

APPENDIX-1

SAMPLE DESIGN
FOR

NSS 53rd Round (January - December 1997)

C.1. Sample Design

C.1.1 Sampling frame : For rural areas, 1990 EC frame is used for selection of villages (Panchayat wards for Kerala & 1981 population census frame for selection of villages for J & K). Latest available lists of UFS blocks are used as sampling frame for selection of sample blocks for all cities and towns.

C.1.2 Stratification

C 1.2.1 Rural: To net adequate number of NDTE's in the sample, each district (NSS region x district for Gujarat) is divided into two area types namely (i) area type 1 consisting of the villages having at least one NDTE and (ii) area type 2 consisting of the remaining villages of the district.

C.1.2.2 Urban: In urban areas, trading enterprises are mostly concentrated in the bazaar area. Thus to net adequate number of trading enterprises in the sample, each town class within a district* is divided into two area types namely (i) Area type 1 consisting of the UFS blocks identified as 'bazaar area' and (ii) area type 2 consisting of the remaining UFS blocks of the town class.

C.1.2.2.1 Composition of town classes in a district falling in an NSS region : There will be a maximum of 5 town classes as described below :

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town class code	composition of town class
1	all towns with population less than 1 lakh
2	all towns with population 1 lakh or more but less than 5 lakhs
3	all towns with population 5 lakhs or more but less than 10 lakhs
4/5	each city with population 10 lakhs or more

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* In case of Gujarat , a district may fall in two regions

C.1.2.3 All-India sample size and its allocation over the states/U.Ts :

(i) The total all-India sample size (rural & urban combined) will be a maximum of 15,600 FSUs for the central sample. Total sample size is allocated to different states/U.Ts in proportion to number of workers engaged in OATEs/NDTEs (to be estimated as number of OATEs/NDTEs according to EC '90 multiplied by estimates of number of workers per enterprise based on NSS 46th round) subject to a minimum allocation depending upon the total number of districts and town classes for the state/U.T.

(ii) The state/U.T. level total sample size is allocated between rural and urban sectors in proportion to number of workers. The state/U.T. level rural allocation is further allocated among the districts (NSS region x districts for Gujarat) and the urban allocation among the town classes of each district in proportion to number of workers. While allocating as above, it is maintained that NSS region level allocations (separately for rural & urban) are multiples of 8 and the district level allocations for rural/town class level allocations for urban are at least 4 but in multiples of 2. This is done in order to allocate at least two sample FSUs in each of the two area types. Lastly the district level (rural) allocation is further allocated to the two area types 1 & 2 in proportion to number of OATEs & NDTEs such that allocation for each area type is in multiples of 2 and the town class level (urban) allocation is also allocated between the two area types 1 & 2 in such a way that UFS blocks of area type 1 get completely surveyed (considering state & central samples combined) subject to a maximum of 50% of allocation at town class level and the residual allocation to area type 2. As in rural, area type wise allocation for the urban areas will also be in even numbers.

C.1.2.4 Selection of FSU's : Sample FSUs from each area type are selected circular systematically in the form of two independent sub-samples with probabilities as follows :

sector	area type	selection probability of the FSU
* rural (district)	1	in proportion to number of (OATEs + NDTEs)
	2	in proportion to number of OATEs (after assigning '1' to those FSUs having no trading enterprises)
** urban	1/2	equal probability

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* For J & K (rural), the villages are selected circular systematically with probability proportional to population as per 1981 population census.

** Before drawing sample blocks from each town class in a district, the towns within the town class are arranged by their increasing order of population.

C.1.2.5 Listing of households & non-agricultural enterprises in the sample villages/blocks : There will be no hamlet-group/sub-block formation in the sample FSUs whatever may be their sizes in terms of population or number of non-agricultural enterprises. In other words, all the houses, households and non-agricultural enterprises present in the sample FSU will be listed. This is a major departure from the previous NSS rounds.

