



GOVERNMENT OF NATIONAL CAPITAL TERRITORY OF DELHI

**Operational and Financial
Characteristics of Unincorporated Non-Agricultural
Enterprises (Excluding Construction)
in Delhi**

**Based on
NSS 67th Round Survey
(July 2010 – June 2011)
(State Sample)**

DIRECTORATE OF ECONOMICS & STATISTICS
VIKAS BHAWAN-II, 3rd FLOOR, 'B' WING, BELA ROAD,
DELHI-110054,
www.des.delhigovt.nic.in

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PREFACE

The Present Report on “**Operational And Financial Characteristics of Unincorporated Non-Agricultural Enterprises (Excluding Construction) in Delhi**” is brought out by this Directorate on the basis of sample survey conducted under the NSS 67th Round (July 2010 – June 2011).

This report presents the estimates of various operational and financial characteristics like number of enterprises, workers, location; ownership; social group of enterprises, their registration status, problem faced, fixed assets, Gross Value Added (GVA) etc. of Unincorporated Non-Agricultural Enterprises (Excluding Construction in Delhi) in 2010-11 based on State sample.

This report was prepared by Sh Sabir Ali, Assistant Director and Sh. P.K. Chaurasia, Statistical Officer of Data Processing and Analysis Unit under the able guidance of Dr. R.N. Sharma, Joint Director. The extraordinary efforts put in by Smt. Varsha Kumar, Sh K.Prasanth Kumar and Dr.Prateek Jain, Statistical Assistants, in the data analysis and report making stages deserves special mention. The fieldwork was conducted by socio-economic unit under the guidance of Sh. D.B.Gupta, Assistant Director and he was assisted by S/Sh. K.R. Chibbar and Sh. P.K.Chaurasia, Statistical Officers. The role played by this unit in collection of data from the field against all odds is appreciated. The data processing was done by the EDP unit under the close guidance of Sh. Praveen Shrivastava, Programmer.

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September, 2013

Dr. B.K. Sharma
Director cum Special Secretary

TEAM

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SH. SABIR ALI	:	ASSISTANT DIRECTOR
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DR.PRATEEK JAIN	:	STATISTICAL ASSISTANT
SH.ASHUTOSH SINGH	:	STATISTICAL ASSISTANT
MS. POONAM KUMARI	:	STATISTICAL ASSISTANT

EDP UNIT

SH. PRAVEEN SRIVASTAVA	:	PROGRAMMER
SMT. NIDHI RAJPAL	:	ASSTT. PROGRAMMER
SMT. MADHU YADAV	:	ASSTT. PROGRAMMER

FIELD OFFICERS

SH. D.B. GUPTA	:	ASSISTANT DIRECTOR
SH. K.R.CHIBBAR	:	STATISTICAL OFFICER

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UNINCORPORATED NON-AGRICULTURAL ENTERPRISES IN DELHI

EXECUTIVE SUMMARY

The following are the main highlights of the survey conducted during NSS 67th round between July 2010 and June 2011:

- ❖ The number of Unincorporated Non-Agricultural Enterprises was estimated 1154085 during 2010-2011. Out of them 24592 (2.13%) were in rural areas and 1129493 (97.87%) were in urban areas of Delhi.
- ❖ Out of the total enterprises 651764 (56.47%) were Own-Account Enterprises and 502321 (43.53%) were Establishments.
- ❖ Out of the total Unincorporated Non-Agricultural Enterprises, Trade accounted for 41.18%, the share of Other Services was 37.82% and Manufacturing constituted 21.00%.
- ❖ The total employment generated by these enterprises was estimated at 29.80 lakh during the said period. Out of this, hired employment accounted for 15.36 lakh (51.54%) and 14.44 lakh (48.46%) were others (non hired).
- ❖ Out of the persons employed in this sector 8.26 lakh (27.70%) were from Own-Account Enterprises and 21.54 lakh (72.30%) were from Establishments.
- ❖ Out of the total persons employed in Unincorporated Non-Agricultural Enterprises Other Services accounted for 37.11%, the share of Trade was 32.56% and Manufacturing constituted 30.33%.
- ❖ The average employment size per enterprise in respect of OAE and Establishment was 1.27 and 4.29 persons respectively. It was 2.58 persons for all type of Enterprises.
- ❖ NCT of Delhi was ranked 15th in the number of enterprises and in the total employment, this sector had earned 13th position in the All-India.

OTHER CHARACTERISTICS

- ❖ Out of the total enterprises, 19.53% were operating from within house premises, 13.70% were without any fixed location while the remaining 67.28% were having independent fixed location outside household premises.
- ❖ Proprietary type of enterprises accounted for 90.58% of the total Unincorporated Non-Agricultural Enterprises whereas partnership type of enterprises constituted only 9.11%.
- ❖ About 33% of all enterprises were registered under any act or with any registration authority.
- ❖ Gross value added (as per Product Approach) per Unincorporated Non-Agricultural Enterprises was estimated at **Rs.33058** and that of worker was **Rs.12804 per month**.
- ❖ The fixed capital invested per enterprise in this sector was estimated as Rs.9.86 lakhs.

CHAPTER ONE

INTRODUCTION

- The Directorate of Economics and Statistics (DES), GNCT of Delhi has been participating in the nationwide integrated large scale sample surveys, being conducted by NSSO, MOSPI, Govt. Of India. During the period 1st July 2010 to 30th June 2011, DES has also participated in the enterprise survey on economic and operational characteristics of unincorporated non-agricultural enterprises in manufacturing, trade and other service sector (excluding construction).
- Last surveys of enterprises on trade, unorganised manufacturing and service sectors (excluding trade and construction) were conducted during 53rd round (January - December 1997), 62nd round (July 2005 - June 2006) and 63rd round of NSS (July 2006 - June 2007) respectively. Other enterprise surveys carried out in between were 55th round (informal sector enterprises, 1999-2000), 56th round (unorganised manufacturing, 2000-2001) and 57th round (unorganised service sector excluding trade, finance and construction, 2001 - 2002).

Objective of the unincorporated non-agricultural enterprises survey

- The main objective of the unincorporated non-agricultural enterprise surveys was to get estimates of various economic and operational characteristics of unincorporated non-agricultural enterprises in manufacturing, trade and other service sector (excluding construction) at State level. The survey was designed to estimate value of key characteristics per enterprise like average no. of workers, fixed assets, outstanding loans, total receipts, total operating expenses and gross value added separately for Own Account Enterprises (OAEs) and 'Establishments'. Information on various operational characteristics like ownership, nature of operation, location, status of registration etc., were also collected to have an insight into economic scenario of the unincorporated non-agricultural enterprises in Delhi. These economic and operational indicators are required for planning, policy and decision making at various levels, both within the government and outside. These aspects of the unorganised enterprise sector are captured in detail in the present NSS survey and estimates are generated.
- The enterprises covered in NSS 67th round were divided into three broad industry groups, viz. (i) Manufacturing, (ii) Trade and (iii) Other Service sector enterprises. Under the above sectoral coverage, enterprises were categorised into two types, the first type

being Own Account Enterprises (OAEs) i.e. those enterprises that do not employ hired workers on a fairly regular basis in the reference year and the second type being Establishments employing at least one hired worker on a fairly regular basis in the reference year. The eligibility criteria for an enterprise to be covered in the survey was at least 30 days of operation (15 days of operation for seasonal enterprises/SHGs) in the reference year i.e. “last 365 days preceding the date of survey”.

Survey outline of unincorporated non-agricultural survey

- Geographical coverage: The survey covers the whole of the geographical boundary of the Delhi state.
- Sub round: The survey period of one year was divided into four sub-rounds of the three months duration each as follows:

Sub-round 1 :	July - September 2010
Sub-round 2 :	October - December 2010
Sub-round 3 :	January - March 2011
Sub-round 4 :	April - June 2011

In each of these four sub-rounds equal number of sample first stage units (FSUs) i.e. villages/ blocks were allotted for survey with a view to ensuring uniform spread of sample FSUs over the entire survey period. Every attempt was made to survey each of the FSUs during the sub-round to which it was allotted.

Subject Coverage:

- The coverage of NSS 67th round (July 2010 - June 2011) was non-agricultural unincorporated enterprises belonging to three sectors viz., Manufacturing, Trade and Other Services. The survey considered the following broad categories of enterprises:
 - (a) Manufacturing enterprises excluding those registered under Sections 2m (i) and 2m (ii) of the Factories Act, 1948.
 - (b) Manufacturing enterprises registered under Section 85 of Factories Act, 1948.
 - (c) Enterprises engaged in cotton ginning, cleaning and baling (code 01632 of National Industrial Classification (NIC) - 2008) excluding those registered under Factories Act.
 - (d) Enterprises manufacturing bidi and cigar excluding those registered under bidi and cigar workers (condition of employment) Act, 1966.

- (e) Trading enterprises.
- (f) Other Service Sector enterprises excluding construction.

The Ownership categories of enterprises under coverage in (a) to (f) above was

- (a) Proprietary and partnership enterprises.
- (b) Trusts, Self-help groups (SHGs), Non-Profit Institutions (NPIs), etc.

And the following ownership categories of enterprises were **excluded** from the coverage of the survey:

- (a) Enterprises which are incorporated i.e. registered under Companies Act, 1956.
- (b) Government and public sector enterprises.
- (c) Cooperatives.

- **Outline of sample design:** A stratified multi-stage design had been adopted for the 67th round survey. The First Stage Units (FSUs) were the census villages in the rural sector and EC-2005 Frame/Urban Frame Survey (UFS) blocks in the urban sector. The ultimate stage units (USU) were enterprises in both the sectors. In case of large FSUs, one intermediate stage of sampling was done by the selection of three hamlet-groups (hgs)/ sub-blocks (sbs) from each large rural/ urban FSU.
- **Sampling frame:** Census 2001 list of villages were used as the sampling frame for rural areas. Auxiliary information such as number of enterprises, number of workers, type of enterprises, activities of enterprises, etc. available from EC-2005 frame were used for stratification, sub-stratification and selection of enterprises. In the urban sector, EC-2005 frame was used for the cities with population more than a million as per census 2001.
- **Schedules of enquiry:** During this round, the following two schedules of enquiry were canvassed, viz. Schedule 0.0: list of households and non-agricultural enterprises and Schedule 2.34: unincorporated non-agricultural enterprises (excluding construction). The detail concepts and definition of the main schedule (i.e. Schedule 2.34) is discussed in Chapter Two while in Appendix C, the schedule is reproduced.
- Out of the total number of 424 FSUs (16 villages and 408 urban blocks) allotted for Delhi as state sample, all the 424 FSUs (16 villages and 408 urban blocks) were surveyed for canvassing Schedule 2.34. The total number of enterprises surveyed was 8767 (425 in rural areas and 8342 in urban areas). The sector wise detailed allocation of FSU and corresponding numbers of surveyed FSU is given in Table A1.

- **Table A1: Number of first stage units (villages/blocks) allotted and surveyed in Delhi:**

	Rural	Urban	Total
Alloted	16	408	424
Surveyed	16	408	424

Contents of the present report:

- This report contains four Chapters and three Appendices. Following the present introductory chapter (Chapter One), Chapter Two outlines different concepts and definition that were used during the survey. An outline of the sample design and estimation procedure is presented in chapter three. Summary findings on economic characteristics of unincorporated non-agricultural enterprises (excluding construction) are presented in Chapter four. The coverage of the survey in terms of NIC 2008 and notations of different activities covered in the survey are given in Table A2 and A3 respectively.
- The detailed tables elaborating the results at Delhi state level are given in Appendix A while Appendix B give facsimile of the schedule(Sch 2.34) canvassed in the survey.

Table A2: Coverage of the survey in terms of National Industrial Classification- 2008 codes

A. National Industrial Classification 2008 codes under coverage of the survey	
Division/ Group	Description
Manufacturing	
01632	Cotton Ginning, Cleaning and Bailing
10	Manufacture of Food Products
11	Manufacture of Beverages
12	Manufacture of Tobacco Products
13	Manufacture of Textiles
14	Manufacture of Wearing Apparel
15	Manufacture of Leather and Related Products
16	Manufacture of Wood and of Products of Wood and Cork, except Furniture; Manufacture of Articles of Straw and Plaiting Materials
17	Manufacture of Paper and Paper Products
18	Printing and Reproduction of Recorded Media
19	Manufacture of Coke and Refined Petroleum Products
20	Manufacture of Chemicals and Chemical Products
21	Manufacture of Pharmaceuticals, Medicinal Chemical and Botanical Products
22	Manufacture of Rubber And Plastics Products
23	Manufacture of Other Non-Metallic Mineral Products
24	Manufacture of Basic Metals
25	Manufacture of Fabricated Metal Products, except Machinery and Equipment
26	Manufacture of Computer, Electronic and Optical Products
27	Manufacture of Electrical Equipment
28	Manufacture of Machinery and Equipment N.E.C.
29	Manufacture of Motor Vehicles, Trailers and Semi-Trailers
30	Manufacture of Other Transport Equipment
31	Manufacture of Furniture
32	Other Manufacturing
33	Repair And Installation of Machinery and Equipment
Trading	
45	Wholesale and Retail Trade and Repair of Motor Vehicles and Motorcycles
46	Wholesale Trade, except of Motor Vehicles and Motorcycles
47	Retail Trade, except of Motor Vehicles and Motorcycles
Other Services	
37	Sewerage
38	Waste collection, treatment and disposal activities; materials recovery

39	Remediation activities and other waste management services
492	Other Land Transport (excluding 49212, 49213)
50	Water Transport
52	Warehousing and Support Activities for Transportation
53	Postal and Courier Activities
55	Accommodation
56	Food and Beverage Service Activities
58	Publishing Activities
59	Motion Picture, Video and Television Programme Production, Sound Recording and Music Publishing Activities
60	Programming and Broadcasting Activities
61	Telecommunications
62	Computer Programming, Consultancy and Related Activities
63	Information Service Activities
643	Trusts, Funds and Other Financial Vehicles (including special code 64309)
649	Other Financial Service Activities Except Insurance And Pension Funding Activities (including special code 64929)
65	Insurance, Reinsurance and Pension Funding, except Compulsory Social Security
661	Other Financial Activities (excluding 6611)
662	Activities Auxiliary to Insurance and Pension Funding (excluding 6629)
663	Fund management activities
68	Real Estate Activities
69	Legal and Accounting Activities
70	Activities of head offices; management consultancy activities
71	Architecture and Engineering Activities: Technical testing and Analysis
72	Scientific Research and Development
73	Advertising and Market Research
74	Other Professional, Scientific And Technical Activities
75	Veterinary Activities
771	Renting and leasing of motor vehicles
772	Renting and leasing of personal and household goods
773	Renting and leasing of other machinery, equipment and tangible goods n.e.c.
78	Employment Activities
79	Travel Agency, Tour Operator And Other Reservation Service Activities
80	Security and Investigation Activities
81	Services To Buildings And Landscape Activities
82	Office Administrative, Office Support and Other Business Support Activities
85	Education

86	Human Health Activities
87	Residential Care Activities
88	Social Work Activities Without Accommodation
90	Creative, Arts and Entertainment Activities
91	Libraries, Archives, Museums and Other Cultural Activities
92	Gambling and Betting Activities <i>(coverage will be restricted to legal activities only)</i>
93	Sports Activities and Amusement and Recreation Activities
941	Activities of business, employers and professional membership organizations
949	Activities of other membership organizations (excluding 9492 and part of 9491 relating to organization.
95	Repair of computers and personal and household goods
96	Other personal service activities

B. National Industrial Classification 2008 codes outside the coverage of the survey

1. All codes under sections:
 - A (Agriculture, forestry and fishing excluding 01632);
 - B (Mining and quarrying);
 - D (Electricity, gas, steam and air conditioning supply);
 - F (Construction);
 - O (Public administration and defence; compulsory social security);
 - T (Activities of households as employers; undifferentiated goods and services producing activities of households for own use);
 - U (Activities of extraterritorial organizations and bodies).
2. Codes: 36, 491, 49212, 49213, 493, 51, 641, 642, 6611, 774, 942, 9491(organisations only), 9492

Table A3: Notations of different activity categories covered in the survey

Description of activity category	Notations used in tables
Cotton ginning, cleaning and bailing	M1
Manufacture of food products	M2
Manufacture of beverages	M3
Manufacture of tobacco products	M4
Manufacture of textiles	M5
Manufacture of wearing apparel	M6
Manufacture of leather and related products	M7
Manufacture of wood and products of wood and cork, except furniture;	M8
manufacture of articles of straw and plaiting materials	
Manufacture of paper and paper products	M9
	M10
Printing and reproduction of recorded media	
Manufacture of coke and refined petroleum products	M11
Manufacture of chemicals and chemical products	M12
Manufacture of pharmaceuticals, medicinal chemical and botanical products	M13
Manufacture of rubber and plastics products	M14
Manufacture of other non-metallic mineral products	M15
Manufacture of basic metals	M16
Manufacture of fabricated metal products, except machinery and equipment	M17
Manufacture of computer, electronic and optical products	M18
Manufacture of electrical equipment	M19
Manufacture of machinery and equipment n.e.c.	M20
Manufacture of motor vehicles, trailers and semi-trailers	M21
Manufacture of other transport equipment	M22
Manufacture of furniture	M23
Other manufacturing	M24
Repair and installation of machinery and equipment	M25
Manufacturing activities	M
Trade and repair of motor vehicles and motor cycles	T1
Activities of commission agents	T2
Other wholesale trade	T3

