

MANUAL ON LABOUR STATISTICS (I)- 2012



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PREFACE

One of the mandates of the Central Statistics Office [CSO] is laying down norms and standards and evolving concepts, definitions, methodology and classification in relation to statistics. Even though the CSO has been performing these mandates in many fields of statistics, the absence of proper documentation in this regard led to a decision to prepare statistical manuals in respect of 24 subjects detailing concepts, definitions, classification procedures, compilation of data, estimating procedures, dissemination and other relevant explanatory notes, including methodological framework in the statistical indicators/statistics to make the manual comprehensive reference books.

This manual on Labour Statistics (I) is one of series of 24 manuals on statistical indicators proposed to be brought out by the CSO. The basic purpose of this manual, like those of all other in the series, is to provide the users of labour force & employment data with a ready-to-use reference guide on methodological aspects of data (metadata) on disabilities based on harmonised concepts and methodologies that facilitate international comparison and help in aggregation of statistics to derive meaningful conclusions. The other purpose of this manual is to provide the statistical offices both at the national and state levels with guidelines in the compilation of labour force & employment data.

The materials included in this manual are expected to bring in harmonization in concepts, definitions and methodology of compilation of disabilities data. The adoption of the methodology suggested in this manual will go a long way in facilitating data aggregation and data comparison both at intra-regional and inter-regional levels, including international levels.

This manual was originally prepared as manual on Labour Force & Employment Statistics. The ministry has decided to rename this manuals as Labour Statistics (I) being first in the series of such manuals. It was prepared by Institute of Applied Manpower Research [IAMR] under the guidance of Steering Committee for Preparation of Manuals on Statistical Indicators headed by the Director General, CSO. I congratulate to the team of officers, from the Social Statistics Division comprising Smt. S. Jeyalakshmi, Additional Director General, Shri Inderjeet Singh, Deputy Director General and Shri MP Diwakar, Assistant Director, for their excellent work done in bringing out this manual. I also convey my sincere thanks to the expert, Dr. Harcharan Singh, former Deputy Director General, M/o Labour & Employment, Government of India, for reviewing the manual for its improvement to make the manual a comprehensive guide.

I hope that the manual will serve as a useful reference document on the subject. Suggestions to improve the contents of the manual are welcomed.

New Delhi
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(S. K. Das)
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ABBREVIATIONS & ACRONYMS

AIU	Association of Indian Universities
ASCII	American Standard Code for Information Interchange
AICTE	All India Council for Technical Education
ASI	Annual Survey of Industries
ASWPR	Age-Specific Worker- Population Ratio
CIF	Chief Inspector of Factories
CSIR	Council for Scientific and Industrial Research
CSO	Central Statistics Office
DGE&T	Director General of Employment and Training
DIS	Directorate of Industrial Statistics
DMEs	Directory Manufacturing Establishments
EC	Economic Census
EE (CNV)	Employment Exchanges (Compulsory Notification of Vacancies)
EMI	Employment Market Information
FSUs	First Stage Units
HMCT	Hotel Management and Catering Technology
IAMR	Institute of Applied Manpower Research
ICSE	International Classification of Status in Employment
ICR	Intelligent Character Reading
ICLS	International Conference of Labour Statisticians
IF	Inspector of Factories
ILO	International Labour Organisation
KVIC	Khadi and village industries Commission
LFPR	Labour Force Participation Rate
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act

MSME	Micro, Small and Medium Enterprises
NAD	National Accounts Division
NAS	National Accounts Statistics
NDEs	Non-Directory Establishments
NEP	National Employment Policy
NIC	National Industrial Classification
NSS	National Sample Survey
NSSO	National Sample Survey Office
NTMIS	National Technical Manpower Information System
NPI	Non-profit Institutions
OAE	Own Account Enterprises
OAME	Own Account Manufacturing Enterprise
PMRY	Prime Minister's Rozgar Yojana
PU	Proportion Unemployed
RBC / RCC	Reinforced Brick Concrete/ Reinforced Cement Concrete
REGP	Rural Employment Generation Programme
SIDO	Small Industries Development Organisation
TAG	Technical Advisory Group
UGC	University Grants Commission
USUs	Ultimate Stage Units
WFPR	Work-Force Participation Rate
WPR	Worker- Population Ratio

Chapter I

Introduction

Central Statistics Office

Chapter – I

Introduction

1.1 Overview

1.1.1 The utilisation of human resource follows manpower development process. This depends upon the economic base of the nation, which includes the potential of farm and non-farm based activities. As an economy transforms in response to growth and institutional changes, changes in the production system, and employment characteristics by industry, occupation groups, education and skill levels occur. Such changes influence the labour market. The preservation and renewal of capabilities and skills through appropriate educational training and retraining interventions is a continuous process.

1.1.2 There are many ways to review progress and draw lessons for the future. One way is by using a standardised base for different indicators (i.e. domestic product, crop production, population, health, education, skill development and training, employment, labour, trade and banking etc.). Compilation of time-series data on vital aspects serves many needs. Comprehensive and up-to-date information on these aspects and their dissemination can play an important role in policy formulation and planning.

1.1.3 The manuals include all relevant information relating to the methodological framework for statistical indicators / statistics making it a comprehensive document. Since 1955, the National Sample Survey Office (NSSO) has conducted various surveys on employment and unemployment to assess the volume and structure of the labour force, employment and unemployment. In 1970, the Planning Commission, set up an “Expert Committee on Unemployment Estimates” to provide a stronger conceptual framework for conducting such surveys. This Committee, popularly known as the Dantawala Committee, examined these surveys and indicators generated from such surveys. Based on concepts and definitions recommended by this Committee, the first quinquennial survey on employment and unemployment was conducted in the 27th round of the NSS (September 1972-October 1973). Since then, based on the Dantawala Committee’s recommendations seven quinquennial comprehensive surveys on employment and unemployment situation in India have been carried out by the NSSO during the years July 1977 – June 1978 (32nd round), January – December 1983 (38th round), July 1987 – June 1988 (43rd round), July 1993 – June 1994 (50th round), July 1999 – June 2000 (55th round), July 2004 – June 2005 (61st round) and July 2009 – June 2010 (66th round). The results of these surveys have been brought out in the form of NSS Reports. Each survey discussed the scope and coverage, sample size, concepts and definitions, and method of selecting the households.

1.1.4 The aspects of enterprise characteristics of employment and the qualitative aspects of informal employment were added with effect from quinquennial NSS surveys conducted during July 1999 – June 2000 (55th round) and July 2004 – June 2005 (61st round) respectively. During the latest quinquennial survey on employment and unemployment conducted by NSS during 2009 – 10 (66th round), the information for rural households was collected on whether the household has Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) job card, whether got work and number of days works during the last 365 days besides mode of payment of wages under

MGNREGA. The four broad areas covered in each survey are: labour force, employment, unemployment and underemployment.

ILO Convention No. 160 and Recommendation No. 170 concerning Labour Statistics

1.1.5 Recognising the need for reliable labour statistics both in developed and in developing countries, particularly for the purposes of planning and monitoring social and economic progress, as well as for industrial relations, the ILO Convention No. 160 and Recommendation No. 170 concerning Labour Statistics was adopted by General Conference of International Labour Organization way back in 25th June 1985. This contains the general provision that each member country, which ratifies ILO Convention 160, undertakes that it will regularly collect, compile and publish basic labour statistics, which shall be progressively expanded in accordance with its resources to cover the following subjects:

- (a) Economically active population, employment, where relevant unemployment, and where possible visible underemployment;
- (b) Structure and distribution of the economically active population, for detailed analysis and to serve as benchmark data;
- (c) Average earnings and hours of work (hours actually worked or hours paid for) and, where appropriate, time rates of wages and normal hours of work;
- (d) Wage structure and distribution;
- (e) Labour cost;
- (f) Consumer price indices;
- (g) Household expenditure or, where appropriate, family expenditure and, where possible, household income or, where appropriate, family income;
- (h) Occupational injuries and, as far as possible, occupational diseases; and
- (i) Industrial disputes.

1.1.6 The items from (c) to (i) mentioned above i.e. wage structure and distribution; average earnings and hours of work; labour cost, household expenditure; occupational safety and health; industrial dispute, consumer price indices, productivity and development of statistical infrastructure lie outside the scope of labour force and employment and hence are not covered in this “Manual on Labour Force and Employment Statistics”.

Statistical Infrastructure

1.1.7 In pursuance of recommendation number 170, the Member countries should progressively develop the appropriate national statistical infrastructure for the purposes of collecting and compiling the labour statistics. The major elements of such an infrastructure should include -

- a) a comprehensive and up-to-date register of establishments or enterprises for the purposes of surveys or censuses; such a register should be sufficiently detailed to permit the selection of samples of establishments or enterprises;
- b) a co-ordinated system for the implementation of surveys or censuses of establishments or enterprises;
- c) a capability for the implementation of a continuous and co-ordinated series of national surveys of households or individuals; and

- d) access for statistical purposes, with appropriate safeguards for their confidential use, to administrative records (such as those of employment services, social security bodies, labour inspection services).

1.1.8 The objectives set therein are to take into consideration the latest international concepts, definitions, methodology, standards and guidelines, the details are mentioned in Recommendation No. 170 on the subject, need to be followed as per the requirement in culturally and linguistically diverse countries. The coverage, distribution and periodicity for generation of statistics relating to employment and unemployment, which would be relevant to this Manual on Labour Force and Employment Statistics as mentioned in ILO Recommendation No. 170, are as follows:

Statistics of the Economically Active Population, Employment, Unemployment and Underemployment

(1) Current statistics of the economically active population, employment, where relevant unemployment, and where possible visible underemployment should be compiled **at least once a year**. These statistics should be classified according to sex and, where possible, age group and branch of economic activity.

(2) With a view to meeting long-term needs for detailed analysis and for benchmark purposes, statistics of the structure and distribution of the economically active population should be compiled at least once every ten years. These statistics should be classified at least according to sex, age group, occupational group or level of qualifications, branch of economic activity, geographical area and status in employment (such as employer, own-account worker, employee, unpaid family worker, member of producers' co-operative).

1.1.9 In designing or revising the concepts, definitions and methodology used in the collection, compilation and publication of the statistics required under the ILO Convention No. 160 and Recommendation No. 170, the Member countries shall take into consideration the latest standards and guidelines established under the auspices of the International Labour Organisation. According to the ILO Resolution concerning statistics of the economically active population, employment, unemployment and underemployment, adopted by the Thirteenth International Conference of Labour Statisticians, (October 1982). These are mentioned as below:

Concepts and definitions

The economically active population

1.1.10 The economically active population comprises all persons of either sex who furnish the supply of labour for the production of economic goods and services as defined by the United Nations systems of national accounts and balances during a specified time-reference period. According to these systems the production of economic goods and services includes all

- production and processing of primary products whether for the market, for barter or for own consumption,
- the production of all other goods and services for the market and in the case of households which produce such goods and services for the market, the corresponding production for own consumption.

1.1.11 Two useful measures of the economically active population are the usually active population measured in relation to a long reference period such as a year and the currently active population or equivalently the "labour force" measured in relation to a short reference period such as one week or one day.

The usually active population

1.1.12 The usually active population comprises all persons above a specified age whose main activity status as determined in terms of number of weeks or days during a long specified period (such as the preceding 12 months or the preceding calendar year) was employed or unemployed as defined above.

1.1.13 Where this concept is considered useful and feasible the usually active population may be subdivided as employed and unemployed in accordance with the main activity.

The labour force (the currently active population)

1.1.14 The labour force or "currently active population" comprises all persons who fulfil the requirements for inclusion among the employed or the unemployed as defined below.

Employment

1.1.15 The ILO international definition of employment provides separate criteria for persons in paid employment and persons in self-employment in order to accommodate the idea that employment covers any work, be it for wage or salary, profit or family gain, including the production of goods for own consumption.

1.1.16 The "employed" comprise all persons above a specific age who during a specified brief period, either one week or one day, were in the following categories:

(a) "paid employment"

- (i) "at work": persons who during the reference period performed some work for wage or salary, in cash or in kind;
- (ii) "with a job but not at work": persons who, having already worked in their present job, were temporarily not at work during the reference period and had a formal attachment to their job.

(b) "self-employment":

- (i) "at work": persons who during the reference period performed some work for profit or family gain, in cash or in kind;
- (ii) "with an enterprise but not at work": persons with an enterprise, which may be a business enterprise, a farm or a service undertaking, who were temporarily not at work during the reference period for any specific reason."

For operational purposes, the notion "some work" may be interpreted as work for at least one hour.

1.1.17 Unpaid family workers at work should be considered as in self-employment irrespective of the number of hours worked during the reference period. Apprentices who received pay in cash or in kind should be considered in paid employment and classified as "at work" or "not at work" on the same basis as other persons in paid employment.

1.1.18 Members of the armed forces should be included among persons in paid employment. They should include both the regular and temporary members.

Unemployment

1.1.19 The ILO international standard definition of unemployment is based on the following three criteria which should be satisfied simultaneously: "without work", "currently available for work" and "seeking work". Accordingly the "unemployed" comprise all persons above a specific age who during the reference period were:

- (a) **"without work"**, i.e. were not in paid employment or self-employed;
- (b) "currently available for work", i.e. were available for paid employment or self employment during the reference period, and
- (c) **"seeking work"**, i.e. had taken specific steps in a specified reference period to seek paid employment or self-employment."

1.1.20 Notwithstanding the criterion of seeking work, persons without work and currently available for work who had made arrangements to take up paid employment or undertake a self-employed activity at a date subsequent to the reference period (future engagements) should be considered as unemployed.

1.1.21 Persons temporarily absent from their jobs with no formal job attachment (lay-offs), who were currently available for work and seeking work should be regarded as unemployed.

1.1.22 Under this context, availability for work is interpreted as ability and readiness to work, provided the person is given a work opportunity. One purpose of the availability criterion is to exclude both persons who are seeking work to begin at a later date (a test of the current readiness to start work) and those who cannot start work for certain reasons (family responsibilities, studies, etc.). The validity of the "current availability" criterion in terms of time need not be limited to the reference week or day but rather extended to one week or two weeks beyond the basic survey reference period.

1.1.23 The "seeking work" criterion can be interpreted as activity or efforts undertaken during the specified reference period or prior to it in order to find a job. Such efforts may include:

- (i) "... registration at a public or private employment agency;
- (ii) application to employers, checking at work sites;
- (iii) placing or answering newspaper advertisements;
- (iv) seeking assistance from friends or relatives;

(v) arranging for land, machinery or resources;

(vi) applying for permits, etc.”

1.1.24 The job search period is not limited to the specified reference period (one week or one day) but may be longer - one month or the past four weeks including the survey reference period.

The population not currently active

1.1.25 The "**population not currently active**", or, equivalently, persons not in the labour force, comprises all persons who were not employed or unemployed during the brief reference period and hence not currently active because of;

(a) attendance at educational institutions,

(b) engagement in household duties,

(c) retirement or old age, or

(d) other reasons such as infirmity or disablement, which may be specified.

1.1.26 Countries adopting the standard definition of unemployment may identify persons not classified as unemployed who were available for work but not seeking work during the reference period and classify them separately under the population not currently active.

The population not usually active

1.1.27 The "**population not usually active**" comprises all persons whose main activity status during the longer specified period was neither employed nor unemployed. It comprises the following functional categories: (a) students; (b) homemakers; (c) income recipients (pensioners, rentiers, etc.); and (d) others (recipients of public aid or private support, children not attending school, etc.) as defined by the United Nations Principles and recommendations for population and housing censuses (1980).

1.1.28 The member countries may adopt, where necessary, separate functional subcategories to identify (i) persons engaged in unpaid community and volunteer services and (ii) other persons engaged in marginal activities which fall outside the boundary of economic activities.

ILO Resolution concerning statistics of employment in the informal sector

1.1.29 Considering that statistics on employment in the informal sector are especially needed in order to improve the statistical systems of countries where informal sector activities account for a significant proportion of total employment and income generation and observing the development of concepts and techniques for obtaining and analysing such statistics in a number of countries, the Resolution concerning statistics of employment in the informal sector was adopted by the Fifteenth International Conference of Labour Statisticians (January 1993)

1.1.30 For statistical purposes, the informal sector is regarded as a group of production units which, according to the definitions and classifications provided in the United Nations System of National Accounts (Rev.4), form part of the household sector as household enterprises or, equivalently, unincorporated enterprises owned by households.

1.1.31 Within the household sector, the informal sector comprises (i) "informal own-account enterprises"; and (ii) the additional component consisting of "enterprises of informal employers".

1.1.32 The informal sector is defined irrespective of the kind of workplace, where the productive activities are carried out, the extent of fixed capital assets used, the duration of the operation of the enterprise (perennial, seasonal or casual), and its operation as a main or secondary activity of the owner.

1.2 Objectives, Scope and Coverage

1.2.1 This manual aims to provide elaborate descriptions on the significance, concept and definitions used, scope and coverage, periodicity and method of data collection, compilation of data, estimation methods, and dissemination of data relating to labour force and employment statistics and indicators covering labour force, employment, unemployment, and under employment, the same four broad areas as covered by the quinquennial surveys.

1.3 Agencies involved in collection/compilation and dissemination of labour and employment statistics:

1.3.1 The agencies involved in collection/compilation and dissemination of labour and employment statistics are as under:

1. National Sample Survey Organization, Ministry of Statistics and Programme Implementation.
2. Central Statistics Office, Ministry of Statistics and Programme Implementation.
3. National Technical Manpower Information System, Institute of Applied Manpower Research, Delhi
4. Labour Bureau of India, Ministry of Labour and Employment
5. Director General of Employment and Training, Ministry of Labour and Employment
6. Registrar General and Census Commissioner of India.
7. Development Commissioner, Small Scale Industries, Ministry of Small Scale Industries.
8. Directorates of Employment and Statistics of different States.

1.3.2 There is only one source (i.e. NSSO) for Labour force data, while for unemployment data there are three sources (i.e. NSSO, DGE&T and NTMIS). There are a number of sources (i.e. NSSO, Population Census, Annual survey of Industries, Economic Census, Follow up surveys of Economic Censuses and NTMIS) for employment data. Each of these sources has its own limitations which will be discussed in subsequent chapters.

Other sources

1.3.3 Labour Bureau is also responsible for the collation, collection and publication of statistics and related information on wages, earnings, productivity, absenteeism, labour turn-over, industrial relations, working and living conditions and evaluation of working of various labour enactments etc. DGMS collects and disseminates employment data in Mines. Employment in Railways, Posts, Banking, and Insurance etc. are collected and disseminated by the respective ministries like M/O Railways, M/O Shipping, etc. Also with regards to Doctors and Paramedical staff (Allopathic, ISM), M/O Health & Family Welfare collects and disseminates statistics, in case of Teachers, etc. M/O HRD disseminates data. These are not covered in this manual. The ministry has decided to bring manuals on Labour Force Statistics in parts. This is first in the series. The left over sources of labour force statistics may find place in the subsequent manuals.

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Chapter – II

Employment, Unemployment and Labour Force Data

Collected through

Employment and Unemployment Surveys

Conducted by

National Sample Survey Office

Chapter – II

Employment, Unemployment and Labour Force Data collected through Employment and Unemployment Surveys conducted by National Sample Survey Office

2.1 Introduction

2.1.1 The term 'labour force' includes the current economically active population comprising the employed and the unemployed. The National Sample Survey Office under the Ministry of Statistics and Programme Implementation is the premier organisation, which collects primary data throughout the country. Some of these surveys give information relating to employment, unemployment and labour force in the country. There are some other sources too which give this information relating to employment and unemployment but this is the only source for estimates of the labour force.

2.1.2 Starting with the 9th Round (May-September, 1955), NSSO conducted a number of surveys to know the magnitude and structure of employment and unemployment. In the 1970s to strengthen the conceptual framework for conducting such surveys, the Planning Commission set up an "Expert committee on Unemployment Estimates (popularly known as the Dantawala Committee), which reviewed these surveys and the indicators generated from such surveys. Based on concepts and definitions recommended by this Committee, the first quinquennial survey on employment and unemployment was conducted in the 27th Round of NSSO. After that, six quinquennial comprehensive surveys on the employment and unemployment situation in India have been carried out by the NSSO, in which concepts and procedures were based primarily on the recommendations of the Dantawala Committee. These seven surveys were conducted during the years July 1977 – June 1978 (32nd round), January – December 1983 (38th round), July 1987 – June 1988 (43rd round), July 1993 – June 1994 (50th round), July 1999 – June 2000 (55th round), July 2004 – June 2005 (61st round) and July 2009 – June 2010 (66th round). The results of these surveys have been brought out in the form of NSS Reports.

2.1.3 Besides these quinquennial surveys on employment and unemployment, NSSO has been regularly collecting information on certain key items on employment and unemployment from a limited set of households in each Round since its 45th Round (July 1989 – June 1990) through the schedule on Household Consumer Expenditure. The objective of data collected in the annual series was to measure employment and unemployment indicators in terms of the usual and current weekly statuses only. These procedures continued till the 59th round (January – December 2003) of NSS. A separate schedule on employment and unemployment was canvassed in the NSS 60th round (January – June 2004), NSS 62nd round (July 2005 – June 2006) and NSS 64th round (July 2007 – June 2008) and particulars on labour force etc., were collected in the same manner as that of quinquennial rounds

2.2 Concepts and Definitions

Economic Activity

2.2.1 Any activity resulting in production of goods and services that adds value to the national product is considered an economic activity. Such activities included production of all goods and services for the market (i.e. for pay or profit) including those of government services, and, the

production of primary commodities for own consumption and own account production of fixed assets.

2.2.2 The term 'economic activity' includes

- (i) all the market activities performed for pay or profit which result in production of goods and services for exchange;
- (ii) of the non-market activities,
 - (a) all the activities relating to the primary sector (i.e. industry Division 01 to 14 of NIC 1998), which result in production (including free collection of uncultivated crops, forestry, firewood, hunting, fishing mining, quarrying, etc.) of primary goods for own consumption,
 - and
 - (b) the activities relating to the own-account production of fixed assets. Own-account production of fixed assets includes construction of own houses, roads, wells etc, and of machinery, tools etc., for household enterprise and also construction of any private or community facilities free of charge. A person may be engaged in own account construction either in the capacity of a labourer or a supervisor.

2.2.3 As per the practice followed in earlier rounds, certain activities like prostitution, begging etc., where earnings accrue are not included in 'economic activities'. Activity status of a person is judged irrespective of the situation whether such activity was carried out illegally in the form of smuggling or not.

Activity Status

2.2.4 This refers to the activity status in which a person was found during a reference period with regard to the person's participation in economic and non-economic activities. According to this, a person is regarded as being in one or a combination of the following three broad activity statuses during a reference period:

- (i) working or being engaged in economic activity 'work' as defined above,
- (ii) being not engaged in economic activity (work) but either making tangible efforts to seek 'work' or being available for ' work' if the 'work' is available, and
- (iii) being not engaged in any economic activity (work) and also not available for 'work'.

2.2.5 Broad activity status mentioned in (i) and (ii) above are associated with 'being in labour force' and (iii) with 'not being in the labour force'. Within the labour force, broad activity status (i) and (ii) were associated with 'employment and 'unemployment', respectively.

Categories of Activity Status

2.2.6 The identification of each individual in terms of a unique activity status poses a problem when more than one of the three broad activity statuses listed above are concurrently obtained for a person. In such an eventuality the identification is done uniquely under any one of the three broad activity statuses by adopting either the major time or priority. The former was used for classification of persons according to the 'usual activity status' approach and the latter for

classification of persons according to the 'current activity status' approach. Each of the three broad activity statuses is further sub-divided into several detailed activity categories.

2.2.7 The detailed activity categories under each of the three broad activity statuses i.e. 'employed', 'unemployed, and 'not in labour force' used in the survey are stated below:

(i) Working (or Employed):

Self – Employed

- (a) worked in household enterprise (self-employed) as own account worker;
- (b) worked in household enterprise (self-employed) as employer ;
- (c) Worked in household enterprises (self employed) as helper;

Regular Wage / Salaried Employee

- (a) worked as regular wage / salaried employee;

Casual Labour

- (a) worked as casual wage labour in public works other than Mahatma Gandhi NREGA public works;
- (b) worked as casual wage labour in Mahatma Gandhi NREGA public works;
- (c) worked as casual wage labour in other types of works;
- (d) did not work owing to (i) sickness and (ii) other reasons, though there was work in household enterprise;
- (e) did not work owing to (i) sickness and (ii) other reasons, but had regular wage / salaried employment;

(ii) Not Working but Seeking / Available for Work (or Unemployed)

- (a) sought work or did not seek work but was available for work (for usual status approach)
- (b) sought work (for current weekly status approach)
- (c) did not seek but was available for work (for current weekly status approach)

(iii) Neither Working nor Available for Work (or not in Labour Force):

- a. attended educational institutions;
- b. attended domestic duties only;
- c. attended domestic duties and was also engaged in free collection of goods (vegetables, roots, firewood, cattle-feed, etc.) sewing, tailoring, weaving, etc. for household use;
- d. rentiers, pensioners, remittance recipients, etc;
- e. not able to work due to disability ;
- f. others (including beggars, prostitutes, etc.)
- g. did not work due to sickness (for casual workers only);
- h. children of age 0 – 4 years

Workers (or employed)

2.2.8 Workers (or employed) are persons who were engaged in any economic activity or who, despite their attachment to economic activity, abstained from work for reasons of illness, injury or other physical disability, bad weather, festivals, social or religious functions or other contingencies necessitating temporary absence from work. Unpaid helpers who assist in the operation of an economic activity in the household farm or non-farm activities are also considered as 'workers'.

Seeking or available for work (or unemployed)

2.2.9 Those seeking work or being available for work (or unemployed) are persons who, owing to lack of work, had not worked but either sought work through employment exchanges, intermediaries, friends or relatives or by making applications to prospective employers or expressed their willingness or availability for work under the prevailing conditions of work and remuneration.

Labour Force

2.2.10 Persons, who were either 'working' (or employed) or 'seeking or available for work, (or unemployed), constitute the labour force.

Not in Labour Force

2.2.11 Persons, who are neither 'working' nor 'seeking or available for work' for various reasons during the reference period are considered as 'not in labour force'. Those under this latter category are students, those engaged in domestic duties, rentiers, pensioners, recipients of remittances, those living on alms, infirm or disabled persons, too young or too old persons, prostitutes, smugglers, etc. and casual laborers not working due to sickness.

2.3 Different approaches followed to determine activity status:

2.3.1 The persons surveyed were classified into various activity categories on the basis of the activities pursued by them during certain specified reference periods. There were three reference periods for these quinquennial surveys: (i) one year, (ii) one week, and (iii) each day of the reference week. Based on these three periods, three different measures of activity status were arrived at. These are termed as 'usual status', 'current weekly status' and 'current daily status' respectively. The procedure adopted to arrive at '*usual status*', '*current weekly status*' and '*current daily status*' are elucidated as below:

Usual Principal Activity Status

2.3.2 The usual activity status relates to the activity status of a person during the reference period of 365 days preceding the date of survey. The activity status on which a person spent a relatively longer time (i.e. major time criterion) during the 365 days preceding the date of survey is considered as the principal usual activity status of the person. To decide the principal usual activity of a person, he / she is first categorized as those in the labour force (either employed or unemployed) and those not in the labour force depending on the basis of major time spent during the 365 days preceding the date of survey. Persons thus adjudged as not belonging to the labour force were assigned the broad activity status 'neither working nor available for work' (not in the labour force). Persons thus adjudged as not belonging to the labour force were assigned the broad activity status 'neither working nor available for work' (not in the labour force). At the second stage, for persons belonging to the labour force, the broad activity status of either 'working' (i.e. employed) or 'not working but seeking and / or available for work' (i.e. unemployed) was ascertained based on the same criterion viz., relatively longer time spent in accordance with either of the two broad statuses within the labour force during the 365 days preceding the date of survey.

Usual Subsidiary Economic Activity Status

2.3.3 A person whose principal usual status is determined on the basis of the major time criterion could pursue some economic activity for a relatively shorter time (~~minor time~~) during the reference period of 365 days preceding the date of survey or for a minor period, which is less than 30 days (not necessarily for a continuous period) during the reference year. The status, in which such economic activity is pursued, is the subsidiary economic activity status of that person.

Usual Activity Status considering Principal and Subsidiary Status taken together

2.3.4 The usual status, determined on the basis of the usual principal status and usual subsidiary economic activity of a person taken together, is considered as the usual activity status of the person and is written as usual status i.e. principal status plus subsidiary status (ps+ss). Accordingly to the usual status (ps+ss), the workers are those who perform some work activity either in the principal status or in the subsidiary status. Thus, a person who is not a worker in the usual principal status is considered as worker according to the usual status (ps+ss), if the person pursues some subsidiary economic activity for 30 days or more during 365 days preceding the date of survey.

Current Weekly Activity Status

2.3.5 The current weekly activity status of a person is the activity status during a reference period of seven days preceding the date of survey. It is *decided on the basis of a certain priority cum major time criterion*.

2.3.6 According to the *priority criterion*, the status of 'working' gets priority over the status of 'not working but seeking or available for work', which, in turn, gets priority over the status of 'neither working nor available for work'. A person is considered working (or employed) if he / she, while pursuing any economic activity, had worked for at least one hour on at least one day during the seven days preceding the date of survey. A person is considered 'seeking or available for work (or unemployed)', if, during the reference week, no economic activity was pursued by the person but he / she made efforts to get work or had been available for work any time during the reference week though not actively seeking work in the belief that no work was available. A person who has neither worked nor is available for work any time during the reference week is considered as engaged in non-economic activities (or not in labour force).

2.3.7 After deciding upon the broad current weekly activity status of a person on the basis of the 'priority' criterion, the detailed current activity status is then decided on the basis of 'major time' criterion if that person pursued multiple economic activities.

Current Daily Activity Status

2.3.8 The activity pattern of the population, particularly in the unorganised sector, is such that during a week, and sometimes, even during a day, a person could pursue more than one activity. Moreover, many people could even undertake both economic and non-economic activities on the same day of a reference week. The current daily activity status for a person was thus determined on the basis of his / her activity status on each day of the reference week *using a priority- cum- major time criterion* (day to day labour time disposition). Time disposition was recorded for every member of the sample households. This involved recording of different activities pursued by the members along with the time intensity in quantitative terms for each day of the reference week.

2.3.9 The following points were considered for assigning the time intensity and determining the current daily status of a person:

- (i) Each day of the reference week is looked upon as comprising either 'two half days' or a 'full' day for assigning the activity status.
- (iii) A person is considered 'working' (employed) for the full day if he / she had worked for four hours or more during the day.
- (iv) If a person is engaged in more than one economic activity for four hours or more on a day, he / she is assigned two out of the various economic activities on which he / she devoted a relatively longer time on the reference day, an intensity of 0.5 is given for each of the two economic activities.
- (iv) If the person had worked for one hour or more but less than four hours, he / she is considered 'working' (employed) for half a day and 'seeking or available for work' (unemployed) or 'neither seeking nor available for work' (not in labour force) for the other half of the day depending on whether he is seeking/available for work or not.
- (v) If a person is not engaged in any 'work' even for one hour on a day but was seeking / available for work even for four hours or more, he is considered 'unemployed' for the entire day. But if he was 'seeking/ available for work' for more than one hour and less than four hours only, he was considered 'unemployed' for half a day and 'not in labour force' for the other half of the day.
- (vi) A person who neither had any 'work' to do nor was available for 'work' even for half a day was considered 'not in labour force' for the entire day and was assigned one or two of the detailed non-economic activity status depending upon the activities pursued during the reference day.

2.4 Conceptual Framework of Key Indicators of Employment and Unemployment in India

Labour Force Participation Rate (LFPR)

2.4.1 LFPR is defined as the number of persons / person days in the labour force per 1000 persons / person days.

The formula for calculating LFPR is as follows:

$$= \frac{\text{No. of employed persons} + \text{No. of unemployed persons}}{\text{Total Population}} \times 1000$$

Work-Force Participation Rate (WFPR) or Worker- Population Ratio (WPR)

WFPR or WPR is defined as the number of persons / person –days employed per thousand persons / person-days.

The formula for calculating WFPR or WPR is as follows:

$$= \frac{\text{Number of employed persons}}{\text{Total Population}} \times 1000$$

Age-Specific Worker- Population Ratio (ASWPR)

2.4.2 The number of persons employed in a particular age-group per 1000 persons in that age-group is defined as the age-specific worker- population ratio (ASWPR)

Proportion Unemployed (PU)

2.4.3 PU is defined as the number of persons/ person –days unemployed per thousand persons/ person-days.

The formula for calculating PU is as follows:

$$= \frac{\text{Number of Unemployed Persons}}{\text{Total Population}} \times 1000$$

Unemployment Rate (UR)

2.4.4 The Unemployment Rate (UR) is defined as the number of persons / person days *unemployed* per thousand persons / person days in the labour force (which includes both the employed and the unemployed). In effect, this gives the unutilised portion of the labour force. Thus, it is a more refined indicator of the unemployment situation in a population than the proportion of unemployed, which is merely the number of unemployed per thousand persons in the population as a whole.

The formula for calculating UR is as follows:

$$= \frac{\text{Number of Unemployed Persons}}{\text{No. of employed persons} + \text{No. of unemployed persons}} \times 1000$$

Underemployment

2.4.5 Underemployment is commonly defined as the underutilisation of labour time of the workers. Some of the persons categorised as usually employed do not have work throughout the year due to seasonality in work or otherwise and their labour time is not fully utilised. Thus, they are underemployed. Underemployment is termed visible underemployment if they report themselves as available for work with respect to the shorter reference period. The NSS measures the visible underemployment by cross classifying persons by (a) their usual and current weekly statuses, (b) their usual and current daily statuses, and (c) their current weekly and current daily statuses.