C.1.2.6 Selection of trading enterprises : After listing all the non-agricultural enterprises, only OATEs & NDTEs excluding those in the public sector are considered for selection for detailed survey. However if some of such enterprises operated for less than 30 days (15 days for seasonal enterprises) during the last 365 days preceding the date of survey, they are also excluded. (For details of coverage of trading enterprises, see para 1.0.9.10). The eligible trading enterprises are classified into three classes termed as enterprise class by total number of workers (including hired) employed in the enterprises on a regular basis as follows :

Enterprise class code	Composition of the class
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- 1 all OATEs & NDTEs with one worker only
- 2 all OATEs & NDTEs with two workers only
- 3 all OATEs & NDTEs with 3 or more workers

After grouping the trading enterprises into the enterprise classes, the enterprises in each class are to be arranged in ascending order of their NIC codes (the trading enterprises are given 3 digit NIC codes). The required number of enterprises (see sub-para 1.3.7 (q) (iii) in this context) are to be selected circular systematically with equal probability independently from the arranged frame of each of the enterprise classes. A sample of 4 enterprises from enterprise class 1, 6 from class 2 and also 6 from class 3 is, in general, to be selected. However, if required number of enterprises to be selected from a enterprise class is not available, the short fall will be made up from the other enterprise classes in the priority order of the enterprise class codes 3/2/1.

C.1.2.7 Selection of households : After arranging all the households by m.l. codes (means of livelihood codes details for which are given in chapter one), a sample of 4 households will be selected for detailed survey. It may be noted that sch 1.0, type 1 will be canvassed in the households selected from the FSUs with odd sample village/block numbers and sch 1.0, type 2 in the FSUs with even sample village/block numbers. Sample village/block numbers of the FSUs are indicated in col.(8) (for rural samples)/ col.(9)(for urban samples) of the sample list.

C.1.2.8 Distribution of sample villages/blocks for each state/u.t by rural & urban separately for central samples & state samples are given below:

state/ut	no. of sample fsu's		
	central rural	sample urban	state rural
(1)	(2)	(3)	(4)
1. Andhra Pradesh (02)	592	536	592
2. Arunachal Pradesh (03)	48	32	48
3. Assam (04)	224	160	224
4. Bihar (05)	536	456	536
5. Goa (06)	16	16	24
6. Gujarat (07)	288	504	576
7. Haryana (08)	112	200	224
8. H.P (09)	72	48	72
9. J&K (10)	48	64	96
10. Karnataka (11)	424	496	424
11. Kerala (12)	504	296	504
12. M.P (13)	464	520	464
13. Maharashtra (14)	520	1024	520
14. Manipur (15)	40	32	80
15. Meghalaya (16)	32	32	32

16.	Mizoram (17)	16	24	16
24				
17.	Nagaland (18)	32	40	32
120				
18.	Orissa (19)	392	256	392
256				
19.	Punjab (20)	144	312	144
312				
20.	Rajasthan (21)	296	384	296
384				
21.	Sikkim (22)	16	24	16
24				
22.	Tamilnadu (23)	488	624	488
624				
23.	Tripura (24)	32	24	32
24				
24.	U.P (25)	744	1120	744
1120				
25.	West Bengal (26)	1024	768	1024
768				
26.	A & N Is (27)	16	8	-
27.	Chandigarh (28)	8	24	-
48				
28.	D & N Haveli (29)	8	8	-
-				
29.	Daman & Diu (30)	8	16	8
16				
30.	Delhi (31)	16	336	48
1008				
31.	Lakshadweep (32)	8	8	-
-				
32.	Pondicherry (33)	8	32	8
32				

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10496				

APPENDIX - II

REVISED NATIONAL INDUSTRIAL CLASSIFICATION

GROUPS AND CLASSES : CLASSIFICATION AT THREE & FOUR DIGIT LEVELS (FOR Trade Survey of NSS 53rd Round)

Group	Class	Description
		SECTION-0 : AGRICULTURE, HUNTING, FORESTRY AND FISHING
		DIVISION 04 : HUNTING, TRAPPING AND GAME PROPAGATION

040 040.0 Hunting, trapping and game propagation other than for sports.

DIVISION 05 : FORESTRY AND LOGGING

052 052.0 production of firewood/fuel wood (including charcoal by burning) by exploitation of forests.

053 053.0 gathering of fodder by exploitation of forests.