Other retail trade	T4
Trading activities	T
Accommodation	S1
Food service activities	S2
Land transport	S3
Water transport	S4
Warehousing and storage	S5
Support activities for transportation, postal and courier activities	S6
Information and Communication	S7
Financial service activities except insurance and pension funding	S8
Other financial activities	S9
Real estate activities	S10
Professional, Scientific and Technical activities	S11
Administrative and support service activities	S12
Education	S13
Human Health and Social work	S14
Other community, social and personal service activities	S15
Other services	S
ALL	M+T+S

CHAPTER TWO

CONCEPTS AND DEFINITIONS

- Important concepts and definitions of some important terms used in the survey and relevant to this report are explained in the following paragraphs.
- **House:** Every structure, tent, shelter, etc. was considered as a house irrespective of its use. It might have been used for residential or non-residential purpose or both or even it might have been vacant.
- **Household:** A group of persons who normally lived together and taking food from a common kitchen constituted a household. It included temporary stay-aways (those whose total period of absence from the household was expected to be less than 6 months) but excluded temporary visitors and guests (expected total period of stay less than 6 months). Even though the determination of the actual composition of a household was left to the judgment of the head of the household, the following procedures were adopted as guidelines.
 - (i) Each inmate (including residential staff) of a hostel, mess, hotel, boarding and lodging house, etc., constituted a single-member household. If, however, a group of persons among them normally pool their income for spending, they were together treated as forming a single household. For example, a family living in a hotel was treated as a single household.
 - (ii) In deciding the composition of a household, more emphasis was given on 'normally living together' than on 'ordinarily taking food from a common kitchen'. In case the place of residence of a person was different from the place of boarding, he or she was treated as a member of the household with whom he or she resided.
 - (iii) A resident employee, or domestic servant, or a paying guest (but not just a tenant in the household) was considered as a member of the household with whom he or she resided even though he or she was not a member of the same family.
 - (iv) When a person sleeps in one place (say, in a shop or in a room in another house because of space shortage) but usually took food with his or her family, he or she was treated not as a single member household but as a member of the household in which other members of his or her family stayed.

- (v) If a member of a family (say, a son or a daughter of the head of the family) stayed elsewhere (say, in hostel for studies or for any other reason), he/ she was not considered as a member of his/ her parent's household. However, he/ she were considered as a single member household if the hostel is listed.
- **Public Works:** 'Public Works' were those activities which were sponsored by Government or Local Bodies, and which covered local area development works like construction of roads, dams, bunds, digging of ponds, etc., as relief measures, or as an outcome of employment generation schemes under the poverty alleviation programme such as National Rural Employment Guarantee Act (NREG) programme, Sampoorna Grameen Rozgar Yojana (SGRY), National Food for Work Programme (NFFWP), etc.
 - **Enterprise:** An enterprise is an undertaking which is 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, or by an institutional body.
 - **Non-Agricultural Enterprise:** All enterprises covered under sections 'C' to 'S' of NIC-2008 are "non-agricultural enterprises". All non-agricultural enterprises will be henceforth referred to as NAE for this survey.
 - **Unincorporated Non-Agricultural Enterprises:** Non-agricultural enterprises which are not incorporated (i.e. registered under Companies Act, 1956) were covered in the survey. Further, the domain of 'unincorporated enterprises' excluded (a) enterprises registered under sections 2m(i) and 2m(ii) of the Factories Act, 1948 or biri and cigar manufacturing enterprises registered under biri and cigar workers (condition of employment) Act, 1966, (b) government/public sector enterprises and (c) cooperatives. Thus the coverage was restricted primarily to all household proprietary and partnership enterprises. In addition, Self Help groups (SHGs), Private Non-Profit Institutions (NPIs) including Non-Profit Institutions Serving Households (NPISH) and Trusts were also covered.
 - **Manufacturing Enterprise:** A manufacturing enterprise was 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. The units primarily engaged in maintenance and repair of industrial, commercial and similar machinery and equipment, which were, in general, classified in the same class of manufacturing as those specialising in manufacturing the goods were also included.

Thus all activities covered by NIC - 2008 divisions 10 to 33 of NIC- 2008 were considered as 'manufacturing' for the purpose of the survey. In addition, the activity of cotton ginning, cleaning and baling (NIC - 2008 code 01632) was covered in the present survey. However the production of goods for the sole purpose of domestic consumption was not considered as manufacturing.

- **Trading Enterprise:** A trading enterprise is an undertaking engaged in trade. Trade is defined to be an act of purchase of goods and their disposal by way of sale without any intermediate physical transformation of the goods. Thus all the trading activities, both wholesale and retail (perennial, casual or seasonal) listed under NIC-08 divisions 45 to 47 was treated as trade in this survey. The activities of intermediaries who do not actually purchase or sell goods but only arrange their purchase and sale and earn remuneration by way of brokerage and commission was also treated as trade. The purchase and sale agents, brokers listed under NIC-08 division and auctioneers listed under NIC group were also covered in this survey.

- **Servicing Enterprise:** A servicing enterprise or service sector enterprise is engaged in activities carried out for the benefit of a consuming unit and typically consists of changes in the condition of consuming units realized by the activities of servicing unit at the demand of the consuming unit. It is possible for a unit to produce a service for its own consumption provided that the type of activity is such that it could have been carried out by another unit. Some examples of changes that a producer of service brings about in the condition of consumers of service are:
 - a) Changes in the condition of consumer goods: the producer works directly on goods owned by the consumer by transporting, cleaning, repairing or otherwise transforming them;
 - b) Changes in the physical condition of persons: the producer transports the persons, provides them with accommodation, provides them with medical or surgical treatments, improves their appearance etc;
 - c) Changes in the mental condition of persons: the producer provides education, information, advice, entertainment or similar services;
 - d) Changes in the general economic state of the institutional unit itself: the producer provides insurance, financial intermediation, protection, guarantees, etc.

All activities under NIC - 2008 Sections D - U except section G (trade) are considered as service activities other than trade. However, sections D (Electricity, gas, steam and air conditioning supply), F (Construction), O (Public administration and defence; compulsory social security), T (Activities of households as employer; undifferentiated

goods and services producing activities of households for own use) and U (Activities of extraterritorial organisations and bodies) were excluded from coverage of this survey. Only unincorporated enterprises in the service sector under coverage were surveyed. Among these also, activities under certain NIC - 2008 codes, viz. 36 (water collection, treatment and supply), 491 (transport via railways), 49212 (urban or suburban tramways), 49213 (urban or suburban underground or elevated railways), 493 (transport via pipeline), 51 (air transport), 641 (monetary intermediation), 642 (activities of holding companies), 6611 (Administration of financial markets), 774 (Leasing of nonfinancial intangible assets), 942 (activities of trade unions), 9491 (activities of religious organisations [although activities of individuals are covered]), 9492 (activities of political organisations) were kept out of survey coverage.

- **Financial Enterprise:** A financial enterprise is a servicing enterprise that is principally engaged in financial intermediation or in auxiliary financial activities which are closely related to financial intermediation. Financial intermediation is a productive activity in which an institutional unit incurs liabilities on its own account for the purpose of acquiring financial assets by engaging in financial transactions on the market. The role of financial intermediaries is to channel funds from lenders to borrowers by intermediating between them.
- **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.
- **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, co-operative societies, other type of societies, institutions, associations, trusts, etc. Non-household enterprises covered under public sector were not included in the current survey.
- **Own Account Enterprise (OAE):** An enterprise, which is run without any hired worker employed on a fairly regular basis, is termed as an own account enterprise.

- **Establishment:** An enterprise which is employing at least one hired worker on a fairly regular basis is termed as establishment. Paid or unpaid apprentices, paid household member/servant/resident worker in an enterprise are considered as hired workers.
- **Non-Directory Establishment (NDE):** An establishment having one to five workers (household and hired taken together) is termed as a non-directory establishment.
- **Directory Establishment (DE):** A directory establishment is an establishment, which has got six or more workers (household and hired taken together).
- **Perennial Enterprise:** Enterprises that are run more or less regularly throughout the year are called perennial enterprises.
- **Seasonal Enterprise:** Seasonal enterprises are those, which are usually run in a particular season or fixed months of a year.
- **Casual Enterprise:** Enterprises that are run occasionally, for a total of at least 30 days in the last 365 days are called casual enterprises.
- **Classification of enterprises based on ownership:**
 - (i) **Proprietary:** When an individual is the sole owner of an enterprise it is a proprietary enterprise. Own account production of fixed assets for own use, when produced by a single member, was classified as proprietary enterprise.
 - (ii) **Partnership:** Partnership is defined as the 'relation between persons who have agreed to share the profit of a business carried on by all or any one of them acting for all'. There may be two or more owners, belonging to the same or different households, on a partnership basis, with or without formal registration (where there is a tacit understanding about the distribution of profit among the so-called partners). Own account production of fixed assets, when produced by two or more members belonging to the same or different households will be classified as partnership enterprises. Thus, own account production of fixed assets by a group of households for community use was classified as partnership enterprise. The partnership enterprises registered under Limited Liability Partnership (LLP) Act, 2008 were excluded from coverage of the survey. Also, partnership enterprises registered under Factories Act, 1948 was outside the survey coverage.
 - (iii) **Government/Public Sector Enterprise:** An enterprise, which is wholly owned/run/managed by Central or State governments, quasi-government institutions, local bodies like Panchayat, Zilla Parisad, City Corporation, Municipal authorities, etc.,

autonomous bodies like Universities, Education boards, and institutions like schools, libraries etc. set up by the government, panchayat, etc., was considered as public sector enterprise. Enterprises owned/ managed by a single or a group of private persons with no participation of the Government, local body etc. in it, both in terms of management and shares, was considered as private sector enterprises. An enterprise was not considered as a public sector enterprise if it is run on a loan granted by government, local body, etc.

(iv) Private Limited Company: Private company means a company which by its articles:

- (a) restricts the right to transfer its shares, if any,
- (b) limits the number of its members to fifty not including-
 - (i) persons who are in the employment of the company, and
 - (ii) persons who, having been formerly in the employment of the company, were members of the company while in that employment and have continued to be members after the employment ceased; and
- (c) prohibits any initiation to the public to subscribe for any share in, or debentures of, the company.

Where two or more persons hold jointly one or more shares in a company, they were considered as a single member in this survey.

(v) Public Limited Company: A public limited company is defined as a company that is not a private company. As such public companies can have an unlimited number of members and can invite the public to subscribe to its shares and debentures. The minimum number of members required to form a public company is seven.

(vi) Co-operative Societies: Co-operative society is one that is formed through the co-operation of a number of persons, recognised as members of the society to benefit themselves. In the process, the funds are raised by members' contribution/investment and the profits generated out of the society's activities are shared by the members. A government agency itself can also be a member or shareholder of a registered co-operative society but this fact cannot render the society into a public sector enterprise for the purpose of this survey.

(vii) Trust: An arrangement through which one set of people, the trustees, are the legal owners of property which is administered in the interest of another set, the beneficiaries. Trusts may be set up to provide support for individuals or families, to provide pensions, to run charities, to liquidate the property of the bankrupts for the benefit of their creditors, or for the safe keeping of securities brought by trusts with

their investor's money. The assets, which trusts hold are regulated by law, must be administered in the interests of the beneficiaries, and not for the profit of the trustees.

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

NPIs are principally market producers but they may engage in non-market production also. It is important to distinguish between NPI's engaged in market and non-market production as this affects the sector of the economy to which an NPI is allocated. Most market NPIs serving businesses are created by associations of the businesses whose interests they are designed to promote. They consist of chambers of commerce, agricultural, manufacturing or trade associations, employers' organisations, research or testing laboratories or other organisations or institutes which engage in activities which are of mutual interest or benefit to the group of businesses that control and finance them.

(ix) Self-help Groups: A self-help group (SHG) is a financial intermediary usually composed of between 10-20 local persons. Members of a SHG make small regular savings contributions over a few months until there is enough capital in the group to begin lending. Funds may then be lent back to the members or to others in the locality for any purpose. Also many SHGs are 'linked' to banks for the delivery of microcredit. The characteristic features of self-help groups may be summarised as follows:

- SHG is a small group generally comprising of people who are poor or economically weak, who have voluntarily come forward to form a group for improvement of the social and economic status of the members.
- It can be formal (registered) or informal.

- The concept underlines the principle of Thrift, Credit and Self Help.
 - Members of SHG agree to save regularly and contribute to a common fund.
 - The members agree to use this common fund and such other funds (like grants and loans from banks), which they may receive as a group, to give small loans to needy members as per the decision of the group.
 - The ideal size of an SHG is 10 to 20 members. Also, legally it is required that an informal group should not be of more than 20 people). However, in difficult areas like deserts, hills and areas with scattered and sparse populations and in case of disabled persons, this number may be 5-20.
 - The group need not be registered.
 - From one family, only one person can become a member of an SHG. (More families can join SHGs this way).
 - The group normally consists of either only men or only women.
 - Members should be between the age group of 21-60 years.
 - Members should be poor people [the term poor is in relation to the economic and living conditions and this has no relation to poverty line. People living above poverty line (APL) can also form SHG like people living below poverty line (BPL)].
- **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 treated as separate enterprise if information from them was separately available. If the account were separable then the data pertaining to the enterprise as a whole was collected and the enterprise was classified as having mixed activities and the activities of such enterprises are generally a mixture of NIC's. The activities may be mixed at any level of NIC, but for the present survey and enterprise was considered to have mixed activities if its activities are different at 2-digit level of NIC-2008. The appropriate NIC in such cases was determined on the basis of major activity. Major activity refers to the activity which yields maximum income/turnover/employment. The above criteria are applied in the given order, i.e., income first, then turnover and then employment, to determine the major activity.
 - **Multiple Activity:** Since many of the entrepreneurs belonging to the unorganised and informal sector operate at all small or marginal levels, the phenomena of carrying out more than one activity simultaneously or at different times 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 more than one economic activity by the entrepreneur during the reference year

was called multiple activities. It differs from mixed activities in the sense that former is with respect to the entrepreneur whereas the latter with respect to the enterprise. However, an entrepreneur of a manufacturing enterprise manufacturing woollen garments before winter and cotton clothes before summer was not considered as carrying as multiple activities.

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

If some enterprise was unable to give information for the last 30 days and was able to give information for the latest calendar month from their books, figures for the latest calendar month were taken. Month would refer to a period of 30 days. For some of the items like value of fixed assets, amount of loan outstanding etc., the reference period was 'as on the date of survey'. For some other items like net additions to fixed assets, number of months operated, number of other economic activities taken up etc., the period of reference was the 'last 365 days preceding the date of survey'. For enterprises maintaining accounts and giving information from their books of accounts, reference year, 'last 30 days/last month' and 'last date of the reference year' would respectively relate to 'last accounting year for which information is available', 'last month of the said accounting year' and 'last date of the accounting year'.

- **Worker:** For this survey, a worker was defined as all persons working within the premises of the enterprise who were in the payroll of the enterprise as also the working owners and unpaid family workers. 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 entrepreneurial activity. Salespersons appointed by an enterprise for selling its services and apprentices, paid or unpaid were also treated as workers.
- **Working owner.** In the case of proprietary enterprises, if the owner himself/ herself works in the enterprise on a fairly regular basis, then he/she will be treated as working

owner. In fact, in most of the own-account enterprises the owner himself/ herself manages all activities of the enterprise without help of anybody else (on fairly regular basis). 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 information for them shall be recorded.

- **Formal Hired Worker:** A formal hired worker is one having continuity of job and eligible for paid annual leave and also eligible for social security benefits like provident fund or insurance provided by the employer.
- **Informal Hired Worker:** An informal hired worker is not having continuity of job and/or not eligible for paid annual leave and/or not eligible for social security benefits like provident fund or insurance provided by the employer.
- **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.
- **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'.

CHAPTER THREE

SAMPLE DESIGN AND ESTIMATION PROCEDURE

The field work of 67th round was carried out during 1st July, 2010 to 30th June, 2011. The entire survey period was divided into four sub-rounds of three-month duration each and equal number of sample villages and blocks were allocated to each sub-round. Each FSU was surveyed during the sub-round period to which it was allocated. Within a particular sub-round, the framework was spread out uniformly over different months to the extent possible.

