govern.

5.6.3 Venue & Deadline for Submission of Proposals

In case of e-Procurement, the response to RFPs must be submitted on the eProcurement portal www.eprocure.gov.in by the date and time specified for the RFP. Any proposal submitted on the portal after the above deadline will not be accepted and hence shall be automatically rejected. Purchaser shall not be responsible for any delay in the submission of the documents.

5.6.4 Late Bids

Bids submitted after the due date will not be accepted by the eProcurement system www.eprocure.com and hence will automatically be rejected. The Purchaser shall not be responsible for any delay in the online submission of the proposal.

5.6.5 Deviations

The Bidder may provide deviation to the contents of the RFP document in the format prescribed in Form 12.

NSSO would evaluate and classify them as “material deviation” or “non-material deviation”. In case of material deviation, the committee may decide to “monetize” the value of the deviations, which will be added to the price bid submitted by the Bidder OR declare the bid as non- responsive.

The Bidders would be informed in writing on the committee's decision on the deviation, prior to the announcement of technical scores. The Bidders would not be allowed to withdraw the deviations at this stage, the Bidder would not be allowed that to withdraw the deviations submitted without the prior consent of the Purchaser.

In case of non-material deviations, the deviations would form a part of the proposal & contract.

5.6.6 Evaluation Process

- a. Purchaser will constitute a Purchase Committee to evaluate the responses of the Bidders
- b. The Purchase Committee constituted by the Purchaser shall evaluate the responses to the RFP and all supporting documents / documentary evidence. Inability to submit requisite supporting documents / documentary evidence, may lead to rejection.
- c. The decision of the Purchase Committee in the evaluation of responses to the RFP shall be final. No correspondence will be entertained outside the process of negotiation/ discussion with the Committee.
- d. The Purchase Committee may ask for meetings with the Bidders to seek clarifications on their proposals.
- e. The Purchase Committee reserves the right to reject any or all proposals on the basis of any deviations.

Each of the responses shall be evaluated as per the criteria and requirements specified in this RFP

5.6.7 Tender Opening

The Proposals submitted up to 1500 Hrs.(IST) on 20th August 2019 will be opened at 1200 Hrs.(IST) on 26th August 2019 by Nodal officer or any other officer authorized by Purchaser, in the presence of such of those Bidders or their representatives who may be present at the time of opening. The representatives of the Bidders should be advised to carry the identity card or a letter of authority from the tendering firms to identify their bonafide for attending the opening of the proposal.

5.6.8 Tender Validity

The offer submitted by the Bidders should be valid for minimum period of 90 days from the date of submission of Tender.

5.6.9 Tender Evaluation

Initial Bid scrutiny will be held and incomplete details as given below will be treated as non-responsive. If Proposals;

- 5.6.9.1 Are not submitted in as specified in the RFP document
- 5.6.9.2 Received without the Letter of Authorization (Power of Attorney)
- 5.6.9.3 Are found with suppression of details
- 5.6.9.4 With incomplete information, subjective, conditional offers and partial offers submitted
- 5.6.9.5 Submitted without the documents requested in the checklist
- 5.6.9.6 Have non-compliance of any of the clauses stipulated in the RFP
- 5.6.9.7 With lesser validity period

5.6.9.8 All responsive Bids will be considered for further processing as below.

Purchaser will prepare a list of responsive Bidders, who comply with all the Terms and Conditions of the Tender. All eligible bids will be considered for further evaluation by a Committee according to the Evaluation process define in this RFP document. The decision of the Committee will be final in this regard.

6. Criteria for evaluation

6.1 Pre-qualification (PQ) criteria

S. No.	Basic requirement	Specific requirements	Documents required
1	Legal Entity	Should be Company registered under Companies Act, 1956 or a partnership firm registered under LLP Act, 2008 Partnership Firms registered under the India Partnership Act,1932 Registered with the Service Tax Authorities, GSTN authorities Should have been operating for the last three years. FY 2016-17, 2017-18, 2018-19	Certificates of incorporation Registration Certificates
2	Sales turnover in system integration	Annual sales turnover generated from services related to System Integration during each of the last three financial years (as per the last published Balance Sheets), should be at least Rs. 25 Cr. This turnover should be on account of Information and Communication Technology systems development and implementation (i.e. revenue should be on account of system Integration/turnkey solutions or products and their associated maintenance or implementation services, packaged software etc.) Only.	Extracts from the audited balance sheet and profit & loss; OR Certificate from the statutory auditor
3	Net worth	Positive net worth in last three financial years 2016-17, 2017-18, 2018-19	Certificate from the statutory auditor
4	Technical capability	Systems implementation agency must have successfully completed at least the following numbers of COTS based/ customized platform based ICT systems development and Implementation engagement(s) of value specified herein : <ul style="list-style-type: none"> - One project of similar nature not less than INR 5 Cr ; OR - Two projects of similar nature not less than the INR 3.5 Cr ;OR - Three projects of similar nature not less than the amount equal 2.5 Cr - Only those completed projects will be considered that are either implemented on Nation-wide level or in more than 3 states	Completion certificates from the client; OR Work order + Self certificate of completion (Certified by the statutory auditor);

5	Certifications	Bidder should have following certifications ISO 27001, ISO 20000 and CMMI level 5 or above The certifications should be valid on the date of bid submission	Copy of certificate
6	Quality of Product quoted to build survey solution.	The product quoted to build Survey Setup Module should exist in Leaders Quadrant of Gartner's Magic Quadrant or Leader's wave of Forrester Wave or Leader in IDC MarketScape for their category of products. (reports from 2016,2017,2018 will be taken into account) In case such reports do not exist for quoted product, IA must have successfully implemented a nationwide/ multi statewide similar Survey Solution of total engagement value not Less than 10 cr.	Copy of relevant Section of analyst Report Or Completion certificate by Client/Work order+ Self Certificate of Completion (certified of statutory auditor)
7	Debarment	The Company/Agency should not have been blacklisted as on the last date of submission of offer by any Government Agency in India or under a declaration of ineligibility for fraudulent or corrupt practices or inefficient/ineffective performance.	A Self Certified letter that the bidder (or any of its successor) is not in the active debarred list 1 Published by Central Public Procurement Portal; or 2 Procuring Ministry / Department
8	Consortiums	Consortium is Not Allowed	-
9	Local Presence	The Company/Agency must deploy the team (Full-Time) in Kolkata to service NSSO adequately	Self-certification by the authorized signatory with clear mention of: 1. Address of local offices; or Acknowledging the arrangement of required staff for full time whenever notified by NSSO

6.2 Technical Proposal Evaluation Criteria

Bidders who meet the pre-qualifications/eligibility requirements would be considered as qualified to move to the next stage of Technical and Financial evaluations. Scoring Model for Technical score is following.

	Criteria	Basis for Evaluation	Max marks	Supporting
1	Average turnover from System Integration/ICT Systems Development and Implementation Work in last 3 years (Turnover in Rs Crores) FY 2016-17, FY 2017-18, FY 2018-19	Greater than or equal to 50 Cr: 10 marks Between 50 Cr. and 25 Cr. : 5 marks Less than 25 Cr : 0 marks	10	Extracts from the audited Balance sheet and Profit & Loss; OR Certificate from the statutory auditor
2	The vendor's prior experience in execution of COTS based /customized platform based solution for web portal development, android application development and Data Base Administration with GIS integration. The successfully completed projects must be implemented on Nation-wide level or in more than 3 states. Experience must be that of last five years. Maximum marks (30) shall be given if the experience contains survey solution implementation. If not, 60% (18) marks shall be given.	One Project of Value INR 5 Cr : Maximum 30 marks, OR Two Project of Value INR 3.5 Cr each: Maximum 30 Marks, 15 Marks for each Project , OR Three Projects of 2.5 Cr each: Maximum 30 Marks, 10 Marks for each Project	30	Completion Certificates from the client, OR Work Order + Self Certificate of Completion (Certified by the Statutory Auditor)
3	Qualitative Assessment of Proposed Solution based on (Bidder may be called to present his solution before the Evaluation Committee	<ul style="list-style-type: none"> • Max. 5 marks for clarity in understanding project requirements 	40	Presentation
	<ul style="list-style-type: none"> • Understanding of the project 	<ul style="list-style-type: none"> • Max. 10 marks for proposed approach & methodology 		
	<ul style="list-style-type: none"> • Proposed Approach and Methodology • Proposed architecture of solution, hardware, software, manpower requirement. 	<ul style="list-style-type: none"> • Max. 10 marks for the proposed solution 		
	<ul style="list-style-type: none"> • Solution overview Implementation plan and timelines • Solution innovation for up-scaling 	<ul style="list-style-type: none"> • Max. 5 marks for Implementation plan and timelines • Max. 10 marks for innovative solution for up scaling the system 		
4	Assessment of Proposed Key Personnel	Qualification:	8	CVs of Key Proposed Personnel as per the format
	1. Project Manager:	12+ years of experience – 2 Marks		
	<ul style="list-style-type: none"> • B.E/B-Tech/MCA with MBA at least 8 years of relevant work experience 	8+ years of experience – 1 Mark		
		Government Experience: 2+ projects in Govt./PSU		

	<ul style="list-style-type: none"> Project Management experience in systems Integration and IT solutions implementation for at least 3 projects. 	sector (Central or State) – 2 Otherwise – 0 Relevant Experience: 5 or 5+ Projects – 4 Marks 3 or 4 projects – 2 Marks		
5	Assessment of Proposed Key Personnel	Qualification: 7+ years of experience – 5 Marks 5+ years of experience – 2.5 Marks Relevant Experience: 5+ Projects – 5 Marks 2 or 2+ projects – 2.5 Marks	4	CVs of the Key Personnel as per the format.
	2. Data Base Administrator			
	<ul style="list-style-type: none"> B.Tech /B.E./M.C.A with at least 5 years of relevant experience Experience in database activities like instance tuning, schema management, space management, backup and recovery, disaster recovery, data replication, database refresh etc. 			
6	Assessment of Proposed Key Personnel 3. Senior Developer <ul style="list-style-type: none"> Qualification: B.Tech /B.E./MCA with at least 6 years of relevant experience Relevant Experience: Experience in Planning, coding, testing, and deploying new features/applications/projects/modules/plugins Optimize and refactor existing code to improve performance and reliability Assist stakeholders in developing feature specifications; Suggest improvements, security needs, best practices, etc. 	Qualification: 8+ years of experience – 4 Marks 6+ years of experience – 2 Marks Relevant Experience: 4+ Projects – 4 Marks 2 or 2+ projects – 2 Marks	8	CVs of the Key Personnel as per the format.

Bidders, whose bids are responsive, based on minimum qualification criteria as in Pre-Qualification Criteria and score at least 70 marks out of 100 in the (given) defined scoring mechanism would be considered technically qualified. Price Bids of such technically qualified Bidders alone shall further be opened.

6.3 Commercial Bid Evaluation

- The Financial Bids of technically qualified Bidders will be opened on the prescribed date in the presence of Bidder representatives.
- If a firm quotes NIL charges / consideration, the bid shall be treated as unresponsive and will not be considered.
- The Bidder with lowest qualifying financial bid (L1) will be awarded 100% score (amongst the Bidders which did not get disqualified on the basis of point b above). Financial Scores for other than L1 Bidders will be evaluated using the following formula:
Financial Score of a Bidder (Fn) = {(Commercial Bid of L1/Commercial Bid of the Bidder) X 100}% (Adjusted to two decimal places)
- Only fixed price financial bids indicating total price for all the deliverables and services specified in this bid document will be considered.
- The bid price will include all taxes and levies and shall be in Indian Rupees.
- Any conditional bid would be rejected
- Errors & Rectification: Arithmetical errors will be rectified on the following basis: “If there is a discrepancy between the unit price and the total price that is obtained by

multiplying the unit price and quantity, the unit price shall prevail and the total price shall be corrected. If there is a discrepancy between words and figures, the amount in words will prevail”.

6.4 Combined and Final Evaluation

Combined and Final evaluation is relevant for QCBS bids only.

- a. The technical and financial scores secured by each Bidder will be added using weightage of 70% and 30% respectively to compute a Composite Bid Score.
- b. The technical proposal shall be evaluated based on technical evaluation as mentioned under “Technical Proposal Evaluation Criteria”. Each responsive Proposal will be given a technical score (St). Weightage of technical score (Tw) will be 70%.
- c. The proposal with the lowest cost (Fm) shall be given financial score (Fs) of 100 points. The financial scores of other proposals shall be computed as follows:-
$$Fs = 100 \times Fm/F$$

Where F = amount of Financial Proposal
Weightage of financial score (Fw) will be will be 30%
- d. Combined Quality and Cost Evaluation- The total score shall be obtained by weighting the combined quality/technical and cost scores and adding them, as follows:-
$$S = St \times Tw + Sf \times Fw$$
- e. The assignment shall be awarded to the bidders scoring the highest final weighted score (S).
- f. In the event the bid composite bid scores are ‘tied’, the Bidder securing the highest technical score will be adjudicated as the Best Value Bidder for award of the Project.

7. Appointment of Systems Implementation Agency/Partner

7.1 Award Criteria

NSSO will award the Contract to the successful Bidder whose proposal has been determined to be substantially responsive and has been determined as the most responsive bids as per the process outlined above.

7.2 Right to Accept Any Proposal and To Reject Any or All Proposal(s)

NSSO reserves the right to accept or reject any proposal, and to annul the tendering process / Public procurement process and reject all proposals at any time prior to award of contract, without thereby incurring any liability to the affected Bidder or Bidders or any obligation to inform the affected Bidder or Bidders of the grounds for Purchaser action.

7.3 Notification of Award

Prior to the expiration of the validity period, Purchaser will notify the successful Bidder in writing or by fax or email, that its proposal has been accepted. In case the tendering process / public procurement process has not been completed within the stipulated period, NSSO, may like to request the Bidders to extend the validity period of the bid.

The notification of award will constitute the formation of the contract. Upon the successful Bidder's furnishing of Performance Bank Guarantee, NSSO will notify each unsuccessful Bidder and return their EMD.

7.4 Contract finalization and award

NSSO shall reserve the right to negotiate with the Bidder(s) whose proposal has been ranked best value bid on the basis of Technical and Commercial Evaluation to the proposed Project, as per the guidance provided by CVC.

On this basis the draft contract agreement would be finalized for award & signing.

7.5 Performance guarantee

NSSO will require the selected Bidder to provide a Performance Bank Guarantee, within 15 days from the Notification of award, for a value equivalent to 10% of the total cost of ownership. The Performance Guarantee shall be kept valid till completion of the project and Warranty period. The Performance Guarantee shall contain a claim period of three months from the last date of validity. The selected Bidder shall be responsible for extending the validity date and claim period of the Performance Guarantee as and when it is due on account of non-completion of the project and Warranty period. In case the selected Bidder

fails to submit performance guarantee within the time stipulated, the Purchaser at its discretion may cancel the order placed on the selected Bidder without giving any notice. Purchaser shall invoke the performance guarantee in case the selected Vendor fails to discharge their contractual obligations during the period or Purchaser incurs any loss due to Vendor's negligence in carrying out the project implementation as per the agreed terms & conditions.

7.6 Signing of contract

After NSSO notifies the successful Bidder that its proposal has been accepted, Purchaser shall enter in to a contract, incorporating all clauses, pre-bid clarifications and the proposal of the Bidder between NSSO and the successful Bidder.

7.7 Failure to Agree with the Terms and Conditions of the RFP

Failure of the successful Bidder to agree with the Legal Agreement and Terms & Conditions of the RFP shall constitute sufficient grounds for the annulment of the award, in which event NSSO may award the contract to the next best value Bidder or call for new proposals from the interested Bidders.

In such a case, NSSO shall invoke the PBG of the most responsive Bidder.

8. Scope of Work

- (i) A browser based web-portal needs to be developed for Periodic Labour Force Survey (PLFS) and ASUSE, ASSSE, NSS 78th rd and future and other NSS surveys. It would manage the entire survey from allotment of samples to Field Investigators to finalisation of data for a period of two years. It should be in Hindi & English languages.
- (ii) A mobile-based application needs to be developed to canvass the PLFS Schedules, i.e. Sch. 0.0 – Listing and selection of sample households, Sch.10.4 – Detailed canvassing of employment-unemployment data and Sch.10.4 Re-Visit – Re-visiting the Urban households in next 3 quarters. All the three schedules need to be interconnected. The similar exercise has to be given for other surveys like ASUSE, ASSSE, NSS 78th rd and future and other NSS surveys.
- (iii) The application should be facilitated to map GPS co-ordinates of each households and time log of canvassing questions.
- (iv) Both base data and para- data needs to be uploaded to the Server database as soon as canvassing of households will complete, so that, real time validation may be taken up on the completed household data.

Implementing Agency (IA) will propose requisite hardware, software etc. and design, develop, test, implement and maintain/support the solution. The software application developed and provided to NSSO, DPD (HQ.) by the IA would be the sole property of NSSO, DPD (HQ.). The IA will have no rights or Intellectual Property Rights (IPR) on the application developed and the entire source code of the software shall be provided to NSSO, DPD (HQ.).

Data center services, network, computer infrastructure, data storage computer system, system software packages (such as operating system, RDBMS etc.) etc. proposed in the solution design by the IA will be procured by NSSO, DPD (HQ.). The scope of services will encompass the following:

8.1 Project Requirements

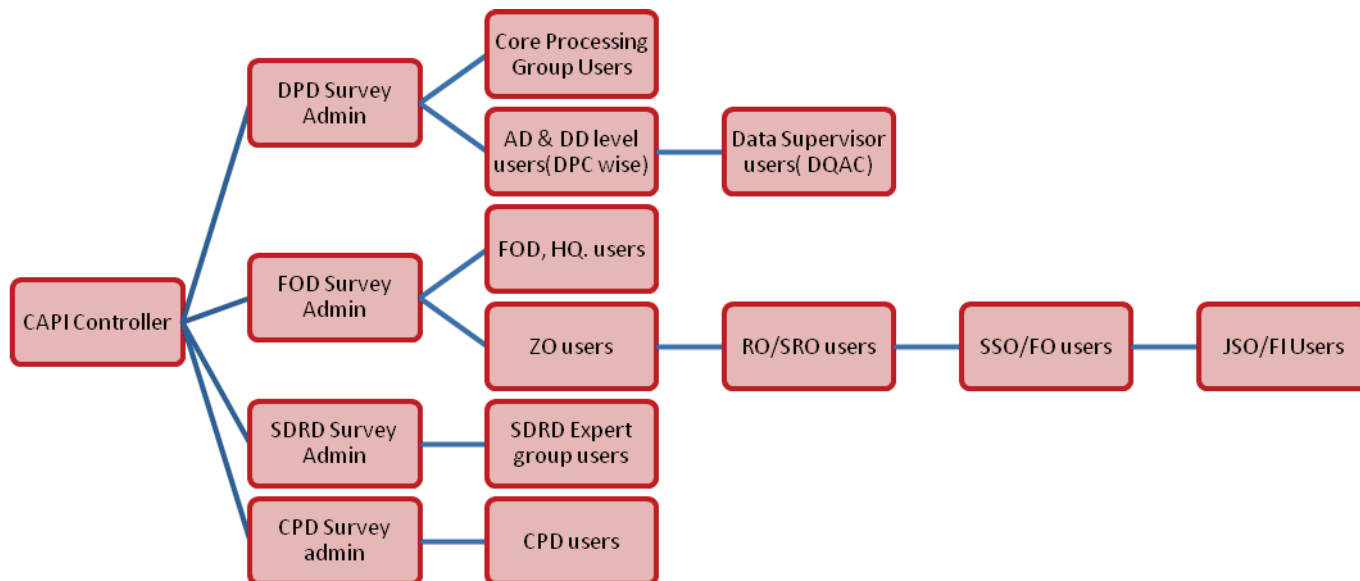
8.1.1 Functional Requirements of the survey Web portal (CAPI module)

The sample survey scheme of NSSO has been jointly carried out by 3 divisions of NSSO, viz. DPD, SDRD & FOD and coordinated by CPD. A generalized Web Portal would be developed to carry out all the surveys of NSSO, viz., ASUSE (from October, 2019), ASSSE & NSS 78th Round (from January, 2010) and the future surveys. The Web Portal will facilitate to add, maintain and drop each of the surveys undertaken by NSSO under overall privileges assigned to various users.

The Web Portal would have an overall structure of the MODULES and the MODULE-wise requirement and expectation are given as under:-

8.1.1.1 USER MODULE (Creation of users)-

This module will allow the creation of the SURVEY ADMIN of all the four divisions of NSSO viz. DPD, FOD, SDRD and CPD. And the SURVEY ADMIN will create the subsequent users (given in the hierarchical diagram below). All the login users of FOD, DPD, SDRD and CPD users should be provided with a login id and password (with a change password option at the users end). Also a facility to link their login account with Aadhar and Mobile no. for registration may be kept, for that each time the user login to their account, an OTP needs to be entered (received on the Aadhar link Mobile number or email id). Also, a system of entry of the user using fingerprints or Password may be kept.



8.1.1.2 SURVEY-SETUP MODULE-

This module is a set up module which is required during set up of each new survey. It should allow the controller of the CAPI enabled Survey solutions to every time set up a new survey based on Annexure I, II and III and allows DPD survey ADMIN to upload the sample list. NSSO may be made the authority to incorporate the change through this module as a special user of this module.

- (i) **Allocation of Cloud space-** The privilege of proper cloud partitioning, as and when required may be given to NSSO for allocation of the survey database or survey portal in the cloud space.
- (ii) **Setting up of url-** The facility may be envisaged to set up a new url link for the new survey i.e., CAPI with a complete new set of validation rules. As and when required, the CAPI enabled General Survey solution can be set up for some specific survey, as per requirement of NSSO.
- (iii) **Database structure-** The facility for preparing the database structure for each survey in some pre-defined data structure as per the requirement of NSSO (DPD). Therefore, each time the data enters through the CAPI module, the main data should be available as a usable database for further processing at DPD.

Each time after setting up of a new survey module, it should be passed through Security Audit.

8.1.1.3 TEAM FORMATION & ALLOCATION MODULE-

This module should facilitate the FOD users(RO/SROs) to the form teams comprising of one team leader(SSO/FOs) and a MAIN JSO/FI and two/more additional JSO/FI from the list, so that there should be no overlapping of the JSO/FIs. This module should also facilitate the allocation of sample list by the DPD survey ADMIN to RO/SROs and allocation of the sample FSUs by RO/SROs to SSO/FOs and JSO/FIs respectively with specific time stamp (period of survey) to undergo the field work, without any overlapping in allocation of work/time slots. It should also facilitate the subsequent tagging of the RO/SROs, SSO/FOs & JSO/FIs with the Data Supervisors of DPD. Also, a provision for re-allocation may be kept for emergency purposes.

8.1.1.4 CAPI module (Android based app for Tablets/Mobiles and Browser based app for Desktop)-

The CAPI module is a front end module which should facilitates the data canvassing in terms of complete house-listing, auto-formation of second stage stratum(SSS), auto-selection of ultimate stage units(USUs) based on the sample design taking care of the steps like shortfall and compensation (as per Annexure I). After auto selection of USUs, this module should auto-distribute the USUs to the team members including substitution of USUs, if required.

It should also facilitate the users with data canvassing of the main schedule for the selected USUs. (as per Annexure-II) in the field at the time of survey. For complete household listing, a provision may be kept for entering the listing of households in to or more devices by JSO/FIs. Also, the listing part of the 0.0 schedule may be merged from two separate devices by offline file transfer, so that it will be ready for next steps mentioned above.

For the canvassing of schedule in USUs, the data entry options should be either (i) entry from dropdown list with restriction to invalid code entry, (ii) hierarchical word searching menu, or (iii) text/numeric entry mode, etc. depends upon the requirement of the schedule. Most of the validation rules are to be embedded in the entry module as per the requirement of the survey so that scope of canvassing inconsistent data may be minimised. The schedule in the module should be facilitated with indicative pointer containing related concepts/definitions/description about the questions to be canvassed. This may work as an auto-help menu embedded in the module. Provisions for recording GPS location of the surveyed unit

(eg. Household) and time-stamp of the survey period may be embedded in this module. The validation rules are to be embedded as hard check (error checks) or soft checks (warning checks).

The JSO/FI users should not be allowed to surpass the error checks in any circumstances but they will be allowed to pass the warning checks and submit the data for next level checking at proposed DQAC [presently DPC] back office by DS (Data Supervisor) users. Provision for real time validation based on certain rules (as per Annexure –III) are required to be available for DS users and SSO/FO users.

Once the JSO/FI users submits the data after completion of the canvassing of a household it should be available under VM2(cloud, Virtual Machine2) as a shadow data structure and visible to the tagged DS users and SSO/FO users subsequently. Then the DS users can view and comment on the data in real time through the proposed DQAC module (explained in point no.5). Based on the comments received by the JSO/FI users from DS users, they will either confirm or corrected the doubtful cases referred back to them. After that, once they submit the data, it will be frozen and automatically available in the VM2 as a main data structure and gets deleted from the shadow structure. Once the data is frozen it will be available for both downloading and taking data back-up. The JSO/FI users can complete the allocated work (canvassing and data entry) either in online or offline mode and schedule wise upload the data through the portal on availability of internet connection.

8.1.1.5 DQAC[presently DPC]- BACK OFFICE MODULE-

A module needs to be developed for real time validation by DPD as per certain validation rules provided in Annexure –III. The real time validation should be done on the basis of the main data and para data. Main data are the data which is available in VM2 after the data is frozen and the Para data are the data which is generated during the process of data canvassing at the time of survey, viz. time spent on a block, page, item, etc., whether sought any help during survey, if yes from whom (Data supervisor/supervisor/DPD/SDRD/ FOD), matching frequencies with the entries of other schedules under the same FSU/Village/district/state/Region, etc. The Para data will be available in VM3 for further processing. The users of DQAC back-office will validate the schedule at real time, as soon as the JSO/FI users submit a schedule and starts canvassing the next household. It is expected that the set of observation may be sent to the JSO/FI users from DQAC back-office, before the JSO/FI users actually finishes the canvassing of second/third schedule.

The users of proposed DQAC [presently DPC] back-office can see the data through this module in an un-editable form with a facility to comment on the set of soft checks (warnings) listed. Based on the output of the validation checks, the back

office personnel may confirm certain data whereas refer back to field with observations.

The observation on the data/ schedule will be conveyed to the JSO/FI users by Proposed DQAC back-office through the module in such a mode that, when the JSO/FI users open the observation through their user module, the set of observations will be highlighted for correction /confirmation.

Once the JSO/FI users correct or confirm the observations in consultation with the tagged SSO/FOs and submit the same, the data is frozen and cannot be edited by and JSO/FI users anymore. The same may thereafter be looked and accessed by Proposed DQAD (presently DPD) Core Processing Group.

Also, all the communication between the JSO/FI users and the tagged data supervisor under proposed DQAC [presently DPC] back-office will be communicated via sms alerts at each step to the concerned. In the course of field work, technical issues/queries faced by the JSO/FI users is required to be addressed, if any, they may have the option of contacting tagged data supervisors in proposed DQAC [presently DPC] back-office through chat or call for immediate sorting of technical issues for survey related (in consultation to SDRD expert group) as well as web portal related issues (in consultation to the onsite engineer).

8.1.1.6 INSPECTION MODULE-

This module should be kept for inspection by FOD users during field survey. This is for recording comments in field at the time of conducting parallel/ back check inspection as per the norms of FOD by different level users like SRO/RO/ZO/ FOD (HQ). Comments may be entered through the user's login id from the available device (GPS tagged) in field.

8.1.1.7 FIELD QUERY(FQ) MODULE-

This module is for facilitating all the users with a common platform for sharing feedbacks in terms of Questions and Answers (Q & A). It will facilitate with a linkage between all the three divisions of NSSO viz. FOD, SDRD and proposed DQAD [presently DPD] through a common platform through this portal. This is a module for uploading queries based on the technical discussion held during the monthly meetings/ RTC/RRTC etc. in ROs/SROs (field offices). Both Q & A will be available in the web-portal in a news scroll mode. SDRD users will provide suitable replies to the field queries which will be accessible to all SRO/RO/DQAD (presently DPD). Also,

SDRD will time to time consolidate the queries and upload the consolidated queries through this module as FAQ for education of field officials/data supervisors.

8.1.1.8 SELF-LEARNING MODULE-

This module should be built in the CAPI module for the users of FOD viz. FIs/JSOs/SSOs. Before starting the survey in CAPI module it is mandatory for the above mentioned users to go through the self-learning modules.

It should facilitate the users with an additional audio-visual training along with an animated video of the Vol. I and II: Instruction manual for field staff and schedule for enquiries (Annexure I and II). Therefore, for a user it is always mandatory to go through the pdf/audio visual/animated video training (step-by-step/ set- by -set) i.e., the self-learning modules and reply to the online multiple choice questions being asked at the end of each set of module. Once the user succeeds in giving right replies to a minimum no. of questions, the JSO/FI users will be considered eligible for doing the canvassing in field. An eligibility certificate (in pdf form) for the user may be generated through this module. Else, the user will be advised to repeat the same exercise to qualify for the eligibility certificate.

8.1.1.9 VALIDATION-CHANGE MODULE-

DQAD (DPD) core-Processing users may be given the facility to modify or add or drop any set of validation rules as and when required, as a special user through this module. This module may allow the core processing group users to partially modify the validation rules. Partial modification mainly requires during the ongoing period of the survey, which may include minor modifications/deletions of validation rules (viz. CSP, Howler, etc.), as and when required. NSSO may be made the authority to incorporate the change through this module as a special user of this module.

8.1.1.10 DATA-DOWNLOAD & DATA BACKUP MODULE-

This module needs to be developed to download the Main data and Para data by the users at regular time interval in the data formats viz. csv, spss, sdf, etc. If felt necessary at any stage, the Core-Processing Group may extend the downloading facilities to other users of DQAD(Presently DPD)/DQAC(Presently DPC). The Main data can be downloaded from VM2 and Para data from VM3. The data in the main data base structure of VM2 should be appended as and when uploaded by the JSO/FI users on real time basis. Moreover, provision should be there for taking back-up as and when needed at specific user level.

This module should also facilitate with a periodic and automatic database backup every day at 12.00 midnight for all the databases and systems i.e., from VM1 for application, VM2 for Data(main & Shadow structure), and VM3 for Para data, VM 4 State data, VM5 for testing of

the survey solution. Also, a protocol needs to be designed to keep the backup database files for last one week. VM being the virtual machine, the factual name of NIC Cloud.

The Para-data once generated during the process of canvassing the schedule (using CAPI module) will be auto saved to the database structure as per the requirement of NSSO for further use. All the para-data will be available in the server, as soon as main data is frozen. The para data will be analysed by The proposed DQAD [presently DPD] Core –processing group user will do regular analysis of para-data, so that the results can be conveyed to FOD RO/ZO/HQ, if any kind of pattern recognition or other doubtful observations are found and felt necessary to be addressed at FOD level for the improvement of the quality of data. The validation and analysis of para-data should be developed as per the requirement of NSSO.

This module should facilitate the user to generate the data/report on data access record of each level as per the specified roles of the user of FOD, DQAD (Presently DPD) and SDRD for a single FSU or batch FSUs. The data access records may be like, no. of times the data has been seen, scrutinized, edited, confirmed at concerned level, what and when corrections made, etc. Therefore, once the data is viewed, this information can be viewed by the user as per their defined role.

8.1.1.11 DASHBOARD MODULE-

This module should provide the general information about the ongoing surveys like progress, its survey instruments, etc. This module should also facilitate to generate some dynamic customized reports as per the requirement of the users. This module should be kept under related user’s module and may facilitate the user to generate online report at different levels based on Para data and Main Data. The display and requirements in the dashboard will vary as per the roles of the users.

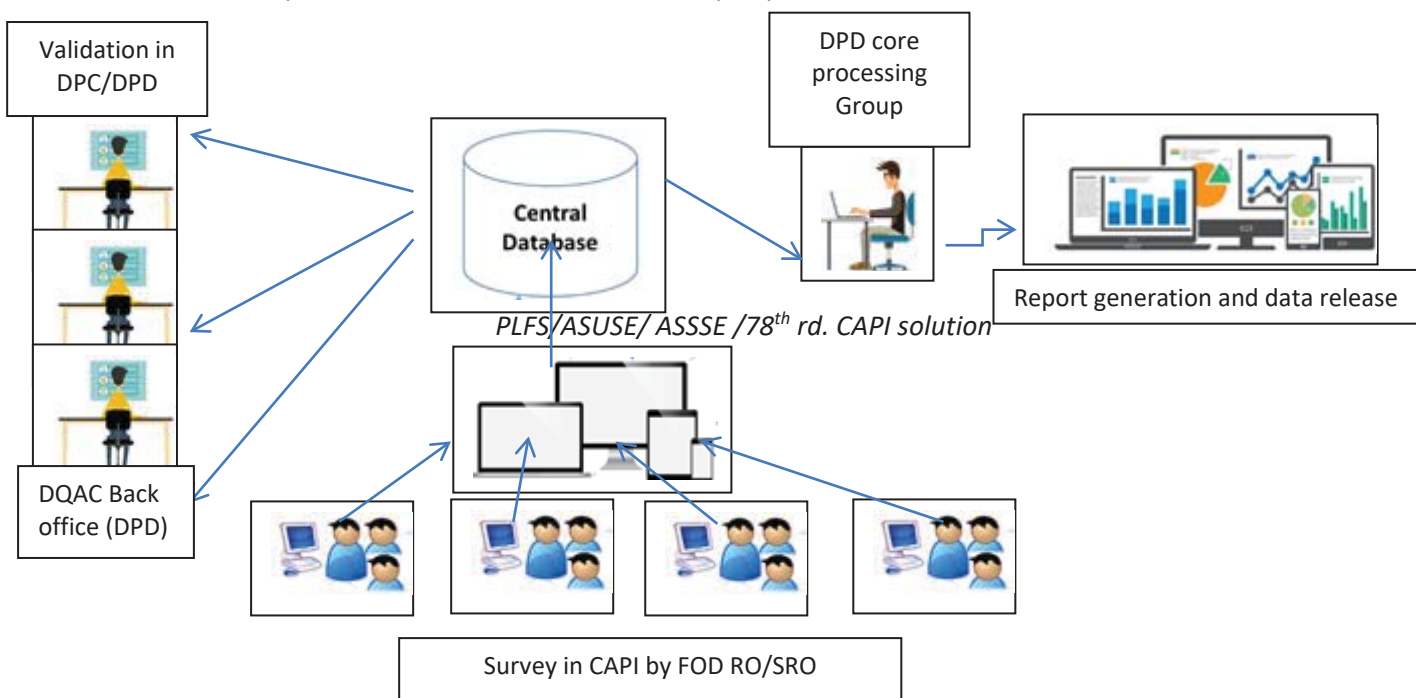


Figure 4. Indicative Web Portal Architecture for ASUSE/ASSSE/78th rd. CAPI solution**8.1.1.12 User Creations:**

For the General surveys in CAPI module the web-portal will be accessed through the Users. The same are mentioned as under:

A. NSSO(DPD)-**a. Controller of CAPI enabled Survey solution**

- Launch and set up the survey solutions time to time
- Coordinate with the developing agency on behalf of NSSO for any technical CAPI related issues
- Communicate the additional requirements, if any to the developing agency as and when required.
- Creation of the four basic divisional users viz. DPD Survey ADMIN, FOD Survey ADMIN, SDRD Survey ADMIN and CPD Survey ADMIN.
- Modify the survey solution using SURVEY SET UP MODULE as per the requirement
- Ensure security audit of new survey set up

b. DPD Survey ADMIN

- Create / Delete / Modify DPD Core Processing Group users, AD and above level users DQAC wise, Data Supervisor users of DQAC Back-office, etc.(Survey wise)
- Upload/ Allocate sample list or other related lists of FSUs/survey units for the surveys of NSSO (NSS 78th rd., ASSSE or ASUSE)
- Upload survey instruments viz. Vol.1 and Vol.2 time to time in consultation with SDRD
- Upload NIC, NCO booklets or other code list or structures as per the requirement of the ongoing surveys in consultation with SDRD
- Upload Tabulation Plan in consultation with SDRD
- Update the sample lists for substitute of sample FSUs
- Tagging of the state/ ZO/ RO and SRO allocation to respective DP Centres
- Centrally monitor and control the entire online activities of field offices.

c. Core Processing Group(CPG) users (DPD-HQ.)

- Download the batch files/ data of all-India level in weekly, monthly, quarterly, half-yearly or annual basis for generation of tables or reports.
- Freeze / Unfreeze weekly/monthly/quarterly datasets
- View data and convey the comment to FOD users
- Generate fixed reports and view the status of all FOD levels
- View the status of field work, scrutiny comments, etc.
- Approve the data to make it available to SDRD for other data checking. Possibility of rejecting the data and revert back to JSO/FI users and concerned SSO/FO users(FOD) will be available up to a certain time-period, so that the JSO/FI users can edit the data in consultation with the SSO/FO users, if required/otherwise confirm the same.
- Unfreeze the data for JSO/ FI users, if required at any stage
- View the status of DPD(HQ) and DPCs survey related work status
- Assimilate and analyse the para data, collected in the process of survey and communicate the observations to concerned FOD users
- Survey-wise base data & para-data analysis (eg. pattern of data w.r.t previous rds. sample data, etc.)
- View the status and comments of Scrutiny done at DPD
- Facility to use the VALIDATION-CHANGE MODULE for minor modification/deletion of validation rules embedded in CAPI MODULE and upload the same in consultation with SDRD, if required at any point of time.

- Data checking and data mining creating rates and ratios and preparing the subject specific methodology of quick table graphs and charts.
- Multiplier posting and table generation.
- Generation of quarterly/annual reports.

d. AD and DD level (DPC-wise)

- Allocate / Modify sample FSUs/survey units for the surveys of NSSO (PLFS, NSS78th rd, ASSSE or ASUSE) to DS users for scrutiny.
- View data & comment on completed data for the states/ ZO/ROs/SROs allocated to them by DPD survey admin.
- Validate/ recheck and finalize the data checked at DS users level
- View and monitor the work status of DS users.
- Generate fixed reports w.r.t the work allocation, submission, etc. stages of DS users on weekly/monthly/quarterly, etc. basis (e.g. FSU/survey unit wise summary sheet, receipt positions, in & out flow of queries)
- Tagging of the DS users under DPC with FIs/JSOs/SSOs of field offices in consultation with RO/SROs of FOD
- Generate alerts for the DS users, if the work is not completed within the stipulated time period in consent with the DPD Survey ADMIN.

e. Data Supervisor(DS) Users(DQAC Back Office staffs)

- View and Comment on completed data(schedule –wise) uploaded by the JSO/FI users immediately after canvassing of the schedule.
- Validate survey data of the second stage unit (say schedule wise) in real time, addressing the field queries while the survey is live with the access to DQAC Back Office and the Help line.
- View and generate comments(scrutiny observations) schedule wise on the data at real time and communicate the same to the tagged JSO/FI users with a copy to SSO/FO users (as alert mails/messages to the user’s account)
- The sample FSU/survey unit or the second stage units once finalized after correction or confirmation by the JSO/FI users will be available to the CPG users and DS users for other para or meta data analysis.
- Analyse main data & para-data (eg. pattern study – state wise, allocated RO/SRO-wise, district wise/ FSU wise/survey unit-wise/ schedule wise/ SSO/FO user and JSO/FI user wise etc.) and communicate the observation to the concerned time to time
- View the comments received from field for the data received.
- Chatbox/message links(through help line) with the JSO/FI users for real time queries by field personnel on any package or web portal related matters or any technical (survey related issues).
- Sorting of technical survey related (in consultation to SDRD expert group) as well as web portal related issues(in consultation to the onsite engineer).

B. NSSO(FOD)-

a. FOD Survey ADMIN

- Create / Delete / Modify FOD(HQ) and ZO users
- Allocate work to FOD(HQ) and ZO users

b. FOD(HQ) users

- View and monitor the progress (allocation and completion) of field work of All- India level.
- Generate fixed reports of their level using Dynamic customised report generation, as per requirement.
- View the schedule once it is frozen by JSO/FI users.
- Convey the para- data observations to respective ZOs for taking corrective measures. (Received from DPD CPG users).
- Generate alerts for the RO/SRO users, if the field work is not completed within the stipulated time period in consent with the FOD Survey ADMIN.
- Generate alerts for the ZO users, if the allotted work is not completed within the stipulated time period in consent with the FOD Survey ADMIN.

c. ZO Users (SSOs or AD and above levels)

- Create / Delete / Modify RO/SRO users and other ZO users
- View and monitor the progress(allocation and completion) of field work of the RO/SROs under their jurisdiction.
- Generate fixed reports of their level using Dynamic customised report generation, as per requirement.
- View the schedule once it is frozen by JSO/FI users.
- Convey the para- data observations to respective ROs/SROs for taking corrective measures. (Received from DPD CPG users through FOD(HQ)).
- Provision for writing and sending appropriate remarks/inspection note for a particular FSU/ SSU at the time of inspection conducted during the survey. Using their login id from the GPS tagged device as available in the field.(Inspections as per norms)
- Chat box / message dropping facility for Q&A related to any survey related issues. For instant communication with DPD Help line or back office.
- Generate alerts for the RO/SRO users, if the field work is not completed within the stipulated time period.
- Data management of Survey related trainings.

d. RO/SRO Users (AD and above level users)

- Create / Delete / Modify SSO/FO users and JSO/FI users.
- Tagging of the SSO/FO users and JSO/FI users.
- Tagging of the SSO/FO users and JSO/FI users with the DS users of DPD/DPC in consultation to AD and DD level users of DPD/DPC as per the allocation of states.
- Allocate / Modify work allotment (say, sample FSUs) to SSO/FO users.
- Team formation for field work, with a SSO/FO user as team leader, one MAIN JSO/FI users and two or more JSO/FI users, if felt necessary.
- Modify the work allotment of MAIN JSO/FI users, if required at any stage.
- View and monitor the progress (allocation and completion) of field work of the SSO/FO users and JSO/FI users.
- Generate fixed reports at their level for SSO/FO or JSO/FI users using Dynamic customised report generation, as per requirement.
- View the schedule once it is frozen by JSO/FI users.
- View data & comment on any completed data (frozen) on random basis, if felt necessary for supervision of SSO/FO or JSO/FI users with information to survey in-charge.
- Take corrective measures on the basis of the para- data observations conveyed to them by ZO users.(observed by CPG users of DPD)
- Provision for writing and sending appropriate remarks/inspection note for a particular FSU/ SSU at the time of inspection conducted during the survey. Using their login id from the GPS tagged device as available in the field.(Inspections as per norms)
- Chat box / message dropping facility for Q&A related to any survey related issues. For instant communication with DPD Help line or back office.
- Generate alerts for SSO/FO users and JSO/FI users, if the field work is not completed within the stipulated time period.

e. SSO/FO Users

- Allocation of sample FSU to the MAIN JSO/FI users.
- View and Comment (analyse the data based on certain set of validation rules applicable for canvassing) on completed data(schedule wise/FSU wise) uploaded by the JSO/FI users.
- View the data of the schedule, once it is uploaded by the JSO/FI users after completion of the same.
- Send comments on completed data to JSO/FI Users with information to RO/SROs, if found doubtful.

- View and monitor the progress (allocation and completion) of field work of the JSO/FI users.
- Generate fixed reports at their level for JSO/FI users using Dynamic customised report generation, as per requirement.
- View data & comment on any completed data (frozen) on random basis, if felt necessary for supervision of SSO/FO or JSO/FI users with information to survey in-charge.
- Provision for writing and sending appropriate remarks/inspection note for a particular FSU/ SSU at the time of inspection conducted during the survey. Using their login id from the GPS tagged device as available in the field.(Inspections as per norms)
- Chat box / message dropping facility for Q&A related to any survey related issues. For instant communication with DPD Help line or back office.

f. JSO/FI Users

- Receive the allocated work and view the list of tagged SSO/FO users (FOD) and DS users(DPD).
- The allotted FSU will then be available to the tablets of JSO/FIs when they are synchronised through the Survey data collection application (Browser based app).
- For identification of the survey units/samples in Rural or Urban, the location of the surveys units may be shown through navigation.
- Facility of Geo-tagging of the sample unit and the device must be there. Once the device reaches the survey location, the next higher level may get the intimation of the Interviewers presence in the field.
- After hamlet-group preparation and selection, MAIN FI may physically distribute different areas for listing work (Sch. 0.0) to other team members using CAPI module.
- After completion of household listing, MAIN FI will append listing data of all other team member (JSO/FIs) through merging of files. Check the estimated Population & Households of the FSU. If required, SSO/FO may be consulted via online or chat mode before finalising the listing.
- Canvass the detailed schedule for the USUs selected through the package. Generate SSS stratification and household selection for the detailed schedule. (Based on the allocated households).
- Households for detailed schedule will be canvassed separately by each JSO/FI users and upload the data when completed
- Complete the allocated work (canvassing and data entry) either in online or offline mode and schedule wise upload the data through the portal on availability of internet connection.
- For any ambiguity in understanding the concepts of the schedule or handling of the application, the user can contact the help line or back office of DPD or tagged DS users for clarifications via online call, offline sms or mail.
- After uploading the canvassed schedule, it will available for real time validation by the tagged DS users (DPD) and SSO/FO users (FOD).
- All the para data will be automatically uploaded once the main data is uploaded.
- Check for the comments, if any of the tagged SSO/FO users (FOD) and DS users (DPD) and modify the data, if required at real time. Complete and upload the data again after modifications/confirmation.
- View the status of the users completed or incomplete work.
- Chat box / message dropping facility for Q&A related to any survey related issues. For instant communication with DPD Help line or back office.

C. NSSO(SDRD)-

a. SDRD survey ADMIN

- Create / Delete / Modify SDRD expert group users
- Allocate work to SDRD expert group users
- Finalize the sample list or other related lists of FSUs/survey units for the surveys of NSSO (NSS 78th rd., ASSSE or ASUSE) and communicate the same to DPD for further upload to the survey portal

- Finalize the survey instruments viz. Vol.1 and Vol.2 manual, Consolidated Field Queries/ FAQs, Corrigendum, Tabulation Plan, NIC, NCO booklets to be used or other code list or structures as per the requirement of the ongoing surveys etc., and communicate the same to DPD for further upload to the survey portal.
- Generate fixed reports and view the status of DPD finalized data once it is viewed by Expert Group.
- View the comments on the data at FOD and DPD level.
- View data and convey the comment to DPD Core Processing Group users or SDRD expert group users, if felt necessary at any point of time.

b. SDRD expert group users

- Finalize the Scrutiny points(soft or hard checks) to be embedded in the CAPI module.
- Access the data for further checking/ processing/editing, once it is finalized by the core processing group.
- View the comments on the data at FOD and DPD level.
- Convey the comments/communicate to DPD core processing group, through user login, if felt necessary at any point of time.
- Generate fixed reports and view the status of finalized data of the survey finalized by DPD.
- Reply to queries raised by FOD/DPD through portal(FQ module).
- Tables checking using previous data.
- Tables/graphs finalization.
- Generation of quarterly/annual reports.

D. NSSO(CPD)

a. CPD survey admin

- Create / Delete / Modify CPD users
- Allocate work to CPD users of any level.
- Survey related coordination and communication with other divisions like SDRD, DPD and FOD.
- Upload information of Survey related Publication/Seminar/Workshop, etc.
- Data release of any level.

SSO/FO & JSO/FI users will be based on FOD Sub-Region Codes.

All the comments/communications with the users of other divisions of NSSO may be done through the web-portal system. The users may send email messages to single or multiple user of same or other divisions. Some specific users may be provided with the facility to attach some documents, if required and send the same through user login. All such information (viz. flow of communications/comments/time /date, etc.) may be maintained in a temporary database for any emergency use or reference to any issue. Only the survey admin of all the four division should be envisaged with the facility to download the reports based on the above mentioned data, if felt necessary at any point of time. View data and convey the comment to DPD survey admin or SDRD expert group user, if felt necessary at any point of time.

The web-site needs to be designed and developed to carry out all the activities listed above. Critical and validation checks will be applied to the respective fields during canvassing and the application should also handle the error rules and post respective messages.

8.2 Work Flow architecture

The flow of work in the Web Portal would be as follows:

- (i) Allocation of cloud space, setting up of url and database structure using SURVEY SET UP MODULE discussed in Section 8.1.1.2.
- (ii) Creation of users using USER MODULE. The hierarchical structure of user creation is shown above in Section 8.1.1.1.
- (iii) Sample list will be uploaded along with allocation of FSUs to ROs/SROs into the server database by DPD Core Processing Group users and will be able to update it to substitute sample FSUs.
- (iv) Team formation and allocation of sample FSUs for field work will be done through the TEAM FORMATION AND ALLOCATION MODULE. It was already discussed in section 8.1.1.3.
- (v) Reading of Vol. I and II instruction manual (audio-visual) and generation of eligibility certificate for field work using SELF LEARNING MODULE. (Details in Section 8.1.1.8)
- (vi) The allotted FSU will then be available to the CAPI MODULE(say, tablets) of JSO/FIs when they are synchronised through the Survey data collection application (Browser based app).
- (vii) JSO/FIs team will gather all information and proceed to the field. After hamlet-group preparation and selection, MAIN FI will physically distribute different areas for listing work (Sch. 0.0) to other team members including himself. (Using CAPI MODULE)
- (viii) After completion of household listing, MAIN FI will append listing data of all other JSO/FIs in the main tablet. Check the estimated Population & Households of the FSU. If required, SSO/FOs may be consulted before finalising the listing. (Using CAPI MODULE). This facility has to be given in CAPI module.
- (ix) Auto-generation of SSS, auto-selection of USUs for canvassing of the detailed schedule. It may be taken up after finalising the listing job and will be done only once. (Here after, data of listing households cannot be changed or deleted. Only can be added if listing is missed in the earlier stage. However, it will only change the counts of households in SSS). Then auto-distribution of the USUs to the team members including auto-substitution of USUs, if required. (Using CAPI MODULE)
- (x) Households (USUs) for detailed schedule will be canvassed separately by each JSO/FI and data will be uploaded (after submission), once completed. (Using CAPI MODULE).
- (xi) The tagged Data Supervisors in DQAC Back office can view the schedule of the completed Households of the ongoing sample FSU in real time basis. The DS users will check the entries of each of the household data using DQAC BACK-OFFICE MODULE. And refer back to the tagged JSOs/FIs and SSO/FOs with observations, if any. (Details in section 8.1.1.5) .
- (xii) The data will be considered frozen once it was confirmed or clarified by the JSO/FIs and available to the VM2 of cloud. Once the data is frozen, it will not be editable but can be viewed only.(Using CAPI MODULE)

- (xiii) SRO/RO/ZO/ FOD(HQ) level users may conduct parallel/ back check inspection as per norms and record their comments in field, itself from the available device(GPS tagged) in field using INSPECTION MODULE.(Details in section 8.1.1.6)
- (xiv) Sharing and resolving of queries using FIELD QUERY MODULE. (Details in Section 8.1.1.7)
- (xv) Only DPD survey ADMIN & Core Processing Group users can unfreeze the data of particular frozen FSU to allow editing at JSO/FI users level using CAPI MODULE, in extreme circumstances with suitable comments.
- (xvi) Only DPD Core Processing Group users can modify/add/delete validation rules of the ongoing surveys, if required using VALIDATION-CHANGE MODULE. (Details in Section 8.1.1.8)
- (xvii) Only DPD Core Processing Group users can download data using DATA DOWNLOAD AND BACK-UP MODULE.(Details in Section 8.1.1.9)
- (xviii) Periodic and automatic database backup every day at 12.00 midnight for all systems and databases using DATA DOWNLOAD AND BACK-UP MODULE.(Details in Section 8.1.1.9)
- (xix) Dynamic customised progress report generation using DASHBOARD MODULE.(Details in Section 8.1.1.10)

Finalization of data and tables and subsequent report generation of monthly, quarterly, half-yearly, annual report. It should be in Hindi & English languages.

8.2.1 Technical Requirements

- 8.2.1.1 The web-site will be hosted in NIC Cloud Server, so that the software and database should be used as available with NIC, no new software will be procured to host the applications in NIC Cloud Server. VM1 for application, VM2 for Data, and VM3 for Para data, VM 4 State data, VM5 for testing of the survey solution shall be taken from the NIC. The vendor shall appraise the size of the cloud space to be procured for each virtual machines (VMs) which are to be requisitioned by DPD.
- 8.2.1.2 A Browser based application with the CAPI enabled general survey module should be developed based in easy compatible mode for all versions of OS with the facility of multiple login. Together with, simultaneous Android application should be developed based on Tablets (8" or 10") with OS Android 5.0 (Lollipop) or above versions with the facility of multiple login.
- 8.2.1.3 Data capturing in CAPI for PLFS, ASUSE, ASSSE, NSS 78th round and future and other NSS surveys may be done both online and offline mode along with available validation check points (warnings and errors) and the same may be stored temporarily on the device itself till it is uploaded to the cloud server on availability of internet connection.
- 8.2.1.4 Dashboard or supporting modules are to be created in the respective web - portal, in order to comply with the functional requirements of all the users mentioned earlier.
- 8.2.1.5 The developer should provide the entire source code along with compilation process and the respective manual for the developed software.

Further CAPI MODULE should be developed in such a way that the DPD Core Processing Group Users can suitably modify it.

8.2.1.6 The developer should provide all those said earlier and operational guidelines of the Web-Portal.

8.2.1.7 Android based mobile application with the CAPI enabled general survey module should be developed in easy compatible mode for all versions of OS with the facility of multiple login.