2.4.6 Some employed persons, particularly the self-employed, may appear to work throughout the year. But the work they are pursuing may not fully meet their needs in terms of generating sufficient income, giving fulfillment to them, etc. They may, therefore, want additional and/ or alternative work. Such underemployment is termed as invisible underemployment and therefore, not directly measurable. The NSS calculates the indicators of invisible underemployment through a set of probing questions addressed to those categorized as usually employed on their availability

for additional/alternative work and reason(s) for seeking such additional/alternative work, status of their present engagement (i.e. whether worked more or less regularly), etc. The proportion of the usually employed who indicate their availability for additional/alternative work, gives, by and large, an overall share of the employed who did not have enough work, or at least felt the need for additional/alternative work, and in that sense, were underemployed.

2.5 Scope and Coverage

2.5.1 The NSSO collects data on some characteristics based on which, estimates of employment and unemployment measured in terms of three basic approaches viz. usual status, current weekly status and current daily status can be obtained. The reference period for these approaches differ— 365 days preceding the date of survey for “usual status”, seven days preceding the date of survey for “current weekly status” and each day of the seven days preceding the date of survey for “current daily status”.

2.5.2 Data are collected on the activity status of all persons, i.e., for workers, for those seeking or available for work and also for those remaining out of the labour force. A worker could be self-employed or enjoy regular salaries/wages or be employed on a casual wage basis. Data on this aspect, along with the industry or work of the worker and his/her occupation, are collected during the different surveys. In order to describe the multi-dimensional features of the employment-unemployment situation in India, information on several correlates pertaining to it are gathered. Also, probing questions have been put to workers in order to understand the extent of underutilisation of their labour time and obtain more specific information in this regard. An effort has also been made to collect information on the qualitative aspects of employment such as changes in activity status, occupation/industry, availability of trade unions/ associations, nature of employment, etc.

2.5.3 For the first time, in the 55th Round (i.e. 1999-2000) detailed data were also collected regarding non-agricultural workers (i.e. those working in an industry other than agriculture and related activities such as hunting, forestry, logging and fishing) by their activity status, location of work place, type of enterprises where they work and certain other characteristics.

2.6 NSS Survey on Employment and Unemployment, 2009 – 10 (66th round)

2.6.1 **Geographical coverage:** The survey covered the whole of the Indian Union *except* (i) interior villages of Nagaland situated beyond five kilometres of the bus route and (ii) villages in Andaman and Nicobar Islands which remained inaccessible throughout the year. However, all the sample first stage units of both rural and urban areas of Leh, Kargil and Poonch districts of Jammu & Kashmir became casualty and therefore these districts were outside the survey coverage.

2.6.2 **Sub-rounds:** The fieldwork of the 66th round of NSSO started from 1st July, 2009 and continued till 30th June, 2010. As usual, the survey period of this round was divided into four sub-rounds, each with a duration of three months, the 1st sub-round period ranging from July to September 2009, the 2nd sub-round period from October to December 2009 and so on. An equal number of sample villages/blocks (FSUs) were allotted for survey in each of these four sub-rounds.

2.6.3 **Sample size:** Out of the total number of 12,808 First Stage Units (FSUs) comprising 7,524 villages and 5,284 urban blocks) allotted for the central sample (including 24 state sample FSUs of Leh and Kargil districts of J & K: 16 for rural sector and 8 for urban sector), 12,654 FSUs (7,402 villages and 5,252 urban blocks) could be surveyed at the all-India level for canvassing Schedule 10. The number of households surveyed was 100,957 (59,129 in rural areas and 41,828 in urban areas) and number of persons surveyed was 459,784 (281,327 in rural areas and 178,457 in urban areas).

2.6.4 **Method of data collection:** The survey used the interview method of data collection from a sample of randomly selected households.

2.7 Details of information collected in NSS 66th round Survey on Employment and Unemployment

2.7.1 In NSS 66th round, data on employment-unemployment characteristics were collected through Schedule 10. The schedule captured a range of information on the following aspects:

- (i) *Household characteristics*, like household size, religion, social group, land possessed, land cultivated, etc. For the rural households, the information was collected, on whether the household has Mahatma Gandhi National Rural Employment Guarantee (MGNREG) job card, whether got work in MGNREG works during the last 365 days, number of days got work in MGNREG works and mode of payment of the wages earned in MGNREG works. Information on household monthly consumer expenditure was also collected through a worksheet to study the employment-unemployment characteristics with the level of living of the population.
- (ii) *Demographic particulars* like age, sex, educational level, status of current attendance and vocational training.
- (iii) *Usual principal activity status* and *subsidiary economic activity status* of the all persons.
- (iv) *Particulars of the enterprise* for all the usual status workers (excluding those engaged in growing of crops and growing of crops combined with farming of animals) viz., location of work place, type of enterprises, number of workers in the enterprise etc. and some *particulars on the conditions of employment* for the employees, like type of job contract, eligibility for paid leave, availability of social security benefits, etc. For self-employed persons in the usual status, some particulars were collected for identification of home-based workers.
- (v) Extent of *underutilization of the labour time* and on the *qualitative aspects of employment*, like changes in activity status, occupation / industry, existence of trade unions / associations, nature of employment (permanent / temporary), etc.
- (vi) *Participation in specified activities* by the household members who are classified as engaged in domestic duties in the usual principal activity status.

2.7.2 A copy of the Schedule 10 on employment-unemployment characteristics canvassed in NSS 66th round is placed at **annexure-I** at the end of the manual.

2.8 Sampling design

2.8.1 **An outline of the sampling design:** The survey adopted a stratified multi-stage sampling design separately for rural and urban areas. The first stage units (FSUs) were villages (panchayat wards for Kerala) for rural areas and NSS urban frame survey (UFS) blocks for urban areas. The ultimate stage units (USUs) were households *both for the rural and urban sectors*.

2.8.2 **Sampling Frame for FSUs:** During the NSS 66th Round survey, the list of villages (panchayat wards for Kerala) as per the 2001 Census and latest list of UFS blocks of NSSO were respectively used as sampling frame for selection of rural and urban sample FSUs. For non – UFS towns, the frame consisted of individual towns (only two towns, viz., Leh and Kargil constituted this frame).

2.8.3 Further details about sample design, estimation procedure and schedule 10 canvassed for the conduct of employment and unemployment survey are given in Appendix ‘B’ and Appendix ‘D’ of NSS Report No. KI (66 / 10): Key Indicators of Employment and Unemployment in India, 2009–10.

2.9 Comparison of some important Definitions

2.9.1 For the convenience of the user of this manual, a comparative statement of some of the important definitions used over two NSS survey rounds (62 & 66) are given in the following table:

Sl. No.	Item	NSS 62 nd round (2004-05)	NSS 66 th round (2009-10)
1.	Workers (or employed)	Persons who were engaged in any economic activity or who, despite their attachment to economic activity, abstained from work for reason of illness, injury or other physical disability, bad weather, festivals, social or religious functions or other contingencies necessitating temporary absence from work, constituted workers. Unpaid helpers who assisted in the operation of an economic activity in the household farm or nonfarm activities were also considered as workers.	Persons who were engaged in any economic activity or who, despite their attachment to economic activity, abstained themselves from work for reason of illness, injury or other physical disability, bad weather, festivals, social or religious functions or other contingencies necessitating temporary absence from work, constituted workers. Unpaid helpers who assisted in the operation of an economic activity in the household farm or non-farm activities were also considered as workers.
2.	Seeking or available for work (or unemployed)	Persons, who owing to lack of work, had not worked but either sought work through employment exchanges, intermediaries, friends or relatives or by making applications to prospective employers or expressed their willingness or availability for work under the prevailing conditions of work and remuneration, were considered as those who were ‘seeking or available for work’ (or unemployed).	Persons who, owing to lack of work, had not worked but either sought work through employment exchanges, intermediaries, friends or relatives or by making applications to prospective employers or expressed their willingness or availability for work under the prevailing conditions of work and remuneration, were considered as those ‘seeking or available for work’ (or unemployed).
3.	Labour force	Persons who were either 'working' (or employed) or 'seeking or available for work' (or unemployed) constituted the labour force.	Persons who were either 'working' (or employed) or 'seeking or available for work' (or unemployed) constituted the labour force.
4.	Not in labour force	Persons who were neither 'working' nor 'seeking or available for work' for various reasons during the reference period were considered as 'not in labour force'. Persons	Persons who were neither 'working' nor 'seeking or available for work' for various reasons during the reference period were considered as 'not in labour force'. Persons under this

		under this category are students, those engaged in domestic duties, rentiers, pensioners, recipients of remittances, those living on alms, infirm or disabled persons, too young persons, prostitutes, etc. and casual labourers not working due to sickness.	category are students, those engaged in domestic duties, rentiers, pensioners, recipients of remittances, those living on alms, infirm or disabled persons, too young persons, prostitutes, etc. and casual labourers not working due to sickness.
5.	Self-employed	Persons who operated their own farm or non-farm enterprises or were engaged independently in a profession or trade on own-account or with one or a few partners were deemed to be self-employed in household enterprises.	Persons who operated their own farm or non-farm enterprises or were engaged independently in a profession or trade on own-account or with one or a few partners were treated as self-employed in household enterprises.
6.	Own-account workers	Those self-employed persons who operated their enterprises on their own account or with one or a few partners and who, during the reference period, by and large, ran their enterprise without hiring any labour. They could, however, have had unpaid helpers to assist them in the activity of the enterprise;	Those self-employed persons who operated their enterprises on their own account or with one or a few partners and who, during the reference period, by and large, ran their enterprise without hiring any labour. They could, however, have had unpaid helpers to assist them in the activity of the enterprise;
7.	Employers	Those self-employed persons who worked on their own account or with one or a few partners and, who, by and large, ran their enterprise by hiring labour.	Those self-employed persons who worked on their own account or with one or a few partners and, who, by and large, ran their enterprise by hiring labour.
8.	Helpers in household enterprise	Those self-employed persons (mostly family members) who were engaged in their household enterprises, working full or part time and did not receive any regular salary or wages in return for the work performed. They did not run the household enterprise on their own but assisted the related person living in the same household in running the household enterprise.	Those self-employed persons (mostly family members) who were engaged in their household enterprises, working full or part time and did not receive any regular salary or wages in return for the work performed. They did not run the household enterprise on their own but assisted the related person living in the same household in running the household enterprise.
9.	Usual principal activity status	The usual activity status relates to the activity status of a person during the reference period of 365 days preceding the date of survey. The activity status on which a person spent relatively longer time (i.e. major time criterion) during the 365 days preceding the date of survey is considered as the <i>usual principal activity status</i> of the person.	The usual activity status relates to the activity status of a person during the reference period of 365 days preceding the date of survey. The activity status on which a person spent relatively long time (i.e. major time criterion) during the 365 days preceding the date of survey is considered as the <i>usual principal activity status</i> of the person.
10.	Usual subsidiary economic activity status	A person whose usual principal status was determined on the basis of the major time criterion could have pursued some economic activity for a shorter time	A person whose usual principal status was determined on the basis of the major time criterion could have pursued some economic activity for a shorter time throughout the reference

		throughout the reference year of 365 days preceding the date of survey or for a minor period, which is not less than 30 days, during the reference year. The status in which such economic activity was pursued was the subsidiary economic activity status of that person.	year of 365 days preceding the date of survey or for a minor period, which is not less than 30 days, during the reference year. The status in which such economic activity was pursued was the subsidiary economic activity status of that person.
11.	Current weekly activity status	The current weekly activity status of a person is the activity status obtaining for a person during a reference period of 7 days preceding the date of survey.	The current weekly activity status of a person is the activity status obtaining for a person during a reference period of 7 days preceding the date of survey.
12.	Current daily activity status	The activity pattern of the population, particularly in the informal sector, is such that during a week, and sometimes, even during a day, a person could pursue more than one activity.	The activity pattern of the population, particularly in the informal sector, is such that during a week, and sometimes, even during a day, a person could pursue more than one activity.
It may be seen from above table that there is hardly any change in the definitions/concepts in two rounds of NSS surveys.			

Chapter – III

Employment Data

Collected through

Population Censuses

Central Statistical Office

Chapter – III

Employment Data collected through Population Censuses

3.1 Introduction

3.1.1 India's population census collects basic information on area, total households, total population, Scheduled Castes, Scheduled Tribes, population in the age group 0-6, literates, main workers and marginal workers classified by the four broad industrial categories, (i) cultivators, (ii) Agricultural labourers, (iii) household industry workers, and (iv) other workers as also non-workers. The categories of the total population included scheduled caste, scheduled tribes, institutional and houseless population. These are presented by sex distribution, rural-urban breakup and by State, Districts and Cities.

3.1.2 The collection of data on economic activity has traditionally been a part of the population census of India. Census data on economic characteristics of the population are needed to describe the economic profile of the population and in association with other characteristics, also the social profile of the population.

3.2. Changes in the Concepts of Worker

3.2.1 The main economic questions in the censuses until 1921 were related to livelihood or occupation or means of subsistence of each worker. In actual practice, persons who were not working but were receiving income from land, properties etc. were considered 'economically active'. The concept of 'income' was introduced in 1931 and continued in the 1941 and 1951 Censuses. Thus, in 1931, the population was divided into three classes, namely, '**Earner**', 'Working Dependent' and 'Non-working Dependent', as defined below:

- '**An earner**' was defined as a person with regular work for which return was obtained in cash or in kind.
- '**A working dependent**' was a person who assisted in the work of the family and contributed to its support without actually earning wages.

3.2.2 In 1941, the classification changed to 'wholly dependent', 'partly dependent' and 'others'. A person who drew no income in cash or in kind was treated as '**wholly dependent**'. One who contributed in cash or in kind towards the subsistence of the household without being definitely capable of supporting himself was classified as '**partly dependent**'.

3.2.3 In each of the four censuses of 1951, 1961, 1971, and 1981 the concept of work underwent change. In 1951, there was further change and the classification was 'self-supporting person', 'earning dependent' and 'non-earning dependent'. '**A self-supporting person**' was one who was in receipt of an income that was sufficient at least for his own maintenance. A person, who earned income which was not sufficient for his own maintenance, was classified as an '**earning dependent**'.

3.2.4 In 1961, economic data were collected on the basis of work. The population was divided into two classes, 'workers' and 'non-workers'. In the case of regular employment in any trade,

profession, service, business or commerce, the criterion of work was satisfied if the person had been employed during any of the 15 days preceding the day on which he was enumerated. In the case of seasonal work such as cultivation, livestock, dairying and household industry, if a person had some regular work for more than one hour a day throughout the greater part of the working season, he was to be regarded as a '**worker**'. Work included not only actual work but also effective supervision and direction of work. Persons who were not engaged in any economic activity were treated as 'non-workers'.

3.2.5 In 1971 Census, the main activity of the person was first ascertained according to time spent as 'worker' producing goods and services or as a 'non-worker'. A 'worker' was defined as a person whose main activity was participation in any economically productive work by involving physical or mental activity. Work involved not only the actual work but also effective supervision and direction of work. The reference period for regular work in industry, trade or services, was the week prior to the day of enumeration and, in seasonal work such as agricultural activity, it was the preceding one-year. The person was categorized according to his main activity. Where a person was basically a 'non-worker' such as a student or housewife but made some marginal contribution to work, 'secondary work' was recorded under a separate question.

3.2.6 In the 1981 and 1991 censuses, the whole population was divided into three categories, viz, 'main workers', 'marginal workers' and 'non workers'. **The main worker** was defined as a person whose main activity was participation in any economically productive work by involving physical or mental activities and who had worked for 183 days or more. Work involved not only actual work but also effective supervision and direction of work. **A marginal worker** was defined as a person whose main activity was participation in any economically productive work by his physical or mental activity for less than 183 days. **A non-worker** was defined as a person who had not done any work at any time. The reference period was the one year preceding the date of enumeration. Certain types of work such as agricultural activity, household industry, are carried on either throughout the year or only during certain seasons or during part of the year, and depend on local conditions. In such cases, the broad time span of the agricultural season preceding the date of enumeration was taken in categorizing a person as a main worker.

3.2.7 The definitions of main workers, marginal workers and non-workers for the 1991 and 2001 censuses are the same as were adopted in the 1981 census. In the census of 1991 to enumerate the workers more completely, particularly those working as unpaid workers on farm or family enterprises, the words "including unpaid work on farm or in family enterprise" were added in the questionnaire itself. This was done to remind the enumerator that a large number of workers who work on farms or in family enterprises as unpaid workers tend to be omitted and that they should be included by probing whether there were any such persons in the household.

3.3 Concepts and Definitions as per the census 2001

Persons enumerated:

3.3.1 Generally speaking, persons who were present in the household during the entire period of enumeration or who were known to be usual residents of the household and had stayed there for part of the enumeration period, or who were not present at the time of visit of the enumerator but

were expected to return by 28 February 2001 were eligible to be enumerated. For the purpose of enumeration the following persons in a household were enumerated.

- (i) all those who normally reside and were present in that household during the entire period of enumeration, i.e. from 9 February to 28 February 2001 (both days inclusive);
- (ii) those who were known to be normally residing and had actually stayed during a part of the enumeration period in the household (9 February to 28 February 2001) but were not present at the time of the visit of enumerator;
- (iii) also, those who were known to be normally residing in the household and were not present at the time of the visit but were expected to return by 28 February 2001; and
- (iv) visitors who were present in the household census and expected to be away from the place(s) of their usual residence during the entire enumeration period. For the purpose of enumeration such visitors were treated as normal residents of the household where they were actually found during the enumeration period provided they were not been enumerated elsewhere.

3.3.2 During a Census, every person irrespective of age, sex, caste, creed, region, origin or religion is counted only once, without omission or duplication provided she/he satisfied the criteria of enumeration listed above. The Foreigners, who are expected to stay within the geographical limits of this country throughout the enumeration period are to be counted wherever they are found, if not enumerated elsewhere. Those foreigners who are expected to stay in India for a part of the enumeration period are not eligible for enumeration. It may also be important to state that foreigners and their families with diplomatic status are not enumerated. However, Indian nationals employed and staying with them are enumerated.

Rural-Urban Areas

3.3.3 The data in the table on Final Population Totals are presented separately for rural and urban areas. The unit of classification in this regard is 'town' for urban areas and 'village' for rural areas. In the Census of India, 2001, the definition of urban area adopted was as follows: (a) All statutory places with a municipality, corporation, cantonment board or notified town area committee, etc. (b) place satisfying the following three criteria simultaneously:

- i) a minimum population of 5000;
- ii) at least 75 per cent of male working population engaged in non-agricultural pursuits; and
- iii) a density of population of at least 400 per sq. km. (1,000 per sq. mile).

3.3.4 For classification of places as 'urban' all villages, which, as per the 1991 Census had a population of 4,000 and above, a population density of 400 persons per sq. km. and which had at least 75 percent of the male working population engaged in non-agricultural activity were considered. Data relating to main workers were taken into account to work out the proportion of male working population referred to above against b) (ii).

Household

3.3.5 A 'household' is usually a group of persons who normally live together and eat their meals from a common kitchen unless exigencies of work prevent any of them from doing so. Persons in a

household may be related or unrelated or a mix of both. However, a group of unrelated persons living in a census house who do not take their meals from a common kitchen, are not part of a common household. Further, inmates of a hostel, though they are taking from same kitchen will constitute single member household.

Work

3.3.6 Work is defined as participation in any economically productive activity with or without compensation, wages or profit. Such participation may be physical and/or mental in nature. Work involves not only actual work but also includes effective supervision and direction of work. It even includes part time help or unpaid work on farm, family enterprise or in any other economic activity. All persons engaged in work as defined above, are workers. Persons who are engaged in cultivation or milk production even solely for domestic consumption are also treated as workers.

3.3.7 The reference period for determining a person as worker or non-worker is one year preceding the date of enumeration.

Main Workers

3.3.8 Those workers who had worked for the major part of the reference period (i.e. 6 months or 180 days) or more are termed 'main workers'.

Marginal Workers:

3.3.9 Those workers who had not worked for the major part of the reference period (i.e. less than 6 months) are termed 'marginal workers'.

Cultivators:

3.3.10 A person is classified as cultivator for purposes of census, if he or she is engaged in the cultivation of land owned or held from government or held from private persons or institutions for payment in money, kind or share. Cultivation includes effective supervision or direction in cultivation. A person who has given out her/his land to another person or persons or institution(s) for cultivation for money, kind or share of crop and who does not even supervise or direct cultivation of land, is not treated as cultivator. Similarly, a person working on another person's land for wages in cash or kind or a combination of both (agricultural labourer) is not treated as cultivator.

Agricultural Labourers:

3.3.11 A person who works on another person's land for wages in money or kind or share is regarded as an agricultural labourer. She or he has no risk in the cultivation, but merely works on another person's land for wages. An agricultural labourer has no right of lease or contract on the land on which she/he works.

Household Industry Workers:

3.3.12 'Household industry' is defined as an industry conducted by one or more members of a household at home or within a village in a rural area and only within the precincts of the house

where the household lives in urban areas. A large number of workers in the household industry consist of members of the household.

3.3.13 The main criterion of a household industry even in urban areas is the participation of one or more members of a household. Even if the industry is not actually located at home in rural areas, there is a greater possibility of members of the household participating even if it is located anywhere within the village limits. In urban areas, where organized industry takes greater prominence, household industry is confined to the precincts of the house where participants live. In urban areas, even if the members of the household run an industry by themselves at a place away from the precincts of their home, it is not considered as a household industry. In urban areas it should be located within the precincts of the house where the members live.

Other Workers:

3.3.14 All workers, i.e. those who have been engaged in some economic activity during the last one year, who are not cultivators or agricultural labourers or in the household industry, are 'other workers (OW)'. The type of workers that come under this category of include all government servants, municipal employees, teachers, factory workers, plantation workers, those engaged in trade, commerce, business, transport, banking, mining, construction, political or social work, priests, entertainment artists, etc. In effect, all workers other than cultivators or agricultural labourers or household industry workers fall under the category of 'Other Workers'.

Non-Workers:

3.3.15 A person who did not work at all during the reference period is treated as a non-worker. Non-workers broadly constitute

- ✓ Students who do not participate in any economic activity paid or unpaid, in household duties attending to daily household chores like cooking, cleaning utensils, looking after children, fetching water etc. and are not helping in the unpaid work on the family farm or in cultivation.
- ✓ Dependants such as infants or very elderly people are not included in the category of worker, nor are pensioners i.e., those who are drawing pension after retirement and are not engaged in any economic activity.
- ✓ Beggars, vagrants, prostitutes and persons with an illegal or unidentified source of income and with unspecified sources of subsistence, not engaged in any economically productive work during the reference period.
- ✓ Others, including non-workers who may not come under the above categories such as rentiers, persons living on remittances, agricultural or non-agricultural royalty, convicts in jails or inmates of penal, mental or charitable institutions doing no paid or unpaid work and persons who are seeking/available for work.

Work Participation Rate:

3.3.16 Work participation rate is defined as the percentage of total workers (main and marginal) to the total population.

3.4. Data Processing:

3.4.1 A quantum leap was made in technology for processing the census data both for house listing and population enumeration. The schedules for both the phases were scanned through high speed scanners in fifteen data centres across the country and hand-written data from the schedules were digitized through Intelligent Character Reading (ICR) software for the creation of American Standard Code for Information Interchange [ASCII] records for further processing. The designing and formatting of the Household Schedule had to be done carefully using specialized software to ensure uniformity, an essential pre-requisite for scanning. The selection of appropriate state-of-art technology in data processing has made it possible to produce the entire House listing as well as Population Enumeration Tables on full count basis for the first time in the history of the Census.

3.5. Organisational Setup

3.5.1 The entire work relating to data validation and scrutiny was completed by all the State/ Union territories under the overall supervision and monitoring of the Census Division of the Office of the Registrar General, India with the active co-operation and support of the Studies Division, Data Processing Division, Data Dissemination Division and Map Division. The format of the Primary Census Abstract has been restructured slightly in the 2001 Census as compared with that of the 1991 Census to make this publication more informative. The nine-fold industrial classification of 'main workers' given in the Primary Census Abstract of the 1991 Census has been discontinued and in its place, fourfold industrial classifications of both 'main workers' and 'marginal workers' are included.

3.6 Population Census of India

Introduction

3.6.1 The Indian Census has a rich tradition and enjoys the reputation of being one of the best in the world. The first Census in India was conducted in the year 1872. This was conducted at different points of time in different parts of the country. In 1881 a Census was taken for the entire country simultaneously. Since then, Census has been conducted every ten years, without a break. Thus, the Census of India 2011 will be the fifteenth in this unbroken series since 1872 and the seventh after independence under the statutory provisions of "The Census Act, 1948". It is through the missionary zeal and dedication of Enumerators that the great historical tradition of conducting the Census uninterruptedly has been maintained in spite of several adversities like wars, epidemics, natural calamities, political unrest, etc. Participation in the Census by the people of India is indeed a true reflection of the national spirit of unity in diversity.

3.6.2 Population Enumeration provides valuable information about the land and its people at a given point of time. It provides trends in the population and its various characteristics, which are an essential input for planning. The Census data are frequently required to develop sound policies and programmes aimed at fostering the welfare of the country and its people. This data source has become indispensable for effective and efficient public administration besides serving the needs of

scholars, businessmen, industrialists, planners and electoral authorities, etc. Therefore, Census has become a regular feature in progressive countries, whatever be their size and political set up. It is conducted at regular intervals for fulfilling well defined objectives. One of the essential features of Population Enumeration is that each person is enumerated and her / his individual particulars are collected at a well-defined point of time.

Organizational Set-up

3.6.3 The responsibility of conducting the decennial Census rests with the Office of the Registrar General and Census Commissioner, India under Ministry of Home Affairs, Government of India. It may be of historical interest that though the population census of India is a major administrative function; the Census Organisation was set up on an ad-hoc basis for each Census till the 1951 Census. The Census Act was enacted in 1948 to provide for the scheme of conducting population census with duties and responsibilities of census officers. The Government of India decided in May 1949 to initiate steps for developing systematic collection of statistics on the size of population, its growth, etc., and established an organization in the Ministry of Home Affairs under Registrar General and ex-Officio Census Commissioner, India. This organization was made responsible for generating data on population statistics including Vital Statistics and Census. Later, this office was also entrusted with the responsibility of implementation of Registration of Births and Deaths Act, 1969 in the country.

The Census Organization of India, consists of – a family of thirty three Directorate of Census Operations working under the aegis of its Headquarter - Office of the Registrar General & Census Commissioner, India, situated at Man Singh Road, New Delhi.

3.7 Census of India 2011

3.7.1 The Census of India 2011, the fifteenth in series, has been conducted in two phases, namely i) House-listing and Housing Census and ii) Population Enumeration. The first phase of the Census was conducted in the period April to September, 2010 in different States / Union Territories depending upon local conditions. The field work of the second phase (Population Enumeration) was carried out during February – March, 2011. The concepts and definitions followed for the conduct of Population Census, 2011 are described as below:

Concepts and Definitions

Persons enumerated:

3.7.2 Generally speaking, persons who were present in the household during the entire period of enumeration or who were known to be usual residents of the household and had stayed there for part of the enumeration period, or who were not present at the time of visit of the enumerator but were expected to return by 28 February 2011 were eligible to be enumerated. For the purpose of enumeration, the following persons in a household were enumerated.

- (i) The enumeration period has been fixed from 9th February to 28th February 2011. The census moment and the reference date for the Census of India 2011 will be 00:00 hours of 1st March, 2011;
- (ii) All those who normally reside and were present in that household during the entire period of enumeration, i.e. from 9 February to 28 February 2011 (both days inclusive);

- (iii) Those who were known to be normally residing and had actually stayed during a part of the enumeration period in the household (9 February to 28 February 2011) but were not present at the time of the visit of enumerator;
- (iv) Also, those who were known to be normally residing in the household and were not present at the time of the visit but were expected to return by 28 February 2011; and
- (v) Visitors who were present in the household census and expected to be away from the place(s) of their usual residence during the entire enumeration period. For the purpose of enumeration such visitors were treated as normal residents of the household where they were actually found during the enumeration period provided they were not been enumerated elsewhere.

3.7.3 During a Census, every person irrespective of age, sex, caste, creed, region, origin or religion is counted only once, without omission or duplication provided she/he satisfied the criteria of enumeration listed above. The Foreigners, who are expected to stay within the geographical limits of this country throughout the enumeration period are to be counted wherever they are found, if not enumerated elsewhere. Those foreigners who are expected to stay in India for a part of the enumeration period are not eligible for enumeration. It may also be important to state that foreigners and their families with diplomatic status are not enumerated. However, Indian nationals employed and staying with them are enumerated.

Rural-Urban Areas

3.7.4 The definition of an urban unit at the 2001 Census was as follows:-

- (a) All places with a municipality, corporation, cantonment board or notified town area committee, etc.
- (b) All other places which satisfied the following criteria:
 - i. A minimum population of 5,000;
 - ii. At least 75 per cent of the male working population engaged in non-agricultural pursuits; and
 - iii. A density of population of at least 400 per sq. km.

3.7.5 It was proposed to retain the same definition at the 2011 Census, as this will ensure comparability with previous Census and provide the basis for analysis of urbanization trends in the country. For the purpose of preparing the Rural-Urban frame for 2011 Census, the civic status of the places referred to in (a) of the urban unit definition is as on 31-12-2009 (i.e. the date on which all the administrative boundaries were frozen).

3.7.6 For the purpose of identification of urban units based on the demographic criteria as at (b) in para 2 (i.e., population size and proportion of workers) like in the previous censuses all rural units having a population of 4000 or more at the 2001 census are required to be taken up for examination because a place having a population of 4000 or there about in 2001 census is expected to cross 5000 population mark during the 10 years and by the time of the 2011 census. For such cases the composition of work force and the density of population are required to be examined to see whether these qualify to be categorised as urban. While applying the test of male working population engaged in non agricultural pursuits, only male main workers will be considered and the

workers engaged in the agricultural activities, namely (a) Cultivators, (b) Agricultural Labourers and (c) Plantation, Livestock, Forestry, Fishing, Hunting and allied activities was excluded for computing the percentage of workers engaged in non-agricultural pursuits.

3.7.7 All places which have been notified under law and have local bodies like municipal corporations, municipalities, municipal committees, municipal boards, municipal town committees, cantonment boards, notified areas, notified area committees, town committees, town areas, town boards, town municipalities, sanitary boards, Nagar Panchayats, etc., irrespective of their demographic characteristics must be included in the list of towns. It is to be noted that for this category of towns the criteria laid down in para 2(b) above will not be applicable.

3.7.8 A district / sub-division / tehsil headquarters, if it is not a statutory town, need be treated as a census town only if it satisfies the demographic criteria mentioned in para 2 (b) above.

3.7.9 Jurisdictional changes, if any, of the towns and villages after the last census should also be noted and Notifications issued to this effect from time to time may be kept on record. An exercise may also be carried out to see if areas recognised as urban (Census towns and Out Growths) in the 2001 census satisfy the demographic criteria mentioned in para 2 (b) above so as to be considered as independent census towns in 2011 census as well. While doing this exercise, care should be taken in respect of those Out Growths which were formed by taking a part of a village in 2001. In such cases, the urban criteria should be applied to the whole village.

3.7.10 For identification of 75% male main workers engaged in non-agricultural pursuits, coding of entries for other workers engaged in industrial category of live stock, forestry, fishing, hunting, plantation and orchards etc. as per National Industrial Classification, 1998 is in progress and the data would be made available to the Directorates as and when the same is ready for identification of Urban Areas for 2011 Census of the towns and villages after the last census should also be noted and Notifications issued to this effect from time to time may be kept on record. An exercise may also be carried out to see if

Slum Areas

3.7.11 Slum areas have come to form an integral part of the phenomena of urbanization in India. Comprehensive information on the slums is essential for formulation of effective and coordinated policy for their improvement. Formation and identification of slum enumeration blocks prior to the conduct of 2001 Census has made it possible to compile and prepare special tables for slums. It is for the first time in the history of census in the country that the slum demography is being presented on the basis of the actual count. The systematic delineation of slums for collection of primary data on their population characteristics during population enumeration itself may perhaps be the first of its type in the world.

3.7.12 For the purpose of Census of India, 2001, the slum areas broadly constitute of:-

- (i) All specified areas in a town or city notified as 'Slum' by State/Local Government and UT Administration under any Act including a 'Slum Act'.
- (ii) All areas recognized as 'Slum' by State/Local Government and UT Administration, Housing and Slum Boards, which may have not been formally notified as slum under any act;

- (iii) A compact area of at least 300 persons population or about 60-70 households of poorly built congested tenements, in unhygienic environment usually with inadequate infrastructure and lacking in proper sanitary and drinking water facilities.

3.7.13 The Committee constituted by the Ministry of Urban Development and Poverty Alleviation has suggested a different definition for slum than the definition adopted by the Census of India 2001 and the States. The Committee has recommended a normative definition of slum as:

“A compact settlement of at least 20 households with a collection of poorly built tenements, mostly of temporary nature, crowded together usually with inadequate sanitary and drinking water facilities in unhygienic conditions”.

3.7.14 The committee has, based on the pilot studies carried out by the Registrar General of India, suggested adoption of the following as slum-like characteristics for the purpose of identification of slum areas and enumeration of population of area with 20-25 Households in an Enumeration Block in 2011 Census:-

- (i) Predominant roof material: any material other than concrete (RBC / RCC)
- (ii) Availability of drinking water source: not within premises of the census house
- (iii) Availability of latrine: not within premises of the census house
- (iv) Drainage facility: no drainage or open drainage.