SAMPLE DESIGN

A stratified multi-stage sampling design was adopted in this round. Census 2001 list of villages have been used as the sampling frame for rural areas. Auxiliary information such as number of enterprises, number of workers, type of enterprises, activities of enterprises, etc. available from EC-2005 frame were used for stratification, sub-stratification and selection of enterprises. In the urban sector, EC-2005 frame was used for the cities (like Delhi) with population more than a million as per census 2001.

STRATIFICATION

Each district was a basic stratum in both rural and urban areas. However, in case of urban, each city with population of 1 million more as per Census 2001 forms a separate stratum and all other cities/towns of a district are grouped to form another stratum.

Sub-stratification:

(i) Rural: There were three sub-strata in the rural sector, viz.:

- (1) Villages with at least 5 establishments (NDE/DE) under coverage in the manufacturing sector as per EC-2005 information;
- (2) Remaining villages having at least 5 NDE/DE under coverage in the services sector including trade as per EC-2005 information;
- (3) Remaining villages of the stratum.

(ii) Urban (Million plus cities) :

For each stratum / million plus city, 20 sub-strata were formed as follows:

- Sub-stratum 1: Blocks with one or more establishment in insurance & pension funding;

- Sub-stratum 2: Remaining blocks with one or more establishment in storage & warehousing;
- Sub-stratum 3: Remaining blocks with one or more establishment in accommodation;
- Sub-strata 4-8: Remaining blocks with one or more establishment in broad activities of manufacturing (as per SSS formation discussed subsequently under para 3.9);
- Sub-strata 9-12: Remaining blocks with one or more establishment in broad activities of trade (as per SSS formation in para 3.9);
- Sub-strata 13-19: Remaining blocks with one or more establishment in broad activities of other services (as per SSS formation in para 3.9) excluding the activities covered under sub-strata 1-3.
- Sub-strata 20: All remaining blocks of the stratum.

Note that if the number of FSUs in the frame of a rural or urban sub-stratum was found to be less than 8, then separate sub-stratum was not formed and it was merged with the adjacent sub-stratum.

Formation of segment 9 and selection of hamlet-groups/ sub-blocks:

Formation of Segment 9: After determining the boundaries of the sample FSU, all non-agricultural enterprises with 20 or more workers in the entire FSU and had been operated for at least one day during last 365 days preceding the day of survey (hereinafter to be called as ‘big enterprises’) were listed and all the eligible units under coverage were surveyed. All the listed big units (whether under coverage or not) constituted segment 9 and all eligible enterprises under coverage were surveyed in segment 9.

Criterion for hamlet-group/ sub-block formation: After forming the segment 9 as stated above, it was to be determined whether listing had to be done in the whole sample FSU or not. For this, approximate present population (P) and approximate total number of non-agricultural enterprises (E) for the whole FSU was ascertained first from knowledgeable persons. Depending upon the values of ‘P’ and ‘E’, it was divided into a suitable number (say, D) of ‘hamlet-groups’ in the rural sector and ‘sub-blocks’ in the urban sector as stated below. Final value of ‘D’ was the higher of the two values ‘P’ and ‘E’ based on the dual criteria. While considering enterprise criteria, segment 9 enterprises, if any, was excluded from the count of ‘E’, if possible.

Population/Enterprise dual criteria			
Population (P)	No. of hgs/ sbs to be formed	No. of Non-Agricultural Enterprises (E)	No. of hgs/ sbs to be formed
less than 1200	1	less than 120	1
1200 - 1599	4	120 - 159	4
1600 - 1999	5	160 - 199	5
2000 - 2399	6	200 - 239	6
and so on	...	and so on	...

Formation and selection of hamlet-groups/ sub-blocks: In case hamlet-groups/ sub-blocks were formed in the sample FSU, the same was done either by more or less equalizing population or by equalising number of non-agricultural enterprises. If the criterion for deciding the value of 'D' was population, then hgs/sbs were formed by equalising population. On the other hand if enterprise criterion had been used for deciding the value of 'D', then equalise the number of non-agricultural enterprises to form 'D' number of hg/sb. the value of 'D' was same for both population and enterprise criteria, then hg/sb may be formed by equalising population.

Segments 1 & 2: Two segments (in addition to segment 9 already formed) were selected from a large FSU wherever hamlet-groups/sub-blocks were formed in the following manner – Segment 1 was the hg/sb having maximum number of establishments under the coverage. Two more hg's/sb's were chosen by SRSWOR and combined to form Segment 2. Listing and selection of the enterprises were done independently in the two selected segments. The FSUs without hg/ sb formation was treated as sample segment number 1.

Formation of Second Stage Strata and allocation of enterprises for schedule 2.34:

A maximum of nineteen (19) second-stage strata (SSS) were formed within each sample FSU. Composition of various SSS was as follows:

- (i) 5 SSS considering various broad manufacturing groups were formed in each segment for Manufacturing sector Establishments: (1) SSS 1 - Food products, Beverage and Tobacco Products, (2) SSS 2 - Textiles, Leather, etc. and Cotton ginning, cleaning and baling, (3) SSS 3 - Wood and wood products, paper and paper products, printing and publishing etc & Furniture, (4) SSS 4 - Petroleum Products, chemicals, rubber, metals, metal products, machinery and equipments, etc., and (5) SSS 5 – remaining manufacturing activities.
- (ii) 4 SSS were formed in each segment for Trade sector Establishments: SSS 6- comprises the activities of commission agents. Excluding the activity of commission agents, three more SSS were formed. They were as follows: SSS 7 - Trade and repair of motor vehicles and motor cycles; SSS 8 – other wholesale trade and SSS 9 – other retail trade.

- (iii) 7 SSS were formed in each segment for Service sector Establishments (other than trade) corresponding to the following broad activities: SSS 10 – Accommodation & food service, SSS 11 - Transport, storage, information & communication, SSS 12 - Financial & insurance activities, SSS 13 - Real Estate and Renting and Business Activities, SSS 14 - Education, SSS 15 – Human health & Social work, and SSS 16 - Other services.
- (iv) 3 SSS were formed in each segment for own account enterprises (OAEs) as follows: SSS- 17 – OAEs in Manufacturing, SSS 18 – OAEs in Trade, and SSS 19 – OAEs in Other services.

NIC 2008 codes grouped under each SSS are listed in the following table:

SSS number	NIC 2008 Codes	Description of major activities
A.Establishments		
A.1 Manufacturing		
1	10 – 12	Food products, Beverages and Tobacco products
2	01632, 13 – 15	Cotton ginning, cleaning and bailing, Textiles, Wearing Apparel, Leather and Leather products
3	16 – 18, 31, 32	Wood and wood products, paper and paper products, printing etc.
4	19 – 25, 27, 28, 33	Petroleum Products, Chemicals, Pharmaceuticals, Rubber, Plastics, Metals, Metal products, machinery and equipments etc.
5	26, 29, 30	Remaining manufacturing activities

A.2 Trade		
6	461	Commission agents for wholesale trade
7	45	Trade and repair of motor vehicles and motorcycles
8	462, 463, 464, 465, 466, 469	Other wholesale trade
9	47	Other retail trade
A.3 Other Services		
10	55, 56	Accommodation and food service activities
11	49211, 49219, 4922, 4923, 50, 52, 53, 58 – 63	Transport, Storage, Information and Communication
12	64300, 64309 (SHG), 6491, 64920, 64929 (activity of money lenders), 6499, 65, 6612, 6619, 662, 663	Financial and Insurance activities
13	68, 69, 70 – 75, 771, 772, 773, 78 – 82	Real Estate, Professional, Scientific and Technical, Rental & Leasing activities
14	85	Education
15	86 – 88	Human Health and Social work
16	37 – 39, 90 – 93, 941, 9491, 9499, 95, 96	Other personal services

B. OAEs : Manufacturing, Trade and Other Services		
17	01632, 10 – 33	Manufacturing
18	45 – 47	Trade
19	37 – 39, 49211, 49219, 4922, 4923, 50, 52 – 63, 64300, 64309, 6491, 64920, 64929, 6499, 65, 6612, 6619, 662, 663, 68, 69, 70 – 75, 771, 772, 773, 78 – 82, 85 – 93, 941, 9491, 9499, 95, 96	Other Services
Sections: A, B, D, F, O, T, U, Codes: 36, 491, 49212, 49213, 493, 51, 641, 642, 6611, 774, 942, 9491(organisations only), 9492		

Selection of enterprises:

The number of enterprises selected for survey (excluding segment 9) from each FSU × segment × SSS is given below:

Enterprise type	Sector	SSS number	Number of enterprises to be surveyed	
			Without hg/ sb formation	With hg/ sb formation (for each segment)
Establishments	Manufacturing	1	2	1
		2	2	1
		3	2	1
		4	2	1
		5	2	1
		sub-total	10	5
	Trade	6	2	1
		7	2	1
		8	2	1
		9	2	1
		sub-total	8	4
	Services	10	2	1
		11	2	1
		12	2	1
		13	2	1
		14	2	1
		15	2	1
		16	2	1
sub-total	14	7		
OAEs	Manufacturing	17	4	2
	Trade	18	4	2
	Services	19	4	2
	sub-total	12	6	

It may be noted that from each segment \times SSS, at least one enterprise was surveyed if there were some enterprises in the corresponding frame. In addition to the above, all the eligible enterprises of segment 9 were surveyed.

Selection of Enterprises: Sample enterprises from each SSS were selected by SRSWOR. However, all the establishments in the frame were selected for a broad category of establishments (manufacturing/trade/other services) in the following situations:

- (i) All the manufacturing establishments if total number of establishments in manufacturing SSSs is less than or equal to 10 considering both the segments 1 & 2
- (ii) All the trading establishments if total number of establishments in trading SSSs is less than or equal to 8 considering both the segments 1 & 2
- (iii) All the 'other service sector' establishments if total number of establishments in other services SSSs is less than or equal to 14 considering both the segments 1 & 2.

Estimation Procedure

Notations:

s = subscript for s-th stratum

t = subscript for t-th sub-stratum

m = subscript for sub-sample (m =1, 2)

i = subscript for i-th FSU [village (panchayat ward)/ block/ non-UFS town]

d = subscript for a segment (d = 1, 2, 9)

j = subscript for j-th second stage stratum in an FSU/ segment [j = 1, 2, 3,, 19]

k = subscript for k-th sample enterprise under a particular second stage stratum within an FSU/ segment

D = total number of hg's/ sb's formed in the sample FSU

$D^* = 0$ if $D = 1$

$= (D - 1)/2$ for FSUs with $D > 1$

N = total number of FSUs in any urban sub-stratum

Z = total size of a rural sub-stratum (= sum of sizes for all the FSUs of a sub-stratum)

z = size of sample village used for selection.

n = number of sample FSUs surveyed including 'zero cases' but excluding casualty for a particular sub-sample and sub-stratum.

E = total number of enterprises listed in a second-stage stratum of an FSU / segment of sample FSU

e = number of enterprises surveyed in a second-stage stratum of an FSU / segment of sample FSU

x, y = observed value of characteristics x, y under estimation

X, Y = estimate of population total X, Y for the characteristics x, y

Under the above symbols,

$y_{stmidjk}$ = observed value of the characteristic y for the k -th enterprise in the j -th second stage stratum of the d -th segment ($d = 1, 2, 9$) of the i -th FSU belonging to the m -th sub-sample for the t -th sub-stratum of s -th stratum.

However, for ease of understanding, a few symbols have been suppressed in following paragraphs where they are obvious

Schedule 0.0:

Rural:

- (i) For estimating the number of enterprises possessing a characteristic:

$$\hat{Y} = \frac{Z}{n} \sum_{i=1}^n \frac{1}{n} [y_{i9} + y_{i1} + D_i^* \times y_{i2}]$$

Where y_{i9}, y_{i1}, y_{i2} are the total number of enterprises possessing the characteristic y in segment 9, 1 & 2 of the i -th FSU respectively.

- (ii) For estimating the number of villages in a sub-stratum possessing a characteristic:

$$\hat{Y} = \frac{Z}{n} \sum_{i=1}^n \frac{1}{Z_i} y_i$$

where, y_i is taken as 1 for sample villages possessing the characteristic and 0 otherwise.

Urban:

- (a) Estimation formula for a sub-stratum of million plus cities (excluding Mumbai):

- (i) For estimating the number of enterprises possessing a characteristic:

$$\hat{Y} = \frac{Z}{n} \sum_{i=1}^n \frac{1}{Z_i} [y_{i9} + y_{i1} + D_i^* \times y_{i2}]$$

Where y_{i9}, y_{i1}, y_{i2} are the total number of enterprises possessing the characteristic y in segment 9, 1 & 2 of the i -th FSU respectively.

- (b) Estimation formula for a sub-stratum of other strata:

(i) For estimating the number of enterprises possessing a characteristic:

$$\hat{Y} = \frac{N}{n} \sum_{i=1}^n [y_{i9} + y_{i1} + D_i^* \times y_{i2}]$$

Where y_{i9} , y_{i1} , y_{i2} are the total number of enterprises possessing the characteristic y in segment 9, 1 & 2 of the i -th FSU respectively.

Schedules 2.34:

Rural:

Estimation formula for a sub-stratum:

(i) For enterprises selected in j -th second stage stratum:

$$\hat{Y}_j = \frac{Z}{n_j} \sum_{i=1}^{n_j} \frac{1}{Z_i} \left[\sum_{k=1}^{e_{i9j}} y_{i9jk} + \frac{E_{i1j}}{e_{i1j}} \sum_{k=1}^{e_{i1j}} y_{i1jk} + D_i^* \times \frac{E_{i2j}}{e_{i2j}} \sum_{k=1}^{e_{i2j}} y_{i2jk} \right]$$

(ii) For all selected enterprises:

$$\hat{Y} = \sum_j \hat{Y}_j$$

Urban:

(a) Estimation formula for a sub-stratum of million plus cities (except Mumbai):

(i) For enterprises selected in j^{th} second stage stratum:

$$\hat{Y}_j = \frac{Z}{n_j} \sum_{i=1}^{n_j} \frac{1}{Z_i} \left[\sum_{k=1}^{e_{i9j}} y_{i9jk} + \frac{E_{i1j}}{e_{i1j}} \sum_{k=1}^{e_{i1j}} y_{i1jk} + D_i^* \times \frac{E_{i2j}}{e_{i2j}} \sum_{k=1}^{e_{i2j}} y_{i2jk} \right]$$

(ii) For all selected enterprises:

$$\hat{Y} = \sum_j \hat{Y}_j$$

(b) Estimation formula for a sub-stratum of other strata:

(i) For enterprises selected in j^{th} second stage stratum:

$$\hat{Y}_j = \frac{N}{n_j} \sum_{i=1}^{n_j} \frac{1}{Z_i} \left[\sum_{k=1}^{e_{i9j}} y_{i9jk} + \frac{E_{i1j}}{e_{i1j}} \sum_{k=1}^{e_{i1j}} y_{i1jk} + D_i^* \times \frac{E_{i2j}}{e_{i2j}} \sum_{k=1}^{e_{i2j}} y_{i2jk} \right]$$

(ii) For all selected enterprises:

$$\hat{Y} = \sum_j \hat{Y}_j$$

Overall Estimate for Aggregates:

Overall estimate for aggregates for a stratum (\hat{Y}_s) based on two sub-samples is obtained as:

$$\hat{Y}_s = \frac{1}{2} \sum_{m=1}^2 \hat{Y}_{sm}$$

Overall Estimate of Aggregates at State/UT/all-India level:

The overall estimate Y at the State/ UT/ all-India level is obtained by summing the stratum estimates \hat{Y}_s over all strata belonging to the State/ UT/ all-India.

CHAPTER FOUR

SUMMARY FINDING

This chapter is devoted to the analysis of the main features of the enterprises in the unincorporated non-agricultural sector (excluding construction) in Delhi. These results are based on 8767 number of sample enterprises surveyed during 2010-11. Main focus of analysis is on the number of enterprises, employment, value added and other related aspects. Comparison was also made with the sample results. This will help to ascertain broadly the growth trends in the past as well as the share of unincorporated non-agricultural sector in the whole of economic activities.

4.1 ESTIMATED NUMBER OF ENTERPRISES

Total number of enterprises in GNCT of Delhi falling within the sphere of the unincorporated non-agricultural sector covered under the 67th NSS round were estimated as 1154085. Out of them 24592 (2.13%) were in rural areas while 1129493 (97.87%) were operating in urban areas.