054 054.0 gathering of uncultivated materials such as gums, resins, lac, barks, munjh, herbs, honey, wild fruits, leaves etc. by exploitation of forests.

059 059.0 Forestry services n.e.c.

DIVISION 06 : FISHING (INCLUDING COLLECTION OF SEA PRODUCTS)

060 060.0 Ocean, sea and coastal fishing

061 061.0 Inland water fishing

063 063.0 Collection of pearls, conchs, shells, sponges and other sea products.

069 069.0 other allied activities and services incidental to fishing n.e.c.

SECTION-6 :WHOLESALE AND RETAIL TRADE AND RESTAURANTS AND HOTELS

DIVISION 60 : WHOLESALE TRADE IN AGRICULTURAL RAW MATERIALS LIVE ANIMALS, FOOD, BEVERAGES, INTOXICANTS AND TEXTILES

600 Wholesale trade in cereal in cereals and pulses

600.1 procurement agencies dealing primarily in cereals and pulses

- 600.2 Wholesale trade in cereals and pulses other than by procuremnet agencies.
- 601 Wholesale trade in basic food-stuffs (other than cereals and pulses)
 - 601.1 Wholesale trade in fruits.
 - 601.2 Wholesale trade in vegetables.
 - 601.3 Wholesale trade in spices in primary forms.
 - 601.4 Wholesale trade in raw milk.
 - 601.5 Wholesale trade in meat, fish and eggs.
 - 601.9 Wholesale trade in other basic food-stuffs n.e.c.
- 602 Wholesale trade in textile fibres of vegetable/animal origin.
 - 602.1 Procurement agencies dealing primarily in cotton and jute.
 - 602.2 Wholesale trade in cotton and jute, other than by procurement agencies.
 - 602.3 Wholesale trade in raw wool.
 - 602.4 Wholesale trade in raw silk.
 - 602.9 Wholesale trade in other textile fibres of vegetable/animal origin n.e.c. (note : wholesale trade in man-made textile fibres is included in group 609.1).
- 603 Wholesale trade in un-manufactured tobacco, pan leaves, opium, ganja and cinchona etc.
 - 603.1 Wholesale trade in un-manufactured tobacco.
 - 603.2 Wholesale trade in pan-leaves.
 - 603.3 Wholesale trade in opium, ganja and cinchona etc.
- 604 Wholesale trade in straw, fodder and other animal/poultry feed.
 - 604.1 Wholesale trade in straw and fodder.
 - 604.9 Wholesale trade in other animal/poultry feed.
- 605 Wholesale trade in live animals and poultry.
 - 605.1 Wholesale trade in live animals.
 - 605.2 Wholesale trade in poultry.
- 606 Wholesale trade in manufactured foodstuffs.

- 606.1 Wholesale trade in dairy products.
- 606.2 Wholesale trade in sugar, confectionery and bakery products.
- 606.3 Wholesale trade in edible oils and fats
- 606.4 Wholesale trade in manufactured/processed spices.
- 606.9 Wholesale trade in other manufactured food-stuffs n.e.c.
- 607 Wholesale trade in tea, coffee, cocoa, tobacco products and beverages other than intoxicants.
 - 607.1 Wholesale trade in tea, coffee and cocoa.
 - 607.2 Wholesale trade in manufactured tobacco and tobacco products
 - 607.3 Wholesale trade in beverages other than intoxicants.
- 608 608.0 Wholesale trade in intoxicants like wines and liquors including incidental bottling
- 609 Wholesale trade in textiles and textiles products like all kinds of yarn, fabrics, garments and other made up articles etc. (including second-hand textile goods).
 - 609.1 Wholesale trade in yarns
 - 609.2 Wholesale trade in textile articles
 - 609.3 Wholesale trade in made-up textile articles (except garments) such as blankets, carpets, felts etc.
 - 609.4 Wholesale trade in new ready made garments (except hosiery/knitted garments).
 - 609.5 Wholesale trade in hosiery/knitted textile products
 - 609.6 Wholesale trade in used/second-hand garments
 - 609.9 Wholesale trade in textiles and clothing accessories, not elsewhere classified.