8.2.2 Functional Architecture

The functional architecture provides a holistic picture of the proposed system by identifying

**Step 11 to 15 are beyond the scope of the present project*

STEPS	TASK	RESPONSIBILITY
1	Availability of cloud server for the survey	DPD
2	Communication to all ROs about the domain name	FOD
3	Uploading sample lists/Allocation of FSUs to all ROs	DPD
4	Hierarchical user creation (Section 4.1.1)	DPD CAPI Controller/ FOD/DPD/SDRD/CPD
5	Team Formation and allocation of FSUs	RO/SRO
6	Canvassing of schedule and data capturing using tablets	FOD
7	Real Time validation using DQAC Back office set up	DPD
8	Regular back up of the cloud server	DPD
9	Core Processing manual/ Back- office & helpline manual	DPD
10	Data download to physical server	DPD
11	Data release	DPD/CPD/CC
12	Tables & graphs generation	DPD
13	Tables checking using previous data	SDRD
14	Tables/graphs finalisation	SDRD
15	Quarterly reports/annual reports	DPD/SDRD

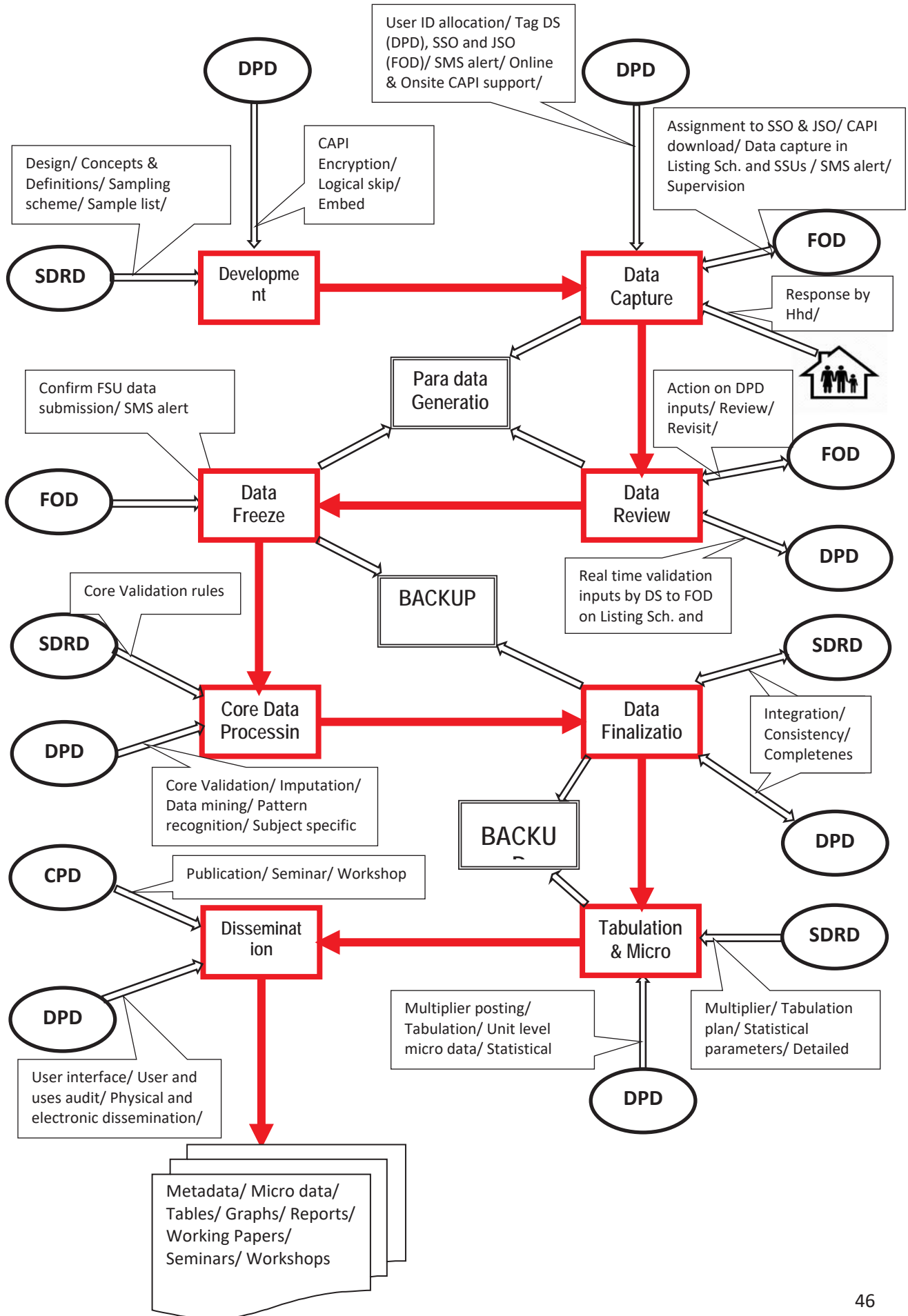


Figure 1.1 Application Flow Diagram

8.3 System Requirement Study and Solution Design

8.3.1 Project Plan and Inception Report

- (i) Prepare a Project Plan for the entire project
- (ii) Prepare and submit an Inception Report, which will serve as the foundation document for all activities related to the project. Additionally, the Inception Report must cover the project risks and mitigation plan.

8.3.2 SRS Preparation

- (i) The indicative requirements are provided in the point number 1 under Section 8.1 of this document. IA has to perform actual requirement gathering. The requirements provided in this document are for the purpose of reference only. The IA is required to capture all possible requirements.
- (ii) IA may consult with NSSO, DPD(HQ.) whenever necessary, to obtain more details on the requirements of the project
- (iii) Activities conducted as part of this task will result in the "System Requirement Specifications" (SRS) document for NSSO, DPD(HQ.), which shall detail the requirements of the complete solution up to the last detail.

8.3.3 Solution Design Document Preparation

The IA shall prepare a solution design document (SDD) containing:

- (i) Complete architecture of the proposed solution (including hardware, software, network, manpower etc.).
- (ii) Detailed bill of material for the proposed solution.
- (iii) Design of LAN/WAN and BOM for the office where TSG will be located.
- (iv) Software application design.
- (v) Design of an audit trail capturing mechanism for all transactions (add, update and delete) using transaction log reports, so that errors in data, intentional or otherwise, can be traced and reversed, throughout the project duration.
- (vi) The security aspects, measures etc. to be deployed for the solution
- (vii) Access Controls measures - to ensure that the databases are not tampered or modified by the system operators or database administrator.
- (viii) Plans for various types of testing and audit.
- (ix) Any other section as required in the SDD document

8.3.4 Data Hosting

SDD shall propose detailed data center hosting requirements such as no. of racks, power, internet bandwidth etc. Deployment structure shall also be proposed by the SI.

8.3.5 Hardware and Packaged Software

SDD shall contain complete details of the Hardware such as servers/VMs, storage, backup media etc. and software requirements such as system software packages (OS, RDBMS, and Antivirus etc.), SLA monitoring tools etc. for hosting the developed solution. Separate BOM for data center and NSSO, DPD (HQ.) Location where TSG will be located should be provided. Deployment structure also be proposed by SI.

8.3.6 Connectivity and Bandwidth

SDD shall contain complete details of the network and bandwidth requirement at data center and the NSSO, DPD (HQ.) where TSG will be located.

8.3.7 Solution Development

The IA will be responsible for development, integration, testing and deployment of the web portal and android application based on:

- (i) The requirements given in this document
- (ii) SRS & SDD prepared by IA
- (iii) Project implementation approach
- (iv) Any other related document

8.4 Testing

IA shall create the test strategy document that defines the requirements and goals of the configuration, determine the tools and methods used to check that the system responds correctly, determine how and when the test will be performed etc.

The test strategy document shall guide the project team through the implementation to ensure that planning and conducting testing activities in the various phases of the implementation are proper. Also, the IA must also provide the adequate testing environment at their premises. The various testing phases are as follows:

8.4.1 Unit Testing

The IA will test all individual units/ modules under unit testing. The IA will submit a unit testing report along with test cases, tests results etc. at the end of the unit testing exercise.

8.4.2 Integration and System Testing

The purpose of the Integration Test is to execute the integrated components, including simulation of live operations, and analyse the results that are important for the functional verification of the production system.

IA should ensure that any closure of bugs, observations etc. shall not lead to any adverse cascading effect on the overall solution.

The IA will submit a testing report along with test cases, tests results etc. at the end of the testing exercise.

8.4.3 Performance Testing

Once the system integration testing has been conducted successfully, Load, scalability and stress testing would be conducted prior to commissioning & Go-Live. IA should use suitable simulation tools in accordance with the agreed test procedures. The IA will submit a testing report along with test cases, tests results etc. at the end of the testing exercise.

8.4.4 User Acceptance Testing

IA shall prepare test cases for User Acceptance Testing (UAT) in consultation with NSSO, DPD(HQ.). IA shall facilitate the team from NSSO, DPD(HQ.) to conduct this test after successful completion of performance testing. IA will close all observations, bugs etc. identified during the UAT. This process of UAT will continue in an iterative manner till zero defects are shown by the IA for the test cases developed. The IA also needs to ensure that errors/ defects detected in previous round of tests do not get repeated in successive tests.

The IA will submit a UAT report along with test cases, tests results etc. at the end of the testing exercise and get a sign-off on the UAT report from NSSO, DPD(HQ.).

8.5 Security Audit

IA shall get the application security audit performed by CERTIN empaneled agency for Web-application and android based application security audit of the solutions developed by NIC for NSSO DPD (HQ.), MOSP&I, Government of India for PLFS. The cost of the security audit shall be borne by the IA.

The eligibility criteria for Security Audit Agency are as follows:

- (i) The agency must be in the current empanelment of the CERTIN for IT Security audit.
- (ii) Attested copies of Articles of Association (in case of registered firms), bye laws and certificate of registration (in case of registered cooperative societies), Partnership deed (in case of partnership firms) should be submitted along with the technical deed.
- (iii) The agency must have a GST Registration number and PAN.
- (iv) An undertaking (self-certificate from authorized signatory) that the security audit agency hasn't been blacklisted by any office of Central/State Govt. and there has been no litigation with any Govt. Department on account of IT Services.
- (v) The agency should be registered with the Employees Provident Fund Organization (EPFO).
- (vi) An undertaking that the agency is following the minimum wages act and other directives of the Government as applicable for its employees from time to time.
- (vii) Document in support of (i) to (vi) should be submitted for consideration of the agency.
- (viii) Any agency failing to meet the above stated eligibility criteria shall be summarily rejected and will not be considered for further evaluation.

8.6 Scope of Audit

The Security Auditors will perform the following broad activities.

- (i) Have the audit reports, identify the Web and Android based application level vulnerabilities.
- (ii) External android based application will be used for offline data entry and it will interact with the portal for data synchronization as and when required by authorized user.
- (iii) Provide recommendations for remediation of identified vulnerabilities.
- (iv) submit detailed reports, as per requirement for each iteration (or level) of audit and a final report showing all vulnerabilities as closed.
- (v) Reviewed by a reviewer from within the agency.
- (vi) finally certify the web enabled applications tested as "Safe for Hosting" and android based application is safe to use.
- (vii) Responsible for declaring the webs enabled application URL free from known vulnerabilities and issue the Security Audit clearance Certificate.
- (viii) Testing URL (Staging URL) along with the Audit clearance certificate and audit report is to be shared with Cyber Security division of NIC for verification.

Any other activity concerning security audit related aspects, not essentially covered by work areas outlined as above.

8.7 Training, Technology and Knowledge Transfer

As part of this initiative, the IA would train members of TSG and other department officials on using the web portal and android application and other reporting tools implemented as part of this project and also conduct the knowledge transfer to the TSG team members. The objective of the knowledge transfer is to enable the TSG members to understand the complete solution design in detail. The knowledge transfer will include:

- (i) Providing overview of the solution components.
- (ii) Conduct walk through of the source code and solution documentation with TSG team
- (iii) Provide clarifications to the queries raised by the TSG members
- (iv) Provide project documentation overview.

- (v) Providing module-wise source code for the developed software.

IA needs to conduct the training and knowledge transfer before Go-Live. The IA needs to carry out the following as part of the training exercise:

- (i) Developing the training content - Ensure that the training content is relevant to the target trainees depending upon the role played by them.
- (ii) The IA shall submit the training content to NSSO, DPD (HQ.) for approval. It shall be submitted at least 20 days in advance before the conduction of the training. NSSO, DPD (HQ.) will review and provide comments to IA on the training content within 7 days of the submission of draft training content. IA shall incorporate and implement changes suggested by the NSSO, DPD (HQ.) in training delivery and content.
- (iii) Prepare Training Schedule -A detailed training schedule will be prepared by IA after consultation and approval from the NSSO, DPD (HQ.). Any change in the training schedule shall require approval by NSSO, DPD (HQ.) at least 30 days before the conduction of training.
- (iv) The technology transfer includes providing the source code of the developed package.

8.8 Project Documentation

The IA must ensure that complete documentation of project and solution is provided with comprehensive user manuals, and adhere to leading documentation practices/ guidelines. The following documents are the minimum requirements:

- (i) Systems Manual Detailing the data structure, table, forms and report structures.
- (ii) Operations Manual providing instructions for installing the application, troubleshooting, interpreting message logs, and FAQs (Frequently Asked Questions).
- (iii) User Manual providing detailed instructions on how to use the software. In addition, it shall describe how to access, submit inputs to, and interpret outputs from the application.
- (iv) A data dictionary listing out all the data elements shall be prepared.
- (v) Detailed documentation on Database Management specific to the project and the applications deployed.
- (vi) All documentation will be supplied both in Hardcopy and Softcopy format.
- (vii) Each process document shall clearly define the roles and responsibilities, detailed steps for execution the defined task, detailed configuration steps etc.
- (viii) Updated version of any of the documents/ reports mentioned in this document, as and when there is a change in the configuration, layout etc.

8.9 Operations & Maintenance

The IA should operate and maintain the entire solution components as supplied under this project for a period of Two (2) years from the date of Go-Live. Following are the key tasks that IA has to perform:

8.9.1 High level Scope of Operations & Maintenance

As part of the operations and maintenance services, the IA shall provide support for all components of the solution that are in the scope of this project. The support team proposed by IA will operate from NSSO, DPD (HQ.) where TSG will be located. IA shall provide comprehensive support that includes

- (i) Application Software maintenance and support services
- (ii) Applying periodic software upgrades and patches (software packages including antivirus, application server and RDBMS etc., all packages above operating system layer)
- (iii) Periodic reporting (iv)Backup and restore
- (iv) Proactive monitoring of the solution (vi)Approved change requests
- (v) SLA monitoring and reporting

8.9.2 Application Software maintenance and support services

- (i) The IA shall render on-site maintenance and support services
- (ii) The IA shall be required to provide operational & maintenance services for Solution including, but not limited to, production monitoring, troubleshooting & addressing the functionality, availability & performance issues, implementing any system change requests, addressing the incidents/problems raised by the users for problems/bugs in the system etc.
- (iii) Tuning of application, databases, third party software's and any other components provided as part of the solution to optimize the performance
- (iv) Release Management for the interim releases of the application
- (v) Centralized version and configuration control of the application
- (vi) Routine functional changes – any change in business rules or a new requirement may lead to changes in ETL Processes, reports or any other configuration item. Such changes will not be considered change requests. No additional payment will be made for such changes.
- (vii) Any changes to the application code that may be required because of patches to licensed software being used (if any).
- (viii) Updating and maintenance of all project documents (including user manuals, trainings etc)
- (ix) The IA will define the Software Change Management and version control process. IA will prepare detailed documentation including proposed changes, impact on the system in terms of functional outcomes/additional features added to the system, etc.
- (x) The IA shall address all the errors/bugs/gaps in the functionality offered by solution.
- (xi) Any changes/upgrades to the software performed during the operations & maintenance phase shall be subjected to the integrated testing by the IA to ensure that the changes implemented in the system meets the desired and specified requirements and doesn't impact any other function of the system. IA shall provide a staging environment for testing of changes/ updates/ patches before applying them on production environment.
- (xii) Maintain development, staging/testing and production environments.

8.9.3 User Profile and account Management

- (xiii) The IA shall perform user ID and group management services. The user-id naming & protocol shall be designed and implemented for all the user ids. Such naming convention and protocol shall be signed-off with the NSSO, DPD (HQ.).
- (xiv) The IA shall maintain access controls to protect and limit access to the authorized end users of the solution.
- (xv) The services shall include administrative support for user registration, creating and maintaining user profiles, granting user access and authorization, providing ongoing user password support, announcing and providing networking services for users and providing administrative support related to the solution.

8.10 Others

8.10.1 Proposed Application Architecture

An indicative 3-tier architecture (also referred to as multi-tier or N-tier architecture) has been proposed for the Application Solution.

The entire processing should take place in n-tier architecture:

- i. Front-end software (client tier) - responsible for the presentation of information, and provides user interface.
- ii. Business Process / Service Layer – In the long SSDG may be used, as an Integrated Framework for delivery of Services
- iii. Application Layer – The Business logic for all the application as per the FRS document
- iv. Database Layer - responsible for the manipulation and storage of data.

8.10.2 Adherence to Open Standards

The solution must be designed following open standards, to the extent feasible and in line with overall system requirements set out in this RFP, in order to provide for complete inter-operability with multiple platforms and avoid any technology or technology provider lock-in.

8.10.3 Performance Requirement

System should be performing to support all the functions as per the turnaround time requirement of the business.

The solution shall be designed in a manner that the following can be achieved:

- i. Modular design to distribute the appropriate system functions on web and app server
- ii. Increase in-memory Operations(use static operations)
- iii. Reduce number of I/O operations and N/w calls using selective caching
- iv. Dedicated schemas for each function making them independent and avoiding delays due to other function
- v. Using batch processing for resource intensive tasks which need not be done on real time bases.

8.10.4 Portability Requirement

The system should be portable to all major platforms with minimal changes (or No changes) and appropriate testing.

Platform agnostic system to be developed with following considerations:

- i. Use a platform to make the Application Source Code Portable
- ii. Solution should support Database Access Layer Portability.

8.10.5 Scalability Requirement

The system should be scalable in a manner that as appropriate the capacity and compute infrastructure could be added seamlessly

The design of the system to consider future proofing the systems for volume handling requirements:

- i. System architecture to be based on the Information Exchange principles
- ii. The application functions to be divided logically and developed as Modular solution
- iii. The system should be able to scale horizontally & vertically

8.10.6 Reliability

The System should have appropriate measures to ensure processing reliability for the data received.

It may be necessary to mainly ensure the following:

- i. Prevent processing of duplicate incoming files / data
- ii. Unauthorized alteration to the Data uploaded in the PLFS System should be prevented

8.10.7 Security

The system should be appropriately secured considering the defense – in – depth principles. Not relying only on the Network Security, the application should have its own access control security mechanism.

The application system should have the following

- i. Role based access for all the stake holders envisaged to access and use the system
- ii. Specific components to enable data security
- iii. Appropriate authentication mechanism adhering to industry good practice of Password Policies etc.
- iv. Ability to adopt other authentication mechanism such as Electronic Signature Certificates
- v. Authorization validity to be ensured for the users providing the Data to the system. Data should be accepted only from the entity authorized
- vi. Audit trails and Audit logging mechanism to be built in the system to ensure that user action can be established and investigation if any can be aided. (e.g. Logging of IP Address etc.)
- vii. Data alterations etc. through unauthorized channel should be prevented
- viii. Industry good practice for coding of application so as to ensure sustenance to the Application Vulnerability Assessment exercise using professional tools and experts

8.10.8 Cost

The system is required to be optimized in terms of design and development to keep a check on the resource utilization etc. there by helping the overall cost reduction for the solution

- i. Use of open standard frameworks with commercial support availability
- ii. Solution should enable optimized processing in accordance with the chosen platform of deployment
- iii. Use of commercial license products where certain confidence in terms of reliability and scalability may be required. It is recommended to consider those products which confirm to Open System Standards. Further, appropriate measures to be put in place to reduce the dependency on the product specific features.
- iv. Solution should enable platform independence to enable possible open system deployment if required to reduce the overall cost of unit order processing

8.10.9 Compliance with Industry Standards:

In addition to above, the proposed solution has to be based on and compliant with industry standards (their latest versions as on date) wherever applicable. This will apply to all the aspects of solution including but not limited to design, development, security, installation, and testing. There are many standards that are summarized below. However the list below is for reference purposes only and is not to be considered as exhaustive.

- i. Portal development W3C specifications
- ii. Information access/transfer protocols SOAP, HTTP/HTTPS
- iii. Photograph JPEG (minimum resolution of 640 x 480 pixels)
- iv. Scanned documents TIFF (Resolution of 600 X 600 dpi)
- v. Biometric framework Bio API 2.0 (ISO/IEC 19784-1:2005)
- vi. Latest HTML standards

8.10.10 Specification

- i. Finger print scanning IAFIS specifications
- ii. Digital signature RSA standards
- iii. Document encryption PKCS specifications IV. Information Security to be ISO 27001 compliant
- iv. Operational integrity & security management to be ISO 17799 compliant
- v. IT Infrastructure management ITIL / EITM specifications VII. Service Management ISO 20000 specifications
- vi. Project Documentation IEEE/ISO specifications for documentation
- vii. While developing an application in response to this RFP, the SI shall adhere to all applicable standards published by:

- a. Ministry of Electronics and Information Technology, Government of India as updated from time to time. The latest version of the standards may be found at <https://egovstandards.gov.in>
- b. National Informatics Corporation The latest version of the standards may be found at web.guidelines.gov.in/
- c. Guidelines for Indian Government Websites (GIGW), available at: [http://darpg.gov.in/sites/default/files/Guidelines for Government websites 0 0.pdf](http://darpg.gov.in/sites/default/files/Guidelines%20for%20Government%20websites%200%20.pdf)
- d. "Policy on Open Application Programming Interfaces (APIs) for Government of India" available at: <http://www.egazette.nic.in/WriteReadData/2015/164238.pdf>
- e. "Policy on Adoption of Open Source Software for Government of India" available at URL <http://www.egazette.nic.in/WriteReadData/2015/163746.pdf>
- f. "Policy On Collaborative Application Development by Opening the Source Code of Government Applications", available at: <http://www.egazette.nic.in/WriteReadData/2015/164611.pdf>
- g. "Policy on Adoption of Open Source Software for Government of India", available at:/// URL: <http://www.egazette.nic.in/WriteReadData/2015/163746.pdf>

9. Key Personnel requirement/Resource Requirement

It is expected in the interest of optimum delivery that for the initial 3.5 Months, i.e. till Go-Live of PLFS, four resources will be required. Post PLFS and ASUSE Go-Live resources of type B and D shall be required till Go-live of ASSSE and NSS 78th Round. Onsite Resources of type E and F shall be required post PLFS go-live for the rest of the contract period including extensions, if any. In future if required, more number of these resources (E and F) shall be deployed by the IA on the basis of rates discovered through this bidding process.

Onsite Resource Deployment Required		PLFS and ASUSE Go-Live: T0+3.5 Months (Phase 1A)		ASSSE and NSS 78th Round Go-Live: T0+ 6 Months (Phase 1B)					
Resources Required	Number (Unit)	Man Months required	T0+1 Month	T0+2 Month	T0+3 Month	T0+4 Month	T0+5 Month	T0+6 Month	T0+27.5 Months
Project Manager (A)	1	3.5	[Resource required from T0+1 to T0+3.5]			[Resource required from T0+3.5 to T0+6]			
Sr. Developer(B)	1	6	[Resource required from T0+1 to T0+3.5]			[Resource required from T0+3.5 to T0+6]			
DBA (C)	1	3.5	[Resource required from T0+1 to T0+3.5]			[Resource required from T0+3.5 to T0+6]			
Process Expert (D)	1	6	[Resource required from T0+1 to T0+3.5]			[Resource required from T0+3.5 to T0+6]			
Developer (For Technical Help Desk for O & M support) (E)	1	24	[Resource required from T0+1 to T0+3.5]			[Resource required from T0+6 to T0+27.5]			
SLA Manager(For Technical Help Desk for O & M support) (F)	1	24	[Resource required from T0+1 to T0+3.5]			[Resource required from T0+6 to T0+27.5]			

Figure 9.1 on-site Resource Requirement Plan

As mentioned in Scope of Work, the purchaser may require to conduct various other surveys from time to time. Whenever such a need arises, resources of Type (B) and (D) shall be deployed to develop survey modules by the IA on need basis at the rates discovered through this bidding process. This arrangement of need based -deployment of these resources shall be valid for the whole contract duration of the contract. If contract extension(s) is/are provided then it shall be valid for the period of extension(s)

Qualification Criteria for Resources is Following.

On-site Resources Required	Criteria
Project Manager (A)	<ul style="list-style-type: none"> • B.E/B-Tech/MCA with MBA at least 12 years of relevant work experience • Project Management experience in systems Integration and IT solutions implementation for at least 3 projects.
Sr. Developer(B)	Qualification: B.Tech /B.E./MCA with at least 6 years of relevant experience <ul style="list-style-type: none"> • Relevant Experience: <ol style="list-style-type: none"> a. Experience in Planning, coding, testing, and deploying new features/applications/projects/modules/plugins Optimize and refactor existing code to improve performance and reliability b. Assist stakeholders in developing feature specifications; Suggest improvements, security needs, best practices, etc.
DBA (C)	<ul style="list-style-type: none"> • B.Tech /B.E./M.C.A with at least 5 years of relevant work experience • Experience in database activities like instance tuning, schema management, space management, backup and recovery, disaster recovery, data replication, database refresh etc.
Process Expert (D)	Qualification: B.Tech/B.E./MBA with at least five years of experience in Business Process Re-engineering, SRS preparation, work flow management
Developer (For Technical Help Desk for O & M support) (E)	Qualification: B.Tech /B.E./MCA with at least 3 years of relevant experience <ul style="list-style-type: none"> • Relevant Experience: <ol style="list-style-type: none"> a. Experience in Planning, coding, testing, and deploying new features/applications/projects/modules/plugins Optimize and refactor existing code to improve performance and reliability b. Assist stakeholders in developing feature specifications; Suggest improvements, security needs, best practices, etc.
SLA Manager(For Technical Help Desk for O & M support) (F)	Qualification: B.Tech /B.E./MCA with at least 3 years of experience in maintaining, managing and monitoring SLAs in ICT Implementation Projects

10. Deliverables & Timelines

10.1 Implementation Approach

The project will be implemented in three phases:

10.1.1 Phase 1 A – Till PLFS and ASUSE-Go-live

In this phase, scope of work as defined in sections 8.1 to 8.8 will be implemented. The phase will be completed upon successful Go-live signoff and on providing hands-on training/ demonstration to the accepting agency for PLFS. This phase has to be completed within 3.5 months of award of work.

10.1.2 Phase 1 B – Till ASSSE AND NSS go-live

In this phase, scope of work as defined in sections 8.1 to 8.8 will be implemented for ASSSE and NSS 78th Round. The phase will be completed upon successful Go-live sign off and on providing hands-on training/ demonstration to the accepting agency for these survey modules. This phase has to be completed within 6 months of award of work.

10.1.3 Phase 2 Operations & Maintenance (O&M)

In this phase, scope of work as defined in sections 8.9 will be implemented. This phase will begin on successful signoff of PLFS and ASUSE Go-live. The duration of this phase is 2 Years from PLFS Go-live date. This duration can be extended up to three years with three extensions of one year each.

10.2 Go-Live

Project Go-live milestone will be completed upon completion of the following:

- (i) All the tasks included under scope of work in section 8.
- (ii) Application security audit and submission of security audit certificate by IA after closure of any findings and required fixes are implemented.
- (iii) Submission of training completion report for Phase 1 by IA and acceptance by NSSO, DPD (HQ.).
- (iv) Completion of User Acceptance Testing (UAT) including closure of observations, bugs etc. in production environment and Sign-off provided by NSSO, DPD (HQ.) for Go-live.
- (v) Availability of the system for usage in production environment by the NSSO, DPD (HQ.) /TSG.

10.3 Project Timelines

The high level project timelines and key deliverables are provided below:

SI No	Deliverable / Milestone	Timeline	
		PHASE 1A	PHASE 1B
1.	Award of Work to IA	T (Date of Letter of Award)	
2.	Inception report &SRS	T+ 1 Week	
3.	SDD	T+ 2 Weeks	
4.	Application Development and Testing	T + 2 months	T ₁ +1 month

5.	Submission of UAT report	T + 2.5 months	T ₁ +1.5 month
6.	Security Auditing	T + 3 months	T ₁ +2 month
7.	Go-live	T + 3.5 months = T ₁	T ₁ +2.5 month
8.	PHASE 2 Operations and maintenance	2 years from T ₁ (extendable up to 3 years, with three extensions of one year each)	

Note- 1. PHASE 1A (PLFS and ASUSE Survey Go-Live)- Mandatory completion of the all the modules mentioned in Section 4.1

2. PHASE 1B (ASSSE and NSS 78th Round Go-Live)- Mandatory completion of Survey set up module along with any modifications in modules completed in PHASE 1A

11. Service Level Agreement

This section defines the service levels to be provided by IA to NSSO, DPD(HQ.) for the duration of this project. The service level enforcement would begin after go-live.

11.1 Incident Resolution Time

Definition and Description	Time in which an incident is resolved after it has been reported to the IA.
Service Level Requirement	<p>The IA shall provide service as per the following standards – Action: IA to resolve the incident within 4 business hours.</p> <p>Performance baseline: At least 98% calls resolved within defined timeline during the SLA reporting period.</p> <p>Penalty: Delay of every Business Hour would attract a penalty INR 500 per hour.</p>

11.2 Support Request Resolution Time

Definition and Description	Time in which a support request (as per scope of work for operation and maintenance) is resolved.
Service Level Requirement	<p>The IA shall provide service as per the following standards –</p> <p>Response: Action: The IA has to respond to the support request received from NSSO, DPD(HQ.) with a resolution plan within 2 business days.</p> <p>Performance baseline: At least 98% of the requests should be responded within the allowed time period during the SLA reporting period.</p> <p>Penalty: INR 500/- per day of delay.</p>

	<p>Resolution: Action: The IA has to resolve the support request as per the timeline agreed with NSSO, DPD(HQ.).</p> <p>Performance baseline: At least 98% of the requests should be responded within the agreed time period during the SLA reporting period.</p> <p>Penalty: INR 1000/- per day of delay.</p>
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11.3 Service Level Reporting

IA should submit the Service Levels compliance report on quarterly basis. The format of the report will be decided in consultation with NSSO, DPD (HQ.).

12. Acceptance Testing and Certification

The primary goal of Acceptance Testing and Certification is to ensure that the Project (including all the project components as discussed in the scope of work) meets requirements, standards, specifications and performance, by ensuring that the following are associated with clear, quantifiable metrics for accountability:

- Functional requirements
- Localization compliance review
- Availability of the project Services in the defined locations
- Performance
- Security
- Manageability
- SLA Reporting System
- Project Documentation (Design, development, configuration, training and administration manuals etc.)
- Data Quality Review

As part of Acceptance testing, performed through a third party agency, NSSO shall review all aspects of project development and implementation covering software development and implementation, including the processes relating to:

- *the design of solution architecture, design of other related/required applications, coding, testing, business process description, documentation, version control, change management, security, service oriented architecture*
- *interoperability, scalability, availability, performance with respect to defined requirements, and compliance with all the technical and functional requirements of the RFP and the agreement.*

The procedures and parameters for testing will be laid down by the Third Party Agency after approval from NSSO; the solution deployed by the vendor has to satisfy third party acceptance testing upon which the system shall go-live, subject to NSSO's approval.

The NSSO will establish appropriate processes for notifying the selected vendor of any shortcomings from defined requirements at the earliest instance after noticing the same to enable the selected vendor to take corrective action. All gaps identified shall be addressed by the vendor immediately prior to Go-live of the solution. It is the responsibility of the selected Bidder to take any corrective action required to remove all shortcomings, before the roll out of the project.

It is to be noted that the involvement of the third party for acceptance testing and certification, does not absolve the vendor of his responsibilities to meet all SLAs as laid out in this RFP document.

It is to be noted that:

NSSO may get the solution audited through a Third Party before Go-Live and periodically after Go-Live in order to ensure the success of the project. Such third-party agency for carrying out the acceptance testing and certification of the entire solution will be nominated by the Department.

Following discusses the acceptance criteria to be adopted for the project as mentioned above. The list below is indicative and the activities will include but not be limited to the following:

12.1 Functional Requirements Review

The solution developed/customized by selected Bidder shall be reviewed and verified by the agency against the Functional Requirements signed-off between the Purchaser and the selected Bidder. All gaps, identified shall be addressed by the vendor immediately prior to Go-live of the solution. One of the key inputs for this testing shall be the traceability matrix to be developed by the vendor for the solution. Apart from Traceability Matrix, agency may develop its own testing plans for validation of compliance of system against the defined requirements. The acceptance testing w.r.t. the functional requirements shall be performed by independent third party agency (external audit) as well as the select internal department users (User Acceptance Testing) and system has to satisfy both third party acceptance testing and internal user acceptance testing, upon which the system shall go-live. For conducting the User Acceptance Testing, Purchaser/ The Department shall identify the employees from respective divisions, who shall be responsible for day-to-day operations of the functions automated through the project. The system, during the functional requirements review, shall necessarily satisfy the user acceptance testing process.

12.2 Localization Compliance Review

A third party supports shall perform the Localization Compliance Review to verify the bilingual/multilingual architecture design of the application with input/saved/output data as per localization guidelines and the latest UNICODE standard (refer Annexure I).

12.3 Security Review

The software developed/customized shall be audited by the agency from a security and controls perspective. Such audit “may” also include the IT infrastructure deployed in connection with the software for the project. Following are the broad activities to be performed by the Agency as part of Security Review. The security review shall subject the solution to at least the following activities.

- Assessment of authentication mechanism provided in the application /components /modules
- Assessment of data encryption mechanisms implemented for the solution
- Assessment of data access privileges, retention periods and archival mechanisms
- Server and Application security features incorporated etc.

12.4 Performance

Performance is another key requirement for the project and the agency shall review the performance of the deployed solution against certain key parameters defined in SLA. Such parameters include request-response time, work-flow processing time, concurrent sessions supported by the system etc., Disaster Recovery drill etc. The performance review also includes verification of scalability provisioned in the solution for catering to the project requirements.

12.5 SLA Reporting System

The selected Bidder shall design, implement/customize the Enterprise Management System (EMS) and shall develop any additional tools required to monitor the performance indicators listed as per the SLAs mentioned in the RFP. The Acceptance Testing and Certification agency shall verify the accuracy and completeness of the information captured by the SLA monitoring system implemented by the vendor and shall certify the same. The EMS deployed for the project, based on SLAs, shall be configured by the selected Bidder to calculate the payment to be paid by the department after deducting the necessary penalties.

12.6 Project Documentation

The Agency shall review the project documents developed by the selected Bidder including requirements, design, source code, installation, training and administration manuals, version control etc.

Any issues/gaps identified by the Agency, in any of the above areas, shall be addressed to the complete satisfaction of the Department.

12.7 Data Quality

The Agency shall perform the Data Quality Assessment for the Data digitized by selected Bidder and the data migrated by the vendor to the new system. The errors/gaps identified during the Data Quality Assessment shall be addressed by the vendor before moving the data into production environment, which is a key mile stone for Go-live of the solution.

13. Payment Schedules

Phase	Milestones	Payment Amount
Phase 1 A and 1 B - Development	Inception Report, SRS and SSD	10% of Phase (1A+ 1B) cost
	Application Development and UAT report	20% of Phase (1A+ 1B) cost
	Go-Live 1A	25 % of Phase (1A+ 1B) cost
	Go-Live 1B	25 % of Phase (1A+ 1B) cost
	Security Auditing	As actual
Phase 2 - O & M	Operations & Maintenance	Equal Monthly Instalment comprising of (100 % of Phase 2 cost + balance 20% of Phase (1A+ 1B) cost)

14. Fraud and Corrupt Practices

- a. The Bidders/Bidders and their respective officers, employees, agents and advisers shall observe the highest standard of ethics during the Selection Process. Notwithstanding anything to the contrary contained in this RFP, the Purchaser shall reject a Proposal without being liable in any manner whatsoever to the Bidder, if it determines that the Bidder has, directly or indirectly or through an agent, engaged in corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice (collectively the "Prohibited Practices") in the Selection Process. In such an event, the Purchaser shall, without prejudice to its any other rights or remedies, forfeit and appropriate the Bid Security or Performance Security, as the case may be, as mutually agreed genuine pre-estimated compensation and damages payable to the Authority for, inter alia, time, cost and effort of the Authority, in regard to the RFP, including consideration and evaluation of such Bidder's Proposal.
- b. Without prejudice to the rights of the Purchaser under Clause above and the rights and remedies which the Purchaser may have under the LOI or the Agreement, if an Bidder or Systems Implementation Agency, as the case may be, is found by the Authority to have directly or indirectly or through an agent, engaged or indulged in any corrupt practice, fraudulent practice, coercive practice, undesirable practice or restrictive practice during the Selection Process, or after the issue of the LOI or the execution of the Agreement, such Bidder or Systems Implementation Agency shall not be eligible to participate in any tender or RFP issued by the Purchaser during a period of <2 (two) years> from the date such Bidder or Systems Implementation Agency, as the case may be, is found by the Purchaser to have directly or through an agent, engaged or indulged in any corrupt practice, fraudulent practice,coercivepractice,undesirablepracticeorrestrictivepractice,asthecasemaybe.

- c. For the purposes of this Section, the following terms shall have the meaning hereinafter respectively assigned to them:
- i. “corrupt practice” means (i) the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence the action of any person connected with the Selection Process (for avoidance of doubt, offering of employment to or employing or engaging in any manner whatsoever, directly or indirectly, any official of the Purchaser who is or has been associated in any manner, directly or indirectly with the Selection Process or the LOI or has dealt with matters concerning the Agreement or arising there from, before or after the execution thereof, at any time prior to the expiry of one year from the date such official resigns or retires from or otherwise ceases to be in the service of the Purchaser, shall be deemed to constitute influencing the actions of a person connected with the Selection Process); or (ii) save as provided herein, engaging in any manner whatsoever, whether during the Selection Process or after the issue of the LOA or after the execution of the Agreement, as the case may be, any person in respect of any matter relating to the Project or the LOA or the Agreement, who at any time has been or is a legal, financial or technical consultant/ adviser of the Purchaser in relation to any matter concerning the Project;
 - ii. “fraudulent practice” means a misrepresentation or omission of facts or disclosure of incomplete facts, in order to influence the Selection Process;
 - iii. “coercive practice” means impairing or harming or threatening to impair or harm, directly or indirectly, any persons or property to influence any person’s participation or action in the Selection Process;
 - iv. “undesirable practice” means (i) establishing contact with any person connected with or employed or engaged by Purchaser with the objective of canvassing, lobbying or in any manner influencing or attempting to influence the Selection Process; or (ii) having a Conflict of Interest; and
 - v. “restrictive practice” means forming a cartel or arriving at any understanding or arrangement among Bidders with the objective of restricting or manipulating a full and fair competition in the Selection Process

15. Conflict of Interest

- a. A Bidder shall not have a conflict of interest that may affect the Selection Process or the Solution delivery (the “Conflict of Interest”). Any Bidder found to have a Conflict of Interest shall be disqualified. In the event of disqualification, the Purchaser shall forfeit and appropriate the EMD, if available, as mutually agreed genuine pre-estimated compensation and damages payable to the Purchaser for, *inter alia*, the time, cost and effort of the Purchaser including consideration of such Bidder’s Proposal, without prejudice to any other right or remedy that may be available to the Purchaser hereunder or otherwise.
- b. The Purchaser requires that the Implementation Agency provides solutions which at all times hold the Purchaser’s interests paramount, avoid conflicts with other assignments or its own interests, and act without any consideration for future work. The Systems Implementation Agency shall not accept or

engage in any assignment that would be in conflict with its prior or current obligations to other clients, or that may place it in a position of not being able to carry out the assignment in the best interests of the Purchaser.

- c. Without limiting the generality of the above, an Bidder shall be deemed to have a Conflict of Interest affecting the Selection Process ,if:
- i. the Bidder and any other Bidder have common controlling shareholders or other ownership interest; *provided that this disqualification shall not apply in cases where the direct or indirect shareholding or ownership interest of an Bidder, its Member or Associate (or any shareholder thereof having a shareholding of more than 5 per cent of the paid up and subscribed share capital of such Bidder, Member or Associate, as the case may be) in the other Bidder is less than 5% (five per cent) of the subscribed and paid up equity share capital thereof. For the purposes of this Clause, indirect shareholding held through one or more intermediate persons shall be computed as follows:*
 - where any intermediary controlled by a person through management control or otherwise, the entire shareholding held by such controlled intermediary in any other person (the "Subject Person") shall be taken into account for computing the shareholding of such controlling person in the Subject Person; where a person does not exercise control over an intermediary, which has shareholding in the Subject Person, the computation of indirect shareholding of such person in the Subject Person shall be undertaken on
 - a proportionate basis; provided, however, that no such shareholding shall be reckoned under this Sub-clause if the shareholding of such person in the intermediary is less than 26% (twenty six per cent) of the subscribed and paid up equity shareholding of such intermediary; or
 - ii. a constituent of such Bidder is also a constituent of another Bidder; or
 - iii. such Bidder or its Associate receives or has received any direct or indirect subsidy or grant from any other Bidder or its Associate; or
 - iv. such Bidder has the same legal representative for purposes of this Application as any other Bidder; or
 - v. such Bidder has a relationship with another Bidder, directly or through common third parties, that puts them in a position to have access to each other's' information about, or to influence the Application of either or each of the other Bidder; or
 - vi. There is a conflict among this and other Software solution and services assignments of the Bidder (including its personnel and other members, if any) and any subsidiaries or entities controlled by such Bidder or having common controlling shareholders. The duties of the Systems Implementation Agency will depend on the circumstances of each case. While providing software implementation and related solutions to the Purchaser for this particular assignment, the Systems Implementation Agency shall not take up any assignment that by its nature will result in conflict with the present assignment; or
 - vii. A firm hired to provide Software solution and services for the implementation of a project, and its Members or Associates, will be disqualified from subsequently providing goods or works or services related to the same project;
- d. An Bidder eventually appointed to implement software solutions for this Project, its Associates, affiliates and the Financial Expert, shall be disqualified from subsequently providing goods or works or services related to the construction and operation of the same Project and any breach of this obligation shall be construed as Conflict of Interest; provided that the restriction herein shall not apply after a period of 12 months from the completion of this assignment; provided further that this restriction shall not apply to software solutions delivered to the Purchaser in continuation of this systems

implementation or to any subsequent systems implementation executed for the Purchaser in accordance with the rules of the Purchaser.

16. Appendix I: Pre-Qualification & Technical Bid Templates

The Bidders are expected to respond to the RFP using the forms given in this section and all documents supporting Pre-Qualification / Technical Evaluation Criteria.

Pre-Qualification Bid & Technical Proposal shall comprise of following Forms:

Forms to be used in Pre-Qualification Proposal

Form 1: Compliance Sheet for Pre-qualification Proposal

Form 2: Particulars of the Bidder

Form 3: Bank Guarantee for Earnest Money Deposit

Forms to be used in Technical Proposal

Form 4: Compliance Sheet for Technical Proposal

Form 5: Letter of Proposal

Form 6: Project Citation Format

Form 7: Proposed Solution

Form 8: Proposed Work Plan

Form 9: Team Composition

Form 10: Curriculum Vitae (CV) of Key Personnel

Form 11: Deployment of Personnel

Form 12: Deviations

1. Form 1: Compliance Sheet for Pre-Qualification Proposal

(The pre-qualification proposal should comprise of the following basic requirements. The documents mentioned in this compliance sheet along with this form, needs to be a part of the Pre-Qualification proposal)

#	Basic Requirement	Required	Provided	Reference
1	Power of Attorney	Copy of Power of Attorney in the name of the Authorized signatory	Yes / No	
2	Particulars of the Bidders	As per Form 2	Yes / No	Form 2
3	Earnest Money Deposit	Demand Draft / Bank Guarantee (Form 3)	Yes / No	5.5.3
4	Sales Turnover in System Integration	Extracts from the audited Balance sheet and Profit & Loss; OR Certificate from the statutory auditor	Yes / No	6.1
5	Net Worth	Certificate from the statutory auditor	Yes / No	6.1
6	Technical Capability	Completion Certificates from the client; OR Work Order + Self Certificate of Completion (Certified by the Statutory Auditor); OR Work Order + Phase Completion Certificate from the client	Yes / No	6.1
7	Quality of Product quoted to build survey solution.	Copy of relevant Section of analyst Report Or Completion certificate by Client/Work order+ Self Certificate of Completion (certified of statutory auditor)	Yes / No	6.1
8	Certifications	Copy of Certificate	Yes / No	6.1
9	Legal Entity	Copy of Certificate of Incorporation; and Copy of Service Tax Registration Certificate	Yes / No	6.1
10	Manpower Strength	Self-Certification by the authorized signatory	Yes / No	6.1
11	Debarment	Self-Certification by the authorized signatory	Yes / No	6.1

2. Form 2: Particulars of the Bidder

SI No.	Information Sought	Details to be Furnished
A	Name and address of the bidding Company	
B	Incorporation status of the firm (public limited / private limited, etc.)	
C	Year of Establishment	
D	Date of registration	
E	ROC Reference No.	
F	Details of company registration	
G	Details of registration with appropriate authorities for service tax	
H	Name, Address, email, Phone nos. and Mobile Number of Contact Person	

3. Form 3: Bank Guarantee for Earnest Money Deposit

To,

Additional Director General,
NSSO, DPD(HQ),
Mahalanobis Bhawan,
164 G.L.T. Road, Kolkata700108
venkatag.rao@gov.in

Whereas <<Name of the Bidder>> (hereinafter called 'the Bidder') has submitted the bid for Submission of RFP # <<RFP Number>> dated <<Date>> for <<Name of the assignment>> (hereinafter called "the Bid") to <Purchaser>

Know all Men by these presents that we <<>> having our office at <<Address>> (hereinafter called "the Bank") are bound unto the <Purchaser> (hereinafter called "the Purchaser") in the sum of Rs. <<Amount in figures>> (Rupees <<Amount in words>> only) for which payment well and truly to be made to the said Purchaser, the Bank binds itself, its successors and assigns by these presents. Sealed with the Common Seal of the said Bank this<<Date>>

The conditions of this obligation are:

1. If the Bidder having its bid withdrawn during the period of bid validity specified by the Bidder on the Bid Form;or
2. If the Bidder, having been notified of the acceptance of its bid by the Purchaser during the period of validity ofbid
 - (a) Withdrawshisparticipationfromthebidduringtheperiodofvalidityofbiddocument;or
 - (b) Fails or refuses to participate in the subsequent Tender process after having been short listed;

We undertake to pay to the Purchaser up to the above amount upon receipt of its first written demand, without the Purchaser having to substantiate its demand, provided that in its demand the Purchaser will note that the amount claimed by it is due to it owing to the occurrence of one or both of the two conditions, specifying the occurred condition or conditions.

This guarantee will remain in force up to <<insert date>> and including <<extra time over and above mandated in the RFP>> from the last date of submission and any demand in respect thereof should reach the Bank not later than the above date.

NOTWITHSTANDING ANYTHING CONTAINED HEREIN:

- I. Our liability under this Bank Guarantee shall not exceed Rs. <<Amount in figures>> (Rupees <<Amount in words>> only)
- II. This Bank Guarantee shall be valid upto <<insert date>>)
- III. It is condition of our liability for payment of the guaranteed amount or any part thereof arising under this Bank Guarantee that we receive a valid written claim or demand for payment under this Bank Guarantee on or before <<insert date>>) failing which our liability under the guarantee will automatically cease.

(Authorized Signatory of the Bank)

Seal:

Date:

4. Form 4: Compliance Sheet for Technical Proposal

(The Technical proposal should comprise of the following basic requirements. The documents mentioned in this compliance sheet along with this form, needs to be a part of the Technical proposal)

For Technical Evaluation

S. No.	Specific Requirements	Documents Required	Compliance	Reference
1.	Covering Letter for Technical Proposal	As per Form 5	Yes / No	Form 5
2.	Average turnover from Software Development and Implementation Services Work in last 3 years (Turnover in Rs Crores)	Extracts from the audited Balance sheet and Profit & Loss; OR Certificate from the statutory auditor; and Project citation (Form 6)	Yes / No	6.2
3.	The vendor's prior experience in execution of COTS based /customized platform based solution for web portal development, android application development and Data Base Administration with GIS integration. The successfully completed projects must be implemented on Nation-wide level or in more than 3 states.	Completion Certificates from the client; OR Work Order + Self Certificate of Completion (Certified by the Statutory Auditor);	Yes / No	6.2
5.	Solution Proposed, Approach & Methodology, Understanding and work Plan (As per the requirements specified in Technical evaluation)	The note should highlight understanding of NSSO's requirements through providing: 1) Solution proposed and its components, – Scalability – Security – Ease of implementation – User base 2) Interoperability 3) Technologies used, 4) Implementation Plan 5) Innovative Solution for up-scaling 6) Challenges likely to be encountered 7) Learning on how to deal with the challenges 8) Client references	Yes / No	6.2

<p>6.</p>	<p>Resume of resources proposed for the assignment</p> <ul style="list-style-type: none"> a. Project Manager b. Data Base Administrator c. Sr. Developer 	<p>CV & a Note (Form 9, 10 and 11)</p>	<p>Yes / No</p>	<p>6.2</p>
<p>7.</p>	<p>Deviations (if any)</p>	<p>Form 12</p>	<p>Yes / No</p>	<p>Form 12</p>

5. Form 5: Letter of Proposal

To:
< Date>

Additional Director General,
NSSO, DPD(HQ),
Mahalanobis Bhawan,
164 G.L.T. Road, Kolkata700108
venkatag.rao@gov.in

Subject: Submission of the Technical bid for <Name of the Systems Implementation assignment>

Dear Sir/Madam,

We, the undersigned, offer to provide Systems Implementation solutions to the Purchaser on <Name of the Systems Implementation engagement> with your Request for Proposal dated <insert date> and our Proposal. We are hereby submitting our Proposal, which includes this Technical bid and the Financial Bid uploaded on the e-Procurement portal (www.eprocure.gov.in)

We hereby declare that all the information and statements made in this Technical bid are true and accept that any misinterpretation contained in it may lead to our disqualification.

We undertake, if our Proposal is accepted, to initiate the Implementation services related to the assignment not later than the date indicated in Fact Sheet.

We agree to abide by all the terms and conditions of the RFP document. We would hold the terms of our bid valid for 90 days as stipulated in the RFP document.

We understand you are not bound to accept any Proposal you receive.

Yours sincerely,

Authorized Signature [*In full and initials*]: _____

Name and Title of Signatory: _____

Name of Firm: _____

Address: _____

Location: _____ Date: _____

6. Form 6: Project Citation Format

Relevant IT project experience (provide no more than 5 projects in the last 5 years)	
General Information	
Name of the project	
Client for which the project was executed	
Name and contact details of the client	
Project Details	
Description of the project	
Scope of services	
Service levels being offered/ Quality of service (QOS)	
Technologies used	
Outcomes of the project	
Other Details	
Total cost of the project	
Total cost of the services provided by the respondent	
Duration of the project (no. of months, start date, completion date, current status)	
Other Relevant Information	
Letter from the client to indicate the successful completion of the projects	
Copy of Work Order	

7. Form 7: Proposed Solution

Technical approach, methodology and work plan are key components of the Technical Proposal. You are suggested to present Approach and Methodology divided into the following sections:

- a. Solution Proposed including architecture diagram, infrastructure, hardware, software and manpower requirements
- b. Understanding of the project (how the solution proposed is relevant to the understanding)
- c. Technical Approach and Methodology

9. Form 9: Team Composition

Name of Staff with qualification and experience	Area of Expertise	Position Assigned	Task Assigned	Time committed for the engagement

10. Form 10: Curriculum Vitae (CV) of Key Personnel

General Information	
Name of the person	
Current Designation / Job Title	
Current job responsibilities	
Proposed Role in the Project	
Proposed Responsibilities in the Project	
Academic Qualifications: <ul style="list-style-type: none"> • Degree • Academic institution graduated from • Year of graduation • Specialization (if any) • Key achievements and other relevant information (if any) 	
Professional Certifications (if any)	
Total number of years of experience	
Number of years with the current company	
Summary of the Professional / Domain Experience	
Number of Complete life cycle implementations carried out	
The names of customers (Please provide the relevant names)	
Past assignment details (For each assignment provide details regarding name of organizations worked for, designation, responsibilities, tenure) Prior Professional Experience covering: <ul style="list-style-type: none"> • Organizations worked for in the past <ul style="list-style-type: none"> ○ Organization name ○ Duration and dates of entry and exit ○ Designation Location(s) ○ Key responsibilities • Prior project experience <ul style="list-style-type: none"> ○ Project name ○ Client ○ Key project features in brief 	

<ul style="list-style-type: none"> ○ Location of the project ○ Designation ○ Role ○ Responsibilities and activities ○ Duration of the project <p>Please provide only relevant projects.</p>	
<p>Proficient in languages (Against each language listed indicate if speak/read/write)</p>	

11. Form 11: Deployment of Personnel

No	Name of Staff	Staff input in Months (in the form of a bar chart) ²													Total staff man-months proposed
		1	2	3	4	5	6	7	8	9	10	11	12	n	Total
1															
2															
3															
N															
										Total					

1. Professional Staff the input should be indicated individually; for Support Staff it should be indicated by category
2. Months are counted from the start of the assignment.

Full time input
 Part time input

12. Form 12: Deviations

To:

Additional Director General,
 NSSO, DPD(HQ),
 Mahalanobis Bhawan,
 164 G.L.T. Road,
 Kolkata – 700108.

Dear Sir:

Subject: Deviations <Provide Name of the Implementation Assignment>

We declare that all the services shall be performed strictly in accordance with the Tender documents except for the variations and deviations, all of which have been detailed out exhaustively in the following statement, irrespective of whatever has been stated to the contrary anywhere else in our bid.

Further we agree that additional conditions, if any, found in the Tender documents, other than those stated in deviation schedule, shall not be given effect to.

A - On the Terms of Reference

[Suggest and justify here any modifications or improvement to the Scope of Work you are proposing to improve performance in carrying out the assignment (such as deleting some activity you consider unnecessary, or adding another, or proposing a different phasing of the activities). Such suggestions should be concise and to the point, and incorporated in your Proposal.]

No.	Deviation	Material	Non-Material	Impacted Deliverable(s)	Impacted Timeline(s)	Financial Impact
1.	<Deviation description>	<Yes / No>	<Yes / No>	<Name(s) of Deliverables to get affected by the Deviation>	<Effect on Timelines due to the Deviation>	<Value>
2.	<Deviation description>	<Yes / No>	<Yes / No>	<Name(s) of Deliverables to get affected by the Deviation>	<Effect on Timelines due to the Deviation>	<Value>
3.	<Deviation description>	<Yes / No>	<Yes / No>	<Name(s) of Deliverables to get affected by the Deviation>	<Effect on Timelines due to the Deviation>	<Value>

B – Any other areas

No.	Deviation	Material	Non-Material	Impacted Deliverable(s)	Impacted Timeline(s)	Financial Impact
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No.	Deviation	Material	Non-Material	Impacted Deliverable(s)	Impacted Timeline(s)	Financial Impact
1.	<Deviation description>	<Yes / No>	<Yes / No>	<Name(s) of Deliverables to get affected by the Deviation>	<Effect on Timelines due to the Deviation>	<Value>
2.	<Deviation description>	<Yes / No>	<Yes / No>	<Name(s) of Deliverables to get affected by the Deviation>	<Effect on Timelines due to the Deviation>	<Value>
3.	<Deviation description>	<Yes / No>	<Yes / No>	<Name(s) of Deliverables to get affected by the Deviation>	<Effect on Timelines due to the Deviation>	<Value>

Yours sincerely,

Authorized Signature:

Name and Title of Signatory:

Name of Firm:

Address:

17. Appendix II: Financial Proposal Template

1. Form 1: Covering Letter

To:

<Location, Date>

Additional
Director General,
NSSO, DPD(HQ),
Mahalanobis
Bhawan,
164 G.L.T. Road,
Kolkata700108
venkatag.rao@gov.in

Subject: Submission of the Financial bid for <Provide Name of the Implementation Assignment>

Dear Sir/Madam,

We, the undersigned, offer to provide the Implementation services for <<Title of Implementation Services>>in accordance with your Request for Proposal dated <<Date>>and our Proposal (Technical and Financial Proposals). Our attached Financial Proposal is for the sum of <<Amount in words and figures>>. This amount is inclusive of the local taxes.

1. PRICE AND VALIDITY

- All the prices mentioned in our Tender are in accordance with the terms as specified in the RFP documents. All the prices and other terms and conditions of this Bid are valid for a period of <days> calendar days from the date of opening of the Bid.
- We hereby confirm that our prices include all taxes. However, all the taxes are quoted separately under relevant sections.
- We understand that the actual payment would be made as per the existing tax rates during the time of payment.

2. UNIT RATES

We have indicated in the relevant forms enclosed, the unit rates for the purpose of on account of payment as well as for price adjustment in case of any increase to / decrease from the scope of work under the contract.

3. TENDER PRICING

We further confirm that the prices stated in our bid are in accordance with your Instruction to Bidders included in Tender documents.