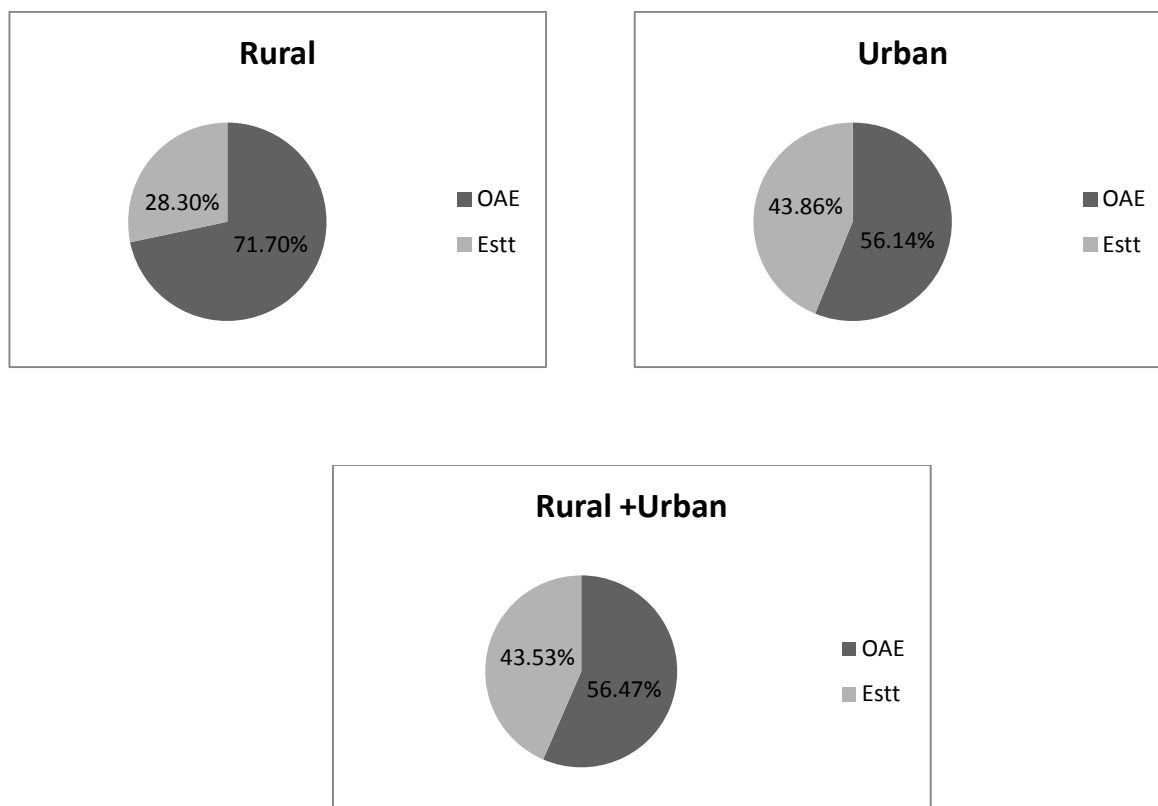
Statement 4.1: Number of enterprises by activity category

Broad activity category	Number of enterprises								
	Rural			Urban			Rural + Urban		
	OAE	Estt	All	OAE	Estt	All	OAE	Estt	All
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Manufacturing	1799	2911	4710	90691	146987	237678	92490	149898	242388
Trade	8035	2012	10047	289175	176053	465228	297210	178065	475275
Other Services	7798	2037	9835	254266	172321	426587	262064	174358	436422
Total	17632	6960	24592	634132	495361	1129493	651764	502321	1154085
% of total	1.53	0.60	2.13	54.95	42.92	97.87	56.47	43.53	100.00

Statement 4.1.1: Percentage distribution of enterprises by activity category:

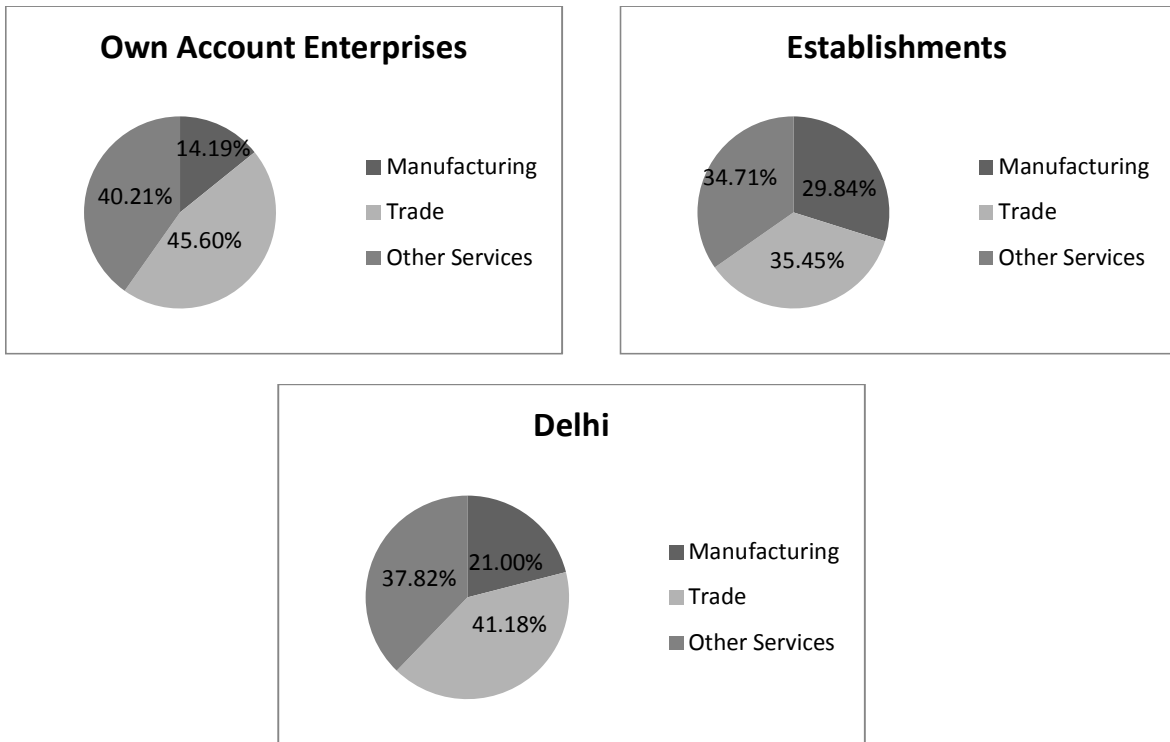
Broad activity category (1)	Number of enterprises								
	Rural			Urban			Rural + Urban		
	OAE (2)	Estt (3)	All (4)	OAE (5)	Estt (6)	All (7)	OAE (8)	Estt (9)	All (10)
Manufacturing	10.20	41.82	19.15	14.30	29.67	21.04	14.19	29.84	21.00
Trade	45.57	28.91	40.85	45.60	35.54	41.19	45.60	35.45	41.18
Other Services	44.23	29.27	39.99	40.10	34.79	37.77	40.21	34.71	37.82
Total	100	100	100	100	100	100	100	100	100

Graph 4.1: Percentage distribution of enterprises by sector and type:



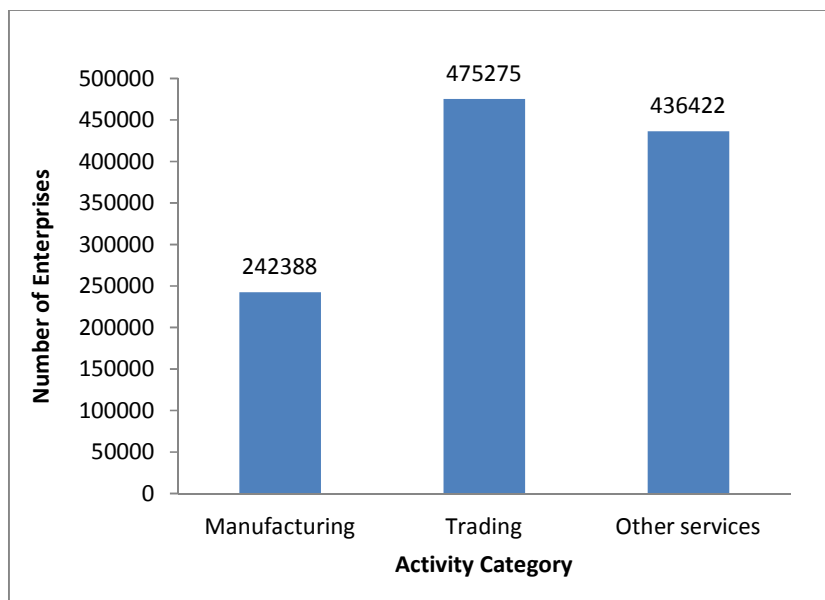
Further distribution of these enterprises brought to light that 651764 (56.47%) were household enterprises (OAE) operating without hired labour and 502321 (43.53%) were establishments. Distribution of enterprises by sector and type shown in the Graph 4.1.

Graph 4.2: Percentage distribution of enterprises by type and activity



Out of the total enterprises nearly 4.75 lacs were trading enterprises accounting for 41.18% of unincorporated non-agriculture sector in Delhi. The Share of manufacturing activity was estimated at 21% and the rest 37.82% were service sector enterprises.

Graph 4.3: Activity wise distribution of own account enterprises and establishments:



Among the own account enterprises trade (45.60%), other services (40.21%) and manufacturing (14.19%) were the major activities. On the other hand trade, other services and manufacturing accounted for 35.45%, 34.71% and 29.84% respectively in case of establishments.

Breakup of these enterprises major activity group-wise (as per tabulation category of NIC 2008) is presented in the statement 4.2.

Statement 4.2: Distribution of enterprises by broad activity category:

Activity Category	number of enterprises								
	Rural			Urban			Rural + Urban		
	OAE	Estt	All	OAE	Estt	All	OAE	Estt	All
M1	0	0	0	0	0	0	0	0	0
M2	319	298	617	8790	10300	19090	9109	10598	19707
M3	0	4	4	0	209	209	0	213	213
M4	0	0	0	0	0	0	0	0	0
M5	0	7	7	5501	12060	17561	5501	12067	17568
M6	274	448	722	34262	41873	76135	34536	42321	76857
M7	0	7	7	1606	4814	6420	1606	4822	6428
M8	0	3	3	1442	1147	2589	1442	1150	2592
M9	0	376	376	1448	5916	7364	1448	6292	7741
M10	7	0	7	3786	13702	17487	3793	13702	17495
M11	0	0	0	0	0	0	0	0	0
M12	0	0	0	175	492	667	175	492	667
M13	0	0	0	0	0	0	0	0	0
M14	0	414	414	2493	6541	9034	2493	6954	9447
M15	321	380	701	1099	361	1460	1420	741	2161
M16	0	1	1	195	273	468	195	274	469
M17	42	93	135	11154	10421	21575	11196	10513	21709
M18	0	0	0	67	5163	5230	67	5163	5230
M19	0	71	71	1670	11032	12701	1670	11103	12772
M20	0	3	3	0	914	914	0	917	917
M21	0	356	356	238	8362	8600	238	8719	8956
M22	0	1	1	11	176	187	11	177	189
M23	712	116	828	1453	2845	4298	2165	2961	5126
M24	78	302	380	12353	7969	20322	12431	8271	20701
M25	47	30	77	2949	2417	5366	2995	2448	5443
M	1799	2911	4710	90691	146987	237678	92490	149898	242388
T1	3	326	329	8203	34513	42715	8206	34839	43045
T2	0	0	0	215	245	460	215	245	460
T3	22	347	369	18042	37902	55944	18064	38250	56314
T4	8010	1339	9349	262715	103393	366108	270725	104732	375457
T	8035	2012	10047	289175	176053	465228	297210	178065	475275
S1	0	0	0	0	2955	2955	0	2955	2955

S2	1028	728	1756	39763	28533	68295	40791	29261	70051
S3	2512	111	2623	62113	6363	68475	64624	6474	71098
S4	0	0	0	0	0	0	0	0	0
S5	0	0	0	0	0	0	0	0	0
S6	0	19	19	419	2903	3322	419	2922	3341
S7	661	117	778	14188	7124	21313	14849	7241	22091
S8	92	0	92	331	237	568	423	237	661
S9	62	7	70	2967	2590	5558	3030	2598	5628
S10	1066	89	1155	18419	8088	26507	19485	8177	27662
S11	104	68	172	2989	14655	17644	3093	14723	17816
S12	31	159	190	12266	15726	27992	12297	15885	28182
S13	0	98	98	15961	16117	32078	15961	16215	32176
S14	284	254	538	7132	20628	27760	7416	20882	28298
S15	1958	386	2344	77718	46401	124120	79676	46788	126464
S	7798	2037	9835	254266	172321	426587	262064	174358	436422
M+T+S	17632	6960	24592	634132	495361	1129493	651764	502321	1154085

NCT of Delhi was 15th among the 35 States/UTs in respect of number of enterprises while Uttar Pradesh, West Bengal and Andhra Pradesh occupied the top three positions respectively. Delhi (State sample) accounted for 2% of the total unincorporated non-agriculture sector enterprises in the country. Graph 4.4 gives the State/UT wise ranking in the total number of enterprises.

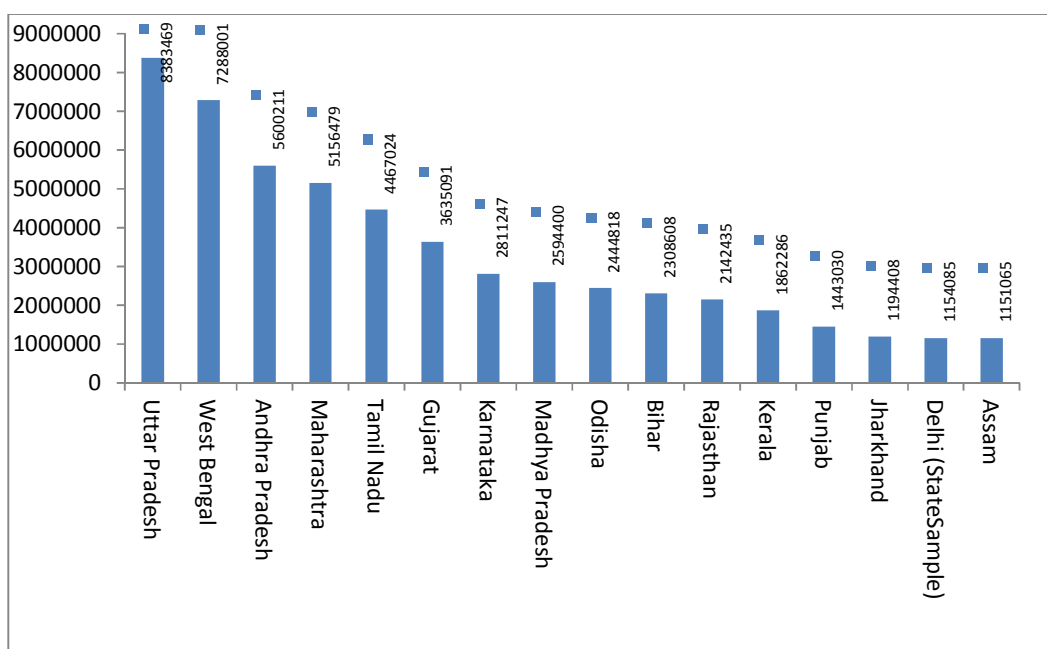
Statement 4.3: State-wise distribution of enterprises by type, sector and broad activity

State / UT	Rural			Urban			Rural + Urban			% Share
	OAE	estt.	all	OAE	estt.	all	OAE	estt.	all	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
Uttar Pradesh	4448590	276634	4725225	3000750	657494	3658245	7449340	934129	8383469	14.54
West Bengal	4419182	296942	4716124	1990990	580888	2571878	6410173	877829	7288001	12.64
Andhra Pradesh	3046796	246293	3293090	1830143	476979	2307121	4876939	723273	5600211	9.71
Maharashtra	1780248	145686	1925935	2427433	803110	3230544	4207682	948797	5156479	8.94
Tamil Nadu	1441566	232127	1673693	2073604	719727	2793331	3515171	951854	4467024	7.75
Gujarat	831929	96866	928795	2241038	465257	2706296	3072967	562125	3635091	6.3
Karnataka	1322446	89202	1411647	978803	420797	1399599	2301248	509999	2811247	4.87
Madhya Pradesh	1238465	90610	1329075	1063680	201645	1265325	2302146	292255	2594400	4.5

Odisha	1858503	127780	1986284	367679	90854	458533	2226182	218634	2444818	4.24
Bihar	1715471	99818	1815288	396286	97032	493317	2111758	196850	2308608	4
Rajasthan	990745	109258	1100002	830995	211438	1042433	1821740	320695	2142435	3.71
Kerala	957194	226212	1183404	455876	223006	678882	1413068	449218	1862286	3.23
Punjab	477700	84083	561783	662979	218270	881249	1140678	302353	1443030	2.5
Jharkhand	817730	71992	889722	242985	61702	304686	1060715	133694	1194408	2.07
Delhi (StateSample)	17632	6960	24592	634132	495361	1129493	651764	502321	1154085	2.00
(CentralSample)	19741	8022	27764	599639	496690	1096328	619380	504712	1124091	1.95
Assam	798820	126176	924996	142951	83119	226070	941770	209295	1151065	2.00
Haryana	377514	58539	436054	481177	139501	620678	858693	198040	1056732	1.83
Chhattisgarh	385137	32446	417583	177356	81424	258780	562495	113869	676364	1.17
Jammu & Kashmir	291164	60038	351202	196042	50586	246628	487206	110624	597830	1.04
Uttaranchal	245708	47622	293329	115730	56015	171745	361438	103637	465075	0.81
Tripura	313277	39246	352524	40359	5380	45739	353637	44626	398263	0.69
Himachal Pradesh	240988	37858	278847	50762	20138	70899	291750	57996	349745	0.61
Manipur	71210	2324	73532	46274	4023	50296	117483	6346	123829	0.21
Meghalaya	61756	19987	81743	9533	6264	15798	71289	26252	97541	0.17
Puducherry	6854	1572	8426	38804	12931	51735	45659	14502	60161	0.1
Chandigarh	4257	955	5212	44526	5708	50235	48784	6663	55446	0.1
Goa	20482	6106	26588	15132	12555	27688	35614	18662	54276	0.09
Nagaland	15828	2276	18103	7801	1864	9666	23628	4141	27769	0.05
Sikkim	14259	1745	16006	9065	2035	11100	23325	3781	27105	0.05
Arunachal Pradesh	10436	1331	11767	6724	3048	9772	17160	4378	21538	0.04
Mizoram	7112	677	7788	9543	3309	12851	16655	3985	20640	0.04
A&N.Islands	7024	998	8020	4179	2426	6605	11203	3424	14626	0.03
Dadra & N. Haveli	4209	1873	6081	1778	1461	3237	5985	3333	9319	0.02
Daman & Diu	2713	1602	4316	3266	931	4197	5980	2534	8513	0.01
Lakshadweep	958	180	1140	589	137	726	1549	317	1865	0
all-India	28246017	2645076	30891094	20564470	6217742	26782213	48810487	8862818	57673305	100

NB: All figures pertain to Central Sample except Delhi State.

