Chapter One

Introduction: Coverage, Concepts, Design and Definitions

1.0 **Introduction**

1.0.1 The National Sample Survey (NSS), set up by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods, will start its sixty-ninth round from 1st July 2012. The survey will continue up to 31st December 2012.

1.0.2 **Subject Coverage:** The 69th round (July 2012-December 2012) of NSS is earmarked for surveys on Drinking water, Sanitation, Hygiene, Housing conditions and survey on slums. The last survey on these subjects was conducted in 65th round of NSS (July 2008- June 2009).

1.1 **Objective of the Survey**

1.1.1 **Survey on drinking water, sanitation, hygiene and housing condition (Schedule 1.2):** Housing is a basic requirement of human well-being. Along with the requirement of shelter, other facilities in the micro environment of housing such as type of dwelling unit, drinking water, sanitation, hygiene, etc., form vital components of overall quality of life of the population. The survey on drinking water, sanitation, hygiene and housing condition has been designed to collect information on the different aspects of living conditions necessary for decent and healthful living of the household members. Information on these aspects will relate to the household as a whole. On drinking water, important information will be collected on (i) sources and sufficiency of drinking water, (ii) distance to the source of drinking water and (iii) quality of drinking water. On the sanitation facilities, information will be collected on (i) access to latrine, in terms of exclusive use, common use or no access, (ii) type of latrine, (iii) reason for not using latrine for the households which have access to latrine but not using. Some information on micro-environment surrounding the house that will be collected relate to (i) garbage disposal, (ii) drainage arrangement, (iii) problem of flies/mosquitoes. Other information on housing condition like, age of the house, condition of the house, type of the dwelling unit (viz., *pucca, semi-pucca* and *katcha*), floor area of the dwelling unit, sources of financing for construction/purchase of houses/flats for residential purpose will also be collected.

Using the information collected in this survey, important indicators of living facilities that can be developed are: proportion of households (i) using improved sources of drinking water, (ii) getting sufficient drinking water, (iii) fetching drinking water from outside premises, (iv) using improved latrine facilities, (v) having garbage disposal arrangement, (vi) having draining arrangement. On the characteristics of the house and dwelling unit, important indicators are (i) proportion of households living in different types of dwelling units, (ii) distribution of the households by age the house, (iii) per capita floor area, (iv) proportion of households that undertook construction/purchased houses with different sources of finance. These indictors will be developed, at the national and state level, cross classified by level of living of the households (measured by MPCE), social group, etc.

These statistical indicators are required for planning, policy and decision making at various levels both within government and outside. These indicators will be extensively used by various Government Organisations viz., Department of Drinking Water and Sanitation, Ministry of Housing and Urban Poverty Allevation, Town and Country Planning Organisation, Planning Commission, etc. The indicators on improved sources of drinking water and sanitation are required to monitor the Millennium Development Goals (MDG) with respect to drinking water and sanitation. These will also be used by organisations like WHO, UNICEF and various users, researchers and policy makers.

1.1.2 **Survey on slum (Schedule 0.21):** Slums are a part of our urban environment, important because they are identified by the presence of features of living conditions that are undesirable: overcrowding, lack of hygiene and sanitation, inadequacy of drinking water, and poor construction. It is considered a worthwhile objective of town planning to remove such conditions in existing towns and cities and to ensure that they do not recur, or come up in new urban settlements. The NSS slum survey seeks to measure the extent of the slum problem by estimating, State wise, the number of slums, the number of slum-dwelling households, and the percentage of slums having access to specific facilities that are known to be absent in many slums. This is done separately for notified slums – areas notified as slums by the concerned municipalities, corporations, local bodies or development authorities – and other slums, as well as for all slums taken together. The NSS survey also seeks to assess whether slum-like conditions are disappearing over time, or worsening. For this, it estimates, for each of about 10-12 facilities, the proportion of slums reporting improvement in the facility during the last 5 years, the proportion of slums reporting deterioration in the facility, and the proportion reporting no change.

1.2 **Outline of Survey Programme**

1.2.1 **Geographical coverage:** The survey will cover the whole of the Indian Union.

The rural areas such as (i) interior villages of Nagaland situated beyond five kilometres of the bus route and (ii) villages in Andaman and Nicobar Islands which remain inaccessible throughout the year were previously excluded from coverage. Henceforth, these areas will be covered in the survey after forming a State/UT level special stratum comprising these villages.