Enumeration Block or House-listing Block

3.7.15 'Enumeration Block' or 'House-listing Block' means a specific area allotted to a specific Enumerator for the purpose of carrying out of Census Operations relating to House-listing, House Numbering and Population Enumeration.

Premises

3.7.16 Premises means building along with the land and / or common places in case of apartments / flats / multi-storey buildings attached to it. A building may not always have a compound wall or fencing. In such cases, the land or the common place as the case may be, that is available to the household may be treated as 'Premises'.

Building

3.7.17 A 'building' is generally a single structure on the ground. Usually a structure will have four walls and a roof. Sometimes it is made up of more than one component unit, which are used or likely to be used as dwellings (residences) or establishments such as shops, business houses, offices, factories, workshops, work sheds, schools, places of entertainment, places of worship, godowns, stores, etc. It is also possible that buildings, which have component units may be used for a combination of purposes such as residence-cum-shop, residence-cum-workshop, residence-cum-office, residence-cum-doctor's clinic etc.

Census House

3.7.18 A 'Census House' is a building or part of a building used or recognized as a separate unit because of having a separate main entrance from the road or common courtyard or staircase etc. It may be occupied or vacant. It may be used for a residential or non-residential purpose or both. If a building has a number of Flats or Blocks / Wings, which are independent of one another having

separate entrances of their own from the road or a common staircase or a common courtyard leading to a main gate, these will be considered as separate Census houses.

Household

3.7.19 A 'household' is usually a group of persons who normally live together and take their meals from a common kitchen unless the exigencies of work prevent any of them from doing so. The persons in a household may be related or unrelated or a mix of both. However, if a group of unrelated persons live in a Census house but do not take their meals from the common kitchen, then they will not collectively constitute a household. Each such person should be treated as a separate household. The important link in finding out, whether it is a household or not, is a common kitchen. There may be one member households, two member households or multi-member households. You may come across three types of households namely, i) Normal households, ii) Institutional households and iii) Houseless households.

Normal Household

3.7.20 A 'Normal household' is usually a group of persons who normally live together and take their meals from a common kitchen unless the exigencies of work prevent any of them from doing so.

Institutional Household

3.7.21 A group of unrelated persons who live in an institution and take their meals from a common kitchen is called an 'Institutional Household'. Examples of Institutional Households are boarding houses, messes, hostels, hotels, rescue homes, observation homes, beggars' homes, jails, ashrams, old age homes, children homes, orphanages, etc.

3.7.22 If in a building which is occupied by an Institutional Household, the families of the warden and peon are also living in separate Census houses and cooking for themselves separately, then each family will be treated as a separate household and the houses occupied by them will be treated as separate Census houses. In this situation there will be one building, three Census houses and three households, i.e., one Institutional Household and two Normal Households.

3.7.23 **Note:** The persons in a normal household may be related or unrelated or a mix of both, whereas in an institutional household the persons are unrelated. Another difference between the normal and institutional household is in case of institutional households, the persons live in an institution unlike in a normal household.

Houseless Household

3.7.24 Households which do not live in buildings or Census houses but live in the open or roadside, pavements, in hume pipes, under flyovers and staircases, or in the open in places of worship, mandaps, railway platforms, etc., are to be treated as Houseless households. Houseless Households are not to be covered in House-listing phase.

Layout Map

3.7.25 The layout map, to be prepared by the enumerators, is a free hand drawing, not drawn to scale containing building and house numbers. The layout map should depict not only the buildings

occupied by households but all areas whether covered by buildings, fields, empty spaces etc. The objective of preparing layout map is to ensure complete coverage of the area assigned to the enumerator. In this map, the boundaries of the House-listing Block and important features and landmarks such as roads, railway lines, hills, rivers, ponds, places of worship, important buildings such as school, dispensary, post office, panchayat ghar, etc. are to be shown clearly. The different streets and lanes and mark structures in the House-listing Block are also drawn. By doing so, the purpose is to make the enumerator thoroughly familiar with the area of the House-listing Block assigned. The symbols by which the important land marks in the Block are to be shown are indicated in the legend of the sheet provided to the enumerator for preparing the layout map. The layout map will have to be prepared in duplicate for each Rural and Urban House-listing Block.

Literates

3.7.26 A person aged 7 years and above who can both read and write with understanding in any language has been taken as literate. It is not necessary for a person to have received any formal education or passed any minimum educational standard for being treated as literate. People who were blind and could read in Braille are treated to be literates.

3.7.27 A person, who can neither read nor write or can only read but cannot write in any language, is treated as illiterate. All children of age 6 years or less, even if going to school and have picked up reading and writing, are treated as illiterate.

Work:

3.7.28 'Work' has been defined as participation in any economically productive activity. Such participation may be physical or mental in nature. Work involved not only actual work but also effective supervision. According to this definition, the entire population has been classified into three main categories, i.e., Main workers, Marginal workers and Non-workers.

Main workers:

3.7.29 Main workers were those who had worked for the major part of the year preceding the date of enumeration i.e., those who were engaged in any economically productive activity for 183 days (or six months) or more during the year.

Marginal workers:

3.7.30 Marginal workers were those who worked any time at all in the year preceding the enumeration but did not work for a major part of the year, i.e., those who worked for less than 183 days (or six months).

Non-workers:

3.7.31 Non-workers were those who had not worked any time at all in the year preceding the date of enumeration.

Activity Status:

3.7.32 The following parameters were kept in view while deciding the activity status of a person.

3.7.33 Main activity of a person who was engaged in more than one activity was reckoned in terms of time disposition. For example, if a person had worked as a daily wage labourer for four months, as an agricultural labourer for one month and as a cultivator for two months he was reckoned as daily wage labourer since he had spent more time in this activity than as a cultivator or agricultural labourer.

3.7.34 A person who normally worked but had been absent from work during the reference period on account of illness, holiday, temporary closure, strike etc., was treated as engaged in the work he would have otherwise have been doing, but for his temporary absence. Persons under training such as apprentices, with or without stipend or wages were treated as workers.

3.7.35 A person who had merely been offered work but had not actually joined, was not treated as engaged in that work.

3.7.36 A man or woman who was engaged primarily in one's own household duties or a boy or a girl who was primarily a student, even if such a person helped in the family economic activity but not as full time worker was not treated as worker even though he or she might have been recorded. On the other hand, if a person was primarily engaged in some economic activity for major part of the year but at the same time also attended to some household chores or attended a night school etc, he or she was treated basically as a worker.

3.7.37 An adult woman who was engaged in household duties but doing no other productive work to augment the family's resources was not considered as working. If, however, in addition to her household work, she engaged herself in work such as rice pounding for sale or wages or in domestic services for wages for others or minding cattle for wages or selling firewood etc., or any other work like cultivation etc., was treated as working.

3.7.38 A man or a woman who was doing household duties might be producing or making something only for domestic consumption of the household and not for sale. Such a person was not considered a worker, even though from his or her point of view the activity was productive.

The Classes of Worker

3.7.39 The workers both male workers and female workers are divided into four categories for the purpose of this question. For a person who is:

- (i) an Employer, that is, who hires one or more persons in her / his work described and does not draw salary;
- (ii) an Employee, that is, who does her / his work is described for others for wages or salary in cash or kind;
- (iii) a Single Worker, that is, who does her / his work described by herself / himself without employing others or without the help of family members (except casually) or as a member of co-operative unit;
- (iv) a Family Worker, that is, who does her / his work described in a family enterprise along with other members of the family without wages or salary in cash or kind.

Category of Workers:

3.7.40 The main and marginal workers have been classified into the following four categories based on the economic activity performed by them during the last one year. These include Cultivator, Agricultural Labourer, Worker in Household Industry and Other Worker as defined below:

Cultivator

3.7.41 For purposes of the census a person, who cultivates his own or leased-in land for a major portion of the previous year she / he also works for others during sowing, harvesting etc. is classified as cultivator. Cultivation includes effective supervision or direction in cultivation.

Note – 1: A person who has given out her/his land to another person or persons or institution(s) for cultivation for money, kind or share of crop and who does not even supervise or direct cultivation of land, is not treated as cultivator. Similarly, a person working on another person's land for wages in cash or kind or a combination of both (agricultural labourer) is not treated as cultivator.

Note – 2: The growing of plantation crops is not considered as agriculture. If a person is engaged in the growing of such crops she or he will not be considered as a cultivator or agricultural labourer but recorded as 'Other Worker'.

Agricultural Labourers

3.7.42 A person, who works on another person's land for wages in kind or cash or share, is regarded as agricultural labourers. Agricultural Labourer has no risk in the cultivation, but merely works on another person's land for wages. An agricultural labourer has no right of lease or contract on land on which she / he works.

Worker in Household Industry:

3.7.43 Household Industry is defined as an industry conducted by one or more members of the household at home or within the village in rural areas and only within the precincts of the house where the household lives in urban areas. The larger proportion of workers in the household industry should consist of members of the household. The industry should not be run on the scale of a registered factory which would qualify or has to be registered under the Factories Act, 1948. The main characteristics of the Household Industry are the following:

- (i) One or more members of the household must participate and the component of hired labour should be minimum;
- (ii) The activity should relate to production, processing, servicing, repairing or making and selling of goods. It does not include professions such as a Pleader, Doctor, Musician, Dancer, Waterman, Astrologer, Dhobi, Barber, etc., or merely trade or business, even if such professions, trade or services are run at home by members of the household;
- (iii) The goods produced should not be for consumption by the household itself but should be wholly or partly for sale;
- (iv) In an urban area the industry must be carried out in the precincts of the house in which the household lives. In the rural areas, the industry may be carried out anywhere within the limits of the village;

- (v) The activity should not be on the scale of a Registered Factory (Where more than 10 persons with power or 20 persons without power is in use).

Other Workers

3.7.44 **'Other Workers'** comprises all those workers, who have been engaged in some economic activity during the last one year, but are not Cultivators or Agricultural Labourers or Workers in Household industry. The type of workers that come under this category include all government servants, municipal employees, teachers, factory workers, plantation workers, those engaged in trade, commerce, business, transport, banking, mining, construction, political or social work, priests, entertainment artists, etc. Certain activities even though conducted by members of the same household will not constitute a Household Industry. These are indicated below and therefore the members of the family working in such industries will be classified as 'Other Worker' and not as 'Worker in Household Industry'.

- (i) Plantation work;
- (ii) Livestock maintenance and production such as cattle, goats, sheep breeding, poultry farms, bee-keeping, rearing of silk worm and production of cocoons and raw silk, production of milk, eggs, honey, wax, bones, etc;
- (iii) Hunting, trapping and selling of the catch;
- (iv) Forestry and logging: log, fuel, charcoal production, gathering and selling of fodder and other forest produce, etc.;
- (v) Fishing including rearing of fish, collection of pearls, shells, sea products, etc.;
- (vi) Mining and quarrying.

Non Workers

3.7.45 A person who did not at all work during the reference period was treated as non-worker. The non-workers broadly constitute Students who did not participate in any economic activity paid or unpaid, household duties who were attending to daily household chores like cooking, cleaning utensils, looking after children, fetching water etc. and are not even helping in the unpaid work in the family form or cultivation or milching, dependant such as infants or very elderly people not included in the category of worker, pensioners those who are drawing pension after retirement and are not engaged in any economic activity. Beggars, vagrants, prostitutes and persons having unidentified source of income and with unspecified sources of subsistence and not engaged in any economically productive work during the reference period. Others, this category includes all Non-workers who may not come under the above categories such as rentiers, persons living on remittances, agricultural or non-agricultural royalty, convicts in jails or inmates of penal, mental or charitable institutions doing no paid or unpaid work and persons who are seeking / available for work.

Sex Ratio

3.7.46 Sex ratio has been defined as the number of females per 1000 males in the population. It is expressed as 'number of females per 1000 males'.

$$\text{Sex-ratio} = \frac{\text{Number of females}}{\text{-----}} \times 1000$$

Number of males

Child Sex Ratio (0-6 years)

3.7.47 Child Sex-ratio (0-6 years) has been defined as the number of females in age-group 0-6 years per 1000 males in the same age-group in the population. It is expressed as 'number of female children age (0-6) years per 1000 male children age (0-6) years'.

$$\text{Child Sex-ratio (0-6 years)} = \frac{\text{Number of female children (0-6)}}{\text{Number of male children (0-6)}} \times 1000$$

Literacy Rate

3.7.48 Literacy rate of population is defined as the percentage of literates to the total population age 7 years and above.

$$\text{Literacy Rate} = \frac{\text{Number of Literates}}{\text{Population aged 7+}} \times 100$$

Work Participation Rate

3.7.49 Work participation rate is defined as the percentage of total workers (main and marginal) to total population.

$$\text{Work Participation Rate} = \frac{\text{Total Workers (Main + Marginal)}}{\text{Total Population}} \times 100$$

3.8 Migration Characteristics

3.8.1 In recent years with increased mobility of population the study of migration characteristics has assumed significant importance. The movement, which involves change of residence from one village / town to another village/town, is known as migration. For Census purposes, there are two types of migrants, namely (i) migrants by place of birth and (ii) migrants by place of last residence. The duration of stay in completed years after migration and reasons of migration such as work / employment, business, education, marriage, moved with birth, moved with household or any others reason are recorded.

Note – 1: The movement, which are purely temporary in nature, like, visiting religious places, official tour, sight-seeing, medical treatment etc., are not to be treated as migration as they do not involve change in residence.

Note – 2: Any change of residence from one part of village/town to another part of the same village/town will also not be considered as migration.

3.9 Data Processing

3.9.1 After the field work is over, the forms are transported to data processing centres located at 15 cities across the country. The data processing will be done using sophisticated software called Intelligent Character Recognition Software (ICR). This technology was pioneered by India in Census 2001 has become the benchmark for Censuses all around the globe. The designing and formatting of the Household Schedule is done carefully using specialized software to ensure uniformity, an essential pre-requisite for scanning. This involves the scanning of the filled-up Census Forms at high speed and extracting the data automatically using computer software. This revolutionary technology has enabled the processing of the voluminous data in a very short time and saving a huge amount of manual labour and cost.

3.10 Comparison of some important Definitions

3.10.1 For the convenience of the user of this manual, a comparative statement of some of the important definitions used over two censuses (2001 & 2012) are given in the following table:

Sl. No.	Item	Census 2001	Census 2011
1.	Work	Work is defined as participation in any economically productive activity with or without compensation, wages or profit. Such participation may be physical and/or mental in nature.	'Work' has been defined as participation in any economically productive activity. Such participation may be physical or mental in nature.
2.	Main workers	Those workers who had worked for the major part of the reference period (i.e. 6 months or 180 days) or more are termed 'main workers'.	Main workers were those who had worked for the major part of the year preceding the date of enumeration i.e., those who were engaged in any economically productive activity for 183 days (or six months) or more during the year.
3.	Marginal workers	Those workers who had not worked for the major part of the reference period (i.e. less than 6 months) are termed 'marginal workers'.	Marginal workers were those who worked any time at all in the year preceding the enumeration but did not work for a major part of the year, i.e., those who worked for less than 183 days (or six months).
4.	Non-workers:	A person who did not work at all during the reference period is treated as a non-worker.	Non-workers were those who had not worked any time at all in the year preceding the date of enumeration.
5.	Work	Work participation rate is defined	Work participation rate is

	Participation Rate	as the percentage of total workers (main and marginal) to the total population.	defined as the percentage of total workers (main and marginal) to total population.
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Central Statistics Office

Chapter – IV

Employment Data

for

Non-Agricultural Sectors

Collected through

Economic Censuses

CHAPTER – IV

Employment Data for Non-Agricultural Sectors Collected through Economic Censuses

4.1 Introduction:

4.1.1 A reliable and timely database is the basic infrastructure needed for any sound and systematic planning. Efficient sectoral planning depends to a large extent on the availability of detailed information, preferably at micro level. Our economy can broadly be classified into two sectors namely Agriculture and Non-Agriculture sectors. Although a fairly adequate system of agricultural statistics was developed in the country, a similar information system is much desired to be built for the non-agricultural sector. Attempts were made in the past to bridge these data gaps by central agencies and the States. The NSSO conducted some surveys on household non-agricultural enterprises in the past. First NSS survey covered non-agricultural household establishments as one of the subject themes in 1950-51 and were taken subsequently in different rounds. Establishment schedules were canvassed in the 1971 population census. The census of unorganized industrial units was carried out during 1971-73. The census of the units, which fall within the purview of the Development Commissioner, Small Scale Industries, was carried out during 1973-74 and a survey on distributive trade was conducted by some of the States during the Fourth Five Year Plan Period (1969-74). All such efforts made prior to 1976 to collect data on non-agricultural establishments have been partial and sporadic.

4.1.2 The first coordinated approach to fill these vital data gaps was made by the Central Statistics Office (CSO), Government of India when a scheme called 'Economic Census and Surveys' was launched in 1976. The scheme envisaged organizing a countrywide census of all economic activities (excluding those engaged in crop production and plantation) followed by detailed sample surveys of unorganized segments of different sectors of the non-agricultural economy in a phased manner during the intervening period of two successive economic censuses. This chapter discusses details of censuses of all economic activities. Details of sample surveys of unorganized segments of different sectors of the non-agricultural economy by NSSO are discussed in a separate chapter (chapter-VI).

4.2 Purpose of Conducting Economic Census

4.2.1 The basic purpose of conducting the economic census is to prepare a frame of establishments for the conduct of various censuses for collection of detailed data particularly on non-agriculture sector of the economy and follow up surveys between two economic censuses. In view of the rapid changes in the unorganized sectors of the non-agricultural economy due to high mobility or morbidity of smaller units and also on account of the birth of new units, the scheme envisaged conducting the economic census periodically in order to update the frame from time to time. (Economic Census, 2005 Government of India).

4.2.2 With a view to develop a frame according to economic activities for taking up follow up establishment surveys in the unorganized segments of the economy, four economic censuses (EC) have been undertaken so far by the Central Statistics Office. The first such census was conducted in 1977. On the basis of the frame provided by these censuses, eighteen follow-up surveys were carried out till March 1995 by the National Sample Survey Office, Ministry of Statistics and

Programme Implementation, Government of India. The economic census is the official count of all entrepreneurial units located within the geographical boundaries of the country, involved in any economic activity of either agricultural or non-agricultural sectors of the economy, engaged in the production or distribution of goods or services not for the sole purpose of own consumption. (Annual Report, 2004-2005, Government of India)

4.3 Scope and Coverage

4.3.1 The economic census covers the whole of the Union of India. All economic activities except those involved in crop production and plantation are covered under the economic census. The economic census conducted in 2005 was fifth in the series.

The First Economic Census (EC – 1977)

4.3.2 This census was conducted throughout the country, except in Lakshadweep, during 1977 in collaboration with the Directorate of Economics and Statistics (DESs) in the States/ UTs. The coverage was limited to non-agricultural enterprises employing at least one/hired worker on a fairly regular basis. Data on items such as description of activity, number of persons usually working, type of ownership were collected.

4.3.3 Reports based on the data of EC-1977 at State/UT level and at all India level were published. Tables giving the activity group-wise distribution of establishments with selected characteristics and with rural and urban break up were generated. State-wise details for major activities and size-class of employment, inter-alia, were also presented in tables.

The Second Economic Census (EC – 1980)

4.3.4 The second economic census was conducted in 1980 along with the house-listing operations of the 1981 Population Census to economise resources, manpower, time and money. The scope and coverage was enlarged. This time all enterprises engaged in economic activities—both agricultural and non-agricultural whether employing any hired worker or not – were covered, except those engaged in crop production and plantation. All States/UTs were covered, except Assam, where population census, 1981 was not conducted.

4.3.5 The items, on which information were collected in Second Economic Census, were more or less the same as those collected in the First Economic Census. However, based on experience gained in the First Economic Census certain items viz. years of operation, value of annual output / turnover / receipt, mixed activity or not, registered / licensed / recognised and act or authority, if registered were dropped.

The Third Economic Census (EC – 1991)

4.3.6 The third Economic census was synchronized with the house listing operations of the house listing operation of 1991 Population Census on the same pattern as in 1980. The coverage was similar to that of the EC 1980. All States/UTs except Jammu and Kashmir, where the 1991 population census was not undertaken, were covered.

The Fourth Economic Census (EC – 1998)

4.3.7 The fourth economic census was launched in 1998. The Government of India constituted a Technical Advisory Group (TAG) for fixing the scope, coverage, concepts, definitions and schedules to be canvassed. In this census, there was an attempt to assess the impact of the economic liberalization process on entrepreneurial activities of the country and to monitor the sectoral changes, particularly the emergence of the service sector. The overall responsibility of organization and conduct of the economic census rested with the CSO. The Directorates of Economic and Statistics of the respective States/UTs were made responsible for conducting the field work and preparing the report. As in the previous economic censuses, the basic primary unit for conducting the census in the rural areas was census villages in all States/UTs except Kerala and Lakshadweep, where Panchayat wards were taken as primary units. (Economic Census, 1998, Government of India)

4.3.8 The TAG recommended a post enumeration check be carried out in selected samples to assess the extent of non-sampling errors in the economic census data.

The Fifth Economic Census (EC – 2005)

4.3.9 Fieldwork for the fifth economic census was completed in 2005 by CSO with the assistance of the Directorates of Economic and Statistics of different State Governments. An additional schedule for collection of addresses of establishments employing ten or more workers was canvassed in order to prepare a directory of these establishments, which may go as an input for the preparation of business registers.

4.3.10 However, as were done in earlier censuses, the following activities were kept out of the purview of the Fifth Economic Census.

- (i) Enterprises of the shelter-less and nomadic population, which move from place to place and camp either without shelter or with makeshift shelter.
- (ii) Enterprises engaged in activities like smuggling, gambling, beggary, and prostitution.
- (iii) Domestic servants, either working in one household or in a number of households and drivers who undertake jobs for others on wages.
- (iv) Wage-paid employees of casual nature.
- (v) Household members engaged in household chores.
- (vi) Persons doing different types of jobs depending on the availability of work such as, loading, unloading, helping a mason or a carpenter, doing earthwork for a contractor.
- (vii) Household workers working for others and earning some money
- (viii) Households in which none of the members are engaged in any gainful activity i.e., households depending on remittance, rent, interest, pension.
- (ix) Owners of tube-wells, tractors and bullock carts who utilize their spare capacity to earn extra money occasionally and not on a regular basis. (Economic Census, 1998, Govt. of India).

4.4 Concepts and Definitions Used

Enterprise

4.4.1 An enterprise is an Institutional Unit engaged in its capacity as a producer of goods and services, which are not for the sole purpose of own consumption. An enterprise is an economic transactor with autonomy in respect of financial and investment decision making, as well as

authority and responsibility for allocating resources for production of goods and services. It may be engaged in one or more economic activities at one or more locations. An enterprise may be a sole legal unit.

Establishment

4.4.2 The establishment is defined as an enterprise or part of an enterprise that is situated in a single location in which one or predominantly one kind of economic activity is carried out. It is an economic unit under a single legal entity.

(a) Own Account Establishments

An establishment, normally run by members of households, without hiring any worker on a fairly regular basis is an own account establishment.

(b) Establishments with hired workers

(i) Directory Establishments

An establishment with hired workers employing 6 or more persons daily on a fairly regular basis is termed as Directory Establishment.

(ii) Non Directory Establishments

An establishment with hired workers employing less than 6 persons daily on a fairly regular basis is termed as Non Directory Establishment.

Agricultural Establishment

4.4.3 An agricultural establishment for the purpose of Economic Census is defined as one engaged in livestock production, agricultural services, hunting, trapping and game propagation, forestry and logging, fishing. The establishments engaged in activities pertaining to crop production or plantation are excluded from the coverage of economic census.

Non-agricultural Establishment

4.4.4 Establishments engaged in economic activities other than those carried out by agricultural establishments are termed as non-agricultural establishments.

Nature of Operation

4.4.5 If the entrepreneurial activity is carried on throughout the year more or less regularly, it is treated as perennial activity. If the activity of the establishment is confined to a particular season, the same is treated as non-perennial activity.

Type of Ownership

4.4.6 Ownership of the enterprise is classified into four broad types (a) Private Non-profit Institutions (NPI), (b) Private Others, (c) Co-operatives and (d) Government. Institutions which are financed and controlled by households e.g. a dharamshala, a trust or temple etc. are treated as NPIs serving households. Institutions, which are financed and controlled by commercial organizations e.g. FICCI, ASSOCHAM are treated as NPIs serving commercial organizations/business houses. Both types of such institutions fall under the category of Private NPI. An enterprise is treated as private if it is managed by a single or a group of private persons, without Government's

participation, both in terms of management and shares. All enterprises, which are registered under the Act of co-operative societies, fall under the category of 'co-operative'.

4.4.7 Other enterprises which have ownership such as the central government, state Government, public sector undertakings, local bodies (zilla parishad, municipal corporation, municipal authority etc) are considered governmental enterprises. Universities, educational boards which are autonomous, but getting grants from the central or state governments or local bodies are also included in the category of 'government'.

Social Group of Owner

4.4.8 Information is collected in respect of private enterprises which are operated on sole proprietary or partnership basis and has been grouped into eight categories of social groups viz., ST male/ female, SC male/ female, OBC male/ female and Others male/ female.

Power / fuel used

4.4.9 If any or more sources of power/fuel are specifically used for carrying the entrepreneurial activity (other than lighting purposes or heating the premises etc.), it is considered as power/fuel used. The different sources of power/fuel considered are electricity, coal/soft coke, petrol/diesel, gas, kerosene, firewood, animal power, non-conventional energy (bio-gas, solar and wind energy) and others such as atomic power. Enterprises using none of these types of power/fuel are categorized as operation without power.

4.4.10 In case more than one type of fire / fuel is used for carrying out the entrepreneurial activity, the code will refer to the major source or on which more expenditure is incurred.

Number of persons usually working daily

4.4.11 The total number of persons i.e. workers usually working daily in an establishment with break-up of Adult male, Adult female, Child male and Child female and will include all persons whether hired or not. The workers less than 15 years of age have been categorized as children. Workers include members of the household whether paid or not paid but engaged in any of the activities carried by the establishments. The number of persons working ~~daily~~ is a position in the last year for perennial enterprises and last working season for seasonal enterprises. The category of workers includes both supervisory and primary workers. A worker need not mean the same person is continued but refers to a position. Part time workers are also treated as employees as long as they are engaged on a regular basis. Exchange of labour mutually between households is regarded as household labour and not as hired labour. (Economic Census, 2005, Government of India).

4.5 Data Processing

4.5.1 Processing of economic census data during the fourth economic census was undertaken in a decentralized manner. DESs of each State/UT were made responsible for processing of data through in-house facilities available with them or by engaging outside agencies. The data entry work in respect of Arunachal Pradesh, Assam, Bihar, Jammu and Kashmir, Kerala, Madhya Pradesh, Manipur, Mizoram, Sikkim, Tamil Nadu, West Bengal, Andaman and Nicobar Islands, Dadra and

Nagar Haveli, Daman and Diu, Delhi, Lakshadweep, and Puducherry was undertaken by the respective DESs using in-house facilities available with them. In the rest of the States/UTs except Nagaland and Orissa, services of outside agencies were hired.

4.5.2 In the fifth economic census Ink Character Recognition (ICR)_technology, which is also known as Automated Forms Processing for the first time, has been ~~is~~ being used for the processing of data. Accordingly, schedules were designed in ICR adaptable format. DES of each State/UT brings out a report on the Economic Census. Then the information is consolidated at the All India level by CSO.

4.6 Items of Information collected

4.6.1 The items of information collected in the fifth economic census included premises status, description of activity, nature of operation, ownership type, social group of owner, power/fuel used, years of operation, ownership type, social group of owner, registration, source of finance, total number of persons usually working and hired persons with break up in male/female and adult/ child categories.

4.7 Tabulation Plan

4.7.1 As decided, the series of tables were generated: (a) main tables and (b) special tables. The main tables were to provide State/UT-wise results in respect of principal characteristics of the establishments and employment therein classified by major activity groups, type of establishments, ownership type, social group of owner, size class of employment, power/fuel used, source of finance, etc., The special tables were to reflect major characteristics of data at all India level. Unlike Fourth Economic Census report this time All-India report would be prepared in two volumes. Volume-I of the report would be based on the data collected through Establishment List and would be analyzed as was done in earlier census. Volume-II of report would be based on the data collected through House List Schedule and Address Slip. Volume-II of the report would contain list of units classified by various characteristics like type of structure, address of the establishments employing 10 or more workers.

4.8 Sixth Economic Census (EC – 2012):

4.8.1 The sixth Economic Census with the assistance Directorate of Economic & Statistics of different States / UTs is to be conducted during 2012. The concepts and definitions as finalized for the conduct of field work by the enumerators are narrated as follows:

Economic Census

4.8.2 Economic Census (EC) is the complete count of all establishments/units located within the geographical boundaries of the country. The information collected will be used for planning purposes and to assess contribution of various sectors of the economy.

Establishment

4.8.3 An establishment is a unit situated in a single location in which predominantly one kind of economic activity is carried out such that at least a part of the goods and/or services produced by the unit is sold. For example it can be an office, a shop, a factory, or a house where an economic activity is carried out by the member(s) within the household. An establishment may be part of a multi-branch concern/company that has branches at different locations. In such a case each branch as well as headquarter will qualify as an establishment.

4.8.4 It is possible that more than one activity is carried out by the same establishment. If these activities are carried out by the same workers and book of account is also not prepared separately for each activity and it is difficult to segregate the number of workers performing each specific activity, then all activities together should form part of one establishment only. Typical example would include a grocery store also providing the services of telephone facility to the customers/public. The major activity or the dominant activity of the establishment can be recognized on the basis of income or turnover/receipts or number of workers depending on the information readily available. Where activities can be separated out in terms of workers, it will be treated as multiple establishments.

Agricultural Establishment

4.8.5 An agricultural establishment in this Census is one engaged in livestock production, agricultural services, hunting, trapping & game propagation, forestry & logging and fishing & aquaculture where at least some part of the production is sold. Establishments engaged in activities pertaining to crop production and plantations though in the agriculture sector will not be covered. Thus cultivators would be excluded from the census.

4.8.6 It may be noted that while the growing of tea, coffee, rubber, tobacco, etc. are not classified as an agricultural establishments for the purpose of this census, establishments engaged in processing of tea, coffee, tobacco etc. are covered.

Non-Agricultural Establishment

4.8.7 Establishments engaged in activities other than agricultural activities will be termed as non-agricultural establishments.

Coverage of Establishments under EC 2012:

4.8.8 All establishments engaged in agricultural and all non-agricultural activities as defined above will be covered. However, as were done in earlier censuses, the Following types of establishments are kept out of sixth economic census coverage.

- Agriculture: Establishments growing perennial and non perennial crops.
- Government Offices: Establishments engaged in public administration covering all Ministries, departments at Central and State/UT Govt. level and also local Govt. This includes Courts, Tax Offices, Offices of Ministry of Defence (Air Force, Navy and Army), Police, ESIC, EPFO etc.
- However, government schools/institutions, colleges, hospitals, hostels/flats, guest houses, government banks, all public sector undertakings including that of Ministry of Defence, corporations, undertakings etc. would be covered.

- Establishments involved in Gambling and betting activities declared illegal by the Government.
- International organizations such as United Nations and its Agencies, Foreign Embassies/Consulates etc.

Important concepts

Household

4.8.9 A household is a group of persons usually living together and taking their meals from a common kitchen. It includes temporary stay-aways (those whose total period of absence from household is expected to be less than six months) but excludes temporary visitors and guests (with expected total stay of less than 6 months). There may be a household of persons related by blood or a household of unrelated persons or having a mix of both but satisfying above condition of a household.

4.8.10 Examples of households having unrelated persons/members are boarding houses, messes, hostels, rescue houses, jails, ashrams, etc. These are called 'Institutional Households'. 4.8.11 A group of persons, who are unrelated to each other, live in a census house but do not have their meals from a common kitchen would not constitute an institutional household.

4.8.12 The following categories of households will not be listed in the EC:

- a. Households comprising foreign nationals.
- b. Barracks of military and paramilitary forces (like Army, BSF, and Police etc.). However, civilian population residing in the premises including the family quarters of service personnel are to be covered.
- c. Floating population, i.e. persons without any normal residence will not be listed.
- d. Households which do not live in buildings but live in open or road side, pavements, in hume pipes, under flyovers and staircases, or in the open places of worship, *mandaps*, railway platforms, etc., are to be treated as houseless households and such households will not be covered in EC.
- e. Inmates of institutions like Orphanages, Nari Niketans, etc. may not be listed as single member households. However such institutions themselves will qualify for listing as establishments. Although inmates will not be listed, owners and residential staff of these institutions residing within the premises of the institutions may be listed as households.

Census House

4.8.13 A census house is a building or a part of a building having a separate main entrance from the road or common courtyard or staircase, etc., used, or recognized as a separate unit. It may be occupied or vacant. It may be used for residential, commercial or for both purposes.

Worker

4.8.14 Persons (including children under 15 years of age) are working for the establishments as owners, members of the household working as or helping the owner in running the establishment, whether hired or not hired, besides regular and salaried employees, casual/ daily wage labourers are considered as workers. A worker may serve the establishment in any capacity – primary worker or supervisory. Salespersons appointed by an establishment for selling / marketing its produce or services as apprentices, supporting workers, *paid or unpaid* are also treated as workers. The owner, running the establishments would also be considered as workers.

Data Processing

4.8.15 Processing of economic census data during the sixth economic census 2012 would be carried out in a decentralized manner. DESs of each State/UT were made responsible for processing of data through in-house facilities available with them or by engaging outside agencies.