Graph 4.4: State/UT wise distribution of Enterprise



4.2 EMPLOYMENT IN UNINCORPORATED NON-AGRICULTURAL ENTERPRISES SECTOR

The survey has estimated the number of Persons employed in the unincorporated non-agricultural enterprises sector of Delhi as 2979736. Out of total, 53523 (1.80%) were in rural areas whereas 2926213 (98.20%) were estimated to be working in urban areas of Delhi. Further study revealed that about 8.25 lakh persons accounting for 27.70% of the total were found to be employed in household enterprises (OAE) and 21.54 lakh persons (72.30%) were gainfully employed in establishments.

Statement 4.4 : Estimated number of workers by enterprise types and sector for each broad activity category

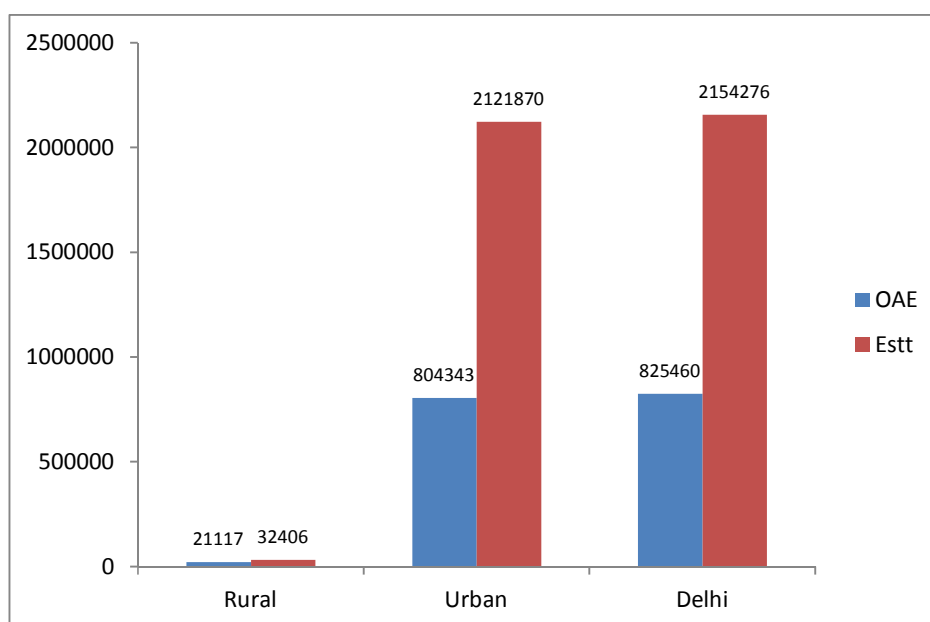
Broad activity category	Number of Workers								
	Rural			Urban			Rural + Urban		
	OAE	Estt	All	OAE	Estt	All	OAE	Estt	All
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Manufacturing	2485	20499	22984	133701	747183	880884	136186	767682	903868
Trade	10462	5993	16455	371932	581823	953755	382394	587816	970210
Other Services	8170	5914	14084	298710	792864	1091574	306880	798778	1105658
Total	21117	32406	53523	804343	2121870	2926213	825460	2154276	2979736

Statement 4.4.1: Percentage distribution of workers by broad activity category and sector for each enterprise

Broad activity category (1)	Number of Workers								
	Rural			Urban			Rural + Urban		
	OAE (2)	Estt (3)	All (4)	OAE (5)	Estt (6)	All (7)	OAE (8)	Estt (9)	All (10)
Manufacturing	11.77	63.26	42.94	16.62	35.21	30.10	16.50	35.64	30.33
Trade	49.54	18.49	30.74	46.24	27.42	32.59	46.32	27.29	32.56
Other Services	38.69	18.25	26.31	37.14	37.37	37.30	37.18	37.08	37.11
Total	100	100	100	100	100	100	100	100	100

Distribution of Employment sector-wise and enterprise type-wise is presented in graph 4.5.

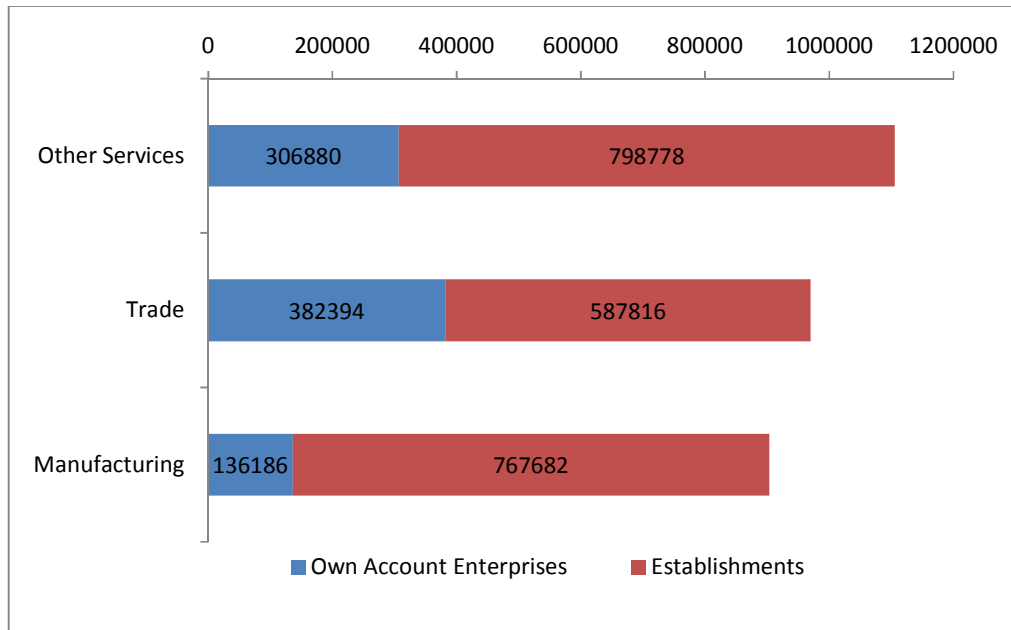
Graph 4.5 Distribution of Employment by Type and Sector



Activity-wise classification of employment by enterprise type is given in statement 4.4.1. "the other services" sector alone is the source of employment for about 37.11% of the persons gainfully employed in this sector. "Trading sector" accounting for 32.56% and manufacturing contributing about 30.33% of the unincorporated non-agricultural sector employment occupied 2nd and 3rd position after other services sector.

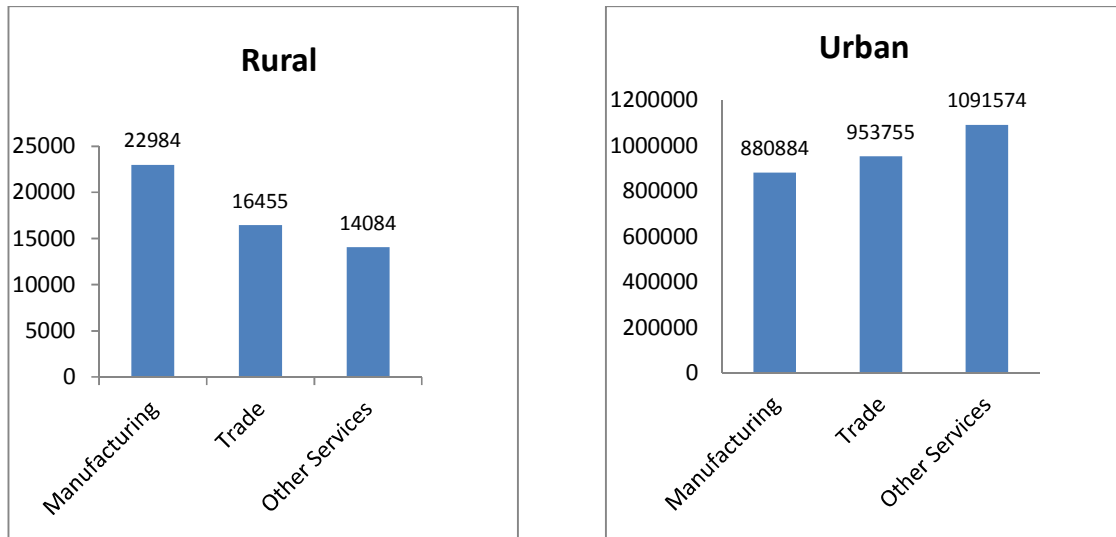
Graph 4.6 presents activity-wise breakup of on account enterprises and establishments.

Graph 4.6 Activity-wise Distribution of Employment



Graphic presentation of activity-wise breakup of employment for rural and urban areas is given in Graph 4.7.

Graph 4.7 Distribution of Employment by Activity and Sector



Breakup of the employment major activity group-wise (as per tabulation category of NIC 2008) is presented in the statement 4.5.

Statement 4.5 : Estimated number of workers by enterprise types and sector for each activity category

Activity Category	number of Workers								
	Rural			Urban			Rural + Urban		
	OAE	Estt	All	OAE	Estt	All	OAE	Estt	All
M1	0	0	0	0	0	0	0	0	0
M2	474	2662	3136	12044	44906	56951	12519	47568	60087
M3	0	23	23	0	549	549	0	572	572
M4	0	0	0	0	0	0	0	0	0
M5	0	48	48	9367	61866	71233	9367	61913	71281
M6	327	2056	2384	47011	209423	256434	47338	211480	258818
M7	0	22	22	2483	25898	28381	2483	25920	28403
M8	0	39	39	2140	3456	5597	2140	3495	5636
M9	0	2289	2289	3231	31597	34828	3231	33886	37117
M10	7	0	7	6059	53553	59612	6066	53553	59619
M11	0	0	0	0	0	0	0	0	0
M12	0	0	0	350	2708	3058	350	2708	3058
M13	0	0	0	0	0	0	0	0	0
M14	0	4376	4376	3525	23282	26807	3525	27658	31183
M15	321	2498	2819	1492	1866	3358	1813	4364	6177
M16	0	29	29	195	1307	1502	195	1336	1531
M17	84	285	369	16501	39675	56176	16585	39960	56545
M18	0	0	0	108	39004	39112	108	39004	39112
M19	0	428	428	2675	95891	98566	2675	96318	98993
M20	0	56	56	0	6558	6558	0	6614	6614
M21	0	3741	3741	565	45439	46004	565	49180	49745
M22	0	15	15	11	1029	1040	11	1044	1055
M23	1140	389	1529	1674	13155	14830	2814	13544	16358
M24	85	1459	1544	20697	38980	59677	20782	40439	61220
M25	47	86	132	3572	7041	10612	3618	7126	10745
M	2485	20499	22984	133701	747183	880884	136186	767682	903868
T1	3	1374	1378	10014	102033	112047	10017	103408	113425
T2	0	0	0	215	677	892	215	677	892
T3	22	1380	1402	31014	151861	182875	31036	153240	184276
T4	10437	3239	13676	330689	327251	657940	341126	330490	671617
T	10462	5993	16455	371932	581823	953755	382394	587816	970210
S1	0	0	0	0	22061	22061	0	22061	22061
S2	1112	2145	3256	46380	119848	166228	47491	121993	169484
S3	2512	222	2734	64428	24519	88947	66940	24741	91681
S4	0	0	0	0	0	0	0	0	0
S5	0	0	0	0	0	0	0	0	0
S6	0	97	97	450	11630	12080	450	11727	12177

S7	707	348	1056	15750	27704	43454	16457	28052	44510
S8	92	0	92	465	1169	1634	557	1169	1726
S9	62	15	77	2984	9668	12652	3046	9683	12730
S10	1089	186	1276	21517	19722	41239	22607	19908	42515
S11	110	136	246	3820	68415	72235	3930	68551	72481
S12	31	477	508	15841	69802	85643	15872	70279	86151
S13	0	686	686	19189	115038	134227	19189	115724	134913
S14	284	508	792	8027	161939	169966	8311	162447	170758
S15	2171	1093	3264	99860	141349	241209	102031	142442	244473
S	8170	5914	14084	298710	792864	1091574	306880	798778	1105658
M+T+S	21117	32406	53523	804343	2121870	2926213	825460	2154276	2979736

Breakup of employment in terms of hired and other unpaid household workers revealed that 15.36 lakh (51.54%) were hired workers and 14.44 lakh (48.46%) figured in the others category (working owners/non hired)

Statement 4.6: Number of workers by type of worker and gender for each activity category

Activity Category	Type of workers								
	Working Owners			Formal hired workers			Informal Hired Workers		
	Female	Male	All	Female	Male	All	Female	Male	All
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Manufacturing	36933	239925	276859	149	6722	6871	41142	543834	584976
Trade	27811	515898	543709	525	6669	7193	10458	349981	360439
Other Services	65867	421951	487818	38275	39495	77770	109313	389127	498439
All	130611	1177774	1308385	38948	52886	91834	160913	1282942	1443855

Activity Category	Type of Workers						
	Other Worker/Helper			Total			
	Female	Male	All	Female	Male	All	
(1)	(11)	(12)	(13)	(14)	(15)	(16)	
Manufacturing		9369.8	25793	35163	87594.2	816274.2	903868.4
Trade		8173.4	50696	58869	46967.1	923243.3	970210.4
Other Services		10003	31628	41631	223457	882201.7	1105658
All		27546	108117	135663	358018	2621719	2979736

Another important indicator of employment is the average employment per enterprise. It was found that the average employment of household enterprise (OAE) was worked out to be 1.3 persons

and that of establishments was 4.3 persons in Delhi. Manufacturing activity recorded the best average employment per enterprise both in case of OAE and establishment in Delhi.

Statement 4.7 : Estimated number of workers per enterprise by types and sector for each broad activity category

Broad activity category (1)	Number of enterprises								
	Rural			Urban			Rural + Urban		
	OAE (2)	Estt (3)	All (4)	OAE (5)	Estt (6)	All (7)	OAE (8)	Estt (9)	All (10)
Manufacturing	1.38	7.04	4.88	1.47	5.08	3.71	1.47	5.12	3.73
Trade	1.30	2.98	1.64	1.29	3.30	2.05	1.29	3.30	2.04
Other Services	1.05	2.90	1.43	1.17	4.60	2.56	1.17	4.58	2.53
Total	1.20	4.66	2.18	1.27	4.28	2.59	1.27	4.29	2.58

NCT of Delhi was 13th among the 35 States/UTs in respect of number of workers while Uttar Pradesh, Andhra Pradesh and West Bengal occupied the top three positions respectively. Delhi accounted for 2.61% of the total unincorporated non agriculture sector enterprises in the country. Graph 4.8 gives the State/UT wise ranking in the total number of Workers.