4. QUALIFYING DATA

We confirm having submitted the information as required by you in your Instruction to Bidders. In case you require any other further information/documentary proof in this regard before evaluation of our Tender, we agree to furnish the same in time to yoursatisfaction.

5. BIDP RICE

We declare that our Bid Price is for the entire scope of the work as specified in the section 8 of the RFP document. These prices are indicated Commercial Bid attached with our Tender as part of the Tender.

6. PERFORMANCE BANKGUARANTEE

We hereby declare that in case the contract is awarded .to us, we shall submit the Performance Bank Guarantee as specified in the <Appendix III> of this RFP document.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e., [Date].

We understand you are not bound to accept any Proposal you receive.

We hereby declare that our Tender is made in good faith, without collusion or fraud and the information contained in the Tender is true and correct to the best of our knowledge and belief.

We understand that our Tender is binding on us and that you are not bound to accept a Tender you receive.

Yours sincerely,

Authorized Signature:

Name and Title of Signatory:

Name of Firm:

Address:

2. Form 2: Financial Proposal

S. No.	Item	Total Price	Taxes (wherever applicable)	Total cost (total price + taxes)
a)	Application Customization / Development and database creation cost (A)			
b)	Software Support and Maintenance Costs (Quarterly Expenses for 2 years of contract after "Go-Live") (B)			
c)	Support Manpower (C)			
d)	Training cost (D)			
e)	Software Licenses (E)			
f)	Others (Please specify) (F)			
Cost of Phase (1A+1B) = cost of items A+C+D+E+F				
Cost of Phase 2 = cost of item B				
Total Cost				
Total cost in figures:				

Form 2A: Details of Financial Bid

S. No.	Category	Component	No of Components / Units of Service (X)	Rate (per unit) (Y)	Total Cost (= X*Y)
A: Application Development & Database Creation					
1.	Application and Portal Development				
Total A:					
B: Operations and Maintenance Costs (Quarterly Expenses for 2 years of contract after "Go-Live") (D)					
2.	Application Maintenance & Operational Expense including up gradation, deployment of patches, fixes etc.				
3.	Developer		24 Man months		
4.	SLA Manager		24 Man Months		
Total B:					
C: Support Manpower					
1.	Project Manager		3.5 Man Months		
2.	Sr. Developer		6 Man Months		
3.	DBA		3.5 Man Months		
4.	Process Expert		6 Man Months		
Total C:					

S. No.	Category	Component	No of Components / Units of Service (X)	Rate (per unit) (Y)	Total Cost (= X*Y)
Total D:					
D: Training					
	Training Cost Per Person for				
1					
2					
Total D:					
E : Licenses Costs					
1					
2					
3					
Total E :					
F : Other (please specify)					
1					
2					
3					
Total F :					

Appendix III: Template for PBG & CCN

Form 1: Performance Bank Guarantee

PERFORMANCE SECURITY:

Additional Director General,
NSSO, DPD(HQ),
Mahalanobis Bhawan,
164 G.L.T. Road, Kolkata700108
venkatag.rao@gov.in

Whereas, <<name of the supplier and address>> (hereinafter called “the Bidder”) has undertaken, in pursuance of contract no. <Insert Contract No.> dated. <Date> to provide Implementation services for <<name of the assignment>> to Purchaser (hereinafter called “the beneficiary”)

And whereas it has been stipulated by in the said contract that the Bidder shall furnish you with a bank guarantee by a recognized bank for the sum specified therein as security for compliance with its obligations in accordance with the contract;

And whereas we, <Name of Bank> a banking company incorporated and having its head /registered office at <Address of Registered Office> and having one of its office at <Address of Local Office> have agreed to give the supplier such a bank guarantee.

Now, therefore, we hereby affirm that we are guarantors and responsible to you, on behalf of the supplier, up to a total of Rs. <Insert Value> (Rupees <Insert Value in Words> only) and we undertake to pay you, upon your first written demand declaring the supplier to be in default under the contract and without cavil or argument, any sum or sums within the limits of Rs. <Insert Value> (Rupees <Insert Value in Words> only) as aforesaid, without your needing to prove or to show grounds or reasons for your demand or the sum specified therein.

We hereby waive the necessity of your demanding the said debt from the Bidder before presenting us with the demand.

We further agree that no change or addition to or other modification of the terms of the contract to be performed there under or of any of the contract documents which may be made between you and the Bidder shall in any way release us from any liability under this guarantee and we hereby waive notice of any such change, addition or modification.

This Guarantee shall be valid until <<Insert Date>>)

Notwithstanding anything contained herein:

- I. Our liability under this bank guarantee shall not exceed Rs. <Insert Value> (Rupees <Insert Value in Words>only).
- II. This bank guarantee shall be valid up to <Insert Expiry Date>
- III. It is condition of our liability for payment of the guaranteed amount or any part thereof arising under this bank guarantee that we receive a valid written claim or demand for payment under this bank guarantee on or before <Insert Expiry Date> failing which our liability under the guarantee will automatically cease.

Form 2: Change Control Notice (CCN) Format

Change Control Note		CCN Number:
Part A: Initiation		
Title:		
Originator:		
Sponsor:		
Date of Initiation:		
Details of Proposed Change		
(To include reason for change and appropriate details/specifications. Identify any attachments as A1, A2, and A3 etc.)		
Authorized by :	Date:	
Name:		
Signature:	Date:	
Received by the IP		
Name:		
Signature:		
Change Control Note		CCN Number:
Part B : Evaluation		
(Identify any attachments as B1, B2, and B3 etc.) Changes to Services, charging structure, payment profile, documentation, training, service levels and component working arrangements and any other contractual issue.		
Brief Description of Solution:		
Impact:		
Deliverables:		
Timetable:		

Charges for Implementation: (including a schedule of payments)	
Other Relevant Information: (including value-added and acceptance criteria)	
Authorized by the Implementation Partner	Date:
Name:	
Signature:	

18. Annexures

18.1 Annexure I

Volume 1 Schedule 2.34 NSS73

18.2 Annexure II

Schedule 0.0 and Schedule 2.34

18.3 Annexure III

Howler Scrutiny Program 73rd NSS and CSP 73rd NSS

18.4 Annexure IV

Master Service Agreement Format

18.5 Annexure V

Service Level Agreement Format

18.6 Annexure VI

Non- Disclosure Agreement

Chapter Three

Schedule 2.34: Unincorporated Non-agricultural Enterprises (excluding construction)

1. Introduction: In this chapter detailed instructions for filling up schedule 2.34 are given. The enterprise survey of the 73rd round principally covers all unincorporated enterprises in the non-agricultural sector of the economy, excluding those engaged in construction and gas & water supply. NIC 2008 codes will be used to classify the enterprises in this round. Some general concepts and definitions relating to unincorporated non-agricultural enterprises have already been discussed in Chapter One. However, concepts specific to the schedule have been discussed in this chapter wherever necessary. The enterprises to be covered in NSS 73rd round have been divided into three broad industry groups, viz. (i) manufacturing, (ii) trade and (iii) other services sector. Under the above sectoral coverage, enterprises are categorised into two types, the first type being Own Account Enterprises (OAE) i.e. those enterprises that do not employ hired workers on a fairly regular basis in the reference year and the second type being Establishments those employ at least one hired worker on a *fairly regular basis*¹ in the reference year. The term “enterprise” has been used in this chapter in a general sense and will refer to either an “Own Account Enterprise” or an “Establishment”, which will be clear from the context. The eligibility criteria for an enterprise to be covered in the survey is at least 30 days of operation (15 days of operation for seasonal enterprises / SHGs) in the reference year i.e. “last 365 days preceding the date of survey”.

1.1 Own Account Enterprises and Establishments in the informal sector are the target units for the enterprise survey. In addition, self-help groups, trusts, associations, charitable institutions, etc. are covered under the survey as they do have the dominant share in certain service sector activities like educational enterprises, health service enterprises and other community, social and personal service enterprises. Detailed activities under survey coverage are given in Chapter One (para 1.1.1).

2. A few important concepts and definitions:-

2.1 Mixed Activity: There are enterprises that carry out a number of activities simultaneously. For example, a bakery may also sell cold drinks, a rice mill may sell sugar, a factory may run a hospital in its premises, etc. Each such activity is treated as a separate enterprise if information for them is separately available. If the accounts are not separable then the data pertaining to the enterprise as a whole will be collected and the enterprise is classified as having mixed activities and the activities of such enterprises are a mixture of NIC's. The activities may be mixed at any level of NIC, but for the present survey an enterprise will be considered to have mixed activities if its activities are different at 2-digit level of NIC-2008. The appropriate NIC in such cases will be determined on the basis of major activity. Major activity refers to the activity which yields maximum income/turnover/employment. The above criteria are applied in the given order, i.e. income first, then turnover and then employment, to determine the major activity.

¹ “fairly regular basis” means the major part of the period when operation(s) of an enterprise are carried out during a reference period

2.2 Multiple Activities: Since many of the entrepreneurs belonging to the unorganised and informal sector operate at small or marginal levels, the phenomenon of carrying out more than one activity simultaneously or at different points of time is quite prevalent. If the activities are carried out at one point of time at the same location and the information is not separately available, then it will be taken as “mixed activity”. Carrying out of more than one economic activity by the entrepreneur during the reference year is called multiple activities. It differs from mixed activities in the sense that multiple activity is with respect to the entrepreneur whereas mixed activity is with respect to the enterprise. However, an entrepreneur of a manufacturing enterprise manufacturing woollen garments before winter and cotton clothes before summer will not be considered as carrying out multiple activities. Some examples of multiple activities are: i) a person providing computer services during day-time as an own account worker and also providing tuition in the evening in his own coaching centre, ii) A household servant is making paper envelopes in free time iii) a person carrying out agricultural activity at sowing / harvesting season and doing carpentry at the same time or at other times, etc.

2.3 Reference Period: *Last 30 days preceding the date of survey* or *last month* has been used as the reference period to collect most of the data. Various items of receipts and expenses as well as data on employment, emoluments, rent, interest, net surplus and value added for the enterprises will be collected for the above reference period only. However, for seasonal enterprises the reference period will refer the last 30 days (preceding the date of survey), if they have worked continuously for last 30 days or more (including scheduled holidays) in the current season. For seasonal enterprises which have worked for less than 30 days in the current season, last month will refer to an average month in the last working season.

2.3.1 If some enterprise is unable to give information for the last 30 days and is able to give information for the latest calendar month from their books, figures for the latest calendar month may be taken. Month will refer to a period of 30 days. For some of the items like value of fixed assets, amount of loan outstanding etc., the reference period is ‘as on the date of survey’. For some other items like net additions to fixed assets, number of months operated, number of other economic activities taken up etc., the period of reference is the ‘last 365 days preceding the date of survey’. For enterprises maintaining accounts and giving information from their books of accounts, reference year, ‘last 30 days/ last month’ and ‘last date of the reference year’ would respectively relate to ‘last accounting year for which information is available’, ‘last month of the said accounting year’ and ‘last date of the accounting year’. If the information for the entire year is available from the book of accounts, the same may be divided by ‘*the number of months worked*’ to arrive at the monthly figures.

2.4 Subsidy: Subsidies are current unrequited payments that government units, including non-resident government units, make to enterprises on the basis of the levels of their production activities or the quantities or values of the goods and services which they produce, sell, import or export. Subsidies can also be received by an enterprise for achieving a particular type of efficiency in production (e.g., getting ISO certification, implementing pollution control measures, repaying interests in time, etc.). Subsidies are equivalent to negative taxes on production in so far as the impact on the operating surplus is in the opposite direction to that of taxes on production. Subsidies can be on production or on interest. Various types of subsidies are back-end subsidies on interest, export subsidies, duty drawback, etc. Subsidies do not include grants that governments may make to enterprises in order to finance their capital formation, or compensate them for damage to their capital

assets, such grant being treated as capital transfers.

2.5 Taxes on Products: Taxes are compulsory, unrequited payments, in cash or in kind, made by institutional units to government units. *A tax on a product is a tax that is payable per unit of some goods or service.* Tax on product may be a specific amount of money per unit of quantity of a good or service, the quantity being measured either in terms of discrete units or continuous physical variables such as volume, weight, strength, distance, time, etc. or it may be calculated *ad valorem* as a specified percentage of the price per unit or value of the goods and services transacted. Some examples of taxes on products are VAT, excise duties, general sales tax, service tax, export duties, turnover tax, octroi, taxes on financial and capital transactions (mainly inheritances and gifts), etc.

2.6 Taxes on Production: *Taxes on production consist of all taxes that the enterprise incurs as a result of engaging in production.* It is payable irrespective of the profitability of the enterprise and consists of all taxes except those included under ‘Taxes on Products’. Some examples of taxes on production are recurrent taxes on land, buildings or other structures, business or professional licence fees, charges for permits, road tax and registration fee of vehicles, taxes on pollution, taxes on international transactions such as travel abroad, foreign remittances, etc. Stamp taxes on sale of specified products, which relate to per unit of product sold (e.g., per unit of alcoholic beverages) will be considered as taxes on products, but other stamp taxes (e.g., stamps on legal documents or cheques) will be considered as taxes on production.

2.7 Manufacturing Services: This covers the services provided by an enterprise in transforming the physical inputs / material inputs owned by other enterprises or other households. A Manufacturing Service Provider (MSP) provides manufacturing services that utilizes inputs such as capital, labour and energy to transform the material inputs owned by other enterprises or households. There are two categories of manufacturing service providers (i) those who provide manufacturing services **under contract** to other enterprises using input materials supplied by them according to the contract specifications. (The product manufactured in this case will be used by the contracting enterprise as their intermediate goods or for sale) and (ii) those who provide manufacturing services to households for final consumption. The MSPs in the second case are **not treated as working under contract** for the purpose of the survey. Enterprises engaged in custom tailoring are examples for this case. The characteristics of the enterprises engaged in manufacturing services are as under:

- It does not own or control the intellectual property or design of the final product manufactured
- Does not own (major) input materials;
- Owns production facilities;
- Performs transformation activities;
- Does not own the manufactured products contracted to produce; and
- Does not sell the final product.

2.7.1 In respect of the *manufacturing service* activity, an enterprise cannot report the market value of the final product. However, can provide information on the value of the contract work, the types of transformation activities it performed, as well as the value of the labour and the plant and equipment utilized in the transformation activities.

2.7.2 For an enterprise engaged in only manufacturing service activities, all the operating

expenses incurred on producing the service will be treated as expenses incurred for manufacturing services (item 307 of block 3). Such enterprises will not have any output. Instead the service/commission charges they receive in return of the manufacturing services will be reported as 'receipts from manufacturing services' (item 567 of block 5).

3. Coverage of survey: All unincorporated non-agricultural activities as discussed in Chapter One will be covered in the survey.

4. Structure of the schedule: NSS 73rd round enterprise survey will be covering diverse domain of non-agricultural activities. The detailed enquiry schedule is structured accordingly. Schedule 2.34 contains the following blocks:

Block 0 :	descriptive identification of sample enterprise
Block 1 :	identification of sample enterprise
Block 2 :	particulars of operation and background information
Block 2.1 :	activities pursued by the enterprise
Block 3 :	principal operating expenses
Block 4 :	other operating expenses
Block 5 :	principal receipts
Block 6 :	other receipts
Block 7 :	calculation of gross value added
Block 8 :	employment particulars of the enterprise
Block 9 :	compensation to workers
Block 10 :	land and fixed assets owned and hired by the enterprise
Block 10.1 :	original value of plant and machinery/ equipment
Block 11:	loan outstanding
Block 11.1 :	amount of loan advanced by financial enterprises
Block 12 :	factor incomes of the enterprise
Block 13 :	inventories during the reference year
Block 14 :	particulars of use of information and communication technology (ICT)
Block 15 :	particulars of field operations
Block 16 :	remarks by Field Investigator (FI) / Junior Statistical Officer (JSO)
Block 17 :	comments by supervisory officer(s)

4.1 Some operational characteristics of the enterprises will be collected in block 2. Block 2.1 will record the different activities pursued by the enterprise. Blocks 3, 4 and 5, 6 are the main blocks of the schedule where operating expenses and various receipts of the enterprises will be recorded. Blocks 3 and 5 will record the principal expenses and receipts whereas blocks 4 and 6 will record the other expenses and other receipts. Schedule 2.34 has been designed in such a way that the different types of receipts and expenses for different types of enterprises can be accommodated within the framework of blocks 3 to 6. To meet this objective and facilitate reporting of activity-specific items of principal operating expenses and principal receipts, two blocks namely, blocks 3 and 5 have been subdivided into 13 sub-blocks. While these sub-blocks are meant for specific types of enterprise, blocks 4 and 6 are common for all enterprises. It may be noted that for an enterprise which runs a mixed

activity, more than one of the sub-blocks of blocks 3 & 5 may have entries and this may be in consonance with the activities recorded in block 2.1.

4.1.1 Product codes in respect of inputs/ outputs in the form of goods: In the blocks where principal expenditure and receipts are recorded (blocks 3 & 5) provisions have been kept to record three-digit product codes in respect of the inputs consumed / output produced by the enterprise in the form of goods. In this structured three digit classification each product is coded based on the Industry Group of its origin. It also has a clear correspondence between the product codes used for Supply and Use Table (SUT) by National Accounts Division (NAD) of Central Statistics Office (CSO). The first digit of the proposed three digit classification indicates the broad industry group from which the product emerges. The specific product group can be identified at the two digit level and the actual product is seen at the ultimate 3-digit level. The code list is provided at **Appendix- I**

4.2 Block 7 is kept for calculation of gross value added. **This block need not be filled up for enterprises engaged in non-market production such as NPISHs.** The employment particulars of the enterprises will be recorded in block 8 and information on emoluments will be reported in Block 9. Block 10 is meant to collect information on land and fixed assets and the original value of plant & machinery / equipments will be reported in Block 10.1. Information on the outstanding loans of the enterprise will be reported in Block 11 and Block 11.1 will record information on loans advanced by the enterprise engaged in financial activities. The factor incomes of the enterprise will be recorded in block 12 for enterprises engaged in non-financial activities. It may be noted that from this block also, value added can be generated. So, blocks 7 and 12 together provide an added check in the schedule for assessing the consistency of the data of enterprises for which both block 7 and block 12 are worked out. Block 13 has been introduced to collect data on inventories from enterprises which provide information from the book of accounts. Block 14 is for collecting data on use of information and communication technology (ICT) by the enterprises having 10 or more workers.

4.3 Block 0: Descriptive Identification of Sample Enterprise: This block has been designed to collect the descriptive identification of the sample enterprise. The items are mostly self-explanatory. There are 10 items in the block. For urban sample, village name and serial number of hamlet will remain blank. Similarly, for a rural sample, ward/ investigator unit/ UFS block is not applicable. For a rural/ urban sample or for a state/ central sample tick-marks are to be given in appropriate boxes provided at the top of the schedule.

4.4 Block 1: Identification of Sample Enterprise/ Establishment: Block 1 has 19 items. Appropriate codes have to be provided against the relevant items.

4.41 Items 1 to 12: Except items 2 and 3 which are already printed in the schedule, these items will be copied from Block 1 of schedule 0.0.

4.42 Item 13: Segment number: Entry against this item will be either 1 or 2 or 9. Segment number 1 will refer to the hamlet group/sub-block selected purposively (i.e. area of concentration). Segment number 2 is the union of the other two hamlet-groups/ sub-blocks selected. If there is no hg/sb formation, **record 1** against this item, unless the enterprise belongs to segment 9.

4.43 Item 14: Second Stage Stratum: SSS number will be copied from col. 14 of block 7 (for segment 9) or col. 3 of block 5b (for segments 1 & 2) of the listing schedule.

4.44 Item 15: sample enterprise number: Sample enterprise number will be copied from cols 4 to 19 of block 5b (for segments 1 & 2) or col. 10 of block 7 of the listing schedule 0.0 (for segment 9).

4.45 Item 16: Response code: This item will be filled in at the end of canvassing of schedule as per the assessment of the Investigator about the quality of response he/she has received from the respondent. The codes are: informant co-operative and capable - 1, informant co-operative but not capable - 2, informant busy but responded - 3, informant reluctant - 4, others – 9.

4.46 Item 17: informant code: This item will give information on the type of informant from whom the data are being collected. The relevant codes are: owner – 1, manager – 2, others – 9. For a partnership enterprise, any of the partners will qualify as ‘owner’.

4.47 Item 18: survey code: If the original enterprise is surveyed, code against this item will be 1. If the original enterprise could not be surveyed for some reason or other and some substitute enterprise had to be surveyed, code will be 2. If the substitute enterprise also could not be surveyed, code will be 3. In such cases, only blocks 0, 1, 15, 16 and 17 are to be filled in and the word ‘CASUALTY’ may be written on the top of the schedule.

4.48 Item 19: reason for original sample not surveyed: This item will be filled in for substitute enterprise only. For survey code 1 (original enterprise surveyed), this item will remain blank. If the enterprise is substituted more than once, the code for first substitution will be recorded. The relevant codes are: informant busy – 1, informant not available – 2, informant non-cooperative – 3, others – 9. This item will be filled in when entry in item 18 is either 2 or 3.

4.5 Block 2: Particulars of operation and background information:

In this block some basic information about the nature and working of the enterprises will be recorded in terms of codes.

4.5.1 Item 201: Mixed activity: Code will be 1 for mixed activity (as per instructions in paragraph 2.1 above) and 2, otherwise. If the response is 1, care may be taken to fill up item 203.

4.5.2 Item 202: Major activity code (5-digit as per NIC 2008): NIC codes of the Major activity of the enterprise during the reference month as per the 2008 classification may be put at **5-digit level**. Each box will contain one digit and no box will remain empty. The description of the entrepreneurial activity may be recorded in the space provided under this item. *While determining the NIC code, the corrigendum on NIC 2008 also may be considered.* Description of the activity should provide the clear indication of the activity of that enterprise, but not a copy of the description written against the corresponding NIC code in the codebook. Special codes have been assigned to some specific financial activities which are being covered in the survey as under:

Activity Description	NIC Code	Activity Description	NIC Code
Chit fund	64193	Self-help Group (engaged in financial intermediation)	64309
Investment club	64921	Activities of private money lenders	64929

4.5.3 Item 203: Principal minor activity during the reference month code (5-digit as per NIC 2008): This is applicable for enterprises pursuing mixed activity (code 1 against item 201). If the enterprise pursues two activities, major activity will be recorded in item 202 and minor activity as per the NIC- 2008 at **5-digit level** will be recorded in item 203. If the enterprise pursues more than two activities, principal minor activity code will be recorded here. The same procedure which was followed to determine the major activity will be adopted for determining the principal minor activity of the enterprise. Care should be taken that first two digits of item 203 are different from that of item 202.

4.5.4 Item 204: Type of ownership: Proprietary enterprises are those where an individual is the sole owner of the enterprise. If the owner is a male, code will be 1; for a female owner, code will be 2. If the owner is transgender code will be 3. **Partnership** is defined as the 'relation between persons who have agreed to share the profits of a business carried on by all or any one of them acting for all'. Partners may be from the same household or they may be from different households. In the former case, ownership code will be 4 and in the latter case, code will be 5. Partnership may be based either on formal registration or on the basis of tacit understanding. If ownership is with a Hindu Undivided Family (HUF), the treatment will be same as proprietary enterprises, i.e., if the head of HUF is a male, code will be 1; for a female head, code will be 2 and for transgender head code will be 3. Code 6 will be recorded for self-help group and code 7 for trust. All other types of enterprises under survey coverage will get code 9.

4.5.5 Item 205: Whether non-profit institution?: Non-profit institutions are legal or social entities created for the purpose of producing goods and services whose status does not permit them to be a source of income, profit or other financial gain for the units that establish, control or finance them. In practice, their productive activities are bound to generate either surpluses or deficits but the units that establish, control or finance them cannot appropriate surpluses. The articles of association by which they are established are drawn up in such a way that the institutional units which control or manage them are not entitled to a share in any profits or other income which the NPI's receive. For this reason, they are frequently exempted from various kinds of taxes.

4.5.5.1 NPIs are principally market producers but they may engage in non-market production also. It is important to distinguish between NPI's engaged in market and non-market production as this affects the sector of the economy to which an NPI is allocated.

4.5.5.2 Most market NPI's serving businesses is created by associations of the businesses whose interests they are designed to promote. They consist of chambers of commerce, agricultural, manufacturing or trade associations, employers' organisations, research or testing laboratories or other organisations or institutes which engage in activities which are of mutual interest or benefit to the group of businesses that control and finance them.

4.5.5.3 If the enterprise under survey is an NPI and its major source of income coming from donations/ grants code 1 will be given for this item. For an NPI whose major income coming

from other than donations/ grants will get code 2 and if the enterprise is not an NPI record code 3.

4.5.6 Item 206: Whether non-profit institution serving households (NPISH)? : NPISHs are necessarily non-government non-market NPIs. Non-market producers are producers that provide most of their output to others free or at prices which are not economically significant, i.e., at prices which do not have a significant influence on the amounts the producers are willing to supply or on the amounts purchasers wish to buy. Their major income will be coming from grants and donations. **NPISHs provide non-market goods and services to households financed mainly by transfers from non-governmental sources - households, corporations or non-residents.**

4.5.6.1 NPISHs may be distinguished not only by the fact that they are incapable of providing financial gain to the units which control or manage them, but also by the fact that **they must rely principally on funds other than receipts from sales (such as grants/ donation) to cover their costs of production or other activities.**

4.5.6.2 This item will be applicable only if code 1 is reported against item 205. In such cases, code 1 or 2 may be recorded against this item depending upon whether the enterprise is an NPISH or not.

4.5.7 Item 207: Social group of the working owner/major partner: For the proprietary or partnership enterprises, the social group of the working owner/major partner should be entered through following codes:

ST-1, SC – 2, OBC – 3, others – 4, not known-9

4.5.7.1 ‘Major partner’ in case of partnership enterprises will be the major working owner. The criterion for determining ‘major’ will be the partner getting maximum share of the profit of the enterprise, or bearing the maximum part of the loss. If all the partners share the profit/ loss of the enterprise equally, the partner taking major decisions of the enterprise will be the major partner. If the decisions are taken collectively, major partner will be the senior most partner by age.

4.5.8 Item 208: Whether the enterprise maintain any bank account/ post office savings bank account?: To facilitate financial transactions and to access financial services at affordable cost, an enterprise may have one or more accounts registered with financial institutions. The account can be in the name of the enterprise or in the name of the proprietor/ major partner. Code 1 will be reported against this item if the enterprise is having a bank account in its owner’s name. If the bank account is in the name of the enterprise, code 2 will be reported. Code 3 will be given if the enterprise has account both in the name of the enterprise and owner. If the enterprise has no bank account code 4 will be given. In case of bank accounts, both savings account and current account can be considered for this item. Post office account means post office savings accounts only.

4.5.9 Item 209: Number of other economic activities taken up by the entrepreneur during last 365 days: Since many of the enterprises in the informal sector are very small, due to necessity or otherwise, the phenomenon of carrying out multiple activities simultaneously or at different points of time by the entrepreneurs may be quite prevalent. The number of such activities **other than the activities** of the current enterprise is to be recorded. It may be noted that the owner need not operate his other activities from the present location.

In case of partnership enterprises, only the activities of the *major partner* (as defined in para. 4.5.7.1) will be considered. If the entrepreneur was not performing any other economic activities '0' may be entered against this item. In case information is collected from person other than the entrepreneur and no information on this item could be collected even after best efforts, '0' may be reported against this item.

4.5.10 Item 210: Location of the enterprise: Six codes have been provided for this item. The codes and corresponding explanations are:

within household premises		1
outside household premises-		
with fixed premises and with permanent structure	Any structure made out of bricks, mud, bamboos etc. will be treated as a permanent structure if it cannot be removed as a whole without dismantling.	2
with fixed premises and with temporary structure/ kiosk/ stall	Temporary structures can be removed from its present location with some effort. Some examples are stalls, kiosks, etc.	3
with fixed premises but without any structure	Fixed premises but with no structure (except for some makeshift arrangement for shade etc.)	4
mobile market	If the enterprise shifts from market to market but the owner (e.g. <i>hat</i> vendor) is allowed to sit in a particular place of the market, i.e. if the location of the enterprise inside each market is fixed.	5
without fixed premises (street vendors, etc.)	Street vendors	6

4.5.11 Item 211: Enterprise type during the last 365 days: The type of enterprise on the basis of total number of hired workers in the enterprise usually employed on fairly regular basis (i.e. for most of the days during the period of operation) will be recorded here. Apprentices, paid or unpaid and paid household member/ servant/ resident worker working in the enterprise will be treated as hired workers. If activities of the enterprise usually performed without any hired worker during most of the days during the period of its operation, it will be considered as an OAE and the code will be '1'. If the enterprise is assisted by one or more hired workers on a fairly regular basis (irrespective of whether it functioned without any hired worker during the reference month or not), it will be considered as establishment and the code will be '2'.

If an enterprise selected for the survey as an OAE (at listing stage) is found to be an Establishment at the detailed enquiry stage, no change/ adjustment needs to be done in any of the schedules.

4.5.12 Item 212: Year of initial operation under the current owner: The year from which the enterprise commenced its operation with reference to the present/ major activity of the enterprise with the current owner in the present location may be recorded here. In case of temporary shift of location due to repair and maintenance of the usual/ original location, year of initial operation from the usual/ original location may be considered. Each of the four boxes will contain one digit and no box will remain empty. In case of break in operation, only the present spell will be considered.

4.5.13 Item 213: Nature of operation: This item intends to capture the seasonality of the enterprise under survey. The guiding principle will be the duration of operation of the enterprise during the reference period. The different types are:

nature of operation		code
➤ operated more or less regularly throughout the year	perennial	1
➤ enterprise operated only during particular season (s) of the year	seasonal	2
➤ carried out its activity only occasionally, but total number of days operated was 30 days or more	casual	3

4.5.14 Item 214: Number of months operated during the last 365 days: Number of months operated by the enterprise in the last 365 days will be recorded against this item. Entry against this item will be recorded **in whole numbers** only. An operating month does not mean a complete calendar month in which the enterprise has operated with full intensity. Suppose, in a particular month the enterprise has operated only for 5 days. Even then, that month will be counted as an operating month. It may also be ensured that the fractional months in the beginning or end of the reference period are not missed in calculation. The idea is that a month should mean a block of 30 days and not always a completed calendar month. **The entry may be made in whole numbers.**

4.5.15 Item 215: Number of hours the enterprise normally worked in a day during the reference month: In these items, normal working hours in a day within the reference month will be recorded. Days within the reference month will be considered to get the required number of hours. If data for the enterprise is recorded from books of accounts, 'month' means the last month of the accounting year. **The entry may be made in whole numbers.**

4.5.16 Item 216: Whether accounts maintained? (yes -1, no -2): If the enterprise maintains books of accounts, code against this item will be 1, otherwise, code will be 2.

4.5.17 Item 217: Whether data collected from the books of accounts? (yes -1, no -2): If the owner makes available the books of accounts of the enterprise and data gathered/collected from this account then code against this item will be 1, otherwise code will be 2.

4.5.18 Item 218: Did the enterprise use computer (s) during the last 365 days? (yes- 1, no -2): A computer refers to a desktop, laptop (portable computers such as *notebook*, *netbook*, etc.) or a tablet (or similar hand held computer). It does not include equipment with some embedded computing abilities such as mobile cellular phones, personal digital assistants (PDA) or TV sets and devices with telephony as their primary function such as smart phones. *Tablets* will be considered as computers whereas *fablets* will not be considered as computers for the purpose of this survey. If the enterprise used computer in the reference period for carrying out entrepreneurial activity record code 1, otherwise code 2. **The computers can be either owned or hired.**

4.5.19 Item 219: Did the enterprise use internet during the last 365 days? (yes- 1, no -2): The Internet is a worldwide public computer network. It provides access to a number of communication services including the World Wide Web and carries email, news, entertainment and data files, irrespective of the device used (not assumed to be only via a computer - it may also be by mobile phone, games machine, digital TV, etc.). Access can be

via a fixed or mobile network. It may be noted that even if the code against item 218 is 2, code to this question can still be 1 as the enterprise may access the internet by mobile phone, games machine, digital TV, etc. In case of proprietary and partnership enterprises, the owner/major partner may be using internet for their personal requirements. But only the use of internet for the activities of the enterprise will be considered for reporting of this item.

4.5.20 Item 220: Did the enterprise face any problem in its operation during last 365 days? (yes-1, no-2): If the enterprise faced any problem in its operation during last 365 days, then code against this item will be 1, otherwise code will be 2.

4.5.21 Items 221-222: Nature of problems faced in its operation during the last 365 days: In case the enterprise reported to have faced any problem in its operation during the last 365 days (i.e. code 1 against item 220), two of the most severe problems faced by the enterprise (according to the severity of the problems) will be reported against item 221 and item 222 in terms of codes. Codes are:

erratic power supply/ power cuts.....	1	non-availability of labour as and when needed.....	6
shortage of raw materials.....	2	non-availability of skilled labour as and when needed.....	7
shrinkage /fall of demand	3	labour disputes and related problems	8
non-availability / high cost of credit	4		
non-recovery of financial dues	5	others (<i>specify</i>)	9

In case code 9 is reported, the problem may be described in the space provided under the item description.

4.5.22 Item 223: Did the enterprise receive any assistance from the government during last three years? (yes-1, no-2): If the enterprise received any assistance from the government during last three years, then code against this item will be 1, otherwise code will be 2.

4.5.23 Items 224-225: Types of assistance received from the government during the last three years (code): This item will be canvassed only for those enterprises which have reported to have received some assistance from the government during the last three years (i.e, code 1 against item 223). An enterprise might have received more than one type of assistance. Two most important type of assistances received during the last 3 years are to be reported in codes in descending order of the importance of assistance to the enterprise against items 224 to 225. The codes are:

financial loan	1	marketing	5
subsidy	2	raw material.....	6
machinery/ equipment.....	3	others	9
skill development.....	4		

4.5.23.1 It may be mentioned that code 2 i.e., subsidies will include only subsidies other than those which are passed on to the consumers. Examples of such subsidies are: (1) subsidy

received from the government for employing disabled workers, (2) subsidy received from the government for using pollution control equipment etc.

4.5.24 Item 226: Status of the enterprise over the last 3 years: The objective of this item is to record the owner's impression about the growth of the enterprise. If the owner feels that the enterprise has expanded in the last three years, code will be 1. Code 2 will be recorded in those cases where the enterprise has remained stagnant in the last 3 years. In the other case, if the owner thinks that the enterprise has shrunk, code 3 will be recorded. If an enterprise is running for less than 3 years, then code 9 is to be recorded.

4.5.25 Item 227: Whether registered under any act/ authority? (yes-1, no-2): If the enterprise is registered under one or more Acts/ Authority, code will be '1'; otherwise code will be '2'.

4.5.26 Items 228-233: Types of registration of the enterprise: Information on types of registration will be recorded in items 228-233. The registration requirement is also specific to the goods and services produced by the enterprise. Code 1 or 2 may be recorded in each of these items depending upon whether the enterprise is registered under the Act or not.

4.5.26.1 Items 234-236: Registration in any other industry-specific Act/ Authority: An enterprise may be registered under more than one industry specific agency or authority. For such cases, provision is kept to record the agencies of registration. At most three codes may be written based upon the registration of the enterprise under survey. A list of such Acts and their corresponding codes are given below:

State directorate of industries	01	District Supply and Marketing Society.....	10
Khadi and Village Industries Commission/ Board.....	02	Technical Consultancy Services Organisations/ Council for Technological Upgradation.....	11
Development Commissioner of Handicraft /handloom.....	03	Sale Tax.....	12
		Indian Charitable Act	13
Commodity boards (Cair board, Silk Board, Jute Commissioner etc.).....	04	Cinematograph act	14
		Money lender's Act	15
Directorate of education /AICTE/NCTE	05	Societies Registration Act, 1860 (including the State variants).....	16
Pollution Control Board.....	06		
Directorate General of Foreign Trade/ other export promotion agencies.....	07	Indian Trust Act/Public Trust Act (including the State variants).....	17
State Financial Corporation/Industrial Cooperative Banks/Industrial Development Banks/ SIDBI.....	08	Employees Provident Fund Organisation.....	18
Food safety and Standard Authority.....	09	Others.....	99

4.5.27 Items 237: Does the enterprise undertake any work on contract basis? (yes -1, no -2): The enterprises in the unincorporated sector tend to be small units. In many cases, the enterprises are observed to be working as per the orders from a bigger unit. In such cases, certain conditions are put on the server unit by the *contractor or master* unit. Conditions may

be on the sale of products, may be on the mode of payment or may be on the supply of raw materials, etc. If the enterprise under survey does any amount of work under contract, code against this item will be 1. Otherwise, code will be 2. This item will be canvassed for all enterprises.

4.5.27.1 Item 238: Type of contract (code): Three types of contract are envisaged. The codes are:

working solely for other enterprise/contractor – 1, mainly on contract but also for other customers – 2, mainly for customers but also for contract – 3.

4.5.27.2 If the enterprise reported code ‘1’ against item 237 has undertaken any manufacturing work under items 239 to 241 are to be filled in.

4.5.27.3 Item 239 & 240: Equipment / raw materials supplied by (code): The same three codes are applicable for these two items. Code 1 will be given when the raw material/equipment is procured by the entrepreneur himself/ herself. If the raw material/ equipment is supplied by the master unit/ contractor, code will be 2. Code 3 will be recorded when both the above conditions are satisfied.

4.5.27.4 Item 241: Design specified by contractor (yes– 1, no– 2): In certain cases the master unit/ contractor specifies the design of product to the server unit. This is common in garment manufacturing, shoe manufacturing, tailoring, etc. In such situations, code against item 241 will be 1. Otherwise, code 2 may be recorded.

4.5.27.5 Item 242: Does the enterprise provide any manufacturing services? (yes-1, no-2): This item has been introduced to see whether the enterprise is providing any manufacturing services **without having any contract with another unit/ contractor.** Accordingly this item will be canvassed only if code 2 is reported against item 237.

4.5.28 Item 243: Is the enterprise a franchisee outlet? (yes-1, no-2): Franchising is a type of license that an operator (franchisee) acquires to allow them to have access to a firm's (the franchisor) proprietary knowledge, processes and trademarks in order to allow the operator to sell a product or provide a service under the firm's brand name. In exchange of obtaining the right to use the franchise, the franchisee usually pays the franchisor initial start-up and annual licensing fees. In this survey the franchisee outlet (if unincorporated) is considered for coverage. If the enterprise under survey is such a franchise code ‘1’ may be reported against this item, otherwise code ‘2’ may be given.

4.5.29 Item 244: Does the enterprise have toilet facility? (code): This item records the status of availability and access of toilet facility at work place. For the purpose of this item, toilet includes latrine facility also. If the enterprise has own toilet and it is in usable condition, code ‘1’ will be given. If the toilet owned by the enterprise is not in usable condition, code ‘2’ will be given. If the enterprise/workers has access only to the common toilet in the market place/ building, code ‘3’ will be given. In case no toilet facility is available (either owned or public) code ‘4’ will be given.

4.5.30 Item 245: Does the enterprise have provision for solid waste management? (code): The status of availability of arrangement for solid waste management by the enterprise will be reported against this item in terms of codes. The relevant codes are as under:

yes, regularly collected by local/civic authority.....	1	no, throw it on the roadside.....	4
yes, disposes off in the waste treatment centre/authorized dumping ground.....	2	no, leave it at the location of enterprise/ activity	5
yes, has own waste treatment system.....	3	enterprise does not generate any solid waste.....	6

The option 'enterprise does not generate any solid waste' is a rare option and corresponding code should be entered in the schedule only after exhausting the possibility of other options in this regard.

4.5.31 Item 246: Does the enterprise have provision for liquid waste management?

(code): The status of availability of arrangement for liquid waste management by the enterprise will be reported against this item by way of codes. The relevant codes are as under

Yes, has own liquid waste treatment system.....	1	No, liquid waste is discharged on the road/ nalla/river.....	3
No, liquid waste is disposed off in the usual waste water discharge.....	2	Enterprise does not generate liquid waste..	4

5. Block 2.1: Activities pursued by the enterprise during the reference period:

5.1 Items 251-264: It is possible that the sample enterprise is engaged in more than one activity (e.g. manufacturing and trading; hotel and transportation and so on) during the reference period. Thirteen broad activities are listed against different items of this block. Against each item record 1 if the enterprise is pursuing the corresponding activity; else code 2 will be recorded. Due diligence should be taken for Item no. 258 which corresponds to the broad activity category 'financial activities' including some special codes for chit fund – 64193, Self-help Group (engaged in financial intermediation) – 64309, investment club – 64921, activities of private money lenders – 64929. It may be noted that if code 1 is recorded against any particular activity, one should expect corresponding entries of operating expenses/ receipts in the related sub-blocks/ blocks in blocks 3 to 6.

6. Block 3 & 4: Principal and other operating expenses

6.1 Schedule 2.34 covers almost the entire non-agricultural sector (excluding construction) of the economy. Because of the large number of activities being covered, it is possible that for enterprises of a particular activity, certain items of expenditure may be very high. But for the same item, for other activities this may be just an incidental expense. In order to capture the expenses, two blocks, Blocks 3 and 4 have been formed. Blocks 3 and 4 are the two blocks where operating expenses of the enterprises will be collected. The reference period for the blocks is last 30 days / last calendar month. **All expenditures in these blocks are to be recorded on payable basis.** If some expenses are made on a yearly or half-yearly basis, those are to be properly apportioned for the reference month and recorded. For items where payments are not yet made, payable amount may be obtained and recorded. For example, values payable for fuel consumed or electricity purchased during the reference month may not be readily available. Estimated charges will be recorded in such cases

irrespective of whether full payment has been made or not.

6.2 Block 3 provides for recording the principal expenses and block 4 records all expenses not covered under block 3. There are, of course, some common items in blocks 3 and 4. It must be noted that items will first be filled in block 3 and only those not covered in that block, will be filled in block 4. i.e. block 3 will get priority over block 4. For example, repair and maintenance charges of transport equipment for a transport enterprise will be recorded against item 334 of block 3 and not against item 527 of block 4. For activities for which separate sub blocks are not provided in block 3, all expenses will be recorded in block 4 only. **All operating expenses of the enterprise should get reflected in blocks 3 and 4 taken together.**

6.3 Structured three-digit product codes: Block 3 has provision to report 3-digit product codes in respect of inputs consumed by the enterprises in the form of goods. For the purpose of the survey a structured 3-digit product classification has been devised by National Accounts Division (Given at **Appendix I**). Each product is classified based on the industry of its origin. The first digit of the classification defines the broad industry Group. At two digit level specific group is identified and the actual product is then seen at three digit (ultimate digit) level. Probable items are printed and pre-coded under various activities as far as possible. In respect of the specific input reported by the enterprise relevant 3- digit codes may be recorded in the three cells under column 3 of the block. The product codes are **not** collected for inputs in the form of services.

6.4 Expenditures which are treated as part of operating expenses and not as part of compensation of employees: Certain goods and services used by enterprises do not enter directly into the process of production itself but are consumed by employees working on that process. In such cases it is necessary to decide whether the goods and services are operating expenses (intermediate consumption) or, alternatively, remuneration provided in kind to employees. In general, when the goods or services are used by employees in their own time and at their own discretion for the direct satisfaction of their needs or wants, they constitute remuneration in kind. However, when employees are obliged to use the goods or services in order to enable them to carry out their work, they constitute intermediate consumption.

6.5 The following types of goods and services provided to employees must be treated as part of operating expenses:

- a. Tools or equipment used exclusively, or mainly, at work;*
- b. Clothing or footwear of a kind that ordinary consumers do not choose to purchase or wear and which are worn exclusively, or mainly, at work; for example, protective clothing, overalls or uniforms;*
- c. Accommodation services at the place of work of a kind that cannot be used by the households to which the employees belong: barracks, cabins, dormitories, huts, etc.;*
- d. Special meals or drinks necessitated by exceptional working conditions, or meals or drinks provided to servicemen or others while on active duty;*
- e. Transportation and hotel services including allowances for meals provided while the employee is travelling on business;*

f. Changing facilities, washrooms, showers, baths, etc. necessitated by the nature of the work;

g. First aid facilities, medical examinations or other health checks required because of the nature of the work.

6.6 Employees may sometimes be responsible for purchasing the kinds of goods or services listed above and subsequently reimbursed in cash by the employer. Such cash reimbursements must be treated as intermediate expenditures by the employer and not as part of the employee's wages and salaries.

6.7 *Expenditures which are treated as part of compensation of employees and not as part of operating expenses:* On the other hand, remuneration in kind, consists of goods and services that are not necessary for work and can be used by employees in their own time, and at their own discretion. Expenditures incurred by the employers for the following goods or services form part of remuneration in kind of the employees. They are provided either without charge, or at reduced prices, by employers to their employees:

6.8 The following types of goods and services provided to employees must be treated as part of compensation to employees:

a. meals and drinks provided on a regular basis including any subsidy element of an office canteen (for practical reasons, it is unnecessary to make estimates for meals and drinks consumed as part of official entertainment or during business travel);

b. housing services or accommodation of a type that can be used by all members of the household to which the employee belongs;

c. the services of vehicles or other durables provided for the personal use of employees;

d. goods and services produced as outputs from the employer's own processes of production, such as free travel for the employees of railways or airlines, or free coal for miners;

e. sports, recreation or holiday facilities for employees and their families;

f. transportation to and from work, free or subsidized car parking, when it would otherwise have to be paid for;

g. childcare for the children of employees.

6.9 First sub-block: Manufacturing, non-captive power generation and transmission activities

6.9.1 Items 301 to 305: This sub-block will record the raw materials consumed in the manufacturing process during the reference month. Four **major** raw materials may be recorded in items 301 to 304 in the order of their importance (in value terms). **The 3-digit product codes in respect of the raw materials reported against item 301 to 304 need to be reported in the designated cells under col. 3. If two or more major items have same product code, then they should be combined and recorded as a single item.** The combined value of all the remaining raw materials consumed during the reference month will be

reported against item 305. This block is intended to record value of raw materials consumed (excluding intermediate products) during the reference month. Since the objective is to record the actual value of various inputs, the amounts actually **consumed** of the various input items are to be recorded. Any material produced at home and used in the enterprise as raw material will be included in this sub-block at ex-farm price. For raw materials collected free of cost, labour charges and/or transport charges incurred, if any, will be taken as the value of the raw materials. But if no expenditure is incurred for such free collection, no imputation needs be made.

6.9.2 Item 306: Purchase value of goods sold in the same condition as purchased is to be reported against item 306. This will show the **trading** part of the manufacturing enterprises. The purchase value of all goods which are purchased and sold without any transformation will be recorded here. This will also include the purchase value of goods bought exclusively for sale. In respect of the trading activity of a manufacturing enterprise, if the item wise details of expenditure and receipts are separately available, the same may be reported under the specific sub-block of trading. If no such details are available, the combined purchase value of such goods traded may be reported against item 306. The intention of this item is not to miss out any expenditure incurred (even if minor) by the enterprise. At the same time, care may also be taken to avoid duplication of expenditure.

6.9.3 Item 307: Expenses incurred for manufacturing services will be reported here. The definition of Manufacturing Services is given in para.2.7. All the expenses incurred by the enterprise *to provide the manufacturing services* will be reported here. However, the emoluments paid to hired workers engaged by the enterprise (if any) for manufacturing services activities will not be reported here but in block 9.

Valuation: The value of consumption relates to all the materials utilised in the process of production. These may be purchased during the reference period or prior to the reference period or these may be supplied by the household. The values of these materials are to be calculated by taking the purchase price, where purchase price will mean the delivered value of the goods at the enterprise, i.e., it will include agents' commissions and taxes/duties paid, if any. Evaluation of the materials supplied by the household will be done at the ex-farm price.

6.10 Second sub-block: trading activity

6.10.1 As already mentioned, trading is an act of purchase and sale of goods without any transformation. A grocery shop or a fruit vendor typifies a trading unit in the informal sector. The major four commodities of the trading enterprise will be recorded against items 311 to 314. **The 3-digit product codes in respect of these four major commodities purchased for trading will be reported against each of them under col.3. Different items with the same product code need to be combined and reported as a single item with proper item description and product code.** The combined value of purchase of the remaining items will be reported against item 315. For credit purchase also **full value** of the commodities will be reported. Purchase price normally reported by the informant can include transport charge, sale tax and any other incidental charges mixed up with the cost of commodities. **If the transportation charges can be segregated, the same may be excluded from the purchase price and reported against the item on relevant mode of transport in block 4.** Barter trading **should not** be treated as trading activity. **Selling of own produce is also not covered under trade.**

6.11 Third sub-block: Activities of transportation, travel agency and tour operators

6.11.1 Items 321 to 327: This sub-block is meant for enterprises engaged in activities of transportation, travel agency, tour operators and other travel related reservation services. Value of fuels such as petrol and diesel and value of lubricants consumed during the reference month will be entered in item 321. Expenses on LPG and CNG will be reported against item 322. **Care should be taken that if item 321 or 322 is reported; the same is not recorded again in item 522.** Expenses incurred on rubber products such as tube, tyres, etc. will be reported against item 323 and expenditure on batteries, accumulator and cell will be reported against 324. If the enterprise consumed any other items as a principal expenditure for its activities during the reference month, two such major items may be reported against item 325 and 326 along with relevant three-digit product codes. Expenditure on all other items consumed may be clubbed together and reported against item 327.

6.11.3 Items 328 to 333: Travel agents/ tour operators, for making tour/ travel arrangements for their customers, will have to make expenses towards passenger fare/ goods transportation charge to different transport agencies who actually conduct the tour/ travel/ transportation. These are the main expenses of enterprises engaged in activities of travel agency/ tour operation. In respect of the bookings done during the reference month, the total of passenger fare/ goods fare payable will be reported against these items based on the mode of travel/ transport (viz. Railways/ Land/ Air/ Water). The tour/ travel arrangements are made as a package in some cases, which includes arrangements for travel, lodging, boarding, etc. In such cases only the passenger fare actually payable to the transportation agency will be reported against these items. Expenses made on hotel booking, restaurant charges should not be reported against these items. Instead such expenses may be reported against item 338. **It may please be noted that the travel/ tour for which bookings are made during the reference month need not take place in the reference month itself.**

6.11.4 Item 334: When Charges incurred for *minor* repair and maintenance of the transport equipment will be entered in item 334. Expenditure on repair and maintenance should not include expenditure of a capital nature, which can enhance the longevity of the equipment. Replacement of some major part of the transport equipment (like reconditioning of engine, fitting of LPG/CNG unit, retreading of tyres, etc.) will not come under this item. If animals are used for drawing transport equipment, then fodder cost as well as medicines and service cost for herding the animal will also be incorporated in item 334. **Care should be taken that if anything is reported against item 334; the same is not recorded again in item 527.**

6.11.5 Item 335: The expenditure incurred in respect of insurance charges will be reported against this item.

6.11.6 Item 336: Charges paid towards storage and warehousing of goods will be recorded in item 336.

6.11.7 Item 337: Parking fee paid for vehicles will be reported against item 337.

6.11.8 Item 338: Expenditure incurred on hotel and restaurant service charges (room rent, food, drinks, etc.) will be reported against this item.

6.12 Fourth sub-block: Warehousing and support activities for transportation

6.12.1 Items 341 to 345: Expenditure incurred on consumable stores used in the warehouses such as jute, cloth, etc. will be recorded in item 341 and expenditure on pesticide, insecticide, weedicide, fungicide etc., will be reported against item 342. In respect of other input items consumed by the enterprise during the reference month, expenditure incurred on two major items may be reported against items 343 and 344 along with relevant three-digit product codes. Expenditure on all remaining input items may be combined together and reported against item 345.

6.12.2 Item 346: The warehousing enterprises are generally insured for some risk coverage. The insurance charges payable for the commodities stored will be reported in item 346. In case the insurance charges are paid for the whole year, monthly charges may be derived and reported against item 346.

6.12.3 Item 347: Contract, sub-contract, commission charges paid by the enterprise will be reported against this item. **Please ensure that the same expenditure is not duplicated in item 533 in block 4.**

6.12.4 Item 348: The service charges paid to other concerns for carrying of goods will be recorded in item 348.

6.13 Fifth sub-block: Postal and courier activities

6.13.1 Items 351 to 355: The expenditure on major items consumed as inputs will be reported against these items. Expenditure on paper (such as used in printer, fax etc) will be recorded against item 351 and expenditure on paper products such as paper stationery articles and postal articles will be reported against item 352. Expenses on spares and accessories of electronic equipments (ink cartridges used in printer, fax machine, etc.) will be reported against item 353. In respect of other input items consumed by the enterprise during the reference month, expenditure incurred on two more major items (if any) may be reported against item 354 and item 355 along with relevant three-digit product codes. Expenditure on all other input items consumed during the reference period will be combined together and reported against item 356.

6.13.2 Item 357: This item will include insurance charges paid by the enterprise.

6.13.3 Item 358: Expenditure incurred on computer related services such as software development, Annual Maintenance Contract (AMC) etc., will be reported against this item. If the payments are made on annual basis, the same need to be apportioned for the reference month.

6.14 Sixth sub-block: Accommodation and food service activities

6.14.1 Items 361 to 385: An enterprise engaged in accommodation and/or food services activities may consume a number of items as input for providing the services. These may include agricultural and allied products like grain mill products, eggs, meat, poultry products and dairy products, bread and bakery products, vegetables, fruits, beverages (alcoholic and non-alcoholic), edible oil and fats, etc. It may also incur expenditure on items of semi-durable nature like crockery, glassware, bedding, readymade garments of different types, etc. Some of these items will be sold by the enterprise in the same form as purchased. The expenditure incurred in respect of various such articles consumed for preparation of food and drink,

providing accommodation services and those sold in the same condition as purchased will be reported item-wise **as given against item 361 to 381**. In respect of other major input items (those not listed in the sub-block) consumed during the reference month, three major items will be reported against items 382 to 384 along with relevant three-digit product codes. Expenditure on all other items consumed will be combined together and reported against item 385. Care may be taken to report items with the same product code combined against the relevant product code as a single item.

6.14.2 Item 386: This item will include insurance charges paid by the enterprise.

6.14.3 Item 387: Expenditure incurred on computer related services such as software development, Annual Maintenance Contract (AMC) etc., will be reported against this item.

6.15 Seventh sub-block: Information and communication activities

6.15.1 Items 391 to 396: The expenditure on various input items consumed by the enterprise during the reference month will be reported against item 391 to 396. Expenditure on paper and paper products (other than paper stationery articles) will be given against item 391. Expenses on spares and accessories of electronic equipments (ink cartridges used in printer, fax machine, etc.) will be reported against item 392. Expenses on stationery articles of paper will be reported against item 393. Of the other input items consumed, major two items along with relevant three digit product codes will be reported against items 394 and 395 and expenditure on remaining input items will be combined together and reported against item 396.

6.15.2 Item 397: The communication expenses for local call/ STD / ISD, cyber café, cellular, etc., are collected in this item. The charges payable and the rent payable to the government / public / private corporate (original service providers) may be apportioned for the reference period (these charges are generally paid once in two months) and recorded in this item.

6.15.3 Item 398: This item will include insurance charges paid by the enterprise.

6.15.4 Item 401: Expenditure incurred on computer related services such as software development, Annual Maintenance Contract (AMC) etc., will be reported against this item. If the payments are made on annual basis, the same need to be apportioned for the reference month.