DIVISION - 61 : WHOLESALE TRADE IN WOOD, FIREWOOD, PAPER, SKIN, LEATHER AND FUR, FUEL,PETROLEUM, CHEMICALS, PERFUMERY CERAMICS, GLASS AND ORES AND METALS.

- 610 610.0 Wholesale trade in cane, bamboo and thatches etc.
- 610.8 Wholesale trade in wood
- 610.9 Wholesale trade in fire-wood

611	611.0	Wholesale trade in paper and other stationery goods
612	612.0	Wholesale trade in skin, leather, fur and their products
613	613.0	Wholesale trade in fuel and lighting products
614	614.0	Wholesale trade in petrol, mobile oil and allied products
615	615.0	Wholesale trade in medicines and chemicals
616	616.0	Wholesale trade in fertilisers and pesticides
617	617.0	Wholesale trade in toiletry, perfumery and cosmetics
618	618.0	Wholesale trade in metal, porcelain and glass utensils, crockery and chinaware
619		Wholesale trade in ores and metals
	619.1	Wholesale trade in ores
	619.2	Wholesale trade in metals in primary form (note : wholesale trade in precious metals is included in group 637)

DIVISION 62 : WHOLESALE TRADE IN ALL TYPES OF MACHINERY EQUIPMENT INCLUDING TRANSPORT EQUIPMENT

620		Wholesale trade in agricultural and industrial machinery
	620.1	Distributors of agricultural machinery and equipment
	620.2	Distributors of industrial machinery and equipment other than electrical/electronic.
621	621.0	Wholesale trade in electrical machinery and equipment.
622	622.0	Wholesale trade in electronic equipment and accessories.
623		Wholesale trade in transport and storage equipment
	623.1	Distribution of heavy motor vehicles classified in group 373.

- 623.2 Distribution of heavy motor vehicles classified in group 374.
- 623.3 Distribution of motor-cycles scooters and three wheelers etc. classified in group 375.
- 623.4 Distribution of cycles, rickshaws and other non-mechanical transport equipment
- 623.5 Distributors of other transport equipment n.e.c.
- 623.6 Distributors of storage equipment

DIVISION 63 : WHOLESALE TRADE NOT ELSEWHERE CLASSIFIED

- 630 630.0 Wholesale trade in furniture and fixtures
- 631 631.0 Wholesale trade in rubber, plastic and their products
- 632 632.0 Wholesale trade in building materials
- 633 633.0 Wholesale trade in hardware and sanitary fixtures
- 634 634.0 Wholesale trade in household equipment, appliances n.e.c.
- 635 635.0 Wholesale trade in scientific, medical and surgical instruments
- 636 636.6 Wholesale trade in watches/clocks, eye-glasses and spectacles frames.
- 637 637.0 Wholesale trade in precious metals, stones, and jewellery
- 638 638.0 Wholesale trade in wastes and metal scraps
- 639 Wholesale trade in miscellaneous goods not elsewhere classified.
 - 639.1 Wholesale trade in photographic equipment
 - 639.2 Wholesale trade in games, toys and sport-goods.
 - 639.9 Wholesale trade in other goods n.e.c.

DIVISION 64 : COMMISSION AGENTS

- 640 640.0 Commission agents dealing in agricultural raw materials, live animals, food, beverages, intoxicants and textiles.
- 641 641.0 Commission agents dealing in wood, paper, skin, leather and fur, fuel, petroleum, chemicals, perfumery, cosmetics, glass, ores and metals.

642 642.0 Commission agents dealing in machinery and equipment.

649 649.0 Other commission agents n.e.c.

DIVISION 65 : RETAIL TRADE IN FOOD AND FOOD ARTICLES, BEVERAGES,
TOBACCO & INTOXICANTS (NOTE : NON-SPECIALISED RETAIL
TRADE ESTABLISHMENTS SUCH AS DEPARTMENTAL STORES,
SUPER BAZARS AND GENERAL STORES ARE CLASSIFIED IN GROUP
688 ALONG WITH NON-STORE RETAIL SALE ESTABLISHMENTS
ENGAGED IN HOUSE TO HOUSE OR OTHER AMBULANT SALES.