Statement 4.8 : Estimated number of workers by enterprise types and sector for each broad activity category for different States/UTs

State / UT (1)	Rural			Urban			Rural + Urban			% Share (11)
	OAE (2)	Estt. (3)	All (4)	OAE (5)	Estt. (6)	All (7)	OAE (8)	Estt. (9)	All (10)	
Uttar Pradesh	6454115	1807649	8261765	4611385	2905401	7516786	11065500	4713050	15778550	14.61
Andhra Pradesh	6119068	1215716	7334784	2800958	2076380	4877338	8920026	3292096	12212121	11.31
West Bengal	5670074	1333377	7003451	2414414	2441794	4856207	8084488	3775171	11859658	10.98
Maharashtra	2733046	652036	3385082	3294805	3457333	6752138	6027851	4109370	10137220	9.39
Tamil Nadu	1988934	1065190	3054123	2682807	3327789	6010595	4671740	4392978	9064719	8.39
Gujarat	1140057	525143	1665200	2906079	2398878	5304957	4046136	2924021	6970157	6.46
Karnataka	1796455	414406	2210861	1329675	1849035	3178710	3126130	2263440	5389570	4.99
Odisha	3594270	432555	4026824	542769	362753	905522	4137039	795307	4932346	4.57
Madhya Pradesh	1769832	374233	2144065	1498393	798786	2297179	3268225	1173019	4441244	4.11
Kerala	1360212	861500	2221711	624291	957838	1582129	1984503	1819338	3803841	3.52
Rajasthan	1260883	461102	1721985	1156134	903637	2059770	2417017	1364738	3781755	3.5
Bihar	2250166	280696	2530861	560758	344989	905747	2810924	625685	3436609	3.18
Delhi (State Sample)	21117	32406	53523	804343	2121870	2926213	825460	2154276	2979736	2.76
(Central Sample)	27576	34797	62372	738410	2018648	2757058	765986	2053445	2819430	2.61

Punjab	561166	298592	859758	815885	871872	1687757	1377051	1170464	2547515	2.36
Haryana	478060	290476	768536	603786	530014	1133800	1081845	820490	1902336	1.76
Assam	1046781	351212	1397993	178305	268268	446573	1225086	619480	1844566	1.71
Jharkhand	1114642	219928	1334571	295617	198563	494181	1410260	418492	1828751	1.69
Chhattisgarh	669297	135083	804380	257994	298898	556892	927291	433981	1361272	1.26
Jammu & Kashmir	376039	204232	580271	233286	193715	427001	609325	397947	1007272	0.93
Uttaranchal	307842	152328	460170	145308	196910	342219	453151	349238	802389	0.74
Himachal Pradesh	312082	135711	447793	68623	81087	149710	380704	216798	597503	0.55
Tripura	347119	97788	444906	46223	16392	62615	393341	114180	507521	0.47
Manipur	102156	10926	113081	58946	15819	74764	161101	26744	187846	0.17
Meghalaya	84337	52255	136592	14315	20279	34593	98651	72534	171185	0.16
Puducherry	12011	12705	24716	53668	56042	109710	65680	68747	134427	0.12
Goa	28320	16386	44707	16817	43874	60691	45137	60260	105397	0.1
Chandigarh	669297	135083	804380	257994	298898	556892	927291	433981	1361272	0.09
Sikkim	22568	10411	32979	13217	7335	20552	35785	17746	53531	0.05
Nagaland	19399	8630	28029	9819	9204	19023	29218	17834	47052	0.04
Mizoram	10364	1989	12353	14063	19023	33086	24427	21012	45439	0.04
Arunachal Pradesh	15037	4964	20001	8617	10286	18903	23654	15250	38904	0.04
A & N. Islands	11307	3578	14885	5853	11521	17375	17160	15099	32260	0.03
Dadra & N. Haveli	5994	6986	12980	2513	7418	9931	8507	14404	22911	0.02
Daman & Diu	4069	6325	10394	3800	4047	7847	7870	10372	18241	0.02
Lakshadweep	1611	563	2174	926	400	1326	2537	964	3501	0
all-India	41699618	11482687	53182304	28064412	26732158	54796570	69764030	38214845	107978875	100

NB: All figures pertain to Central Sample except Delhi State.

4.3 OTHER CHARACTERISTICS OF ENTERPRISES

Type of ownership of enterprise:

one of the principal characteristic is the type of ownership it has. Statement 4.9 gives the percentage distribution of unincorporated non-agricultural enterprises by type of ownership of the enterprises categorised by type of enterprise separately for rural, urban and combined sector. Proprietary enterprises (i.e. enterprises owned by a single household) had the highest share (90.58%) of unincorporated non-agricultural enterprises out of which only 8% of the owner proprietors were females and rest males. Only 9% of enterprises were operated on a partnership basis. Share of “trusts” (0.2%) and “others”(0.1%) in the total number of enterprises were negligible.

Statement 4.9: Distribution of enterprises by type of ownership

Type of ownership		Distribution of enterprises								
		Rural			Urban			Rural + Urban		
		OAE	Estt	All	OAE	Estt	All	OAE	Estt	All (%)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	
Proprietary	Male	16233	6616	22849	513396	413778	927175	529629	420394	950024 (82.32)
	Female	1315	142	1456	60785	33114	93899	62100	33256	95356 (8.26)
Partnership between members of	Same Household	69	142	211	50089	39007	89096	50158	39149	89308 (7.74)
	Different Household	15	27	43	9782	6029	15811	9797	6056	15853 (1.37)
Self help group		0	0	0	0	0	0	0	0	0 (0.00)
Trusts		0	33	33	80	2170	2250	80	2203	2283 (0.20)
Others		0	0	0	0	1262	1262	0	1262	1262 (0.11)
NR		0	0	0	0	0	0	0	0	0 (0.00)
All		17632	6960	24592	634132	495361	1129493	651764	502321	1154085 (100.00)

Location of Enterprise

One of the characteristics of the enterprises in the unorganised sector is the presence of units that do not have fixed location. They operate as street vendors or as mobile market. On the other hand, many of them particularly the OAEs, operate from within the household premises. It can be seen from the statement 4.10 that about 86% unincorporated non-agricultural enterprises run the business at fixed location either within the household premises or outside and about 14% operated their business without any fixed location. Around 4% of the enterprises operated without any structure but had a fixed location. 10% unincorporated non-agricultural enterprises were operated as street vendors and 4% were operated in mobile market.

**Statement 4.10: distribution of enterprises by type of location separately by sector
and type of enterprise**

Location of enterprise		distribution of enterprises								
		Rural			Urban			Rural + Urban		
		OAE	Estt	All	OAE	Estt	All	OAE	Estt	All (%)
(1)		(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Within house premises		3041	444	3485	160807	61149	221956	163847	61593	225440 (19.53)
outside household premises with fixed location	Permanent Structure	5713	6315	12027	265151	421941	687092	270864	428256	699119 (60.58)
	Temporary Structure	655	2	658	16128	3213	19342	16784	3216	20000 (1.73)
	Without any Structure	1049	0	1049	47687	2695	50381	48736	2695	51430 (4.46)
outside household premises without fixed location	Mobile Market	3469	0	3469	35546	2640	38186	39015	2640	41655 (3.61)
	Street Vendor	3706	199	3905	108813	3723	112536	112519	3922	116442 (10.09)
All		17632	6960	24592	634132	495361	1129493	651764	502321	1154085 (100.00)

Maintenance of accounts

Statement 4.11.1 gives the percentage distribution of unincorporated non-agricultural enterprises that maintains written accounts. This is especially relevant in the context of unincorporated enterprises in the household sector. It is revealed that about 73% of unincorporated non-agricultural enterprises **did not** maintain any sort of accounts. This proportion was nearly 85% for OAEs and 58% for establishments. Around 42% **establishments** maintained some sorts of accounts. 27% of unincorporated non-agricultural enterprises had maintained some accounts in urban areas. The corresponding figure was only 8% in rural area.

Statement 4.11: Distribution of enterprises by maintenance of accounts

Maintenance of accounts		Distribution of enterprises								
		Rural			Urban			Rural + Urban		
		OAE	Estt	All	OAE	Estt	All	OAE	Estt	All
(1)		(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Accounts Usually Maintained	Data Recorded from books	0	0	0	299	1961	2260	299	1961	2260
	Data Provided orally	303	1758	2061	95114	206932	302046	95417	208690	304107
No usable books of accounts maintained		17329	5202	22531	538720	286468	825188	556049	291670	847719
All		17632	6960	24592	634132	495361	1129493	651764	502321	1154085

Statement 4.11.1: Percentage distribution of enterprises by maintenance of accounts

Maintenance of accounts		Distribution of enterprises								
		Rural			Urban			Rural + Urban		
		OAE	Estt	All	OAE	Estt	All	OAE	Estt	All
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	
Accounts Usually Maintained	Data Recorded from books	0.00	0.00	0.00	0.05	0.40	0.20	0.05	0.39	0.20
	Data Provided orally	1.72	25.26	8.38	15.00	41.77	26.74	14.64	41.55	26.35
No usable books of accounts maintained		98.28	74.74	91.62	84.95	57.83	73.06	85.31	58.06	73.45
All		100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00	100.00

Social group of owner:

Information on the social group of the owner/partner of unincorporated non-agricultural enterprises operating as **proprietary and partnership** basis was collected during the survey and the percentage distribution of proprietary and partnership enterprises is presented in statement no. 4.12. About 27% of unincorporated non-agricultural enterprises were owned by persons belonging to ST, SC and OBCs. This proportion was more in case of OAEs (36%) than establishments (15%). Again more OAEs in the rural areas 73% were run by entrepreneurs from the backward sections than OAEs in urban areas (35%).

Statement 4.12: Distribution of enterprises by social group

Social group of owner/partner	Distribution of enterprises								
	Rural			Urban			Rural + Urban		
	OAE	Estt	All	OAE	Estt	All	OAE	Estt	All (%)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Scheduled Tribe	0	0	0	2988	1349	4337	2988	1349	4337 (0.38)
Scheduled Caste	4494	328	4822	127378	25031	152409	131872	25359	157231 (13.67)
Other Backward classes	8300	3002	11302	93753	43374	137127	102053	46376	148429 (12.90)
Others	4838	3598	8436	405798	418658	824456	410636	422256	832892 (72.39)
Not known	0	0	0	4135	3517	7652	4135	3517	7652 (0.67)
All	17632	6928	24560	634052	491929	1125981	651684	498857	1150541 (100.00)

Status of registration:

Statement 4.13.1 gives the distribution of unincorporated non-agricultural enterprises by status of registration. About 33% of all enterprises were registered under any act or with any registration authority. The overall proportion of registered enterprises was higher in urban areas (34%) as compared to rural areas (5%). Manufacturing sector (73%) had the highest percentage of **unregistered** enterprises followed by other services (67%) and trade (64%).

Statement 4.13: Distribution of enterprises by status of registration for each broad activity category.

Broad Activity Category	Rural		Urban		Rural + Urban	
	Registered	Unregistered	Registered	Unregistered	Registered	Unregistered
(1)	(2)	(3)	(5)	(6)	(8)	(9)
Manufacturing	314	4397	64586	173092	64900	177489
Trade	185	9863	172685	292543	172870	302405
Other Services	770	9065	142530	284058	143300	293122
All	1269	23324	379801	749693	381070	773016
%	5.16	94.84	33.63	66.37	33.02	66.98

Statement 4.13.1: Percentage distribution of enterprises by status of registration for each broad activity category.

Broad Activity Category	Rural		Urban		Rural + Urban	
	Registered	Unregistered	Registered	Unregistered	Registered	Unregistered
(1)	(2)	(3)	(5)	(6)	(8)	(9)
Manufacturing	6.67	93.33	27.17	72.83	26.78	73.22
Trade	1.84	98.16	37.12	62.88	36.37	63.63
Other Services	7.83	92.17	33.41	66.59	32.84	67.16
All	5.16	94.84	33.63	66.37	33.02	66.98

Specific problems faced in operation

Information on different types of problems faced by unincorporated non-agricultural enterprises in carrying out their day to day operation was collected in this survey. Statement 4.14 gives the percentage of unincorporated non-agricultural enterprises reporting specific problems faced. About 88% of all unincorporated non-agricultural enterprises **reported to not having faced** any specific problem in their day to day operations. "Sinking/fall of demand"(9%) and "shortage of raw material" (1%) were the two main problems faced by the enterprises.

Statement 4.14: distribution of enterprises reporting any specific problem faced separately by sector and enterprise type

Type of problems faced (1)		enterprises reporting specific problems								
		Rural			Urban			Rural + Urban		All (%) (10)
		OAE (2)	Estt (3)	All (4)	OAE (5)	Estt (6)	All (7)	OAE (8)	Estt (9)	
No specific Problem		16859	6858	23717	555846	440345	996191	572705	447203	1019908 (88.37)
Problems Faced in	Erratic Supply/Power utes	0	3	3	2502	4503	7004	2502	4505	7007 (0.61)
	Shortage of Raw Material	106	0	106	1878	6216	8095	1984	6216	8200 (0.71)
	Sinking / Fall of demand	668	99	767	65400	33583	98984	66068	33682	99750 (8.64)
	Non Availability/ High Cost of credit	0	0	0	2781	2039	4820	2781	2039	4820 (0.42)
	Non recovery of Financial dues	0	0	0	1706	3146	4852	1706	3146	4852 (0.42)
	Non Availability of labour as and when needed	0	0	0	655	3822	4477	655	3822	4477 (0.39)
	Labour disputes and related problems	0	0	0	0	15	15	0	15	15 (0.00)
others	0	0	0	3364	1692	5056	3364	1692	5056 (0.44)	
Total		17632	6960	24592	634132	495361	1129493	651764	502321	1154085 (100.00)

Enterprises receiving assistance:

Statement 4.15 gives the proportion of unincorporated non-agricultural enterprises receiving government assistance separately by type of assistance received. The percentage of unincorporated non-agricultural enterprises reported not receiving any assistance from government is 99.94%. Only 0.06% enterprises received assistance from the government

Statement 4.15: Distribution of enterprises receiving assistance from government by type of assistance categorized by enterprise type and sector

Type of assistance received (1)		Distribution of enterprises receiving any assistance								
		Rural			Urban			Rural + Urban		All (%) (10)
		OAE (2)	Estt (3)	All (4)	OAE (5)	Estt (6)	All (7)	OAE (8)	Estt (9)	
Without assistance		17632	6960	24592	634133	494644	1128777	651765	501604	1153369 (99.94)
Assistance received by	Financial loan	0	0	0	0	15	15	0	15	15 (0.00)
	subsidy	0	0	0	0	357	357	0	357	357 (0.03)
	Machinery/ Equipment	0	0	0	0	44	44	0	44	44 (0.00)
	Training	0	0	0	0	0	0	0	0	0 (0.00)
	Marketing	0	0	0	0	0	0	0	0	0 (0.00)
	Raw Material	0	0	0	0	0	0	0	0	0 (0.00)
	Others	0	0	0	0	301	301	0	301	301 (0.03)
Total		17632	6960	24592	634132	495361	1129493	651764	502321	1154085 (100.00)

Use of information and communication technology (ICT):

Information was collected on particulars of use of information and communication technology (ICT) by unincorporated non-agricultural enterprises for all activity categories. Statement 4.16 shows the distribution of unincorporated non-agricultural enterprises using ICT categorised by enterprise type and sector. It is revealed that unincorporated non-agricultural enterprises had used computer and internet facilities much more as compared to other ICT facilities such as Intranet, LAN, Extranet etc. About 43.18% enterprises have used internet followed by computer (42.86%). The use of ICT was more or less the same in the rural and urban areas.

Statement 4.16: Distribution of enterprises using information & communication technology during last 365 days/last year for each activity

Types of ICT	Number of enterprises using ICT											
	Rural				Urban				Rural + Urban			
	OAE	Estt	all	%	OAE	Estt	all	%	OAE	Estt	all	%
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
Using Computer	35126	13554	48680	48.10	1249220	905069	2154289	42.76	1284346	918623	2202969	42.86
Using Internet	35126	13627	48753	48.17	1251078	919557	2170635	43.08	1286204	933184	2219388	43.18
Have a web presence	231	572	803	0.79	31298	125726	157024	3.12	31529	126298	157827	3.07
Using Intranet	277	723	1000	0.99	32623	146582	179205	3.56	32900	147305	180205	3.51
LAN	277	729	1006	0.99	34305	152238	186543	3.70	34582	152967	187549	3.65
Extranet	231	734	965	0.95	33741	156964	190705	3.79	33972	157698	191670	3.73
All	71268	29939	101207	100.00	2632265	2406136	5038401	100.00	2703533	2436075	5139608	100.00

4.4 FINANCIAL CHARACTERISTICS OF ENTERPRISES

Fixed Capital Structure:

Values of fixed assets were collected at the market prices from the enterprises. Statement 4.17.1 gives the activity-wise value of owned fixed assets per enterprise. On the whole the average value of fixed assets per enterprise worked out to Rs.9.86 lakh.