4.8.16 In the sixth economic census, the Ink Character Recognition (ICR) technology, which is also known as Automated Forms Processing and was used during fifth economic census for the first time, would again be used for the processing of data. Accordingly, schedules have been designed in ICR adaptable format. DES of each State/UT brings out a report on the Economic Census. Then the information is consolidated at the All India level by CSO.

Items of Information collected

4.8.17 The items of information collected in the fifth economic census included status of establishment premises, description of broad / major activity, nature of operation – perennial or seasonal or casual, ownership type of establishment – Government or private – proprietary or partnership or corporate or non-profit institutions or cooperative societies or self help groups, social group of owner, power/fuel used, years of operation, ownership type, gender, religion and social group of owner, registration under the act, source of finance, total number of persons usually working and hired persons with break up in male / female and adult / child categories.

Tabulation Plan

4.8.18 As decided, the series of tables were generated: (a) main tables and (b) special tables. The main tables were to provide State/UT-wise results in respect of principal characteristics of the establishments and employment therein classified by major activity groups, type of establishments, ownership type, social group of owner, size class of employment, power/fuel used, source of finance, etc., The special tables were to reflect major characteristics of data at all India level.

4.8.19 Just like fifth economic census, this time All-India report would be prepared in two volumes. Volume-I of the report would be based on the data collected through Establishment List and would be analyzed as was done in earlier census. Volume-II of report would be based on the data collected through House List Schedule and Address Slip. Volume-II of the report would contain list of units classified by various characteristics like type of structure, address of the establishments employing 10 or more workers.

4.9 Changes in the Sixth Economic Census (EC – 2012)

4.9.1 New initiatives;

- i) Development of National Business Register for bigger units
- ii) Survey of Non manufacturing Enterprises (for bigger units)
- iii) Unlike earlier Economic Censuses, this time Intelligent Character Recognition (ICR) technology was used for data processing
- iv) For the first time an Address Slip was canvassed among the enterprises having 10 or more workers in order to prepare a Directory of Establishments.

4.9.2 Coverage of activities:

- All agriculture activities (excluding crop production and plantation): It is being followed since Second EC
- All non agricultural establishments (excluding public administration, defence, compulsory social security activities): It has been done in Sixth EC, as such information is already with the govt.

4.9.3 Coverage of items in HH and Establishment Schedule

a) Inclusion of new items

- Number of members in the household;
- No. of wage earners and /or salaried employees;
- No. Of establishment owned by HH members with fixed structure outside the house;
- No. Of establishment owned by HH members outside the HH without fixed structure;
- No. Of establishment owned by HH members inside the HH
- Two digit Broad activity code
- Religion of owner of proprietary establishment(m/f)
- Separate data collection for handicraft establishments
- Nature of operation: ' Non perennial' has been divided into casual and seasonal

b) Items excluded:

- Information on subsidiary activity (only information major activity collected)
- Power used in entrepreneurial activity (shifted to Directory of Establishment schedule)
- Registration code (shifted to Directory of Establishment schedule)
- Number of children(m/f) usually working

4.9.4 Coverage of items in Directory of Establishment Schedule

New items : added

- Does computer and internet facilities exist in the establishment ?
- “Whether an exporting unit?”
- Using power in production of goods and services
- Address of main office and Branch offices with PAN and TAN numbers
- Registration information under 9 codes

4.9.5 Changes in concept and definitions

Nature of operation

- Perennial – 1;
- Seasonal – 2;
- Casual – 3;

If the entrepreneurial activity

- Carried throughout the year more or less regularly; it is treated as **perennial activity**.
- If it is confined to a particular season i.e. fixed months of a year, it is called the **seasonal activity**.
- The economic activity of the establishment which is neither perennial nor seasonal is termed as **Casual**.

*Please note that in case of **casual entrepreneurial activity** is carried out occasionally depending upon the availability of time and resources.*

4.9.6 Reference period for number of workers

Fifth EC: Last year / season

Sixth EC: Last working day

Chapter – V

Employment Data

Obtained From

Follow-up Surveys on Unorganized Sector

Conducted By

NSSO / CSO

Chapter – V

Employment Data Obtained From Follow-up Surveys on Unorganized Sector Conducted By NSSO / CSO

5.1 Introduction

5.1.1 The importance of the need for statistical information about the non-agriculture sector, particularly the segment which is unorganized, was realized by planners and policy makers in the post Independence era. The NSSO, since its inception in 1950, played a major role in catering to such data needed for formulation of a vibrant plan. In the initial periods, the household-based non-agricultural activities, irrespective of their scale of operations were covered in the NSS surveys. In subsequent periods, the need for segmentation of the non-agriculture sector as organized and unorganized, and also into sectors of economic activity was considered necessary for the collection of meaningful data. The enterprises registered under the Factories Act, 1948 (known as organized sector) and engaged in manufacturing activity, were then separately covered under Annual Survey of Industries by NSSO, processed and disseminated by the Central Statistics Office. The non-household based units in the unorganized sector still remained outside the coverage.

5.1.2 Later, a review of the surveys indicated that a better sampling frame was needed to generate reasonably useful statistics for the entire unorganized sector. The need for identifying areas with a concentration of enterprises was thus acute for ensuring an efficient sampling design for future surveys. A country wide Economic Census (EC), the first of its kind, was undertaken in 1977 under the aegis of the Central Statistics Office to provide a better frame and background information needed for formulating an efficient sampling design (NSS Report No. 482: 2001-02).

5.2 Evolution of Unorganised Sector

5.2.1 The first economic census conducted in 1977 covered non-agricultural enterprises employing at least one hired worker on a fairly regular basis. The coverage of the second economic census carried out in 1980 included 'own account enterprises' (OAE) also and the establishments and enterprises in the agricultural sector outside the crop and plantation sub-sectors. The census classified the entrepreneur units into three groups: Directory Establishments (DEs), that is those employing at least six persons; Non-Directory Establishments (NDEs) consisting of establishments employing at least one but not more than five employees; and own account enterprises (OAEs). The third such census followed in 1990 and the fourth in 1998. Successive economic censuses have provided a sampling frame of enterprises and this enabled the conducting of a number of follow up and other studies/ surveys in specific sub-sectors and segments of the unorganized sector by the CSO and the NSSO over more than two decades. Details of sub-sections and segments covered are given in

Table 5.1

Segment	Year of Survey (and round in case of NSSO Surveys)
Mining & Quarrying (DE)	1992-93 (CSO)
Manufacturing (DE, NDE & OAE)	1978-79, 1984-85, 1989-90 and 1994-95 (CSO) 1978-79 [§] (33 rd), 1984-85 (40 th), 1989-90 (45 th), 1994-95 (56 th) (2000-01)
Construction (Building Construction)	1988 – 89 (NSSO 44 th Round)
Trade (DE, NDE & OAE)	1979-80, 1985-86, 1990-91 and Dec.1995- Nov.1996 (CSO) 1979-80 (34 th), 1985-86 (41 st), 1990-91 (46 th) and Jan-Dec.1997 (53 rd) – (NSSO)
Transport, Hotels & Restaurants (DE)	1979-80 and 1993-94 (CSO)
Enterprise survey*	1983 – 84 (CSO)
Storage and Warehousing (DE and NDE)	1992-93 (DE) (CSO) 1979-80 (NDE) (NSSO)

Table 5.1 Details of Sub-Sectors and Segments covered by NSSO and CSO

Segment	Year of Survey (and round in case of NSSO Surveys)
Enterprise Survey* (Service sector)	1983 – 84 (CSO)
DE	1991 – 92 (CSO)
NDE	1979 – 80 (NSSO)
Enterprise Survey	1983 – 84 (CSO)
Others	
Special Enterprise Survey	Aug. 1999 – July 2000 (NSSO)
Slums	January – June 1993 (NSSO 49 th Round)

§: Households in the NE Region engaged in textiles manufacturing, and cane and bamboo products for own consumption were also surveyed in the 33rd round;

* Covering DE, NDE & OAEs.

Note: Field works were done by NSSO on behalf of CSO

Source: Kundu, Amitabh. Sharma N. Alakh, 'Perspective and policies': (ed.) Informal Sector in India, Published by IAMR & IHD, 2001.

5.2.2 The unregistered manufacturing sector and the unorganized trade have thus received the maximum attention and construction, mining and quarrying, the least attention.

5.2.3 The DE segment in the other sub-sectors started receiving attention in recent years after a large gap of time but the NDE and OAE segments are yet to receive similar attention. The Enterprise Surveys on the informal sector conducted by NSSO in the year 1999-2000 and 2004-05 has covered DE, NDE, and OAE enterprises in 14 selected non-agricultural activity categories and has generated reliable estimates of value added per worker in the informal sector. This has been discussed separately in the next chapter on Informal sector data collected by NSSO.

5.2.4 Some of the other sources of data besides the countrywide surveys and data collection programmes referred to above are : a) the Directorate of Tobacco Development on output of beedi; (b) Reports of the Textile Commissioner; (c) Surveys on conditions of labour in selected unorganized sector industries conducted by the Labour Bureau; (d) Reports of the State Governments and Municipalities on sanitary services; (e) Statutory returns under the Shops and Commercial Establishments and Weekly Holidays Act, 1942; (f) the Motor Transport Workers Act, 1961 and the Beedi Welfare Fund Act, 1976, and (g) the registration and labour deployment operations of the Tripartite Dock Labour Boards set up under the Dock Workers Act, 1976 and Hamal and Mathadi Labour Boards of Maharashtra.

5.3 Objective of the follow-up Surveys

5.3.1 The main aim of the survey on unorganized sector enterprises is to estimate the total number of such enterprises, fixed assets, number of workers, operating expenses, receipts, value added, loans, gross value added per worker, etc.

5.4 Sample Design and Method of Data Collection

5.4.1 A stratified sampling design is adopted for selection of the sample. The first- stage units (FSUs) are villages in rural areas and UFS blocks in urban areas. The ultimate stage units are enterprises in rural as well as in urban areas. A team of investigators along with one supervisor is deployed for fieldwork in each FSU.

5.4.2 The investigators visit every house/ structure in the sample FSU and list all the households and / or enterprises in each house/ structure. The list of households and enterprises provides a separate frame for selection of households and enterprises. The interview method is used for data collection from the sampled households and enterprises. A separate schedule is used for consumer expenditure and unorganized sector enterprises survey for collecting data. (NSS Report no. 479: 2000-2001)

5.5 Adequacy of Information Base for the Unorganised Sector

5.5.1 The size of informal sector employment is underestimated when data sources relating to the total employment and organized sector employment used and these estimates are also subject to other inadequacies. (Suryanarayanan, 2001). The economic censuses and the follow-up studies conducted in the previous twenty five years or so have helped in expanding and strengthening the data base on the unorganized sector. While ECs provide data on levels of unorganized sector

employment, the follow – up studies generate data on the techno-economic aspects of the sector and its sub-sectors like average emoluments, output, value added, fixed capital, and labour and capital productivities.

5.5.2 The latter, however, are not available at the same points of time for all the sub-sectors thereby making it difficult to estimate different aggregates for the unorganized sector as a whole. An analysis in respect of individual sub-sector only is possible. This as such may not be a great disadvantage since what is important, at least initially, is to get a clear understanding of the characteristic features of the individual segments of the unorganized sector. Even in this respect, the unorganized activities in a few sectors like construction and, mining and quarrying have received relatively little attention compared with others and thereafter continue to be the grey areas.

5.5.3 However, the ECs and the follow-up studies do not cover the entire unorganized sector. These cover only the enterprise sector and capture only the usually employed in the enterprises. However, these do not capture, nor are they designed to capture, activities in the unorganized sector which are not connected with those of enterprises, like those of hired household / domestic servants and of casual labour like coolies and general purpose labour selling their unskilled labour time to different households at different points of time spread over a day or a longer period of time to meet the domestic or non-enterprise requirements of households. (Suryanarayanan S. S. 2001)

5.6 Concepts, Definitions and Procedures

Reference Period

5.6.1 In collecting most of the data, the reference period used was 'last month'. Information on receipts and expenses as well as employment, emoluments, rent, interest and value added for the enterprise was collected for the period 'last month' only. 'Last month' refers to the previous 30 days for perennial and casual enterprises irrespective of the number of days of operation. For seasonal enterprises too, 'last month' refers to the last 30 days, if they worked continuously for the last 30 days or more in the current season. For seasonal enterprises, which worked for less than 30 days in the current season, 'last month' refers to an average month in the last working season. If some enterprise was unable to provide information for the last 30 days and was able to give information for the last calendar month, the figures for the same were taken. For enterprises which provided information from their books of accounts but were not able to provide information for the last month / last calendar month, average monthly values of the last accounting year were noted.

Enterprise

5.6.2 An enterprise is an undertaking engaged in the production and /or distribution of some goods and / or services meant mainly for the purpose of sale, whether fully or partly. An enterprise might be owned and operated by a single household or by several households jointly, or by an institutional body.

Agricultural and Non-agricultural Enterprise

5.6.3 Enterprises covered under tabulation categories 'A' and 'B' of NIC 1998 were 'agricultural enterprises' while those covered under tabulation categories 'C' to 'Q' of NIC 1998 were 'non-agricultural enterprises'.

Own account Enterprise

5.6.4 An own account enterprise is an undertaking run by household labour, usually without any hired worker employed on a 'fairly regular basis'. By 'fairly regular basis', it was meant that employment was for the major part of the period of operation of the enterprise during the last 365 days.

Establishment

5.6.5 The enterprises, which have at least one hired worker on a 'fairly regular basis', were called 'establishments'. Paid or unpaid apprentices, paid household member / servant / resident worker in an enterprise were considered to be hired workers. Establishments were further sub-divided into two classes: (i) Non-directory establishment and (ii) Directory establishment.

Non-directory Establishment

5.6.6 An establishment employing less than six workers i.e. one to five workers was termed as a 'non-directory establishment'.

Directory Establishment

5.6.7 An establishment employing six or more workers, excluding the one covered under ASI sampling frame, was termed as a 'directory establishment'.

Perennial Enterprise

5.6.8 Enterprises that were run more or less regularly throughout the year are called 'perennial enterprises'.

Seasonal Enterprise

5.6.9 Enterprises usually run in a particular season or for fixed months of a year are called 'seasonal enterprises'.

Casual Enterprise

5.6.10 Enterprises that were run occasionally, for a total of at least 30 days in the last 365 days, were called 'casual enterprises'.

Household Enterprise

5.6.11 A 'household enterprise' is one which was run by one or more members of a household or run jointly by two or more households on partnership basis irrespective of whether the enterprise was located in the premises of the household(s) or not.

Non-household Enterprise

5.6.12 Non-household enterprises were those which were institutional, i.e., owned and run by the public sector, corporate sector, co-operative societies, other types of societies, institutions, associations, trusts, employer's organizations such as FICCI is registered under the Trade Union Act.

Unorganised Enterprise

5.6.13 The unorganized sector comprises all the enterprises except (i) units registered under Section 2m (i) and 2m (ii) of Factories Act, 1948 and Beedi and Cigar Workers Act 1966 and (ii) run by government (central, state and local)/ public sector enterprise.

Worker

5.6.14 A 'worker is defined as one who participates either full time or part time in the activity of an enterprise. The worker might have served the enterprises in any capacity – primary or supervisory. The person might or might not have received wages/ salaries in return for his/her work incidental to or connected with the entrepreneurial activity. The term 'worker' might not mean that the same person was working continuously; it only referred to a position. Full time workers are those who work for more than half of the period of normal working hours of the enterprise on a fairly regular basis. Two part-time workers in an enterprise were counted as two workers and not one.

Working Owner

5.6.15 The owner who personally worked in the proprietary or partnership enterprise on a fairly regular basis was termed as 'working owner'. In fact, in most of the own- account enterprises the owner himself/herself managed all activities of the enterprise without the help of anyone (on a fairly regular basis). In the case of partnership enterprises, if only one partner or some of the partners or all the partners work in the enterprise on a fairly regular basis, they are considered as 'working owners'.

Hired Worker

5.6.16 A hired worker is a person employed directly or through an agency on payment of regular wage/salary in cash or kind. Apprentices, paid or unpaid, are regarded as hired workers. Paid household workers and servants and resident workers of an enterprise are also considered to be hired workers.

Other Worker / Helper

5.6.17 This category includes all persons belonging to the household of the proprietor, or households of the partners, who were working in or for the enterprise without regular salary or wages. Persons working as exchange labourers in the enterprise without salary or wages are also covered in this category.

Mixed Activity

5.6.18 There were enterprises which carry out a number of activities simultaneously. For example, a grocery shop owner may also sell oil from his own ghani; a doctor may have a medical shop attached to his dispensary; a restaurant may run a STD booth on its premises. Each such activity is treated as separate enterprise, if the information on them is separately available. If the accounts were not separable then the data pertaining to the whole enterprise were collected and the enterprise was classified as having mixed activities. The activities of such enterprises are a mixture

of NICs. The appropriate NIC in such cases was determined on the basis of the major activity. 'Major activity' refers to the activity which yielded maximum income / turnover / employment.

Fixed Assets

5.6.19 'Fixed assets' were assets held for the purpose of producing or providing goods or services. They were not held for resale in the normal course of entrepreneurial activities. These covered all goods, new or used, that had a normal economic life of more than one year from the date of purchase.

Building

5.6.20 'Building' was defined as structure where activities of an enterprise were undertaken. This also includes all other structures, such as shed, house, portions of a house or other structure, building under construction and other conveniences, in which the activities of the enterprises are carried out.

Plant and Machinery

5.6.21 Generally speaking, plant is the name given to an assembly of machinery / equipment / devices installed for carrying on entrepreneurial activities. Machinery means an implement(s) or mechanical device(s) used in the entrepreneurial activities.

Transport equipment

5.6.22 All vehicles, power – driven or man / animal-driven, used for transporting persons, goods and materials by an enterprise in connection with its activity are covered in this category.

Tools and other Fixed Assets

5.6.23 'Tools' refer to small loose implements, generally held in the hand for operation and having a normal life of more than one year. 'Other fixed assets' refer to other durable equipment used for the entrepreneurial activity either directly or indirectly.

Net Additions to the Fixed Assets during last 365 days

5.6.24 Net addition to fixed assets was obtained by subtracting depletion of assets from additions made during the last 365 days. This could be made through purchase or through own construction. Improvements on land, construction of new building, shed, structure, as well as assets produced on own account during the last 365 days were considered as additions to the fixed assets.

Loan

5.6.25 Any borrowing in cash or in kind to be repaid in cash or kind is termed as 'loan'. Loans taken for the purpose of utilizing the same in the entrepreneurial activities of an enterprise are noted even if such loans are actually used for other purposes.

Operating Expenses

5.6.26 The total value of raw materials, electricity, fuel, lubricants and auxiliary materials consumed, and also cost of maintenance, services purchased and other expenses incurred during the reference period by enterprises is considered to be 'operating expenses'.

Receipts

5.6.27 The value of services rendered to other concerns together with the other receipts incidental to entrepreneurial activities like sale value of items manufactured or goods traded by an enterprise is considered to be 'total receipts'.

Gross Value Added

5.6.28 'Value Added' was that part of production which was the actual contribution of an enterprise to the economy. Value added has been calculated by deducting 'total operating expenses' from the 'total receipts' during the reference period.

Restaurants

5.6.29 A 'restaurant' is one, which generally provides eating and drinking services where prepared meals, food, refreshments and other snacks are sold for immediate consumption without any provision for lodging.

Storage and Warehousing

5.6.30 The operation of storages and warehouses on hire to the farm producer, dealer or trader, processor of manufacturing enterprises, including the general public, as an independent business was termed as 'storage and warehousing' enterprises. Storage of all manufactured products including textiles, machine tools apparatus and equipments are included.

Transport

5.6.31 'Transport' is defined as an activity that carries passengers and / or goods from one place to another as a business proposition. Supporting services incidental to transport such as packing, travel agency, are included under transport enterprise.

Communication

5.6.32 All enterprises that provide communications services are 'communication' enterprises. These include courier services, ISD / STD / PCO booths, Voice Mail Services through computer networking, Video / fax services, phone plus services, voiced and non-voiced leased circuits, telex / FAX / data services through computer network, radio paging, and audio services of cable operators.

Real Estate, Renting and Business Activities

5.6.33 Real estate activities include activities like: (i) purchase, sale, letting and operating of real estate, i.e., residential / non-residential buildings, ii) developing and sub-dividing real estate into lots, (iii) lessors of real property and (iv) real estate agents, brokers and managers engaged in renting, buying and selling, managing and appraising real estate on a contract basis.

Education

5.6.34 All educational institutions are covered under this category. Research and scientific services rendered by institutions and laboratories are also covered, provided they satisfy the above criterion. These might be engaged in biological, physical or social sciences. Meteorological institutions and medical research organizations are also included.

Health and Social Work

5.6.35 All enterprises engaged in health and medical services come under this activity, irrespective of the system of medicine. Dispensaries, clinics and consultation chambers run by doctors are included too. The activity also refers activities of veterinary hospitals including 'bird hospitals'.

Other Community, Social and Personal Services

5.6.36 These include activities like sewage and refuse disposal, other services activities like washing and cleaning of textile products, hair dressing, beauty parlour, funeral and related services, massage saloons, car parking and photo studios. (NSS Report No. 482: 2001-02)

CHAPTER – VI

Informal Sector Data

Collected by

National Sample Survey Office [NSSO]

CHAPTER – VI

Informal Sector Data Collected by NSSO

6.1 Introduction

6.1.1 The NSSO conducted an integrated survey of households and enterprises in its 55th round during July 1999 to June 2000. The subjects covered were household consumer expenditure, employment – unemployment and non – agricultural enterprises in the informal sector. The non-agricultural enterprises engaged in the activities of manufacturing; construction; trading and repair services; hotels and restaurants; transport; storage and communications; financial intermediation in real estate, renting and business activities; education, health and social work, other community social and personal service activities (excluding domestic services) were covered in this survey. Information on characteristics of enterprises, fixed assets, employment, expenses and receipts, value added, employment, etc. was collected from the enterprises surveyed. Additionally, the information on workers in the non-agricultural sector was also collected from the households selected for the employment and unemployment survey.

6.2 Concept of Informal Sector

6.2.1 The term '**informal sector**' has been debated much during the last decade in order to have universal acceptance. Various issues relating to the concept and definition of the informal sector were discussed in the 15th International Conference of Labour Statisticians held in January 1993 (ICLS -1993) at Geneva and a resolution concerning statistics of employment in the informal sector was adopted at the end of the conference. Later the system of National Accounts (1993) recommended by the United Nations also endorsed this resolution with regard to the concept of informal sector. The concept and definition of the informal sector as per the resolution adopted at the 15th International Conference of Labour Statisticians is as follows:

- (a) Informal sector may be broadly characterized as consisting of units engaged in the production of goods or services with the primary objective of generating employment and income to the persons concerned. These units typically operate at a low level of organization, with little or no division between labour and capital as factors of production and on a small scale. Labour relations, where they exist, are based mostly on casual employment, kinship or personal or social relations rather than contractual arrangements with formal guarantees.
- (b) Production units in the informal sector have the characteristic features of household enterprises. The owners of these units have to raise the necessary finance at their own risk and are personally liable. The expenditure for production is often indistinguishable from household expenditure. Capital goods such as building or vehicles may be used indistinguishably for the business and for household purposes. The fixed and other assets used, do not belong to the production units as such but to their owners.
- (c) Activities of production units in the informal sector are not performed with the deliberate intention of evading the payment of taxes or social security contributions, or infringing labour, other legislations or administrative provisions. Accordingly, the concept of informal sector activities should be distinguished from the concept of

activities of the hidden or underground economy. (Report on Informal sector in India, 1999-2000, Government of India).

Statistical Definition of Informal Sector

6.2.2 The statistical definition of informal sector as given in International Labour Organization (ILO) Resolutions Concerning Statistics of Employment in the Informal Sector Adopted by the 15th International Conference of Labour Statisticians, January 1993 is as follows:

6.2.3 For statistical purposes, the informal sector is defined as comprising household unincorporated enterprises with purpose of market production that are:

- (a) 'informal own account enterprises (optionally, all, or those that are not registered under specific forms of national legislation), and
- (b) the 'enterprises of informal employers' (optionally, all those with less than a specified level of employment and / or not registered and/or employees not registered
- (c) The informal sector is defined irrespective of the kind of work place where the productive activities are carried out, the extent of fixed capital assets used, the duration of operation of the enterprise, and its operation as a main or secondary activity of the owner.

6.2.4 According to the United Nations System of National Accounts, household enterprises are units engaged in the production of goods and services which are not constituted as separate legal entities independently of the household members who own them, and for which no complete sets of accounts are available which would permit a clear distinction of the production activities of the enterprises from the other activities of their owners. The household enterprises include unincorporated enterprises owned and operated by individual household members or by two or more members of the same household as well as unincorporated partnership formed by members of different households.

Statistical Definition of Informal Employment

6.2.5 As per Guidelines concerning a statistical definition of informal employment issued during the Seventeenth International Conference of Labour Statisticians (ICLS) by ILO, the Informal employment comprises the total number of informal jobs as defined in subparagraphs (a) to (d) below, whether carried out in formal sector enterprises, informal sector enterprises, or households, during a given reference period.

- (a) The informal employment includes the following types of jobs:
 - (i) own-account workers employed in their own informal sector enterprises;
 - (ii) employers employed in their own informal sector enterprises;
 - (iii) contributing family workers, irrespective of whether they work in formal or informal sector enterprises;
 - (iv) members of informal producers' cooperatives;

- (v) employees holding informal jobs (as defined in subparagraph (5) below) in formal sector enterprises, informal sector enterprises, or as paid domestic workers employed by households;
 - (vi) own-account workers engaged in the production of goods exclusively for own final use by their household, if considered employed according to paragraph 9 (6) of the resolution concerning statistics of the economically active population, employment, unemployment and underemployment adopted by the 13th ICLS.
- (b) Own-account workers, employers, members of producers' cooperatives, contributing family workers and employees are defined in accordance with the latest version of the International Classification of Status in Employment (ICSE).
 - (c) Producers' cooperatives are considered informal if they are not formally established as legal entities and also meet the other criteria of informal sector enterprises specified in the resolution concerning statistics of employment in the informal sector adopted by the 15th ICLS.
 - (d) Employees are considered to have informal jobs if their employment relationship is, in law or in practice, not subject to national labour legislation, income taxation, social protection or entitlement to certain employment benefits (advance notice of dismissal, severance pay, paid annual or sick leave, etc.). The reasons may be the following: non-declaration of the jobs or the employees; casual jobs or jobs of a limited short duration; jobs with hours of work or wages below a specified threshold (e.g. for social security contributions); employment by unincorporated enterprises or by persons in households; jobs where the employee's place of work is outside the premises of the employer's enterprise (e.g. outworkers without employment contract); or jobs for which labour regulations are not applied, not enforced, or not complied with for any other reason. The operational criteria for defining informal jobs of employees are to be determined in accordance with national circumstances and data availability.

6.2.6 In India, the term '**informal sector**' has not been used in official statistics or in the National Accounts Statistics (NAS). The terms used in the Indian NAS are 'organised' and 'unorganised' sectors which usually denote unionized and non-unionised in the international literature. The organized sector comprises enterprises for which the statistics are available from the budget documents or reports, annual reports in the case of the public sector and through Annual Survey of Industries in case of registered manufacturing. On the other hand, the unorganized sector refers to those enterprises whose activities including collection of data are not regulated under any legal provision and / or those, which do not maintain any regular accounts.

6.2.7 For the first time in National Accounts Statistics, 'informal sector' was defined in the survey of NSSO (55th round 1999-2000). It included unincorporated proprietary or partnership enterprises. In the unorganized sector, in addition to the unincorporated proprietary or partnership enterprises run by cooperative societies, trusts, private and public limited companies are also covered. The Government of India regards the informal sector as a subset of the unorganized sector. (Informal sector in India, 1999-2000, Government of India), whereas the two categories may or may not overlap exactly as per ILO definition.

6.3 Other Concepts and Definitions

6.3.1 Other concepts relevant to the enterprises survey approach are given below:

The concepts related to the household survey approach have already been discussed in the chapter on employment and unemployed surveys conducted by NSSO. Here, we discuss two approaches viz., (i) enterprise survey approach (ii) household survey approach.

6.3.2 **Enterprise Survey Approach:** An enterprise is an undertaking engaged in the production and/ or distribution of goods and services meant mainly for the purpose of sale, either fully or partly. An enterprise may be owned and operated by a single household or by several households jointly, or by an institutional body.

6.3.3 **Own Account enterprise:** An own account enterprise is an undertaking run by household labour, usually without any hired worker employed on a 'fairly regular basis'. 'Fairly regular basis' means the major part of the period of operation of the enterprise during the last 365 days.

6.3.4 **Establishments:** Those enterprises which have at least one hired worker on a 'fairly regular basis' are called establishments.

6.3.5 **Partnership enterprise:** This is defined as the 'relation between persons who have agreed to share the profits of a business carried on by all or any of them acting for all'. Partners may be from the same household or from different households.

6.3.6 **Proprietary enterprise:** Proprietary enterprises are those where an individual is the sole owner of the enterprise.

6.3.7 **Seasonal enterprise:** Seasonal enterprises are those which are usually run in a particular season or fixed months of a year.

6.3.8 **Worker:** A worker is defined as one who participates either full time or part time in the activity of the enterprise. The worker may serve the enterprise in any capacity-primary or supervisory.

6.3.9 **Working owner:** In proprietary enterprises, the owner supervises the work in the enterprise and is considered as working owner. In fact, in most of the own-account enterprises the owner himself manages all activities of the enterprise without the help of anybody else.

6.3.10 **Hired worker:** A hired worker is a person employed **directly** or through any agency on payment of regular wage/ salary in cash or in kind. Apprentices paid or unpaid, are treated as hired workers. Paid workers, servants and resident workers of the enterprises are also considered as hired workers.

6.3.11 **Mixed activity:** There are enterprises which carry out a number of activities simultaneously. For example, a grocery shop owner may also sell oil from his own *ghani*; a doctor may have a medical shop attached to his dispensary; a restaurant may run an STD booth on its premises. Each such activity is treated as a separate enterprise if information for them is separately available.

6.3.12 **Reference period:** 'Last month' was used as the reference period to collect most of the data on enterprises. Various receipts and expenses as well as employment, emoluments, rent, interest and net surplus for the enterprises was collected for the last month only. Last month refers to the last 30 days for perennial and casual enterprises irrespective of the number of days of operation.

6.3.13 **Factor income of the enterprise:** The total income generated by any enterprise is distributed into four factors of production. Interest goes to investors, rent goes to owners of land and building, wages and other emoluments go to workers and the remaining income is retained by the entrepreneur as net surplus.

6.3.14 **Net surplus (including home consumption):** The net surplus of an enterprise is the amount which the owner / partner gets out of the entrepreneurial activity after making payments to the workers, paying rent on land and building and interest on any outstanding loan. (Informal Sector in India, 1999-2000, Government of India)

6.3.15 **Economic activity:** Any activity resulting in production of goods and services that adds value to the national product is considered as an economic activity. Such activities include production of all goods and services for market, i.e., production for pay or profit, and the production of primary commodities for own consumption and own account production of fixed assets, among the non-market activities.

6.3.16 **Activity status:** It is the activity situation in which a person is found during a reference period with regard to the person's participation in economic and non-economic activities. A person could be in one or a combination of the following three broad activity statuses during a reference period. :

- (i) Working or being engaged in economic activity as defined above,
- (ii) Not being engaged in economic activity but either making tangible efforts to seek 'work' or being available for 'work' and
- (iii) Not being engaged in any economic activity and also neither seeking nor available for 'work'.

6.3.17 **Workers:** Persons who are engaged in any economic activity or who, despite their attachment to economic activity, abstain from work for reasons of illness, injury or other physical disability, bad weather, festivals and other reasons necessitating temporary absence from work, constitute 'workers'.

6.3.18 **Seeking or available for work:** Persons who could not work due to lack of work, and who either sought work through employment exchanges, intermediaries, friends or relatives or by making applications to prospective employers or expressed their willingness or availability for work under the prevailing conditions of work and remuneration, are considered as those 'seeking or available for work'.

6.3.19 **Self-employed:** Persons who operate their own farm or non-farm enterprises or are engaged independently in a profession or trade on own-account or with one or a few partners are deemed to be 'self-employed' in household enterprises. The essential feature of self-employment is autonomy for carrying out earning activity related to livelihood.

6.3.20 Regular salaried / wage employees: These are persons who work in others farm or non-farm enterprises and, in return, receive salary or wages on a regular basis.

6.3.21 Casual wage labour: A person who is casually engaged in others farm or non-farm enterprises and, in return, receives wages according to the terms of the daily or periodic work contract, is termed as 'casual wage labour'

6.3.22 Usual activity status: The usual activity status relates to the activity status of a person during the reference period of 365 days preceding the date of survey. The activity status on which a person spends relatively longer time during the 365 days preceding the date of survey is considered as the principal usual activity status of the person.

6.4 Geographic coverage:

6.4.1 The survey covered the whole of the Indian Union except (i) Ladakh and Kargil districts of Jammu and Kashmir, (ii) villages situated beyond 5 kms., of a bus route in the state of Nagaland, and (iii) inaccessible villages of Andaman and Nicobar Islands. As in the previous rounds, for employment and unemployment surveys all the uninhabited villages of the country, according to the 1991 census, were left out of the coverage of NSS 55th Round.