6.16 Eighth sub-block: Financial activities

6.16.1 Items 411 to 416: The expenditure on various input items consumed by the enterprise during the reference month will be reported against item 411 to 416. Expenditure on paper and paper products (other than paper stationery articles) will be given against item 411 and expenses on spares and accessories of electronic equipments (ink cartridges used in printer, fax machine, etc.) will be reported against item 412. Expenses on paper stationery articles will be reported against item 413. Of the other input items consumed, major two items along with relevant three- digit product codes will be reported against items 414 and 415 and expenditure on remaining input items will be combined together and reported against item 416.

6.16.2 Item 417: Interest payments made by the enterprise to its depositors as also interest payments on loans contracted by it will be recorded here. **Interest paid to partners of a financial enterprise on capital deployed by the partners (which often appear as ‘interest to partners’, ‘interest a/c of partners’, etc.) will not be reported here.**

6.16.3 Item 418: Commissions/ brokerages paid to agents selling the financial instruments will be recorded here. Note that these agents will not be counted as workers of the enterprise. If the enterprise pays some amount to its workers for similar services, these will be a part of compensation to the workers and will not be reported here. Commission and brokerage will include items like ‘National Stock Exchange (NSE)/ Bombay Stock Exchange (BSE) transaction charges’, ‘funds placement charges’, ‘NSDL charges’, ‘commission and procurement charges’, etc. It may please be noted that this will not include interest payments to banks.

6.16.4 Item 421: Expenditure incurred by the enterprise during the reference period for availing legal services will be reported in this item.

6.16.5 Item 422: Expenditure incurred by the enterprise during the reference period for services availed such as audit, advertising, accounting, book keeping, architecture, engineering, photocopying will be reported in item 422.

6.16.6 Item 423: Expenditure incurred on computer related services such as software development, Annual Maintenance Contract (AMC) etc., will be reported against this item. If the payments are made on annual basis, the same needs to be apportioned for the reference month.

6.17 Ninth sub-block: Real estate, rental and leasing activities

6.17.1 Items 431 to 433: These items are meant to record the major expenditures incurred by the enterprise in consuming input items during the reference month. Provision has been kept to record the expenditure on two major input items (along with relevant three- digit product code) in items 431 and 432. The combined expenditure on all other input items will be recorded against item 433.

6.17.2 Items 434 to 435: These items report the expenditure on minor repair and maintenance of (i) building and fixtures and (ii) tools and other fixed assets, respectively. Both the value of materials used in repair and service charges paid for maintenance will be included. Replacement of some **major** parts of fixed assets, involving considerable expenditure, and which increases the life of the fixed asset **will not** be included here. Expenses on minor repairs such as whitewashing of rooms, routine maintenance of machinery, etc. will be included here. The charges for minor repair and maintenance of hired assets will also be reported if the expenses are made by the enterprise.

6.17.3 Items 436 to 438: These items are meant for recording expenditure incurred on service charges for work done by other concerns such as contract, sub-contract, commission expenses (item 436), legal services (item 437) and hotel & restaurant service charges viz. room rent, food, drinks, etc. (item 438). **Care may be taken not to duplicate the expenses against similar items under block 4 (items 533, 535).**

6.17.4 Item 441: Insurance charges payable for the reference month will be reported against

this item.

6.18 Tenth sub-block: Business and professional service activities

6.18.1 Items 451 to 453: These items record the expenditure incurred by the enterprise in consuming input items during the reference month. Provision has been kept to record the expenditure on two major input items (along with relevant three-digit product code) in items 451 and 452. The combined expenditure on all other input items will be given against item 453.

6.18.2 Item 454: Expenditure incurred on hotel & restaurant service charge (room rent, food, drinks, etc.) will be given in this item.

6.18.3 Items 455 to 458: These items are meant for recoding expenditure incurred on service charges done by other concerns such as contract, sub-contract, commission expenses (item 455), legal services (item 456), audit, advertising, accounting, book keeping, architecture, engineering, photocopying (item 457) and training, education, coaching (item 458). **Care may be taken not to duplicate the expenses against similar items under block 4.**

6.18.4 Item 461: Rental payable on hired fixed assets such as office building, etc. is one of the main expenses of enterprises engaged in business and professional services. Rental payable on such produced fixed assets (such as building, and other relevant fixed assets (other than land)) for the reference month will be reported here. **Care may be taken not to duplicate the expense in item 532 of block 4.**

6.19 Eleventh sub-block: Educational activities

6.19.1 Items 471 to 484: The expenditure incurred by the enterprise on various input items consumed during the reference month will be reported against these items. Some important input items generally consumed by the enterprises engaged in educational activities are listed in items 471 to 481. If the enterprise consumed other input items also, two of such major input items may be reported against items 482 and 483 along with relevant three digit product codes. Expenditure on the remaining input items will be combined and reported against item 484.

6.19.2 Item 485: Expenditure on hotel & restaurant service charges (room rent, food, drinks, etc.) will be reported against this item.

6.20 Twelfth sub-block: Human health, social work and veterinary activities

6.20.1 Items 491 to 501: The expenditure incurred by the enterprise on various input items consumed during the reference period will be reported against these items. Some important input items generally consumed by the enterprises engaged in health, social work and veterinary activities such as drugs and medicine, medical, precision and optical instruments, organic and inorganic chemicals used in laboratory, hospital, etc. and uniform, linen and laundry material etc. are already listed against items 491 to 496. If the enterprise consumed any of these items during the reference month for providing its services, the expenses payable on the same need to be reported against the relevant items. If the enterprise consumed other input items also, two of such major input items may be reported against items 497 and 498 along with relevant three-digit product codes. Expenditure on the remaining input items will be combined and reported against item 501.

6.20.2 Item 502: Expenditure on hotel & restaurant service charges (room rent, food, drinks, etc.) will be reported against this item.

6.21 Thirteenth sub-block: Other personal service activities

6.21.1 This sub-block will collect information in respect of the personal services like washing, dry-cleaning, hairdressing, funeral related activities and other such personal activities listed under NIC 2008, Div-96. A separate sub-block has been newly incorporated in the schedule because of the large number of such enterprises in the unincorporated sector.

6.21.2 Items 511 to 517: All expenditure incurred by the enterprise in consuming input items during the reference period will be reported against these items. Items 511 to 514 have listed out some major input items usually consumed by these enterprises. If they consume any other input items, two of such major inputs will be reported against items 515 and 516 along with relevant three-digit product codes. Expenditure on all remaining input items will be combined together and reported against item 517.

6.22 Block 4: Other operating expenses during last 30 days/ last month:

6.22.1 Block 4 will record the other operating expenses not covered in block 3 for the above thirteen types of activities. **In general, for service sector enterprises not covered under block 3 (i.e. for NIC divisions 37, 38, 39, 90, 91, 92, 93, 95 and groups 941, 949) this block will record the entire operating expenses.**

6.22.2 This block has 31 items. These will cover electricity charges, fuels, lubricants, raw materials consumed for own construction of building, furniture and other fixtures, expenditure on minor repair and maintenance of fixed assets, rental payable on fixed assets (other than land), service charges for work done by other concerns, travelling, freight and cartage (transport) expenses by different mode of transports, communication expenses, financial charges. **When ‘other operating expenditure’ is filled up in respect of some activities reported in block 3, sufficient care may be taken not to duplicate the expenses which are already reported in its respective sub-blocks under block 3.**

6.22.3 Items 521 and 522: Electricity charges and fuel & lubricant:

- If the total amount of electricity consumed during the reference month is not paid, the amount payable pertaining to the period will be ascertained and recorded here. If the exact amount of the bill is not known for reference month, the value will be estimated based on the electric bills paid during the recent past. If the electricity charges are paid for the entire year/ more than one month, the figure apportioned for the reference month may be recorded against item 521.
- In respect of own account enterprises operating from the household, the electricity charges are to be recorded only after apportioning the same based on the actual use by enterprise and household activities
- If the electricity charges are included with the rent, the electricity charges should be estimated based on consumption and the same should be deducted from the rent.

- The value of coal/coke, other fuels, lubricants consumed will be recorded irrespective of whether full payment has been made or not. That part of fuel, which is produced and consumed in the process of production (*intermediate products*), wherever possible, is to be *excluded*.

6.22.4 Item 523: Raw materials consumed for own construction of building: All materials consumed for own construction including that of passage, raising wall, digging well, etc. for the enterprise may be recorded against item 523. Materials like cement, sand, stone chips will be treated as raw materials for own construction of building.

6.22.5 Item 524: Raw materials consumed for own construction of furniture and fixtures: Materials used for own construction of furniture and fixtures and for small machineries of the enterprise will be recorded at purchase cost against item 524.

6.22.6 Items 525 to 531: Minor repair and maintenance: These items will show the expenses made for **minor** repair and maintenance. This also includes all minor repair and maintenance expenses related to plumbing and sanitary fittings. Both the value of materials used in repair and service charges paid for maintenance will be included. Replacement of some **major** parts of fixed assets, involving considerable expenditure, and which increases the life of the fixed asset **will not** be included here. Some examples of expenses not to be included here are major overhauling of motors of a machine, retreading of tyre of car, replacing hard disk of a computer, changing roofing material of a room, etc. On the other hand, minor repairs such as whitewashing of rooms, routine maintenance of machinery, repair of punctures of transport equipment, etc., will be included here. The charges for minor repair and maintenance of hired assets will also be reported if the expenses are made by the enterprise.

6.22.7 Item 532: Rental payable on fixed assets (other than land): Rental on hired fixed assets other than land may be noted against this item. Hiring of machinery and equipment by the enterprise is a common phenomenon for many of the informal enterprises. Total monthly rental payable by the enterprise on account of hiring of fixed assets is to be recorded against this item. This item will correspond to total of column 6 entries against items 1002-1007 in Block 10. Care may be taken not to duplicate the expenditure already reported against item 461 of block 3.

6.22.8 Items 533 to 545: Service charges for work done by other concerns (contract, sub-contract, legal, audit, advertising and other accounting services, warehousing expenses, commission expenses, etc., will be reported under respective items. The various services listed under these items will include-

- commissions payable to agents and payment towards contract and sub-contract services availed by the enterprise - **item 533**
- storage and warehousing charges - **item 534**
- legal services - **item 535**
- audit, advertising, accounting, book keeping, architecture, engineering, photocopying - **item 536**
- computer related services (software development, AMC, etc.) - **item 537**
- Government administrative charges (PF administration, etc.) - **item 538**
- training, education, coaching - **item 541**

- medical services (doctor's fees, etc.) - **item 542**
- rental expenses (e.g., hiring of auditorium, sports ground, etc.) - **item 543**
- washing, cleaning, laundry, photography, etc. – **item 544**
- radio and TV broadcasting, - **item 545**

When payments made by the enterprise to some individuals are recorded in this item, *persons receiving these payments will not be counted as workers of the enterprise and payments received by them will not be considered as emoluments*. Sufficient care may be taken not to duplicate expenditure already recorded against similar items in various sub-blocks under block 3.

6.22.9 Items 546 to 552: Travelling, freight and cartage (transport) expenses: Expenses on travelling associated with the entrepreneurial activity and transportation of materials will be entered against these items. **If these are already included in the value of materials consumed as reported in block 3, these items should not be filled in separately.** Item 546 to 551 will record the travelling/ transportation charges by mode of travel/ transport such as air, rail, land and water. Other expenses on support activities to transportation such as packaging, cargo handling, movers & packers, travel agency, etc. will be reported against item 552.

6.22.10 Item 553: Communication expenses (telephone, telegram, fax, postal, courier, e-mail, etc.): Expenses on communication like telephone, fax, postal, courier, e-mail, voice-mail, etc. are to be recorded here. Care should be taken so that there is no duplication of this item with item 397.

6.22.11 Items 554 and 555: Financial charges incurred by the enterprise during the reference month will be reported against these items. Banking, commission and brokerage charges in respect of financial services availed by the enterprise will be reported against item 554. **Please ensure that interest charges paid to the banks are not included in this item.** Enterprises also insure its properties like building, machinery, transport equipment, etc. These charges of insurance will be recorded against item 555. **Insurance premiums paid for the employees of the organisation, however, are a part of compensation to the employees and the same will not be recorded here.**

6.22.12 Item 556: Other expenses on goods input: This item is meant for reporting expenses incurred on inputs consumed in the form of goods for services activities not covered by any of the sub blocks of block 3 (i.e. NIC-08 Industries 37, 38, 39, 75, 90, 91, 92, 93, 95 and groups 941, 949). In addition, this also covers expenses on goods inputs used in the manufacturing enterprises which cannot be treated as raw materials for production.

6.22.13 Item 557: Other expenses on services: All the remaining expenses on services incurred by the enterprises (i.e. those expenses on services which are not captured by any item in block 3 or 4) will be reported against this item. Regular *puja* expenses should not be reported in this item.

7. Block 5: Principal receipts

7.1 Block 5 will record the principal receipts in thirteen sub-blocks corresponding to which the principal expenses have been collected in block 3. The items are earmarked in the sub-blocks activity wise against which the principal receipts will appear. In the paragraphs

given below, detailed instructions are provided to collect information on these items. As explained earlier with regard to operating expenses, there will be some commonality in items between blocks 5 and 6. Precaution has to be taken that whenever an item has already been covered in block 5; receipts are not duplicated against a similar item in block 6. **The approach of data collection will be the amount receivable during the reference month.**

7.2 Three digit Product codes in respect of output products of the enterprise: Like in the case of principal expenditure block, provision for recording the three digit product codes in respect of the output products of the enterprise have been kept in the principal receipts block also. In respect of the products manufactured by the manufacturing enterprises, goods traded by the trading enterprises and other services activities; these codes need to be recorded.

7.3 First sub-block: Manufacturing, non-captive power generation and transmission activities

7.3.1 The purpose of this block is to record the values of finished products and by-products produced, irrespective of the products are sold or not, in the enterprise during the reference month.

7.3.2 Items 561 to 565: Four major products/ by-products manufactured and made ready for sale along with the relevant three-digit product codes and their corresponding value figures will be reported against items 561 to 564. If the number of products and by-products exceeds 4, the value of remaining products will be added together and the total will be shown against item 565. The intermediate products (Intermediate products are used in the production of final products of the manufacturing unit. Intermediate products lose their identity in the final product.) made by the enterprise and meant for further processing are generally not included here, but if they are sold as they are, they should be included.

7.3.3 Item 566: The sale values of all goods incidental to manufacturing which were sold in the reference month in the same condition as they were purchased will be recorded here. This will also include the sale value of goods bought exclusively for re-sale. This will correspond to expenses reported against item 306.

7.3.4 Item 567: If the enterprise provides any manufacturing service, the receipts from the same (such as service charges) during the reference period will be reported against this item.

7.3.5 Valuation : The values of finished products and by-products which were produced and made ready for sale/use/free distribution/home consumption and the value of intermediate products, if any, that were produced and made ready for sale during the reference period, will be recorded in whole number of rupees. Value of manufactured products lost by theft/damage/destroyed by fire etc. during the reference period will also be included. The market value of the products and by-products will be reported here. It **includes** excise duty paid or sales tax realised by the enterprise on behalf of the Government as also all other distributive expenses incurred such as discount or rebate, charges for carriage outward, commission to selling agents, etc.

7.3.6 Items 571 to 573 : For any manufacturing process, a stock of semi-finished goods (goods which are yet to get the shape of final product) remains at the beginning (opening stock- item 571) and at the end (closing stock – item 572) of the reference period. The net

balance (item 572 – item 571) of such semi-finished goods forms a sort of notional output for that enterprise. The value of net balance of semi-finished goods will be recorded against item 573 with appropriate sign ('+' for increase and '-' for decrease). The valuation of the semi-finished goods will be on the basis of production cost (including cost of raw materials).

7.3.7 Item 579: Total of items 569 and item 573 will give the total principal receipts of the enterprise.

7.4 Second sub-block: Trading activity

7.4.1 Items 581 to 585: The total sale value of the commodities sold during the reference month will be recorded in this block. Provision has been kept to record sale value of four major commodities along with relevant three digit product codes against items 581 to 584. If there are more than four items sold, the combined value of such commodities will be recorded against item 585. Item 589 will represent the sub-total of the commodities sold. As it was already explained in case of principal expenses, commodities that can be classified under same product code need to be combined and reported as a single item.

7.4.2 Items 591 to 593: In any trading unit, generally some goods are left in stock at any point of time. Items 591 and 592 will record the opening and closing value of such stock at purchase price. The value of stock should include the credit purchases also. It is not easy to get the stock figures from the trading enterprise. As a proxy measure, capital locked up in stock may be collected. The estimates of the stock figures will be noted at the beginning and at the end of the reference month. The difference of item 591 from item 592 will be recorded against item 593 with **proper sign** (+ / -) which will refer to the change in stock of trading goods.

7.4.3 Item 594: The trading enterprise itself may consume some part of the goods it purchased for sale. The value of the same at the purchase price will be recorded against this item.

7.4.4 Item 599: This item is the total of items 589, 593 and 594 and represents the total principal receipts of the enterprise from the trading activity.

7.4.5 Valuation: The valuation of trading goods will be done at sale price. Sale price will include excise duties and other incidental charges associated with sale. But this will be net of discount, rebate or allowances which are given by the suppliers to the traders or by the traders to the customers. However, the stock figures and own account consumption of goods purchased will always be at the purchase price.

7.5 Third sub-block: Transportation, travel agency and tour operating activities

7.5.1 Items 601 to 604: The main receipts of the enterprises engaged in transportation activities are coming from receipts from passenger traffic and goods traffic. The receipts of the enterprise from passenger traffic during the reference month will be entered in items 601 and 602 as per the mode of travel. Receipts from passenger traffic by bus, truck, taxi, auto and other land transport means will be reported against item 601. The receipts from passenger traffic by boat, steamer, ferry and similar water transports will be reported against item 602. In a similar way, receipts of the enterprise from goods traffic by land transport (bus, truck, taxi, auto, etc.) will be reported against item 603 and by water transport (boat, steamer, ferry,

etc.) will be reported against item 604. **If the same vehicle is used for passenger as well as goods transport, the total receipt may be recorded against the predominant activity, if separate accounts are not maintained.** Positive entries are expected against any of items 601 to 604 if expenses are reported against some of the items 321 to 327 under block 3.

7.5.2 Item 605: The payments receivable by the travel agents/ tour operators from customers for their bookings will be reported against item 605. These are the receipts of such enterprises in respect of expenses reported against items 328 to 333. As in other receipts, the reporting may be done on receivable basis. Necessary validation may also be ensured with entries against items 328 to 333.

7.5.3. Item 606: Receipts of the enterprise as storage charges during the reference month will be reported against this item.

7.5.4 Item 607: Service charges received for support activities for transportation (packaging, cargo handling, movers & packers, travel agency, etc.) will be reported against item 607.

7.6 Fourth sub-block: Warehousing and support activities for transportation

7.6.1 Item 611: This item is intended to collect the service charges receivable by the storage and warehousing enterprises for the reference month. **Godowns used for storing of own produce are not to be considered.** No imputation is needed if commodities are stored in one's own warehouse.

7.6.2 Item 612: Service charges received for support activities for transportation (packaging, cargo handling, movers & packers, travel agency, etc.) will be recorded in item 612.

7.6.3 Item 613: Porter/Coolie charges received will be reported against this item.

7.7 Fifth sub-block: Postal and courier activities

7.7.1 Item 621: Total charges realised from the customers by a courier concern will be noted against this item. The receipts for services provided during the reference month will only be recorded by receivable approach.

7.8 Sixth sub-block: Accommodation and food service activities

7.8.1 Item 631: Receipts from sale of prepared food, refreshment and drinks: The receipts from sale of prepared food, refreshments and drinks will be considered against this item when they are separately charged. If the hotels and lodging places sell prepared food to outsiders, the receipts will be noted here.

7.8.2 Items 632 to 638: Receipts from sale of goods in same condition as purchased will be reported against these items. Of the trading items, receipt from bread and bakery products sold during the reference month will be reported against item 632; value of dairy products traded will be reported against item 633. Receipts from sale of alcoholic and non-alcoholic beverages will be reported against items 634 and 635, respectively. If the enterprise sells any other items in the same form as purchased, the sale value of the major two items will be

reported against items 636 and 637 along with relevant three digit product codes. The sale value of all other remaining items will be combined together and will be reported against item 638.

7.8.3 Item 641: Lodging charges, rent receivable for hiring out rooms and halls for functions, conferences by the enterprise during the reference month will be recorded against item 641.

7.8.4 Item 642: Receipts from transport / travel arrangements services made by the enterprise to the guests/ customers will be reported against this item.

7.8.5 Item 643: Receipts from laundry services, gym, spa, hair dressing, swimming pool, entertainment will be reported against this item.

7.8.6 Item 644: Receipts from catering services done by the enterprise to other concerns or individuals during the reference month will be reported against this item.

7.8.7 Item 645: Value of own account consumption of goods purchased/ items prepared will be reported against this item.

7.9 Seventh sub-block: Information and communications activities

7.9.1 Information and communication activities include activities such as publishing, motion picture, video and television programme production, programming and broadcasting, telecommunications, computer programming, consultancy and related activities and information services as listed under Divisions 58-63 of NIC 2008. Accordingly, the receipt sub-block for information and communication activities has separate items to report receipts from each of such activities.

7.9.2 Item 651: Total charges receivable from customers in respect of STD/ ISD/ courier/ fax/ internet/ e-mail, etc. services will be noted against item 651. The receipts for services provided during the reference month will only be recorded by receivable approach.

7.9.3 Item 652: The main receipts of enterprises engaged in publishing activities are from publishing of books, brochures, atlases, maps, charts, mailing list, directories etc. All such receipts receivable for the reference month will be reported against item 652.

7.9.4 Item 653: Receipts from software publishing will be reported against this item.

7.9.5 Item 654: Receipts from production and post- production activities of video, motion picture, television programmes will be recorded against item 654.

7.9.6 Item 655: Receipts from development of customised software, web-page designing, computer consultancy, installation, maintenance, etc. will be reported against this item.

7.9.7 Item 656: Receipts from data entry, data processing, report writing activities will be given against this item.

7.10 Eighth sub-block: Financial activities

7.10.1 Item 661: Interest receipts: Interests received by the financial enterprises from

investments made by them, from loans given to individuals and enterprises, etc., fixed deposits, bank savings accounts, from suppliers due to late supply, etc. will be recorded here. This is one of the principal receipts of a financial enterprise.

7.10.2 Item 662: Lease income: This is the income earned from financial leasing. A ‘Financial Lease’ is a means of financing capital equipments. It is a contract between the lessor (enterprise) and the lessee for the hire of specific capital equipment(s). The leased asset remains the property of the lessor for the duration of the lease agreement. The “leased property” is defined as any real property and movable durable property (including the accessory technologies) other than natural resources. Examples of “leased property” include (i) equipment, machinery and instruments; and (ii) vehicle, vessels, aircrafts etc. Interest paid by the lessee on the basis of agreed terms of the lease will constitute the lease income of the enterprise (the lessor). Monthly interest received for the same will be recorded here.

7.10.3 Item 663: Brokerage and commission: This will constitute the brokerage and commission received by the enterprise by selling financial instruments for the reference month.

7.10.4 Item 664: Net profit in share dealing, income earned on chit funds, net earnings from hire purchase finance: Many financial enterprises buy and sell shares and gain (or lose) due to change in value of shares. This gain/loss will be reported here. If the enterprise incurs a net loss, the figure will be reported with a negative sign. This will include net capital gain on investments, profit on sale of assets/investments, etc. This item will also record net earnings of the enterprise from dealing with chit funds, if any, and net earnings from hire purchase financing (i.e. by financing purchase made by other enterprises).

7.10.5 Item 665: Receipts from financial consultancy activities (consultancy activities, advisory services, etc.) will be reported against this item.

7.11 Ninth sub-block: Real estate, rental and leasing activities

7.11.1 This sub-block covers activities such as real estate activities under NIC Div. 68 and rental and leasing of motor vehicles, personal household goods and other machinery, equipments etc as listed under division 77 (excluding 774) of NIC 2008. Separate items have been incorporated under this sub-block to report receipts against each of the relevant activities covered.

7.11.2 Item 671: Brokerage and commission charges received by agents who facilitate buying, selling and renting of real estate will be recorded here.

7.11.3 Item 672: Rental/lease receipt from operational leasing: An operating lease is a lease whose term is short compared to the useful life of the asset or piece of equipment being leased. All the receipt by way of rental and lease income for enterprises engaged in operational leasing of machinery, equipments etc. will be reported against this item.

7.11.4 Item 673: Receipt from renting and leasing of personal and household goods: Receipts by way of rental for recreational goods (such as video tapes, CD/ DVDs) sports equipments (such as pleasure boats, bicycle, etc.) and other personal and household goods (such as tent, furniture, electrical and electronic equipments, etc.) will be reported here. This will be the principal source of income for enterprises engaged in rental and leasing activities.

7.12 Tenth sub-block: Business and professional service activities

7.12.1 This sub-block is meant for recording the principal receipts of the enterprises engaged in business and professional service activities. Receipt against various services activities, if applicable, will be reported against the relevant item as per the description as under:

- Consultancy services – **item 681**
- Legal services – **item 682**
- Audit, advertising, accounting, book keeping, architecture, engineering, photocopying – **item 683**
- Training, education, coaching – **item 684**
- Photography services – **item 685**
- Interior decoration, graphic designing, fashion designing – **item 686**

7.13 Eleventh sub-block: educational activities

7.13.1 The principal receipts of educational enterprises include earnings from fees (tuition fee, transport fee, laboratory fee, library fee, development fee, etc.). Receipts from students on account of sale of textbooks or uniforms will also be shown. **Lumpsum fees received may be apportioned for the month and recorded.**

7.13.2 Items 691 to 695: Receipts of the enterprise from sale of goods in the same form as purchased will be reported against these items. Receipts from books, journals, dictionary, etc. will be reported against item 691. If the enterprise had earnings from sale of any other goods, major three of such products will be reported against items 692, 693 and 694 along with relevant three digit product codes. Receipts from the sale of remaining products will be combined together and reported against item 695.

7.13.3 Item 696: Receipts for development fund charges, development fee: The charges collected from the students as development fee/ development fund for the reference month will be recorded against this item.

7.13.4: Item 697: Tuition fees and coaching fees: Tuition fees and coaching fees receivable from the students for the reference month will be entered here.

7.13.5 Item 698: Transport fees, laboratory fees, examination fees, fines, library fee: The charges receivable by the educational enterprise as educational enterprises against transport fees, laboratory fees, examination fees, fines, library fee for the reference month will be recorded against item 698. This will not include hostel fee. Item 698 will **exclude** fees collected on behalf of other authorities such as secondary board, university etc. This will also **exclude** refundable deposits such as library deposit, laboratory caution money, etc. collected from students.

7.13.6 Item 701: Rental receipts (e.g., letting out of auditorium, sports ground, etc.) will be reported against this item.

7.14 Twelfth sub-block: Human health, social work and veterinary activities:

7.14.1 Like educational enterprises, here also receipts include earnings from consultation fees, receipts from various services provided. They may also earn income by selling drugs

and medicines. In case of hospitals or nursing homes, receipts for service other than that rendered by doctor like OT charge, pathological tests, and expenditure on diet for patients, cabin, ICCU, etc. may be shown against respective items given in the schedule.

7.14.2: Items 711 to 716: Receipts of the enterprise from sale of allopathic drugs and medicines will be reported against item 711 and receipts from sale of drugs and medicine (AYUSH) will be reported against item 712. Receipts from sale of prepared food, refreshment and drinks will be reported against item 713. Item 714 will report receipts from sale of non-alcoholic beverages. If the enterprise has earned income from sale of any other items, one of the major such items will be reported against item 715 along with relevant three-digit product code. Receipts from the sale of all remaining items will be clubbed together and reported against item 716.

7.14.3 Item 717: Doctor's consultation fees: This includes consultation fee for services (including veterinary services) rendered by doctors .

7.14.4 Item 718: Charges for operation theatre and other special procedures: This includes operation theatre charges and charges for other special procedures.

7.14.5 Item 721: Charges for ward, cabin, pathological, radiological and other diagnostic tests, diet, nursing, physiotherapy and rehabilitation, etc.: All charges for ward, cabin, pathological, radiological and other diagnostic tests, diet, nursing, physiotherapy and rehabilitation, etc., receivable for the reference month will be recorded here.

7.14.6 Item 722: Fees for training (nurses, paraprofessionals, etc.): In this item, fee receivable for training of the nurses, para-professionals, etc. is to be recorded. Charges receivable by the enterprise for providing training programmes, counselling, etc. by social work organisations will also be recorded here.

7.15 Thirteenth sub-block: Other personal service activities

7.15.1 The enterprises engaged in other personal service activities earn their income in terms of the charges for the services provided by them. They also earn some income by selling some products. This sub-block captures all such receipts.

7.15.2 Items 731 to 736: The receipts of the enterprise from sale of goods in the same form as purchased will be reported against these items. Item 731 will record the receipts from sale of cosmetics and toiletries. Receipts from sale of soaps, detergents and glycerine will be reported against item 732. Receipts from sale of miscellaneous food products (dog food, cat food, etc.) will be reported against item 733. If the enterprise sells any other goods during the reference month, two such major items will be reported against items 734 and 735 along with relevant three digit product codes. Receipts from sale of all remaining goods will be clubbed together and reported against item 736.

7.15.3 Item 737: The service charges receivable by the enterprise for providing personal service activities during the reference month will be reported against this item.

8. Block 6: Other receipts during last 30 days / last calendar month

8.1 This block is applicable to all enterprises. For the specific activities mentioned in the

thirteen sub-blocks of block 5, this block will record the receipts not covered there. But for all other service enterprises which are not covered in block 5, this block will provide the principal and also the incidental (other) receipts. The description of various items under block 6 is given below:

8.2 Item 741: Receipts from services provided to others including commission charges (other than manufacturing services): This is the main item of this block. Service provided to other concerns will mean work done for other concerns whether such services are rendered inside or outside the premises of the reporting enterprise. **This item will not include receipts from manufacturing services (which is already captured in item 567 under sub-block for manufacturing activities).** Even if the payment is not yet received, the amount receivable for job done during the reference period will be recorded here. If charges received for work done are already taken care of in block 5, duplication should be avoided. Service charges received in kind are to be imputed.

8.3 Items 742: Receipts from computer and related services will be reported against this item.

8.4 Item 743: Change-in-stock of semi-finished goods (applicable for servicing enterprises engaged in software generation, motion picture production, etc.): Certain service sector activities like software generation, motion picture production, etc., consist of output that has not yet reached the stage (during the accounting period) in which it is normally supplied to others. But ownership of such products is nevertheless transferable, if necessary. Therefore, value of semi-finished goods must be recorded for any output that is not yet complete at the end of the accounting period. Value of such output for the accounting period may be apportioned for the month and recorded here.

8.5 Item 744: Receipts from services to international and extraterritorial bodies will be reported against this item.

8.6 Item 745: Other receipts of the enterprise (which are not covered / captured elsewhere in the schedule) will be reported against this item. A brief description of the service concerned may also be reported in the designated column.

8.7 Items 746 and 747: Value of own construction (including labour charges) of building will be reported against item 746. Whereas value of own construction (including labour charges) of furniture and fixtures will be reported against item 747. These are the receipt items corresponding to the expenditures reported against item 523 and item 524 in block 4. Value of own construction of building, furniture and fixtures is usually derived on the basis of sum of costs of production.

8.8 Item 748: Rental receivable on fixed assets (other than land): If an enterprise hires out fixed assets (buildings, machinery and equipment, etc.) the receipts there from may be recorded against this item, since value added by this marginal activity will otherwise be missed. **For enterprises basically engaged in renting out machinery and equipment etc. (i.e. enterprises engaged in operational leasing), the rental/lease income will be reported against item 672 in block 5 and not against this item.**

8.9 Item 751: Grants/ funding/ donations (excluding capital transfers like building grant, etc.) from individuals and non-govt. Institutions: All recurring/non-recurring

donations received from persons, national organizations and international organizations will also be entered against this item. **Lump sum donation / grant received may be apportioned for the month and recorded.**

8.10 Item 752: Govt. grants (excluding capital transfers like building fund, etc.): All recurring/non-recurring grants received from central, state and local governments will be recorded against item 752. Note that government grants of current nature (like salary to teachers of a school) will only be recorded. **Government grants for capital formation will be excluded.**

8.11 Item 761: Production subsidy/ interest subsidy: Production subsidy/ interest subsidy received during the accounting period apportioned for the month will be recorded here. For details, please see para 2.4.

8.12 Item 762: Capital transfers (like building grants/ funding/ donations) from individual and non-government institutions will be reported against this item.

8.13 Item 763: Capital transfers (like building grants/ funding/ donations) from Government will be reported against this item.

9. Block 7: Calculation of gross value added for the reference month

9.1 In the present enterprise survey the estimates of Gross Value Added (GVA) are attempted through two alternative approaches viz. product approach as well as factor income approach. Conceptually, GVA through both the approaches should converge. However, due to differences in data collection, the two may differ.

9.2 Item 771: Total receipt: Total receipt of the enterprise for the reference month is worked out by adding up all the receipts reported in block 5 and 6. This **does not include** grants and donations received from Government, any type of capital transfers received from individual and government/non-government agencies and any type of production subsidies/ interest subsidies received by the enterprise.

9.3 Item 772: Total operating expenses: Total operating expenses of the enterprise for the reference month is worked out by adding up all the expenses reported in block 3 and 4.

9.4 Item 773: Distributive expenses: The sale value of any product (goods or services) also includes certain distributive expenses. These expenses are realised from the customers as part of the sale price but are not actual receipt of the enterprise (manufacturer/trader/service provider). Commission to selling agents, outward freight charge, transport charges, etc. are examples of distributive expenses. **If the various receipt figures reported by the enterprise in blocks 5 and 6 are inclusive of such distributive expense, the total of the same need to be reported against this item.**

9.5 Item 774: Toll: These are charges need to be paid to avail certain infrastructure. A specified amount will be charged every time such infrastructure is availed/ accessed. Toll charges for using bridges, highways etc. are examples. **The total of toll charges payable for the reference month will be reported against this item.**

9.6 Item 775: Taxes on products: Taxes are compulsory, unrequited payments, in cash

or in kind, made by institutional units to government units. *A tax on a product is a tax that is payable per unit of some good or service.* This may be charged as a specific amount of money per unit of quantity of a good or service, the quantity being measured either in terms of discrete units or continuous physical variables such as volume, weight, strength, distance, time, etc. or it may be calculated *ad valorem* as a specified percentage of the price per unit or value of the goods and services transacted. Some examples of taxes on products are VAT, excise duties, general sales tax, service tax, export duties, turnover tax, octroi, taxes on financial and capital transactions (mainly inheritances and gifts), etc., **if the various receipt figures reported by the enterprise in blocks 5 and 6 are inclusive of such taxes on products payable for the reference month, the total of the same need to be reported against this item.**

9.7 Item 779: Gross Value Added: The Gross Value Added (GVA) of the enterprise is worked out against this item by deducting total operating expenses (item 772), distributive expenses (item 773), toll (item 774) and taxes on products (item 775) from total receipt (item 771). The calculated GVA figure may be reported with proper sign (+/-) in whole numbers. **In case of negative entry, further queries may be made and remarks may be recorded in blocks 16 and 17.**

9.8 Item 781: Taxes on production: *Taxes on production consist of all taxes that the enterprise incurs as a result of engaging in production.* It is payable irrespective of the profitability of the enterprise and consists of all taxes except those included under 'Taxes on Products'. Some examples of taxes on production are recurrent taxes on land, buildings or other structures, business or professional licence fees, charges for permits, road tax and registration fee of vehicles, taxes on pollution (PUC Certificate), taxes on international transactions such as travel abroad, foreign remittances, etc. Stamp taxes on sale of specified products, which relate to per unit of product sold (e.g., per unit of alcoholic beverages) will be considered as taxes on products, but other stamp taxes (e.g., stamps on legal documents or cheques) will be considered as taxes on production. **Total of all the taxes on production payable for the reference month will be reported against this item. Normally, these taxes are paid either for entire year or for a period which is more than one month. In such cases, the figures may be apportioned to arrive at the taxes on production payable for the reference month**

9.9 The value added figure obtained against item 779 with proper sign is expected to be comparable with the entry against item 1209 of block 12 wherever available. If there is a large divergence between these two figures, further queries may be made and appropriate comments may be added in blocks 16 and 17.

10. Block 8: Employment particulars of the enterprise during the reference month:

10.1 Meaning of Worker in this round:

10.1.1 For this survey, worker is defined as persons working within the premises of the enterprise who are in the payroll of the enterprise as well as the working owners and unpaid family members who help in entrepreneurial activity. The apprentices took by the enterprise also will be treated as worker. The worker may serve the enterprise in any capacity - primary or supervisory. He/she may or may not receive wage/salary in return to his/her work

incidental to or connected with the entrepreneurial activity. Sales persons appointed by an enterprise for selling its services and apprentices, *paid or unpaid*, will also be treated as workers. **In case of SHGs, if any member (including office bearers) performs the activities of the SHG by drawing remuneration, he/she will be treated as hired worker. Members of SHG who attend meetings regularly or participate in the activities of the SHG including decision making process without taking any remuneration will not be treated as a worker for the purpose of this survey. Instead, they will be considered as ‘active members of SHG’.**

10.1.2 A worker need not mean that the same person will be working continuously; it will only refer to a position. i.e., if one person is terminated and another person is appointed in his place, it will be counted as 1 and not 2. A worker engaged for more than half of the normal working hours of the enterprise will be treated as **full time worker**.

10.1.3 *Volunteers, who work without salary / honorarium, will not be considered as workers.* Voluntary participation without remuneration in production of goods and services in philanthropic organisations/ institutions or in any other organisation/ institution or even in the individual capacity will not render one to be counted as worker/enterprise. Voluntary participation will mean that the person has performed such activities without coercion or obligation but has participated in his/ her own volition. Moreover, the voluntary participation in the work should be without remuneration, which means that the person does not become entitled to receive, in respect of the work performed by him/ her, any compensation including honorarium from the institution/ organisation. For the purpose of the survey, minor contingencies/ honorarium received from the institution/ organization against the voluntary work done may not be considered as remuneration. To determine ‘minor’, average daily wage received by the lowest paid full-time/part-time worker of that enterprise may be used as a guiding tool.

10.1.4 Some enterprises do not hire individuals like porters, sweepers, accountants, etc., on a fairly regular basis. These individuals can **work in one or more enterprises** in a locality, have some autonomy to determine the charges receivable by them depending upon volume of job performed and usually receive service charges as and when they render such services to the enterprise. Such persons will not be considered as workers of the enterprise using their services. Instead, they will be considered as independent OAEs.

10.1.5 If an enterprise has some contract with some other agency (e.g. security, cleaning, nursing, midwife), or persons (like CA, lawyer, etc.), the employees of the agency (or persons) who are working within the premises of the enterprise under survey (e.g. sweeper, guard, nurse, etc.) will not be counted as the employee of the enterprise. Rather they will be considered as the worker of the agency.

10.1.6 Skilled Worker: If a worker of an enterprise possesses any special ability/ expertise to perform a particular task is treated as a skilled worker for the purpose of the survey. The skill will be in relation to the activities of the enterprise concerned. If a worker of an enterprise possess some kind of skill which is not applicable/ required for the activities of the enterprise he/ she is working, he/she will not be treated as a skilled worker for the enterprise. Both the skills acquired by formal training and those acquired informally are considered for the survey. Soft skills (which would include computer literacy, language and workplace interpersonal skills relevant for the sector/trade) are also considered.

10.2 Collection of employment particulars:

10.2.1 Data recorded from books of accounts: In this case, consider only those persons whose salary and wage payments are available in the books of accounts of the enterprise. Note that salary payments are generally given to regular employees and wage payments are given to casual workers engaged directly by the enterprise. Also see that if one person is terminated and another joins in that position, it is counted as 1 and not 2. On the other hand, some enterprises may work in shifts. Suppose, in such an enterprise, 100 persons (positions) work in each of the 3 regular shifts. Then, total workers will be 300 (and not 100).

10.2.2 Data recorded through oral enquiry from an enterprise maintaining payroll: Here, consider only those persons who are in the payroll of the enterprise, i.e., all the regular and directly appointed casual workers will be considered as was done above (para 10.2.1).

10.2.3 Data recorded through oral enquiry from enterprises which do not maintain payroll

10.2.3.1 For such enterprises, to determine the number of working owners and other workers (i.e., excluding hired workers), the average number of such persons usually working on a working day during the reference month shall be considered. The method of computing average number of such workers for these enterprises is explained below:

Illustration of calculation of average number of workers:-

Suppose in an enterprise, 4 persons have worked for 20 days and 6 persons have worked for 6 days. 26 days is the total number of working days of that enterprise in the reference period, say the last month. Then, the average number of workers for that enterprise will be:

$$[(4 \times 20) + (6 \times 6)] / 26 = 4.46 \text{ (rounded to 4)}$$

So, average number of worker is 4.

10.2.3.2 Determining the number of hired workers from enterprises which do not maintain payroll: Here, hired worker will mean a person (may not be same individual) engaged for pay on a fairly regular basis. Persons who are paid only token allowance (e.g., tiffin, minor TA, etc.) in return for their services to the enterprise (e.g. such volunteers) *will not be* considered as hired workers. Fairly regular basis will mean more than half of the working days during the reference month, at least for an hour on each such day.

10.2.4 Average number of working owners and other workers is to be given always in whole numbers.

10.3 Item 801: Working owner. In case of proprietary enterprises, if the owner himself/herself works in the enterprise on a fairly regular basis, entry should be made against item 801. In fact, in most of the own-account enterprises the owner himself/herself manages all activities of the enterprise without help of anybody else (on fairly regular basis). For all such enterprises essentially the value '1' shall be recorded in the appropriate column against this item. In the case of partnership enterprises, if only one of the partners or some of the partners or all the partners work in the enterprise on a fairly regular basis then information for them shall be recorded against this item in appropriate column(s).

10.4 Item 802: Formal hired worker: A formal hired worker is one having continuity of job, eligible for paid annual leave and also eligible for social security benefits like provident fund or insurance provided by the employer.

10.5 Item 803: Informal hired worker: An informal hired worker is not having continuity of job and/or not eligible for paid annual leave and/or not eligible for social security benefits like provident fund or insurance provided by the employer. Several small enterprises are expected to have informal hired workers. Informal hired workers are again split into full-time and part-time workers. Persons working for more than half of the period of normal working hours of the enterprise on a fairly regular basis will be full-time workers. Persons working for less than or equal to half of the normal working hours of the enterprise on a fairly regular basis will be considered as part-time workers. Two part-time workers in an enterprise will be counted as 2 and not 1 full-time worker.

10.5.1 It may be noted that for the purpose of making entry against items 802 and 803, **paid** household workers, servants and resident workers of the proprietor (in the case of proprietary enterprise) or partners (in the case of partnership enterprise) working in an enterprise are also to be treated as **hired workers**. They will be treated as ‘formal hired worker’ or ‘informal hired workers’ depending upon the conditions of employment as mentioned above. It may also be noted here that the information regarding working owner/ partner(s) shall be recorded against item 801 only and not against item 802, even if they take regular payment from the enterprise. It is possible that for an OAE also, hired workers may be found in some situations. This may happen when an enterprise is identified as OAE at the listing stage on the basis of one year reference period, but in the reference month there is a hired worker (informal) in the enterprise. In case of an SHG, if some or any of the members who work for the enterprise drawing remuneration on a fairly regular basis then only those members who take remuneration regularly will be treated as hired worker for the purpose of the survey.

10.6 Item 804: Helper/ apprentice: An apprentice is a learner or beginner who works with a skilled or qualified person in order to learn the practical aspects of a trade or a profession for a fixed time period.

10.7 Item 805: Other worker: Information regarding the workers not covered in items 801-804 above shall be recorded against this item. This includes all persons belonging to the household of the proprietor or households of the partners who are working in or for the enterprise without regular salary or wages. Persons working as exchange labourer in the enterprise without salary or wages will also be covered in this category. All unpaid household workers who are associated with the activities of the enterprise during the reference month will be considered for recording entries against this item.

10.8 Item 809: Total: Total of different types of workers as recorded against the items 801-805 of this block will be entered against item 809 gender-wise under designated columns.

10.9 Item 811: Active members of SHGs: All the members of the SHG (including office bearers) who participate in the activities of the SHG or regularly attend the meetings including decision making processes without taking any remuneration on fairly regular basis will be treated as active members of the SHG.

11. Block 9: Compensation to workers during the reference month

11.1 This block is applicable for enterprises which are run with the help of hired workers and which make regular payments to the individual workers as salary / wages, bonus etc. in cash or kind or both. There may be other type of payments like canteen facility, health care facility, recreation club facility, etc. which are paid in kind to a group or to all the workers of the enterprise. All such payments, whether individual payments or payments made to a group, are to be recorded in this block. The entries in this block are to be made in whole number of rupees.

11.2 Items 901-903: Salary/wages, allowances and other individual benefits directly payable to the worker (cash & kind): Salaries/ wages payable to the individual workers for the reference month will be recorded in this section against the respective items 901-903. This will include, besides the stipulated pay, all other allowances like dearness, house-rent, over-time, shift etc. Payments which are given in kind, more or less regularly as salary or wages or as a part of salary or wages, are to be included here and to be evaluated at cost to the employer. Other examples of compensation in kind are given in para 6.8. Self employed persons (like working owners or unpaid family workers) receive mixed income and not compensation to employees. However, the books of accounts of some enterprises show salary payment to one or more working owners. In such cases, these payments should be recorded as compensation to employees. All efforts should be made to record entries against each of the items 901-903 separately. In case it is not possible to give the break-up, a combined entry may be made against the major item among 901 – 903 with relevant remarks.

11.2.1 It may be noted that for own account enterprises (where there is no hired worker on a fairly regular basis) also, there may be positive entries in this item if that OAE had engaged hired workers during the reference month.

11.3 Items 911-912: Contribution to insurance, provident fund and other social security schemes (average for a month): This item includes employer's contribution to ESIC fund, provident fund, and other social security benefits. Payments of this kind are generally made once in six months or once in a year or at the time of retirement only. For this type of one-time-payment, the apportioned amount for the reference month should be included against items 911-912. All efforts should be made to record entries against each of the items 911-912 separately. In case it is not possible to give the break-up, entry may be provided against the major component.

11.4 Items 921-924: Employer's contribution to canteen, health clinic, child care centre, etc. (average for a month): This includes expenses (net cost to the enterprise) made by the employer to provide amenities and benefits in kind to workers as a whole during the reference month which are of the following types:

- (i) provision of canteen, crèches, sports & recreation clubs, dispensary, etc.
- (ii) provision of food, beverages, tobacco, uniforms, lodging & other kind benefits, if any, free of cost or at subsidised rates.

Other examples of compensation in kind are given in para 6.8.

11.4.1 Average value for a month (average of last 12 months) is to be recorded against respective items 921-924.

11.4.2 All efforts should be made to record entries against each of the items 921-924 separately. In case it is not possible to give the break-up, entry may be made against item 924.

11.5 Item 939: Total monthly emoluments: Total of items 909, 919 and 929, which gives total emoluments payable to the workers for the reference month shall be recorded here.

12. Block 10: Land and Fixed assets owned and hired and monthly rent/rental payable on hired assets:

12.1 Fixed Assets: Assets held for the purpose of producing or providing goods or services and not for resale in the normal course of entrepreneurial activities are classified as fixed assets. The distinguishing feature of a fixed asset is not that it is durable in some physical sense, but that it may be used repeatedly or continuously in production over a long period of time, which is taken to be more than one year. These cover all tangible goods, new or used, that have a normal economic life of more than one year from the date of purchase. Fixed assets include not only structures, machinery and equipment but also intellectual property products such as software or artistic originals that are used in production. It may be noted that the assets to be considered here are assets of the enterprise. Hence, if owner of a proprietary enterprise has made some investments (like NSC, PPF, etc.) in her/his personal capacity, these will not be considered here.

12.2 Item 1001: Land: Land will mean the land on which the enterprise is accommodated together with the surrounding area, which is used for the enterprise. This will also include improvement to land. However, *if only a portion of the land belonging to the residence of a household is utilised for the enterprise, only that portion of the land may be considered as capital assets for the enterprise.* Land owned with permanent heritable possession with or without right to transfer the title would come under this item. Land held on long-term lease, say, 30 years or more will also be treated as land owned. **Encroached land will be considered as hired assets with '0' rent.**

12.3 Item 1002: Building: Building is the structure, where activities of the enterprise are undertaken. This will also include all other structures like shed, house, portions of a house or other structure, building under construction and other conveniences in which the activities of the enterprise are carried out. This will include other constructions such as passage, boundary wall, partition, water tank, sewerage, tube-well, etc.

12.4: Wherever separate figures for land and buildings are available, record the same in respective items 1001 and 1002. If the informant is not able to split the value of land and building, record **the aggregate value against the major component depending on the perception of the informant.**

12.5 Item 1003: Plant and machinery: Plant is generally the name given to an assembly of machinery/ equipment/ devices installed for the operation of entrepreneurial activities. Machinery means an implement or mechanical device used in the entrepreneurial activities. These are assets of durable nature and can be easily identified. The full value of the machinery should be reported even if the machinery was purchased during the year on hire-purchase basis. *Advance payments made for the purchase of machinery (not in possession during the reference year) will not be recorded. Approach for recording information here is by physical approach.*

12.5 Item 1004: Transport equipment: All vehicles, power-driven or man/animal - driven, used for transporting persons, goods and materials by the enterprise in connection with its activity will be covered by this item. Animals, if used for drawing vehicles or

carrying loads, will be treated as part of transport equipment; otherwise they will be included in item 1005. If the equipment is used both for domestic as well as enterprise purposes, the criterion to be followed is major time disposition of the equipment i.e., whether equipment is used more for domestic purpose or for use in enterprise. Transport equipment that is occasionally rented out will be included if it is mainly used for the activities of the enterprise.

12.6 Item 1005: Tools and other fixed assets: Tools refer to small loose implements, generally held in hand for operation and having normal life of more than one year. Other fixed assets refer to other durable equipment (not covered under items 1001 to 1004 above) which are used for the entrepreneurial activity either directly or indirectly. These will include furniture, fixtures, laboratory equipment, office equipment, etc. Livestock used as P & M will also be included under this item. If the same animal is used part of the time in oil mills and part of the time for transporting materials, it will be classified under item 1004 or item 1005 depending upon major time spent.

12.7 Item 1006: Software and database: Computer software consists of computer programs, program descriptions and supporting materials for both systems and applications software. A database is an organised collection of related information so as to permit cost-effective access and use of the information. All kinds of software and database used by the enterprise must be entered in item 1006. It includes computer software and databases purchased from the market or developed in-house. Software is treated as an asset if it is used in production by its owner for more than one year. Similarly, all databases holding data with a useful life of more than one year is treated as fixed assets. The computer software and databases purchased from the market should be valued at purchasers' prices, while those developed in-house should be valued at their costs of production. Gross fixed capital formation in computer software and database includes both the initial development and subsequent extensions of software and database as well as acquisition of copies of software and database that are treated as assets.

12.8 Item 1007: Information, computer and telecommunication equipment: Information, computer and telecommunications equipment consists of devices using electronic controls and also the electronic components forming part of these devices. ICT equipment consists mostly of computer hardware and telecommunications equipment.

12.9 Item 1008: Capital work in progress: These are expenses made by the enterprise on some fixed assets although the amount spent has not yet been capitalised. Building, machinery, etc. under construction will be recorded here.

12.10 Column (3): Market value of owned assets as on last day of the reference year: This column will be filled for all enterprises. Value of the owned fixed assets as on last date of reference period shall be recorded here. If an enterprise provides information from its books of accounts, net closing value, i.e., closing value after depreciation as per the books may be recorded. However, for oral enquiry, market value, i.e., value that the equipment will fetch, if sold in the open market in present condition, is to be ascertained and recorded in this column.

12.11 Column (4): Market value of hired assets as on last day of the reference year: Market value of hired assets is to be ascertained and recorded in this column.

12.12 Column (5): Net additions to owned assets during last 365 days/ last year: In this

column information regarding net additions to the fixed **assets owned** during last 365 days/ last year will be recorded. **Net addition may be obtained by subtracting depletion of assets from the addition made during last 365 days.** Addition to and depletion of the fixed assets are discussed below:

12.12.1 Addition to the fixed assets could be made through purchase (new or used) or through own construction. Addition can also be by receiving as gifts. Improvements on land, new construction of building, shed, structure as well as assets produced on own will be considered as additions to the fixed assets. **All the additions made during last 365 days / reference year should be considered for this item. However, in case of addition through own construction, it should exclude that part made during last 30 days/ reference month.** In case of addition through own construction, values to be included against different types of assets need to be estimated by considering:

- (a) value of purchases of all materials used for the purpose,
- (b) amount paid for labour or service charges on that account,
- (c) imputed value of goods / services supplied by the household, if any.

Fixed assets acquired from others should be valued at the full cost incurred, that is, at the delivered price **plus** the cost of installation, including any necessary fees and taxes paid but excluding financing costs, if any. Repair and maintenance cost of minor nature will not be included but replacement of some major parts, which require considerable (capital) expenditure will be considered for inclusion. (Cost of routine repair and maintenance of fixed assets are to be reported in block 4 against appropriate items from 525 to 531). Home-grown materials, if any, used in own-construction are to be evaluated at ex-farm price. If any material already lying with the household for a long time and used for own construction, their values should also be determined at cost price (cost to the household).

12.12.2 Depletion of assets is obtained by considering the assets sold and discarded during last 365 days/ last year. 'Sale' that is only agreed upon but not realised during last 365 days / last year will not be included even if money having been taken in advance. Similarly, the value of assets sold will be included though payment is yet to be received. The value of assets disposed off in any manner other than sale, will be treated as value of assets discarded. Besides obsolescence (gone out of use) of an asset, this will include loss due to theft, damage, accident etc.

12.13 Column (6): Monthly rent/ rental payable on hired assets: The rent/ rental payable for the reference month on the hired assets by the enterprise will be recorded in this column. If no rent/ rental is payable for any asset put '0' in column (6) for that particular type of asset with appropriate remarks in block 16. If an enterprise is located in a rented house where the household resides as well, rent may be imputed on the basis of floor area occupied by the enterprise. For rent paid in kind, imputed value may be given. If the enterprise runs in one's own house, rent need not be imputed.

12.14 Block 10.1: Original value of plant and machinery/ equipment

12.14.1 This block has been introduced for the purpose of checking whether the selected enterprise is a *micro, small or medium* enterprise. Ministry of MSME classifies an enterprise as micro, medium or small depending on the original value of plant and machinery or

equipments. In case of manufacturing enterprises, original value of plant and machinery will be considered. The original value of equipments will be considered in case of services enterprises. **This is the price at which the enterprise acquired the plant & machinery/equipments.** The limits for the investment (I) in original value of plant and machinery / equipments are as under:

Type of Enterprise	Investment (Original value) in Plant and Machinery (I)	
	Plant and Machinery (Manufacturing enterprises)*	Equipments (Trade & Other Services enterprises)
Micro	$I \leq \text{Rs.}25 \text{ lakh}$	$I \leq \text{Rs.}10 \text{ lakh}$
Small	$\text{Rs.}25 \text{ lakh} < I \leq \text{Rs.} 5 \text{ crore}$	$\text{Rs.}10 \text{ lakh} < I \leq \text{Rs.} 2 \text{ crore}$
Medium	$\text{Rs.} 5 \text{ crore} < I \leq \text{Rs.} 10 \text{ crore}$	$\text{Rs.} 2 \text{ crore} < I \leq \text{Rs.} 5 \text{ crore}$
Non-MSME	$I > \text{Rs.} 10 \text{ crore}$	$I > \text{Rs.} 5 \text{ crore}$

*Including enterprises engaged in non-captive electricity generation and transmission

12.14.2 For the purpose of this block plant & machinery and Equipments are defined as under:

- (a) **Plant & Machinery:** Plant is generally the name given to an assembly of machinery / equipments/devices installed for the operation of entrepreneurial activities. Machinery means an implement or mechanical device used in the entrepreneurial activities.
- (b) **Equipment:** Equipment is defined as all instruments, office machines and such other electro mechanical or electronic appliances that are directly related to the service rendered but excluding furniture, fittings and other items not so related.