Statement 4.17: Market Value of Owned Fixed Assets of all enterprises

Activity	Type of Enterprise	Market value of Owned Fixed Assets as on date of survey							
		Land and Building	Plant & Machinery	Transport Equipment	Tools & Other Fixed Assets	Software & Database	Information Computer & Tele Communications Equipment	Capital Work in Progress	Total
Manufacturing	OAE	30981648483	1319959539	730333000	915748092	5652321	35867215	458383	33989667032
	Establishment	109965679798	12039256437	3036570341	4564849689	41146840	405453489	33810296	130086766890
	All	140947328281	13359215977	3766903341	5480597781	46799161	441320704	34268678	164076433922
Trading	OAE	136830243591	372298366	2982040621	6103395233	10640910	214132713	108125991	146620877424
	Establishment	269461910119	824437134	13385855920	8807342286	297358873	1179955989	498760883	294455621204
	All	406292153709	1196735500	16367896541	14910737519	307999783	1394088702	606886874	441076498628
Other Services	OAE	75191615660	534809839	8294377766	2948513683	182720384	682008921	16098512	87850144764
	Establishment	369529980078	37338609491	15857677306	12657392057	949930306	3700817728	4390829550	444425236516
	All	444721595738	37873419330	24152055072	15605905740	1132650690	4382826649	4406928062	532275381280
Total	OAE	243003507734	2227067745	12006751386	9967657008	199013615	932008849	124682885	268460689221
	Establishment	748957569995	50202303062	32280103567	26029584032	1288436019	5286227207	4923400728	868967624610
	All	991961077729	52429370807	44286854954	35997241040	1487449634	6218236055	5048083613	1137428313831

Statement 4.17.1: Market Value of Owned Fixed Assets per enterprise in Delhi (in Rs.)

Activity	Type of Enterprise	Market value of Owned Fixed Assets as on date of survey							
		Land and Building	Plant & Machinery	Transport Equipment	Tools & Other Fixed Assets	Software & Database	Information Computer & Tele Communications Equipment	Capital Work in Progress	Total
Manufacturing	OAE	334973	14271	7896	9901	61	388	5	367496
	Establishment	733603	80316	20258	30453	274	2705	226	867835
	All	581495	55115	15541	22611	193	1821	141	676916
Trading	OAE	460382	1253	10033	20536	36	720	364	493324
	Establishment	1513278	4630	75174	49461	1670	6627	2801	1653641
	All	854857	2518	34439	31373	648	2933	1277	928045
Other Services	OAE	286921	2041	31650	11251	697	2602	61	335224
	Establishment	2119375	214149	90949	72594	5448	21225	25183	2548924
	All	1019017	86782	55341	35759	2595	10043	10098	1219635
Total	OAE	372840	3417	18422	15293	305	1430	191	411899
	Establishment	1490994	99941	64262	51819	2565	10524	9801	1729905
	All	859522	45429	38374	31191	1289	5388	4374	985567

Gross Value Added (GVA)

Activity-wise GVA per month is presented in statement 4.18 & 4.19 through factor income and product approach respectively. Factor income approach takes in account the compensation to various factors of production namely salary/wages, rent, interest and profit and the individual details is given in statement 4.18. On the other hand, under product approach GVA is worked out taking into account gross receipts, operative expenditures, distributive expenses and their activity-wise details per month are given in the statement 4.19.

Statement.4.18: Activity-wise Gross Value Added per month as per Factor Income Approach (in Rs.) in Delhi

Activity	Factor Income Approach				
	Salary/Wage	Rent	Interest	Profit	Value Added
Manufacturing	2950411877	558843073	30256039	4837712439	8377223428
Trade	2308632775	1003294057	26869434	11540430484	14879226751
Othe rservices	4612987071	689061952	127532070	9160191054	14590001084
All	9872031724	2251199081	184657543	25538333978	37846451263

Statement.4.19: Activity-wise Gross Value Added per month as per Product Approach (in Rs.) in Delhi

Activity	Product Approach			
	Receipts	Operative Expenditure	Distributive Expenses	Value Added
Manufacturing	19257314365	10675464592	130945967	8450903806
Trade	96262510327	79832525327	1451961610	14978023390
Othe rservices	25172936694	10375803780	74686357	14722446557
All	140692761386	100883793699	1657593934	38151373753

Statement.4.20: Activity-wise GVA / Enterprise and GVA/Worker as per Factor Income and Product Approach (in Rs.) in Delhi

Activity	Factor Income Approach		Product Approach	
	GVA/Enterprise	GVA/Worker	GVA/Enterprise	GVA/Worker
Manufacturing	34561	9268	34865	9350
Trade	31307	15336	31514	15438
Othe rservices	33431	13196	33734	13316
All	32793	12701	33058	12804

GVA as per both the approaches were given in Statement 4.20 for comparison purpose. Accordingly GVA per enterprise and worker as per Factor Income Approach worked out to **Rs.32793** and **Rs.12701** per month respectively. Under the Product Approach GVA per enterprise was estimated at **Rs.33058** and that of worker was **Rs.12804**. the outcomes of both the approaches have given similar results.

4.5 COMPARISON OF MAIN FINDINGS

Statement 4.21 provides the comparative position of Central and State sample results with respect to key parameters like number of enterprises, employment, value added etc. It may be observed that variation between the two sets of results in respect of number of enterprises was marginal (2.7%). In case of other parameters, despite variation between the Central and State sample figures the results are very close to each other. These variations are attributable to non-sampling errors like bias in reporting by informants, sample size etc.

Statement 4.21: Comparative Statement on Key Parameters

S.No	Item	State Sample	Central Sample
A	Sample Size		
	Enterprise	8767	8433
	Employment	26778	25293
B	Number of Enterprises	1154085	1124091
C	Employment	2979736	2819430
D	Average Employment size / Enterprise	2.58	2.51
E	Value Added per Enterprise per month (in Rs.)	33058	26907
	Value Added per worker per month (in Rs.)	12804	10728
F	Value of owned fixed assets per enterprise (in lakh Rs.)	9.86	7.99

Appendix A

**Detailed Tables Elaborating the results for Delhi
(Soft copy in CD is enclosed)**

Appendix B

FACSIMILE OF SCHEDULE 2.34

**(Unincorporated Non-Agricultural Enterprises (Excluding
Construction))**

Appendix B

**GOVERNMENT OF INDIA
NATIONAL SAMPLE SURVEY OFFICE
SOCIO - ECONOMIC SURVEY**

**SIXTY-SEVENTH ROUND (JULY 2010 - JUNE 2011)
SCHEDULE 2. 34 : UNINCORPORATED NON-AGRICULTURAL
ENTERPRISES (EXCLUDING CONSTRUCTION)**

RURAL
URBAN

*

CENTRAL
STATE

*

[0] descriptive identification of sample enterprise	
1. state/u.t:	6. ward/inv. unit/ UFS block:
2. district:	7. name of owner:
3. tehsil/town*:	8. name of informant:
4. village name:	9. name and address of the enterprise:
5. serial no. of hamlet: (col-1,block-3.1)#	

*tick mark (✓) may be put in appropriate place. # refers to schedule 0.0.

[1] identification of sample enterprise									
item no.	item	code			item no.	item	code		
1	serial no. of sample village / block				12	FOD sub-region			
2	round number	6	7		13	segment number (1 / 2 / 9)			
3	schedule number	2	3	4					
4	sample (central-1, state-2)				14	second stage stratum (SSS)			
5	sector (rural - 1, urban - 2)								
6	nss-region				15	sample enterprise number			
7	district code				16	response code			
8	stratum.								
9	sub-stratum				17	informant code			
10	sub - round								
11	sub - sample				19	reason for original sample not surveyed (code) [for item 18 = 2 & 3]			

codes for block 1

- item 16 : **response code** : informant co-operative and capable - 1, informant co-operative but not capable - 2, informant busy but responded - 3, informant reluctant - 4, others - 9
- item 17 : **informant code** : owner - 1, manager - 2, others - 9
- item 18 : **survey code**: original enterprise surveyed - 1, substitute surveyed - 2, casualty - 3
- item 19 : **reason for original sample not surveyed**: informant busy - 1, informant not available - 2, informant non-cooperative - 3, others - 9

item 204 : type of ownership			
proprietary (male)	1	Self-help Group.....	5
proprietary(female)	2	Trusts	6
partnership with members of the same household	3	Others.....	9
partnership between members not all from the same household	4		
item 209 : location of the enterprise			
<u>within</u> household premises	1	with fixed premises but without any structure	4
<u>outside</u> household premises:		mobile market	5
with fixed premises and with permanent structure	2	without fixed premises(street vendors) ...	6
with fixed premises and with temporary structure/kiosk/stall	3		
Items 218 & 219 : nature of problems faced by the enterprise			
erratic power supply/ power cuts.....	01	non-recovery of financial dues	05
shortage of raw materials.....	02	non-availability of labour as and when needed.....	06
shrinkage /fall of demand	03	labour disputes and related problems	07
non-availability / high cost of credit	04	others (<i>specify in the space provided</i>).....	09
item 221 & 222 : type of assistance received from the government *			
financial loan	1	marketing	5
subsidy	2	raw material.....	6
machinery/ equipment.....	3	others	9
training	4		

* This will not include any assistance/ subsidy which are passed on to the consumers.

Note 1: Mixed activity: An enterprise at a location will be treated as pursuing mixed activity if it carries out a no. of activities simultaneously and accounts for those activities are not separable. The NIC-2008 Codes for those activities **should be different at 2-digit level**. If accounts are separable, each activity will be treat separate enterprise.

Note 2: Major activity: It is that activity which yields maximum income (1st) / turnover(2nd) /employment(3rd) (in the order mentioned)

[2] particulars of operation and background information		Item no.	code			
(1)		(2)	(3)			
whether pursuing mixed activity? (yes – 1, no – 2)		201				
major activity code (5-digit as per NIC 2008)		202				
description of the major activity:						
If 'yes' in item 201	principal minor activity code (5-digit as per NIC 2008) [1 st 2 digits of item 202 ? 1 st 2 digits of item 203]	203				
type of ownership (code)		204				
Whether private non-profit institution? (yes-1, no-2)		205				
If 'yes' in item 205	Whether non-profit institutions serving households (NPISH)? (yes-1, no-2)	206				
If item 204 is '1' to '4'	social group of the owner / major partner (ST-1, SC-2, OBC-3, Others-4, not known-9)	207				
number of other economic activities taken up by the entrepreneur during the last 365 days (applicable if item 204 is '1' to '4')		208				
location of the enterprise (code)		209				
enterprise type during the last 365 days (Own Account Enterprise-1, Establishment-2)		210				
year of initial operation		211				
nature of operation (perennial – 1, seasonal – 2, casual – 3)		212				
number of months operated during the last 365 days		213				
number of hours the enterprise normally worked in a day during the last 30 days		214				
whether accounts maintained ? (yes-1, no-2)		215				
If 'yes' in item 215, whether data collected from books of accounts? (yes-1, no-2)		216				
did the enterprise face any problem in its operation during last 365 days? (yes-1, no-2)		217				
if yes in item 217, nature of problems faced in its operation during the last 365 days (at most two codes in order of severity of problems)	Most severe problem	218				
	Next severe problem	219				
did the enterprise receive any assistance from the government during last three years? (yes-1, no-2)		220				
if yes in item 220, types of assistance received from the government during the last three years (code) (at most 2 codes may be given in descending order of the importance of assistance)	Most important assistance	221				

		Next important assistance	222	
status of the enterprise over the last 3 years (expanding – 1, stagnant – 2, contracting – 3, operated for less than three years – 9)			223	
whether registered under any act/authority? (yes-1, no-2)			224	
Type of registration of the enterprise				
If 'yes' in item 224	whether registered under (yes-1, no-2)	Shops and Establishment Act?	225	
		Municipal Corporation/ Panchayats/ Local Body?	226	
		Vat /Sales Tax Act?	227	
		Provident Fund Act?	228	
		Employees State Insurance Corporation Act?	229	
	any other industry-specific Act/ Authority (give at most three codes)		230	
			231	
			232	
Type of agreement with other units				
Whether the enterprise has any prior marketing agreement (yes-1, no-2)			233	
If yes in item 233, supply out of the produce of enterprise covered in the agreement (codes) (whole produce/services-1, portion of produce/services -2)			234	
coverage of the agreement with other units (codes)			235	
does the agreement cover post agreement input price escalation ? (yes-1, no-2)			236	
percentage of payments generally received at the time of sale / delivery under the agreement			237	
whether supplying to a single parent unit ? (yes-1, no-2)			238	
If yes in item 238, whether the parent unit has remained more or less the same in the past three years (only in case of enterprise existing for three or more years) (yes-1, no-2, not applicable-9)			239	

items 230-232 : industry-specific act/authority of registration			
State directorate of industries	01	Technical Consultancy Services Organisations/Council for Technological Upgradation.....	11
Khadi and Village Industries Commission/ Board.....	02	Small Industries Development Bank of India (SIDBI).....	12
Development Commissioner of Handicraft /handloom.....	03	Small Industries Services Institutes/ other small industries registration agencies.....	13
Coir Board	04	District Supply and Marketing Society.....	14
Directorate of education /AICTE/NCTE	05	State Trading Corporation of India Limited (STC)	15
Silk Board	06	Indian Charitable Act	16
Jute Commissioner.....	07	Cinematograph act	17
Pollution Control Board.....	08	Money lender's Act	18
Directorate General of Foreign Trade/ other export promotion agencies.....	09	Societies Registration Act, 1860 (including the State variants).....	19
State Financial Corporation/Industrial Cooperative Banks/Industrial Development Banks.....	10	Public Trust Act	20
		Others.....	99
item 235 : coverage of agreement with other units			
a. Raw materials provided by the other unit.....	1	e. a & c	5
b. Technology/ designs/ specifications given by the other unit	2	f. b & c.....	6
c. Plant and machinery given by the other unit...	3	g. a, b & c	7
d. a & b	4	h. none of the above	9

[2.1] activities pursued by the enterprise during last 30 days ended on / last calendar month ended on		
broad description of the activity	item no.	whether pursued the activity during the reference period (yes-1, no-2)
(1)	(2)	(3)
manufacturing activity (NIC-08 Div. 10-33, 01632)	241	
trading activity (NIC-08 Div. 45-47)	242	
transportation and storage activities (NIC-08 Groups 492, 501, 502, excluding 49212, 49213, Div. 52)	243	
postal and courier activities (NIC-08 Div. 53)	244	
accommodation and food service activities (NIC-08 Div. 55-56)	245	
information and communications (NIC-08 Div. 58-63)	246	
financial and insurance activities (NIC-08 Groups 643, 65, 649, Div. 66)	247	
real estate activities (NIC-08 Div. 68)	248	
educational activity (NIC-08 Div. 85)	249	
human health and social work activity (NIC-08 Div. 86-88)	250	
other activities [NIC-08 Industries 37, 38, 39, 69-75, 77 (excluding 7740), 78, 79, 80, 81, 82, 90, 91, 92, 93, 94, 95, 96]	251	

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
(1)	(2)	(3)
manufacturing activity (NIC-08 Div. 10-33, 01632)		
main raw materials consumed	Item no.	Value (Rs.)
	301	
	302	
	303	
	304	
other raw materials	305	
purchase value of the goods sold in the same condition as purchased	306	
total (items 301 to 306)	309	
trading activity (NIC-08 Div. 45-47)		
main commodities purchased	Item no.	Value (Rs.)
	311	
	312	
	313	
	314	
other commodities purchased	315	
total (items 311 to 315)	319	
transportation activities (NIC-08 Groups 492, 501, 502, excluding 49212, 49213)		
main items	Item no.	Value (Rs.)
petrol, diesel, lubricants, etc.	321	
tyres , tubes, batteries etc.	322	
repair and maintenance of transport equipment	323	
toll tax, octroi, local fees, insurance charges etc.	324	
charges paid towards storage of goods, parking of vehicles etc.	325	
total (items 321 to 325)	329	
warehousing and support activities for transportation (NIC-08 Div. 52)		
main items	Item no.	Value (Rs.)
consumable stores used in the warehouse	331	
insurance charges	332	
expenses incurred for support activities for transportation	333	
total (items 331 to 333)	339	
postal and courier activities (NIC-08 Div. 53)		
main items	Item no.	Value (Rs.)