6.5 Sample design:

6.5.1 A stratified design was been adopted for selection of the sample first stage units (FSUs). The FSUs are villages (Panchayat wards for Kerala) for rural areas and urban frame survey (UFS) blocks for urban areas. The ultimate stage units (USUs) are households for canvassing consumer expenditure and employment- unemployment schedules and enterprises for canvassing the informal sector enterprise schedule. USUs are selected by the method of circular systematic sampling from the corresponding frame in the FSU. Large FSUs are subdivided into hamlet groups (rural)/ sub-blocks (urban) that are grouped into two segments, and USUs are selected independently from each of these segments.

6.6 Integrated Survey of Households Unorganised Manufacturing Sector in India conducted during July 2005 to June 2006 (62nd Round of NSSO)

Introduction:

6.6.1 Manufacturing sector is one of the important sectors of industry in the Indian economy. As per the National Accounts Statistics during 2006-07, the manufacturing sector had a share of about 16% in the GDP at factor cost. For the purpose of data collection, manufacturing sector has been broadly sub-divided into two categories i.e. organised and unorganised. While data for organised manufacturing sector are collected through Annual Survey of Industries (ASI), the same for unorganised manufacturing sector are collected periodically through sample surveys as follow-up surveys of Economic Censuses (EC). The unorganised manufacturing sector has roughly about one-third share in the total contribution by the manufacturing sector in the GDP.

6.6.2 Recognizing the importance of the unorganised manufacturing sector in terms of its share in GDP as well as in total employment, NSS has taken up this subject in many of its rounds. That way collection of data on unorganised manufacture has a long history in the NSS. In fact, the very first round of NSS had small-scale manufacturing and handicrafts as one of its subjects of enquiry.

Thereafter, data on small-scale manufacture were collected also in the NSS rounds 3-10, 14, 23 and 29. These surveys used the list of villages from Population Census and list of census enumeration blocks, or lists of Urban Frame Survey (UFS) blocks of NSSO subject to their availability, as the sampling frame for selection of villages / urban blocks.

6.6.3 A review of the surveys conducted by NSSO in the initial rounds mentioned above indicated that a better sampling frame was necessary to generate more accurate statistics of the unorganised sector. The need for auxiliary information on areas of concentration of enterprises for stratification purpose was strongly felt for developing more efficient sampling designs. This demand ultimately culminated in the conduct of periodic Economic Censuses (EC), which provided the frame for the follow-up surveys on non-agricultural enterprises including those engaged in unorganised manufacturing.

6.6.4 So far NSS has conducted six follow-up surveys of Economic Census through rounds 33rd (1978-79), 40th (1984-85), 45th (1989-90), 51st (1994-95), 56th (2000-01), and 62nd (2005-06) with unorganised manufacture as the main subject of enquiry, as mentioned below:

Coverage of Surveys on Unorganized Enterprises by NSSO:

6.6.5 Following the first Economic Census 1977, small establishments and enterprises not employing any hired worker [and henceforth called 'own account enterprises' (OAEs)] engaged in manufacturing and repairing activities were surveyed on sample basis in the thirty-third round of NSS during 1978-79. As a follow-up to the second Economic Census 1980, own account enterprises and non-directory establishments engaged in manufacturing and repairing activities (i.e., OAMEs and NDMEs respectively) were surveyed in the fortieth and forty-fifth rounds of NSS during July 1984 – June 1985 and July 1989 – June 1990 respectively. The Directory Manufacturing Establishments (DMEs) were surveyed during October 1984 – September 1985 and October 1989 – September 1990 respectively by a group of special staff (Assistant Superintendents only) of the Field Operations Division (FOD) of the NSSO under the technical direction of the CSO.

6.6.6 As a follow-up to the third Economic Census 1990, the first *integrated* survey on unorganised manufacturing and repairing enterprises covering OAMEs, NDMEs and DMEs was undertaken during the fifty-first round of NSS (July 1994-June 1995). Following this, two other surveys were undertaken – (i) Special Enterprise Survey on enterprises in the unorganised sector during the period August 1998 to June 1999 and (ii) Informal sector enterprises as part of NSS 55th round during July 1999 to June 2000. Manufacturing sector was part of coverage in both these surveys. As a follow up of fourth Economic Census 1998, survey of manufacturing enterprises in the unorganised sector was conducted in the 56th round of NSS during July 2000 to June 2001.

6.7 Description about NSS Surveys on Unorganised Manufacturing Enterprises in India, 2005 – 06 (62nd Round)

6.7.1 The National Sample Survey Office (NSSO) conducted an integrated survey of households and unorganised manufacturing enterprises in the 62nd round of NSS during July 2005 - June 2006.

The subjects covered were household consumer expenditure, employment and unemployment and certain characteristics of unorganised manufacturing enterprises. The salient features of survey giving geographical coverage, period, sample design and concepts and definitions used are described as below:

6.7.2 **Coverage:** The survey covered the whole of the Indian Union *except* (i) Leh (Ladakh) and Kargil districts of Jammu & Kashmir, (ii) interior villages of Nagaland situated beyond five kilometres of the bus route and (iii) villages in Andaman and Nicobar Islands which remain inaccessible throughout the year. The sample FSUs in the Poonch and Rajouri districts of the state of Jammu and Kashmir became casualty. Thus, the estimates for Jammu and Kashmir as well as for all-India do not include these areas.

6.7.3 The description of manufacturing activities under the survey covered by NSS (62nd round) is given in the table below:

Table: Description of manufacturing activities under the survey coverage of NSS 62nd round

Division	Description
01405	Cotton ginning, cleaning and baling
15	Manufacture of Food Products and Beverages
16	Manufacture of Tobacco Products
17	Manufacture of Textiles
18	Manufacture of Wearing Apparel; Dressing and Dyeing of Fur
19	Tanning and Dressing of Leather; Manufacture of Luggage, Handbags, Saddlery, Harness and Footwear
20	Manufacture of Wood and of Products of Wood and Cork, Except Furniture; Manufacture of Articles of Straw and Plating Materials
21	Manufacture of Paper and Paper Products
22	Publishing, Printing and Reproduction of Recorded Media
23	Manufacture of Coke, Refined Petroleum Products and Nuclear Fuel
24	Manufacture of Chemicals and Chemical Products
25	Manufacture of Rubber and Plastics Products
26	Manufacture of Other Non-Metallic Mineral Products
27	Manufacture of Basic Metals
28	Manufacture of Fabricated Metal Products, Except Machinery and Equipment
29	Manufacture of Machinery and Equipment Not Elsewhere Classified.
30	Manufacture of Office, Accounting and Computing Machinery
31	Manufacture of Electrical Machinery and Apparatus Not Elsewhere Classified.
32	Manufacture of Radio, Television and Communication Equipment and Apparatus
33	Manufacture of Medical, Precision and Optical Instruments, Watches and Clocks
34	Manufacture of Motor Vehicles, Trailers and Semi-Trailers

35	Manufacture of Other Transport Equipment
36	Manufacture of Furniture; Manufacturing Not Elsewhere Classified.
37	Recycling

Period of the Survey:

6.7.4 The National Sample Survey (NSS), set up by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods started its sixty-second round during July 2005 – June 2006. The survey period of this round was divided into four sub-rounds of three months' duration each to spread the survey workload uniformly.

6.7.5 **Sampling Design:** With the launching of the EC in 1977 (*five ECs have been conducted so far*), the follow-up surveys of EC on unorganised manufacturing generally used the village and block level information on number of enterprises / workers as per the EC for selection of villages and urban blocks in the follow-up surveys. The approach of data collection from enterprises was also changed from the 'household approach' used earlier (i.e. prior to the launching of EC) to the 'site approach' whenever such sites existed.

6.7.6 One salient feature of the sample design adopted during the 62nd round was the use of list frame in order to capture sufficient number of relatively 'bigger' manufacturing units under the coverage of the survey. It was presumed that even within the unorganised manufacturing sector, there would be some very 'big' non-ASI manufacturing units whose contribution to gross value added was expected to be substantial. Thus, with a view to improving the overall estimate of gross value added per worker, total number of workers, total input, total output, etc., a **dual frame** approach was considered appropriate for sampling purposes. A list of 8,000 big non-ASI manufacturing enterprises for the urban sector only was prepared as per the data of the census of manufacturing enterprises conducted by Development Commissioner of Small Scale Industries (DCSSI) in 2003. This list served as the list frame. All these units in the list frame were considered for survey without resorting to any sampling. For the coverage of all other unorganised manufacturing enterprises in the universe (i.e. other than 8,000 enterprises featuring in the list frame), an area frame approach was followed for sampling units in stages. It is worthwhile to mention that this dual frame approach was experimented for the first time in the 62nd round.

6.7.7 In the area frame approach, the list of all the villages (*panchayat wards* in case of Kerala) / urban blocks of the country served as the sampling frame of FSUs. The first stage units (FSUs) were villages (*panchayat wards* in case of Kerala) in the rural sector and urban blocks in the urban sector. The ultimate stage units were unorganised manufacturing enterprises in both the rural and urban sectors.

6.7.8 As regards the first stage stratification, two basic strata were formed within each district of a State/UT: rural stratum comprising all rural areas of the district and urban stratum consisting of all urban areas of the district. However, each city with a population of one million or more as per Census 2001 was invariably treated as a separate stratum by itself. For details of stratification, sub-stratification and selection of sample FSUs, reference may be made to Appendix-B of any of three Survey Reports on Unorganized Manufacturing Enterprises, 2005 – 06.

Concepts and Definitions

6.7.9 Concepts and Definitions used in the NSS Surveys on Unorganised Manufacturing Enterprises in India during 2005 – 06 (62nd Round) are as under:

- a. **Enterprise:** An enterprise is an undertaking engaged in the production and / or distribution of some goods and / or services meant mainly for the purpose of sale, whether fully or partly. An enterprise may be owned and operated by a single household or by several households jointly on a partnership basis, or by an institutional body.
- b. **Manufacturing Enterprise:** A manufacturing enterprise is a unit engaged in the physical or chemical transformation of materials, substances or components into new products. It covers units working for other concerns on materials supplied by them. Also included are units primarily engaged in maintenance and repair of industrial, commercial and similar machinery & equipment, which are, in general, classified in the same class of manufacturing as those specialising in manufacturing the goods.
- c. **Unorganised Manufacturing Enterprise:** The unorganised manufacturing sector consists of all manufacturing enterprises except those registered (i) under section 2m (i) and 2m (ii) of Factories Act, 1948 and Bidi and Cigar Workers (conditions of employment) Act, 1966 and (ii) those run by Government (Central Government, State Governments, Local Bodies) / Public Sector Enterprises.
- d. **Household Enterprise:** A household enterprise is one which is run by one or more members of a household or run jointly by two or more households on partnership basis irrespective of whether the enterprise is located in the premises of the household(s) or not. In other words, all proprietary and partnership enterprises are household enterprises.
- e. **Non-household Enterprise:** Non-household enterprises are those which are institutional i.e. owned and run by the public sector (Central or State Government, local self-governments, local bodies, government undertakings, etc.), corporate sector, cooperative societies, other type of societies, institutions, associations, trusts, etc. non-household enterprises covered under public sector were not included in the current survey.
- f. **Own-account Enterprise:** An enterprise, which is run without any hired worker employed on a fairly regular basis, is termed as an own account enterprise. If such an enterprise is engaged in manufacturing and/or repairing activities, it is termed as Own Account Manufacturing Enterprise (OAME).
- g. **Establishment:** An enterprise, which is **employing at least one hired worker**, on a fairly regular basis, is termed as establishment. Apprentices – paid or unpaid, paid household member / servant / resident worker in an enterprise are considered hired workers. Establishments have further been categorised into two types: non-directory and directory.
 - (i) **Non-directory Establishment (NDE):** An establishment employing less than six workers i.e. one to five workers (household and hired workers taken together) is termed non-directory establishment. If such an establishment is engaged in manufacturing activities, it is termed Non-Directory Manufacturing Establishment (NDME).
 - (ii) **Directory Establishment (DE):** A directory establishment is one which has employed six or more workers (household and hired workers taken together) but excluding the category of establishments covered under Annual Survey of

Industries. If such an establishment is engaged in manufacturing activities, it is termed Directory Manufacturing Establishment (DME).

- h) **Perennial Enterprise:** Enterprises, which usually operate more or less regularly throughout the year, are called perennial enterprises.
- i) **Seasonal Enterprise:** Seasonal enterprises are those which are usually run during a particular season or fixed months of a year.
- j) **Casual Enterprise:** Casual enterprises are those which operate occasionally (may be disjoint periods of time throughout the year) but total number of days operated in the last 365 days is 30 days or more.
- k) **Reference Period:** The reference period for recording details of various items depended primarily on whether the enterprise under survey could provide information from their books of accounts, or they could provide information orally.

Case 1: Enterprises that provided information by recollection

6.7.10 Here, three kinds of reference periods were used to collect data in different blocks of the schedule viz. *reference month*, *reference year* and *last date of the reference month*.

Reference Month: This reference period was used to collect data on various receipts and expenses as well as value added, employment, emoluments, rent and interest payments for the enterprises providing oral information for 'last month'.

For perennial and casual enterprises, 'Reference Month' referred to the **last 30 days** (preceding the date of survey) *irrespective of the number of days of operation*.

For seasonal enterprises, consider the following two cases-

Case (a): Working continuously for 30 days or more (including scheduled holidays) in the current season: - 'Reference Month' referred to the last 30 days (preceding the date of survey).

Case (b): Worked for less than 30 days in the current season: - 'Reference Month' referred to an average month in the last working season. If an enterprise was unable to provide information for the last 30 days, but could provide it for the latest completed calendar month, this calendar month was considered as 'Reference Month'.

'Reference Year': For items like net additions to fixed assets owned, number of months operated, number of other economic activities pursued etc., data were collected for the entire 'Reference Year'. It was last 365 days preceding the date of survey, if 'reference month' of that enterprise was 'last 30 days'. For the enterprises where 'reference month' was 'last calendar month', 'reference year' was last 12 calendar months taken together. For seasonal enterprises of case (b) above (i.e., seasonal enterprises which had operated for less than 30 days during the current season), 'Reference Year' was a continuous period of 365 days starting from the first day of the corresponding working season.

'Last date of the reference month': For some of the items like value of fixed assets, amount of loan outstanding, etc., the reference period used was as follows:

It was last date of the 'Reference Month', which was the same as the last date of the 'Reference Year'. However, opening stock of semi-finished goods manufactured, opening stock of goods traded were collected for the beginning of the first day of the 'Reference Month'.

Case 2: Enterprises provided data from their books of accounts

In this case, two kinds of reference periods were used to collect data in different blocks of the schedule, 'Reference Year' and 'last date of the reference year'.

Reference Year: This was the last completed accounting year of the enterprise under survey. Various receipts, expenses, value added as well as employment, emoluments, rent, interest, net additions to fixed assets owned, for the enterprises were recorded for the last completed accounting year.

'as on first / last date of reference year': For some of the items like value of fixed assets, amount of loan outstanding, etc., this reference period was used. It was last date of the 'Reference Year'. For items like opening stock of semi-finished goods manufactured, opening stock of goods traded, the beginning of the first date of the reference year was the point of reference

Worker: A worker is defined as one who participates either full time or part time in the activity of the enterprise. The worker may serve the enterprise in any capacity - primary or supervisory. He/she may or may not receive wages / salaries in return to his / her work incidental to or connected with the enterprise activity. A worker need not mean that the same person is working continuously; it only refers to a position. Persons working for less than or equal to half of the normal working hours of the enterprise on a fairly regular basis are considered as part time workers. Full time workers are those who work for more than half of the period of normal working hours of the enterprise on a fairly regular basis. Two part-time workers in an enterprise are counted as 2 and not 1.

Working Owner: The owner who personally works in the proprietary or partnership enterprises on a fairly regular basis is called working owner. In fact, in most of the own account enterprises the owner himself/ herself manages all activities of the enterprise without the help of anyone (on a fairly regular basis). In the case of partnership enterprises, if only one partner or some of the partners or all the partners work in the enterprise on a fairly regular basis then they are considered as 'working owners'.

Hired Worker: A hired worker is a person employed directly or through any agency on payment of regular wage / salary in cash or kind. Apprentices, paid or unpaid, are to be treated as hired workers. Paid household workers, servants and resident workers of the enterprise are also to be considered as hired workers.

Other Worker / Helper: 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 / helpers who are associated with the activities of the enterprise during the reference month are considered in this category.

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 was treated as a separate enterprise if information for them was separately available. If the accounts were not separable then the data pertained to the enterprise as a whole and the enterprise was 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 was considered to have mixed activities if its activities were different at 2-digit level of NIC-2004. The appropriate NIC in such cases was determined on the basis of **major** activity. Major activity refers to the activity which yielded maximum income/turnover/employment. The above criteria were applied in the given order, i.e., income first, then turnover and then employment, to determine the major activity.

Multiple Activity: Since many of the entrepreneurs belonging to the unorganised 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 were carried out at one point of time at the same location and the information was not separately available, then it was 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 former is with respect to the entrepreneur whereas the latter 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 carrying out agricultural activity at sowing / harvesting season and doing carpentry at the same time or at other times, ii) a lady working as regular wage / salary earner and also running a tailoring shop in the evening, etc iii) A household servant is making paper envelopes in free time, iv) An agricultural worker engaged in handicraft making during non-harvesting season of the year.

Working on Contract: The enterprises in the unorganised sector are mainly small units. In many cases, the enterprises are seen to be working as per orders from a bigger unit. In such cases, certain conditions are put on the servicing unit by the contractor or master unit. Conditions may pertain to sale of products, supply of raw materials, mode of payment etc. In many cases, the contractor specifies the design of the product to the servicing unit e.g. garment manufacturing, shoe manufacturing etc. If the surveyed enterprise had undertaken any work on contract during the reference year, it was considered as 'enterprises working on contract'.

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. These cover all goods, new or used, that have a normal economic life of more than one year from the date of purchase.

Land and Building: **Land** means the land on which the enterprise is accommodated together with the surrounding area, which is used for the enterprise. This also includes 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 is considered as capital assets for the enterprise. Land owned with permanent heritable possession with or without right to transfer the title comes under this category. Land held on long-term lease, say, 30 years or more, is also treated as land owned. **Building** is the structure, where activities of the enterprise are undertaken. This also includes 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 also includes other constructions such as passage, wall, water tank, sewerage, tube-well, etc.

Plant and Machinery: Plant generally means 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.

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 are covered in this category. Animals, if used for drawing vehicles or carrying loads, will be treated as part of transport equipment.

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 which are used for the entrepreneurial activity either directly or indirectly. These include furniture, fixtures, laboratory equipment, office equipment etc. Livestock used in oil-mill is also covered under this category.

Net additions to fixed assets during the last 365 days: Net addition to fixed assets was obtained by subtracting depletion of assets from the additions made during the last 365 days. Addition to the fixed assets could be made through purchase (new or used) or through own construction. Improvements on land, new construction of building, shed, structure, as well as assets produced on own account enterprises during the last 365 days were considered as additions to the fixed assets. Depletion of assets was obtained by considering the assets sold and discarded during the last 365 days. The value of assets disposed of in any manner other than sale, were treated as value of assets discarded. Besides obsolescence (gone out of use) of an asset, this included loss due to theft, damage, accident etc.

Loan: Any borrowing in cash or kind to be repaid in cash or kind is treated as loan. Loans taken for the purpose of utilising the same in the entrepreneurial activities of an enterprise were considered even if such loans were used for other purposes. On the other hand, loans taken for other purposes but ultimately used in the enterprise were excluded.

Operating Expenses: The total of values of raw materials, electricity, fuel, lubricants and auxiliary materials consumed; cost of maintenance, services purchased and other expenses incurred during the reference period by an enterprise was considered as 'operating expenses'.

Receipts: The sale value of products and by-products manufactured by an enterprise together with the value of services rendered to other concerns and other receipts incidental to entrepreneurial activities are considered as 'total receipts'.

Gross Value Added: Gross value added is taken as additional value created by the process of production of an enterprise to the economy. Gross value added is calculated by deducting 'total operating expenses' from the total value of 'total receipts' during the reference period.

ASICC code: ASICC stands for "A Standard Industrial Commodity Classification". It had been developed first by the Industrial Statistics wing of the Central Statistics Office with the primary objective of having a uniform non industry specific input / output coding structure. The National Sample Survey Office had adopted this for use in the 56th round as well as in the current 62nd round survey on unorganised manufacturing enterprises. Unlike the ASICC code used by CSO, the ASICC code used by National Sample Survey Office does not have any specific unit of quantity associated with the codes. However, the tables giving ASICC code-wise (at two-digit level) break-up of input and output has been generated mainly to cater to the requirements of National Accounts Division (NAD) of Central Statistics Office (CSO) and is not included in the report in view of the size of these tables. However, soft copy may be made available to all users as per the policy of the Government.

6.8 Survey Reports on Unorganised Manufacturing Enterprises, 2005 – 06

6.8.1 On the basis of data collected through Survey on Unorganised Manufacturing Enterprises during 2005 – 06, the three reports, so generated, are briefly described stated below:

I. Operational Characteristics of Unorganised Manufacturing Enterprises, 2005 – 06 (NSS Report No 524)

Apart from information on estimated number of enterprises and number of workers, the report provides the information on operational characteristics of the enterprises like location of enterprise, maintenance of accounts, number of working hours, nature of operation etc. at all India level for different industry groups and at the level of States / UTs for all the industry groups taken together.

II. Unorganised Manufacturing sector in India, 2005-06: Employment, Assets and Borrowings (NSS Report No. 525)

The present report is the second one in a series of three reports being brought out based on the survey on unorganised manufacturing enterprises. The present report provides information on employment, assets & borrowings of unorganised manufacturing enterprises at all India level for different industry groups and at the level of States / UTs for all the industry groups taken together.

III. Unorganised Manufacturing Sector in India, 2005-06: Input, Output and Value Added (NSS Report No. 526)

The present report is the third and the last in a series of three reports being brought out based on the data relating to unorganised manufacturing enterprises. The present report provides information on input, output & value added of unorganised manufacturing enterprises at all India level for different industry groups and at the level of States / UTs for all the industry groups taken together. However, the tables giving "A Standard Industrial Commodity Classification" (ASICC) code-wise (at two-digit level) break-up of input and output

has been generated mainly to cater to the requirements of National Accounts Division (NAD) of Central Statistics Office (CSO) and is not included in the report in view of the size of these tables. However, soft copy may be made available to all users as per the policy of the Government.

Central Statistics Office

Chapter -- VII
Employment Data
for
Organised Manufacturing Sector
Collected through
Annual Survey of Industries (ASI)

Chapter -- VII

Employment Data for Organised Manufacturing Sector Collected through Annual Survey of Industries (ASI)

7.1 Introduction:

7.1.1 Understanding the importance of collection and compilation of data relating to industrial sector of the country, the Government of India, after 1930, launched a voluntary scheme for collection of detailed data from important industries in India. During the Second World War, in order to cater to the specific requirement of war management, each government department created its own statistical sections. In 1942, Industrial Statistics Act was formed on the recommendation of the Royal Commission on Labour. A Directorate of Industrial Statistics (DIS) was formed in 1945 under Ministry of Commerce to administer the act. DIS started Census of Manufacturing Industries in 1946. After independence, Central Statistics Office (CSO) was set up under Cabinet Secretariat by the Government of India in 1951 as an apex statistical body for co-ordinating the large variety of data collected by various agencies which was necessitated for adoption of planned economy by the government. In 1956, the Industrial Statistics Act 1942 was repealed with the passing of a more comprehensive Collection of Statistics Act 1953. Subsequently DIS was transferred to the Cabinet Secretariat in 1959 and was attached to Central Statistics Office as Industrial Statistics Wing.

7.1.2 The Annual Survey of Industries (ASI) is the principal source of industrial statistics in India. It provides statistical information to assess and evaluate, objectively and realistically, the changes in the growth, composition and structure of organised manufacturing sector comprising activities related to manufacturing processes, repair services, gas and water supply and cold storage. Industrial sector occupies an important position in the Indian economy and has a pivotal role to play in the rapid and balanced economic development. Viewed in this context the collection and dissemination of ASI data, on a regular basis, are of vital importance. The Survey is conducted annually under the statutory provisions of the Collection of Statistics Act 1953, and the Rules framed there-under in 1959, except in the State of Jammu & Kashmir where it is conducted under the State Collection of Statistics Act, 1961 and the rules framed there-under in 1964.

7.1.3 The ASI was launched in 1960 with 1959 as the reference year and is continuing since then except for 1972.

7.1.4 In accordance with the provisions of the Collection of Statistics (Central) Rules, 1959 framed under the Act, this was designed to obtain comprehensive and detailed data with the following objectives

- a) Estimation of the contribution of manufacturing industries as a whole and of each type of industry to the National Income.
- b) Systematic study of the structure of the industry as a whole and of each type of industry.
- c) Occasional analysis of the various factors influencing industries in the country.
- d) Construction of comprehensive, factual and systematic bases for formulation of policy.

7.2 Scope and Coverage

7.2.1 The ASI extends to the entire country except the States of Arunachal Pradesh, Mizoram, and Sikkim and Union Territory of Lakshadweep. It covers all factories registered under Sections 2m (i) and 2m (ii) of the Factories Act, 1948 i.e. those factories employing 10 or more workers using power; and those employing 20 or more workers without using power. The survey also covers bidi and cigar manufacturing establishments registered under the Bidi & Cigar Workers (Conditions of Employment) Act, 1966 with coverage as above. All electricity undertakings engaged in generation, transmission and distribution of electricity registered with the Central Electricity Authority (CEA) were covered under ASI irrespective of their employment size. Certain servicing units and activities like water supply, cold storage, repairing of motor vehicles and other consumer durables like watches etc. are covered under the Survey. Though servicing industries like motion picture production, personal services like laundry services, job dyeing, etc. are covered under the Survey but data are not tabulated, as these industries do not fall under the scope of industrial sector defined by the United Nations. Defence establishments, oil storage and distribution depots, restaurants, hotels, café and computer services and the technical training institutes, etc. are excluded from the purview of the Survey.

7.2.2 From ASI 1998-99, the electricity units registered with the Central Electricity Authority and the departmental units such as railway workshops, RTC workshops, Govt. Mints, sanitary, water supply, gas storage etc. are not covered, as there are alternative sources of their data compilation for the GDP estimates by the National Accounts Division of CSO.

Unit of Enumeration

7.2.3 The primary unit of enumeration in the survey is a factory in the case of manufacturing industries, a workshop in the case of repair services, an undertaking or a licensee in the case of electricity, gas and water supply undertakings and an establishment in the case of bidi and cigar industries. The owner of two or more establishments located in the same state and pertaining to the same industry group and belonging to the same scheme (census or sample) is, however, permitted to furnish a single consolidated return, termed as 'joint return'. Such consolidated returns are common features in the case of bidi and cigar establishments, electricity and certain public sector undertakings.

ASI Frame

7.2.4 The ASI frame is based on the three lists of registered factory / units maintained by the Chief Inspector of Factories in each state and those maintained by registration authorities in respect of bidi and cigar establishments and electricity undertakings. The frame is revised once in three years from 1989-90 and updated every year by the regional offices of the Field Operations Division of NSSO in consultation with the Chief Inspector of Factories in the state. At the time of revision, the names of de-registered factories are removed from the ASI frame and those of the newly registered factories are added. In updation, only new registrations are added to the existing frame. In spite of the regular updating of the frame, quite a number of small-sized factories selected for the survey are found to be non-existent in the field and are termed as Non Operative

Factories and referred for the deletion after three years. However, such factories are not taken into consideration for the purpose of tabulation and analysis in this report.

7.3 Sample Design and Sample Allocation

7.3.1 As per the decision taken by the Standing Committee on Industrial Statistics (SCIS), a new sampling design has been adopted since ASI 2007-08. Accordingly, for ASI 2008-2009, the Census Sector has been defined as follows:

- a) All industrial units belonging to the five less industrially developed states/ UT's viz. Manipur, Meghalaya, Nagaland, Tripura and Andaman & Nicobar Islands.
- b) For the rest of the twenty-six States / UT's., (i) units having 100 or more workers, and (ii) all factories covered under Joint Returns.

7.3.2 Strata (State by 4-digit of NIC-04) having less than or equal to four units after selecting the Census Sector units as defined above are also selected as census sector. From the remaining frame, samples were drawn considering a uniform sampling fraction of 20% for the states within a State X 4-digit NIC with a minimum of 4 units evenly distributed in two sub-samples.

7.4 Industrial Classification

7.4.1 The NIC-1970 was followed to classify economic activities of the factories from ASI 1973-74 to ASI 1988-89. NIC- 1987 had then been introduced and followed till ASI 1997-98. NIC-1998 was then followed from ASI 1998-99 to ASI 2003-04. From ASI 2004-05, the new series of classification, i.e., NIC-2004 has been introduced and the same has been used till ASI 2007-08. For ASI 2008-09, NIC- 2008 has been introduced. It classifies all the factories in the ASI frame in their appropriate industry groups on the basis of the principal product manufactured. This way a unit gets classified in one and only one industry group even though it might be manufacturing products belonging to different industries. The estimates for different aggregates presented in the report at two or three or four digit level of industry correspond to the NIC-2008 classification.

7.5 Concepts and definitions

Workers

7.5.1 'Workers' are defined to include all persons employed directly or through any agency whether for wages or not and engaged in any manufacturing process or in cleaning any part of the machinery or premises used for manufacturing process or in any other kind of work incidental to or connected with the manufacturing process or the subject of the manufacturing process. Labour engaged in the repair and maintenance or production of fixed assets for factory's own use or labour employed for generating electricity or producing coal, gas etc. are included.

Employees

7.5.2 'Employees' include all workers defined above and persons receiving wages and holding clerical, supervisory or managerial positions engaged in the administrative office, store keeping

section and welfare section, sales department as also those engaged in purchase of raw materials etc. or purchase of fixed assets for the factory and watch and ward staff.

Total Persons Engaged

7.5.3 'Total persons engaged' include employees as defined above and all working proprietors and their family members who are actively engaged in the work of the factory even without any pay and unpaid members of the co-operative societies who worked in or for the factory in any direct and productive capacity. The number of workers or employees is an average number obtained by dividing mandays worked by the number of days the factory had worked during the reference year.

Man-days

7.5.4 Man-days represent the total number of days worked and the number of days paid for during the accounting year. This is obtained by summing-up the number of persons of specified categories attending in each shift over all the shifts worked on all days.

Reference Year

7.5.5 Reference period for different surveys of ASI was the financial year. For example, in ASI 2008 – 09, data is collected from respective establishments relate to their accounting year ending on 31st March 2009, while the survey was conducted in 2009-10

7.5.6 Reference period for ASI is the accounting year of the industrial unit ending on any day during the fiscal year. Thus, in ASI 2008-09, the data collected from the respective industrial units relate to their accounting year ended on any day between 1st April 2008 and 31st March 2009.

Factory

7.5.7 'Factory' is one, which is registered under sections 2m (i) and 2m (ii) of the Factory Act, 1948. The sections 2m (i) and 2m (ii) refer to any premises including the precincts thereof (a) wherein ten or more workers are working, or were working on any day of the preceding twelve months, and in any part of which a manufacturing process is being carried on with the aid of power, or is ordinarily so carried on; or (b) wherein twenty or more workers are working or were working on any day of the preceding twelve months and in any part of which a manufacturing process is being carried on without the aid of power, or is ordinarily so carried on.

Fixed Capital

7.5.8 'Fixed Capital' represents the depreciated value of fixed assets owned by the factory as on the closing day of the accounting year. Fixed assets are those that have a normal productive life of more than one year. Fixed capital includes land including lease- hold land, buildings, plant & machinery, furniture and fixtures, transport equipment, water system and roadways and other fixed assets such as hospitals, schools, etc. used for the benefit of the factory personnel.

Physical Working Capital

7.5.9 'Physical Working Capital' is the total inventories comprising of raw material and components, fuels and lubricants, spares, stores and others, semi-finished goods and finished goods as on the closing day of the accounting year. However, it does not include the stock of the

materials, fuels, stores, etc. supplied by others to the factory for processing and finished goods processed by the factory from raw materials supplied by others.

Working Capital

7.5.10 'Working Capital' is the sum total of the physical working capital as already defined above and the cash deposits in hand and at bank and the net balance receivable over amounts payable at the end of the accounting year. Working capital, however, excludes unused overdraft facility, fixed deposits (irrespective of duration), advances for acquisition of fixed assets, loans and advances by proprietors and partners (irrespective of their purpose and duration), long-term loans (including interest thereon) and investments.

Productive Capital

7.5.11 'Productive Capital' is the total of fixed capital and working capital as defined above.

Invested Capital

7.5.11 'Invested Capital' is the total of fixed capital and physical working capital as defined above.

Gross Value of Plant and Machinery

7.5.12 'Gross Value of Plant and Machinery' represents the total original (un – depreciated) value of installed plant and machinery at the end of the accounting year. It includes the book value of the newly installed plants and machinery and the approximate value of rented in plants and machinery at the time of renting-in but exclude the value of rented-out plants and machinery. Total value of all the plants and machinery acquired on hire - purchase basis is also included.

Outstanding Loans

7.5.13 'Outstanding Loans' represent all loans (whether short term or long term, interest bearing or not) outstanding according to the books of the factory as on the closing day of the accounting year.

Wages and Salaries

7.5.14 'Wages and Salaries' are defined to include all remuneration in monetary terms and also payable more or less regularly in each pay period to workers as compensation for work done during the accounting year. It includes (a) direct wages and salary (i.e., basic wages / salaries, payment of overtime, dearness, compensatory allowance, house rent and other allowances), (b) remuneration for the period not worked (i.e., basic wages, salaries and allowances payable for leave period, paid holiday, lay-off payments and compensation for unemployment, if not paid from sources other than employers), (c) bonuses and ex-gratia payment paid both at regular and less frequent intervals (i.e., incentive bonuses, good attendance bonuses, productive bonuses, profit sharing bonuses, festival or year-end bonuses, etc.).