12.14.3 Value of these items refers to that of physically installed as on the last day of the reference period. In case the existing plant & machinery/ equipments are purchased over different points of time, the original value (purchase value) of the same will be added up to arrive at the value as on last day of the reference period. In case of enterprises performing mixed activities, only major activity will be considered for this block.

12.14.4 Item 1011: Original value of plant & machinery: If the selected enterprise is a manufacturing enterprise or engaged in non-captive electricity generation and transmission (i.e. if the major activity code reported against item 202 belongs to NIC 2008 Div 10- 33, 01632, 35103, 35105, 35106, 35107, 35109), this item will be reported in terms of codes as under:

original value of plant and machinery (I)	code
$I \leq \text{Rs.}25 \text{ lakh}$	1
$\text{Rs.}25 \text{ lakh} < I \leq \text{Rs.} 5 \text{ crore}$	2
$\text{Rs.} 5 \text{ crore} < I \leq \text{Rs.} 10 \text{ crore}$	3
$I > \text{Rs.} 10 \text{ crore}$	4

12.14.5 Item 1012: Original value of equipments: If the selected enterprise is a Services enterprise (i.e. if the major activity code reported against item 202 *does not* belong to NIC 2008 Div 10- 33, 01632, 35103, 35105, 35106, 35107, 35109), this item will be reported in terms of codes as under:

original value of equipments (I)	code
$I \leq \text{Rs.}10 \text{ lakh}$	1
$\text{Rs.}10 \text{ lakh} < I \leq \text{Rs.} 2 \text{ crore}$	2
$\text{Rs.} 2 \text{ crore} < I \leq \text{Rs.} 5 \text{ crore}$	3
$I > \text{Rs.} 5 \text{ crore}$	4

13. Block 11: Loan outstanding as on the last date of the reference year

13.1 Any entrepreneurial activity requires financial capital both for asset formation and day to day activities. In order to have the requisite financial capital, the enterprises generally avail loans from different institutions and individuals. Block 11 records the amount of outstanding loan of the enterprise as on last date of the reference year against various sources from which loans were taken. It also provides for reporting the interest payable for the reference month in respect of each loan reported. The entries will have to be made in whole number of rupees

13.2 Item 1101: Central and state level term lending institutions: This will include, among others, the following institutions:

- i) Industrial Financial Corporation (IFC)
- ii) Industrial Development Bank (IDB)
- iii) Industrial Credit and Investment Corporation
- iv) National Industrial Development Corporation
- v) National/ State Small Industries Corporation
- vi) Other Industrial and Financial Corporations set up by Central/ State Governments

13.3 Item 1102: Government (central, state, local bodies): Loans may be advanced by Government through different Ministries/Departments or other agencies. Loans given by the local bodies (i.e., panchayat, municipality, etc.) will also be included for making entry against this item.

13.4 Item 1103: Commercial banks: This includes all nationalised banks including the State Bank of India and its subsidiaries like the State Bank of Travancore, State Bank of Mysore, State Bank of Bikaner & Jaipur, State Bank of Patiala etc. Loans taken from all other scheduled and non-scheduled banks, other than cooperative banks, should also be included here. Loans sanctioned by Government but routed through the banks should not be treated as bank loans.

13.5 Item 1104: Cooperative banks and societies : Loans from cooperative institutions like primary cooperative credit societies, district and central cooperative banks, primary or central land mortgage banks, handloom weavers' cooperative societies and other industrial or other types of cooperative societies etc. will be recorded against this item.

13.6 Item 1105: Micro-finance institutions: Microfinance is the provision of financial services to low-income clients, including micro-entrepreneur and the self-employed, who traditionally lack access to banking and related services. The **Micro Finance Institutions (MFIs)** access financial resources from the Banks and other mainstream Financial Institutions and provide financial and support services to its clients. Almost all MFIs give loans to their clients and many of them also offer insurance, deposit and other services. Many MFIs are credit-worthy and well-run with proven records of success.

13.7 Item 1106: Other institutional agencies: Loans advanced by institutions / agencies like Khadi and Village Industries Commission, Life Insurance Corporation, provident fund, Chit Funds, etc. not covered under items 1101 to 1105 above will be recorded against this item.

13.8 Item 1107: Money lenders: A money lender is any person who has advanced a loan which carries interest irrespective of his being a friend or relative of the entrepreneur.

13.9 Item 1108: Business partner(s): In the case of a partnership enterprise, loans may be made available by partner(s) of the enterprise. For such type of loans entries shall be made against this item. If the partner happens to be a **money lender** then also entry shall be made against this item.

13.10 Item 1111: Suppliers / contractors: Sometimes enterprise is provided with loans by the supplier of basic input / raw materials and equipment to the enterprise. In the case of an enterprise working on contract basis, it may so happen that loan is given by the contractor himself. All such loans shall be recorded against this item.

13.11 Item 1112: Friends and relatives: Any non-institutional loan which is interest-free will be included in this item.

13.12 Item 1113: Others : Loans taken from any other agency not covered above will be covered under this item .

13.13 Item 1119: Total: Total of items 1101 to 1113 which gives total amount of loans taken from different sources and total interest payable during the reference month is to be recorded against this item.

13.14 Column (3): Amount outstanding: Amount of outstanding loan (as on the last date of the reference year) taken by the enterprise shall be recorded in this column against the appropriate source(s) of loan discussed in the items 1101 to 1113 in this block.

13.15 Column (4): Interest payable during the reference month : Total interest due to be paid for the reference month for all the loans taken by the enterprise will be recorded here, **irrespective of the fact that any of the loans might have been repaid either fully or partly or found to be outstanding.** In case of compound interest, the same may be apportioned for the reference month. If interest payments are reported without having any outstanding loan against some source of loan, necessary remarks may be provided.

14. Block 11.1: The amount of loan advanced by financial enterprises

14.1 This block is meant for enterprises engaged in financial activities (*excluding stock broker/ sub-broker*). As part of their activity financial enterprises provide loans to households and other institutional units. At a given point of time a specific sum of money will be due to the financial enterprises in way of principal outstanding of the loans provided by them to others. Item 1121 and item 1122 separately record the outstanding principal as on date of survey in respect of the loans provided by the enterprise to households and others (other than households) respectively.

15. Block 12: Factor incomes of the enterprise

15.1 The total income generated by any enterprise is distributed into four factors of production. **Interest** goes to the investors, **rent** goes to the owners of land, **emolument** goes to the workers and the remaining income (operating **surplus**) is retained by the entrepreneur. In this block factor incomes of the enterprise will be recorded in whole number of rupees. **Factor income need to be worked out only for non-financial enterprises.**

15.2 Item 1201: Emoluments: Total emoluments payable to the workers of the enterprise during the reference month is to be recorded here. This is a transfer entry from column (3), item 939 of block 9 (please copy that figure here).

15.3 Item 1202 : Rent payable : Rent payable for the reference month on land hired by the enterprise are available in column (6) of **item 1001** of block 10 will be copied here.

15.4 Item 1203: Interest payable: Total interest due to be paid for the reference month for all the loans taken by the enterprise, which is available in column (4), item 1119 of block 11 is to be copied here.

15.5 Item 1204: Net surplus (including home consumption): Net surplus or earning from the enterprise during the reference month is to be **independently enquired** and reported here. Net surplus of an enterprise is the amount which the owner/ partner(s) gets out of the entrepreneurial activity after making payments to the workers (individual or as group benefits), rent on land and interest on outstanding loan for the reference month.

15.5.1 It may be noted that the earnings from an enterprise are, sometimes, partly withdrawn in cash or kind by self or partner(s) or family members during the reference month. In many cases the raw materials / goods / services of an enterprise are partly consumed at home, for which the enterprise does not get any receipt. For getting a complete idea of the net surplus or earning of an enterprise, one has to account for such **withdrawals** (if any) and **home consumption** during the reference month, other than the surplus visible at the end of the reference month. Please note that the paid family members are considered as hired workers of the enterprise and payments made to them should not be treated as withdrawals by family members for making entry in item 1204. Payments made to family workers shall be recorded in item 903 of block 9.

15.6 Item 1209: Total: Total of items 1201 to 1204 which gives total of factor incomes of the enterprise during the reference month will be shown here. It may be noted here that this entry should theoretically match with the entry against item 779 of block 7. Comments may be given in block 16 for any abnormal divergence.

16. Block 13: Inventories during the reference year

16.1 This block is to be canvassed for enterprises which provide information based on the book of accounts (i.e. code 1 in item 217). The information in respect of the opening and closing stock of the inventories (as listed in the block) in respect of the **reference year/accounting year** will be collected.

17. Block 14: Particulars of use of information and communication technology (ICT) by the enterprise during last 365 days / last year

17.1 This block enquires into the use of information and communication technology (ICT) by the enterprise during last 365 days / last year. **This block will be filled up provided the enterprise under survey employs 10 or more workers as well as the codes for items 218 and/or 219 in block 2 is /are 1.**

17.2 Item 1401: does the enterprise have a web presence as on the date of survey?: A web presence includes a website, home page or presence on another entity's website (including a related business). It excludes inclusion in an on-line directory of any other web pages where the business does not have control over the content of the page.

17.3 Item 1402: does the enterprise have an intranet as on the date of survey?: This question is applicable to those enterprises answering 'yes' to item 218. An intranet refers to an internal communication network using Internet protocols and allowing communication within an organization (and with other authorized persons). It is typically set up behind a firewall to control accessibility.

17.4 Item 1403: did the enterprise receive orders for goods or services (that is, make sales) via the Internet during <reference period>?: This question is applicable to those enterprises answering 'yes' to item 219. Orders received include orders received via the Internet whether or not payment was made online. They include orders received via websites, specialized Internet marketplaces, extranets, EDI over the Internet, Internet-enabled mobile phones and email. They also include orders received on behalf of other organizations – and orders received by other organizations on behalf of the enterprise. They exclude orders that were cancelled or not completed.

17.5 Item 1404: did the enterprise place orders for goods or services (that is, make purchases) via the Internet during <reference period>?: This question is applicable to those enterprises answering 'yes' to item 219. Orders placed include orders placed via the Internet whether or not payment was made online. They include orders placed via websites, specialized Internet marketplaces, extranets, EDI over the Internet, Internet-enabled mobile phones and email. They exclude orders that were cancelled or not completed.

17.6 Item 1405: did the enterprise connect to the Internet by narrowband?: This question is applicable to those enterprises answering 'yes' to item 219. Narrowband includes analogue modem (dial-up via standard phone line), Integrated Services Digital Network (ISDN), Digital Subscriber Line (DSL) at speeds below 256 kbit/s, and mobile phone and other forms of access with an advertised download speed of less than 256 kbit/s. Narrowband mobile phone access services include CDMA 1x (Release 0), GPRS, WAP and imode.

17.7 Item 1406: did the enterprise connect to the Internet by fixed broadband?: This question is applicable to those enterprises answering 'yes' to item 219. Fixed broadband refers to technologies such as DSL, at speeds of at least 256 kbit/s, cable modem, high speed leased lines, fibre-to-the-home, power line, satellite, fixed wireless, Wireless Local Area Network (WLAN) and WiMAX.

17.8 Item 1407: did the enterprise connect to the Internet by mobile broadband? : This question is applicable to those enterprises answering ‘yes’ to item 219. Mobile broadband access services include Wideband CDMA (W-CDMA), known as Universal Mobile Telecommunications System (UMTS) in Europe; High-speed Downlink Packet Access (HSDPA), complemented by High-Speed Uplink Packet Access (HSUPA); CDMA2000 1xEV-DO and DCMA 2000 1xEV-DV. Access can be via any device (mobile cellular phone, laptop, PDA, etc).

17.9 Item 1408: does the enterprise have a local area network (LAN) as on the date of survey?: This question is applicable to those enterprises answering ‘yes’ to item 218. A LAN refers to a network connecting computers within a localized area such as a single building, department or site; it may be wireless.

17.10 Item 1409: does the enterprise have an extranet as on the date of survey?: This question is applicable to those enterprises answering ‘yes’ to item 218. An extranet is a closed network that uses Internet protocols to share securely a business’ information with suppliers, vendors, customers or other business partners. It can take the form of a secure extension of an intranet that allows external users to access some parts of it. It can also be a private part of the business’ website, where business partners can navigate after authentication.

17.11 The items 1411 to items 1422 are applicable to enterprises answering ‘yes’ to item 219.

17.12 Item 1411: did the enterprise use the Internet for sending and receiving e-mail? Report ‘yes’ if the emails are sent/ received related to the activities of the enterprise.

17.13 Item 1412: did the enterprise use the Internet for telephoning over the Internet/VoIP, including video conferencing?:VoIP refers to Voice over Internet Protocol.

17.14 Item 1413: did the enterprise use the Internet for getting information about goods and services? Self-explanatory.

17.15 Item 1414: did the enterprise use the Internet for getting information from general government organizations?: General government organizations include central, state and local governments.

17.16 Item 1415: did the enterprise use the Internet for interacting with general government organizations? This includes downloading/requesting forms online, making online payments and purchasing from, or selling to, government organizations. **It excludes getting information from government organizations.**

17.17 Item 1416: did the enterprise use the Internet for internet banking?: This includes electronic transactions with a bank for payment, transfers, etc. or for looking up account information.

17.18 Item 1417: did the enterprise use the Internet for accessing other financial services? : This includes electronic transactions via the Internet for other types of financial services such as purchasing shares (stocks), financial services and insurance.

17.19 Item 1419: did the enterprise use the Internet for providing customer services? : This includes providing online or emailed product catalogues or price lists, product specification or configuration online, after-sales support, and order tracking online.

17.20 Item 1420: did the enterprise use the Internet for delivering products online? : This refers to products delivered over the Internet in digitized form, e.g. reports, software, music, videos, computer games; and online services, such as computer-related services, information services, travel bookings or financial services.

17.21 Item 1421: did the enterprise use the Internet for internal or external recruitment? : This includes providing information about vacancies on an intranet or website, and allowing online applications

17.22 Item 1422: did the enterprise use the Internet for staff training? : This includes e-learning applications available on an intranet or from the World Wide Web.

17.23 Item 1423: Average number of persons who routinely used computers in the reference period will be recorded here.

17.24 Item 1424: Average number of persons who routinely used internet in the reference period will be recorded here.

18. Block 15: Particulars of field operation

18.1 Items in this block are self-explanatory. While filling up the schedules, care is to be taken to record the time taken in canvassing the schedule in minutes (and not in hours) against item 1506 of this block. Dates of survey/inspection, etc. should be made as dd/mm/yy since these will be required in data processing.

19. Blocks 16 and 17: Remarks by Field investigator/ Junior Statistical Officer and comments by Supervisory Officers

19.1 Blocks 16 & 17 are meant for noting down investigator's remarks/ supervisor's comments/ suggestions regarding the entries made in schedule 2.34. Please give remarks/ comments/ suggestions that you feel useful for meaningful interpretation of the data or designing of schedules in future round. For any unusual feature of the enterprise, remarks may be added.

Frequently Asked Questions

Sl. no. (1)	Query (2)	Reply (3)
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Block 2: Operation and background information

1	Two manufacturing activities like tailoring and embroidery are done in the same enterprise being handled by a single person. Whether this will be treated as mixed activity in case the accounts are not separable?	Yes, it is a mixed activity.
2	Two service sector activities like restaurant and STD booth are done in the same enterprise being handled by a single person. Whether this will be treated as mixed activity in case the accounts are not separable?	Yes, it is a mixed activity. If same set of persons run two or more activities simultaneously at same premises, consider as a single enterprise as long as separate books of accounts are not maintained by them.
3	Many of the shop-keepers and merchants lend money on interest. Whether such shop-keepers or merchants should also be treated as money lenders and surveyed separately under special code 64929?	If the accounts are not mixed up, they should be treated as two separate enterprises i.e. one trading enterprise and the other money-lending enterprise. However, if it is not possible to separate the accounts of the two activities, it will be a mixed activity unit and the NIC code will be based on the activity, which generates major income.
4	A master bidi contractor supplies raw material to households who after using its instruments produce the bidi and return to the master contractor. The master contractor pays the household on piece rate. Who will be the manufacturing enterprise master contractor or the household?	The households making bidi will be treated as an enterprise providing manufacturing services / Manufacturing service provider (MSP). Entries will be accordingly made under the manufacturing sub-block. Master contractor who supplies the raw material and has the ownership of the final product also will be considered as a manufacturing enterprise if listed.
5	A <i>Dal</i> mill owner is producing <i>Dal</i> , and side by side purchasing <i>Dal</i> from market and supplying to his customers. Whether this activity will be considered as mixed activity?	This is a mixed activity if accounts are not separable.
6	If an enterprise is pursuing more than one type of mfg. activity in the same premises, whether it will be treated as mixed activity or not?	If the accounts are not separable it will be considered as mixed activity, if the articles manufactured are different at 2-digit level of NIC 2008.

Sl. no. (1)	Query (2)	Reply (3)
7	If the proprietor does not stay at the place of manufacturing activity and no information is available regarding his other activity, what will be the relevant entry for multiple activities?	All efforts may be made to get the information. When the information could not be collected despite all efforts, treat the situation as if the proprietor does not have any other activity and record 0 against item 209.
8	Whether description should be as per NIC 2008 booklet?	No. Description of the activity should provide the clear indication of the activity of that enterprise, but not a copy of the description written against the corresponding NIC code in the codebook.
9	Nature of operation is to be noted from informant's version or as per the periodicity of operation of the activity carried out during reference year?	As per informants' version.
10	What will be the entry for year of initial operation for the household enterprise carrying out business from the times of forefathers?	The year of operation of the present operator in all cases need only be considered
11	In case of mixed activity, both the activities have different initial years of operation. Which activity will be considered for the initial year of operation?	Year of initial operation of major activity will be considered.
12	What ownership code shall be assigned to the enterprise jointly run by husband & wife with equal intensity?	Code 4 (partnership between members of same household).
13	A sweet manufacturer visits <i>shandies</i> (<i>haat</i>) on different days & prepares sweets at <i>haat</i> & sells. What location code is to be given for such enterprise?	Enterprise is to be listed at the residence only & code 5 (mobile market) may be given for such enterprise against item no. 210.
14	If a manufacturing enterprise is licensed for purchase of raw material and has no registration for manufacturing, whether the enterprise is to be treated as registered?	Yes, it should be treated as a registered enterprise and code of the licensing authority, if available in the schedule, will be given; otherwise, code 99 will be given.
15	There are some units, which are not registered under any authority or act but the unit have got license. Whether the license will be considered as registered?	Same as query 14.
16	If an enterprise has applied for registration but has not yet got, what code should be given?	Unless the registering authority confirms registration, enterprise cannot be deemed to be registered on the basis of its application only. In such a case code 2 will be given against item 227.
17	Whether the registration code of the enterprise will be incorporated as per informant's verbal opinion or from his record.	As per information given by the enterprise. Verification of records is not required.

Sl. no.	Query	Reply
(1)	(2)	(3)
18	If an enterprise has operated for one day in a month. Whether it will be treated as operated in the month?	Yes.
19	If any particular problem was faced for major part of the reference year but is not faced in recent months then whether the entry against item 220 will be 1 or 2?	It will be 1 ('Yes') as reference period for this item is full year.
20	An enterprise operated for six months in a different town and shifted to present town where it has operated for six months only. Whether the operation of the enterprise will be taken as 12 months?	In given example, six months of operation at the present location will be considered as number of months operated.

Blocks 3 and 4: Operating expenses

21	Whether the approach for Block 3 & 4 (Principal & other Operating Expenses) is paid approach?	No, for blocks 3 and 4 the approach is payable approach . Unless otherwise specified, it is payable/receivable approach for all blocks.
22	If enterprise is receiving all raw materials from customers, how block 3 will be filled?	This is an example of manufacturing services. Block 3 will remain blank in this case except for item 307 if it incurred some expenses in transforming the raw materials to make products.
23	Production of a manufacturing enterprise during the month is NIL. There is no stock of Semi-finished goods. The enterprise is not engaged in any mixed activity. However the enterprise has sold out from the opening stocks. What is the treatment for Block 3 and Block 5?	Both blocks 3 and 5 will be left blank. Other relevant and applicable blocks/ items/ columns may be recorded. Proper remarks may be entered in blocks 16-17.
24	For free collection whether to include imputed cost?	No imputed value has to be reported. Only if there are any collection or transportation charges then the same will be reported.
25	Packing materials under direct materials have to be treated as raw materials. Will the value of such materials be considered for selection of five most important raw materials?	Yes. This is to be followed when the product cannot be sold without such packing e.g. medicines, perfumes, etc.
26	Please clarify whether Coconut produced at home and consumed in the enterprise will be included in block 3?	Yes. Any material produced at home and used in the enterprise as raw material will be included here. Valuation of such materials will be at ex-farm price.
27	In case of illegal electricity connection, how the entries are to be made against item 521?	Value in such cases is not to be imputed. However, if some payment is made for the connection, the same may be recorded.

Sl. no.	Query	Reply
(1)	(2)	(3)
28	In an enterprise, electric connection has been taken from a generator operator in the vicinity. Will the connection be treated as an electric connection?	Yes, it will be treated as electricity connection.
29	Owner is paying house rent only in which electricity charges are included. How to report the entries against item 521?	The consumption of electricity will be estimated & consumption will be reported accordingly against item 521 & remaining amount will be reported in block 10 as rental.
30	Whether fuel & lubricant will be reported against item 522 of block 4 or in block 3 if consumed as a raw material for production?	It will be reported in block 3. Care should be taken to avoid duplication.
31	One unit is operating generator on diesel/ kerosene to produce electricity. Whether cost of the diesel/ kerosene will be taken under electricity or under fuel and lubricants?	The expenditure will be entered against the item 'fuel and lubricant'.
32	An enterprise engaged in the manufacturing of basket uses candles in the night. Whether the expenditure on candles be treated as fuel?	No, item 522 will be left blank. The entry will be made in item 556, other expenses on goods inputs.
33	Where to include the Feeding expenses on animals used in the enterprises for transporting purpose?	Under item 527.
34	Full payment has been made to the lawyer for a case that may go on for 1 year or 10 years, how the payment is to be taken?	It will be taken as per terms and conditions and duly apportioned for the reference month.
35	Against which item the amount paid to the contractor and not to the workers in the unit will be recorded?	It will be recorded against item 533 of block 4.
36	If the telephone is used for enterprises as well as for households, how the expenditure will be taken?	Proportionate amount based on calls made by household and enterprise may be recorded here.
37	For brick manufacturing industry, salt is also used, against which item salt is to be taken?	It is to be reported against any of the items 301 to 304 if it is one of the 4 major raw materials, else, it may be reported against item 305 combined with all other raw materials.
38	In case of damage while doing the job-work, compensation is given to customers. Whether these expenses are to be considered?	Yes, it is to be considered as expenses under item 557 (other expenses on services).

Sl. no.	Query	Reply
(1)	(2)	(3)
39	Is insurance made on manufactured goods in transit to be included against item 555?	Such expenses are treated as distributive expenses and recorded in bl. 7, item 773. This is a part of selling expenses and hence a part of distributive expenses. Insurances made on plant and machinery, raw materials, etc. will be operating expenses and recorded against item 555, group insurances made on employees are part of emoluments and to be recorded in block 9.
40	For constructions started earlier and also going on during the month, whether cost of raw materials can be taken as value in item 523?	Cost of raw materials during the reference month may be noted against item 523.

Blocks 5 and 6: Receipts

41	It may be clarified whether the market value of the quantity manufactured and sold only is to be reported in col. 4, block 5 or the entire market value of quantity manufactured is to be reported?	The market value of entire quantity manufactured during the reference month is to be reported.
42	A manufacturing enterprise lost all its manufactured goods produced during the reference month. How to report "value" in col. (4)?	Multiply the 'quantity manufactured and lost' by 'market value per unit of the good of the most recent months'.
43	Blacksmith is making agricultural implements. He is not in receipt of the value of products as and when he sells. However, he is getting the price of the articles in kind at the time of harvest, what treatment is to be given?	Whether the amount for the articles manufactured is received or not, the details of manufacturing should be given in col.1 ,3 &4 against the relevant items 561 to 565. The amount may be imputed as per terms of receipts and apportioned for the reference period.
44	A mfg. enterprise has produced a new product during the reference period and is not at all sold. Further, that product is not at all available for sale in that locality. How to do valuation in this case?	Ex-factory price may be used.
45	In some of the States units are getting Govt. subsidy at the time of installation of the factory which is generally assessed on the basis of the fixed capital deployed by the entrepreneur. Should such subsidy be reported under item 761 of bl.6?	Subsidy receivable during the reference period only will be covered under item 761 of block 6.
46	Where will 'gifts received & given incidental to enterprising activities', find place?	Donations, gifts etc. received by the enterprise will come in item 751. Gifts given as a measure of sales promotion will come in item 557.

Sl. no. (1)	Query (2)	Reply (3)
47	In a flour-mill, grinding charges are received. The husk and bran are left in the flour-mill by the customers. Whether any separate valuation is required or not for husk and bran.	This additional realisation will come under item 745.
48	In case of mfg. of Nuts & Bolts industry, where will be the sale of scrap reported ?	Scrap is a by-product; hence its sale should find place against any of the items 561 to 565 of block 5.
49	A unit engaged in job work has sold left out or wastage. Where will the amount received be reported?	It will be reported under item 745.
50	Whether the amount received through sale of used <i>bardan</i> (gunny bags) will be recorded against item 745?	Yes
51	If an NPISH is selected, how to report the receipts?	NPISH is an example of enterprise engaged in non-market production. Usually NPISH will not receive any receipts for the products/ services provided by them. However, they will have receipts in the form of grants/ donations from individual, Government and other institutional units. Note that GVA need not be worked out for NPISH and other non-market producers in block 7
52	A <i>head office</i> selected for survey keeps the account of its branch offices (which are outside the FSU) also. In such cases How to make entries in various blocks	An enterprise selected as a 'head office' will be assigned NIC code 70100. Activity of head offices is another example of non-market production. Even if they keep the account (expenses, receipts, etc.) of its branch offices, the same should not be reported against the head office. The employment particulars also should be restricted to the employees of the head office not its branches. As in the case of NPISH, the GVA need not be calculated for such enterprises in block 7.

Block 8: Employment particulars

53	If a worker works for just an hour a day, will he be considered part time worker?	Yes, provided the normal working hours of the enterprise is more than 2 hours a day.
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Sl. no. (1)	Query (2)	Reply (3)
54	During listing stage, an enterprise is reported as OAE, as it operated without any hired labour during major part of its operation during the last 365 days. But in the reference month it has operated with a hired worker with total number of workers being 5, how it will be reported in Block 8?	Enterprise type as recorded in listing schedule and SSS recorded in block 1 of sch. 2.34 will not be changed. In block 2, actual enterprise type based on the reference year will be reported. In block 8, actual no. of workers engaged <i>during the reference month</i> will be given including hired one. Changing of code in listing schedule or block 1 of detailed enquiry schedule is not required even if it is subsequently found that it operated with hired labour throughout the reference year.
55	If owner of enterprise draws remuneration, will he be treated as hired worker?	No. The owner will be shown against item 801.
56	How will child labours be treated in block 8?	Child labour will be reported according to their gender since no specific information regarding adult workers and child workers is required in the schedule.
57	If a unit is working on all the days for 4 hours, will the workers be treated as full-time or part-time?	Since 4 hours is the normal working hours for this enterprise, the workers will be treated as full-time.
58	What will be the number of workers in a unit employing 10 workers in first shift and 15 workers in second shift & out of the workers working in second shift, 10 workers are included in first shift also?	Number will be 25 in such cases irrespective of the fact that the workers are the same or different.

Block 9: Compensation to workers

59	One enterprise is closed. Suppose it is giving salary to the employees. Whether entry will be made in block 9?	Yes.
60	Whether value of semi-finished goods or finished goods given to employees will be recorded in items 901-903?	Yes, such expenses by the employer are treated as 'compensation of employees paid in kind'.
61	How to calculate retirement benefit for a month when a person has retired after completing his eligible service?	Total retirement benefits payable by the enterprise for employees retired during the reference year is to be apportioned and reported.
62	Cooler facility is provided to workers in an enterprise. Will this expenditure be taken under group benefits i.e. against item 921-924 of block 9?	No, Coolers are part of assets of the enterprise. Electricity expenses for running it will come under item 521.
63	Whether for some industries like chemicals, food processing, etc. value of special dresses necessary to carry out the job are to be included.	Such special dresses necessary to carry out specific jobs may be reported under relevant sub-block with three-digit product code.

Sl. no.	Query	Reply
(1)	(2)	(3)

Block 10: Land and fixed assets

64	If an enterprise gives data from books of accounts, how would the market value of assets be given in block 10?	When enterprise is providing data from books of accounts, value of owned assets will be the net value (after deduction of depreciation for the year) of asset as per its books. For hired assets, market value is to be asked and recorded.
65	Whether change in market price of fixed assets will be reflected in col. 5?	No. Increase or decrease in market price will not be reflected in col. 5. This column is meant to capture actual net addition to owned assets through purchase/sale, etc. of the owned fixed assets.
66	If an enterprise without fixed premises keeps its vehicle somewhere, whether that piece of land will be considered as fixed asset?	No.
67	Where the entries for sold fixed assets will come?	Generally, it will be reflected while calculating net additions in col (5). However, capital gain/loss (difference in sale price and book value of an asset sold) will not be considered.
68	Sometimes soft drinks manufactures provide fridge to the retailers with the condition that a specified no. of crates will have to be sold in a specified period. The fridge is neither owned nor hired. How such cases will be treated?	It may be taken as a hired asset of the retailer with rent '0'. It will not appear as assets of the soft-drinks manufacturer.
69	A unit has started 2 months before the date of survey. The present market value of the assets is being noted in column 3. But what will be the entry in column 5? Whether the same entry will be reported here also?	The same entry will come in column 5 also.
70	The building of the enterprise is a semi-permanent structure built up by the entrepreneur on municipality land for which rent is paid. How to make the entries against item 1001/1002 of block 10?	If the land is taken on long-term lease (a term of 30 years or more) then the land is to be considered as owned. However, rent is also to be reported in column 6 of item 1001 with remarks. If it is not a long-term lease then the market value of the structure is to be recorded in column 3 of item 1002 and that of the land is to be recorded in column 4 of item 1001.
71	One master weaver distributes the assets to weavers, besides the yarn, who produce with the help of these assets. Whether the assets will be taken into account for master weaver?	No. These assets should be taken into account against the enterprise using it as hired asset.

Sl. no.	Query	Reply
(1)	(2)	(3)
72	Whether scissors, needles will be considered as tools?	Scissors will be tools and needle will generally be a consumable item.
73	Under which item to report ceiling fan, tube light fittings, telephone installation, internal wiring, etc.?	Item 1005. However, Internal wiring may come as a part of building if deriving separate value for it becomes difficult.
74	In 'net addition' do we get value after deducting depletion from addition of fixed assets during the reference Period?	Yes.

Block 11: Loan outstanding

75	Whether interest free loan will be considered for block 11?	Yes. It will be reported in item 1112.
76	a) Loans taken for mfg unit but spent for other purpose, whether this will be considered? b) If the loan has been taken for other purpose but spent for mfg unit, whether it will be treated as loan for block 11?	a)Yes b)No.
77	Is there any provision to include subsidy in block 11?	No, only loan will be included. Subsidy for the reference period will come in item 761 in block 6.
78	How to calculate the interest for the reference month if it is compound interest?	Total interest payable for the year may be apportioned for the month.
79	Whether money advanced by contractor is to be considered as loan?	Advance payment is not a loan.
80	The enterprise has taken 10 bags of plastic granules from a trader on condition that he will return 11 bags after 6 months. The value at the time of transaction was Rs.600/- per bags where as it is Rs.700/- per bag as on date of survey. How to make entries at column 3 & 4.	Present market value of 10 bags will be reported in column 3. Since the interest payable is for 6 months, hence difference between the present market value of 11 bags and old market value of 10 bags (Rs. 1700) is to be divided by 6 and reported in column 4.

Sl. no.	Query	Reply
(1)	(2)	(3)
81	Where will repayment of vehicle loan be included?	Vehicle is an asset of the enterprise and repayment of this loan is a capital expenditure. It will not be reflected in block 3 & 4. The outstanding loan amount on last day of the reference year will appear in column 3 of Block 11. Interest payable for the reference year will be apportioned for the month and reported in column 4, block 11. 'Apportioning for the month' means dividing the yearly value by 12 if it is perennial or casual enterprise and dividing by number of months operated if it is a seasonal enterprise.

Block 12: factor incomes

82	Whether item 1204 is to be independently enquired from the enterprise after filling in all other blocks?	Yes. In case of wide discrepancy, perception of investigator regarding the reasons for discrepancy may be recorded in the remarks column.
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Some mixed activities and treatment as per NSS convention

Description of activity	Mixed between	NSS convention
(1) free collection of leaves and selling plates	manufacturing & trade	trade
(2) fruit-juice seller	”	”
(3) pan shop	”	”
(4) Jhalmuri (mixture of muri, chana, ground nut etc.)	”	”
(5) selling balloon after filling it with gas	”	”
(6) selling coconut after removing outer fibre	”	”
(7) selling of firewood after cutting	”	”
(8) selling of fish after cleaning	”	”
(9) selling water after cooling (<i>nimbu pani</i>), coloured ice	”	”
10) making and selling bamboo basket	”	manufacturing
11) buying old goods and selling them after repair	”	”
12) meat shop/ chicken shop	”	manufacturing, if live animal is slaughtered and sold; trade otherwise
13) selling of flowers, garland, bouquet	”	manufacturing, if garland and bouquet fetches major income; trade otherwise
14) tailoring shops selling clothes	”	manufacturing, if tailoring fetches major income; trade otherwise
15) selling ground-nut after frying/boiling	manufacturing & restaurant	restaurant
16) selling boiled egg	”	”

Annexure 2.1

RURAL		*
URBAN		

**GOVERNMENT OF INDIA
NATIONAL SAMPLE SURVEY OFFICE
SOCIO-ECONOMIC SURVEY**

CENTRAL		*
STATE		

SEVENTY THIRD ROUND: JULY 2015 – JUNE 2016

SCHEDULE 0.0: LIST OF HOUSEHOLDS AND NON-AGRICULTURAL ENTERPRISES

[0] descriptive identification of sample village/EB/UFS block	
1. state/ u.t.:	4. village/ town name:
2. district:	5. ward/ investigator unit:
3. sub-district:	6. enumeration block(EB)/UFS block:

[1] identification of sample village/EB/UFS block					
item no.	item	code	item no.	item	code
1.	serial number of sample FSU		11.	sub-sample	
2.	round number	7 3	12.	FOD sub-region	
3.	schedule number	0 0	13.	frame code	
4.	sample (central-1, state-2)		14.	frame population (rural only)	
5.	sector (rural-1, urban-2)		15.	selection size	
6.	NSS region		16.	approximate present population	
7.	district		17.	approximate no. of non-agricultural enterprises (without segment 9 enterprises)	
8.	stratum		18.	total number of hg's/sb's formed (D)	
9.	sub-stratum		19.	survey code	
10.	sub-round		20.	reason code for substitution of original sample (for codes 4 – 7 in item 19)	

items 1, 4 – 11 and 13 – 15 to be copied from the sample list

CODES FOR BLOCK 1

item 13: **frame code:** rural/urban: 2011 census – 16
urban: 2007-12 UFS – 15, 2012-17 UFS – 17

item 19: **survey code:** *selected village/EB/UFS block surveyed:*
inhabited – 1, uninhabited – 2, zero case – 3

selected village/EB/UFS block casualty but substitute village/EB/UFS block surveyed:
inhabited – 4, uninhabited – 5, zero case – 6

selected village/EB/UFS block casualty and no substitute surveyed – 7

item 20: **reason code for substitution of original sample:**

sample village/EB/UFS block: not identifiable/ traceable – 1
not accessible – 2
restricted area (not permitted to survey) – 3
others (specify) – 9

* tick mark (✓) may be put in the appropriate place

[2] particulars of field operations										
srl. no.	item		field investigator (FI) / junior statistical officer (JSO)				field officer (FO)/ senior statistical officer (SSO)			
(1)	(2)		(3)				(4)			
1(a).	(i) name (block letters)									
	(ii) code									
	(iii) signature									
1(b).	(i) name (block letters)									
	(ii) code									
	(iii) signature									
2.	Date(s) of:		DD	MM	YY	DD	MM	YY		
	(i) commencement of survey/ inspection									
	(ii) completion of survey / inspection									
	(iii) receipt									
	(iv) scrutiny									
(v) despatch										
3.	number of additional sheet(s) attached									
4.	total time taken to canvass the schedule by the team of investigators (FI / JSO) (in hours) [no decimal point]									
5.	number of investigators (FI / JSO) in the team									
6.	whether any remark has been entered by FI/JSO/ supervisory officer (yes-1, no-2)	(i) in block 8/9								
		(ii) elsewhere in the schedule								

[8] remarks by investigators (FI/JSO)

[9] comments by supervisory officer(s)

[3] sketch map of hamlet-group (hg)/sub-block (sb) formation

A large, empty rectangular box with a thin black border, intended for a hand-drawn sketch map. The box occupies most of the page below the header text.

[6a] particulars of enterprises in segment 9								
segment number	enterprise type	second stage stratum (SSS)	number of enterprises					casualty [col 5-col.8]
			in the frame (E)	selected (e)	surveyed			
					originally selected	substituted	total	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
9	Establishment (2)	1						
		2						
		3						
		4						
		5						
		6						
		7						
		8						
		9						
		10						
		11						
		12						
		13						
	OAE (1)	14						
		15						
		16						
	all							

[6b] particulars of sampling of enterprises (for segments 1 & 2)								
segment number*	enterprise type	second stage stratum (SSS)	number of enterprises					casualty [col 5-col.8]
			in the frame (E)	selected (e)	surveyed			
					originally selected	substituted	total [col.6+col.7]	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
1	Establishment (2)	1						
		2						
		3						
		4						
		5						
		6						
		7						
		8						
		9						
		10						
		11						
		12						
		13						
	OAE (1)	14						
		15						
		16						
all								
2	Establishment (2)	1						
		2						
		3						
		4						
		5						
		6						
		7						
		8						
		9						
		10						
		11						
		12						
		13						
	OAE (1)	14						
		15						
		16						
all								

* if no hg/sb is formed, entries may be made against segment number 1

CODES FOR BLOCK 7**col.(5): broad activity category code:**

manufacturing.....	1
trade.....	2
other services.....	3
remaining.....	4

col.(6): type of ownership code:

proprietary/partnership.....	1
Govt./PSU.....	2
limited companies	3
co-operative society.....	4
others.....	5

col.(7): registration code: registered under Sections 2m(i) and 2m(ii) of the Factories Act, 1948 or beedi and cigar workers (conditions of employment) Act, 1966 or Limited Liability Partnership (LLP) Act, 2008 or with the Central Electricity Authority: yes – 1, no – 2

@ col.(8): NIC –2008 code:

2 digits for 11 – 33, 37 – 39, 45 – 47, 50, 52 – 55, 58 – 63, 69 – 75, 78 – 82, 85 – 93, 96;

3 digits for 101, 102, 103, 104, 105, 106, 107, 108, 561, 562, 563, 663, 681, 682, 771, 772, 773, 941, 952;

4 digits for 4922, 4923, 6491, 6499, 6612, 6619, 6621, 9491 (individuals), 9499, 9511, 9512;

5 digits for 01632, 35103, 35105, 35106, 35107, 35109, 49211, 49219, 64193 (chit funds), 64300, 64309 (self help groups), 64920, 64921 (investment clubs), 64929 (activities of private moneylenders).

col.(9): eligibility code:

operated for at least 30 days (15 days for seasonal enterprises and SHG) during last 365 days – 1
otherwise – 2

col.(13): enterprise type code:

OAE	1
Establishment	2

col.(14): SSS number:

enterprise type	broad activity category	SSS	NIC - 2008
establishments	manufacturing	1	101, 102, 103, 104, 105, 107, 11
		2	01632, 13 – 18, 31
		3	106, 108, 12, 19 – 30, 32, 33, 35103, 35105, 35106, 35107, 35109
	trade	4	45
		5	46
		6	47
	other services	7	55, 562
		8	49211, 49219, 4922, 4923, 50, 52, 79
		9	64193 (chit funds), 643, 64309 (self help groups) , 6491, 6492, 64921 (investment clubs), 64929 (activities of private moneylenders), 6499, 6612, 6619, 6621, 663
		10	53,58 – 62, 631, 639, 681, 69 – 74, 771, 772, 773, 78, 80 – 82, 9511
		11	85
		12	75, 86 – 88, 941, 9491, 9499
		13	37 – 39, 561, 563, 682, 90 – 93, 9512, 952, 96
OAEs	manufacturing	14	01632, 10–33, 35103, 35105, 35106, 35107, 35109
	trade	15	45, 46, 47
	other services	16	37 – 39, 49211, 49219, 4922, 4923, 50, 52 – 63, 643, 64193, 64309, 6491, 64920, 64921, 64929, 6499, 6612, 6619, 6621, 663, 68, 69, 70 – 75, 771, 772, 773,78 – 82, 85 – 93, 941, 949, 95, 96

Worksheet – Compensation for Schedule 2.34 (without hg/sb formation)

Compensation for shortfall of manufacturing enterprises						
segment no.	SSS	no. of enterprises to be surveyed	E	Step 1	Step 3	e
1	1	2				
	2	2				
	3	2				
	14	2				
	total	8				
shortfall						
maximum allocation: (i) SSS 1– 3 = 6 (ii) SSS14 = 4 (iii) total = 8						

Compensation for shortfall of trading enterprises						
segment no.	SSS	no. of enterprises to be surveyed	E	Step 1	Step 3	e
1	4	2				
	5	2				
	6	2				
	15	2				
	total	8				
shortfall						
maximum allocation: (i) SSS 4 – 6 = 6 (ii) SSS15 = 4 (iii) total = 8						

Compensation for shortfall of other service sector enterprises						
segment no.	SSS	no. of enterprises to be surveyed	E	Step 1	Step 3	e
1	7	2				
	8	2				
	9	2				
	10	2				
	11	2				
	12	2				
	13	2				
	16	2				
	total	16				
shortfall						
maximum allocation: (i) SSS 7 – 13 = 14 (ii) SSS16 = 4 (iii) total = 16						

Worksheet – Compensation for Schedule 2.34 (with hg/sb formation)

Compensation for shortfall of manufacturing enterprises								
segment no.	SSS	no. of enterprises to be surveyed	E	Step 1	Step 2	Step1 + Step2	Step 3	e
1	1	1						
	2	1						
	3	1						
	14	1						
	total	4						
2	1	1						
	2	1						
	3	1						
	14	1						
	total	4						
1+2	1-3	6						
	14	2						
	total	8						
shortfall								
maximum allocation: (i) SSS 1– 3 = 6 (ii) SSS14 = 4 (iii) total = 8								

Compensation for shortfall of trading enterprises								
segment no.	SSS	no. of enterprises to be surveyed	E	Step 1	Step 2	Step1 + Step2	Step 3	e
1	4	1						
	5	1						
	6	1						
	15	1						
	total	4						
2	4	1						
	5	1						
	6	1						
	15	1						
	total	4						
1+2	4-6	6						
	15	2						
	total	8						
shortfall								
maximum allocation: (i) SSS 4 – 6 = 6 (ii) SSS15 = 4 (iii) total = 8								

Compensation for shortfall of other service sector enterprises								
segment no.	SSS	no. of enterprises to be surveyed	E	Step 1	Step 2	Step1 + Step2	Step 3	e
1	7	1						
	8	1						
	9	1						
	10	1						
	11	1						
	12	1						
	13	1						
	16	1						
	total	8						
2	7	1						
	8	1						
	9	1						
	10	1						
	11	1						
	12	1						
	13	1						
	16	1						
	total	8						
1+2	7-13	14						
	16	2						
	total	16						
shortfall								
maximum allocation: (i) SSS 7 – 13 = 14 (ii) SSS16 = 4 (iii) total = 16								

SSS no.	NIC 2008 codes	description
<i>Establishments</i>		
<i>Manufacturing</i>		
1	101, 102, 103, 104, 105, 107, 11	Food products and beverages
2	01632, 13, 14, 15, 16, 17, 18, 31	Cotton ginning, cleaning and bailing, textiles, wearing apparel, leather and leather products, wood and wood products, furniture, paper and paper products, printing, etc.
3	106, 108, 12, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30, 32, 33, 35103, 35105, 35106, 35107, 35109	Grain mill products, prepared animal feeds, tobacco, petroleum, chemical and chemical products, pharmaceuticals, rubber, plastic, motor vehicle, transport equipments, electric power generation and other manufacturing activities
<i>Trade</i>		
4	45	Wholesale and retail trade and repair of motor vehicles and motorcycles
5	46	Other wholesale trade
6	47	Other retail trade
<i>Other services</i>		
7	55 , 562	Accommodation, Event catering and other food service activities
8	49211, 49219, 4922, 4923, 50, 52, 79	Transport, supporting and auxiliary transport activities, travel agency, tour operators etc.
9	64193 (chit funds), 643, 64309 (self help groups), 6491, 6492, 64921 (investment clubs), 64929 (activities of private moneylenders), 6499, 6612, 6619, 6621, 663	Financial service activities, except insurance and pension funding and other financial activities
10	53, 58 – 62, 631, 639, 681, 69, 70, 71, 72, 73, 74, 771, 772, 773, 78, 80, 81, 82, 9511	Postal, courier, software publishing, information service and communication
11	85	Education
12	75, 86, 87, 88, 941, 9491 (organizations), 9499	Veterinary, human health, residential care, social work activities and membership organizations
13	37, 38, 39, 561, 563, 682, 90, 91, 92, 93, 9512, 952, 96	Other services activities
<i>OAEs</i>		
14	01632, 10–33, 35103, 35105, 35106, 35107, 35109	Manufacturing
15	45, 46, 47	Trade
16	37 – 39, 49211, 49219, 4922, 4923, 50, 52 – 63, 64193, 643, 64309, 6491, 64920, 64921, 64929, 6499, 6612, 6619, 6621, 663, 68, 69, 70 – 75, 771, 772, 773, 78 – 82, 85 – 93, 941, 949, 95, 96	Other Services

RURAL	*
URBAN	

**GOVERNMENT OF INDIA
NATIONAL SAMPLE SURVEY OFFICE
SOCIO - ECONOMIC SURVEY**

CENTRAL	*
STATE	

**SEVENTY-THIRD ROUND: JULY 2015 - JUNE 2016
SCHEDULE 2.34 : UNINCORPORATED NON-AGRICULTURAL
ENTERPRISES (EXCLUDING CONSTRUCTION)**

[0] descriptive identification of sample enterprise	
1. state/u.t:	6. ward/investigator unit:
2. district:	7. enumeration block (EB)/ UFS block:
3. sub-district:	8. name of owner:
4. village/ town name:	9. name of informant:
5. serial no. of hamlet: (col-1,block-4.1)#	10. name and address of the enterprise:

*tick mark (√) may be put in appropriate place. # refers to schedule 0.0.

[1] identification of sample enterprise									
item no.	item	code			item no.	item	code		
1	serial no. of sample FSU				12	FOD sub-region			
2	round number	7	3		13	segment number (1 / 2 / 9)			
3	schedule number	2	3	4					
4	sample (central-1, state-2)				14	second stage stratum (SSS)			
5	sector (rural - 1, urban - 2)								
6	NSSregion				15	sample enterprise number			
7	district				16	response code			
8	stratum								
9	sub-stratum				17	informant code			
10	sub - round				18	survey code			
11	sub - sample				19	reason for original sample not surveyed (code) [for entry in item 18 = 2 & 3]			

codes for block 1

item 16 : **response code** : informant co-operative and capable - 1, informant co-operative but not capable - 2, informant busy but responded - 3, informant reluctant - 4, others - 9

item 17 : **informant code** : owner – 1, manager – 2, others – 9

item 18 : **survey code**: original enterprise surveyed - 1, substitute surveyed - 2, casualty - 3

item 19 : **reason for original sample not surveyed**: informant busy – 1, informant not available – 2, informant non-cooperative – 3, others – 9

item 204: type of ownership			
proprietary (male)	1	partnership between members not all from the same household	5
proprietary(female)	2	Self- Help Group.....	6
proprietary (transgender).....	3	Trusts	7
partnership with members of the same household	4	others.....	9
item 210: location of the enterprise			
<u>within</u> household premises	1	with fixed premises but without any structure	4
<u>outside</u> household premises:		mobile market	5
with fixed premises and with permanent structure	2	without fixed premises(street vendors) ...	6
with fixed premises and with temporary structure/kiosk/stall	3		
items 221& 222: nature of problems faced by the enterprise			
erratic power supply/ power cuts.....	1	non-recovery of financial dues	5
shortage of raw materials.....	2	non-availability of labour as and when needed.....	6
shrinkage /fall of demand	3	non-availability of skilled labour as and when needed.....	7
		labour disputes and related problems	8
non-availability / high cost of credit	4	others.specify).....	9
item 224& 225 : type of assistance received from the government *			
financial loan	1	marketing	5
subsidy	2	raw material.....	6
machinery/ equipment.....	3	others	9
skill development.....	4		

* This will not include any assistance/ subsidy which are passed on to the consumers.

Note 1: Mixed activity: An enterprise at a location will be treated as pursuing mixed activity if it carries out a no. of activities simultaneously and accounts for those activities are not separable. The NIC-2008 Codes for those activities **should be different at 2-digit level**. If accounts are separable, each activity will be treated as separate enterprise.