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
(1)	(2)	(3)
charges for stationeries, postal articles etc.	341	
insurance charges	342	
others	343	
total (items 341 to 343)	349	

accommodation and food service activities (NIC-08 Div. 55-56)		
main items	Item no.	Value (Rs.)
articles consumed for food & drink preparation	351	
purchase value of goods traded	352	
crockery, glassware, bedding and other consumables	353	
fuels consumed	354	
total (items 351 to 354)	359	

information and communications (NIC-08 Div. 58-63)		
main items	Item no.	Value (Rs.)
call charges and rent payable (local call/ STD / ISD, cyber café, radio paging, cellular etc.)	361	
other expenses	362	
total (items 361 to 362)	369	

financial and insurance activities (NIC-08 Groups 643, 649, Div. 65, 66)		
main items	Item no.	Value (Rs.)
interest payments	371	
commission & brokerage	372	
insurance claims paid	373	
net changes in life insurance technical reserves [put (-) sign in case of negative value]	374	
service charges for work done by other concerns (contract, sub-contract, legal, audit, accounting services, etc.)	375	
others (e.g., electricity, communication, travelling, printing etc.)	376	
total (items 371 to 376)	379	

real estate activities (NIC-08 Div. 68)		
main items	Item no.	Value (Rs.)
maintenance of building, machinery and equipment	381	
other expenses (travelling, hospitality, legal etc.)	382	
total (items 381 to 382)	389	

[3] principal operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
(1)	(2)	(3)
educational activity (NIC-08 Div. 85)		
main items	Item no.	Value (Rs.)
recurring expenses on laboratory and library	391	
recurring expenses on newspaper, journals, paper, printing, stationery etc.	392	
expenses on festivals like annual day, teachers' day, health check-up, etc.	393	
expenses on consumables used in computer, Xerox, cyclostyle, etc.	394	
total (items 391 to 394)	399	

human health and social work activity (NIC-08 Div. 86-88)		
main items	Item no.	Value (Rs.)
diet of patients	401	
medicine and drugs	402	
consumables used in operation theatre, sophisticated equipments, pathological, radiological and other diagnostic tests	403	
syringes, intra veins drip sets, cotton bandages, plastering materials and other disposables	404	
uniforms, linen and laundry materials	405	
health camps, seminar, workshop, awareness programmes and other social activities	406	
training, meeting, documentation, publication, nutritional expenses	407	
total (items 401 to 407)	409	

[4] other operating expenses during last 30 days ended on / last calendar month ended on (Rs. in whole number) (All other operating expenses not covered under block 3 will be recorded here)		
items	Item no.	Value (Rs.)
(1)	(2)	(3)
electricity charges	411	
fuel and lubricant	412	
raw materials consumed for own construction of building, furniture and fixtures (including labour charges)	413	
minor repair and maintenance of	building	414
	plant and machinery	415
	transport equipment	416
	tools and other fixed assets	417
	Information, computer and telecommunication equipment (ICT)	418
rental payable on fixed assets (other than land and building)	421	
service charges for work done by other concerns (contract, sub-contract, legal, audit, advertising and other accounting services, warehousing expenses, commission expenses, etc.)	422	
travelling, freight and cartage (transport) expenses	423	
communication expenses (telephone, telegram, fax , postal, courier , e-mail etc.) e-mail, etc.)	424	
purchase of consumable stores, packing materials, etc.	425	
paper, printing and stationery expenses	426	
insurance charges	427	
other expenses	428	
total (items 411 to 428)	429	
taxes on production (recurrent taxes on land, buildings or other structures, business or professional licence fees, road tax, registration fee of vehicles etc.) [excise duties and other indirect taxes are not to be included]	431	

Note 3: Apart from the industries mentioned in block 3, this block will also be applicable for NIC-08 Industries 37, 38, 39, 69-75, 77 (excluding 7740), 78, 79, 80, 81, 82, 90, 91, 92, 93, 94, 95, 96.

Note 4: Please take care that there is no duplication of entries in similar items li and 412, 323 and 416, 342 and 427 etc.

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
(1)	(2)	(3)
manufacturing activity (NIC-08 Div. 10-33, 01632)		
main products and by-products manufactured	Item no.	Value (Rs.)
	501	
	502	
	503	
	504	
other products/ by-products	505	
sale value of the goods sold in the same condition as purchased	506	
sub-total (items 501 to 506)	509	
opening stock of semi-finished goods	511	
closing stock of semi-finished goods	512	
changes in stock of semi-finished goods (item 512 – item 511) put (-) sign in case of negative value	513	
total (item 509 + item 513)	519	
trading activity (NIC-08 Div. 45-47)		
main commodities sold	Item no.	Value (Rs.)
	521	
	522	
	523	
	524	
other commodities sold	525	
sub-total (items 521 to 525)	529	
opening stock of trading goods	531	
closing stock of trading goods	532	
changes in stock of trading goods (item 532 – item 531) (put (-) sign in case of negative value)	533	
total (item 529 +item 533)	539	
transportation activities (NIC-08 Groups 492, 501, 502, excluding 49212, 49213)		
main items	Item no.	Value (Rs.)
earnings from passenger traffic	541	
earnings from goods traffic	542	

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
total (items 541 to 542)	549	
(1)	(2)	(3)
warehousing and support activities for transportation (NIC-08 Div. 52)		
main items	Item no.	Value (Rs.)
storage charges received	551	
service charges received for support activities for transportation	552	
total (items 551 to 552)	559	

postal and courier activities (NIC-08 Div. 53)		
main items	Item no.	Value (Rs.)
charges received from customers for postal and courier activities	561	
others	562	
total (items 561 to 562)	569	

accommodation and food service activities (NIC-08 Div. 55-56)		
main items	Item no.	Value (Rs.)
lodging charges, rent receivable for hiring out rooms and halls for functions, conferences and receipts from services provided like transport / travel arrangements, laundry services, gym, spa, hair dressin ming pool, entertainment, etc.	571	
receipts from sale of prepared food, refreshment and drinks	572	
receipts from trading of purchased food, refreshment, drinks, etc.	573	
receipts from catering services outside	574	
total (items 571 to 574)	579	

information and communications (NIC-08 Div. 58-63)		
main items	Item no.	Value (Rs.)
charges receivable from customers (STD / ISD / courier/ fax / internet etc.)	581	
other receipts	582	
total (items 581 to 582)	589	

financial and insurance activities (NIC-08 Groups 643, 649, Div. 65, 66)		
main items	Item no.	Value (Rs.)
interest receipts (cash and kind)	591	
dividend receipts	592	

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
lease income	593	
brokerage and commission	594	
(1)	(2)	(3)
net profit in share dealing	595	
income earned on chit funds	596	
net earnings from hire purchase finance	597	
premium received	598	
supplementary premium received	601	
others (e.g. consultancy, receipts from non-financial activities, if any)	602	
total (items 591 to 602)	609	
real estate activities (NIC-08 Div. 68)		
main items	Item no.	Value (Rs.)
receipts from services provided (including rent on land and building)	611	
brokerage and commission charges	612	
total (items 611 to 612)	619	
educational activity (NIC-08 Div. 85)		
main items	Item no.	Value (Rs.)
tuition fees	621	
other fees (including development fees, transport fees, examination fees, fines, library fee, etc.)	622	
funding/ donations from individuals and non-govt. institutions	623	
total (items 621 to 623)	629	
human health and social work activity (NIC-08 Div. 86-88)		
main items	Item no.	Value (Rs.)
consultation fees and charges for medicines	631	
charges for operation theatre, and other special procedures	632	
charges for ward, cabin, pathological, radiological and other diagnostic tests, diet, nursing, physiotherapy and rehabilitation, etc	633	
fees for training (nurses, paraprofessionals, etc.)	634	

[5] principal receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
donations/ grants from individuals and institutions	635	
total (items 631 to 635)	639	

[6] other receipts during last 30 days ended on / last calendar month ended on (Rs. in whole number) (All other receipts of the enterprise not covered under block 4 will be recorded here.)		
other receipts	Item no.	Value (Rs.)
(1)	(2)	(3)
receipts from services provided to others including commission charges	641	
change-in-stock of semi-finished goods (applicable for servicing enterprises engaged in software generation, motion picture production etc.)	642	
value of own construction of building, furniture and fixtures	643	
rental receivable on fixed assets (other than land and building)	644	
funding/ donations from individuals and non-govt. institutions	645	
Govt. grants (<i>excluding</i> capital transfers like building fund, etc.)	646	
other receipts	647	
total (items 641 to 647)	649	
production subsidy/ interest subsidy	651	

Note 5: Apart from the industries mentioned in block 5, this block will also be applicable for NIC-08 Industries 37, 38, 39, 69-75, 77 (excluding 7740), 78, 79, 80, 81, 82, 90, 91, 92, 93, 94, 95, 96.

Note 6: Please take care that there is no duplication of entries in similar items like 623 and 645, 635 and 645, etc.

[7] calculation of gross value added during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
items	Item no.	Value (Rs.)
(1)	(2)	(3)
total receipts: [items(519+539+549+559+569+579+589+609+619+629+639+ 649)]	701	
total operating expenses: [items 309+319+329+339+349+359+369+379+389+399+409+429]	702	
distributive expenses, if any (@)	703	
gross value added (item 701 - item 702 –item 703) put (-) sign in case of negative value	709	

@ includes excise duties, sales tax, non-deductible vat, outward freight and transport charges, commission to selling agents etc.

[8] employment particulars of the enterprise during last 30 days ended on / last calendar month ended on						
type of worker	Item no.	average number of workers				
		full time		part time		total
		female	male	female	male	(cols. 3 to 6)
(1)	(2)	(3)	(4)	(5)	(6)	(7)
working owner	801					
formal hired worker	802					
informal hired worker	803					
other worker / helper	804					
total (items 801 to 804)	809					

[9] compensation to workers during last 30 days ended on / last calendar month ended on			
type of emoluments	Item no.		value (Rs)
(1)	(2)		(3)
salary / wages, house rent allowances, transport allowance, bonus and other individual benefits directly payable to the worker (cash & kind)	working owner	901	
	formal hired worker	902	
	informal hired worker	903	
	sub-total (items 901 to 903)	909	
contribution to insurance, provident fund and other social security schemes (average for a month)	working owner	911	
	formal hired worker	912	
	sub-total (items 911 to 912)	919	
Employer's contribution to canteen, health clinic, child care centre, etc. (average for a month)	working owner	921	
	formal hired worker	922	
	informal hired worker	923	
	other worker / helper	924	
	sub-total (items 921 to 924)	929	
total emoluments (items 909 + 919 + 929)		939	

[10] fixed assets owned and hired as on the last date of reference year (Rs. in whole number)					
type of asset	Item no.	market value of assets (Rs) as on the last date of reference year		*net additions to owned assets during last 365 days / last year (Rs)	monthly rental payable on hired assets (Rs)
		owned	hired		
(1)	(2)	(3)	(4)	(5)	(6)
land and building	1001				
plant and machinery	1002				
transport equipment	1003				
tools and other fixed assets	1004				
software and database	1005				
information, computer and telecommunications equipment	1006				
capital work in progress	1007				
total (1001 to 1007)	1009				

* net addition can either be positive or negative.

[11] loan outstanding as on the last date of the reference year (Rs. in whole number)			
sources of loan	Item no.	amount (Rs)	interest payable during the last 30 days / last calendar month (Rs)
(1)	(2)	(3)	(4)
central and state level term lending institutions	1101		
government (central, state, local bodies)	1102		
commercial banks	1103		
co-operative banks and societies	1104		
micro-finance institutions	1105		
other institutional agencies	1106		
money lenders	1107		
business partner(s)	1108		
suppliers / contractors	1109		
friends and relatives	1110		
others	1111		
total (1101 to 1111)	1119		

[12] factor incomes of the enterprise during last 30 days ended on / last calendar month ended on (Rs. in whole number)		
type of factor income	Item no.	value (Rs)
(1)	(2)	(3)
emoluments (item 939, col.3 of block 9)	1201	
rent payable (item 1001, col.6 of block 10)	1202	
interest payable (item 1119, col. 4 of block 11)	1203	
net surplus	1204	
total (items 1201 to 1204)	1209	

[13] particulars of use of information and communication technology (ICT) by the enterprise during last 365 days ended on / last year		
main items	Item no.	(yes-1, no-2)
(1)	(2)	(3)
did the enterprise use computer/s during <reference period>	1301	
did the enterprise use the Internet during <reference period>?	1302	
does the enterprise have a web presence as on the date y?	1303	
does the enterprise have an intranet as on the date of survey?	1304	
did the enterprise receive orders for goods or services (that is, make sales) via the Internet during <reference period>?	1305	
did the enterprise place orders for goods or services (that is, make purchases) via the Internet during <reference period>?	1306	
how did the enterprise connect to the Internet during <reference period>?		
narrowband	1307	
fixed broadband	1308	
mobile broadband	1309	
does the enterprise have a local area network (LAN) as on the date of survey?	1311	
does the enterprise have an extranet as on the date of survey?	1312	
for which of the following activities did the enterprise use the Internet during <reference period>?		
sending and receiving e-mail	1313	
telephoning over the Internet/VoIP, including video conferencing	1314	
getting information about goods and services	1315	
getting information from general government organizations	1316	
interacting with general government organizations	1317	
internet banking	1318	
accessing other financial services	1319	
providing customer services	1321	
delivering products online	1322	

[13] particulars of use of information and communication technology (ICT) by the enterprise during last 365 days ended on / last year		
main items	Item no.	(yes-1, no-2)
(1)	(2)	(3)
internal or external recruitment	1323	
staff training	1324	
		number
<average> number of persons employed who routinely used computers during <reference period>.	1325	
<average> number of persons employed who routinely used the Internet at work during <reference period>.	1326	

Item No.	Explanatory Notes
1301	A computer refers to a desktop or a laptop computer. It does not include equipment with some embedded computing abilities such as mobile cellular phones, personal digital assistants (PDA) or TV sets.
1302	The Internet is a worldwide public computer network. It provides access to a number of communication services including the World Wide Web and carries email, news, entertainment and data files, irrespective of the device used (not assumed to be only via a computer - it may also be by mobile phone, games machine, digital TV, etc.). Access can be via a fixed or mobile network.
1303	A web presence includes a website, home page or presence on another entity's website (including a related business). It excludes inclusion an on-line directory of any other webpages where the business does not have control over the content of the page.
1304	An intranet refers to an internal communications network using Internet protocols and allowing communication within an organization (and with other authorized persons). It is typically set up behind a firewall to control access.
1305	Orders received include orders received via the Internet whether or not payment was made online. They include orders received via websites, specialized Internet marketplaces, extranets, EDI over the Internet, Internet-enabled mobile phones and email. They also include orders received on behalf of other organizations – and orders received by other organizations on behalf of the business. They exclude that were cancelled or not completed.
1306	Orders placed include orders placed via the Internet whether or not payment was made online. They include orders placed via websites, specialized Internet marketplaces, extranets, EDI over the Internet, Internet-enabled mobile phones and email. They exclude orders that were cancelled or not completed.
1307	Narrowband includes analogue modem (dial-up via standard phone line), Integrated Services Digital Network (ISDN), Digital Subscriber Line (DSL) speeds below 256 kbit/s, and mobile phone and other forms of access with an advertised download speed of less than 256 kbit/s. Narrowband mobile phone access services include CDMA 1x (Release 0), GPRS, WAP and imode
1308	Fixed broadband refers to technologies such as DSL, at speeds of at least 256 kbit/s, cable modem, high speed leased lines, fibre-to-the-home, powerline, satellite, fixed wireless, Wireless Local Area Network (WLAN) and WiMAX.
1309	Mobile broadband access services include Wideband CDMA (W-CDMA), known as

Item No.	Explanatory Notes
	Universal Mobile Telecommunications System (UMTS) in Europe; High-speed Downlink Packet Access (HSDPA), complemented by High-Speed Uplink Packet Access (HSUPA); CDMA2000 1xEV-DO and DCMA 2000 1xEV-DV. Access can be via any device (mobile cellular phone, laptop, PDA, etc.
1311	A LAN refers to a network connecting computers within a localized area such as a single building, department or site; it may be wireless.
1312	An extranet is a closed network that uses Internet protocols to share securely a business' information with suppliers, vendors, customers or other business partners. It can take the form of a secure extension of an intranet that allows users to access some parts of it. It can also be a private part of the business' website, where business partners can navigate after authentication.
1314	VoIP refers to Voice over Internet Protocol
1317	Includes downloading/requesting forms online, making online payments and purchasing from, or selling to, government organizations. It excludes getting information from government organizations.
1318	Includes electronic transactions with a bank for payments transfers, etc. or for looking up account information.
1319	Includes electronic transactions via the Internet for other types of financial services such as purchasing shares (stocks), financial services and insurance.
1321	Includes providing online or emailed product catalogues or price lists, product specification or configuration online, after-sales support, and order tracking online.
1322	Refers to products delivered over the Internet in digitized form, e.g. reports, software, music, videos, computer games; and online services, such as computer-related services, information services, travel bookings or financial services.
1323	Including providing information about vacancies on an intranet or website, and allowing online applications
1324	Includes e-learning applications available on an intranet or from the World Wide Web.

[14] particulars of field operations													
srl. no.	particulars	Investigator / Asst. Superintending Officer						Supervisory Officer					
(1)	(2)	(3)						(4)					
1401	(i) name in block letters												
	(ii) code												
	date(s) of	D	D	M	M	Y	Y	D	D	M	M	Y	Y
1402	(i) survey / inspection												
1403	(ii) receipt												
1404	(iii) scrutiny												
1405	(iv) despatch												
1406	total time taken to canvass Sch. 2.34 (minutes)												
1407	whether schedule contains remarks (yes-1, no-2)	in block 15			elsewhere in the schedule			in block 16			elsewhere in the schedule		
1408	signature												

[15] remarks by Investigator/ Asstt. Superintending Officer

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[16] comments by Supervisory Officer(s)

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