7.5.15 It excludes lay off payments which are made from trust or other special funds set up exclusively for this purpose i.e., payments not made by the employer. It also excludes imputed value of benefits in kind, employer's contribution to old age benefits and other social security charges, direct expenditure on maternity benefits and crèches and other group benefits. Travelling and other expenditure incurred for business purposes and reimbursed by the employer are

excluded. The wages are expressed in terms of gross value i.e., before deduction for fines, damages, taxes, provident fund, employee's state insurance contribution, etc.

Contribution to Provident Fund and other Funds

7.5.16 'Contribution to Provident Fund and other Funds' includes old age benefits like provident fund, pension, gratuity, etc. and employers contribution towards other social security charges such as employees state insurance, compensation for work injuries and occupational diseases, provident fund-linked insurance, retrenchment and lay-off benefits.

Workmen and Staff Welfare Expenses

7.5.17 'Workmen and Staff Welfare Expenses' include group benefits like direct expenditure on maternity, crèches, canteen facilities, educational, cultural and recreational facilities; and grants to trade unions, co-operative stores, etc. meant for employees.

Total Emoluments

7.5.18 'Total Emoluments' is defined as the sum of wages and salaries, employers' contribution as provident fund and other funds and workmen and staff welfare expenses as defined above.

Total Input

7.5.19 'Total Input' comprises total value of fuels and materials consumed as well as expenditures such as cost of contract and commission work done by others on materials supplied by the factory, cost of materials consumed for repair and maintenance of factory's fixed assets including cost of repairs and maintenance work done by others to the factory's fixed assets, inward freight and transport charges, rates and taxes (excluding income tax), postage, telephone and telex expenses, insurance charges, banking charges, cost of printing and stationery and purchase value of goods sold in the same condition as purchased .

Total Output

7.5.20 'Total Output' comprises total ex-factory value of products and by-products manufactured as well as other receipts such as receipts from non-industrial services rendered to others, work done for others on material supplied by them, value of electricity produced and sold, sale value of goods sold in the same condition as purchased, addition in stock of semi-finished goods and own construction.

Depreciation

7.5.21 'Depreciation' is consumption of fixed capital due to wear & tear and obsolescence during the accounting year and is taken as provided by the factory owner or is estimated on the basis of cost of installation and working life of the fixed assets.

Net Value Added

7.5.22 'Net Value Added' is arrived by deducting total input and depreciation from total output.

7.6 Schedule of Enquiry

7.6.1 The schedule for different ASI surveys is more or less similar in different years. The ASI schedule has undergone minor changes from that of accounting year 2007 – 2008 and comprises two parts. Part –I which is processed at the CSO (I.S. Wing), Kolkata, aims to collect data on assets and liabilities, employment and labour cost, receipts, expenses, input items—indigenous and imported, products and by-products, distributive expenses etc. Part –II processed by the Labour Bureau, aims to collect data on different aspects of labour statistics, namely, working days, mandays worked, absenteeism, labour turnover, man-hours worked, earning and social security benefits.

7.7 Processing and Dissemination of Data

7.7.1 Detailed ASI reports are being prepared in CSO (Industrial Statistics wing) every year since ASI 1993-94 onwards. The work of CSO has expanded to develop in-house computer software for data processing for generation of all tables and their publications with effect from ASI 1993-94 and has been maintaining the timeliness for release of detailed ASI data annually within six months of data collection.

7.7.2 In the recent past, many changes have been made for improvements in the collection, processing and dissemination of ASI data. There has been a growth in the number of registered factories and consequently in the number of units from where data are to be collected and analysed annually. From ASI 1997-98, ASI modified the sampling design as well as the schedule to reduce data collection and processing time.

7.7.3 From ASI 1999-2000, a decision was taken to have a separate short schedule for all the units selected on the basis of which the CSO releases Quick Estimates on some important parameters at two digit National Industrial Classification (NIC) – 98 by states. CSO provides necessary support to state governments as well as analytical works on ASI data. Liaison with the state governments and other organizations / agencies in India and abroad is also undertaken besides dissemination of data for a larger number of users in India and abroad. Some state Directorates of Economics and Statistics (DESs) process ASI data on the basis of duplicate copies of ASI returns received from NSSO. State DESs have been advised to modify their action plan regarding ASI in the light of the new sampling design with reduced sample size and to avoid the duplication of work in ASI at the State level. The CSO provides the entire database as well as tables needed by State Governments for generating district/micro level estimates.

7.8 Presentation of Data

7.8.1 The ASI results presented in the published reports relate to the factory sector i.e. industrial units covered under the census and sample sectors of the ASI. The total of any characteristic was obtained by adding the figures of the census sector and estimates of sample sector.

CHAPTER – VIII

Employment and Unemployment Statistics

Collected by

Directorate General of Employment and Training

CHAPTER -- VIII

Employment and Unemployment Statistics Collected by Directorate General of Employment and Training

8.1 Introduction

8.1.1 The Directorate General of Employment and Training (DGE&T) in the Ministry of Labour & Employment is an important source of data pertaining to employment market information, educational and occupational pattern of employees, placement statistics of all categories of employment seekers and census of central government employees. The Planning Commission has also entrusted the DGET with occupational outlook surveys for various industries and occupations within a specified frame of industries on a regular basis and this has become an on-going function in the process of manpower assessment and planning. The DGET also takes up specific surveys on various aspects of manpower, which it may be called upon to carry out to meet a particular need for the planning process. All these surveys are published and used by the Planning Commission and other users. This way the Ministry of Labour is an important source of data for manpower planning and forecasting.

8.1.2 The Ministry of Labour and Employment is associated with all the working groups set up by the Employment and Manpower Division of the Planning Commission for evolving development strategies, the most important of which is employment generation. The plan policies and programmes of state governments in respect of employment, manpower and labour planning for the states' Five Year Plans and Annual Plans are considered in Joint Working Groups constituted by the Planning Commission.

8.1.3 India has a National Employment Service with well-defined functions under the apex agency of the Directorate General of Employment and Training (DGE&T) in the Ministry of Labour and Employment, Government of India. Having started as a Federal Service Agency, the administrative control of the service was transferred to State Governments in 1956. However, the work relating to laying down of policy and procedures for the service as also its co-ordination and evaluation plus data collection, staff training and research remain with the National Government in the Ministry of Labour and Employment, which is answerable to Parliament for problems connected with employment and unemployment.

8.2 National Employment Service:

8.2.1 Policies standards and procedures for the National Employment Service are laid down by the Central Government in consultation with the State Governments. The National Employment Service is provided through a network of 969 employment exchanges, which include 83 University Employment Information and Guidance Bureaus, 15 Professional and Executive Employment Exchanges, 42 Special Employment Exchanges for the Physically handicapped and one Special Employment exchange for Plantation Labour. Day – to – day administration of employment exchanges is under the State Governments and Union Territory Administrations. The main activities of the employment exchanges are registration, placement of job seekers, career counseling and vocational guidance and collection of data under the Employment Market Information programme.

8.3 Concepts and Definitions

8.3.1 For the sake of clarity, some of the important terms, relevant to the administrative records generated in the employment exchanges are explained as below:

- i. **Applicant:** A person, who voluntarily registers at an employment exchange and is eligible for employment and other assistance in accordance with the prescribed procedure.
- ii. **Apprentice:** A person, who is undergoing apprenticeship training in a trade in pursuance of a contract of apprenticeship.
- iii. **The Apprentices Act, 1961:** The Apprentices Act, 1961 provides for the regulation and control of training of apprentices in trades and matters connected therewith.
- iv. **Dead Registrar:** Systematic arrangement of index cards of applicants who, for various reasons, are not entitled to placement assistance.
- v. **Educated:** A job seeker, who is having qualifications of the level of 10th standard and above.
- vi. **Handicapped Person:** A person, who on account of injury, disease or congenital deformity, is substantially handicapped in obtaining or keeping employment or in undertaking work on his own account of a kind, which apart from the injury, disease or deformity would be suited to his age, experience and qualifications.
- vii. **Lapsed Registration:** A registration is declared null and void if it fails to meet relevant procedural requirements such as renewal, response to two consequent call letters, etc.
- viii. **Live Register:** Systematic arrangement of index cards pertaining to applicants, who are in need of employment assistance.
- ix. **Multiple Registration:** Registration of an applicant at more than one exchange at the same point of time is termed as multiple registration.
- x. **Placement:** An employer's acceptance of a person into remunerative job through the employment exchange. This includes acceptance by employers of applicants submitted by exchanges for training / apprenticeship with the object of their becoming paid employees on completion of their training / apprenticeship.
- xi. **Registration:** The process of recording the particulars of an employment seeker according to prescribed procedure with a view to render employment assistance.
- xii. **Registration Guidance:** Brief counseling given to an applicant at the time of registration.
- xiii. **Renewal of Registration:** The process of extension of the period for which registration is valid for the purposes of rendering employment assistance.
- xiv. **Submission:** Forwarding of applicant's particulars to an employer for consideration against a notified, advertised or speculative vacancy.

- xv. **Vocational Guidance:** Assistance given to an individual in solving problems related to vocational planning and for exploring occupational choice and profession with due regard to individual characteristics and their relation to occupational opportunities.
- xvi. **Establishment:** Any office or any place where any industry, trade, business or occupation is carried out.
- xvii. **Establishment in Public Sector:** Any establishment owned, controlled or managed by:
 - a. The Government or a Department of the Government
 - b. A Government company as defined in Section 617 of the Companies Act, 1956.
 - c. A corporation established by or under a Central, Provincial or State act, which is owned, controlled or managed by the Government, and
 - d. A local authority.
- xviii **Establishment in Private Sector:** An establishment which is not in the public sector and where ordinarily twenty five or more persons are employed to work for remuneration.

8.4 Employment Statistics

8.4.1 DGE&T collects employment statistics under the Employment Market Information (EMI) programme. Details of EMI programme giving its objectives, coverage, reference period, organization and limitations of data are given below:

Employment Market Information (EMI) Programme

8.4.2 Objectives:

- (i) To provide information at short intervals about the structure of employment in the public and private sectors at the area, state and national levels and also to monitor changes in the level of employment.
- (ii) To present occupational composition and educational profile of employees in public and private sector establishments.
- (iii) To identify the occupations, which are characteristic to a given industry.
- (iv) To assess manpower shortages in the organized sector.
- (v) To make available information required to improve and add to the services offered by the National Employment Services.
- (vi) To monitor the progress in generating employment during the five year Plans.

Coverage

8.4.3 The EMI programme was initiated in the year 1955 as a pilot project in Delhi, and subsequently extended to selected areas (districts) in various states during the Second Five Year Plan period. The programme acquired statutory status with the enactment of the Employment Exchanges (Compulsory Notification of Vacancies) EE (CNV) Act 1959. The data collected under the EMI programme covers only the organised sector of the economy which inter-alia covers all establishments in the public sector irrespective of their size, and non-agricultural establishments in

the private sector employing ten or more persons. While the information from non-agricultural establishments in the private sector employing twenty five or more persons is collected under the provisions of EE (CNV) Act 1959 data from the establishments employing ten to twenty four persons is collected on a voluntary basis.

8.4.4 Under the EMI programme collection of data is done following the establishment reporting system. The establishments are required to furnish at regular intervals details about the number of persons they employ by sex, vacancies that have occurred and the type of persons, which are in short supply. This information relates only to 'Employers' and 'Employees'. Employers include owners, proprietors, managers, working partners, or directors of firms/ companies who work full time for the firms/ companies.

Geographical Coverage

8.4.5 The EMI programme is being implemented in all the states and union territories of the country except Sikkim, Dadra & Nagar Haveli and Lakshadweep. The programme could not be extended to these states/ UTs so far owing to administrative reasons. The smaller establishments employing ten to twenty four persons in the Private Sector in metropolitan areas of greater Mumbai and Calcutta are also not being covered owing to administrative reasons.

Reference Period

8.4.6 The establishments furnish the EMI data through ER-I and ER-II returns. The form ER-I is used for the collection of information from the establishments at quarterly intervals i.e., 31 March, 30 June, 30 September and 31 December of each year. **ER – II is the Occupational return to be submitted to the Local Employment Exchange once in two years (on a date to be specified by notification in the Official Gazette).**

8.4.7 The reference period for the collection of data covering a specific field of activity like registration, placement, etc. is the calendar year.

Organisation of the Programme

8.4.8 The information collected through ER-I is scrutinized, tabulated and disseminated at the area, state and national levels. The employment exchanges prepare Area Employment Market Reviews to indicate the employment situation in the organized sector within the district. The State Directors of Employment also prepare state level employment reviews showing the employment situation prevailing at the state level. At the national level, employment reviews are prepared annually by the Directorate General of Employment and Training projecting the overall picture of employment in the organized sector in different states/ UTs.

Limitations of EMI Data

8.4.9 The EMI programme does not cover:

- (a) Employment in the un-organised sector.
- (b) Self- Employment
- (c) Part- time employment
- (d) Employment in agricultural and allied establishments, which furnish employment returns only on voluntary basis.
- (e) Employment in household sector and non-agricultural establishments employing less than ten workers in private sector.
- (f) Employment in the defence forces.
- (g) Employment in Indian embassies and missions abroad.

8.4.10 Other limitations of EMI Programme are

- (a) The frame of establishments maintained at local employment exchanges is not comprehensive in certain cases due to non-inclusion of new and emerging establishments.
- (b) There is an element of estimation of employment in respect of non-responding establishments.
- (c) Employment created under various employment/ beneficiary – oriented schemes / programmes viz. NREP, RLEGP, IRDP, TRYSEM, etc. might be erroneously reported under the EMI programme. (Employment Review, 1998 Government of India).

Unemployment Statistics

8.4.11 Details of unemployment statistics are available from the Employment Service Scheme of DGE&T. Current statistics collected by DGE&T from the employment exchanges give an idea of educational and socio-cultural patterns of job seekers and those placed in employment. This also results in indicating the composition of vacancies notified to employment exchanges; age and sex distribution of job seekers; information about newly emerging occupations; shortage and surplus. Notwithstanding the usual constraints of voluntary registration, the data available provide useful indicators to the planners and human resource development agencies.

Coverage and Limitations

8.4.12 The National Employment Service covers all the states and union territories except Sikkim, Dadra & Nagar Haveli and Lakshadweep with a network of 969 employment exchanges as on 31st December 2009. Data from the employment exchanges suffer from action limitations, which arise out of the fact that the employment exchanges are mostly located in urban areas. The job-seekers from the rural areas may find it difficult to register their names with the employment exchanges. Further the registration of applicants with employment exchanges is voluntary in nature. As such, the following limitations of the data may be kept in view, while using the information contained in the related publications:

- (i) All job seekers registered with the employment exchanges are not necessarily unemployed;
- (ii) All job seekers, who are unemployed do not necessarily register themselves with the Employment Exchanges;

- (iii) In some cases there, is a chance of duplication of registration;
- (iv) The job seekers, who find employment through agencies other than employment exchanges, do not always intimate the employment exchanges for deletion of their names from the Live Register.
- (v) Employers do not always intimate the employment exchanges about the selection of candidates even when selection is from the list supplied by Employment Exchanges.
- (vi) There can be cases when job seekers could not renew their cards within the stipulated period and by virtue of their non-renewal, their names get deleted from the Live Register.
- (vii) A number of registrants do have some employment or the other, but are registered for better jobs, particularly, in the public sector.

8.4.13 A survey on the activity status of job seekers registered with the employment exchanges was carried out and a report was published in 1990. On the basis of the survey, it was revealed that as per 'usual status' 32.2% of the job seekers were employed, 55.89 % unemployed and 11.8% pursuing further studies.

Classifications of Job seekers

8.4.14 There are a number of classifications of job seekers on the Live Register of employment exchanges. The distribution of Job Seekers State – wise and year – wise are:

- Age – wise distribution of job seekers
- Category- wise distribution of the job seekers for women, Scheduled Castes / Scheduled Tribes, physical handicapped and minority communities.
- Educated job seekers according to their level of education up to matriculation, higher secondary, secondary and under graduate and graduates for arts, science or related subjects.
- Ex-ITI and full term apprentices
- Occupation group – wise job seekers

Characteristics of Data collected

8.4.15 Different aspects/items of statistics covered under employment service and training by the Employment Directorate of DGE&T are as follows:

1. Year-wise employment service statistics based on the return submitted by employment exchanges (viz. number of exchanges at the end of the year, number of vacancies notified during the year, number of registrations effected during the year, number of placements effected during the year and number of applications on the Live Register at the end of the year.
2. Year-wise applicants on Live Register by board occupational group as per national classifications of occupation,
3. Year-wise educational composition of work-seekers by educational level / faculties.

Perspective Plans

8.4.16 The Employment Directorate of DGE&T is also engaged in preparing the National Employment Policy with the objective to achieve full employment and Employment Exchanges Mission Mode Project so as to upgrade and improve the functioning of employment exchanges in the country. These are discussed as below:

(a) Employment Exchanges Mission Mode Project

8.4.17 The Second National Commission on Labour has recommended that it is important to redefine the role of employment exchanges so as to meet the new challenges. Keeping in view this, the Employment Exchanges Mission Mode Project is an initiative undertaken by the Ministry of Labour and Employment to upgrade and modernize employment exchanges across India. The project aims to develop an integrated National Web Portal for providing effective, speedy and transparent employment related services to the persons registered with employment exchanges. The detailed project proposal has been prepared and the process for seeking necessary approvals is in progress. This project would also ensure a proper balance between the demand and supply of workforce and be helpful in providing accurate and timely labour market information in planning and decision making process.

(b) National Employment Policy

8.4.18 The draft National Employment Policy (NEP) has been prepared in consultation with various Central Ministries / Departments and other stakeholders. The objective of the NEP is to provide a holistic framework towards achieving the goal of remunerative and decent employment for all men and women in the labour force in a sustainable manner. It aims at accelerating employment growth, particularly in the organized sector and improving the quality of jobs in terms of productivity, average earnings and protection of workers in the unorganized sector.

CHAPTER IX

Employment Data

Collected through

Census / Surveys

conducted by

**Development Commissioner, Micro,
Small and Medium Enterprises**

CHAPTER – IX

Employment Data Collected through Census / Surveys conducted by Development Commissioner, Micro, Small and Medium Enterprises

9.1 Introduction

9.1.1 Micro, Small and Medium Enterprises (MSME), including khadi and village / rural enterprises credited with generating the highest rates of employment growth, account for a major share of industrial production and exports. These also play a key role in the development of economy with their effective, efficient, flexible and innovative entrepreneurial spirit. The socio – economic policies adopted by India since the Industries (Development & Regulation) Act, 1951 have laid stress on MSME as a means to improve the country's economy. Subsequently, the enactment of MSME Development Act, 2006 and package for promotion of Micro and Small Enterprises in 2007 are the two important initiatives, which impacted the process of data generation in MSME Sector.

9.1.2 Registration in the MSME sector is voluntary. Effective policy formulation and implementation pertaining to the promotion and development of business entrepreneurship in general and this sector in particular require a sound database. The Office of the Development Commissioner, Micro, Small and Medium Enterprises is entrusted with the responsibility of collection of data pertaining to Small Scale Industries (SSI) / MSME sector. It has conducted four censuses of the registered sector. The first All India Census of 2.58 lakh registered SSI units was conducted in the year 1973-74 by the office of the Development Commissioner (SSIs) in association with state/UT governments. During this census, only 1.4 lakh SSI units were found working. The second All India Census of 9.87 lakh SSI units registered up to 31st March 1988 was conducted during 1990-1992. During this census, only 5.82 lakh SSI units were found working.

9.1.3 The data generated by the Census, with the passage of time, lost its relevance and now requires immediate updation. Third and Fourth Censuses were conducted with provision to cover the unregistered SSI units, in addition to the registered ones. As also, the third All India Census was conducted during 2002-03 for the possible proximate reference year i.e. 2000-01.

9.1.4 The small scale industry sector comprises two sub- sectors, viz., registered SSI sector and unregistered SSI sector. In all the surveys so far conducted by the Office of the Development Commissioner (Small Scale Industries) including the second All- India Census, only the units in the registered SSI sector were surveyed. For the first time in the third All India Census, both the segments of the sector have been covered. Each of these segments consisted of small scale industrial undertakings (SSIs) and small scale service and business (industry related) enterprises (SSSBs). The SSIs are industrial undertakings in which the investment in fixed assets in plant and machinery, whether held on ownership terms or on lease or by hire purchase, does not exceed Rupees 1 crore. The SSSBs are industry related services and business enterprises with investment in fixed assets, excluding land and building up to Rs 10 lakh irrespective of the location of the units. The government decided in 1991 to extend benefits being enjoyed by the SSIs to some of the services not covered by the definition of SSI. The definition of industry related services is, however, not expressly provided for, in the system. However, illustrations are issued from time to time by way of executive institutions for prospective identification of SSSBs. The list of activities eligible

for registration as SSSBEs as on 31-3-2001 (Appendix-I) issued by the Office of the Development Commissioner (small scale industries) was considered in the Third Census.

9.1.5 The main objectives of the third census were:

- i) to update the frame of registered SSI units;
- ii) to identify sick and incipiently sick units with the reasons thereof; and
- iii) to collect other useful information for policy formulation.

9.2 Sample Design

9.2.1 The SSI units registered up to 31st March 2001 were covered on complete enumeration basis. A total of 22.62 lakh units were surveyed; out of which, 13.74 lakh units were found to be working. Since the frame of unregistered SSI units was not available, a two-stage stratified sampling design was used for the survey. The first stage units were the census villages in the rural sector and urban frame blocks in the urban areas. The second stage units (SSUs) were enterprises falling in the unregistered SSI sector.

9.2.2 The economic census, 1998 data made available by the Central Statistics Office containing information on number of units in the non-agricultural sector at village level and urban block level, was used in the exercise of stratification. From the data file of the economic census, data relating to the economic activities for the SSI sector were extracted for preparing the sampling design for the unregistered SSI sector. The data-file (about 79 lakh) was used to identify homogenous size classes for the purpose of stratification. The size was the number of enterprises and the size classes were 0, 1 to 10, 11 to 50, 51 to 200 and 201 and above. These size classes were designated as stratum one to five respectively. A sample size of 2.16 lakh enterprises was fixed for the survey to estimate the population parameters with a margin of error of 3% at all India level with 95% probability. For the FSUs falling in the size class 201 and above, the sample size in each FSU (i.e. no. of SSUs) was fixed at twenty. For the rest of the FSUs in the remaining size classes, the sample size fixed was ten SSUs. Accordingly, the total sample size of 2, 16,000 units was allocated to the size classes. In each FSU, the units falling in the unregistered SSI sector were listed and separated into two sub-strata, viz., SSIs and SSSBEs. The number of enterprises surveyed in each of the sub-strata was proportionate to the size of the sub-strata, subject to a minimum of two.

9.3. Concepts and Definitions:

- i. **Small-scale industries unit** and industrial undertaking in which the investment in fixed assets in plant and machinery, whether held on ownership items, or on lease, or by hire purchase, **does not exceed Rs. 100 lakh** is to be treated as a small scale industrial unit.
- ii. **Registered SSIs:** All SSIs registered permanently with State Directorate of Industries / District industries centres are called registered SSIs. Some SSI units were earlier registered when the upper ceiling unit in plant and machinery was Rs. 300 lakh (Rs. 30 million). These units are also to be treated as registered SSIs.
- iii. **Unregistered SSIs:** All the SSIs not registered permanently with state directorates of industries/ district industries centres are called unregistered SSIs. SSIs that are temporarily registered but not permanently registered are also to be treated as unregistered SSIs.

- iv. **Small Scale Service and Business (Industrial related) Enterprises (SSSBEs):** Industry related service and business related enterprises with investment in fixed assets, excluding land and building up to Rs.10 lakh (Rs. one million) irrespective of the location are to be treated as SSSBEs.
- v. **Registered SSSBEs:** All SSSBEs registered with State Directorates of Industries Centres are called registered SSSBEs.
- vi. **Ancillary Unit:** This is a sub-category of SSIs. An industrial undertaking which is engaged or is proposed to be engaged in i) the manufacturing of parts, components, sub – assemblies, ii) rendering of service or supplying or rendering not less than 50% of its production or its total services, as the case may be, to other units for production of other articles and whole involvement in fixed asset in plant and machinery does not exceed Rs. one crore (Rs. 10 million) is to be treated as ancillary enterprises.
- vii. **Net Worth:** The difference of current assets and current liabilities in each year gives net worth for that year.
- viii. **Working Unit:** As SSI or a SSSBE which has worked at least for one day during the reference period will be treated as working Unit. Otherwise it will be a closed unit.
- ix. **Economic Activity:** Any activity resulting in production of goods and services that add value to the national product is considered as economic activity. Such activity includes production of goods and services for the market i.e. production for profit and the production of primary consumption and own account production of fixed assets. Activities like prostitution, begging, smuggling may result in earnings but are not by convention considered as economic activities.
- x. **Fixed Assets:** Fixed assets are assets held for the purpose of producing or providing goods/services such as land, building, plant and machinery, transport equipments, tools and other assets that have a normal economic life of more than one year from the date of acquisition through outright purchase/ hire purchase/ loans/ mortgage/ construction regardless of their use. They are not held for resale in the normal course of entrepreneurial activities.
- xi. **Plant and machinery:** Plant is generally the name given to an assembly by machinery/ equipment/ devices installed or the operation of entrepreneurial activities.
- xii. **Employment:** This relates to all persons engaged by the unit whether for wages or not, in the work connected directly or indirectly with the entrepreneurial activity and includes all administrative, technical and clerical staff as also labour in production of capital assets for factory's own use. It also includes all working proprietors and their family members who are actively engaged in the work of the unit even without any party and the unpaid members of the co-operative societies who work for the unit in any direct or production capacity.
- xiii. **Fixed Premises:** Units operating in fixed premises are only considered *prima facie* as belonging to the SSI sector like (i) in a haat (periodical market) there are some permanent structures belonging to Panchayats or local bodies. The entrepreneurs occupy them on haat days and carry out their activities. There will be considerable activities without fixed premises; ii) the activities carried on by the roadside or in open public places such as under a bridge or a tree with temporary makeshift shelter or no structure at all, are deemed to be carried out without fixed premises; (iii) brick kilns, pottery with a fixed site will always be identified at their sites. These are to be treated as being operated in fixed premises.

- xiv. **Mixed Activity:** These are enterprises, which carry out a number of activities simultaneously. For example, a grocery shop owner may also sell oil from his own *ghani*, a doctor may have a medical shop attached to his dispensary, a restaurant may run an STD booth in its premises. Each such activity is to be treated as a separate enterprise if information for them is separately available. If the accounts are not separable, then the data pertain to the enterprise as a whole.
- xv. **Sickness/ Incipient Sickness:** The definition of sickness in the SSI sector has been changing over time. The RBI has appointed a committee from time to time to look into these issues. The latest definition given by the working group on rehabilitation of sick units set up by RBI is given below:

A small-scale industrial unit is considered as sick when;

- a. If any of the borrower accounts of the unit remain sub-standard and for more than 6 months, i.e. Principal or interest, in respect of any of its borrower accounts has remained overdue for a period exceeding one year will remain unchanged even if the present period for classification of an account as sub-standard is reduced in due course;
- b. There is erosion in the net worth due to accumulated losses to the extent of 50% of its net worth during the previous year; and the
- c. Unit has not been in commercial production for at least two years.

9.4 Scope and Coverage

9.4.1 The third census covered all units, under the purview of the Small Industries Development Organisation (SIDO) permanently registered up to 31 March 2001, on a complete enumeration basis, whereas the unregistered units were covered through sample survey in the selected 19,766-villages/urban blocks. About 19,000 persons conducted the field operations, from November 2002 to April 2003. After removing the duplicate records, it was found that a number of 19, 579 villages / urban blocks were surveyed by the State Directorates of Industries, out of which data for both FSUs and SSUs were received in respect of 19,278 only. For the remaining 301-villages / urban blocks, data for FSUs were received but the data for SSUs was not received. The size of the SSI units was estimated to be 91.46 lakh, which comprised of 38.75% of SSI and 61.25% of Small Scale Services Business Enterprises (SSSBE) in the conduct of the survey of unregistered SSI Units in the Third Census.

9.5 Data Collection

9.5.1 Information on economic activity, type of organizations, type of management, employment, fixed investment, products, gross output, exports, sickness and its causes, was collected from the registered units as well as unregistered units. Data thus collected related to the reference year 2001-2002. The data collection formats were designed to suit scanning and data extraction using Intelligent Character Recognition (ICR) Technology. The entire data were collected in three formats. Format-1 pertains to information on registered units, whereas formats-2 & 3 relate to information about the unregistered SSI sector. The enumerators identified all the visible non-agricultural

enterprises and then listed the unregistered SSI units in the selected villages/urban blocks. Out of listed units, a few selected at random were subjected to detailed survey on the same lines as the registered units. The enumerators report these details in format – 3 and the data formats were put to data processing and validation.

9.5.2 Recommendations given in Third All-India Census:

- Measures must be taken for eliciting better co-operation from the informants and coordination among the centre and state level functionaries, including advertisement and publicity measures.
- Steps must be taken in future to avoid the existing design in the frame.
- Steps must be taken to direct conduct of census by addressing administrative, technical, financial and other related aspects.
- In the absence of actual figure of units working in the sector, it is very difficult to ascertain the growth of SSIs.
- Details of products manufactured, the standard of product and their manpower, -may be collected and put in a statistical form.
- Effort should be made to identify units so that they can be reviewed.
- Steps have to be taken to ascertain the actual reason for having large numbers of unregistered units.

9.5.3 Further, the efforts must be made to encourage more and more entrepreneurs to come forward for registration so that benefits may reach maximum units. By bringing them into the fold of registration, their contribution to the economy will be assessed and the importance of the sector will also be demarcated.

9.6 Fourth All India Census of Micro, Small and Medium Enterprises (2006-07)

Objective:

9.6.1 The main objectives of the fourth census were:

- i) to strengthen the database for registered MSME sector – statistics and information to be collected in respect of number of units, employment, production, extent of closure/sickness and other relevant economic parameters to micro, small and medium Enterprises;
- ii) to obtain data on enterprises owned and/or managed by women and other social categories;
- iii) to collect the information on Khadi and Village Industry Units set up under Rural Employment Generation Programme (REGP) & Coir sector schemes and the units registered under Prime Minister's Rozgar Yojana (PMRY); and
- iv) to estimate the size of the unregistered MSME sector, including Khadi and Village Industries and coir industries.

Coverage of Enterprises

9.6.2 The coverage of MSME enterprise is as follows:

A. Registered Enterprises

- (a) All the micro and small enterprises permanently registered with State DICs up to 31st March 2007 with investment in plant & machinery / equipment more than Rupees one crore and up to Rupees five crore
- (b) Medium enterprises with investment in plant & machinery / equipment more than Rupees five crore and up to Rupees ten crore registered with Chief Inspector of Factories / Inspector of Factories under section 2m (i) and 2m (ii) of Factories Act, 1948 (i.e. ASI frame of CSO),
- (c) Khadi and village industries units registered with KVIC / KVIB and coir units registered with Coir Board.

B. Unregistered Enterprises

9.6.3 The unregistered MSME enterprises for the purpose of conduct of fourth census can be defined as the set of all those units, which are eligible to be registered as on 31st March 2007, but are not permanently registered because the registration is voluntarily. Those enterprises that are temporarily registered as on 31st March 2007 but not permanently registered are also to be treated as unregistered SSIs.

9.7.4 The fourth Census covered the registered enterprises in MSME sector through complete enumeration and the unregistered enterprises in MSME, Khadi, Village and Coir sector through sample survey in all States / UTs.

9.6.5 Since the frame of unregistered MSME enterprises was not available, a two-stage stratified sampling design was used for the survey. The first stage units were the census villages in the rural sector and urban frame blocks in the urban areas. The second stage units (SSUs) were enterprises falling in the unregistered MSME sector. So the frame of the economic census, 2005 prepared by the Central Statistics Office for selection of urban blocks and villages as First Stage Units (FSU).

9.6.6 The coverage of both the registered and unregistered enterprises together will give a total picture of MSME sector.

Concepts and Definitions:

9.6.7 Fourth Census was initiated by the Office of Development Commissioner, MSME with the revised definition of MSMEs. The Fourth Census with reference year 2006 – 07 was launched by the Office of Development Commissioner, MSME in association with State Governments and Union Territories Administrations with effect from May 2008. , It happened to be the first attempt to assess magnitude and features of the newly defined MSME Sector. Under the Micro, Small and Medium Enterprises Development Act, 2006, the enterprises have been broadly categorized into those engaged in (i) manufacturing and (ii) providing / rendering of services. Both categories have further been classified into micro, small and medium enterprises as below:

9.6.8 **Manufacturing Enterprises:** In the case of enterprises engaged in manufacturing or production of goods pertaining to any industry specified in the First Schedule to the Industries (Development & Regulation) Act 1951, as –

- (a) A **micro enterprise**, where the investment in plant and machinery does not exceed Twenty Five Lakh Rupees;
- (b) A **small enterprise**, where the investment in plant and machinery is more than Twenty Five Lakh Rupees but does not exceed Five Crore Rupees;
- (c) A **medium enterprise**, where the investment in plant and machinery is more than Five Crore Rupees but does not exceed Ten Crore Rupees;

9.6.9 **(Service Enterprises:** In the case of enterprises engaged in providing or rendering of services, as:

- (a) A **micro** enterprise, where the investment in equipment does not exceed Ten Lakh Rupees;
- (b) A **small** enterprise, where the investment in equipment is more than Ten Lakh Rupees but does not exceed Two Crore Rupees;
- (c) A **medium** enterprise, where the investment in equipment is more than Two Crore Rupees but does not exceed Five Crore Rupees;

9.6.10 **Registered Enterprises:** All enterprises engaged in the activities of manufacturing or in providing / rendering of services, registered permanently or filed Entrepreneur's Memorandum (EM) with State Directorates of Industries / District Industries Centres as on 31st March 2007, are called registered enterprises.