Note 2: Major activity: It is that activity which yields maximum income (1st) / turnover (2nd) /employment (3rd) (in the order mentioned)

[2] particulars of operation and background information		item no.	code			
(1)		(2)	(3)			
whether pursuing mixed activity? (yes – 1, no – 2)		201				
major activity during the reference month code (5-digit as per NIC 2008) special codes: chit fund – 64193, Self-Help Group (engaged in financial intermediation) – 64309, investment club – 64921, activities of private moneylenders – 64929		202				
description of the major activity during the reference month:						
if 'yes' in item 201	principal minor activity during the reference month code (5-digit as per NIC 2008) [1 st 2 digits of item 202 ≠ 1 st 2 digits of item 203]	203				
type of ownership (code)		204				
whether non-profit institution? (yes, major receipts coming from donation/ grants-1, yes, major receipts not coming from donation/ grants-2, no-3)		205				
if code 1 in item 205	whether non-profit institution serving households (NPISH)? (yes-1, no-2)	206				
if item 204 is '1' to '5'	social group of the owner / major partner (ST-1, SC-2, OBC-3, Others-4, not known-9)	207				
whether the enterprise maintain any bank account/ post office savings bank account? yes, in owner's name – 1, yes, in enterprise's name -2, yes, both in owner's name and enterprise's name -3, no- 4		208				
number of other economic activities taken up by the entrepreneur during the last 365 days (applicable if entry in item 204 is '1' to '5')		209				
location of the enterprise (code)		210				
enterprise type during the last 365 days (Own Account Enterprise-1, Establishment-2)		211				
year of initial operation under the current owner		212				
nature of operation (perennial – 1, seasonal – 2, casual – 3)		213				
number of months operated during the last 365 days (in whole numbers)		214				
number of hours the enterprise normally worked in a day during the reference month (in whole numbers)		215				
whether accounts maintained? (yes-1, no-2)		216				
if 'yes' in item 216, whether data collected from books of accounts? (yes-1, no-2)		217				
did the enterprise use computer (s) during the last 365 days? (yes- 1, no -2)		218				
did the enterprise use internet during the last 365 days? (yes- 1, no -2)		219				
did the enterprise face any problem in its operation during last 365 days? (yes-1, no-2)		220				
if 'yes' in item 220, nature of problems faced in its operation during the last 365 days (at most two codes in order of severity of problems)	most severe problem	221				
	next severe problem	222				

[2] particulars of operation and background information		item no.	code	
(1)		(2)	(3)	
did the enterprise receive any assistance from the government during last three years? (yes-1, no-2)		223		
if 'yes' in item 223, types of assistance received from the government during the last three years (code) (at most 2 codes may be given in descending order of the importance of assistance)	most important assistance	224		
	next important assistance	225		
status of the enterprise over the last 3 years (expanding – 1, stagnant – 2, contracting – 3, operated for less than three years – 9)		226		
whether registered under any act/authority? (yes-1, no-2)		227		
type of registration of the enterprise				
if 'yes' in item 227	whether registered under (yes-1, no-2)	Shops and Establishment Act?	228	
		Municipal Corporation/ Panchayats/ Local Body?	229	
		Vat /Sales Tax Act?	230	
		Provident Fund Act?	231	
		Employees State Insurance Corporation Act?	232	
		Registered with SEBI/ Stock Exchange?	233	
	any other industry-specific Act/ Authority (give at most three codes from any of 01 – 18 or 99 as per the code list)		234	
			235	
		236		
does the enterprise undertake any work on contract basis (yes -1, no -2)		237		
if 'yes' in item 237	type of contract (code)		238	
	for manufacturing enterprises only	equipment supplied by (code)	239	
		raw material supplied by (code)	240	
		design specified by contractor (yes -1, no- 2)	241	
if 'no' in item 237, does the enterprise provide any manufacturing services? (yes -1, no -2)		242		
is the enterprise a franchisee outlet? (yes -1, no -2)		243		
does the enterprise have access to toilet facility? (code)		244		
does the enterprise have provision for solid waste management? (code)		245		
does the enterprise have provision for liquid waste management? (code)		246		

items 234-236 : industry-specific act/authority of registration			
State directorate of industries	01	District Supply and Marketing Society.....	10
Khadi and Village Industries Commission/ Board.....	02	Technical Consultancy Services Organisations/Council for Technological Upgradation.....	11
Development Commissioner of Handicraft /handloom.....	03	Sale tax.....	12
Commodity boards (Coir board, Silk Board, Jute commissioner, etc.).....	04	Indian Charitable Act	13
Directorate of education /AICTE/NCTE	05	Cinematograph act	14
Pollution Control Board.....	06	Money lender's Act (including the State variants).	15
Directorate General of Foreign Trade/ other export promotion agencies.....	07	Societies Registration Act, 1860 (including the State variants).....	16
State Financial Corporation/Industrial Cooperative Banks/Industrial Development Banks/ SIDBI.....	08	Indian Trust Act/Public Trust Act (including the State variants).....	17
Food safety and Standards Act, 2006.....	09	Employees Provident Fund Organisation (EPFO).....	18
		Others.....	99
item 238: type of contract			
working solely for other enterprise/contractor	1	mainly for customers but also on contract.....	3
mainly on contract but also for other customers	2		
item 239 and 240 : equipment/ raw materials supplied by			
self- procured	1	Both.....	3
supplied by the master unit/ contractor.....	2		
item 244: toilet facility			
yes and in usable condition.....	1	yes, public toilet in the market place/building....	3
yes but not in usable condition.....	2	no toilet.....	4
item 245: provision for solid waste management			
yes, regularly collected by local/civic authority	1	no, throw it on the roadside.....	4
yes, disposes off in the waste treatment centre/ authorized dumping ground.....	2	no, leave it at the location of enterprise/activity..	5
yes, has own waste treatment system.....	3	enterprise does not generate solidwaste.....	6
item 246: provision for liquid waste management			
yes, has own liquid waste treatment system.....	1	no, liquid waste is discharged on the road/ nalla/river.....	3
no, liquid waste is disposed off in the usual waste water discharge	2	enterprise does not generate liquid waste.....	4

[2.1] activities pursued by the enterprise during last 30 days ended on / last calendar month ended on		
broad description of the activity	item no.	whether pursued the activity during the reference period (yes-1, no-2)
(1)	(2)	(3)
manufacturing, non-captive power generation and transmission activities (NIC-08 Div. 10-33, 01632, 35103, 35105, 35106, 35107, 35109)	251	
trading activity (NIC-08 Div. 45-47)	252	
transportation , travel agency, tour operator activities (NIC-08 Groups 492, Div. 50,79, excluding 49212, 49213)	253	
warehousing and support activities of transportation (NIC-08 Div.52)	254	
postal and courier activities (NIC-08 Div. 53)	255	
accommodation and food service activities (NIC-08 Div. 55-56)	256	
information and communications activities (NIC-08 Div. 58-63)	257	
financial activities (NIC-08 Groups 643, 649, 6612, 6619, 6621, 663 including special codes for chit fund – 64193, self-help group – 64309, investment club – 64921, activities of private moneylenders – 64929)	258	
real estate, rental and leasing activities (NIC-08 Div. 68, 77 excluding 774)	259	
business and professional service activities (NIC-08 Div. 69 to 74, 78, 80 to 82)	260	
educational activities (NIC-08 Div. 85)	261	
human health, social work and veterinary activities (NIC-08 Div. 75, 86-88)	262	
other personal service activities (NIC-08 Div. 96)	263	
other activities (NIC-08 Industries 37, 38, 39, 90, 91, 92, 93, 941, 949, 95)	264	

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)					
(1)	(2)	(3)			(4)
manufacturing, non-captive power generation and transmission activities (NIC-08 Div. 10-33, 01632, 35103, 35105, 35106, 35107, 35109)					
main raw materials consumed	item no.	3 digit product code			value (Rs.)
	301				
	302				
	303				
	304				
other raw materials consumed	305				
purchase value of the goods sold in the same condition as purchased	306				
expenses incurred for manufacturing services	307				
total (items 301 to 307)	309				

trading activity (NIC-08 Div. 45-47) (exclude transport charges and report them in block 4, if available separately)					
main commodities purchased	item no.	3 digit product code			value (Rs.)
	311				
	312				
	313				
	314				
other commodities purchased	315				
total (items 311 to 315)	319				

transportation, travel agency and tour operator activities (NIC-08 Groups 492, Div.50, 79 excluding 49212, 49213)					
main items consumed	item no.	3 digit product code			value (Rs.)
petrol, diesel and lubricants	321	5	4	1	
LPG, CNG	322	5	4	3	
rubber products: tyres , tubes	323	5	2	2	
batteries, accumulators, cells	324	8	2	3	
	325				
	326				
other items consumed	327				
travel agent's/ tour operator's payments for passenger fare/ goods transportation by	railways	328			
	land (bus, truck, auto, taxi, etc.)	331			
	air	332			
	water (boat, steamer, ferry, etc.)	333			
minor repair and maintenance of transport equipment	334				
insurance charges paid	335				
storage and warehousing charges paid	336				
parking fees paid for vehicles	337				
hotel & restaurant service charges (room rent, food, drinks, etc.)	338				
total (items 321 to 338)	339				

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)					
warehousing and support activities for transportation (NIC-08, Div. 52)					
(1)	(2)	(3)			(4)
main items consumed	item no.	3 digit product code			value (Rs.)
jute, cloth, etc. used as consumable stores	341	3	9	9	
pesticide, insecticide, weedicide, fungicide	342	6	1	2	
	343				
	344				
other items consumed	345				
insurance charges	346				
contract, sub-contract, commission expenses	347				
service charges paid to other concerns for carrying of goods	348				
total (items 341 to 348)	349				

postal and courier activities (NIC-08 Div. 53)					
main items consumed	item no.	3 digit product code			value (Rs.)
paper used in printer, fax etc.	351	5	1	3	
paper products: stationery articles and postal articles	352	5	1	2	
spares and accessories of electronic equipments (ink cartridges used in printer, fax etc.)	353	8	3	4	
	354				
	355				
other items consumed	356				
insurance charges	357				
computer related services (software development, AMC, etc.)	358				
total (items 351 to 358)	359				

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)					
accommodation and food service activities (NIC-08 Div. 55-56)					
(1)	(2)	(3)			(4)
main items consumed	item no.	3 digit product code			value (Rs.)
wheat flour	361	2	3	2	
rice	362	2	3	1	
pulses milled	363	2	3	3	
egg and poultry	364	0	4	3	
processed poultry meat & poultry meat products	365	2	1	1	
processed other meat and products	366	2	1	2	
inland fish	367	0	6	1	
marine fish	368	0	6	2	
bread and bakery products - biscuit, cake, bread, rusk, pastries, etc.	371	2	4	2	
dairy products (milk, butter, ghee, ice cream, curd, paneer, etc.)	372	2	2	2	
edible oils and fats (excluding dairy products)	373	2	2	3	
sugar, sugar cube, gur	374	2	4	1	
alcoholic beverages	375	2	5	1	
non-alcoholic beverages: soft drink, fruit juice, aerated water	376	2	5	2	
potato and onion	377	0	2	7	
vegetables (excluding potato and onion)	378	0	2	8	
fruits	381	0	2	6	
	382				
	383				
	384				
other items consumed	385				
insurance charges	386				
computer related services (software development, AMC, etc.)	387				
total (items 361 to 387)	389				

information and communication activities(NIC-08 Div. 58-63)					
main items consumed	item no.	3 digit product code			value (Rs.)
paper and paper products (other than stationery)	391	5	1	3	
spares and accessories of electronic equipments (ink cartridges used in printer, fax etc.)	392	8	3	4	
stationery articles of paper	393	5	1	2	
	394				
	395				
other items consumed	396				
communication charges (postage, courier, local call/ STD / ISD, cyber café, cellular, internet, email, etc.)	397				
insurance charges	398				
computer related services (software development, AMC, etc.)	401				
total (items 391 to 401)	409				

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)					
financial activities(NIC-08 groups 643, 649, 6612, 6619, 6621, 663 including special codes 64193, 64309, 64921 and 64929)					
(1)	(2)	(3)			(4)
main items consumed	item no.	3 digit product code			value (Rs.)
paper and paper products: (other than stationery)	411	5	1	3	
spares and accessories of electronic equipments (ink cartridges used in printer, fax etc.)	412	8	3	4	
stationery articles of paper	413	5	1	2	
	414				
	415				
other items consumed	416				
interest payments	417				
banking, commission, brokerage (exclude interest payments to banks)	418				
legal services	421				
audit, advertising, accounting, book keeping, architecture, engineering, photocopying	422				
computer related services (software development, AMC, etc.)	423				
total (items 411 to 423)	429				

real estate,rental and leasing activities(NIC-08 Div. 68, 77 excluding 774)					
main items consumed		item no.	3 digit product code		value (Rs.)
		431			
		432			
other items consumed		433			
minor repair and maintenance of	building and fixtures	434			
	tools and other fixed assets	435			
service charges for work done by other concerns	contract, sub-contract, commission expenses	436			
	legal services	437			
	hotel& restaurant service charges (room rent, food, drinks, etc.)	438			
insurance charges		441			
total (items 431 to 441)		449			

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)					
business and professional service activities(NIC-08 Div. 69 -74, 78, 80 - 82)					
(1)		(2)	(3)		(4)
main items consumed		item no.	3 digit product code		value (Rs.)
		451			
		452			
other items consumed		453			
hotel& restaurant service charges (room rent, food, drinks, etc.)		454			
service charges for work done by other concerns	contract, sub-contract, commission expenses	455			
	legal services	456			
	audit, advertising, accounting, book keeping, architecture, engineering, photocopying	457			
	training, education, coaching	458			
rental payable on produced fixed assets		461			
total (items 451 to 461)		469			

educational activities(NIC-08 Div. 85)					
main items consumed		item no.	3 digit product code		value (Rs.)
paper and paper products (other than stationery)		471	5	1	3
books, journals atlases, maps, newspaper		472	5	1	4
paper stationeries and consumables, postal articles		473	5	1	2
spares and accessories of electronic equipments (ink cartridges used in printer, fax etc.)		474	8	3	4
readymade garments of cotton		475	3	2	1
misc. textile products: uniforms, linen and laundry materials		476	3	9	9
sports goods		477	8	4	2
organic chemicals– e.g., used in laboratory		478	6	2	8
inorganic chemicals– e.g., used in laboratory		481	6	2	7
		482			
		483			
other items consumed		484			
hotel& restaurant service charges (room rent, food, drinks, etc.)		485			
total (items 471 to 485)		489			

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)					
human health, social work and veterinary activities (NIC-08 Div. 75, 86-88)					
(1)	(2)	(3)			(4)
main items consumed	item no.	3 digit product code			value (Rs.)
drugs and medicines : allopathic	491	6	2	2	
drugs and medicines : AYUSH	492	6	2	3	
medical, precision and optical instruments - syringes, intra veins drip sets, plastering materials, etc.	493	8	3	2	
misc. textile products: uniforms, linen and laundry materials	494	3	9	9	
organic chemicals– e.g. used in laboratory, hospital, operation theatre, pathlabs, diagnostic tests	495	6	2	8	
inorganic chemicals– e.g. used in laboratory, hospital, operation theatre, pathlabs, diagnostic tests	496	6	2	7	
	497				
	498				
other items consumed	501				
hotel & restaurant service charges (room rent, food, drinks, etc.)	502				
total (items 491 to 502)	509				

other personal service activities (NIC-08 Div 96)					
main items consumed	item no.	3 digit product code			value (Rs.)
miscellaneous metal products (scissors, razors, etc.)	511	7	3	9	
soaps, detergents, glycerine	512	6	2	4	
cosmetics and toiletries	513	6	2	5	
miscellaneous manufacturing products (broom, brush duster, shoe brush, etc.)	514	8	4	9	
	515				
	516				
other items consumed	517				
total (items 511 to 517)	519				

[4] other operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number) (all other operating expenses not covered under block 3 will be recorded in this block)			
(1)		(2)	(3)
items		item no.	value (Rs.)
electricity charges		521	
fuel and lubricant		522	
raw materials consumed for own construction	of building	523	
	of furniture and fixtures	524	
minor repair and maintenance (including plumbing, sanitary) of	building and fixtures	525	
	plant and machinery	526	
	transport equipment	527	
	information, computer and telecommunication equipment (ICT)	528	
	tools and other fixed assets	531	
rental payable on fixed assets (other than land)		532	
service charges for work done by other concerns	contract, sub-contract, commission expenses	533	
	storage and warehousing charges	534	
	legal services	535	
	audit, advertising, accounting, book keeping, architecture, engineering, photocopying	536	
	computer related services (software development, AMC, etc.)	537	
	Government administrative charges (PF administration, etc.)	538	
	training, education, coaching	541	
	medical services (doctor's fees, etc.)	542	
	rental expenses (e.g., hiring of auditorium, sports ground, etc.)	543	
	washing, cleaning, laundry, photography, etc.	544	
travelling, freight and cartage (transport) expenses by	radio and TV broadcasting	545	
	railways	546	
	land (bus, truck, car, taxi, auto, etc.)	547	
	air	548	
	water (boat, steamer, ferry through canal, river, sea, etc.)	551	
others (packaging, cargo handling, movers & packers, travel agency, etc.)	552		
communication expenses (telephone, fax, postal, courier, e-mail, etc.)		553	
financial charges	banking, commission, brokerage (exclude interest payments to banks)	554	
	insurance	555	
other expenses on goods inputs		556	
other expenses on services		557	
total (items 521 to 557)		559	

Note 3: Apart from the industries mentioned in block 3, this block will also be applicable for NIC-08 Industries 37, 38, 39, 90, 91, 92, 93, 941, 949, 95

Note 4: Please take care that there is no duplication of entries in similar items in block 3.

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)				
manufacturing, non-captive power generation and transmission activities (NIC-08 Div. 10-33, 01632, 35103, 35105, 35106, 35107, 35109)				
(1)	(2)	(3)		(4)
main products and by-products manufactured	item no.	3 digit product code		value (Rs.)
	561			
	562			
	563			
	564			
other products/ by-products	565			
sale value of the goods sold in the same condition as purchased(if entry is present in item 306)	566			
receipts from manufacturing services	567			
sub-total(items 561 to 567)	569			
opening stock of semi-finished goods	571			
closing stock of semi-finished goods	572			
change in stock of semi-finished goods (item 572 –item 571) (put (-) sign in case of negative value)	573			
total (item 569 + item 573)	579			

trading activity (NIC-08 Div. 45-47)				
main commodities sold	item no.	3 digit product code		value (Rs.)
	581			
	582			
	583			
	584			
other commodities sold	585			
sub-total (items 581 to 585)	589			
opening stock of trading goods	591			
closing stock of trading goods	592			
changes in stock of trading goods (item 592– item 591)(put (-) sign in case of negative value)	593			
own account consumption of goods purchased	594			
total (item 589 +item 593+ item 594)	599			

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)			
transportation, travel agency and tour operating activities (NIC-08 Groups 492, Div. 50,79 excluding 49212, 49213)			
(1)	(2)	(3)	(4)
main items	item no	3 digit product code	value (Rs.)
receipts from passenger traffic	land (bus, truck, taxi, auto, etc.)	601	
	water (boat, steamer, ferry, etc.)	602	
receipts from goods traffic	land (bus, truck, taxi, auto, etc.)	603	
	water (boat, steamer, ferry, etc.)	604	
receipts of travel agents/ tour operators from customers for their booking	605		
storage charges received	606		
service charges received for support activities for transportation (packaging, cargo handling, movers & packers)	607		
total (items 601 to 607)	609		

warehousing and support activities for transportation (NIC-08 Div. 52)			
main items	item no.	3 digit product code	value (Rs.)
storage charges received	611		
service charges received for support activities for transportation (packaging, cargo handling, movers & packers, travel agency, etc.)	612		
porter/coolie charges received	613		
total (items 611 to 613)	619		

postal and courier activities (NIC-08 Div. 53)			
main items	item no.	3 digit product code	value (Rs.)
charges received from customers for postal and courier activities	621		
total (item 621)	629		

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)						
accommodation and food service activities (NIC-08 Div. 55-56)						
(1)		(2)	(3)			(4)
main items		item no.	3 digit product code			value (Rs.)
receipts from sale of prepared food, refreshment and drinks		631				
receipts from sale of goods in same condition as purchased	bread and bakery products - biscuit, cake, bread, rusk, pastries, etc.	632	2	4	2	
	dairy products – milk, butter, ghee, ice cream, curd, paneer, etc.	633	2	2	2	
	alcoholic beverages	634	2	5	1	
	non-alcoholic beverages: soft drink, fruit juice, aerated water, bottled water, etc.	635	2	5	2	
		636				
		637				
other items		638				
lodging charges, rent receivable for hiring out rooms and halls for functions, conferences		641				
receipts from transport / travel arrangements services		642				
receipts from laundry services, gym, spa, hair dressing, swimming pool, entertainment		643				
receipts from catering services		644				
own account consumption of goods purchased/ items prepared		645				
total(items 631 to 645)		649				

information and communication activities (NIC-08 Div. 58-63)						
main items		item no.	3 digit product code			value (Rs.)
charges receivable from customers (STD / ISD fax / internet etc.)		651				
receipts from publishing of books, brochures, atlases, maps , charts, mailing list, directories etc.		652				
receipts from software publishing		653				
receipts from production and post -production activities of video, motion picture, television programmes		654				
receipts from development of customised software, web-page designing, computer consultancy, installation, maintenance, etc.		655				
receipts from data entry, data processing, report writing activities		656				
total(items 651 to 656)		659				

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)				
financial activities(NIC-08 groups 643, 649, 6612, 6619, 6621, 663 including special codes 64193, 64309, 64921 and 64929)				
(1)	(2)	(3)		(4)
main items	item no.	3 digit product code		value (Rs.)
interest receipts (cash and kind)	661			
lease income	662			
brokerage and commission	663			
net profit in share dealing, income earned on chit funds, net earnings from hire purchase finance	664			
receipts from financial consultancy activities	665			
total (items 661 to 665)	669			
real estate, rental and leasing activities (NIC-08 Div. 68, 77 excluding 774)				
main items	item no.	3 digit product code		value (Rs.)
brokerage and commission charges	671			
rental/lease receipt from operational leasing	672			
receipt from renting and leasing of personal and household goods	673			
total (item 671 to 673)	679			

business and professional service activities(NIC-08 Div. 69 - 74, 78, 80 - 82)				
main items	item no.	3 digit product code		value (Rs.)
receipts from	consultancy services	681		
	legal services	682		
	audit, advertising, accounting, book keeping, architecture, engineering, photocopying	683		
	training, education, coaching	684		
	photography services	685		
	interior decoration, graphic designing, fashion designing	686		
total (items 681 to 686)	689			

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)						
educational activities(NIC-08 Div. 85)						
(1)		(2)	(3)			(4)
main items		item no.	3 digit productcode			value (Rs.)
receipts from sale of books, journals, dictionary, etc.		691	5	1	4	
		692				
		693				
		694				
receipts from other items sold		695				
receipts for development fund charges, development fee		696				
tuition fees, coaching fees		697				
transport fees, laboratory fees, examination fees, fines, library fee		698				
rental receipts (e.g., letting out of auditorium, sports ground, etc.)		701				
total (items 691 to 701)		709				

human health, social work and veterinary activities (NIC-08 Div. 75, 86-88)						
(1)		(2)	(3)			(4)
main items		item no.	3 digit productcode			value (Rs.)
receipts from sale of	drugs and medicines : allopathic	711	6	2	2	
	drugs and medicines : AYUSH	712	6	2	3	
	prepared food, refreshment and drinks	713				
	non-alcoholic beverages	714	2	5	2	
		715				
other items sold		716				
doctor's consultation fees		717				
charges for operation theatre, and other special procedures		718				
charges for ward, cabin, pathological, radiological and other diagnostic tests, diet, nursing, physiotherapy and rehabilitation, etc.		721				
fees for training (nurses, paraprofessionals, etc.)		722				
total (items 711 to 722)		729				

other personal service activities(NIC-08 Div. 96)						
main items		item no.	3 digit productcode			value (Rs.)
receipts from sale of goods in same condition as purchased	cosmetics, toiletries	731	6	2	5	
	soaps, detergents and glycerine	732	6	2	4	
	misc. food products (dog food, cat food, etc.)	733	2	4	3	
		734				
		735				
other items sold		736				
service charges from personal service activities		737				
total (items 731 to 737)		739				

[6] other receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number) (all other receipts of the enterprise not covered under block 5 will be recorded in this block.)			
(1)		(2)	(3)
other receipts		item no.	value (Rs.)
receipts from services provided to others including commission charges(other than manufacturing services)		741	
receipts from computer and related services		742	
change-in-stock of semi-finished goods (applicable for servicing enterprises engaged in software generation, motion picture production, etc.)		743	
receipts from services to international and extra- territorial bodies		744	
other receipts(describe)		745	
value of own construction (including labour charges) of	building	746	
	furniture and fixtures	747	
rental receivable on fixed assets (other than land)		748	
grants/ funding/ donations (excluding capital transfers like building grant, etc.) from	individual and non-govt. institutions	751	
	Government	752	
total (item 741 to 752)		759	
production subsidy/ interest subsidy (if any)		761	
capital transfers like building grants/ funding/ donations from	individual and non-govt. institutions	762	
	Government	763	
total (item 762 + item 763)		769	

Note 5: Apart from the industries mentioned in block 5, this block will also be applicable for NIC-08 Industries 37, 38, 39,90, 91, 92, 93, 941, 949, 95.

Note 6: Please take care that there is no duplication of entries in similar items in block 5.

[9] compensation to workers during last 30 days ended on / last calendar month ended on			
type of emoluments	item no.		value (Rs.)
(1)	(2)		(3)
salary / wages, house rent allowances, transport allowance, bonus and other individual benefits directly payable to the worker (cash & kind)	working owner	901	
	formal hired worker	902	
	informal hired worker	903	
	sub-total (items 901 to 903)	909	
contribution to insurance, provident fund and other social security schemes (average for a month)	working owner	911	
	formal hired worker	912	
	sub-total (items 911 to 912)	919	
employer's contribution to canteen, health clinic, child care centre, etc. (average for a month)	working owner	921	
	formal hired worker	922	
	informal hired worker	923	
	other worker / helper	924	
	sub-total (items 921 to 924)	929	
total emoluments (item 909 + item 919 + item 929)		939	

[10] land and fixed assets owned and hired as on the last date of reference year and monthly rent/rental payable on hired assets (Rs. in whole number)					
type of asset	item no.	market value of assets (Rs.) as on the last date of reference year		*net additions to owned assets during last 365 days / last year (Rs.)	monthly rent/rental payable on hired assets (Rs.)
		owned	hired		
(1)	(2)	(3)	(4)	(5)	(6)
land	1001				
building	1002				
plant and machinery	1003				
transport equipment	1004				
tools and other fixed assets	1005				
software and database	1006				
information, computer and telecommunications equipment	1007				
capital work in progress	1008				
total (items 1002 to 1008)	1009				

* net addition can either be positive or negative.

[10.1] original value of plant and machinery/ equipment		
items	item no.	code
(1)	(2)	(3)
if item 202 belongs to NIC-08 Div. 10-33, 01632, 35103, 35105, 35106, 35107, 35109 original value of plant and machinery (code)	1011	
if item 202 does not belong to NIC-08 Div. 10-33, 01632, 35103, 35105, 35106, 35107, 35109 original value of equipments (code)	1012	

codes for block 10.1			
item 1011 :investment (original value) in plant and machinery (I)			
investment (I) ≤ Rs.25 lakh	1	Rs. 5 crore < I ≤ Rs. 10 crore	3
Rs.25 lakh < I ≤ Rs. 5 crore	2	I >Rs. 10 crore	4
item 1012: investment (original value) in equipments (I)			
investment (I) ≤ Rs.10 lakh	1	Rs. 2 crore < I ≤ Rs. 5 crore	3
Rs.10 lakh < I ≤ Rs. 2 crore	2	I >Rs. 5 crore	4

[11] loan outstanding as on last date of the reference year (Rs. in whole number)			
source of loan	item no.	amount outstanding as on last date of the reference year (Rs.)	interest payable during the last 30 days / last calendar month (Rs.)
(1)	(2)	(3)	(4)
central and state level term lending institutions	1101		
government (central, state, local bodies)	1102		
commercial banks	1103		
co-operative banks and societies	1104		
micro-finance institutions	1105		
other institutional agencies	1106		
money lenders	1107		
business partner(s)	1108		
suppliers / contractors	1111		
friends and relatives	1112		
others	1113		
total (1101 to 1113)	1119		

[11.1] the amount of loan advanced by financial enterprises (excluding stock broker/ sub-broker) (Rs. in whole number)			
items	item no.	amount (Rs.)	
(1)	(2)	(3)	
if 'yes' in item 258, the amount of loan advanced by the enterprise as on date to	households	1121	
	others	1122	
total (item 1121 + item 1122)	1129		

[12] factor incomes of the enterprise during last 30 days ended on / last calendar month ended on (Rs. in whole number)(only for non-financial enterprises)		
type of factor income	item no.	value (Rs.)
(1)	(2)	(3)
emoluments (item 939, col.3 of block 9)	1201	
rent payable (item 1001, col.6 of block 10)	1202	
interest payable (item 1119, col. 4 of block 11)	1203	
net surplus	1204	
total (items 1201 to 1204)	1209	

[13] inventories during the reference year (Rs. in whole number) (to be canvassed for enterprises providing data from books of accounts)			
items	item no.	opening (Rs.)	closing (Rs.)
(1)	(2)	(3)	(4)
raw materials & components and packing materials	1301		
fuels & lubricants	1302		
spares, stores & others	1303		
sub-total (item 1301 to 1303)	1304		
semi-finished goods/ work in progress	1305		
finished goods	1306		
goods for re-sale	1307		
total (items 1304 to 1307)	1309		

[14] particulars of use of information and communication technology (ICT) by the enterprise during last 365 days ended on / last year(to be canvassed for enterprises with 10 or more workers) (if entry in item 218 or item 219 is '1')		
main items	item no.	(yes-1, no-2)
(1)	(2)	(3)
does the enterprise have a web presence as on the date of survey?	1401	
does the enterprise have an intranet as on the date of survey?	1402	
did the enterprise receive orders for goods or services (that is, make sales) via the Internet during <reference period>?	1403	
did the enterprise place orders for goods or services (that is, make purchases) via the Internet during <reference period>?	1404	
how did the enterprise connect to the Internet during <reference period>?		
narrowband	1405	
fixed broadband	1406	
mobile broadband	1407	
does the enterprise have a local area network (LAN) as on the date of survey?	1408	
does the enterprise have an extranet as on the date of survey?	1409	

[14] particulars of use of information and communication technology (ICT) by the enterprise during last 365 days ended on / last year(to be canvassed for enterprises with 10 or more workers) (if entry in item 218 or item 219 is '1')		
main items	item no.	(yes-1, no-2)
(1)	(2)	(3)
for which of the following activities did the enterprise use the Internet during <reference period>?		
sending and receiving e-mail	1411	
telephoning over the Internet/VoIP, including video conferencing	1412	
getting information about goods and services	1413	
getting information from general government organizations	1414	
interacting with general government organizations	1415	
internet banking	1416	
accessing other financial services	1417	
providing customer services	1418	
delivering products online	1419	
internal or external recruitment	1421	
staff training	1422	
		number
average number of persons employed who routinely used computers during <reference period>.	1423	
average number of persons employed who routinely used the Internet at work during <reference period>.	1424	

item no.	explanatory notes
1401	A web presence includes a website, home page or presence on another entity's website (including a related business). It excludes inclusion in an on-line directory of any other webpages where the business does not have control over the content of the page.
1402	An intranet refers to an internal communications network using Internet protocols and allowing communication within an organization (and with other authorized persons). It is typically set up behind a firewall to control access.
1403	Orders received include orders received via the Internet whether or not payment was made online. They include orders received via websites, specialized Internet marketplaces, extranets, EDI over the Internet, Internet-enabled mobile phones and email. They also include orders received on behalf of other organizations – and orders received by other organizations on behalf of the business. They exclude orders that were cancelled or not completed.
1404	Orders placed include orders placed via the Internet whether or not payment was made online. They include orders placed via websites, specialized Internet marketplaces, extranets, EDI over the Internet, Internet-enabled mobile phones and email. They exclude orders that were cancelled or not completed.
1405	Narrowband includes analogue modem (dial-up via standard phone line), Integrated Services Digital Network (ISDN), Digital Subscriber Line (DSL) at speeds below 256 kbit/s, and mobile phone and other forms of access with an advertised download speed of less than 256 kbit/s. Narrowband mobile phone access services include CDMA 1x (Release 0), GPRS, WAP and imode
1406	Fixed broadband refers to technologies such as DSL, at speeds of at least 256 kbit/s, cable modem, high speed leased lines, fibre-to-the-home, powerline, satellite, fixed wireless, Wireless Local Area Network (WLAN) and WiMAX.
1407	Mobile broadband access services include Wideband CDMA (W-CDMA), known as Universal Mobile Telecommunications System (UMTS) in Europe; High-speed Downlink Packet Access (HSDPA), complemented by High-Speed Uplink Packet Access (HSUPA); CDMA2000 1xEV-DO

item no.	explanatory notes
	and DCMA 2000 1xEV-DV. Access can be via any device (mobile cellular phone, laptop, PDA, etc.
1408	A LAN refers to a network connecting computers within a localized area such as a single building, department or site; it may be wireless.
1409	An extranet is a closed network that uses Internet protocols to share securely a business' information with suppliers, vendors, customers or other business partners. It can take the form of a secure extension of an intranet that allows external users to access some parts of it. It can also be a private part of the business' website, where business partners can navigate after authentication.
1412	VoIP refers to Voice over Internet Protocol
1415	Includes downloading/requesting forms online, making online payments and purchasing from, or selling to, government organizations. It excludes getting information from government organizations.
1416	Includes electronic transactions with a bank for payment, transfers, etc. or for looking up account information.
1417	Includes electronic transactions via the Internet for other types of financial services such as purchasing shares (stocks), financial services and insurance.
1418	Includes providing online or emailed product catalogues or price lists, product specification or configuration online, after-sales support, and order tracking online.
1419	Refers to products delivered over the Internet in digitized form, e.g. reports, software, music, videos, computer games; and online services, such as computer-related services, information services, travel bookings or financial services.
1421	Including providing information about vacancies on an intranet or website, and allowing online applications
1422	Includes e-learning applications available on an intranet or from the World Wide Web.

[15] particulars of field operations													
srl. no.	items	Field Investigator (FI) / Junior Statistical Officer (JSO)						Field Officer (FO)/ Senior Statistical Officer (SSO)					
(1)	(2)	(3)						(4)					
1501	(i) name (block letters)												
	(ii) code												
	date(s) of	D	D	M	M	Y	Y	D	D	M	M	Y	Y
1502	(i) survey / inspection												
1503	(ii) receipt												
1504	(iii) scrutiny												
1505	(iv) despatch												
1506	total time taken to canvass Sch. 2.34 (minutes)												
1507	number of investigators (FI/JSO) in the team												
1508	whether schedule contains remarks (yes-1, no-2)	in block 16			elsewhere in the schedule			in block 17			elsewhere in the schedule		
1509	signature												

[16] remarks by Field Investigator (FI) / Junior Statistical Officer (JSO)

[17] comments by supervisory officer(s)

NSS 73RD ROUND**Howler Scrutiny Programme****Schedule 2.34: Unincorporated Non-agricultural Enterprises (Excluding Construction)****NSS 73rd Round (July 2015- June 2016)*********Print Related Records if the Point of Scrutiny Fails *******

Srl. No.	Reference to schedule			Points of scrutiny
	block	Item/line	column	
(1)	(2)	(3)	(4)	(5)
Checks for block 2				
1)	2	202	3	Check that it is a valid 5 digit NIC-2008 code (including special codes 64193, 64309, 64921, 64929) under survey coverage
2)	2	203	3	Check that it is a valid 5 digit NIC-2008 code (including special codes 64193, 64309, 64921, 64929) under survey coverage
Checks for block 3, 4, 5 & 6				
<i>Manufacturing, Non-captive Power Generation and Transmission Activities</i>				
[Check when the enterprise is doing manufacturing activity (except for the case when only manufacturing services activity i.e., only expenditure in the manufacturing sub-block is against item 307) i.e. only when item 307=item309]				
3)	3 & 5	309 & 579	4	<p><i>For NIC div 10 to 32 (either against item 202 or 203)</i></p> <p>(i) When item 211=1 check whether (item 561+item562+...567+item572-item571) ÷ (item301+...item307) ≤ 10</p> <p>(ii) When item 211=2 check whether (item 561+item562+...567+item572-item571) ÷ (item301+...item307) ≤ 8</p> <p><i>For NIC div 33 (either against item 202 or 203)</i></p> <p>When item 211 =1 check whether (item 561+item562+...567+item572-item571+ item 741+...item 748) ÷ (item301+...item307+ item 521 +.... item 557) ≤ 7</p> <p>When item 211 =2 check whether (item 561+item562+...567+item572-item571+ item 741+...item 748) ÷ (item301+...item307+ item 521 +.... item 557) ≤ 5</p>

Srl. No.	Reference to schedule			Points of scrutiny
	block	Item/line	column	
(1)	(2)	(3)	(4)	(5)
<i>Trading Activity</i>				
4)	3 & 5	319 & 599	4	<p>Except for NIC 45200, 45403, 4610 against item 202/203</p> <p>(i)When item 211 =1 check whether (item 581+...item 585+ item 592 – item 591+item594) ÷ (item311 +.... item 315) ≤ 6</p> <p>(ii)When item 211 =2 check whether (item 581+...item 585+ item 592 – item 591+item594) ÷ (item311 +.... item 315) ≤ 8</p> <p>for NIC 45200, 45403, 4610 against item 202/203</p> <p>When item 211 =1 check whether (item 581+...item 585+ item 592 – item 591+item594+ item 741+...item 748) ÷ (item311 +.... item 315+ item 521 +.... item 557) ≤ 8</p> <p>(ii)When item 211 =2 check whether (item 581+...item 585+ item 592 – item 591+item594) ÷ (item311 +.... item 315) ≤ 10</p>
<i>Transportation, Travel Agency, Tour operator Activities</i>				
5)	3 & 5	339 & 609	4	<p>(i)When item 211 =1 check whether (item 601+...item 607) ÷ (item 321 +.... item 338)) ≤ 10</p> <p>(ii)When item 211 =2 check whether (item 601+...item 607) ÷ (item 321 +.... item 338) ≤ 5</p>
<i>Warehousing and support activities for Transportation</i>				
6)	3 & 5	349 & 619	4	<p>(i)When item 211 =1 check whether (item 611+...item 613) ÷ (item 341 +.... item 348)) ≤ 5</p> <p>(ii)When item 211 =2 check whether (item 611+...item 613) ÷ (item 341 +.... item 348) ≤ 5</p>
<i>Postal & Courier Activities</i>				
7)	3 & 4	359 & 629	4	(i)When item 211 =1 check whether item 621÷ (item 351 +.... item 358) ≤ 5

Srl. No.	Reference to schedule			Points of scrutiny
	block	Item/line	column	
(1)	(2)	(3)	(4)	(5)
				(ii)When item 211 =2 check whether item 621 ÷ (item 351 +.... item 358) ≤ 5
<i>Accommodation & Food Service Activities</i>				
8)	3 & 4	389 & 649	4	(i)When item 211 =1 check whether (item 631+...item 645) ÷ (item 361 +.... item 387) ≤ 5 (ii)When item 211 =2 check whether (item 631+...item 645) ÷ (item 361 +.... item 387) ≤10
<i>Information & Communication Activities</i>				
9)	3 & 4	409 & 659	4	(i)When item 211 =1 check whether (item 651+...item 656) ÷ (item 391 +.... item 401) ≤ 10 (ii)When item 211 =2 check whether (item 651+...item 656) ÷ (item 391 +.... item 401) ≤10
<i>Financial Activities</i>				
10)	3 & 4	429 & 669	4	(i)When item 211 =1 check whether (item 661+...item 665) ÷ (item 411 +.... item 423) ≤ 15 (ii)When item 211 =2 check whether (item 661+...item 665) ÷ (item 411 +.... item 423) ≤15
<i>Real Estate, Rental and Leasing Activities</i>				
11)	3 & 4	449 & 679	4	(i)When item 211 =1 check whether (item 671+...item 673+ item 741+...item 748) ÷ (item 431 +.... item 441+ item 521 +.... item 557) ≤ 20 (ii)When item 211 =2 check whether (item 671+...item 673+ item 741+...item 748) ÷ (item 431 +.... item 441+ item 521 +.... item 557) ≤10
<i>Business And Professional Service Activities</i>				
12)	3 & 4	469 & 689	4	(i)When item 211 =1 check whether (item 681+...item 686) ÷ (item 451 +.... item 461) ≤ 20 (ii)When item 211 =2 check whether (item 681+...item 686) ÷ (item 451 +.... item 461) ≤ 20

Srl. No.	Reference to schedule			Points of scrutiny
	block	Item/line	column	
(1)	(2)	(3)	(4)	(5)
Educational Activities				
13)	3 & 4	489 & 709	4	(i)When item 211 =1 check whether (item 691+...item 701) ÷ (item 471 +.... item 485) ≤ 20 (ii)When item 211 =2 check whether (item 691+...item 701) ÷ (item 471 +.... item 485) ≤ 20
Human Health, Social Work and Veterinary Activities				
14)	3 & 4	509 & 729	4	(i)When item 211 =1 check whether (item 711+...item 722) ÷ (item 491 +.... item 502) ≤ 12 (ii)When item 211 =2 check whether (item 711+...item 722) ÷ (item 491 +.... item 502) ≤ 20
Other Personal Service Activities				
15)	3 & 4	519 & 739	4	(i)When item 211 =1 check whether (item 731+...item 737) ÷ (item 511 +.... item 517) ≤ 20 (ii)When item 211 =2 check whether (item 731+...item 737) ÷ (item 511 +.... item 517) ≤ 20
Other Activities (To be checked for NSC code 37, 38, 39, 90, 91, 92, 93, 941, 949, 95)				
16)	4 & 6	559 & 759	3	(i)When item 211 =1 check whether (item 741+...item 748) ÷ (item 521 +.... item 557) ≤ 20 (ii)When item 211 =2 check whether (item 731+...item 737) ÷ (item 521 +.... item 557) ≤ 15
Checks for block 7				
17)	7	771	3	Let receipt= (item 561+item562+...567+item572-item571+ item 581+...item 585+ item 592 – item 591+ item594+ item 601+...item 607+ item 611+...item 613+ item 621+ item 631+...item 645+ item 651+...item 656 + item 661+...item 665+ item 671+...item 673 + item 681+...item 686+ item 691+...item 701+ item 711+...item 722+ item 731+...item 737+ item 741+...item 748) check receipt≤250000 if item 211=1 receipt≤3000000 if item 211=2
18)	7	772	3	Let expenditure = item301+...item307+ item311 +.... item 315+ item 321 +.... item 338+ item 341 +.... item 348+ item 351 +.... item 358+ item 361 +.... item 387+ item 391 +.... item 401+ item 411 +.... item

Srl. No.	Reference to schedule			Points of scrutiny
	block	Item/line	column	
(1)	(2)	(3)	(4)	(5)
				423+ item 431 +.... item 441+ item 451 +.... item 461+ item 471 +.... item 485+ item 491 +.... item 502+ item 511 +.... item 517+ item 521 +.... item 557 check expenditure ≤ 225000 if item 211=1 expenditure ≤ 2500000 if item 211=2
19)	7	771& 772	3	Let $GVA = [\text{item } 561 + \text{item } 562 + \dots + \text{item } 567 + \text{item } 572 - \text{item } 571 + \text{item } 581 + \dots + \text{item } 585 + \text{item } 592 - \text{item } 591 + \text{item } 594 + \text{item } 601 + \dots + \text{item } 607 + \text{item } 611 + \dots + \text{item } 613 + \text{item } 621 + \text{item } 631 + \dots + \text{item } 645 + \text{item } 651 + \dots + \text{item } 656 + \text{item } 661 + \dots + \text{item } 665 + \text{item } 671 + \dots + \text{item } 673 + \text{item } 681 + \dots + \text{item } 686 + \text{item } 691 + \dots + \text{item } 701 + \text{item } 711 + \dots + \text{item } 722 + \text{item } 731 + \dots + \text{item } 737 + \text{item } 741 + \dots + \text{item } 748] - [\text{item } 301 + \dots + \text{item } 307 + \text{item } 311 + \dots + \text{item } 315 + \text{item } 321 + \dots + \text{item } 338 + \text{item } 341 + \dots + \text{item } 348 + \text{item } 351 + \dots + \text{item } 358 + \text{item } 361 + \dots + \text{item } 387 + \text{item } 391 + \dots + \text{item } 401 + \text{item } 411 + \dots + \text{item } 423 + \text{item } 431 + \dots + \text{item } 441 + \text{item } 451 + \dots + \text{item } 461 + \text{item } 471 + \dots + \text{item } 485 + \text{item } 491 + \dots + \text{item } 502 + \text{item } 511 + \dots + \text{item } 517 + \text{item } 521 + \dots + \text{item } 557 + \text{item } 773 + \text{item } 774 + \text{item } 775] \leq 3000000$ Check $0 \leq GVA / (\text{item } 809, \text{col.9}) \leq 40000$ when item 211=1 $0 \leq GVA / (\text{item } 809, \text{col.9}) \leq 65000$ when item 211=2 $0 \leq GVA / (\text{item } 811, \text{col.9}) \leq 2500$ when item 204=6 (i.e. SHG)
Checks for blocks 8 & 9				
20)	8	809	7	If item 211=1 check whether (Item 801, col.9 + item 802, col.9 + + item 805, col. 9) ≤ 5 If item 211=2 check whether (Item 801, col.9 + item 802, col.9 + + item 805, col. 9) ≤ 60
21)	8	811	9	Item 811 ≤ 30
22)	9	939	3	If item 211=1 check whether Item 901 +...+item 903 +item 911+

Srl. No.	Reference to schedule			Points of scrutiny
	block	Item/line	column	
(1)	(2)	(3)	(4)	(5)
				item 912 + item 921 +...+ item 924 ≤ 10000 If item 211=2 check whether (Item 901 +...+item 903 +item 911+ item 912 + item 921 +...+ item 924)/ item 809, col.9 ≤ 10000
23)	8 & 9	902 & 802	3 & 7	(Item 902, col.3)/ (item 802, col.9) ≤ 25000
24)	8 & 9	903 & 803	3 & 7	(Item 903, col.3)/ (item 803, col.7) ≤ 15000
Checks for block 10				
22)	10	1009	3	Item 1001, col.3+...+ item 1008, col.3 ≤ 50000000
25)	10	1009	4	Item 1001, col.4 +...+ item 1007, col.4 ≤ 50000000
26)	10	1009	5	-500000 ≤ Item 1001, col.5 +...+ item 1008, col.5 ≤ 2500000
27)	10	1009	6	Item 1001, col.6 +...+ item 1007, col.6 ≤ 100000
28)	10	1001 -1007 & 1009	4 & 6	For item 1001 to 1007 and 1009 col.4/col.6 >5
Checks for block 11				
29)	11	1119	3	Item 1101, col.3 + ...+ item 1113, col.3 ≤ 7500000
30)	11	1101- 1119	3 & 4	Item 1101 to 1119 col.4 < col.3
Checks for block 11.1				
31)	11.1	1129	3	Item 1121 + item 1122 ≤ 2500000
Checks for block 12				
32)	12	1209	3	Item 1201+ ...+item 1204 >0
33)	12 & 7	1209 & 779	3	(0.25) ≤ item 1209/item 779 ≤ 1.75
Checks for block 14				
34)	14	1423	3	Item 1423 ≤ 100
35)	14	1424	3	Item 1424 ≤ 100

NSS 73rd Round (July 2015 – June 2016)

Computer Scrutiny Programme (modified after AIDPC with SDRD's comments)

Schedule 2.34: Unincorporated non-agricultural Enterprises (Excluding Construction)

1. Related record(s) may be printed if the consistency check fails and data entry error(s) may be corrected. If the inconsistency is due to errors in the filled-in schedule, the same should be referred to the concerned FOD offices and changes to that respect may be incorporated in the data set.

Item wise scrutiny points are as under:

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
Checks for block 1					
1.	1	1,6-12	3	Entry should match with respective items in Sch.0.0.	
2.	1	4	3	Valid entry is 1.	
3.	1	5	3	Valid entries are 1, 2.	
4.	1	13	3	Valid entries are 1, 2 or 9.	
5.	1	14	3	Valid entries are 01-16	
6.	1	16	3	Valid entries are 1, 2, 3, 4 or 9.	
7.	1	17	3	Valid entries are 1, 2 or 9.	
8.	1	18	3	Valid entries are 1, 2 or 3	
9.	1	19	3	Valid entries are 1, 2, 3 or 9 if code for item 18= '2 or 3'.	
Checks for block 2					
10.	2	201	3	Valid entries are 1 or 2	
11.	2	202	3	Entry = valid 5-digit NIC 2008 code (including corrigendum on NIC 2008 and four special codes 64193, 64309, 64921 or 64929)	

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
12.	2	203	3	Entry = valid 5-digit NIC 2008 code (including corrigendum on NIC 2008 and four special codes 64193, 64309, 64921 or 64929), if entry in item 201 is 1 and 1 st 2 digits of item 202 \neq 1 st 2 digits of item 203.	
13.	2	204	3	Entries are 1 to 7 or 9.	
14.	2	205	3	Entries are 1 to 3.	
15.	2	206	3	Entries are 1 or 2 only if entry in item 205 is 1; Otherwise, blank if Item 206=1 , block-7 will be empty	Addition to rule 15
16.	2	207	3	Entries are 1 to 4 or 9 only if entry in item 204 is any one of 1 to 5; Otherwise, blank	
17.	2	208	3	Entries are 1 to 4	
18.	2	209	3	0<=Entry<=5 only if entry in item 204 is 1 to 5; otherwise blank.	Modified existing rule
19.	2	210	3	Entries are 1 to 6.	
20.	2	211	3	Entries are 1 and 2.	
21.	2	212	3	No cell will remain empty. It will be a valid year <=2016	Addition to rule 21
22.	2	213	3	Entries are 1 to 3.	
23.	2	214	3	i) Entries are 1 to 12, if code in item 213 is 1 or 3; ii) Entries are 1 to 5 if code in item 213 is 2.	
24.	2	215	3	Entry should be ≥ 0 and ≤ 24 .	
25.	2	216	3	Entries are 1 or 2.	
26.	2	217	3	Entries are 1 or 2 only if entry in item 216 is 1; Otherwise, blank	
27.	2	218	3	Entries are 1 or 2.	
28.	2	219	3	Entries are 1 or 2.	
29.	2	220	3	Entries are 1 or 2.	

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
30.	2	221, 222	3	(i) Valid entries are 1-9 if item 220=1 (ii) Item 221 is not equal to item 222 (iii) Item 222 will have entry only if item 221 has entry	Modification
31.	2	223	3	Entries are 1 or 2.	
32.	2	224, 225	3	(i) Valid entries are 1-6,9 if item 223=1 (ii) Item 225 is not equal to item 224 (iii) Item 225 will have entry only if item 224 has entry	Modification
33.	2	226	3	Entries are 1 to 3 or 9. Item-226 = 9 if entry in Item-212 is 2012 to 2016.	Addition to rule 33 SDRD's Comment: The lower limit (2012) will not hold good always (say for an enterprise started operation in January 2012 and surveyed in May 2016). The check may be dropped from CSP. The same, if required, can be checked on a later stage by linking with the date of survey in block 15.
34.	2	227	3	Entries are 1 and 2.	
35.	2	228-233	3	Entries are 1 or 2 if and only if entry in item 227 is 1.	Modification
36.	2	234-236	3	Entries are 01 to 11, 13 to 17 or 99 only if entry in item 227 is 1; otherwise blank.	
37.	2	237	3	Entries are 1 or 2.	
38.	2	238	3	Entries are 1,2,3, if only if entry in item 237 is '1';	Modification
39.	2	239, 240	3	Entries are 1 to 3, if entry in item 237 is '1' and entry against item 251=1	Modification

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
40.	2	241	3	Entries are 1 , 2, if entry in item 237 is '1' and entry against item 251=1	Modification
41.	2	242	3	(i) Entries are 1 or 2, if and only if entry in item 237 is '2'; (ii) Entry will be '1' only if entry against item 251='1'	Modification
42.	2	243	3	Entries are 1 or 2.	
43.	2	244	3	(i) Entries are 1 to 4. (ii) Item 244=1,2 only if item 210=1,2,3,4	Addition to rule 43
44.	2	245	3	Entries are 1 to 6.	
45.	2	246	3	Entries are 1 to 4.	
Checks for block 2.1					

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
46.	2.1	251-263	3	i. Entries are 1 or 2 ii. If entry is '1' against any of the items 251-263, then at least one entry is expected in corresponding sub-blocks of both blocks 3 or 5 iii. Entry is '1' against any of the items 251-263 iff at least one entry is there in corresponding sub-blocks of both blocks 3 or 5. <u>It is to be modified for manufacturing activity considering Items-240 and 242 and entry against item 201 is to be changed based on changes in corresponding items</u>	Addition to rule 46 SDRD's Comment: The correction of entry against item 201 based on entries in block 2.1/3/5 will in turn require 5 digit NIC codes (which are not reported in block 2.1/3/5). Since, the correction of NIC codes require field reference, <u>this check may be incorporated in the PDES</u>
47.	2.1	264	3	i. Entries are 1 or 2 ii. If entry is '1' against item 264, then at least one entry is expected in blocks 4 and 6.	
48	2 2.1	202-203 251-264	- -	Entry against corresponding Item from Item-251 to 264 should be '1' corresponding to NIC codes given in Items 202 & 203.	Additional Rule
Checks for block 3					

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
49.	3	Whenever entries are reported against any of the items 321-324, 341, 342, 351-353, 361-381, 391-393, 411-413, 471-481, 491-496, 511-514, three digit codes under col.3 should match with the codes already printed against these items in the schedule			
50.	3	301-304	3	Entry should be a valid three-digit product code, if reported.	
51.	3	306	4	Item 306 >0 implies item 566 >0 and vice-versa.	
52.	3	307	4	Item 307 >0 implies entry in item 242= '1' and vice-versa	
53.	3	307	4	Item 307 >0 implies item 567 >0 and vice-versa.	modified
54.	3	309	4	Item 309 = (item 301 ++ item 307).	
55.	3	311-314	3	Entry should be a valid three-digit product code, if reported.	
56.	3	319	4	Item 319 = (item 311 ++ item 315).	
57.	3	325, 326	3	Entry should be a valid three-digit product code, if reported.	
58.	3	328-333	4	Positive entry in any of items 328 -333 implies positive entry against item 605 and vice-versa.	
59.	3	339	4	Item 339= (item 321 ++ item 338).	
60.	3	343, 344	3	Entry should be a valid three-digit product code, if reported.	
61.	3	349	4	Item 349= (item 341 ++ item 348).	
62.	3	354, 355	3	Entry should be a valid three-digit product code, if reported.	
63.	3	359	4	Item 359= (item 351 ++ item 358).	
64.	3	382-384	3	Entry should be a valid three-digit product code, if reported.	

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
65.	3	389	4	Item 389= (item 361 +.....+ item 387).	
66.	3	394, 395	3	Entry should be a valid three-digit product code, if reported.	
67.	3	409	4	Item 409= (item 391 ++ item 401).	
68.	3	414 ,415	3	Entry should be a valid three-digit product code, if reported.	
69.	3	429	4	Item 429= (item 411 ++ item 423).	
70.	3	431, 432	3	Entry should be a valid three-digit product code, if reported.	
71.	3	449	4	Item 449= (item 431 ++ item 441).	
72.	3	451, 452	3	Entry should be a valid three-digit product code, if reported.	
73.	3	469	4	Item 469= (item 451 ++ item 461).	
74.	3	482, 483	3	Entry should be a valid three-digit product code, if reported.	
75.	3	489	4	Item 489= (item 471 ++ item 485).	
76.	3	497, 498	3	Entry should be a valid three-digit product code, if reported.	
77.	3	509	4	Item 509= (item 491 ++ item 502).	
78.	3	515, 516	3	Entry should be a valid three-digit product code, if reported.	
79.	3	519	4	Item 519= (item 511 ++ item 517).	
-	3	334, 527	4	Entry should not be repeated in item 527, if item 201= '2'.	Additional Rule
-	3	335, 555	4	Entry should not be repeated in item 555, if item 201= '2'.	Additional Rule

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
-	3	346, 555	4	Entry should not be repeated in item 555, if item 201= '2'.	Additional Rule
-	3	347, 533	4	Entry should not be repeated in item 533, if item 201= '2'.	Additional Rule
-	3	357, 555	4	Entry should not be repeated in item 555, if item 201= '2'.	Additional Rule
-	3	358, 537	4	Entry should not be repeated in item 537, if item 201= '2'	Additional Rule
-	3	386, 555	4	Entry should not be repeated in item 555, if item 201= '2'.	Additional Rule
-	3	387, 537	4	Entry should not be repeated in item 537, if item 201= '2'	Additional Rule
-	3	397, 553	4	Entry should not be repeated in item 553, if item 201= '2'	Additional Rule
-	3	398, 555	4	Entry should not be repeated in item 555, if item 201= '2'.	Additional Rule
-	3	401, 537	4	Entry should not be repeated in item 537, if item 201= '2'	Additional Rule
-	3	418, 554	4	Entry should not be repeated in item 554, if item 201= '2'.	Additional Rule
-	3	421, 535	4	Entry should not be repeated in item 535, if item 201= '2'.	Additional Rule
-	3	422, 536	4	Entry should not be repeated in item 536, if item 201='2'.	Additional Rule

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
-	3	423, 537	4	Entry should not be repeated in item 537, if item 201= '2'.	Additional Rule
-	3	434, 525	4	Entry should not be repeated in item 525, if item 201= '2'.	Additional Rule
-	3	435, 531	4	Entry should not be repeated in item 531, if item 201= '2'.	Additional Rule
-	3	436, 533	4	Entry should not be repeated in item 533, if item 201= '2'.	Additional Rule
-	3	437, 535	4	Entry should not be repeated in item 535, if item 201= '2'.	Additional Rule
-	3	441, 555	4	Entry should not be repeated in item 555, if item 201= '2'.	Additional Rule
-	3	455, 533	4	Entry should not be repeated in item 533, if item 201= '2'.	Additional Rule
-	3	456, 535	4	Entry should not be repeated in item 535, if item 201= '2'.	Additional Rule
-	3	457, 536	4	Entry should not be repeated in item 536, if item 201= '2'.	Additional Rule
-	3	458, 541	4	Entry should not be repeated in item 541, if item 201= '2'.	Additional Rule
-	3	461, 532	4	Entry should not be repeated in item 532, if item 201= '2'.	Additional Rule

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
-	3 & 5	-	4	If there is positive entry in Block-3 for any activity, then there should be positive entry for that activity in Block-5 and vice versa.	Additional Rule
-	3 & 5	All items except shaded ones	4	Product code should be different for each item of an activity within a sub-block.	Additional Rule
80.	4	525-531	3	If entry is positive in any of these items, then entry must be positive in either col. 3 or col.4 of respective items 1002 – 1005 or 1007 of block 10.	
81.	4	532	3	Sum of entries against item 532 and item 461 = Sum of the entries against items 1002 – 1007 in column 6 of block 10.	
82.	4	559	3	Item 559 = (item 521 ++ item 557).	
Checks for block 5					
83.	5	Whenever entries are reported against any of the items 632-635, 691, 711, 712, 714, 731-733, three digit codes under col.3 should match with the codes already printed against these items in the schedule.			
84.	5	561-564	3	Entry should be a valid three-digit product code, if reported.	
85.	5	569	4	Item 569 = (item 561 ++ item 567)	
86.	5	573	4	Item 573 = (item 572 - item 571)	
87.	5	579	4	Item 579 = (item 569 + item 573)	
88.	5	581-584	3	Entry should be a valid three-digit product code, if reported.	
89.	5	589	4	Item 589 = (item 581 ++ item 585)	

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
90.	5	593	4	Item 593= (item 592 - item 591)	
91.	5	599	4	Item 599= (item 589+ item 593 + item 594)	
92.	5	609	4	Item 609= (item 601 +.....+ item 607)	
93.	5	619	4	Item 619= (item 611 +.....+ item 613).	
94.	5	629	4	Item 629= items 621	
95.	5	636-637	3	Entry should be a valid three-digit product code, if reported.	
96.	5	649	4	Item 649= (item 631+.....+ item 645).	
97.	5	659	4	Item 659= (item 651 ++ item 656).	
98.	5	669	4	Item 669= (item 661 +.....+ item 665).	
99.	5	679	4	Item 679= (item 671 +.....+ item 673).	
100.	5	689	4	Item 689= (item 681 ++ item 686).	
101.	5	692-694	3	Entry should be a valid three-digit product code, if reported.	
102.	5	709	4	Item 709= (item 691 ++ item 701).	
103.	5	715	3	Entry should be a valid three-digit product code, if reported.	
104.	5	729	4	Item 729= (item 711 ++ item 722).	
105.	5	734-735	3	Entry should be a valid three-digit product code, if reported.	
106.	5	739	4	Item 739= (item 731 ++ item 737).	
Checks for block 6					
	6	743	3	Entry against item 743>0 implies item 257=1	Additional Rule
107.	6	746	3	Item 746>0 implies item 523>0 and vice-versa.	
108.	6	747	3	Item 747>0 implies item 524>0 and vice versa	Modification

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
109.	6	759	3	Item 759= item 741 ++ item 752	
110.	6	761	3	Item 761 \leq (0.05 * item 771)	
111.	6	769	3	Item 769= item 762 + item 763	
Checks for block 7					
112.	7	771	3	Item 771=Items (579+ 599+ 609 +619 +629+ 649 +659+ 669 +679 +689+709+729 +739+759 – 751 – 752).	
113.	7	772	3	Item 772=items (309+319+ 339 +349+359 +389 + 409 +429+449+469+489+509+ 519+559)	
114.	7	773	3	Item 773 \leq (0.10 * item 771)	
115.	7	779	3	Item 779= (item 771 – item 772 – item 773 – item 774 – item 775)	
116.	7	781	3	Item 781 \leq (0.05 * item 771)	
Checks for blocks 8 & 9					
-	8	801	-	Any of col(3) to col(8) of item 801 > 0 implies item 204 = 1 4-1-5	Additional Rule SDRD's comment: when ownership is proprietary or partnership (code 1-5 against item 204)
-	8	801	3 – 8	(i) Entry in Column-4 or Column-7 > 0 if entry in Item-204 = 1 & entry in Item-211 = 1. (ii) Entry in Column-3 or Column-6 > 0 if entry in Item-204 = 2 & entry in Item-211 = 1. (iii) Entry in Column-5 or Column-8 > 0 if entry in Item-204 = 3 & entry in Item-211 = 1.	Additional Rule ** Duplication with checks (ii)- (iv) in sl.no.117

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
-	2, 8	204, 801	3 3 - 9	If Item-204 is 6 or 7 then Block-8, Item-801, Column-9 should be blank.	Additional Rule
-	8	801-811		(i) $\text{col}(3)+\text{col}(6) \geq \text{col}(10)$ (ii) $\text{col}(4)+\text{col}(7) \geq \text{col}(11)$ (iii) $\text{col}(5)+\text{col}(8) \geq \text{col}(12)$	Additional Rule
-	8	801-811	9	(i) $\text{Col}(9) = \text{col}(3) + \dots + \text{col}(8)$ (ii) $\text{col}(9)$ of item 809 or item-811 ≥ 1	Additional Rule
-	8	811	all	item 202 =64309 and item 204=6 iff some of the cols. (3) to (8) of item-811 should have positive entries	Additional Rule
117.	8,9	801	3-12	(i) Either of one or more of items 901/911/921 > 0 implies Item 801 > 0 implies items and vice-versa. (ii) If item 204=1 then col(4) or col(7) of item 801 ≥ 1 (iii) If item 204=2 then col(3) or col(6) of item 801 ≥ 1 (iv) If item 204=3 then col(5) or col(8) of item 801 ≥ 1	Modification SDRD's Comment: These checks have been already incorporated in previous checks (indicated by ** in the remarks column). <u>These duplication may be deleted</u>
118.	8,9	802	3-12	Item 802 > 0 implies items 902/912/922 > 0 and vice-versa.	
119.	8,9	803	3-12	Item 803 > 0 implies items 903/923 > 0 and vice versa.	
120.	8,9	804, 805	3-12	Item 804/805 > 0 , if item 924 > 0	
121.	8	809	3-12	Item 809 = (item 801 + + item 805).	