650 650.0 Specialised retail trade in cereals and pulses, tea, coffee, spices, flour, and
other basic food items.

651 651.0 * vegetables and fruits.

652 652.0 * meat, fish and poultry.

653 653.0 * sweetmeat, bakery products dairy products and eggs.

654 654.0 * aerated water, soft-drinks and ice-cream.

655 655.0 * pan, bidi and cigarette.

656 656.0 * wine and liquor not consumed on the spot.

659 659.0 * food and food articles, beverages, tobacco and intoxicants not elsewhere
classified.

DIVISION 66 : RETAIL TRADE IN TEXTILES

660 * in textiles.

660.1 Exclusive showrooms of mills.

660.2 * textiles of hand loom and khadi sectors.

660.3 Other retailers dealing in textiles of mill or power loom sectors.

660.9 Other dealers in textiles n.e.c.

661 * in ready-made garments, hosiery/knitted garments, etc. (includes retail trade
in second-hand garments).

661.1 * hosiery goods.

661.2 * ready-made garments (new) except hosiery goods.

661.3 * second-hand garments.

DIVISION 67 : RETAIL TRADE IN WOOD, FUELS AND OTHER HOUSEHOLD UTILITIES AND DURABLES

670 * wood firewood, coal, kerosene oil and cooking gases.

670.1 * coal, cinder coal dust.

670.2 * kerosene oil.

670.3 * cooking gases.

670.8 * firewood.

670.9 * firewood.

671 671.0 * footwear.

672 * crockery, glassware and plastic-ware.

672.1 * crockery and glassware (including melamine crockery).

672.2 * plastic wares.

673 673.0 * utensils (except those specialising in plastic wares).

674 674.0 * furniture.

675 * electric/electronic equipment (including watches and clocks).

675.1 * household electric equipment and appliances (including air conditioners, refrigerators and room-coolers etc.).

675.2 * audio/video household equipment (including TV sets, transistors, VCRs etc.)

675.3 * watches and clocks.

675.4 * photographic equipment (like cameras, photo films, etc.)

675.9 * other electric and electronic goods n.e.c.

676 676.0 * jewellery.

- 679 * fuel and other household utilities and durables not elsewhere classified.
- 679.1 * gas stoves and other cooking appliances.
- 679.2 * sewing and knitting machines.
- 679.9 * other household utilities and durables n.e.c.

DIVISION 68 : RETAIL TRADE N.E.C.

- 680 680.0 * books, magazines and stationery (including distribution of newspapers).
- 681 681.0 * agricultural inputs, viz. seeds, fertilisers and pesticides.
- 682 682.0 * motor fuels.
- 683 683.0 * building materials.
- 684 684.0 * agricultural machinery and equipment.
- 685 685.0 * industrial machinery and equipment electrical and non-electrical.
- 686 686.0 * pharmaceutical, medical and orthopaedic goods.
- 687 687.0 * pharmaceutical, medical and orthopaedic goods.
- 688 Non-specialised retail trade including non-store retail trade.
 - 688.1 Super bazars and other cooperative stores.
 - 688.2 Fair price shops.
 - 688.3 General stores.
 - 688.4 Retail sale via mail-order houses.
 - 688.5 Retail sale via stalls and markets (Note : This class includes retail sale of any kind of product in a usually movable stall either along a public road or on a fixed market place. Also included are sales via peddlers).
 - 688.6 Retail sale via house-to-house or other ambulant sales.
 - 688.8 Other non-store retail sales n.e.c.
 - 688.9 Other non-specialised retail trade n.e.c.

- 689 Retail trade not elsewhere classified.
- 689.1 * sub-glasses, spectacles frames etc.
- 689.2 Junk shops (waste articles, etc.)
- 689.3 Free collection for retail trade of waste-paper, rags, ash, coal etc.
- 689.9 Other retail trade n.e.c.

DIVISION 89 : BUSINESS SERVICES NOT ELSEWHERE CLASSIFIED

890 890.0 Auctioneering services.

N.B : 'n.e.c' means 'not elsewhere classified'.