9.6.11 **Unregistered Enterprises:** All enterprises engaged in the activities of manufacturing or in providing / rendering of services, not registered permanently or not filed Entrepreneur's Memorandum (EM) with State Directorates of Industries / District Industries Centres as on 31st March 2007, are called unregistered enterprises. Those enterprises that are temporarily registered as on 31st March 2007 but not permanently registered are also to be treated as unregistered SSIs.

9.6.12 **Use of Annual Survey of Industries frame for extracting small and medium enterprises:** Further in order to cull out the enterprises with enhanced limits in Plant & Machinery, it was decided to make use of units registered under section 2m (i) and 2m (ii) of the Factories Act, 1948 being maintained by Central Statistics Office for Annual Survey of Industries (ASI). For the first time, all the enterprises under ASI frame have been surveyed so as to find out the relevant enterprises. Following criterion were adopted for segregation / removal of non-MSME enterprises from ASI frame:

- (i) All the public sector undertakings / enterprises are not to be surveyed.
- (ii) All the enterprises, where investment in fixed assets in plant and machinery exceeds Ten Crore Rupees are to be excluded.
- (iii) All the enterprises registered with DICs or with KVIC / KVIB / Coir Board are to be excluded
- (iv) Survey of Khadi and Village Industries, Agro and Rural Industries and Coir industries

9.6.13 **Village Industries:** Any village industry (except those mentioned in the negative list) located in rural areas, which produces any goods or renders any services with or without the use of power and in which the fixed capital investment per head of a full time artisan or worker does not exceed Rs.50000/-.

9.6.14 **Rural Area** is defined as any area classified as village as per revenue record of the State, irrespective of the population and it also includes an area even if classified as town, provided its population does not exceed 20,000.

9.6.15 **Coir Industries:** The industries engaged in producing coir products like mats and matting carpets, ropes and other articles manufactured wholly or partly from coir or coir yarn.

9.6.16 **Unregistered MSME Sector:** All the unregistered enterprises engaged both in manufacturing and services constitute the unregistered MSME sector, as explained below:

- (a) The manufacturing and services enterprises that are temporarily registered on or before 31st March 2007 with State Directorate of Industries (SDIs) / District Industries Centres (DICs) as also the enterprises that are permanently registered after 31st March 2007 with SDIs / DICs is treated as unregistered for the conduct of this survey.
- (b) All the enterprises that are not registered under section 2m (i) and 2m (ii) of Factories Act, 1948 with the Chief Inspector of Factories (CIF) / Inspector of Factories (IF) on or before 31st March 2006 as also the enterprises that are permanently registered after 31st March 2006 till the date of survey with CIF / IF of the States / UTs and not registered with SDIs / DICs till the date of survey is treated as unregistered for the conduct of this survey.
- (c) All the khadi & village industries and coir industries that are not registered on or before 31st March 2007 with KVIC / KVIB / Coir Board, SDIs / DICs and CIF / IF under section 2m (i) and 2m (ii) of Factories Act, 1948 till the date of survey is treated as unregistered for the purpose of this survey

9.6.17 **Ancillary Unit:** This is a sub – class of micro, small and medium enterprises. An industrial undertaking, which is engaged or is proposed to be engaged in i) the manufacturing of parts, components, sub – assemblies, tooling or intermediates or ii) rendering of service, and supplying or rendering not less than 50% of its production or its total services, as the case may be, to other enterprises for production of other articles and whose investment in fixed asset in plant and machinery does not exceed Rupees Ten Crore (Rupees 100 million) is to be treated as ancillary enterprise.

9.6.18 **Gross Output:** It comprises total ex-factory value / gross sale value of products and by-products manufactured as well as other receipts such as receipts from non-industrial services rendered to others, work done for others on material supplied by them, value of electricity produced and sold, sale value of goods sold in the same condition as purchased, addition in stock of semi-finished goods and own construction.

9.6.19 **Total input:** It comprises total value of raw materials consumed, total value of fuels consumed and other expenses. Other expenses include the following:

- (i) Cost of contract and commission work done by others on material supplied by the unit
- (ii) Cost of repair and maintenance of fixed assets
- (iii) License fees, cess and other local taxes (other than excise and other indirect taxes)
- (iv) Rent payable on all fixed assets (other than land and building)

(v) Paper, printing and stationery expenses and communication expenses.

9.6.20 **Gross Value Added:** The difference of gross output and total input in each year gives gross value added for that year.

9.6.21 **Net Worth:** The difference of current assets and current liabilities in each year gives net worth for that year.

9.6.22 **Working Enterprise:** The working enterprise is defined as the enterprise, which is either engaged in process of production of goods / services or it is functional with no production during the reference period. Enterprise should be treated as closed, only when Owner / Occupier / Manager / Informant declares it as closed with no production during 2006 – 07 or prior to the reference period.

9.6.23 **Duration of Operation:** It is number of months; the enterprise was engaged in the process of production of goods / services during 2006 – 07.

9.6.24 **Cluster & Perceived Advantages to Enterprises:** It has been observed that some area, like some street / lane in the district or town or block or village; or whole district / town / block / village is known to be producing the same type of product and / or providing / rendering of services by a sizable number of micro / small enterprises. This type of area is called cluster and is known by the name of that area, which may be 'Natural Cluster'. The cluster developed through schemes / programmes by the Central / State Governments would be called 'Artificial Cluster'

9.6.25 **Perceived Advantage in being part of cluster:** The advantages in being part of the cluster are as follow:

(i) Procurement of Raw Material (ii) Credit facility available as a group (iii) Availability of skilled manpower (iv) Technology upgradation facility (v) Access to market (vi) Warehousing facilities (vii) Transport facilities, (viii) Knowledge of export potential and facilities, etc.

9.6.26 **Economic Activity:** Any activity resulting in production of goods and services that add value to the national product is considered as economic activity. Such activity include production of all goods and services for the market i.e. production for pay or profit and the production of primary commodities and own account production of fixed assets among the non – market activities. The activities like prostitution, begging, smuggling etc. may result in earnings but are not, by convention, considered as economic activities.

9.6.27 **Fixed Assets:** Fixed assets are assets held for the purpose of producing or providing goods / services such as land, building, plant and machinery, transport equipments, tools and other assets (new or used) that have a normal economic life of more than one year from the date of acquisition through outright purchase / hire purchase / loans / mortgage / construction regardless of their use. They are not held for resale in the normal course of entrepreneurial activities.

9.6.28 Further, full value of assets taken on hire purchase / installments (whether fully paid or not) excluding interest should be considered. Intangible assets like goodwill etc. are excluded. Advance payments made for fixed assets not yet received should not be considered. The information to be recorded here is by physical approach. Fixed assets owned but rented out are not to be accounted

for. Additions to the fixed assets during the reference period are to be included. For the enterprises, which has not yet started providing service and is engaged in the process of installation, fixed assets will be fully considered.

9.6.29 **Plant and machinery:** Plant is generally the name given to an assembly of machinery / equipment / devices installed or the operation of entrepreneurial activities.

9.6.30 **Employment:** It is comprised of own account workers, direct workers or contract / casual workers, which contribute in production or rendering of services. Employment is directly related to the factors of production viz. 'Labour'. Data on total employment, segregated figure on gender and social categories are to be collected.

9.6.31 **Total Wage Bill:** The payments made to the workers in cash and / or kind, which include the salaries / wages, allowances, bonus etc.

9.6.32 **Outstanding Loan:** Any borrowing in cash or kind to be repaid is to be treated as loan. The purpose of the loan should be for the use of enterprise only. Outstanding loan is the amount of loan taken including interest that is outstanding on the closing day of the reference period. This includes all loans, whether short term or long term, whether interest bearing or not.

9.6.33 **Fixed Premises:** Enterprises operating in fixed premises are only considered *prima facie* as belonging to the MSME sector. The following illustrations will make the concept of fixed premises clear.

- (i) In a haat (periodical market) there are some permanent structures belonging to Panchayats or local bodies. The entrepreneurs occupy them on haat days and carry out their activities. These will be considerable activities without fixed premises;
- (ii) the activities carried on by the roadside or in open public places such as under a bridge or a tree with temporary makeshift shelter or no structure at all, are deemed to be carried out without fixed premises;
- (iii) Brick kilns, pottery etc. having fixed site (with or without structure) will always be identified at their sites. Hence these are to be treated as being operated in fixed premises.

9.6.34 **Mixed Activity:** These are enterprises, which carry out a number of activities simultaneously. For example, a grocery shop owner may also sell oil from his own *ghani*, a doctor may have a medical shop attached to his dispensary, a restaurant may run an STD booth in its premises etc. Each of such activity is to be treated as a separate enterprise if information for them is separately available. If the accounts are not separable, then the data pertain to the enterprise as a whole.

In case of mixed activity of manufacturing and trade such as handloom weavers, sweetmeat shops, by convention, manufacturing will be taken as the major activity.

9.6.35 **Sickness/ Incipient Sickness:** The definition of sickness in the MSME sector has been changing over time. The RBI has appointed a committee from time to time to look in to these issues. The latest definition given by the working group on rehabilitation of sick units set up by RBI (Kohli Committee) is given below:

“A small-scale industrial unit is considered as ‘sick’

if any of the borrower accounts of the unit remain sub-standard for more than 6 months, i.e. principal or interest, in respect of any of its borrower accounts has remained overdue for a period exceeding one year will remain unchanged even if the present period for classification of an account as sub-standard is reduced in due course;

OR

There is erosion in the net worth due to accumulated losses to the extent of 50% of its net worth during the previous year;

AND

Unit has not been in commercial production for at least two years”.

9.6.36 The criterion to identify sick / incipient sick units is as follows:

- (i) Continuous decline in gross output compared to the previous two financial years;
- (ii) Delay in repayment of loan taken from institutional resources for more than twelve months; and
- (iii) Erosion in the net worth to the extent of 50 percent of the net worth during the previous accounting year.

9.6.37 The units satisfying one or more of the above criterion is to be treated as not having been run satisfactorily and is to be reported with reasons.

Survey Design:

A. Registered Sector:

9.6.38 In all a total of 24.01 lakh enterprises were surveyed on complete enumeration basis, which comprised 21.04 lakh enterprises registered with District Industries Centres of the States/ UTs; 2.15 lakh registered under section 2m (i) and 2m (ii) of Factories Act, 1948 (i.e. ASI frame of CSO); 0.73 lakh enterprises registered with Khadi and Village Industries Commission / Board and 0.09 lakh coir units. Of the above 22.48 lakh enterprises were found to be relevant to MSME, of which 15.64 lakh enterprises were found working, 4.96 lakh units permanently closed and 1.88 lakh units were non-traceable. Further, the response of a small number of 0.21 lakh enterprises (i.e. 1.37% only) out of the 15.64 lakh working enterprises approached for data collection, did not provide the requisite data. In order to account for the non-responding working enterprises, a multiplier after taking into account the proportion of units, which are permanently closed and non-traceable, was applied at the district level.

B. Unregistered Sector:

9.6.39 Since the frame of unregistered SSI units was not available, a two-stage stratified sampling design was used for the survey. The first stage units were the census villages in the rural sector and urban frame blocks in the urban areas. The second stage units (SSUs) were enterprises falling in the unregistered SSI sector.

9.6.40 During the conduct of survey, it was found that Number of enterprises in town was not properly filled at the time of listing of the establishments while filling up the Format-II schedule. Due to this, the estimate of total enterprises in urban sector was observed to be very low. In order to sort out this problem, a list of enterprises for rural and urban sector comparing with Economic Census 2005 data was prepared which clearly showed that there is big difference of enterprises between EC and Unregistered Census. In case of Town, one alternative was to get the correct number of enterprises in each town asking all DICs to provide the same at the earliest. As a second alternative, data file having the list of establishments from the Economic Census 2005 relating to economic activities for SSI sector were extracted for preparing the sampling frame / design for the unregistered SSI sector and use the number of enterprises of the EC 2005 for concerned town to compute the multiplier. The economic census, 2005 data made available by the Central Statistics Office containing information on number of units in the non-agricultural sector at village level and urban block level, was also used in the exercise of stratification.

Data Collection

9.6.41 Information on economic activity, type of organizations, type of management, employment, fixed investment, products, gross output, exports, sickness and its causes, was collected from the registered units as well as unregistered units. Data thus collected related to the reference year 2006-2007. The data collection formats were designed to suit scanning and data extraction using Intelligent Character Recognition (ICR) Technology. The entire data were collected in three formats. Format-1 pertains to information on registered units, whereas formats – 2 & 3 relate to information about the unregistered SSI sector. The enumerators identified all the visible non-agricultural enterprises and then listed the unregistered SSI units in the selected villages / urban blocks. Out of listed units, a few selected at random were subjected to detailed survey on the same lines as the registered units. The enumerators report these details in format – 3 and the data formats were put to data processing and validation.

9.6.42 These data were merged and scrutiny checks were applied to clean the data. Auto-correction carried out on the data which could not be corrected through scrutiny. The computation of Multiplier was done for estimation of different variables in the unregistered sector.

9.6.43 The trial tables have been generated with multiplier computed as per tabulation plan. The table formats, included in 4th Registered and 3rd Unregistered Census are being used and the final tables are being generated. Finally, the Report on Unregistered 4th Census would be prepared and released by March 2012.

Chapter – X

**Employment and Unemployment Data of
Technical Personnel
Collected through
National Technical Manpower
Information System
of
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10.1 Introduction

10.1.1 The need for a database relating to skilled manpower, of which engineering manpower is a major constituent arose with the attainment of Independence in 1947 and the commencement of the planning era in 1951. The immediate concern of the planning process was to make available the number of engineers and scientists needed for accelerating the development of industries, irrigation and power, etc. Initially the approach was ad-hoc in nature rather than systematic and comprehensive covering various issues. In the first stage of India's planning efforts, many adhoc committees were formed for examining the requirements of knowledge and skill for supporting the various programmes of socio-economic development. In this regard, a beginning was made with an Engineering Personnel Committee, which drew attention to the problems of co-ordination in the manpower field and emphasized the need for the setting up of permanent machinery for focusing attention on manpower problems and for ensuring that a coordinated and authoritative manpower policy was laid down. The Planning Commission recommended the setting up of

- an authority which would lay down policies in regard to the effective utilisation of personnel; and
- a suitable organization which would execute these policies.

10.1.2 This was with the approval of the Cabinet, resulting in the setting up of the Directorate of Manpower in the Ministry of Home Affairs in November 1956. A Committee of the Cabinet was set up to consider the problem of manpower in an integrated manner with the Directorate of Manpower serving as the Committee's secretariat. The Committee was wound up in 1962 when IAMR was mandated.

10.1.3 In 1957, an informal Steering Group on Manpower was established with the representatives of the Planning Commission, Labour, Scientific Research and Cultural Affairs, Commerce and Industry to coordinate the work done in different ministries and departments. In 1962, this Steering Committee was strengthened by including the representatives of important ministries involved in manpower planning, administration and development. In order to strengthen the arrangements for manpower planning and for achieving greater co-ordination in work connected with manpower planning and for the subsequent Five Year Plans, arrangements were made in 1965, whereby the Directorate of Manpower began functioning as the Manpower Division of the Planning Commission. The Government of India also advised, during the Third Five Year Plan Period, all the Departments of Ministries and State Governments for setting up manpower cells for bringing awareness of manpower aspects in the policies and programmes of the Government. Each Ministry designated one of its senior officers as Manpower Officer for the purposes of maintaining liaison with the Manpower Directorate. In the States, the arrangements for manpower planning were inadequate up to 1973. In some states the manpower machinery was well established whereas in some others manpower cells started functioning after the State Manpower Officers Conference in 1972. These manpower cells were set up under the Planning Department so that the

Five Year Plans of the States could take care of manpower aspects at the stage of the preparation of State Plans. Under the Sixth Five Year Plan programme, the Technical Education Directorate of each State had been advised to set up manpower cells under the Technical Education Director. A scheme for setting up a District Manpower Employment Generation Council had also been adopted. In addition to the formal instruments, the All India Council for Technical Education have also been taking account of manpower aspects while developing programmes for education was set up by the Ministry of HRD in 1983 in the All India Council for Technical Manpower System under the Sixth Five Year Plan for developing data and insights which has been relevant for long-term planning of technical education in the country with Institute of Applied Manpower Research (IAMR) as the national Lead Center (NTMIS Bulletin 2005).

10.1.4 The aim was to generate and maintain a reliable database with all relevant information needed for planning and administration of technical education. The NTMIS comprises, besides the Lead Centre at the Institute of Applied Manpower Research, Delhi, a total of 21 nodal centres including 17-selected reputed academic institutions / directorates of technical education and training for maintaining the supply side and four regional boards of apprenticeship training for tracking the demand side.

10.1.5 Technical manpower is generated by various technical institutions, professional bodies, university departments and industries. They are mainly absorbed in the State and Central Government organizations, private and public sector enterprises, and some local bodies of the country. Some of them seek better opportunities abroad or get self-employed. Earlier, NTMIS activities were confined only to postgraduates, graduates and diploma holders in engineering. Later, disciplines such as management, pharmacy and hotel management and catering technology were included under the National Technical Manpower Information System (NTMIS).. (National Seminar 15-16 April, 2004).

10.1.6 With regard to engineers, the intended full fledged information system and database presently produces reports and efforts are on to develop the national database at IAMR. The NTMIS data cover enrolment, outturn, utilization, participation behaviour, It is capable of bringing out for each State by discipline, the pattern of flow of graduates into different industrial activities and functional areas, and extent of employment. The NTMIS data also keep information collected from employers of engineers regularly, which is capable of yielding estimates of various ratios and parameters necessary for projecting demand and supply behaviour with respect to different categories of engineering degree and diploma holders.

10.1.7 An organized information system with respect to scientific manpower has not been built yet and for all purposes one has to depend on data provided by various official agencies. Presently, only agencies like the University Grants Commission (UGC), Council for Scientific and Industrial Research (CSIR), Association of Indian Universities (AIU) provide such data. The Ministry of Human Resource Development, which in the past used to collect and publish educational statistics, has now stopped doing that. The data provided by the agencies are not current, complete and sometimes not even regular. No agency provides data on utilization of scientific manpower.

10.2 Objectives of NTMIS

10.2.1 The objectives of National Technical Manpower Information System are as under:

- Estimation of short-term and long-term requirements of different categories of engineering and technical manpower in different fields with branches of specialization;
- Estimation of supply of different categories of engineering and technical manpower on the basis of existing intake and outturn figures;
- Collection and analysis of data to match the requirements with facilities for education and training;
- Provision of forecasts about adequacy or the shortage of manpower requirements in the future years and consequently about the adequacy of the current enrolment rate;
- Undertaking studies for assessment of future needs and for giving indicators about the specialized areas and fields requiring urgent attention for expansion of facilities for education and training; and
- Assessment of and anticipated gaps in demand and supply position in the present and in the future years.

10.3 Organisation of NTMIS

10.3.1 It was laid down in the scheme that in order to realize its objectives, the proposed manpower information system should cover manpower information at the level of unit, establishment, district, state, national and in terms of groups of engineering manpower and also in terms of assessment techniques; that to achieve this end, the system should perform three basic functions.:

- (a) Storage of information,
- (b) Updating and dissemination of stored information.
- (c) Retrieval of stored information for undertaking various studies to make assessment and forecasts.

10.3.2 It was also suggested that the operation under the system should consist of collection, scrutiny, identification, indexing, standardization of codes and tabulations, procedures, storage and transmission of required information. The system comprised the IAMR; the Ministry of Education, (Technical Education Bureau); four Regional Boards of Apprenticeship Training and a number of nodal centres. It was laid down that IAMR would be the lead centre; the Ministry of Education, the Technical Manpower Information Cell; and the Regional Engineering and other selected institutions, the nodal centres. (NTMIS Bulletin: 2005).

10.4. Data Collection

10.4.1 NTMIS collects data from three respondent groups:

- Graduates and diploma holders of academic programmes;
- Engineering educational institutions which produce such graduates;
- Users of technical manpower in the central and state government departments and organizations and industrial establishments located in public and private sectors.

10.4.2 Data collection is directed to provide insight into demand and supply situations – both current and prospective – of different categories of engineering and technical manpower and to facilitate identification of policy options in the field of engineering education at the state and national levels. (NTMIS Bulletin: 2004).

10.5 NTMIS Outputs

10.5.1 The NTMIS provides the following information routinely:

- (i) Annual size of employment and its changes over years
- (ii) Technical manpower employed and changes over years
- (iii) Technical manpower of a particular subject employed and changes over years
- (iv) Speed of employment of different technical subjects
- (v) Migration of technical manpower in different states of the country for education and employment and first employment characteristics (flow to different industries, occupations, salary grades, employment status etc.) ((Feasibility Report: 1996)

10.6 Scope and Coverage

10.6.1 Graduates of all courses of polytechnics, engineering colleges including IITs and technical departments under general and technical universities are being covered. In effect, the flow structure in respect of all courses of technical education, separately for diploma, graduation and post-graduation, is being developed under the programme. These are being separated by States so that a State-wise pattern is readily discernible.

10.6.2 Under the database for the stock magnitudes all polytechnics, colleges including IITs and technical departments under the universities are being covered as part of the academic sector under the socio-economic sectors, all central and state government departments and organizations, which are known to employ engineers, are being covered. All public sector establishments and major private sector establishments expected to employ three or more graduate engineers, are also being covered.

10.6.3 Until 2001-02, NTMIS was covering only engineering manpower. The managerial manpower, pharmacists, hotel management and catering technology (HMCT) manpower have also been included from the year 2002-2003.

10.7 Investigation and Analytical Methodology

10.7.1 The core of the information system is sourced from the data leading to generation of the annual flow rates in respect of graduates of each course of technical education. The changes in the stock dimension are dependent on the flow rates, and therefore, estimates of stocks at any instant of time can be obtained from knowledge about stocks at previous points of time and of the flow rates. The flows, which are of concern, occur after individuals obtain their graduation certificates. Therefore, details in these respects are not available with the institutions where individuals study. The institutions only have knowledge of the names of the individuals who passed that examination and their addresses.

10.7.2 Addresses of all graduates of different courses are gathered every year from all the colleges and polytechnics in the country. A graduate of a course is contacted after two years of graduation. The responses received are sorted out for developing for each state the flow rates separately for each course and level of education.

10.7.3 In a separate exercise, samples are drawn from the cases, which do not respond to postal enquiry, and direct investigation is resorted to for obtaining information from the sample cases. The sample data are then adjusted to build estimates of flow rates for the non-responding population. The estimated flow rates for the responding and non-responding population are then combined for developing state-wise flow rates of each course.

10.7.4 Information is also being generated through compilation of information received from graduates. On the basis of information gathered from the graduates, proportions of each cohort being absorbed in employment within one year, two years and so on till all are absorbed after graduation are being estimated. The stock based figures relate to the colleges and socio-economic establishments. Separate questionnaires are canvassed with all technical institutions and socio-economic establishments for data on the required stock (NTMIS: 2005).

10.8 Dissemination of Data

10.8.1 Various reports are brought out using the data generated in the data bank under NTMIS. These reports analyse current labour market conditions for different categories of engineers. The reports are brought out, state-wise, routinely presenting the following information:

- Annual supplies of engineers
- Annual absorption in economic activities
- Extent of unemployment
- Flow of graduates of different categories to different sectors
- Extent of shortage of teachers at the degree and diploma level institutions
- Practices occupying engineering position.

10.8.2 The information generated under NTMIS is disseminated through the following publications:

- i) Quarterly NTMIS bulletins (this series discontinued in 2005 will be revived in 2008)
- ii) Annual Technical Manpower Reviews, State-wise engineers: In series
- iii) Career Options in Engineering Occupations: In series
- iv) Technical Manpower Profile India and States: Quinquennial.
- v) Issue Based Studies
- vi) Facilities for engineering education and labour market for engineers.

10.9 Who are the users?

10.9.1 The users of the National Technical Manpower Information are :

- i) Policy Planners and Administrators

- ii) Educational Institutions
- iii) Parents and Students
- iv) Industries and
- v) Researchers.

10.9.2 Educational planners use the information for taking decisions regarding capacity expansion in engineering education, introduction of new courses, modifications of curricula, improvement in the quality of teaching input and other infrastructure facilities.

10.9.3 Employment planners use the information for taking decisions regarding avenues of employment, strategy for employment generation etc. Parents and students use the information for knowing about the employment market for different courses in engineering, facilities available for different courses, admission procedures etc. (NTMIS Bulletin: 2004)

Central Statistics Office

Chapter – XI

**Comparative Disposition in Definition of Worker
or Measuring Employment in different Surveys /
Censuses conducted by various Statistical
Organizations / Institutions in India**

Chapter – XI

Comparative Disposition in Definition of Worker or Measuring Employment in different Surveys / Censuses conducted by various Statistical Organizations / Institutions in India

11.1.1 The definitions of workers, employees or for measuring employment of persons engaged in economic activity, which are in different surveys / census would be of great interest to many research scholars, academicians, and even for government official engaged in policy formulation for generating employment. The definitions of workers or persons as employed vary from surveys / censuses conducted following household approach or the establishment approach. The person employed through household approach followed in respect of employment and unemployment survey conducted by NSSO and Population Census by the Office of Registrar General of India includes all types of workers i.e. self employed persons as well as salaried class persons. On the other hand information collected from the enterprises or establishments basically relate to the employees on wages, though it may include the family members even without wages. So the worker' definition in such establishment surveys conducted by DGE&T, Ministry of Labour & Employment; Ministry of Medium, Small and Micro Enterprises; Economic census and Annual Survey of Industries conducted by CSO / NSSO are more or less similar, which concern the wage employees. However, the National Technical Manpower Information System (NTMIS) of Institute of Applied Manpower Research (IAMR) collects data for employment of engineering and technical manpower.

11.1.2 The comparative disposition in definition of worker or measuring employment in different surveys / censuses conducted by various statistical organizations / institutions in India is narrated as below:

<p>A. Quinquennial Survey on Employment and Unemployment conducted by National Sample Survey Office (NSSO)</p>	<p>The persons surveyed during the conduct of Quinquennial Survey on Employment and Unemployment by National Sample Survey Office (NSSO) were classified into various activity categories on the basis of the activities pursued by them during certain specified reference periods. Three reference periods for these quinquennial surveys are: (i) one year, (ii) one week, and (iii) each day of the reference week. Based on these three periods, three different measures of activity status were arrived at, which are termed as 'usual status', 'current weekly status' and 'current daily status' respectively. The procedure adopted to arrive at 'usual status', 'current weekly status' and 'current daily status' are elucidated as below:</p> <p>Usual Activity Status</p> <p>Labour Force: To decide the principal usual activity of a person, he / she is categorized as those in the labour force comprising, who is either (i) (a) 'working i.e. employed' or (i) (b) 'seeking or available for work i.e. unemployed' and those (iii) not in the labour force depending on the basis of major time spent during the 365 days preceding the date of survey.</p> <p>Persons, who are neither 'working' nor 'seeking or available for work' for various reasons during the reference period are considered as 'not in labour force'.</p>
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Usual Subsidiary Economic Activity Status

A person whose principal usual status is determined on the basis of the major time criterion could pursue some economic activity for a relatively shorter time during the reference period of 365 days preceding the date of survey or for a minor period, which is less than 30 days (not necessarily for a continuous period) during the reference year. The status, in which such economic activity is pursued, is the subsidiary economic activity status of that person.

Usual Activity Status considering Principal and Subsidiary Status taken together

The usual status, determined on the basis of the usual principal status and usual subsidiary economic activity of a person taken together, is considered as the usual activity status of the person and is written as usual status i.e. principal status plus subsidiary status (ps+ss). Accordingly to the usual status (ps+ss), the workers are those who perform some work activity either in the principal status or in the subsidiary status. Thus, a person who is not a worker in the usual principal status is considered as worker according to the usual status (ps+ss), if the person pursues some subsidiary economic activity for 30 days or more during 365 days preceding the date of survey.

Current Weekly Activity Status

The current weekly activity status of a person is the activity status during a reference period of seven days preceding the date of survey. A person is considered working (or employed) if he / she, while pursuing any economic activity, had worked for at least one hour on at least one day during the seven days preceding the date of survey.

A person is considered 'seeking or available for work (or unemployed)', if, during the reference week, no economic activity was pursued by the person but he / she made efforts to get work or had been available for work any time during the reference week.

A person who has neither worked nor is available for work any time during the reference week is considered as engaged in non-economic activities (or not in labour force).

Current Daily Activity Status

The current daily activity status for a person is thus determined on the basis of his / her activity status on each day of the reference week using a priority – cum – major time criterion (day to day labour time disposition by considering each day of the reference week comprising 'two half days' or 'a full day' for assigning the activity status) as per the procedure stated below:

- (i) A person is considered 'working' (employed) for the full day if he / she had worked for four hours or more during the day.
- (ii) If the person had worked for one hour (or more but less than four hours, he / she is considered 'working' (employed) for half a day and 'seeking or available for work' (unemployed) or 'neither seeking nor available for work' (not in labour force) for the other half of the day depending on whether he is seeking / available for work or not.