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
122.	9	909	3	Item 909= (item 901 ++ item 903).	
123.	9	919	3	Item 919= (item 911 + item 912).	
124.	9	929	3	Item 929= (item 921 ++ item 924).	
125.	9	939	3	Item 939= (item 909+ item 919 + item 929).	
-	9			If Item-204 is 6 or 7 then Block-9, Item-901, 911 & 921 should be blank.	Additional Rule
Checks for block 10					
126.	10	1001 & 1002	4 & 6	If entry in Column-4 of Items-1001 and/or 1002 > 0 then sum of entries in Column-6 of Items-1001 and 1002 should be ≥ 0 and vice versa.	Modification
126 B	10	1003 to 1007	4 & 6	If entry in Column-4 > 0 then entry in Column-6 > 0 and vice versa.	Modification
127.	10	1009	3,4, 5 &6	Item 1009= (item 1002+..... + item 1008).	
-	10	1006-1007	3, 4	If Item-358/387/401/423 > 0 then Item-1007 + Item 1006, Column-3 or 4 > 0	Additional Rule
-	10	All	3, 5	If Column-5 > 0 then Column-3 > 0	Additional Rule
Checks for block 10.1					
128.	10.1	1011	3	Entries are 1 – 4 if item 202 belongs to NIC-08, Div.10-33, 35, 01632; otherwise blank.	

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
129.	10.1	1012	3	Entries are 1 – 4 if item 202 <i>does not</i> belong to NIC -08, Div. 10-33, 35, 01632; otherwise blank. Both item 1011 and 1012 cannot have entries simultaneously.	Additional Rule
Checks for block 11					
130.	11	1101-1111 & 1113	3 & 4	Entry in col. 4 < entry in col. 3, in general.	
131.	11	1119	3 & 4	Item 1119 = (item 1101 + + item 1113).	
-	11	1103 1104	4	If Block-11, Item-1103 & 1104, Column-3 > 0 then Item-208 ≠ 4	Additional Rule SDRD's Comment: The entry against item 208 cannot be corrected without field reference. <u>It may, therefore, be incorporated in PDES</u>
Checks for block 11.1					
132.	11.1	1121 & 1122	3	Entry would be there if code for item 258 is 1, otherwise blank.	
133.	11.1	1129	3	Item 1129 = (item 1121 + item 1122)	
Checks for block 12					
134.	12	1201	3	Entry for item 1201 should be equal to entry in item 939 col. 3 of block 9.	
135.	12	1202	3	Entry for item 1202 should be equal to entry in item 1001 col. 6 of block 10.	
136.	12	1203	3	Entry for item 1203 should be equal to entry in item 1119 col. 4 of block 11.	
137.	12	1209	3	Item 1209 = (item 1201 + + item 1204).	
138.	12	1209 & 779	3	$0.5 \leq (\text{item } 1209 \div \text{item } 779) \leq 1.3$	Modification
Checks for block 13					

srl. no.	reference to schedule			point of scrutiny	remarks
	block	item / line	col.		
(1)	(2)	(3)	(4)	(5)	(6)
139.	13	1301-1307	3 & 4	Entry should be there if entry in item 217 is 1.	
140.	13	1304	3 & 4	Item 1304= (item 1301+..... + item 1303).	
141.	13	1309	3 & 4	Item 1309= (item 1304+..... + item 1307).	
Checks for block 14					
-	14	all	3	Block 14 has entry only if item 218=1 or item 219=1	Addition to existing rule
-	14	all	3	Block 14 has entry only if item 809, col(9) >=10	Addition to existing rule
142.	14	1401, 1402, 1408, 1409	3	i. Entries are 1 and 2. ii. Entry against 1401-1402, 1408-1409 is 2 if entry against item 218 is 2.	
143.	14	1403-1407, 1411-1422	3	i. Entries are 1 and 2. ii. Entry against 1403-1407, 1411-1422 is 2 if entry against item 219 is 2.	
144.	14	1423	3	Entry in item 1423 ≤ entry in item 809, col. 9	
145.	14	1424	3	Entry in item 1424 ≤ entry in item 809, col. 9	
-	14	1423	3	If Item-1423 > 0 then Item-218 = 1 & Item-1007, Column-3 or Column-4 > 0	Additional Rule
Checks for block 15					
146.	15	1506	3	0 < entry ≤ 120	
147.	15	1508	3 & 4	Entry = '1' or '2'	

*** Rules given in green font are suggested (modifications and additions) by DPD and accepted at the AIDPC.

Annexure IV: Master Service Agreement

THIS MASTER SERVICE AGREEMENT (“Agreement”) is made on this the <***> day of

<***> 20... at <***>, India

BETWEEN

The President of India, acting through National Sample Survey Office having its office at -----
----- India (hereinafter referred to as “**NSSO**”, which expression shall, unless the context otherwise requires, include its permitted successors and assigns);

AND

<***>, a Company incorporated under the Companies Act, 2013 or a partnership firm registered under LLP Act, 2008., having its registered office at <***> (hereinafter referred to as “**Bidder**” which expression shall, unless the context otherwise requires, include its permitted successors, executors, administrators and assigns).

Each of the parties mentioned above are collectively referred to as the „**Parties**’ and individually as a „**Party**’.

WHEREAS:

1. NSSO is desirous to implement the CAPI SOLUTION FOR GENERAL SURVEYS project.
2. In furtherance of the same, NSSO undertook the selection of a suitable System Integrator through a competitive bidding process for implementing the Project and in this behalf issued Request for Proposal (RFP) dated 12/07/2019.

NSSO will provide all guidelines/ prerequisites that the Bidder needs to adhere for implementing and maintenance of CAPI SOLUTION FOR GENERAL SURVEYS.

NOW THEREFORE, in consideration of the mutual covenants, promises, assurances, representations and provisions set forth herein, the Parties hereto agree as follows:

1. DEFINITIONS AND INTERPRETATION

1.1. Definitions

Terms and expressions used in this Agreement (including the Introduction) shall have the meanings set out in the CAPI SOLUTION FOR GENERAL SURVEYS RFP.

1.2. Interpretation

In this Agreement, unless otherwise specified:

- a. Singular includes the plural and vice versa;
- b. References to Clauses, Sub-Clauses, Paragraphs, Schedules and Annexures are to clauses, sub-clauses, paragraphs, schedules and annexures to this Agreement;
- c. use of any gender includes the other genders;

- d. References to a „company’ shall be construed so as to include any company, corporation or other body corporate, wherever and however incorporated or established;
- e. References to a „person’ shall be construed so as to include any individual, firm, company, government, state or agency of a state, local or municipal authority or government body or any joint venture, association or partnership (whether or not having separate legal personality);
- f. A reference to any statute or statutory provision shall be construed as a reference to applicable Indian Laws as it may have been, or may from time to time be, amended, modified or re-enacted;
- g. Any reference to a „day’ (including within the phrase „business day’) shall mean a period of 24 hours running from midnight to midnight;
- h. References to a „business day’ shall be construed as a reference to a day (other than a Sunday) on which banks in the state of Delhi are generally open for business;
- i. references to times are to Indian Standard Time;
- j. A reference to any other document referred to in this Agreement is a reference to that other document as amended, varied, novated or supplemented at any time; and
- k. All headings and titles are inserted for convenience only. They are to be ignored in the interpretation of this Agreement.
- l. Bidder or System Integrator has been used for the same entity i.e. bidder selected for the project.

1.3. Measurements and Arithmetic Conventions

All measurements and calculations shall be in the metric system and calculations done to 2 (two) decimal places, with the third digit of 5 (five) or above being rounded up and below 5 (five) being rounded down except in money calculations where such amounts shall be rounded off to the nearest INR.

1.4. Ambiguities within Agreement

In case of ambiguities or discrepancies within this Agreement, the following principles shall apply:

- a. As between two Clauses of this Agreement, the provisions of a specific Clause relevant to the issue under consideration shall prevail over those in a general Clause;
- b. As between the provisions of this Agreement and the Schedules/Annexures, the Agreement shall prevail, save and except as expressly provided otherwise in the Agreement or the Schedules/Annexures; and
- c. As between any value written in numerals and that in words, the value in words shall prevail.

1.5. Priority of documents

This Agreement, including its Schedules and Annexures, represents the entire Agreement between the Parties as noted in this Clause. If in the event of a dispute as to the interpretation or meaning of this Agreement it should be necessary for the Parties to refer to documents forming part of the bidding process leading to this Agreement, then such documents shall be relied upon and interpreted in the following descending order of priority:

- a. This Agreement along with the SLA agreement, NDA agreement, Schedules and Annexures;

b. Request for Proposal and Addendum / Corrigendum to the Request for Proposal (if any). For the avoidance of doubt, it is expressly clarified that in the event of a conflict between this Agreement, Annexures / Schedules or the contents of the RFP, the terms of this Agreement shall prevail over the Annexures / Schedules and Annexures / Schedules shall prevail over the contents and specifications of the RFP.

2. SCOPE OF THE PROJECT

The Bidder shall be required to carry out the Scope of work as mentioned in RFP and Annexures. For the avoidance of doubt, it is expressly clarified that this Agreement shall govern the provision of the contracted professional services rendered by the Bidder under the SLA to NSSO and its nominated agencies. It is anticipated that new or renewal agreements may be undertaken by creating a separate SLA, with schedules and annexures as required, under this Agreement for each additional engagement.

3. TERM AND DURATION OF THE AGREEMENT

This Agreement shall come into effect on <***> 20--- (hereinafter the „Effective Date’) and shall continue till “CAPI SOLUTION FOR GENERAL SURVEYS Go-live (Phase-I) + 24 months”, unless terminated earlier in accordance with clause 15 of this agreement. The completion of Phase I is defined as the approval of CAPI SOLUTION FOR GENERAL SURVEYS Go-live by the NSSO. The agreement may be extended by a period of 1 year each, up to a maximum of 3 years, as per the decision by NSSO and performance of the SI.

4. CONDITIONS PRECEDENT & EFFECTIVE DATE

4.1. Provisions to take effect upon fulfilment of Conditions Precedent

Subject to express terms to the contrary, the rights and obligations under this Agreement shall take effect only upon fulfilment of all the Conditions Precedent set out below. However, NSSO or its nominated agencies may at any time at its sole discretion waive fully or partially any of the Conditions Precedent for the Bidder.

4.2. Conditions Precedent of the Bidder

The Bidder shall be required to fulfil the Conditions Precedent which is as follows:

- a. To provide a Performance Security/Guarantee to NSSO or its nominated agencies within fifteen (15) days of award of the contract to the Bidder substantially in the format provided in Appendix III of CAPI SOLUTION FOR GENERAL SURVEYS RFP; and
- b. To provide NSSO or its nominated agencies certified true copies of its constitutional documents and board resolutions authorizing the execution, delivery and performance of this Agreement by the Bidder.

4.3. Extension of time for fulfilment of Conditions Precedent

The Parties may, by mutual agreement extend the time for fulfilling the Conditions Precedent and the Term of this Agreement. For the avoidance of doubt, it is expressly clarified that any such extension of time shall be subject to imposition of penalties on the Bidder linked to the delay in fulfilling the Conditions Precedent.

4.4. Non-fulfilment of the Bidder’s Conditions Precedent

- a. In the event that the Agreement fails to come into effect on account of non-fulfilment of the Bidder’s Conditions Precedent, NSSO or its nominated agencies shall not be liable in any manner whatsoever to the Bidder and NSSO shall forthwith forfeit the bid security or Performance Guarantee as the case may be.

5. OBLIGATIONS UNDER THE SLA

5.1. The SLA shall be a separate contract in respect of this Agreement and shall be entered into concurrently with this Agreement between NSSO and Bidder;

5.2. In relation to any future SLA entered into between the Parties; each of the Parties shall observe and perform the obligations set out herein.

6. Change of Control

a. In the event of a change of control of the Bidder during the Term, the Bidder shall promptly notify NSSO and/or its nominated agencies of the same.

b. In the event that the net worth of the surviving entity is less than that of Bidder prior to the change of control, NSSO or its nominated agencies may within 30 days of becoming aware of such change in control, require a replacement of existing Performance Guarantee furnished by the Bidder from a guarantor acceptable to NSSO or its nominated agencies (which shall not be Bidder or any of its associated entities).

c. If such a guarantee is not furnished within 30 days of NSSO or its nominated agencies requiring the replacement, NSSO may exercise its right to terminate the SLA and/ or this Agreement within a further 30 days by written notice, to become effective as specified in such notice.

d. Pursuant to termination, the effects of termination as set out in clause 15 of this Agreement shall follow.

e. For the avoidance of doubt, it is expressly clarified that the internal reorganization of the Bidder shall not be deemed an event of a change of control for purposes of this clause unless the surviving entity is of less net worth than the predecessor entity.

7. Final testing and certification

The Project shall be governed by the mechanism of final acceptance testing and certification to be put into place by the Purchaser and Implementation Agency as under:

(a) Final testing and certification criteria will lay down a set of guidelines following internationally accepted norms and standards for testing and certification for all aspects of project development and implementation covering software, hardware and networking including the processes relating to the design of solution architecture, design of systems and sub- systems, coding, testing, business process description, documentation, version control, change management, security, service oriented architecture, performance in relation to compliance with SLA metrics, interoperability, scalability, availability and compliance with all the technical and functional requirements of the RFP and this Agreement;

(b) Final testing and certification criteria will be finalized from the development stage to ensure that the guidelines are being followed and to avoid large scale modifications pursuant to testing done after the application is fully developed;

(c) Final testing and certification criteria will consider conducting specific tests on the software, hardware, networking, security and all other aspects;

(d) Final testing and certification criteria will establish appropriate processes for notifying the Implementation Agency of any deviations from the norms, standards or guidelines at the earliest instance after taking cognizance of the same to enable the Implementation

8. REPRESENTATIONS

8.1 Representations of the Bidder

The Bidder covenants and represents to NSSO or its nominated agencies that:

- a. It is duly organized and validly existing under the laws of India, and has full power and authority to execute and perform its obligations under this Agreement and other agreements and to carry out the transactions contemplated hereby;
- b. It has taken all necessary corporate and other actions under laws applicable to its business to authorize the execution and delivery of this Agreement and to validly exercise its rights and perform its obligations under this Agreement;
- c. From the Effective Date, it will have the financial standing and capacity to undertake the Project in accordance with the terms of this Agreement;
- d. In providing the Services, it shall use reasonable endeavours not to cause any unnecessary disruption to NSSO's normal business operations
- e. This Agreement has been duly executed by it and constitutes a legal, valid and binding obligation, enforceable against it in accordance with the terms hereof, and its obligations under this Agreement shall be legally valid, binding and enforceable against it in accordance with the terms hereof;
- f. The information furnished in the tender documents and as updated on or before the date of this Agreement is to the best of its knowledge and belief true and accurate in all material respects as at the date of this Agreement;
- g. The execution, delivery and performance of this Agreement shall not conflict with, result in the breach of, constitute a default by any of the terms of its Memorandum and Articles of Association or any Applicable Laws or any covenant, contract, agreement, arrangement, understanding, decree or order to which it is a party or by which it or any of its properties or assets is bound or affected;
- h. There are no material actions, suits, proceedings, or investigations pending or, to its knowledge, threatened against it at law or in equity before any court or before any other judicial, quasi-judicial or other authority, the outcome of which may result in the breach of this Agreement or which individually or in the aggregate may result in any material impairment of its ability to perform any of its material obligations under this Agreement;
- i. It has no knowledge of any violation or default with respect to any order, writ, injunction or decree of any court or any legally binding order of any Government Instrumentality which may result in any Adverse Effect on its ability to perform its obligations under this Agreement and no fact or circumstance exists which may give rise to such proceedings that would adversely affect the performance of its obligations under this Agreement;
- j. It has complied with Applicable Laws in all material respects and has not been subject to any fines, penalties, injunctive relief or any other civil or criminal liabilities which in the aggregate have or may have an Adverse Effect on its ability to perform its obligations under this Agreement;
- k. It and its personnel, have the necessary experience, skill, knowledge and competence to perform the Services;
- l. It will not, nor will it suffer or permit any third party under its direction or control to negligently introduce into the Client's systems or any deliverables any harmful code.
- m. No representation or warranty by it contained herein or in any other document furnished by it to NSSO or its nominated agencies in relation to the Required Consents contains or shall contain any untrue or misleading

statement of material fact or omits or shall omit to state a material fact necessary to make such representation or warranty not misleading; and

n. No sums, in cash or kind, have been paid or shall be paid, by it or on its behalf, to any person by way of fees, commission or otherwise for entering into this Agreement or for influencing or attempting to influence any officer or employee of NSSO or its nominated agencies in connection therewith.

9. OBLIGATIONS OF NSSO OR ITS NOMINATED AGENCIES

Without prejudice to any other undertakings or obligations of NSSO or its nominated agencies under this Agreement, NSSO or its nominated agencies shall perform the Roles & Responsibilities as below:

Roles & Responsibilities

- **Roles & Responsibilities of Bidder**
 - a. With respect to the CAPI SOLUTION FOR GENERAL SURVEYS, the SI will need to put in place all the systems and processes, to ensure that the data (supply and demand side) gets mapped to the nearest Job Code.
 - b. Procure, install, commission, operate and maintain:
 - i. Requisite Portal solution as per the requirements mentioned in this RFP
 - ii. Meet the defined SLAs for the performance of the system.
 - c. Provide necessary support for the resolution of bugs, patches & upgrades of the software solution.
 - d. Provide necessary manpower for managing the Change Requests.
 - e. Design various manuals like User manual, Trouble Shooting manual etc. for the system.
 - f. Deploy the required manpower to manage the operations.
 - g. Ensuring the SLAs for downtime of system, software development /customization, as defined in this RFP are met.
 - h. Management and quality control of all services and infrastructure.
 - i. Any other services which is required for the successful execution of the project.
 - j. Generation of MIS reports as per the requirements of NSSO.
 - k. Generation of the report for the monitoring of SLA's.

- **Role & Responsibility of NSSO**
 - a. Coordination between all the stakeholders for providing necessary information for the study and development / customization of solution.
 - b. Provision of infrastructure for hosting the solution.
 - c. Coordinate with Bidder for conducting workshops for the Stakeholders.
 - d. Monitoring of overall timelines, SLAs and calculation of penalties accordingly.
 - e. Conducting UAT for the application solution deployed.
 - f. Issuing the Acceptance Certificate on successful deployment of the software application, and for other components of the Scope of Work (wherever required).
 - g. Any other requirements that could arise during operations for effective governance and to meet any administrative requirement.
 - h. Ensuring the staff members and other stakeholders attend the training programs as per the schedule defined by the bidder and agreed upon by NSSO.
 - i. Provide sign off on the deliverables of the project.

10. OBLIGATIONS OF THE BIDDER

The Bidder shall perform the Roles & Responsibilities as mentioned in the RFP.

11. GOVERNANCE

The project would require a close supervision and appropriate project control for successfully meeting the objectives and its timely completion

11.3 Security and Safety

a. The Bidder shall comply with the technical requirements of the relevant security, safety and other requirements specified in the Information Technology Act or Telegraph Act including the regulations issued by dept. of telecom (wherever applicable), IT Security Manual of NSSO& the Other Security requirements as specifically stated in the RFP and follow the industry standards related to safety and security (including those as stated in the RFP), insofar as it applies to the provision of the Services.

b. Each Party to the SLA/Agreement shall also comply with NSSO or the Government of India, and the respective State's security standards and policies in force from time to time at each location of which NSSO or its nominated agencies make the Bidder aware in writing insofar as the same apply to the provision of the Services.

c. The Parties to the SLA/Agreement shall use reasonable endeavours to report forth within writing to each other all identified attempts (whether successful or not) by unauthorized persons (including unauthorized persons who are employees of any Party) either to gain access to or interfere with NSSO as the case may be or any of their nominees data, facilities or Confidential Information.

d. The Bidder shall upon request by NSSO as the case may be or their nominee(s) participate in regular meetings when safety and information technology security matters are reviewed.

e. As per the provisions of the SLA or this Agreement, the Bidder shall promptly report in writing to NSSO or its nominated agencies, any act or omission which they are aware that could have an adverse effect on the proper conduct of safety and information technology security at the facilities of NSSO as the case may be.

11.4 Cooperation

Except as otherwise provided elsewhere in this Agreement or the SLA, each Party ("Providing Party") to this Agreement or to the SLA undertakes promptly to provide the other Party ("Receiving Party") with all such information and cooperation which the Receiving Party reasonably requests, provided that such information and co-operation:

- a. Does not require material expenditure by the Providing Party to provide the same;
- b. Is reasonably required by the Receiving Party in order for it to comply with its obligations under this Agreement or the SLA;
- c. Cannot be construed to be Confidential Information; and
- d. Is capable of being provided by the Providing Party. Further, each Party agrees to co-operate with the other Party as reasonably requested in order to accomplish the purposes of this Agreement.

12. FINANCIAL MATTERS

12.1. Terms of Payment and Service Credits and Debits

a. In consideration of the Services and subject to the provisions of this Agreement and of the SLA, NSSO shall pay the Bidder for the Services rendered in pursuance of this

Agreement, in accordance with the Terms of Payment Schedule set out in Section 13 of RFP.

b. All payments are subject to the application of service credits and debits as may be provided for in the SLA (Section 11 of RFP). For the avoidance of doubt, it is expressly clarified that NSSO will pay the service credits as stated in accordance with the Terms of Payment Schedule set out in Section 13 of RFP and NSSO may also calculate a financial sum and debit the same against the Terms of Payment Schedule as set out in Section 13 of RFP, of this Agreement as a result of the failure of the Bidder to meet the Service Level.

c. Save and except as otherwise provided for herein or as agreed between the Parties in writing, NSSO shall not be required to make any payments in respect of the Services (or, without limitation to the foregoing, in respect of the Bidder performance of any obligations under this Agreement) other than those covered in Terms of Payment Schedule set out in Section 13 of RFP. For the avoidance of doubt, it is expressly clarified that the payments shall be deemed to include all ancillary and incidental costs and charges arising in the course of delivery of the Services including implementation and management charges and all other related costs including taxes which are addressed in this clause.

13. Invoicing and Settlement

Subject to the specific terms of the SLA, the Bidder shall submit its invoices in accordance with the following principles:

a. NSSO shall be invoiced by the Bidder for the Services. Generally and unless otherwise agreed in writing between the Parties or expressly set out in the SLA, the Bidder shall raise an invoice as per Terms of Payment Schedule set out in Section 13 of RFP; and

b. Any invoice presented in accordance with this Article shall be in a form agreed with NSSO.

c. The Bidder alone shall invoice all payments after receiving due approval from the competent authority. Such invoices shall be accurate and all adjustments to or changes in the terms of payment as stated in Terms of Payment Schedule set out in Section 13 of RFP. The Bidder shall waive any charge for a Service that is not invoiced within six months after the end of the month in which the change relating to such Service is

(i) Authorized or (ii) incurred, whichever is later?

d. Payment of each valid and undisputed invoice shall be due and payable within 30 working days of the receipt of invoice along with supporting documents by NSSO subject to deduction of penalties. The penalties are imposed on the Bidder as per the SLA criteria specified in the SLA.

e. NSSO shall be entitled to delay or withhold payment of any invoice or part of invoice delivered by the Bidder under Terms of Payment Schedule where NSSO disputes/withholds such invoice or part of invoice. The withheld amount shall be limited to that which is in dispute. Any exercise by NSSO under this clause shall not entitle the Bidder to delay or withhold provision of the Services.

14. Tax

a. NSSO or its nominated agencies shall be responsible for withholding taxes from the amounts due and payable to the Bidder wherever applicable. The Bidder shall be solely responsible to pay all other taxes in connection with this Agreement, SLA, scope of work and any other engagement required to be undertaken as a part of this Agreement, including, but not limited to, property, sales, use, excise, value-added, goods and services, consumption and other similar taxes or duties.

b. NSSO or its nominated agencies shall provide Bidder with the copies of the tax receipt of any withholding taxes paid by NSSO or its nominated agencies on payments under this Agreement. The Bidder agrees to indemnify, defend and hold harmless NSSO or its nominated agencies from any claims, judgments, actions, suits, proceedings, demands, liabilities, costs, losses, damages and expenses, including, reasonable attorney's fees arising out of or relating to taxes that are its responsibility under this paragraph. For purposes of this Agreement, taxes shall include taxes incurred on transactions between and among NSSO or its nominated agencies, the Bidder and third party subcontractors.

c. If, after the date of this Agreement, there is any change of rate of levy under the existing applicable laws of India with respect to taxes and duties, which are directly payable by NSSO for providing the services i.e. service tax or any such other applicable tax from time to time, which increase or decreases the cost incurred by the Bidder in performing the Services, then the remuneration and reimbursable expense otherwise payable to NSSO under this Agreement shall be increased or decreased accordingly by correspondence between the Parties hereto, and corresponding adjustments shall be made to the ceiling amounts specified in Terms of Payment Schedule set out in Section 13 of RFP. However, in case of any new or fresh tax or levy imposed after submission of the proposal the Bidder shall be entitled to reimbursement on submission of proof of payment of such tax or levy.

15. TERMINATION

15.1. Material Breach

a. In the event a Party materially breaches its obligations under this Agreement, the non-defaulting aggrieved Party may terminate this Agreement upon giving a one month's written notice for curing the Material Breach to the other Party. In case the Material Breach continues, after the notice period, NSSO or Bidder, as the case may be will have the option to terminate the Agreement. Termination of this Agreement will be without prejudice to any other rights and remedies that a non-defaulting may have under this Agreement or at law or in equity. Any notice served pursuant to this clause shall give reasonable details of the Material Breach, which could include the following events and the termination will become effective:

b. If the Bidder is not able to deliver the Services as per the SLAs defined in RFP and or the work order which translates into Material Breach, then NSSO may serve a 30 days written notice for curing this Material Breach. In case the Material Breach continues, after the expiry of such notice period, NSSO will have the option to terminate this Agreement, provided that NSSO may only exercise such right to terminate for SLA failure after the SLA penalty cap is exhausted by NSSO. Further, NSSO may at its sole discretion afford a reasonable opportunity to the Bidder to explain the circumstances leading to such a breach.

c. NSSO may, upon its sole discretion, by giving a one month's written notice, terminate this Agreement if there is a change of control of the Bidder has taken place. For the purposes of this clause, in the case of Bidder, change of control shall mean the events stated in clause 6, and such notice shall become effective at the end of the notice period as set out in clause 6 (c).

d. In the event that Bidder undergoes such a change of control, NSSO may, as an alternative to termination, require a full Performance Guarantee for the obligations of Bidder by a guarantor acceptable to NSSO or its nominated agencies. If such a guarantee is not furnished within 30 days of NSSO's demand, NSSO may exercise its right to terminate this Agreement in accordance with this clause by giving 15 days further written notice to the Bidder.

e. NSSO may terminate this Agreement at any time upon 60 days prior written notice to Bidder. In the event of any such termination under this clause, NSSO will only be liable to make any payments which are due hereunder to Bidder for work performed in accordance with the terms and conditions herein up to the date of such termination.

f. The termination provisions set out in this clause shall apply mutatis mutandis to the SLA.

15.2. Effects of termination

a. In the event that NSSO terminates this Agreement pursuant to failure on the part of the Bidder to comply with the conditions as contained in this Agreement and depending on the event of default, Performance Guarantee furnished by Bidder may be forfeited.

b. Upon termination of this Agreement, the Parties will comply with the Exit Management Schedule set out as Schedule II of this Agreement.

c. In the event that NSSO or the Bidder terminates this Agreement, the compensation will be decided in accordance with the Terms of Payment Schedule set out in Section 13 of RFP.

d. NSSO agrees to pay Bidder for all fees for Services Bidder provides and any Deliverables Bidder delivers through termination. Upon any termination or expiration of this Agreement, Bidder will (i) deliver to NSSO all deliverables or work product, including any in progress at the time of termination or expiration, (ii) repay all monies paid in advance for services not yet provided; (iii) work with NSSO or its nominated agency to ensure a smooth transition of services.

15.3. Termination of this Agreement due to bankruptcy of Bidder

NSSO may serve written notice on Bidder at any time to terminate this Agreement with immediate effect upon institution of bankruptcy proceedings against the Bidder or if there is an appointment of receiver over the bidders' assets by a court or in case of a similar proceedings or cessation of business of the bidder.

16. INDEMNIFICATION & LIMITATION OF LIABILITY

16.1. Subject to Clause 16.2, Bidder (the "Indemnifying Party") at its expense and to the maximum extent permitted by law, undertakes to indemnify, defend and hold harmless NSSO (the "Indemnified Party") and its nominated agency from and against all losses, liabilities, costs, damages and expenses and will reimburse such fees and expenses as they are incurred, including in connection with any claim or action threatened or brought against the Indemnified Party, attributable to the Indemnifying Party's or its representative's negligence or wilful default, including but not limited to, bodily injury, death or damage to tangible personal property arising in favour of any person, corporation or other entity (including the Indemnified Party) in performance or non-performance under this Agreement; provided, however, that Indemnifying Party shall not be obligated to defend, indemnify, or hold the Indemnified Party from and against any such liabilities, costs, losses, damages and expenses to the extent caused solely by any negligent act or omission or intentional wrongdoing of such Indemnified Party .

16.2. The Indemnifying Party at its expense and to the maximum extent permitted by law, will indemnify, defend and hold harmless the Indemnified Party from and against all claims, actions, suits, proceedings, judgments, demands losses, liabilities, costs, damages and expenses and will reimburse such fees and expenses as they are incurred, including in connection with any claim or action threatened or brought against the Indemnified Party, arising out of or relating to any claim that the provision or the utilization of any services or any portion thereof constitutes an infringement, violation, trespass, contravention or breach of any intellectual property rights of any third party , or constitutes the unauthorized use of any trade secret of any third party.

16.3. Indemnified Party will promptly notify the Indemnifying Party of any such claim or action and will reasonably co-operate with Indemnifying Party in the defence of any such claim or action, at Indemnifying Party's expense. Indemnifying Party will not indemnify the Indemnified Party, however, if the claim of infringement is caused by (a) Indemnified Party's misuse or modification of the Service; (b) Indemnified Party's

failure to use corrections or enhancements made available by the Indemnifying Party; (c) Indemnified Party's use of the Service in combination with any product or information not owned or developed by Indemnifying Party; (d) Indemnified Party's distribution, marketing or use for the benefit of third parties of the Service; or (e) information, direction, specification or materials provided by Indemnified Party or any third party contracted to it. If any Service is or likely to be held to be infringing, Indemnifying Party shall at its expense and option either (i) procure the right for Indemnified Party to continue using services or such portion thereof, as contemplated hereunder, (ii) replace it with an equally suitable, compatible, non-infringing and functionally equivalent services as reasonably determined by Indemnified Party, (iii) modify the services or such portion thereof, to make it non infringing (provided such modification does not adversely affect the utilization of such services, as reasonably determined by Indemnified Party).

16.4. The indemnities set out in Clause 16.1 shall be subject to the following conditions:

- a. The Indemnified Party as promptly as practicable informs the Indemnifying Party in writing of the claim or proceedings;
- b. The Indemnified Party shall, at the cost of the Indemnifying Party, give the Indemnifying Party all reasonable assistance in the defence of such claim or proceedings including reasonable access to all relevant information, documentation and personnel provided that the Indemnified Party may, at its sole cost and expense, reasonably participate, through its attorneys or otherwise, in such defence;
- c. The Indemnifying Party may participate in such Defence at its sole cost and expense, and the Indemnified Party will have the right to defend the claim in such manner as it may deem appropriate, and the cost and expense of the Indemnified Party will be included in Losses;
- d. The Indemnified Party shall not prejudice, pay or accept any proceedings or claim, or compromise or consent to the entry of any judgment in any such commenced or threatened proceedings or claim, without the prior written consent of the Indemnifying Party;
- e. All settlements of claims or proceedings subject to indemnification under this Clause will:
 - i. Be entered into only with the prior written consent of the Indemnified Party, and include an unconditional release to the Indemnified Party from the claimant or plaintiff for all liability in respect of such claim or threatened proceedings or claim; and
 - ii. Include any appropriate confidentiality agreement prohibiting disclosure of the terms of such settlement;
- f. The Indemnified Party shall account to the Indemnifying Party for all awards, settlements, damages and costs (if any) finally awarded in favour of the Indemnified Party which are to be paid to it in connection with any such claim or proceedings or threatened proceedings or claims;
- g. The Indemnified Party shall take steps that the Indemnifying Party may reasonably require to mitigate or reduce its loss as a result of such a claim or proceedings or threatened proceedings or claim;
- h. In the event that the Indemnifying Party is obligated to indemnify an Indemnified Party pursuant to this clause, the Indemnifying Party will, upon payment of such indemnity in full, be subrogated to all rights and defences of the Indemnified Party with respect to the claims or proceedings to which such indemnification relates; and
- i. If a Party makes a claim under the indemnity set out under clause 15.1 above in respect of any particular loss or losses, then that Party shall not be entitled to make any further claim in respect of that Loss or Losses (including any claim for damages).

16.5. The liability of Bidder (whether in contract, tort, negligence, strict liability in tort, by statute or otherwise) for any claim in any manner related to this Agreement, including the work, deliverables or Services covered by this Agreement, shall be the payment of direct damages only which shall in no event in the aggregate exceed the total value of the contract. The liability cap given under this clause 16.5 shall not be applicable to the

indemnification obligations set out in clause 16.1 and breach of clause 11.3 and 18 of this Agreement, or the Bidder's wilful misconduct or gross negligence, or any claims of personal injury or property or damage.

16.6. In no event shall either party be liable for any consequential, incidental, indirect, special or punitive damage, loss or expenses (including but not limited to business interruption, lost business, lost profits, or lost savings) nor for any third party claims (other than those set-forth in clause 16.1) even if it has been advised of their possible existence.

16.7. The allocations of liability in this Section 16 represent the agreed and bargained for understanding of the parties and compensation for the Services reflects such allocations. Each Party has a duty to mitigate the damages and any amounts payable under an indemnity that would otherwise be recoverable from the other Party pursuant to this Agreement by taking appropriate and commercially reasonable actions to reduce or limit the amount of such damages or amounts.

17. FORCE MAJEURE

17.1 Definition of Force Majeure

The Bidder or NSSO as the case may be, shall be entitled to suspend or excuse performance of its respective obligations under this Agreement to the extent that such performance is impeded by an event of force majeure („Force Majeure’).

17.2 Force Majeure events

A Force Majeure event means any event or circumstance or a combination of events and circumstances referred to in this clause, which:

- a. is beyond the reasonable control of the affected Party;
- b. such Party could not have prevented or reasonably overcome with the exercise of reasonable skill and care;
- c. does not result from the negligence of such Party or the failure of such Party to perform its obligations under this Agreement;
- d. is of an incapacitating nature and prevents or causes a delay or impediment in performance; and
- e. may be classified as all or any of the following events: Such events include:

a. Non-Political Events

1. act of God, including earthquake, flood, inundation, landslide exceptionally adverse weather conditions, storm, tempest, hurricane, cyclone, lightning, thunder, volcanic eruption, fire or other extreme atmospheric conditions.
2. Radioactive contamination or ionization radiation or biological contamination except as may be attributable to the bidder's use of radiation or radioactivity or biologically contaminating material.
3. Strikes, lockout, boycotts, labour disruptions or any other industrial disturbance as the case may be not arising on account of the acts or omissions of the Bidder and which affect the timely implementation and continued operation of the project.
4. any event or circumstances of a nature analogous to any of the foregoing

b. Political Events

1. Change in Law, other than any Change in Law for which relief is provided
2. under this Agreement;

3. expropriation or compulsory acquisition by NSSO or any of their nominated agencies of any material assets or rights of the Implementing Partner;
4. unlawful or unauthorised revocation of, or refusal by NSSO or any of their nominated agencies, GoI or any of its agencies to renew or grant any clearance or Required Consents required by the Bidder to perform its obligations without valid cause, provided that such delay, modification, denial, refusal or revocation did not result from the Bidder's inability or failure to comply with any condition relating to grant, maintenance or renewal of such Required Consents applied on a non-discriminatory basis;
5. any judgment or order of any court of competent jurisdiction or statutory authority in India made against the Bidder in any proceedings for reasons other than failure of the Bidder to comply with Applicable Laws or Required Consents or on account of breach thereof, or of any contract, or enforcement of this Agreement or exercise of any of its rights under this Agreement;
6. expropriation or compulsory acquisition by NSSO or any of their nominated agencies of any material assets or rights of the Bidder;
7. unlawful or unauthorized revocation of, or refusal by any authority other than NSSO or any of their nominated agencies to renew or grant any Required Consents required by the Bidder to perform its obligations without valid cause, provided that such delay, modification, denial, refusal or revocation did not result from the Bidder's inability or failure to comply with any condition relating to grant, maintenance or renewal of such Required Consents applied on a non-discriminatory basis;
8. any requisition of the Project by any other authority; or
9. any requisition of the Project by NSSO or any of their nominated agencies
10. For the avoidance of doubt, suspension of the Project in accordance with the provisions of this Agreement shall not be considered a requisition for the purposes of Force Majeure event.

c. Other Events

i. an act of war (whether declared or undeclared), hostilities, invasion, armed conflict or act of foreign enemy, blockade, embargo, prolonged riot, insurrection, terrorist or military action, civil commotion or politically motivated sabotage, for a continuous period exceeding seven (7) days. For the avoidance of doubt, it is expressly clarified that the failure on the part of the Bidder under this Agreement or the SLA to implement any disaster contingency planning and back-up and other data safeguards in accordance with the terms of this Agreement or the SLA against natural disaster, fire, sabotage or other similar occurrence shall not be deemed to be a Force Majeure event. For the avoidance of doubt, it is further clarified that any negligence in performance of Services which directly causes any breach of security like hacking aren't the forces of nature and hence wouldn't be qualified under the definition of "Force Majeure". In so far as applicable to the performance of Services, Bidder will be solely responsible to complete the risk assessment and ensure implementation of adequate security hygiene, best practices, processes and technology to prevent any breach of security and any resulting liability therefrom (wherever applicable).

17.3 Notification procedure for Force Majeure

- a. The affected Party shall notify the other Party of a Force Majeure event within seven (7) Days of occurrence of such event. If the other Party disputes the claim for relief under Force Majeure it shall give the claiming Party written notice of such dispute within thirty (30) days of such notice. Such dispute shall be dealt with in accordance with the dispute resolution mechanism in accordance with clause 25.
- b. Upon cessation of the situation which led the Party claiming Force Majeure, the claiming Party shall within seven (7) days hereof notify the other Party in writing of the cessation and the Parties shall as soon as practicable thereafter continue performance of all obligations under this Agreement.

17.4 Allocation of costs arising out of Force Majeure

- a. Upon the occurrence of any Force Majeure Event prior to the Effective Date, the Parties shall bear their respective costs and no Party shall be required to pay to the other Party any costs thereof.
- b. Upon occurrence of a Force Majeure Event after the Effective Date, the costs incurred and attributable to such event and directly relating to the Project („Force Majeure Costs’) shall be allocated and paid as follows:
 1. upon occurrence of a Non-Political Event, the Parties shall bear their respective Force Majeure Costs and neither Party shall be required to pay to the other Party any costs thereof.
 2. upon occurrence of another event of Force Majeure, all Force Majeure Costs attributable to such other event, and not exceeding the Insurance Cover for such other event, shall be borne by the Bidder and to the extent Force Majeure costs exceed such Insurance Cover, one half of such excess amount shall be reimbursed by NSSO to the Bidder (optional clause – to be used, if relevant.)
 3. upon occurrence of a Political Event, all Force Majeure Costs attributable to such Political Event shall be reimbursed by NSSO to the Bidder
 4. For the avoidance of doubt, Force Majeure Costs may include interest payments on debt, operation and maintenance expenses, any increase in the cost of the Services on account of inflation and all other costs directly attributable to the Force Majeure Event.
 5. Save and except as expressly provided in this clause, neither Party shall be liable in any manner whatsoever to the other Party in respect of any loss, damage, costs, expense, claims, demands and proceedings relating to or arising out of occurrence or existence of any Force Majeure Event or exercise
 6. of any right pursuant hereof

17.5 Consultation and duty to mitigate

Except as otherwise provided in this clause, the affected Party shall, at its own cost, take all steps reasonably required to remedy and mitigate the effects of the Force Majeure event and restore its ability to perform its obligations under this Agreement as soon as reasonably practicable. The Parties shall consult with each other to determine the reasonable measures to be implemented to minimize the losses of each Party resulting from the Force Majeure event. The affected Party shall keep the other Parties informed of its efforts to remedy the effect of the Force Majeure event and shall make reasonable efforts to mitigate such event on a continuous basis and shall provide written notice of the resumption of performance hereunder.

18. CONFIDENTIALITY

18.1 NSSO or its nominated agencies shall allow the Bidder to review and utilize highly confidential public records and the Bidder shall maintain the highest level of secrecy, confidentiality and privacy with regard thereto.

18.2 Additionally, the Bidder shall keep confidential all the details and information with regard to the Project, including systems, facilities, operations, management and maintenance of the systems/facilities

18.3 NSSO or its nominated agencies shall retain all rights to prevent, stop and if required take the necessary punitive action against the Bidder regarding any forbidden disclosure.

18.4 Bidder may disclose the confidential information to its representatives who have a need to know such confidential information solely in connection with this Agreement.

18.5 The Bidder shall ensure that all its employees, agents, representatives and subcontracted partners execute individual non-disclosure agreements, which have been duly approved by the NSSO with respect to this Project and will assume full responsibility for any failure to comply with the terms of this Agreement by any such employees, agents, representatives and sub-contracted partners

18.6 For the avoidance of doubt, it is expressly clarified that the aforesaid provisions shall not apply to the following information

- I. information already available in the public domain
- II. information which has been developed independently by the Bidder
- III. information which has been received from a third party who had the right to disclose the aforesaid information
- IV. information which has been disclosed to the public pursuant to a court order

18.7 Bidder will not transfer or disclose any such confidential information to any third party without NSSO's prior written consent and without such third party having a contractual obligation to keep such confidential information confidential

18.8 Bidder will not use any confidential information for any other purpose other than to provide Services to NSSO under this Agreement.

18.9 To the extent the Bidder shares its confidential or proprietary information with NSSO for effective performance of the Services, the provisions of the Clause 17.1 to 17.3 shall apply mutatis mutandis on NSSO or its nominated agencies.

19. AUDIT, ACCESS AND REPORTING

The Bidder shall allow access to NSSO and or its nominated agencies to all information which is in the possession or control of the Bidder and which relates to the provision of the Services as set out in the Audit, Access and Reporting Schedule and which is reasonably required by NSSO to comply with the terms of the Audit, Access and Reporting Schedule set out as Terms of Payment Schedule set out Section 13 of RFP.

20. INTELLECTUAL PROPERTY RIGHTS

NSSO shall have exclusive title and ownership rights, including all trademark patents, copyrights, trade secrets, operating practices/ procedures or other intellectual property rights, relating to the content and like prepared, developed, conceived or delivered as part of or in connection with the Services and any derivatives of the foregoing to which NSSO has sovereign rights. Nothing herein shall or will be construed or deemed to grant to the Bidder any right, title, license, sub-license, proprietary right or other claim against or interest in, to or under (whether by estoppels, by implication or otherwise) to the aforesaid rights.

Except to the extent otherwise expressly provided in this Agreement, the Bidder hereby grants to NSSO an exclusive, royalty free, all media, irrevocable, unrestricted and unlimited license to use the content in any manner under or pursuant to this Agreement for whatsoever purpose. Further specifically to allow NSSO, to use the CAPI SOLUTION FOR GENERAL SURVEYS in the manner given hereinabove, irrespective of the number of users or sessions or applications or any other restrictions without additional cost. The Bidder will ensure that all necessary licenses and/or copyright and all other consents and permissions are obtained from all third parties to enable NSSO, to make the fullest use of the CAPI SOLUTION FOR GENERAL SURVEYS for which license is granted. In addition the Bidder undertakes to indemnify the NSSO against any claims caused by the Bidder's failure to obtain such licenses, consents and approvals from the third parties in respect of the Content.

Without limiting the generality and except to the extent otherwise expressly agreed by the Parties to this Agreement or the SLA in writing, nothing contained in this Agreement shall or will be construed or deemed to grant to the Bidder any right, title, license or other interest in, to or under (whether by estoppels, by implication or otherwise) any logo, trademark, trade name, service mark or similar designations of NSSO or its nominees or any confusingly similar designations of Project.

If Bidder uses in the course of the provision of the Services any Third Party System (i.e. Systems (or any part thereof) in which the Intellectual Property Rights are owned by a third party and to which Bidder has been

granted a license to use and which are used in the provision of Services) it will use all commercially reasonable endeavours to pass through to NSSO such third party's warranties relating to such Third Party Systems. In the event that such warranties cannot be passed through to or enforced by NSSO, the Bidder will enforce such warranties on NSSO's behalf and account to NSSO for so doing.

In respect of Bidder's usage of third party Intellectual Property Rights, Bidder undertakes to assist NSSO to secure such consents or licenses from such third parties as are necessary to perform Services hereunder. The obligations of the Bidder under this Article shall be considered part of the services performed by the Bidder under the Exit Management Services.

Deliverables will be provided to NSSO by the Bidder during the course of its performance under this Agreement. All right, title and interest in and to such Deliverables, shall, as between Bidder and NSSO, immediately upon creation vest in NSSO.

21. WARRANTY

21.1. The Bidder further warrants that all Services will be performed to the best of Bidder's ability and in an effective, timely, professional and workmanlike manner in accordance with the highest applicable industry standards and practices and such Services will be performed in accordance with any specifications and documentations set forth in the RFP and will comply, including the utilization thereof as contemplated hereunder, with all applicable laws, rules, regulations, orders of any governmental agencies; and will not violate or contravene the terms of any contract between Bidder and any third party.

21.2. The Bidder further warrants that it has and will have all right, titles, licenses, intellectual property, permissions and approvals necessary in connection with its performance under this Agreement and to grant NSSO rights granted hereunder; and none of the services nor the utilization of the services will, violate, infringe, trespass or in any manner contravene or breach or constitute the unauthorized use or misappropriation of any intellectual property of any third party.

21.3. The Bidder warrants that the Bidder owns or will prior to delivery of the content to NSSO have obtained all rights, consents, licenses, clearances and waivers in or in relation to the Content (and all material contained therein) which are necessary to enable NSSO to include the CAPI SOLUTION FOR GENERAL SURVEYS, and make the Contents available through the portal;

21.4. The Bidder further warrants that the CAPI SOLUTION FOR GENERAL SURVEYS (or any part thereof) as delivered by the Bidder to NSSO or its nominated agency under this Agreement will not be obscene or will not breach any law or regulation or infringe any rights of copyright, performing right or other proprietary right or interest of any third party or constitute a breach of confidence or be defamatory of any person;

21.5. The Bidder further warrants that it will not create Content that defames or threatens others. Bidder will not make statements that are bigoted, hateful or racially offensive.

21.6. The Bidder further warrants that the Bidder will not promote competitive websites or companies.

21.7. The Bidder warrants that the Content is not owned by any third party and the same is believed to be accurate and has not been obtained by any unlawful means. In the event an error in the accuracy of the Content is discovered, Bidder agrees to edit and make corrections;

21.8. The Content provided by the Bidder will be free from any virus or any other disabling or harmful codes;

21.9. If during the warranty period any defect or deficiency is found in the Content developed and created by the Bidder, the Bidder shall promptly, in consultation and agreement with NSSO, and at the Bidder's sole cost repair, replace, or otherwise make good such default, defect or deficiency in the Content.

21.10. Except as set forth in this Agreement, neither Party makes any other warranties, both express and implied, and all other warranties, including without limitation that of merchantability or fitness for intended purpose is specifically disclaimed.

22. LIQUIDATED DAMAGES

The delivery dates, timetables, milestones and other requirements mentioned in the RFP and the work order are binding on the Bidder. In the event of delay or any gross negligence, for causes attributable to the Bidder, in meeting the milestones and associated deliverables, milestones and time table NSSO shall be entitled to recover from the Bidder as agreed, liquidated damages as mentioned as part of the SLA in Section 11, RFP.

23. INSURANCE COVER

23.1 Bidder will, during the term of the Agreement, at its sole cost and expense, obtain and maintain if full force and effect, adequate standard forms of insurance which are mandatorily to be maintained as per the applicable laws and Bidder further, agrees to provide to NSSO on request copies of such policy of insurance and evidence that the premiums have been paid. Nothing in this Section will be construed as limiting Bidder's liability to NSSO or any third party. The mere purchase and existence of insurance does not reduce or release Bidder from liability incurred or assumed during the scope of the Agreement. Bidder's obligation to maintain insurance coverage, shall be in addition to, and not in substitution for, Bidder's other obligation hereunder and Bidder's liability to GE&T shall not be limited to the amount of coverage required hereunder.

23.2 Non-compliance

NSSO or its nominated agencies may, at its election, terminate this Agreement upon the failure of Bidder, or notification of such failure, to maintain the insurance coverage.

24. MISCELLANEOUS

24.1. Personnel

a. The personnel assigned by Bidder to perform the Services shall be employees of Bidder and under no circumstances shall such personnel be considered employees of NSSO or its nominated agencies. The Bidder shall have the sole responsibility for the supervision and control of the personnel deployed in the Project and for payment of such personnel's compensation, including salary, withholding of income taxes, worker's compensation, employee and disability benefits and the like and shall be responsible for all obligations of an employer subject to Applicable Law.

b. The Bidder shall use its best efforts to ensure that sufficient Bidder personnel are assigned to perform the Services and that such personnel have appropriate qualifications to perform the Services. Bidder will maintain continuity of personnel consistent with its obligation to perform the Services. After discussion with Bidder, NSSO or its nominated agencies shall have the right to require the removal or replacement of any Bidder personnel performing work under this Agreement. In the event that NSSO or its nominated agencies requests that any Bidder personnel be replaced for any reasons, Bidder will provide an equally qualified replacement and the substitution of such personnel shall be accomplished pursuant to a mutually agreed upon schedule. In the event that Bidder provides a replacement of personnel, Bidder will not charge NSSO for the number of hours required to train the replacement until such personnel is familiar with the particular project, so that the replacement is capable of performing the services under this Agreement.

c. In the event that NSSO and Bidder identify any personnel of Bidder as "Key Personnel", then the Bidder shall not remove such personnel from the Project without the prior written consent of NSSO or its nominated agencies unless such removal is the result of an unavoidable circumstance which is beyond the control of the Bidder, including but not limited to resignation, termination, medical leave, etc.

d. Except as stated in this clause, nothing in this Agreement or the SLA will limit the ability of Bidder to freely assign or reassign its employees; provided that Bidder shall be responsible, at its expense, for transferring all appropriate knowledge from personnel being replaced to their replacements. NSSO or its nominated agencies shall have the right to review and approve Bidder's plan for any such knowledge transfer. Bidder shall maintain the same or higher standards for skills and professionalism among replacement personnel as in personnel being replaced.

e. Bidder shall be responsible for the performance of all its obligations under this Agreement or the SLA as the case may be and shall be liable for the acts and omissions of its employees and agents in connection therewith.

f. Neither Party will solicit for employment or knowingly hire an employee of the other Party with whom such Party has contact pursuant to project engagements under this Agreement. This restriction shall not apply to employees of either Party responding to advertisements in job fairs or news media circulated to the general public.

