

## Factory Estimation Procedures for ASI 2010-11

**1.** Prior to ASI 2010-11, separate procedure was followed for estimating the 'number of factories' and 'number of factories in operation'. While the units with the status code '1' (i.e., open) only were considered as surveyed cases for estimating the 'number of factories in operation' earlier, the units with the status codes '1' and '2' (i.e., open and closed respectively) were considered as surveyed cases for estimating the 'number of factories', and accordingly the multipliers (weights) were calculated. That for all other parameters, the units with status codes '1', '2' and '3' (i.e., open, closed and NOP cases respectively, with essential blocks filled-in) were considered as surveyed and multipliers (weights) were calculated accordingly.

**2.** For ASI 2010-11, certain modifications have been done in recording the codes for 'status of unit' in item-12 of Block-A keeping in mind the requirements and field suggestions. Details of the new and old code structures along with the concordance of the two structures and treatment of units with different status codes in calculation of multipliers (weights) are given in Table 1. Table 2 gives the treatment of various cases of 'status of units' in calculation of multiplier.

**3.** It may be noted that the samples are always drawn from the ASI frame containing units with status codes '1', '2' and '3', that is, open, closed and NOP units respectively – the reason being that these are considered as the live units in the domain and some have operated during the reference period, and some others have continued to produce in the past, but for certain reasons it did not operate/produce any during the reference period but exit with all assets, etc and may start producing any moment. In all these cases, the units are considered as 'surveyed' if essential information for the unit is collected, else they are treated as 'Non-reported' or 'casualty'.

**4.** In order to compare the 'per factory' rates and ratios of ASI 2010-11 for a category (NIC Div., asset class, employment size class, etc.) with that of previous ASI data, one need to multiply the 'per factory' rates and ratios of ASI 2010-11 with an adjustment factor, which is given by:

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*[Estimated total number of 'operating factories' in ASI 2010-11 for a category]*

*[Estimated total number of operating factories in ASI 2010-11 considering only the status codes 1 and 2 for that category]*

**Table 1: Concordance between new and old status of unit codes**

Code structure for 'Status of Unit (survey code)'				
Code structure used since ASI 2009-10		New code structure used in ASI 2010-11		Treatment in calculating weights
description	code	description	code	
Open	1	Open	1	Consider it as a surveyed case.
Closed	2	Closed (for < or = 3 yrs.)	2	Consider it as surveyed case only if relevant information available. Else, treat as NR (casualty).
NOP	3	NOP (for < or = 3 yrs.)	3	Consider it as a surveyed case only if relevant information available. Else, treat as NR (casualty).
Deleted	4	Deleted	4	Treatment of 'zero-case'.
Non-response due to closure but <b>in existence</b> and owner/occupier is not traceable	5	Existing but non-response due to closure and owner/occupier is not traceable.	5	Treated as NR (casualty).
Non-response due to <b>non-existence</b> & owner not traceable	6	Non-response due to <b>non-existence</b> and owner not traceable <i>incl. Code-11 i.e. the case of units found <b>non-existent</b> for more than 3 years.</i>	6	Treated as 'zero-case'.
Deleted (found <b>non-existent</b> for more than 3 years)	11			
		Non-response due to production not yet started or accounting year not closed during the year	7	Treated as NR (casualty).
Non-response due to relevant records are with court/Income tax department, etc	7	<i>Non-response due to other reasons [incl. codes 7, 8, 9 &amp; 10: relevant records are with court/Income tax or recalcitrant/refuse to submit the return department, etc, or factory under prosecution in respect of earlier ASI]</i>	8	Treated as NR (casualty).
Non-response due to recalcitrant/refuse to submit the return	8			
Non-response due to factory under prosecution in respect of earlier ASI	9			
Non-response due to other reasons	10			
Deleted due to <b>de-registration</b>	12	Deleted due to any other reason (incl. codes 12 , 13,	9	Treated as 'zero-case'.

Deleted due to <b>out of coverage</b> i.e. defence, oil storage, technical training Institute and hotel , etc	13	14 & 15: due to <b>de-registration</b> and <b>out of coverage</b> i.e. defence, oil storage, technical training Institute and hotel , etc)		
Deleted due to <b>identical PSL No.</b>	14			
Deleted due to any other reason	15			
<p>Note: 1. The unit existed in the given location and had engaged some employees during the reference period, but could not initiate production or did not produce anything during the reference period due to various reasons, and can take up production any moment once the problems are sorted out. These units, for the purpose of the survey, are considered as <i>closed units</i>.</p> <p>2. Units which existed in the given location, but did not engage any employee during the reference period, and also, did not initiate production or produce anything during the reference period are considered as <i>non-operative units</i> and termed as NOP cases, during the reference period.</p>				

**Table 2: Treatment for Surveyed Cases, Zero Cases and Casualty Cases**

<b>Code</b>	<b>Treatment in multiplier calculation</b>
1, 2, 3	Considered as 'open' case and in operation only if essential information relevant for the unit are available. Else, treated as NR (casualty).
4,6,9	Treated as 'zero-case' for all parameters.
5,7,8	Treated as NR (casualty).