	<p>(ii) If a person is not engaged in any 'work' even for one hour on a day but was seeking / available for work even for four hours or more, he is considered 'unemployed' for the entire day. But if he was 'seeking/ available for work' for more than one hour and less than four hours only, he is considered 'unemployed' for half a day and 'not in labour force' for the other half of the day.</p> <p>(iii) A person who neither had any 'work' to do nor was available for 'work' even for half a day was considered 'not in labour force' for the entire day and was assigned one or two of the detailed non-economic activity status depending upon the activities pursued during the reference day.</p>
<p>Population Censuses conducted by the Office of the Registrar General of India</p>	<p>In the population census, the whole population is divided into three categories, viz., 'main workers', 'marginal workers' and 'non workers' as defined below:</p> <p>The main worker is defined as a person whose main activity was participation in any economically productive work by involving physical or mental activities and who had worked for 183 days or more. Work involved not only actual work but also effective supervision and direction of work.</p> <p>A marginal worker is defined as a person whose main activity was participation in any economically productive work by his physical or mental activity for less than 183 days.</p> <p>A non-worker is defined as a person who had not done any work at any time.</p> <p>The reference period is the one year preceding the date of enumeration.</p>
<p>Economic Census conducted by Central Statistics Office</p>	<p>Number of persons usually working daily</p> <p>The total number of persons i.e. workers usually working daily in an establishment with break-up of Adult male, Adult female, Child male and Child female and will include all persons whether hired or not. The workers less than 15 years of age have been categorized as children.</p> <p>Workers include members of the household whether paid or not paid but engaged in any of the activities carried out by the establishments.</p> <p>The number of persons working is a position in the last year for perennial enterprises and last working season for seasonal enterprises.</p> <p>The category of workers includes both supervisory and primary workers. A worker need not mean the same person is continued but refers to a position.</p> <p>Part time workers are also treated as employees as long as they are engaged on a regular basis.</p> <p>Exchange of labour mutually between households is regarded as household labour and not as hired labour.</p>
<p>Employment Data Obtained from Follow-up Surveys on Unorganized Sector Conducted By NSSO / CSO</p>	<p>The definition of a worker followed in these surveys on unorganized sector is related to the establishment as taken up in economic census later on as stated below:</p> <p>A 'worker' is defined as one who participates either full time or part time in the activity of an enterprise. The worker might have served the enterprises in any capacity – primary or supervisory. The person might or might not have received wages/ salaries in return for his/her work incidental to or connected with the entrepreneurial activity. The term 'worker' might not mean that the same person was working continuously; it only referred to a position.</p> <p>Full time workers are those who work for more than half of the period</p>

	<p>of normal working hours of the enterprise on a fairly regular basis. Two part-time workers in an enterprise were counted as two workers and not one.</p>
<p>Informal Sector Data collected by NSSO</p>	<p>Statistical Definition of Informal Employment</p> <p>As per Guidelines concerning a statistical definition of informal employment issued during the Seventeenth International Conference of Labour Statisticians (ICLS) by ILO, the Informal employment comprises the total number of informal jobs as defined in subparagraphs (a) to (d) below, whether carried out in formal sector enterprises, informal sector enterprises, or households, during a given reference period.</p> <p>(a) The informal employment includes the following types of jobs viz., (i) own-account workers employed in their own informal sector enterprises; (ii) employers employed in their own informal sector enterprises; (iii) contributing family workers, irrespective of whether they work in formal or informal sector enterprises; (iv) members of informal producers' cooperatives; (v) employees holding informal jobs (as defined in subparagraph (5) below) in formal sector enterprises, informal sector enterprises, or as paid domestic workers employed by households and (vi) own-account workers engaged in the production of goods exclusively for own final use by their household, if considered employed according to paragraph 9 (6) of the resolution concerning statistics of the economically active population, employment, unemployment and underemployment adopted by the 13th ICLS.</p> <p>(b) Own-account workers, employers, members of producers' cooperatives, contributing family workers and employees are defined in accordance with the latest version of the International Classification of Status in Employment (ICSE).</p> <p>(c) Producers' cooperatives are considered informal if they are not formally established as legal entities and also meet the other criteria of informal sector enterprises specified in the resolution concerning statistics of employment in the informal sector adopted by the 15th ICLS.</p> <p>(d) Employees are considered to have informal jobs if their employment relationship is, in law or in practice, not subject to national labour legislation, income taxation, social protection or entitlement to certain employment benefits (advance notice of dismissal, severance pay, paid annual or sick leave, etc.). The reasons may be the following: non-declaration of the jobs or the employees; casual jobs or jobs of a limited short duration; jobs with hours of work or wages below a specified threshold (e.g. for social security contributions); employment by unincorporated enterprises or by persons in households; jobs where the employee's place of work is outside the premises of the employer's enterprise (e.g. outworkers without employment contract); or jobs for which labour regulations are not applied, not enforced, or not complied with for any other reason. The operational criteria for defining informal jobs of employees are to be determined in accordance with national circumstances and data availability.</p>
<p>Annual Survey of Industries conducted by NSSO / CSO</p>	<p>'Workers' are defined to include all persons employed directly or through any agency whether for wages or not and engaged in any manufacturing process or in cleaning any part of the machinery or premises used for manufacturing process or in any other kind of work incidental to or connected with the manufacturing process or the subject of the manufacturing process. Labour engaged in the repair and maintenance or production of fixed assets for factory's own use or labour employed for generating electricity or producing</p>

	<p>coal, gas etc. are included.</p> <p>'Employees' include all workers defined above and persons receiving wages and holding clerical, supervisory or managerial positions engaged in the administrative office, store keeping section and welfare section, sales department as also those engaged in purchase of raw materials etc. or purchase of fixed assets for the factory and watch and ward staff.</p> <p>'Total persons engaged' include employees as defined above and all working proprietors and their family members who are actively engaged in the work of the factory even without any pay and unpaid members of the co-operative societies who worked in or for the factory in any direct and productive capacity.</p> <p>The number of workers or employees is an average number obtained by dividing mandays worked by the number of days the factory had worked during the reference year.</p>
<p>Employment Market Information (EMI) Programme conducted by the Directorate General of Employment & Training</p>	<p>The EMI programme covers only the organised sector of the economy which inter-alia covers all establishments in the public sector irrespective of their size, and non-agricultural establishments in the private sector employing ten or more persons. While the information from non-agricultural establishments in the private sector employing twenty five or more persons is collected under the provisions of EE (CNV) Act 1959 data from the establishments employing ten to twenty four persons is collected on a voluntary basis.</p> <p>Under the EMI programme, collection of data is done following the establishment reporting system. The establishments are required to furnish at regular intervals details about the number of persons they employ by sex, vacancies that have occurred and the type of persons. This information relates only to 'Employees' and 'Employers'. Employers include owners, proprietors, managers, working partners, or directors of firms/ companies who work full time for the firms/ companies.</p>
<p>Employment Data Collected through Census / Surveys conducted by Development Commissioner, Micro, Small and Medium Enterprises</p>	<p>Employment: This relates to all persons engaged by the unit whether for wages or not, in the work connected directly or indirectly with the entrepreneurial activity and includes all administrative, technical and clerical staff as also labour in production of capital assets for factory's own use. It also includes all working proprietors and their family members who are actively engaged in the work of the unit even without any party and the unpaid members of the co-operative societies who work for the unit in any direct or production capacity.</p>
<p>Employment and Unemployment Data of Technical Personnel Collected through National Technical Manpower Information System (NTMIS) of Institute of Applied Manpower Research (IAMR)</p>	<p>NTMIS collects data for employment of engineering and technical manpower from three respondent groups comprising educational institutes delivering:</p> <ul style="list-style-type: none"> • Graduates and diploma holders of academic programmes; • Engineering educational institutions which produce such graduates; • Users of technical manpower in the central and state government departments and organizations and industrial establishments located in public and private sectors. <p>This is to facilitate identification of policy options in the field of engineering education at the state and national levels.</p>

Annexure-I

SIXTY-SIXTH ROUND: SCHEDULE 10: EMPLOYMENT AND UNEMPLOYMENT

Central Statistics Office

RURAL
URBAN

**GOVERNMENT OF INDIA
NATIONAL SAMPLE SURVEY OFFICE**

CENTRAL
STATE

**SOCIO-ECONOMIC SURVEY
SIXTY-SIXTH ROUND: JULY 2009 – JUNE 2010
SCHEDULE 10: EMPLOYMENT AND UNEMPLOYMENT**

[0] descriptive identification of sample household	
1. state/u.t.:	5. hamlet name:
2. district:	6. ward /inv. unit /block:
3. tehsil/town:*	7. name of head of household:
4. village name:	8. name of informant:

[1] identification of sample household							
item no.	item	code			item no.	item	code
1.	srl. no. of sample village/block				11.	sub-sample	
2.	round number	6		6	12.	FOD sub-region	
3.	schedule number	1	0	0	13.	sample hg/sb number (1/2)	
4.	sample (<i>central-1, state-2</i>)				14.	second-stage stratum number	
5.	sector (<i>rural-1, urban-2</i>)				15.	sample household number	
6.	NSS region				16.	srl. no. of informant (as in col. 1, block 4)	
7.	district				17.	response code	
8.	stratum				18.	survey code	
9.	sub-stratum				19.	reason for substitution of original household (code)	
10.	sub-round						

Codes for Block 1

item 17: response code:

informant: *co-operative and capable -1, co-operative but not capable -2, busy -3, reluctant -4, others -9.*

item 18: survey code: household surveyed: *original -1, substitute -2, casualty -3.*

item 19: reason for substitution of original household:

informant busy -1, members away from home -2, informant non-cooperative -3, others -9.

* tick mark (✓) may be put in the appropriate place.

[2] particulars of field operation									
srl. no.	Item		investigator			supervisory officer (s)			
(1)	(2)		(3)			(4)			
1.	i) name (block letters)								
	ii) code								
2.	date(s) of :		DD	MM	YY	DD	MM	YY	
	(i) survey/ inspection								
	(ii) receipt								
	(iii) scrutiny								
	(iv) despatch								
3.	number of additional sheets attached								
4.	total time taken to canvass	Schedule 10							
5.	(in minutes)	block 9 of Schedule 10							
6.	whether the schedule contains remarks? (yes -1, no-2)		in block 10/ 11			elsewhere in the schedule			
7.	signature								

[10] remarks by investigator

[11] comments by supervisory officer (s)

[3] household characteristics												
1.	household size						10.		whether the household has NREG job card (yes-1, no-2)			
2.	principal industry (NIC-2004)	description:						11.	for rural areas,	whether got work in NREG works during last 365 days (code)		
		code (5-digit)						12.		if code 1 in item 11,	no. of days worked	
								13.			mode of payment (code)	
3.	principal occupation (NCO-2004)	description:				is any member of the household the holder of post office account (yes-1, no-2, don't know-9) and number of such accounts in the household as on the date of survey [in items 14 to 17]						
		code (3-digit)								type of post office account	whether held by any member (yes-1, no-2, don't know -9)	no. of accounts in the hh.
4.	household type (code)						14.	savings bank				
5.	religion (code)						15.	recurring deposit account				
6.	social group (code)						16.	monthly income accounts scheme				
7.	land owned as on the date of survey (0.000 hectares)						17.	any other account or savings instruments				
8.	land possessed as on the date of survey (0.000 hectares)				has any member used the following services in any Post Office during last 3 months (yes-1, no-2, don't know-9) [items 18 to 20]							
					18.	money order						
9.	land cultivated (including orchard and plantation) during July 2008– June 2009 (0.000 hectares)				19. instant money order							
					20.	international money transfer service						

Note: 1 acre = 0.4047 hectare, 1 hectare=10, 000 sq. metre

Codes for Block 3

item 4: **household type:**

for rural areas: self-employed in non-agriculture -1, agricultural labour -2, other labour -3, self-employed in agriculture -4, others -9.

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

item 5: **religion:** Hinduism -1, Islam -2, Christianity -3, Sikhism -4, Jainism -5, Buddhism -6, Zoroastrianism -7, others -9.

item 6: **social group:** scheduled tribe -1, scheduled caste -2, other backward class -3, others -9.

item 11: **whether got work in NREG works:** got work in NREG works -1, sought but did not get work in NREG works -2, did not seek work in NREG works -3.

item 13: **mode of payment: paid:** directly into post office account-1, directly into bank account-2, in a gram sabha meeting-3, by the field assistant/mate-4, by an SHG member-5, through a smartcard-6, other-9; not yet paid-7.

[3.1] indebtedness of rural labour household as on the date of survey (i.e., for households with code 1 in item 5, block 1 along with code 2 or 3 in item 4, block 3)				
srl. no.	nature of loan (code)	source	purpose	amount outstanding including interest as on the date of survey (Rs)
(1)	(2)	(3)	(4)	(5)
total				

Codes for Block 3.1

col. (2): **nature of loan:** hereditary loan -1, loan contracted in cash -2, loan contracted in kind -3,

loan contracted partly in cash and partly in kind -4.

col. (3): **source:** government -1, co-operative society -2, bank -3, employer/ landlord -4,

agricultural/ professional money lender -5, shopkeeper/ trader -6, relatives/ friends -7, others -9.

col. (4): **purpose:** household consumption: medical expenses -1, educational expenses -2, legal expenses -3, marriage and other ceremonial expenses-4, other household consumption expenses -5; purchase of land/ construction of building -6, other productive purpose -7, repayment of debt -8, others -9.

Codes for Block 4

col. (3): **relation to head:**

self -1, spouse of head -2, married child -3, spouse of married child -4, unmarried child -5, grandchild -6, father/ mother/ father-in-law/ mother-in-law -7, brother/ sister/ brother-in-law/ sister-in-law/ other relatives -8, servants/ employees/ other non-relatives -9.

col. (6): **marital status:**

never married -1, currently married -2, widowed -3, divorced/separated -4.

col. (7): **educational level - general:**

not literate -01, literate without formal schooling: EGS/ NFEC/ AEC -02, TLC -03, others -04; literate: below primary -05, primary -06, middle -07, secondary -08, higher secondary -10, diploma/certificate course -11, graduate -12, postgraduate and above -13.

col. (8): **educational level - technical:**

no technical education -01, technical degree in agriculture/ engineering/ technology/ medicine, etc. -02, diploma or certificate (below graduate level) in: agriculture -03, engineering/ technology -04, medicine -05, crafts -06, other subjects -07;

diploma or certificate (graduate and above level) in: agriculture -08, engineering/ technology -09, medicine -10, crafts -11, other subjects -12.

col. (9): **status of current attendance:**

currently not attending:

never attended: school too far -01, to supplement household income -02, education not considered necessary -03, to attend domestic chores -04, others -05;

ever attended but currently not attending: school too far -11, to supplement household income -12, education not considered necessary -13, to attend domestic chores -14, others -15;

currently attending in: EGS/ NFEC/ AEC -21, TLC -22, pre-primary (nursery/ Kinder garten, etc.) -23, primary (class I to IV/ V) -24, middle -25, secondary-26, higher secondary-27, graduate in: agriculture -28, engineering/ technology -29, medicine -30, other subjects -31; post graduate and above -32, diploma or certificate (below graduate level) in: agriculture -33, engineering/ technology -34, medicine -35, crafts -36, other subjects -37; diploma or certificate (graduate level) in: agriculture -38, engineering/ technology -39, medicine -40, crafts -41, other subjects -42; diploma or certificate in post graduate and above level-43.

col. (10): **type of institution:** government -1, local body -2, private and aided -3, private and unaided -4, not known -5.

col. (12): **whether receiving/received any vocational training:**

yes: receiving formal vocational training -1; received vocational training: formal -2,

non-formal: hereditary-3, self-learning-4, learning on the job-5, others -6;

did not receive any vocational training -7.

col. (13): **field of training:**

mechanical engineering trades -01, electrical and electronic engineering trades -02, computer trades -03, civil engineering and building construction related works -04, chemical engineering trades -05, leather related work -06, textile related work -07, catering, nutrition, hotels and restaurant related work -08, artisan/ craftsman/ handicraft and cottage based production work -09, creative arts/ artists -10, agriculture and crop production related skills and food preservation related work -11, non-crop based agricultural and other related activities -12, health and paramedical services related work -13, office and business related work -14, driving and motor mechanic work -15, beautician, hairdressing & related work -16, work related to tour operators/ travel managers -17, photography and related work -18, work related to childcare, nutrition, pre-schools and crèche -19, journalism, mass communication and media related work -20, printing technology related work -21, other -99.

col. (15): **source from where degree/diploma/certificate received/to be received:**

Industrial Training Institutes (ITIs)/Industrial Training centers (ITCs) -01, School offering vocational courses (Secondary, Higher Secondary level) -02, UGC (first degree level) -03, Polytechnics -04, Community Polytechniques/ Jansiksha Sanstha -05, National Open School -06, Hotel Management Institutes -07, Food craft & Catering Institutes -08, Small Industries Service Institutes/District Industries Centres/Tool Room Centres -09, Fashion Technology Institutes -10, Tailoring, Embroidery and Stitch Craft Institutes -11, Nursing Institutes -12, Rehabilitation/ Physiotherapy /Ophthalmic and Dental Institutes -13, Institutes giving Diploma in Pharmacy -14, Hospital and Medical Training Institutes -15, Nursery Teachers' Training Institutes -16, Institutes offering training for Agricultural Extension -17, Training provided by Carpet Weaving Centers -18, Handloom/ Handicraft Design Training Centers/ KVIC -19, Recognised Motor Driving Schools -20, Institute for Secretariat Practices -21, Recognised Beautician Schools -22, Institutes run by Companies/ Corporations -23, Institutes for Journalism and Mass Communication -24, other institutes -99.

col. (16): **whether the vocational training was ever helpful in getting a job:**

yes: was helpful in taking up self-employment activity- 1, was helpful in taking up wage/salaried employment-2; was not helpful-3, not applicable-4.

Codes for Block 5.1

col. (3): **status:**

worked in h.h. enterprise (self-employed): own account worker -11, employer-12, worked as helper in h.h. enterprise (unpaid family worker) -21; worked as regular salaried/ wage employee -31, worked as casual wage labour: in public works -41, in other types of work -51; did not work but was seeking and/or available for work -81, attended educational institution -91, attended domestic duties only -92, attended domestic duties and was also engaged in free collection of goods (vegetables, roots, firewood, cattle feed, etc.), sewing, tailoring, weaving, etc. for household use -93, rentiers, pensioners, remittance recipients, etc. -94, not able to work due to disability -95, others (including begging, prostitution, etc.) -97.

col. (5): **industry:** 5-digit code as per NIC-2004.

col. (6): **occupation:** 3-digit code as per NCO-2004.

col. (8): **location of workplace:**

workplace in rural areas and located in: own dwelling unit-10, structure attached to own dwelling unit-11, open area adjacent to own dwelling unit-12, detached structure adjacent to own dwelling unit- 13, own enterprise/unit/office/shop but away from own dwelling-14, employer's dwelling unit -15, employer's enterprise/unit/office/shop but outside employer's dwelling -16, street with fixed location-17, construction site-18, others -19; workplace in urban areas and located in: own dwelling unit-20, structure attached to own dwelling unit-21, open area adjacent to own dwelling unit-22, detached structure adjacent to own dwelling unit- 23, own enterprise/unit/office/shop but away from own dwelling-24, employer's dwelling unit -25, employer's enterprise/unit/office/shop but outside employer's dwelling -26, street with fixed location-27, construction site-28, others -29; no fixed workplace -99.

col. (9): **enterprise type:** proprietary: male -1, female -2; partnership: with members from same hh. -3, with members from different hh. -4; Government/public sector-5, Public/Private limited company-6, Co-operative societies/trust/other non profit institutions -7, employer's households(i.e., private households employing maid servant, watchman, cook, etc.) -8, others -9.

col. (11): **number of workers in the enterprise:** less than 6 -1, 6 & above but less than 10 -2, 10 & above but less than 20 -3, 20 & above -4, not known -9.

col. (12): **type of job contract:** no written job contract -1; written job contract: for 1 year or less -2, more than 1 year to 3 years -3, more than 3 years -4.

col. (14): **availability of social security benefits:**

eligible for: only PF/ pension (i.e., GPF, CPF, PPF, pension, etc.) -1, only gratuity -2, only health care & maternity benefits -3, only PF/ pension and gratuity -4, only PF/ pension and health care & maternity benefits -5, only gratuity and health care & maternity benefits -6, PF/ pension, gratuity, health care & maternity benefits -7; not eligible for any of above social security benefits -8.

col. (15): **method of payment:** regular monthly salary -1, regular weekly payment -2, daily payment -3, piece rate payment -4, others -5.

col. (16): **whether worked under given specifications:** yes: wholly -1, mainly -2, partly -3; no-4, not known -9

col. (17): **who provided credit / raw material / equipments:** own arrangement -1; provided by the enterprise: credit only -2, raw material only -3, equipments only -4, credit and raw material only-5, credit and equipments only -6, raw material and equipments only -7, credit, raw material and equipments -8; not known -9

col. (18): **no. of outlets of disposal:** one outlet -1, two outlets -2, three or more outlets -3; not known -9.

col. (21): **period of seeking/available for work during last 365 days:** sought/available for: less than 1 month -1, 1 month & above but less than 3 months -2, 3 months & above but less than 7 months -3, 7 months & above but less than 10 months -4, 10 months to 12 months -5; did not seek/ not available -6.

col. (22): **seeking or available or suitable for the type of occupation:**
3-digit code as per NCO-2004.

Codes for Block 5.2

col. (3): **status:** codes as in col. 3, block 5.1. **(only codes 11 to 51 are applicable here).**

col. (5): **industry :** 5-digit code as per NIC-2004.

col. (6): **occupation :** 3-digit code as per NCO-2004.

col. (7): **location of workplace:** codes as in col. 8, block 5.1.

col. (8): **enterprise type:** codes as in col. 9, block 5.1.

col. (10): **number of workers in the enterprise:** codes as in col. 11, block 5.1.

col. (11): **type of job contract:** codes as in col. 12, block 5.1.

col. (13): **availability of social security benefits:** codes as in col. 14, block 5.1.

col. (14): **method of payment :** codes as in col. 15, block 5.1.

col. (15): **whether worked under given specifications:** codes as in col. 16, block 5.1.

col. (16): **who provided credit / raw material / equipments:** codes as in col. 17, block 5.1.

col. (17): **no. of outlets of disposal:** codes as in col. 18, block 5.1.

srl. no. as in col.1, bl.5.1	age (ye- ars) as in col.2, bl. 5.1	usual subsidiary economic activity				for persons with industry groups 012, 014, 015 and divisions 02 - 99 in col. 5												
						sta- tus (co- de)	industry-occupation			location of workplace (code)	enterprise type (code)	whether the enterprise uses electricity for its production (yes -1, no -2, not known -9)	number of workers in the enterprise (code)	for codes 31, 41 & 51 in col. 3				for code 11, 12 or 21 in col. 3
		description	industry (5-digit NIC- 2004 code)	occu- pation (3-digit NCO- 2004 code)	type of job contract (code)									whether eligible for paid leave (yes -1, no -2)	availability of social security benefits (code)	method of payment (code)	whether worked under given specifications (code)	for code 1 or 2 in col. 15
							who provided credit/ raw material/equipments (code)	no. of outlets of disposal (code)	basis of payment (piece rate -1, contract basis-2)									type of specifications (written-1, oral-2, not known-9)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)

[5.3] time disposition during the week ended on																						
srl. no. as in col.1, bl. 4	age (yrs.) as in col.5, bl. 4	current day activity particulars																number of days with nominal work	current weekly activity particulars		whether unemployed on all the 7 days of the week (yes-1, no-2)	
		srl. no. of activity	status (code)	for codes 11 to 72 in col. 4		intensity of activity (full-1.0, half-0.5)							for codes 31, 41, 42, 51, 71, 72 in col.4, wage and salary earnings (received or receivable) for the work done during the week (Rs)				sta-tus (code)		for codes 11-72 in col. 20			
				industry division (2-digit NIC-2004 code)	for rural areas only, operation (code)	7 th day	6 th day	5 th day	4 th day	3 rd day	2 nd day	1 st day	total no. of days in each activity (0.0)	cash	kind	total			mode of payment (code)	industry (5-digit NIC-2004 code)		occupa-tion (3-digit NCO-2004 code)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)
total						1.0	1.0	1.0	1.0	1.0	1.0	1.0	7.0									
total						1.0	1.0	1.0	1.0	1.0	1.0	1.0	7.0									
total						1.0	1.0	1.0	1.0	1.0	1.0	1.0	7.0									
total						1.0	1.0	1.0	1.0	1.0	1.0	1.0	7.0									
total						1.0	1.0	1.0	1.0	1.0	1.0	1.0	7.0									

Codes for Block 5.3

col. (4) and (20): **status:** codes 11, 12, 21, 31, 51 and 91-95, 97 of col. (3), block-5.1 and also the following codes: worked as casual wage labour in public works other than NREG works – 41, worked as casual wage labour in NREG works – 42, had work in h.h. enterprise but did not work due to: sickness -61, other reasons -62; had regular salaried/wage employment but did not work due to: sickness -71, other reasons -72; sought work -81, did not seek but was available for work -82, did not work due to temporary sickness (for casual workers only) -98.

col. (5): **industry division:** 2- digit division codes as per NIC-2004.

col. (6): **operation (for rural areas only):** manual work in cultivation: ploughing -01, sowing -02, transplanting -03, weeding -04, harvesting -05, other cultivation activities -06; manual work in other agricultural activities: forestry -07, plantation -08, animal husbandry -10, fisheries -11, other agricultural activities -12; manual work in non-agricultural activities -13, non-manual work in: cultivation -14, activities other than cultivation -15.

col. (18): **mode of payment:** **piece rate in cash:** daily -01, weekly -02, fortnightly -03, monthly -04, other -05;

piece rate in kind: daily -06, weekly -07, fortnightly -08, monthly -09, other -10;

piece rate in both cash and kind: daily -11, weekly -12, fortnightly -13, monthly -14, other -15;

other (non-piece) rate in cash: daily -16, weekly -17, fortnightly -18, monthly -19, other -20;

other (non-piece) rate in kind: daily -21, weekly -22, fortnightly -23, monthly -24, other -25;

other (non-piece) rate in both cash and kind: daily -26, weekly -27, fortnightly -28, monthly -29, other -30.

col. (21): **industry:** 5-digit code as per NIC-2004.

col. (22): **occupation:** 3-digit code as per NCO-2004.

[6] follow-up questions for persons unemployed on all the 7 days of the week (i.e., code 1 in col. 23 of bl. 5.3)									
srl. no. as in col.1, bl. 5.3	age (yrs.) as in col. 2, bl. 5.3	duration of present spell of unemp- loyment (code)	whether ever employed (yes-1, no-2)	for code 1 in col. 4, particulars of last employment					
				duration (code)	status (code)	industry (2-digit NIC-2004 code)	occupation (3-digit NCO-2004 code)	reason for break in employment (code)	for code 2 in col.9, reason for quitting job (code)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)

Codes for Block 6

col. (3): **duration of present spell of unemployment:** only 1 week -1, more than 1 week to 2 weeks -2, more than 2 weeks to 1 month -3, more than 1 month to 2 months -4, more than 2 months to 3 months -5, more than 3 months to 6 months -6, more than 6 months to 12 months -7, more than 12 months -8.

col. (5): **duration of last employment:** only 1 month -1, more than 1 month to 2 months -2, more than 2 months to 3 months -3, more than 3 months to 6 months -4, more than 6 months to 12 months -5, more than 12 months -6.

col. (6): **status:** code structure same as in col. (3), block 5.1 (**only codes 11-51 are applicable**).

col. (9): **reason for break in employment:** loss of earlier job -1, quit earlier job -2, lay-off without pay -3, unit has closed down -4, lack of work in the enterprise (for self-employed persons) -5, lack of work in the area (for casual labour) -6, others -9.

col.(10): **reason for quitting job:** work was not remunerative enough -1, unpleasant environment -2, employer harsh -3, health hazard -4, to avail benefits of voluntary retirement -5, others -9.

[7.1] follow-up questions on availability for work to persons working in the usual principal or subsidiary status (i.e., those with codes 11-51 in col. 3 of bl. 5.1 or bl. 5.2)

srl. no. as in col.1, bl. 5.1	age (yrs.) as in col.2, bl. 5.1	usual activity status code		whether engaged mostly in full time or part time work during last 365 days (full time -1, part time -2)	whether worked more or less regularly during last 365 days (yes-1, no-2)	approximate no. of months without work (months)	if entry ≥ 1 in col. 7, whether sought / available for work during those months (code)	for codes 1 & 2 in col. 8, whether made any efforts to get work (code)	for codes 11, 12, 21 in col. 3/ col. 4		whether sought/ available for additional work during the days he/she had work (code)	for codes 1 & 2 in col. 12, reason (code)	whether sought/ available for alternative work during the days he/she had work (code)	for codes 1 & 2 in col. 14, reason (code)
		prin- cipal (as in col. 3, bl.5.1)	sub- sidiary (as in col. 3, bl.5.2)						do you regard the current earning from self-employment as remunerative? (yes -1, no -2)	what amount (Rs.) per month would you regard as remunerative? (code)				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)

Codes for Block 7.1

col. (8): **whether sought/ available for work during those months:** yes: on most days -1, on some days -2; no -3.

col. (9): **whether made any efforts to get work:** yes: registered in employment exchange -1, other efforts -2; no effort -3.

col. (11): **what amount (Rs.) per month would you regard as remunerative:** less than or equal to Rs.1000 -1, Rs 1001 to Rs. 1500 -2, Rs, 1501 to Rs. 2000 -3, Rs 2001 to Rs. 2500 -4, Rs. 2501 to Rs, 3000 -5, more than Rs. 3000 -6.

col. (12): **whether sought/ available for additional work during the days he/she had work:** yes: on most days -1, on some days -2; no -3.

col. (13): **reason for seeking/available for additional work:** to supplement income -1, not enough work -2, both -3, others -9.

col. (14): **whether sought/ available for alternative work during the days he/she had work:** yes: on most days -1, on some days -2; no -3.

col. (15): **reason for seeking/available for alternative work:** present work not remunerative enough -1, no job satisfaction -2, lack of job security -3, workplace too far -4, wants wage/salary job -5, others -9.

[7.2] follow-up questions on change of nature of work and/or establishment to persons working in the usual principal status or subsidiary status (i.e., those with codes 11-51 in col. 3 of bl. 5.1 or bl. 5.2)														
srl. no. as in col.1, bl. 5.1	age (yrs.) as in col.2, bl. 5.1	usual activity status code		is there any union/ association in your activity? (yes -1, no -2, not known -9)	for 1 in col. 5, whether a member of union/ association (yes-1, no-2)	nature of employment (permanent-1, temporary-2)	for codes 11-51 in col. 3, during last 2 years, whether changed							for 1 in col. 10 or 12, reason for last change (code)
		principal (as in col. 3, bl. 5.1)	subsidiary (as in col. 3, bl. 5.2)				work activity status (yes-1, no-2)	for 1 in col. 8, last activity status (code)	industry (yes-1, no-2)	for 1 in col. 10, last industry (code)	occupation (yes-1, no-2)	for 1 in col. 12, last occupation (code)	establishment (yes-1, no-2)	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)

Codes for Block 7.2

col. (9): **last activity status**: code structure same as in col. 3, bl. 5.1 (**only codes 11 -51 are applicable**).

col. (11): **last industry**: 2-digit codes as per NIC-2004.

col. (13): **last occupation**: 2-digit codes as per NCO-2004.

col. (15): **reason for last change**: loss of earlier job due to: retrenchment/lay-off -1, closure of unit -2; for better income/remuneration -3, no job satisfaction -4, lack of work in the enterprise (for self-employed) -5, lack of job security -6, work place too far -7, promotion/ transfer -8, others -9.

[8] follow-up questions for persons with usual principal activity status code 92 or 93 in col. 3 of bl. 5.1						
1.	srl. no. as in col. 1, bl. 5.1					
2.	age (years) as in col. 2, bl. 5.1					
3.	were you required to spend most of your time on domestic duties almost throughout the last 365 days? (yes-1, no-2)					
4.	if code 1 in item 3 , reason thereof (no other member to carry out the domestic duties -1, cannot afford hired help -2, for social and/or religious constraints -3, others -9)					
5.	if code 2 in item 3 , reason for still pursuing domestic duties (non-availability of work-1, by preference-2, others-9)					
<u>for items 6 to 19</u> along with your domestic duties did you more or less regularly carry out during the last 365 days:						
6.	maintenance of kitchen gardens, orchards, etc.? (yes-1, no-2)					
7.	work in household poultry, dairy, etc.? (yes-1, no-2)					
8.	free collection of fish, small game, wild fruits, vegetables, etc. for household consumption? (yes-1, no-2)					
9.	free collection of firewood, cow-dung, cattle feed, etc. for household consumption? (yes-1, no-2)					
10.	husking of paddy for household consumption? (code)					
11.	grinding of foodgrains for household consumption? (code)					
12.	preparation of gur for household consumption? (code)					
13.	preservation of meat and fish for household consumption? (code)					

14	making baskets and mats for household use? (code)					
15	preparation of cow-dung cake for use as fuel in the household? (yes-1, no-2)					
16	sewing, tailoring, weaving, etc. for household use? (yes-1, no-2)					
17	tutoring of own children or others' children free of charge? (yes-1, no-2)					
18	bringing water from outside the household premises? (yes-1, no-2)					
for rural areas		19. bringing water from outside the village? (yes-1, no-2)				
only		20. if 1 in item 19 , distance in kilometres				
21.	in spite of your pre-occupation in domestic duties, are you willing to accept work if work is made available at your household? (yes-1, no-2)					
if code	22. the nature of work acceptable (regular full time-1, regular part-time-2, occasional full time-3, occasional part-time-4)					
1 in	23. type of work acceptable (code)					
item	24. do you have any skill/experience to undertake that work? (yes-1, no-2)					
21	25. what assistance do you require to undertake that work? (code)					

Codes for Block 8

items 10-14: yes: commodities produced in own farm/free collection -1, commodities acquired otherwise -2; no -3.

item 23: **type of work acceptable**: dairy -1, poultry -2, other animal husbandry -3, food processing -4, spinning and weaving -5, manufacturing wood and cane products -6, tailoring -7, leather goods manufacturing -8, others -9.

item 25: **what assistance do you require to undertake that work**: no assistance -1; yes: initial finance on easy terms -2, working finance facilities -3, easy availability of raw materials -4, assured market -5, training -6, accommodation -7, others -9.

[9] household consumer expenditure			
srl. no.	item group	value of consumption (Rs) during	
		last 30 days	last 365 days
(1)	(2)	(3)	(4)
1.	cereals & cereal products (includes muri, chira, maida, suji, noodles, bread (bakery), barley, cereal substitutes, etc.)		
2.	pulses & pulse products (includes soyabean, gram products, besan, sattu, etc.)		
3.	milk		
4.	milk products (includes milk condensed/powder, baby food, ghee, butter, ice-cream, etc.)		
5.	edible oil and vanaspati		
6.	vegetables (including garlic, ginger)		
7.	fruits & nuts (includes mango, banana, coconut, dates, kishmish, monacca, other dry fruits,		
8.	egg, fish & meat		
9.	sugar (includes gur, candy (misri), honey, etc.)		
10.	salt & spices (includes dry chillies, curry powder, oilseeds, etc.)		
11.	other food items (includes beverages such as tea, coffee, fruit juice and processed food		
12.	pan, tobacco & intoxicants		
13.	fuel & light		
14.	entertainment (includes cinema, picnic, sports, club fees, video cassettes, cable charges, etc.)		
15.	personal care and effects (includes spectacles, torch, umbrella, lighter, etc.)		
16.	toilet articles (includes toothpaste, hair oil, shaving blades, etc.)		
17.	sundry articles (includes electric bulb, tubelight, glassware, bucket, washing soap, agarbati, insecticide, etc.)		
18.	consumer services excluding conveyance (includes domestic servant, tailoring, grinding charges, telephone, legal expenses, pet animals, etc.)		
19.	conveyance (includes porter charges, diesel, petrol, school bus/van, etc.)		
20.	rent/ house rent		
21.	consumer taxes and cesses (includes water charges, etc.)		
22.	medical expenses (non-institutional)		
23.	sub-total (items 1 to 22)		
24.	medical (institutional)		
25.	tuition fees & other fees (includes private tutor, school/college fees, etc.)		
26.	school books & other educational articles (includes newspaper, library charges, stationery, internet charges, etc.)		
27.	clothing and bedding		
28.	footwear		
	durable goods		
29.	furniture and fixtures (includes bedstead, almirah, suitcase, carpet, paintings, etc.)		

30.	crockery & utensils (includes stainless steel utensils, casseroles, thermos, etc.)		
31.	cooking and household appliances (includes electric fan, air conditioners, sewing machine, washing machine, pressure cooker, refrigerator, heater, toaster, etc.)		
32.	goods for recreation (includes TV, radio, tape recorder, musical instruments, etc.)		
33.	jewellery & ornaments		
34.	personal transport equipment (includes bicycle, scooter, car, tyres & tubes, etc.)		
35.	therapeutic appliances (includes glass eye, hearing aids, orthopaedic equipment, etc.)		
36.	other personal goods (includes clock, watch, PC, telephone set, mobile handset, etc.)		
37.	repair and maintenance (of residential buildings, bathroom equipment, etc.)		
38.	sub-total (items 24 to 37)		
39.	average monthly expenditure for items 24 to 37 [<i>item 38 x (30÷365)</i>]		
40.	monthly household consumer expenditure (<i>item 23 + item 39</i>)		

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