24.2. Independent Contractor

Bidder is acting as an independent contractor and the Bidder is solely responsible for its actions and inactions , and nothing in this Agreement or the SLA shall be construed as establishing or implying any partnership or joint venture or employment relationship between the Parties to this Agreement or the SLA and, except as expressly stated in this Agreement or the SLA, nothing in this Agreement or the SLA shall be deemed to constitute any Parties as the agent of any other Party or authorizes either Party to:

- a. incur any expenses on behalf of the other Party;
- b. enter into any engagement or make any representation or warranty on behalf of the other Party;
- c. pledge the credit of or otherwise bind or oblige the other Party; or
- d. commit the other Party in any way whatsoever without in each case obtaining the other Party's prior written consent

24.3. Sub-contractors

Bidder is not allowed to subcontract part of the scope of work as per Section 2.2 Sole Bidder Criteria of the RFP.

24.4. Assignment

- a. All terms and provisions of this Agreement shall be binding on and shall inure to the benefit of NSSO and their respective successors and permitted assigns.
- b. The Bidder shall not be permitted to assign its rights and obligations under this Agreement to any third party.
- c. NSSO may assign all or any part of this Agreement and Schedules/Annexures, to any third party.

24.5. Notices

- a. Any notice or other document which may be given by either Party under this Agreement or under the SLA shall be given in writing in person or by pre-paid recorded delivery post, email or by facsimile transmission.
- b. In relation to a notice given under this Agreement, any such notice or other document shall be addressed to the other Party's principal or registered office address as set out below:

<Insert Address> Tel:

Fax:

Email:

Contact:

With a copy to:

Bidder

Tel:

Fax:

Email:

Contact:

c. In relation to a notice given under the MSA / SLA, a Party shall specify the Parties' address for service of notices, any such notice to be copied to the Parties at the addresses set out in this clause.

d. Any such notice or other document shall be deemed to have been given to the other Party (or, if relevant, its relevant associated company) when delivered (if delivered in person) if delivered between the hours of 9.00 am and 5.00 pm at the address of the other Party set forth above or if sent by fax, provided the copy fax is accompanied by a confirmation of transmission, or on the next working day thereafter if delivered outside such hours, and 7 days from the date of posting (if by letter).

e. Either Party to this Agreement or to the SLA may change its address, telephone number, facsimile number and nominated contact for notification purposes by giving the other reasonable prior written notice of the new information and its effective date.

24.5.1. Bidder acknowledges that a breach of the confidential obligations may result into irreparable and continuing damages to NSSO for which monetary damages may not be sufficient, and agrees that NSSO will be entitled to seek, in addition to its other rights and remedies under the law, injunctive or any other equitable relief as may be proper from court of competent jurisdiction.

24.6. Variations and Further Assurance

- a. No amendment, variation or other change to this Agreement or the SLA shall be valid unless the Parties enter into an amendment to the Agreement or the SLA, as the case may be. Such amendment shall be made in writing and signed by the duly authorized representatives of the Parties to this Agreement or the SLA.
- b. Each Party to this Agreement or the SLA agrees to enter into or execute, without limitation, whatever other agreement, document, consent and waiver and to do all other things which shall or may be reasonably required to complete and deliver the obligations set out in this Agreement or the SLA.

24.7. Severability and Waiver

a. If any provision of this Agreement or the SLA, or any part thereof, shall be found by any court or administrative body of competent jurisdiction to be illegal, invalid or unenforceable the illegality, invalidity or unenforceability of such provision or part provision shall not affect the other provisions of this Agreement or the SLA or the remainder of the provisions in question will remain unimpaired and which shall remain in full force and effect. The Parties shall negotiate in good faith in order to agree to substitute for any illegal, invalid or unenforceable provision a valid and enforceable provision which achieves to the greatest extent possible the economic, legal and commercial objectives of the illegal, invalid or unenforceable provision or part provision.

b. No failure to exercise or enforce and no delay in exercising or enforcing on the part of either Party to this Agreement or the SLA of any right, remedy or provision of this Agreement or the SLA shall operate as a waiver of such right, remedy or provision in any future application nor shall any single or partial exercise or enforcement

of any right, remedy or provision preclude any other or further exercise or enforcement of such right, remedy or provision or the exercise or enforcement of any other right, remedy or provision.

24.8. Compliance with Applicable Law

Each Party to this Agreement accepts that its individual conduct shall (to the extent applicable to its business like the Bidder as an information technology service provider) at all times comply with all laws, rules and regulations of government and other bodies having jurisdiction over the area in which the Services are undertaken provided that changes in such laws, rules and regulations which result in a change to the Services shall be dealt with in accordance with the Change Control Schedule set out in Schedule II of this Agreement.

24.9. Professional Fees

All expenses incurred by or on behalf of each Party to this Agreement and the SLA, including all fees of agents, legal advisors, accountants and actuaries employed by either of the Parties in connection with the negotiation, preparation and execution of this Agreement or the SLA shall be borne solely by the Party which incurred them.

24.10. Ethics

The Bidder represents, warrants and covenants that it has given no commitments, payments, gifts, kickbacks, lavish or expensive entertainment, or other things of value to any employee or agent of NSSO or its nominated agencies in connection with this Agreement and acknowledges that the giving of any such payment, gifts, entertainment, or other things of value is strictly in violation of NSSO standard policies and may result in cancellation of this Agreement, or the SLA.

24.11. Entire Agreement

This Agreement and the SLA with all schedules & annexures appended thereto and the contents and specifications of the RFP constitute the entire agreement between the Parties with respect to their subject matter, and as to all other representations, understandings or agreements which are not fully expressed herein, provided that nothing in this clause shall be interpreted so as to exclude any liability in respect of fraudulent misrepresentation.

24.12. Amendment

Any amendment to this Agreement shall be made in accordance with the Change Control Schedule set out in Schedule I of this Agreement by mutual written consent of all the Parties.

25. GOVERNING LAW AND DISPUTE RESOLUTION

25.1 This Agreement shall be governed by and construed in accordance with the laws of India, without giving effect to conflict of law rules. The parties expressly agree to exclude the application of the U.N. Convention on Contracts for the International Sale of Goods (1980) to this Agreement and the performance of the parties contemplated under this Agreement, to the extent that such convention might otherwise be applicable.

25.2 In case the escalations do not help in resolution of the problem within 3 weeks of escalation, both the parties should agree on a mediator for communication between the two parties. The process of the mediation would be as follows:

a. Aggrieved party should refer the dispute to the identified mediator in writing, with a copy to the other party. Such a reference should contain a description of the nature of the dispute, the quantum in dispute (if any) and the relief or remedy sought suitable.

b. The mediator shall use his best endeavours to conclude the mediation within a certain number of days of his appointment.

c. If no resolution can be reached through mutual discussion or mediation within 30 days then the matter should be referred to Experts for advising on the issue.

25.3 In case the mediation does not help in resolution and it requires expertise to understand an issue, a neutral panel of 3 experts, agreeable to both parties should be constituted. The process of the expert advisory would be as follows:

a. Aggrieved party should write to the other party on the failure of previous alternate dispute resolution processes within the timeframe and requesting for expert advisory. This is to be sent with a copy to the mediator.

b. Both parties should thereafter agree on the panel of experts who are well conversant with the issue under dispute

c. The expert panel shall use his best endeavours to provide a neutral position on the issue.

d. If no resolution can be reached through the above means within 30 days then the matter should be referred to Arbitration.

25.4 Any dispute or difference whatsoever arising between the parties to this Contract out of or relating to the construction, meaning, scope, operation or effect of this Contract or the validity of the breach thereof shall be referred to a sole Arbitrator to be appointed by mutual consent of both the parties herein. If the parties cannot agree on the appointment of the Arbitrator within a period of one month from the notification by one party to the other of existence of such dispute, then the Arbitrator shall be appointed by the High Court of New Delhi, India. The provisions of the Arbitration and Conciliation Act, 1996 will be applicable and the award made there under shall be final and binding upon the parties hereto, subject to legal remedies available under the law. Such differences shall be deemed to be a submission to arbitration under the Indian Arbitration and Conciliation Act, 1996, or of any modifications, Rules or re-enactments thereof. The Arbitration proceedings will be held at New Delhi, India. Any legal dispute will come under the sole jurisdiction of New Delhi, India.

25.5 Compliance with laws: Each party will comply with all applicable Indian export and import laws and regulations.

IN WITNESS WHEREOF the Parties have by duly authorized

Representatives set their respective hands and seal on the date first above

Written in the presence of:

WITNESSES:

Signed by:

(Name and designation) **For and on behalf of NSSO**

(FIRST PARTY)

Signed by:

(Name and designation)

BIDDER

(SECOND PARTY)

(Name and designation) For and on behalf of Bidder

Signed by:

SCHEDULES

SCHEDULE II - EXIT MANAGEMENT SCHEDULE

1 PURPOSE

1.1 This Schedule sets out the provisions, which will apply on expiry or termination of the MSA, the

Project Implementation, Operation and Maintenance SLA.

1.2 In the case of termination of the Project Implementation, the Parties shall agree at that time whether, and if so during what period, the provisions of this Schedule shall apply.

1.3 The Parties shall ensure that their respective associated entities carry out their respective obligations set out in this Exit Management Schedule.

2. Payment to Outgoing Bidder

2.1 Upon service of a notice under this Article, Payment to the outgoing BIDDER shall be made to the tune of last set of completed services / deliverables, subject to SLA requirements.

3 COOPERATION AND PROVISION OF INFORMATION

3.1 During the exit management period:

(i) The Bidder will allow NSSO or its nominated agency access to information reasonably required to define the then current mode of operation associated with the provision of the services to enable NSSO to assess the existing services being delivered;

(ii) promptly on reasonable request by NSSO, the BIDDER shall provide access to and copies of all information held or controlled by them which they have prepared or maintained in accordance with this Agreement relating to any material aspect of the Services (whether provided by the Bidder or the sub-contracted partner). NSSO shall be entitled to copy of all such information. Such information shall include details pertaining to the services rendered and other performance data. The Bidder shall permit NSSO or its nominated agencies to have reasonable access to its employees and facilities as reasonably required by the Chairman, PIU to understand the methods of delivery of the services employed by the Bidder and to assist appropriate knowledge transfer.

4 CONFIDENTIAL INFORMATION, SECURITY AND DATA

4.1 The Bidder will promptly on the commencement of the exit management period supply to NSSO or its nominated agency the following:

(i) Information relating to the current services rendered

(iii) all current and updated data as is reasonably required for purposes of NSSO or its nominated agencies transitioning the services to its Replacement Bidder in a readily available format nominated by NSSO, its nominated agency;

(iv) all other information (including but not limited to documents, records and agreements) relating to the services reasonably necessary to enable NSSO or its nominated agencies, or its Replacement Bidder to carry out due diligence in order to transition the provision of the Services to NSSO or its nominated agencies, or its Replacement Bidder (as the case may be).

4.2 Before the expiry of the exit management period, the Bidder shall deliver to NSSO or its nominated agency all new or up-dated materials from the categories set out in Schedule above and shall not retain any copies thereof.

4.3 Before the expiry of the exit management period, unless otherwise provided under the MSA, either party shall deliver to the other party all forms confidential information, which is in the possession or control of the party.

5 EMPLOYEES

5.1 Promptly on reasonable request at any time during the exit management period, the Bidder shall, subject to applicable laws, restraints and regulations (including in particular those relating to privacy) provide to NSSO or its nominated agency a list of all employees (with job titles) of the Bidder dedicated to providing the services at the commencement of the exit management period.

5.2 Where any national, regional law or regulation relating to the mandatory or automatic transfer of the contracts of employment from the Bidder to NSSO or its nominated agency, or a Replacement Bidder ("**Transfer Regulation**") applies to any or all of the employees of the Bidder, then the Parties shall comply with their respective obligations under such Transfer Regulations.

5.3 To the extent that any Transfer Regulation does not apply to any employee of the Bidder, department, or its Replacement Bidder may make an offer of employment or contract for services to such employee of the Bidder and the Bidder shall not enforce or impose any contractual provision that would prevent any such employee from being hired by the Chairperson, PIU or any Replacement Bidder.

6 TRANSFER OF CERTAIN AGREEMENTS

On request by NSSO or its nominated agency the Bidder shall effect such assignments, transfers, licenses and sub-licenses as the Chairperson, PIU may require in favour of the Chairperson, PIU, or its Replacement Bidder in relation to service provision agreement between Bidder and third party lessors, vendors, and which are related to the services and reasonably necessary for the carrying out of replacement services by NSSO or its nominated agency or its Replacement Bidder.

7 -Deleted

8 GENERAL OBLIGATIONS OF THE BIDDER

8.1 The Bidder shall provide all such information as may reasonably be necessary to effect as seamless a handover as practicable in the circumstances to NSSO or its nominated agency or its Replacement Bidder and which the Bidder has in its possession or control at any time during the exit management period.

8.2 -Deleted

8.3 The Bidder shall commit adequate resources to comply with its obligations under this Exit Management Schedule.

9 EXIT MANAGEMENT PLAN

9.1 The Bidder shall provide NSSO or its nominated agency with a recommended exit management plan ("Exit Management Plan") which shall deal with at least the following aspects of exit management in relation to the MSA as a whole and in relation to the Project Implementation.

(i) A detailed program of the transfer process that could be used in conjunction with a Replacement Bidder including details of the means to be used to ensure continuing provision of the services throughout the transfer process or until the cessation of the services and of the management structure to be used during the transfer;

(ii) Plans for provision of contingent support to NSSO, and Replacement Bidder for a reasonable period after transfer.

9.2 The Bidder shall re-draft the Exit Management Plan annually thereafter to ensure that it is kept relevant and up to date.

9.3 Each Exit Management Plan shall be presented by the Bidder to and approved by NSSO or its nominated agencies.

9.4 The terms of payment as stated in the Terms of Payment Schedule include the costs of the Bidder complying with its obligations under this Schedule.

9.5 In the event of termination or expiry of MSA, and Project Implementation, each Party shall comply with the Exit Management Plan.

9.6 During the exit management period, the Bidder shall use its best efforts to deliver the services.

9.7 Payments during the Exit Management period shall be made in accordance with the Terms of Payment Schedule.

9.8 This Exit Management plan shall be furnished in writing to NSSO or its nominated agencies within 90 days from the Effective Date of this Agreement.

SCHEDULE III – AUDIT, ACCESS AND REPORTING

1 PURPOSE

This Schedule details the audit, access and reporting rights and obligations of NSSO or its nominated agency and the Bidder.

2 AUDIT NOTICE AND TIMING

2.1 As soon as reasonably practicable after the Effective Date, the Parties shall use their best endeavours to agree to a timetable for routine audits (Other than those mentioned as part of the mandatory requirements for successful delivery and acceptance of the Services) during the Project Implementation Phase and the Operation and Maintenance Phase. Such timetable during the Implementation Phase, NSSO or its nominated agency shall conduct routine audits in accordance with such agreed timetable and shall not be required to give the Bidder any further notice of carrying out such audits.

2.2 NSSO or its nominated agency may conduct non-timetabled audits at his/ her own discretion if it reasonably believes that such non-timetabled audits are necessary as a result of an act of fraud by the Bidder, a security

violation, or breach of confidentiality obligations by the Bidder, provided that the requirement for such an audit is notified in writing to the Bidder a reasonable period time prior to the audit (taking into account the circumstances giving rise to the reasonable belief) stating in a reasonable level of detail the reasons for the requirement and the alleged facts on which the requirement is based. If the Bidder considers that the non-timetabled audit was not appropriate, the matter shall be referred to the escalation procedure as set out in the Governance Schedule.

2.3 The frequency of audits shall be a (maximum) half yearly, provided always that the NSSO or its nominated agency shall endeavour to conduct such audits with the lowest levels of inconvenience and disturbance practicable being caused to the Bidder. Any such audit shall be conducted by with adequate notice of 2 weeks to the Bidder.

2.4 NSSO will ensure that any 3rd party agencies (except CAG) appointed to conduct the audit will not be the competitor of Bidder and will be bound by confidentiality obligations.

3 ACCESS

The Bidder shall provide to NSSO or its nominated agency reasonable access to employees, suppliers, agents and third-party facilities as detailed in the RFP, documents, records and systems reasonably required for audit and shall provide all such persons with routine assistance in connection with the audits and inspections. The Chairperson, PIU /Steering Committee shall have the right to copy and retain copies of any relevant records. The Bidder shall make every reasonable effort to co-operate with them.

4 AUDIT RIGHTS

4.1 NSSO or its nominated agency shall have the right to audit and inspect suppliers, agents and third-party facilities (as detailed in the RFP), documents and records relating to the provision of the Services, but only to the extent that they relate to the provision of the services, as shall be reasonably necessary to verify:

(i) The security, integrity and availability of all data processed, held or conveyed by the Partner on behalf of NSSO and documentation related thereto;

(ii) That the actual level of performance of the services is the same as specified in the SLA;

(iii) That the Bidder has complied with the relevant technical standards, and has adequate internal controls in place; and

(iv) The compliance of the Bidder with any other obligation under the MSA and SLA.

(v) Security audit and implementation audit of the system shall be done once each year, the cost of which shall be borne by the Bidder.

(vi) For the avoidance of doubt the audit rights under this Schedule shall not include access to the Bidder's profit margins or overheads, any confidential information relating to the Bidder' employees, or (iii) minutes of its internal Board or Board committee meetings including internal audit, or (iv) such other information of commercial-in-confidence nature which are not relevant to the Services associated with any obligation under the MSA.

6 ACTION AND REVIEW

6.1 Any change or amendment to the systems and procedures of the Bidder, where applicable arising from the audit report shall be agreed within thirty (30) calendar days from the submission of the said report.

6.2 Any discrepancies identified by any audit pursuant to this Schedule shall be immediately notified to NSSO or its nominated agency and the Bidder Project Manager who shall determine what action should be taken in respect of such discrepancies in accordance with the terms of the MSA.

7 TERMS OF PAYMENT

NSSO shall bear the cost of any audits and inspections. The terms of payment are exclusive of any costs of the Bidder for all reasonable assistance and information provided under the MSA, the Project Implementation and SLA by the Bidder pursuant to this Schedule.

8 RECORDS AND INFORMATION

For the purposes of audit in accordance with this Schedule, the Bidder shall maintain true and accurate records in connection with the provision of the services and the Bidder shall handover all the relevant records and documents upon the termination or expiry of the MSA.

9. ANNEXURE

ANNEXURE A – FORMAT OF PERFORMANCE GUARANTEE –Appendix-III (Form 1) of RFP

ANNEXURE B -FORMAT FOR CHANGE CONTROL NOTICE –Appendix-III (Form 2) of RFP

ANNEXURE C – PROJECT PLAN –Appendix-I (Form 8) of RFP

ANNEXURE D – TECHNICAL BID RESPONSE –Appendix-I of RFP

ANNEXURE E – FINANCIAL BID RESPONSE–Appendix-II of RFP

Annexure V: Service Level Agreement

THIS AGREEMENT is made on this the <***> day of <***> 20---- at <***>, India.

BETWEEN

The President of India, acting through Ministry of Statistics & Programme Implementation having its office at ----- India hereinafter referred to as „**NSSO**’ or „**Buyer**’, which expression shall, unless the context otherwise requires, include its permitted successors and assigns);

AND

<***>, a Company incorporated under the Companies Act, 2013 or a partnership firm registered under LLP Act, 2008, having its registered office at <***> (hereinafter referred to as the „**Bidder**’ which expression shall, unless the context otherwise requires, include its permitted successors, executors, administrators and assigns). Each of the parties mentioned above are collectively referred to as the „**Parties**’ and individually as a „**Party**’.

WHEREAS:

1. NSSO is desirous to implement the NSSO Integrated Information Portal (CAPI SOLUTION FOR GENERAL SURVEYS) project
2. NSSO and Bidder have entered into a Master Services Agreement dated <***> (the “**MSA**”).

NOW THEREFORE, in consideration of the mutual covenants, promises, assurances, representations and provisions set forth herein, the Parties hereto agree as follows:

1. DEFINITIONS AND INTERPRETATION

1.1 Definitions

Terms and expressions used in this Agreement (including the Introduction) shall have the meanings set out in RFP.

1.2 Interpretation

In this Agreement, unless otherwise specified:

- (a) references to clauses, Sub-clauses, Paragraphs and Schedules are to clauses, sub-clauses, paragraphs of and schedules to this Agreement;
- (b) use of any gender includes the other genders;
- (c) references to a „**company**’ shall be construed so as to include any company, corporation or other body corporate, wherever and however incorporated or established;
- (d) references to a „**person**’ shall be construed so as to include any individual, firm, company, government, state or agency of a state, local or municipal authority or government body or any joint venture, association or partnership (whether or not having separate legal personality);
- (e) a reference to any statute or statutory provision shall be construed as a reference to the as it may have been, or may from time to time be, amended, modified or re-enacted;

(f) any reference to a „**day**’ (including within the phrase „business day’) shall mean a period of 24 hours running from midnight to midnight;

(g) references to a „**business day**’ shall be construed as a reference to a day (other than a Sunday) on which banks in the state of ----- are generally open for business;

(h) references to times are to Indian Standard Time;

(i) a reference to any other document referred to in this Agreement is a reference to that other document as amended, varied, novated or supplemented at any time; and

(j) all headings and titles are inserted for convenience only. They are to be ignored in the interpretation of this Agreement.

1.3 Measurements and Arithmetic Conventions

All measurements and calculations shall be in the metric system and calculations done to 2 (two) decimal places, with the third digit of 5 (five) or above being rounded up and below 5 (five) being rounded down except in money calculations where such amounts shall be rounded off to the nearest INR.

1.4 Ambiguities within Agreement

In case of ambiguities or discrepancies within this Agreement, the following principles shall apply:

(a) as between two clauses of this Agreement, the provisions of a specific clause relevant to the issue under consideration shall prevail over those in a general clause;

(b) as between the provisions of this Agreement and the Schedules, the Agreement shall prevail, save and except as expressly provided otherwise in the Agreement or the Schedules; and

(c) as between any value written in numerals and that in words, the value in words shall prevail.

1.5 Priority of agreements

The Parties hereby expressly agree that for the purpose of giving full and proper effect to this Agreement, the MSA and this Agreement shall be read together and construed harmoniously. In the event of any conflict between the MSA and this Agreement, the provisions contained in the MSA shall prevail over this Agreement.

2. STRUCTURE

This SLA shall operate as a legally binding services agreement specifying terms which apply to the Parties in relation to the provision of the Services by the Bidder to the Buyer and its nominated agencies under this Agreement and the MSA.

The Bidder shall be required to ensure that the Service Levels which shall ensure the following:

(a) Improving the efficiency of operations.

(b) Leveraging the benefits in new system in order to:

(i) Reduce of manual records and replace with computerized standardized documents.

(ii) Infuse transparency in operations by enabling the stakeholders to have easy access to the records and provision of login ids and biometrics to infuse accountability in operations

(iii) Enable faster request processing in delivery of services with better turnaround time.

(iv) Generate meaningful MIS from the system.

(v) Provide inbuilt mechanism of security and quality control for crucial dealer data. To meet the aforementioned objectives the Bidder will provide the Service Levels in accordance with the performance metrics as set out in detail in this Agreement. Further this Agreement shall govern the provision of the contracted professional services of the Bidder to NSSO and its nominated agencies after the Effective Date.

3. SCOPE OF SLA

This Agreement has been executed in relation to the outsourcing portion of the Project between the Parties. The detailed Service Levels have been set out in Section 11 of the RFP.

This Agreement shall ensure the following:

- (a) Establishment of mutual responsibilities and accountability of the Parties;
- (b) Defining each Party’s expectations in terms of services provided;
- (c) Establishment of the relevant performance measurement criteria;
- (d) Definition of the availability expectations;
- (e) Definition of the escalation process;
- (f) Establishment of trouble reporting single point of contact; and
- (g) Establishment of the framework for SLA change management

The following parties are obligated to follow the procedures as specified by this Agreement:

- (a) Buyer
- (b) Bidder

4. AGREEMENT OWNERS

The following personnel shall be notified to discuss the Agreement and take into consideration any proposed SLA change requests:

	Title	Telephone	Email
Buyer	Authorized Representative, NSSO	<***>	<***>
Bidder	<***>	<***>	<***>

5. CONTACT LIST

In the event that there is any change in the listed contacts, the same shall be communicated and updated prior to such change occurring. The Single Point of Contact (“POC”) for the Bidder shall be <***> and will be available 24X7.

	Title	Location	Telephone
Buyer	Authorized Representative, NSSO	<***>	<***>
Bidder	<***>	<***>	<***>

6. PRINCIPAL CONTACTS

The Buyer and the Bidder will nominate a senior staff member to be the principal contact regarding operation of this Agreement. At the date of signing of this Agreement, the nominated principal contacts are:

Buyer principal contact: _____

Bidder principal contact: _____

7. COMMENCEMENT AND DURATION OF THIS AGREEMENT

Agreement shall commence on the later date on which it is executed by the Buyer and the Bidder (hereinafter the “Effective Date”) and shall, unless terminated earlier in accordance with its terms or unless otherwise agreed by the Parties, expire on the date on which this Agreement expires or terminates, which shall be a period of five years starting from the date of the Final Acceptance Test.

8. EXCLUSIONS TO THE AGREEMENT

This Agreement shall not govern the following services:

- (a) Consulting services; and
- (b) Bidder’s business processes not related to the Project.

9. TERMS OF PAYMENT AND PENALTIES

(a) In consideration of the Services and subject to the provisions of the MSA and this Agreement, the Buyer shall pay the amounts in accordance with the Terms of Payment Schedule mentioned in Section 13 of RFP.

(b) For the avoidance of doubt, it is expressly clarified that the Buyer and/or its nominated agencies may also calculate a financial sum and debit the same against the terms of payment as defined in the Terms of Payment Schedule mentioned in RFP as a result of the failure of the Bidder to meet the Service Levels set out as in Section 11 of RFP of this Agreement, such sum being determined in accordance with the terms of the set out as RFP of this Agreement.

10. UPDATING OF THIS AGREEMENT

(a) The Parties anticipate that this Agreement shall need to be re-evaluated and modified to account for changes in work environment and technology from time to time. Hence they hereby agree to revise the terms of the Agreement on an annual basis.

(b) The Parties hereby agree upon the following procedure for revising this Agreement:

(i) Any and all changes to this Agreement will be initiated in writing between the Buyer and the Bidder, The service levels in this Agreement shall be considered to be standard for the Buyer and shall only be modified if both Parties agree to an appended set of terms and conditions;

(ii) Only the Buyer or the Bidder may initiate a revision to this Agreement;

(iii) A notice of the proposed revision (“**SLA Change Request**”) shall be served to the Buyer or the Bidder as the case may be;

(iv) The SLA Change request would be deemed to be denied in case it is not approved within a period of <***> days;

(v) In the event that Buyer/Bidder approves of the suggested change the change shall be communicated to all the Parties and the SLA Change request would be appended to the Agreement;

(vi) The Buyer shall update and republish the text of Agreement annually to include all the SLA Change Requests that have been appended to the Agreement during the course of the year. Such republished Agreement shall be circulated to all the Parties within <***> days of such change taking place.

11. DOCUMENT HISTORY

All revisions made to this Agreement shall be listed in chronological order as per the format set out below and a copy of the same shall be provided to the Parties:

Version	Date	Description of changes
<***>	<***>	<***>

12. SCOPE OF SERVICES

(a) The Bidder shall ensure that Services are available at various locations as per the requirements of the project;

(b) The Bidder shall provide support services for addressing problems related to the provision of services of the selected bidder through the POC. Such POC shall be available over telephone on <***> number 24 hours a day, 7 days a week

(c) The Bidder guarantees that he shall achieve the Service Levels for the Project;

(d) The Bidder shall be liable to penalties in case of failure to comply with the Service Levels. However, any delay not attributable to the Bidder shall not be taken into account while computing adherence to the Service Levels.

13. PERFORMANCE REVIEW

The POC's of both the Buyer and the Bidder shall meet on a quarterly basis to discuss priorities, service levels and system performance. Additional meetings may be held at the request of either the Bidder or the Buyer. The agenda for these meetings shall be as follows:

- (a) Service performance;
- (b) Review of specific problems/exceptions and priorities; and
- (c) Review of the operation of this Agreement and determine corrective action to overcome deficiencies.

14. REPRESENTATIONS AND WARRANTIES OF BUYER

The Buyer hereby represents and warrants to the Bidder as follows:

- (a) it has full power and authority to execute, deliver and perform its obligations under this Agreement and to carry out the transactions contemplated herein and that it has taken all actions necessary to execute this Agreement, exercise its rights and perform its obligations, under this Agreement and carry out the transactions contemplated hereby;
- (b) it has taken all necessary actions under Applicable Law to authorize the execution, delivery and performance of this Agreement and to validly exercise its rights and perform its obligations under this Agreement;
- (c) it has the financial standing and capacity to perform its obligations under the Agreement;
- (d) this Agreement has been duly executed by it and constitutes a legal, valid and binding obligation enforceable against it in accordance with the terms hereof and its obligations under this Agreement shall be legally valid, binding and enforceable obligations against it in accordance with the terms thereof;
- (e) the execution, delivery and performance of this Agreement shall not conflict with, result in the breach of, constitute a default under, or accelerate performance required by any of the Applicable Laws or any covenant, contract, agreement, arrangement, understanding, decree or order to which it is a party or by which it or any of its properties or assets is bound or affected;
- (f) there are no actions, suits or proceedings pending or, to its knowledge, threatened against it at law or in equity before any court or before any other judicial, quasi-judicial or other authority, the outcome of which may result in the default or breach of this Agreement or which individually or in the aggregate may result in any material impairment of its ability to perform its material (including any payment) obligations under this Agreement;
- (g) it has no knowledge of any violation or default with respect to any order, writ, injunction or any decree of any court or any legally binding order of any Government Instrumentality which may result in any material adverse effect on the Bidder's ability to perform its obligations under this Agreement and no fact or circumstance exists which may give rise to such proceedings that would adversely affect the performance of its obligations under this Agreement.

15. REPRESENTATIONS AND WARRANTIES OF THE BIDDER

The Bidder hereby represents and warrants to the Buyer as follows:

- (a) it is duly organized and validly existing under the laws of India, and has full power and authority to execute and perform its obligations under this Agreement and to carry out the transactions contemplated hereby;
- (b) it has taken all necessary corporate and other actions under Applicable Laws to authorize the execution and delivery of this Agreement and to validly exercise its rights and perform its obligations under this Agreement;

(c) from the Effective Date, it will have the financial standing and capacity to undertake the Project in accordance with the terms of this Agreement;

(d) in providing the Services, it shall use reasonable endeavours not to cause any unnecessary disruption to NSSO's normal business operations

(e) this Agreement has been duly executed by it and constitutes its legal, valid and binding obligation, enforceable against it in accordance with the terms hereof, and its obligations under this Agreement shall be legally valid, binding and enforceable obligations against it in accordance with the terms hereof;

(f) the execution, delivery and performance of this Agreement shall not conflict with, result in the breach of, constitute a default under, or accelerate performance required by any of the terms of its Memorandum and Articles of Association or any Applicable Laws or any covenant, contract, agreement, arrangement, understanding, decree or order to which it is a party or by which it or any of its properties or assets is bound or affected;

(g) there are no actions, suits, proceedings, or investigations pending or, to its knowledge, threatened against it at law or in equity before any court or before any other judicial, quasi-judicial or other authority, the outcome of which may result in the breach of this Agreement or which individually or in the aggregate may result in any material impairment of its ability to perform any of its material obligations under this Agreement;

(e) it has no knowledge of any violation or default with respect to any order, writ, injunction or decree of any court or any legally binding order of any government instrumentality which may result in any material adverse effect on its ability to perform its obligations under this Agreement and no fact or circumstance exists which may give rise to such proceedings that would adversely affect the performance of its obligations under this Agreement;

(f) it has complied with Applicable Law in all material respects and has not been subject to any fines, penalties, injunctive relief or any other civil or criminal liabilities which in the aggregate have or may have a material adverse effect on its ability to perform its obligations under this Agreement;

(g) it and its sub-contracted partner and personnel, have the necessary experience, skill, knowledge and competence to perform the Services;

(h) it will not, nor will it suffer or permit any third party under its direction or control to negligently introduce into the Client's systems or any Deliverables any harmful code.

(i) no representation or warranty by it contained herein or in any other document furnished by it to the Buyer or to any government instrumentality in relation to the Required Consents contains or shall contain any untrue or misleading statement of material fact or omits or shall omit to state a material fact necessary to make such representation or warranty not misleading; and

(j) no sums, in cash or kind, have been paid or shall be paid, by it or on its behalf, to any person by way of fees, commission or otherwise for entering into this Agreement or for influencing or attempting to influence any officer or employee of the Buyer in connection therewith.

16. INDEMNITIES

The Bidder agrees to indemnify NSSO under this Agreement in accordance with the terms and principles set out in the MSA.

17. DISPUTE RESOLUTION

Any dispute, difference or claim arising out of or in connection with the Agreement which is not resolved amicably shall be decided in accordance with the dispute resolution procedure as set out in the MSA.

18. MISCELLANEOUS

(a) Assignment and charges

This Agreement shall be binding on and ensure for the benefit of each Party's successors in title. No Party shall assign, or declare any trust in favour of a third party over, all or any part of the benefit of, or its rights or benefits under, this Agreement.

(b) Governing law and jurisdiction

This Agreement shall be construed and interpreted in accordance with and governed by the laws of India, and the courts at the State of shall have jurisdiction over matters arising out of or relating to this Agreement.

(c) Waiver of sovereign immunity

The Parties unconditionally and irrevocably:

(i) agree that the execution, delivery and performance by them of the Agreement constitute commercial acts done and performed for commercial purpose;

(ii) agree that, should any proceedings be brought against a Party or its assets, property or revenues in any jurisdiction in relation to the Agreement or any transaction contemplated by the Agreement, no immunity (whether by reason of sovereignty or otherwise) from such proceedings shall be claimed by or on behalf of such Party with respect to its assets;

(iii) waive any right of immunity which it or its assets, property or revenues now has, may acquire in the future or which may be attributed to it in any jurisdiction; and

(iv) consent generally to the enforcement of any judgment or award against it in any such proceedings to the giving of any relief or the issue of any process in any jurisdiction in connection with such proceedings (including the making, enforcement or execution against it or in respect of any assets, property or revenues whatsoever irrespective of their use or intended use of any order or judgment that may be made or given in connection therewith).

(d) Variation

This Agreement may only be varied in writing and signed by both Parties.

(e) Waiver

(i) Waiver including partial or conditional waiver, by either Party of any default by the other Party in the observance and performance of any provision of or obligations under this Agreement:

- shall be in writing

- shall not operate or be construed as a waiver of any other or subsequent default here of or of other provisions of or obligations under this Agreement;
- shall not be effective unless it is in writing and executed by a duly authorized representative of the Party; and
- shall not affect the validity or enforceability of this Agreement in any manner.

(f) Exclusion of implied warranties

This Agreement expressly excludes any warranty, condition or other undertaking implied at law or by custom or otherwise arising out of any other agreement between the Parties or any representation by either Party not contained in a binding legal agreement executed by both Parties.

(g) Survival

(i) Termination or expiration of the Term shall:

☑ not relieve the Bidder or the Buyer, as the case may be, of any obligations hereunder which expressly or by implication survive hereof; and

☑ except as otherwise provided in any provision of this Agreement expressly limiting the liability of either Party, not relieve either Party of any obligations or liabilities for loss or damage to the other Party arising out of, or caused by, acts or omissions of such Party prior to the effectiveness of such termination or expiration or arising out of such termination or expiration.

(ii) All obligations surviving termination or expiration of the Term shall cease on termination or expiration of the Term.

(h) Entire Agreement

This Agreement and the Annexure together constitute a complete and exclusive statement of the terms of the agreement between the Parties on the subject hereof, and no amendment or modification hereto shall be valid and effective unless such modification or amendment is agreed to in writing by the Parties and duly executed by persons especially empowered in this behalf by the respective Parties. All prior written or oral understandings, offers or other communications of every kind pertaining to this Agreement are abrogated and withdrawn.

(i) Severability

If for any reason whatever, any provision of this Agreement is or becomes invalid, illegal or unenforceable or is declared by any court of competent jurisdiction or any other instrumentality to be invalid, illegal or unenforceable, the validity, legality or enforceability of the remaining provisions shall not be affected in any manner, and the Parties shall negotiate in good faith with a view to agreeing to one or more provisions which may be substituted for such invalid, unenforceable or illegal provisions, as nearly as is practicable to such invalid, illegal or unenforceable provision. Failure to agree upon any such provisions shall not be subject to the dispute resolution procedure set forth under this Agreement or otherwise.

(j) No partnership

This Agreement shall not be interpreted or construed to create an association, joint venture or partnership between the Parties, or to impose any partnership obligation or liability upon either Party, and neither Party shall have any right, power or authority to enter into any agreement or undertaking for, or act on behalf of, or

to act as or be an agent or representative of, or to otherwise bind, the other Party except as expressly provided under the terms of this Agreement.

(k) Third parties

This Agreement is intended solely for the benefit of the Parties and their respective successors and permitted assigns, and nothing in this Agreement shall be construed to create any duty to, standard of care with reference to, or any liability to, any person not a Party to this Agreement.

(l) Notices

Any notice or other communication to be given by any Party to the other Party under or in connection with the matters contemplated by this Agreement shall be in writing and shall be given by hand delivery, recognized courier, registered post, email or facsimile transmission and delivered or transmitted to the Parties at their respective addresses set forth below:

If to NSSO:

Attn: <***>

Tel:

Fax:

Email:

Contact:

With a copy to:

If to the Bidder: Attn.

<***>

Phone: <***>

Fax No. <***>

(m) Language

All notices required to be given by one Party to the other Party and all other communications, documentation and proceedings which are in any way relevant to this Agreement shall be in writing and in the English language.

(n) Counterparts

This Agreement may be executed in two counterparts, each of which, when executed and delivered, shall constitute an original of this Agreement.

(o) Mitigation

Without prejudice to any express provisions of this Agreement on any mitigation obligations of the Parties, each of the Buyer and the Bidder shall at all times take all reasonable steps to minimize and mitigate any loss for which the relevant Party is entitled to bring a claim against the other Party pursuant to this Agreement.

(p) Removal of Difficulties

The Parties acknowledge that it is conceivable that the Parties may encounter difficulties or problems in the course of implementation of the Project and the transactions envisaged under this Agreement. The Parties agree and covenant that they shall mutually discuss such difficulties and problems in good faith and take all reasonable steps necessary for removal or resolution of such difficulties or problems.

IN WITNESS WHEREOF THE PARTIES HAVE EXECUTED AND DELIVERED THIS

AGREEMENT AS OF THE DATE FIRST ABOVE WRITTEN.

SIGNED, SEALED AND DELIVERED SIGNED, SEALED AND DELIVERED

For and on behalf of the Implementation For and on behalf of the Buyer by: Agency by:

(Signature) (Signature)

(Name) (Name)

(Designation) (Designation)

(Address) (Address)

(Fax No.) (Fax No.)

In the presence of:

1.

2.

Annexure VI: Non-Disclosure Agreement

THIS AGREEMENT is made on this the <***> day of <***> 20--- at <***>, India.

BETWEEN

The President of India, acting through Ministry of Statistics & Programme Implementation having its office at ----- India hereinafter referred to as „**NSSO**”, which expression shall, unless the context otherwise requires, include its permitted successors and assigns);

AND

<***>, a Company incorporated under the Companies Act, 2013 or a partnership firm registered under LLP Act, 2008., having its registered office at <***> (hereinafter referred to as „**the Bidder**” which expression shall, unless the context otherwise requires, include its permitted successors, executors, administrators and assigns). Each of the parties mentioned above are collectively referred to as the „**Parties**” and individually as a „**Party**”.

WHEREAS:

1. NSSO is desirous to implement the NSSO Integrated Information Portal (CAPI SOLUTION FOR GENERAL SURVEYS) project
2. NSSO and Bidder have entered into a Master Services Agreement dated <***> (the “**MSA**”) as well as a Service Level Agreement dated <***> (the “**SLA**”) in furtherance of the Project.

3. Whereas in pursuing the Project (the “**Business Purpose**”), a Party (“Disclosing Party”) recognizes that they will disclose certain Confidential Information (as defined hereinafter) to the other Party (“Receiving Party”).

4. Whereas such Confidential Information (as defined hereinafter) belongs to Disclosing Party as the case may be and is being transferred to the Receiving Party to be used only for the Business Purpose and hence there is a need to protect such confidential information from unauthorized use and disclosure.

NOW THEREFORE, in consideration of the mutual covenants, promises, assurances, representations and provisions set forth herein, the Parties hereto agree as follows:

DEFINITIONS AND INTERPRETATION

1.1 Definitions

Terms and expressions used in this Agreement (including the Introduction) shall have the same meanings set out in CAPI SOLUTION FOR GENERAL SURVEYS RFP.

1.2 Interpretation

In this Agreement, unless otherwise specified:

(a) references to clauses, Sub-clauses, Paragraphs and Schedules are to clauses, sub-clauses, paragraphs of and schedules to this Agreement;

(b) use of any gender includes the other genders;

(c) references to a „company’ shall be construed so as to include any company, corporation or other body corporate, wherever and however incorporated or established;

(d) references to a ‘**person**’ shall be construed so as to include any individual, firm, company, government, state or agency of a state, local or municipal authority or government body or any joint venture, association or partnership (whether or not having separate legal personality);

(e) a reference to any statute or statutory provision shall be construed as a reference to the same as it may have been, or may from time to time be, amended, modified or re-enacted;

(f) any reference to a „**day**’ (including within the phrase „business day’) shall mean a period of 24 hours running from midnight to midnight;

(g) references to a „**business day**’ shall be construed as a reference to a day (other than a Sunday) on which banks in the state of <***> are generally open for business;

(h) references to times are to Indian standard time;

(i) a reference to any other document referred to in this Agreement is a reference to that other document as amended, varied, novated or supplemented at any time; and

(j) all headings and titles are inserted for convenience only. They are to be ignored in the interpretation of this Agreement.

1.8 Measurements and Arithmetic Conventions

All measurements and calculations shall be in the metric system and calculations done to 2 (two) decimal places, with the third digit of 5 (five) or above being rounded up and below 5 (five) being rounded down except in money calculations where such amounts shall be rounded off to the nearest INR.

1.9 Ambiguities within Agreement

In case of ambiguities or discrepancies within this Agreement, the following principles shall apply:

- (a) as between two clauses of this Agreement, the provisions of a specific clause relevant to the issue under consideration shall prevail over those in a general clause;
- (b) as between the provisions of this Agreement and the Schedules, the Agreement shall prevail, save and except as expressly provided otherwise in the Agreement or the Schedules; and
- (c) as between any value written in numerals and that in words, the value in words shall prevail.

1.5 Priority of agreements

The Parties hereby expressly agree that for the purpose of giving full and proper effect to this Agreement, the MSA and this Agreement shall be read together and construed harmoniously. In the event of any conflict between the MSA and this Agreement, the provisions contained in the MSA shall prevail over this Agreement.

2. TERM

This Agreement will remain in effect for five years from the date of the last disclosure of Confidential Information (“Term”), at which time it will terminate, unless extended by the disclosing party in writing.

3. SCOPE OF THE AGREEMENT

(a) This Agreement shall apply to all confidential and proprietary information of a Party to which the other Party has had or will have access in connection with discussions of the Business Purpose and all confidential and proprietary information disclosed by Disclosing Party to the Receiving Party and other information which the Disclosing Party identifies in writing or otherwise as confidential before or within (30) thirty days after disclosure to the Receiving Party (“Confidential Information”). Such Confidential Information includes without limitation certain specifications, documents, software, prototypes and/or technical information, and all copies and derivatives containing such Information that may be disclosed to the Disclosing Party for and during the Business Purpose, which a party considers proprietary or confidential.

(b) Such Confidential Information may be in any form or medium, tangible or intangible, and may be communicated/disclosed in writing, orally, graphically, or machine readable form or through visual observation or by any other means to the Receiving Party.

OBLIGATIONS OF THE RECEIVING PARTY

The Receiving Party shall:

(a) use the Confidential Information only for the Business Purpose and shall hold the Confidential Information in confidence using the same degree of care as it normally exercises to protect its own proprietary confidential information. In no way, the Receiving Party use less than a reasonable degree of care to protect and preserve the Disclosing Party’ Confidential Information, and

(b) grant access to Confidential Information only to its employees on a „need to know basis’ and restrict such access as and when not necessary to carry out the Business Purpose.

(c) cause its employees, agents, representatives and sub-contracted partner to comply with the provisions of this Agreement and the Receiving Party will assume full responsibility for any failure to comply with the terms of this Agreement by any such employees, agents, representatives and sub-contracted partner;

- (d) prevent unauthorized disclosure of Confidential Information to third parties;
- (e) disclose the Confidential Information to its agents, employees, consultants, representatives, and sub-contracted partners on a need to know basis; provided that by doing so, the Receiving Party agrees to bind such agents, consultants, employees, representatives and sub-contracted partners to terms at least as restrictive as those stated herein. The Receiving Party upon making a disclosure under this clause shall:
 - (f) advise the agents, employees, consultants, representatives and sub-contracted partners of the confidentiality obligations imposed on them by this clause
 - (g) upon the Disclosing Party's written request, the Receiving Party shall either return to the Disclosing Party all copies of the Confidential Information which is already in possession or within the control of the Receiving Party. Alternatively, with the Disclosing Party's prior written consent, Receiving Party may destroy such Confidential Information provided that the Confidential Information is destroyed in accordance with applicable law, rules and regulations and such Confidential Information is rendered unreadable, undecipherable and otherwise incapable of reconstruction, in which case and an officer of the Receiving Party shall certify in writing to the Disclosing Party that all media containing Confidential Information have been destroyed
 - (h) Provided, however, that an archival copy of the Confidential Information may be retained in the files of the Receiving Party's counsel, solely for the purpose of proving the contents of the Confidential Information
 - (i) not to remove any of the other Party's Confidential Information from the premises of the Disclosing Party without prior written approval
 - (j) exercise extreme care in protecting the confidentiality of any Confidential Information which is removed, only with the Disclosing Party's prior written approval, from the Disclosing Party's premises. Each Party agrees to comply with any and all terms and conditions the Disclosing Party may impose upon any such approved removal, such as conditions that the removed Confidential Information and all copies must be returned by a certain date, and that no copies are to be made off of the premises
 - (k) Upon the Disclosing Party's request, the Receiving Party shall promptly return to the Disclosing Party all tangible items containing or consisting of the Disclosing Party's Confidential Information all copies thereof.
 - (l) not transfer or disclose any Confidential Information to any third party without the prior written permission of the Disclosing Party and without such third party having a contractual obligation to keep such Confidential Information confidential.

2. EXCEPTIONS TO CONFIDENTIAL INFORMATION

The foregoing restrictions on each party's use or disclosure of Confidential Information shall not apply to the Confidential Information that the Receiving Party can demonstrate that such Confidential Information:

- (a) was independently developed by or for the Receiving Party without use of or reference to the Disclosing Party's Confidential Information, or was received without restrictions; or
- (b) has become generally available to the public without breach of confidentiality obligations of the Receiving Party under this Agreement and independently of Receiving Party's knowledge of any Confidential Information; or
- (c) was in the Receiving Party's lawful and demonstrable possession without restriction prior to its receipt from the Disclosing Party ; or

(d) is the subject of a subpoena, court order, statute, rule and regulation or other legal or administrative demand for disclosure; provided, however, that the Receiving Party has given the Disclosing Party prompt notice of such demand for disclosure and the Receiving Party reasonably cooperates with the Disclosing Party's efforts to secure an appropriate protective order; or

(e) is disclosed with the prior consent of the Disclosing Party; or

(f) the Receiving Party obtains or has available from a source other than the Disclosing Party without breach by the Receiving Party or such source of any obligation of confidentiality or non-use towards the disclosing party.

3. OWNERSHIP OF THE CONFIDENTIAL INFORMATION

(a) Each Party recognizes and agrees that all of the Disclosing Party's Confidential Information is owned solely by the Disclosing Party (or its licensors) and that the unauthorized disclosure or use of such Confidential Information would cause irreparable harm and significant injury, the degree of which may be difficult to ascertain.

(b) By disclosing the Confidential Information or executing this Agreement, Disclosing Party does not grant any license, explicitly or implicitly, under any trademark, patent, copyright, mask work protection right, trade secret or any other intellectual property right. The Disclosing Party disclaims all warranties regarding the information, including all warranties with respect to infringement of intellectual property rights and all warranties as to the accuracy or utility of such information.

(c) Access to Confidential Information hereunder shall not preclude an individual who has seen such Confidential Information for the purposes of this Agreement from working on future projects for the Disclosing Party which relate to similar subject matters, provided that such individual does not make reference to the Confidential Information and does not copy the substance of the Confidential Information during the Term. Furthermore, nothing contained herein shall be construed as imposing any restriction on the Receiving Party's disclosure or use of any general learning, skills or know-how developed by the Receiving Party's personnel under this Agreement; provided the Receiving Party does not use the Confidential Information of the Disclosing Party in the development or acquisition of such skills or know-how.

(d) Execution of this Agreement and the disclosure of Confidential Information pursuant to this Agreement do not constitute or imply any commitment, promise, or inducement by either Party to make any purchase or sale, or to enter into any additional agreement of any kind.

7. DISPUTE RESOLUTION

(a) If a dispute arises in relation to the conduct of this Contract (Dispute), a party must comply with this clause 7 before starting arbitration or court proceedings (except proceedings for urgent interlocutory relief). After a party has sought or obtained any urgent interlocutory relief that party must follow this clause 7.

(b) A party claiming a Dispute has arisen must give the other parties to the Dispute notice setting out details of the Dispute.

(c) During the 14 days after a notice is given under clause 7(b) (or longer period if the parties to the Dispute agree in writing), each party to the Dispute must use its reasonable efforts through a meeting of Senior Executive (or their nominees) to resolve the Dispute. If the parties cannot resolve the Dispute within that period then any such dispute or difference whatsoever arising between the parties to this Agreement out of or relating to the construction, meaning, scope, operation or effect of this Agreement or the validity of the breach thereof shall be referred to a sole arbitrator to be appointed by mutual consent of both the parties herein. If the Parties cannot agree on the appointment of the arbitrator within a period of one month from the notification by one

party to the other of existence of such dispute, then the Arbitrator shall be appointed by the High Court of the jurisdiction specified in this agreement. The provisions of the Arbitration and Conciliation Act, 1996 will be applicable and the award made there under shall be final and binding upon the parties hereto, subject to legal remedies available under the law. Such differences shall be deemed to be a submission to arbitration under the Indian Arbitration and Conciliation Act, 1996, or of any modifications, Rules or re-enactments thereof. The Arbitration proceedings will be held at the jurisdiction specified in Item 27. Any legal dispute will come under the sole jurisdiction specified in Item 27.

(d) The Receiving Party agrees that the Disclosing Party shall have the right to obtain an immediate injunction enjoining any breach of this Agreement, as well as the right to pursue any and all other rights and remedies available at law or in equity for such a breach.

8. VARIATION

This Agreement may only be varied in writing and signed by both Parties.

9. WAIVER

Waiver including partial or conditional waiver, by either Party of any default by the other Party in the observance and performance of any provision of or obligations under this Agreement:-

(a) shall be in writing

(b) shall not operate or be construed as a waiver of any other or subsequent default hereof or of other provisions of or obligations under this Agreement;

(c) shall be executed by a duly authorized representative of the Party; and

(d) shall not affect the validity or enforceability of this Agreement in any manner.

10. EXCLUSION OF IMPLIED WARRANTIES

This Agreement expressly excludes any warranty, condition or other undertaking implied at law or by custom or otherwise arising out of any other agreement between the Parties or any representation by either Party not contained in a binding legal agreement executed by both Parties.

11. ENTIRE AGREEMENT

This Agreement and the Annexure together constitute a complete and exclusive statement of the terms of the agreement between the Parties on the subject hereof, and no amendment or modification hereto shall be valid and effective unless such modification or amendment is agreed to in writing by the Parties and duly executed by persons especially empowered in this behalf by the respective Parties. All prior written or oral understandings, offers or other communications of every kind pertaining to this Agreement are abrogated and withdrawn.

12. SEVERABILITY

If for any reason whatever, any provision of this Agreement is or becomes invalid, illegal or unenforceable or is declared by any court of competent jurisdiction or any other instrumentality to be invalid, illegal or unenforceable, the validity, legality or enforceability of the remaining provisions shall not be affected in any manner, and the Parties shall negotiate in good faith with a view to agreeing to one or more provisions which may be substituted for such invalid, unenforceable or illegal provisions, as nearly as is practicable to such invalid,

illegal or unenforceable provision. Failure to agree upon any such provisions shall not be subject to the dispute resolution procedure set forth under this Agreement or otherwise.

13. NO PARTNERSHIP

This Agreement shall not be interpreted or construed to create an association, joint venture or partnership between the Parties, or to impose any partnership obligation or liability upon either Party, and neither Party shall have any right, power or authority to enter into any agreement or undertaking for, or act on behalf of, or to act as or be an agent or representative of, or to otherwise bind, the other Party except as expressly provided under the terms of this Agreement.

14. THIRD PARTIES

This Agreement is intended solely for the benefit of the Parties and their respective successors and permitted assigns, and nothing in this Agreement shall be construed to create any duty to, standard of care with reference to, or any liability to, any person not a Party to this Agreement.

15. SUCCESSORS AND ASSIGNS

The Agreement shall be binding on and shall inure to the benefit of the Parties and their respective successors and permitted assigns.

16. NOTICES

Any notice or other communication to be given by any Party to the other Party under or in connection with the matters contemplated by this Agreement shall be in writing and shall be given by hand delivery, recognized courier, registered post, email or facsimile transmission and delivered or transmitted to the Parties at their respective addresses set forth below:

If to NSSO:

Attn: <***>

Tel:

Fax:

Email:

Contact:

With a copy to:

If to the Bidder: Attn. <***>

Phone: <***>

Fax No. <***>

17. LANGUAGE

All notices required to be given by one Party to the other Party and all other communications, documentation and proceedings which are in any way relevant to this Agreement shall be in writing and in the English language. This Agreement may be executed in counterparts, each of which, when executed and delivered, shall constitute an original of this Agreement.

18. MITIGATION

Without prejudice to any express provisions of this Agreement on any mitigation obligations of the Parties, both NSSO and the Bidder shall at all times take all reasonable steps to minimize and mitigate any loss for which the relevant Party is entitled to bring a claim against the other Party pursuant to this Agreement.

19. REMOVAL OF DIFFICULTIES

The Parties acknowledge that it is conceivable that the Parties may encounter difficulties or problems in the course of implementation of the Project and the transactions envisaged under this Agreement. The Parties agree and covenant that they shall mutually discuss such difficulties and problems in good faith and take all reasonable steps necessary for removal or resolution of such difficulties or problems.

IN WITNESS WHEREOF THE PARTIES HAVE EXECUTED AND DELIVERED THIS

AGREEMENT AS OF THE DATE FIRST ABOVE WRITTEN.

SIGNED, SEALED AND DELIVERED

For and on behalf of the Bidder by:

(Signature)

(Name)

(Designation)

(Address)

(Fax No.)

SIGNED, SEALED AND DELIVERED

For and on behalf of NSSO by:

(Signature)

(Name)

(Designation)

(Address)

(Fax No.)

In the presence of:

- 1.
- 2.