1.2.2 **Period of survey and work programme:** The period of survey will be of six months' duration starting on 1st July 2012 and ending on 31st December 2012. The survey period of this round will be divided into two sub-rounds of three months' duration each as follows:

>   sub-round 1 :   July - September 2012
>   sub-round 2 :   October - December 2012

In each of these two sub-rounds equal number of sample villages/ blocks (FSUs) will be allotted for survey with a view to ensuring uniform spread of sample FSUs over the entire survey period. Attempt should be made to survey each of the FSUs during the sub-round to which it is allotted. *Because of the arduous field conditions, this restriction need not be strictly enforced in Andaman and Nicobar Islands, Lakshadweep and rural areas of Arunachal Pradesh and Nagaland.*

1.2.3 **Schedules of enquiry:** During this round, the following schedules of enquiry will be canvassed:

Schedule 0.0   : list of households
Schedule 1.2   : drinking water, sanitation, hygiene and housing condition
Schedule 0.21   : particulars of slum

Schedule 0.21 will be canvassed in the urban areas only.

1.2.4 Participation of States: In this round all the States and Union Territories except Andaman & Nicobar Islands, Chandigarh, Dadra & Nagar Haveli and Lakshadweep are participating. The following is the matching pattern of the participating States/ UTs.

Nagaland (U)   : triple
Andhra Pradesh, J & K , Manipur , Delhi   : double
Maharashtra (U)   : one and half
Remaining States/ UTs   : equal

1.3 Contents of Volume I

1.3.1 The present volume contains four chapters. Chapter one, besides giving an overview of the whole survey operation, discusses the concepts and definitions of certain important technical terms to be used in the survey. It also describes in detail the sample design and the procedure of selection of households adopted for this round. Instructions for filling in Schedule 0.0, Schedule 1.2 and Schedule 0.21 are given in Chapters Two to Four respectively.

1.3.2 Along with the instructions, a list of Frequently Asked Questions (FAQ) is also appended with each of the chapters Two to Four.

1.4 Sample Design

1.4.1 **Outline of sample design:** A stratified multi-stage design has been adopted for the 69th round survey. The first stage units (FSU) will be the census villages (Panchayat wards in case of Kerala) in the rural sector and Urban Frame Survey (UFS) blocks in the urban sector. The ultimate stage units (USU) will be households in both the sectors. In case of large FSUs, one intermediate stage of sampling will be the selection of two hamlet-groups (hgs)/ sub-blocks (sbs) from each rural/ urban FSU.

1.4.2 **Sampling Frame for First Stage Units:** *For the rural sector,* the list of 2001 census villages updated by excluding the villages urbanised and including the towns de-urbanised after 2001 census (henceforth the term 'village' would mean Panchayat wards for Kerala) will constitute the sampling frame. *For the urban sector*, the latest updated list of UFS blocks (2007-12) will be considered as the sampling frame.

1.4.3 **Stratification:** Within each district of a State/ UT, generally speaking, two basic strata will be formed: i) rural stratum comprising of all rural areas of the district and (ii) urban stratum comprising of all the urban areas of the district. However, within the urban areas of a district, if there are one or more towns with population 10 lakhs or more as per population census 2011 in a district, each of them will form a separate basic stratum and the remaining urban areas of the district will be considered as another basic stratum.

In case of rural sectors of Nagaland and Andaman & Nicobar Islands, the coverage has been extended to the entire State/UT from this round. In these two State/UTs, one separate special stratum will be formed within the State/UT consisting of all the interior and inaccessible villages which were not covered in previous rounds.

1.4.4 **Sub-stratification:**

Rural sector r: If 'r' be the sample size allocated for a rural stratum, the number of sub-strata formed will be 'r/2'. The villages within a district as per frame will be first arranged in ascending order of population. Then sub-strata 1 to 'r/2' will be demarcated in such a way that each sub-stratum will comprise a group of villages of the arranged frame and have more or less equal population.

Urban sector: Each stratum will be divided into 2 sub-strata as follows:

> sub-stratum 1: all UFS blocks having area type 'slum area'
> sub-stratum 2: remaining UFS blocks

1.4.5 **Total sample size (FSUs):** 8000 FSUs will be surveyed for the central sample at all-India level. For the state sample, there will be 9112 FSUs for all-India. In addition to this, some more sample FSUs (in the form of sub-sample 3) will be allocated exclusively for slum schedule. State wise allocation of sample FSUs is given in Table 1, page A-16.

1.4.6 **Allocation of total sample to States and UTs:** The total number of sample FSUs will be allocated to the States and UTs in proportion to population as per census 2011 subject to a minimum sample allocation to each State/ UT. While doing so, the resource availability in terms of number of field investigators as well as the comparability with previous round of survey on the same subjects will be kept in view.

1.4.7 **Allocation of State/ UT level sample to rural and urban sectors:** State/ UT level sample size will be allocated between two sectors in proportion to population as per *census 2011* with double weightage to urban sector subject to the restriction that urban sample size for bigger states like Maharashtra, Tamil Nadu etc. should not exceed the rural sample size. A minimum of 16 FSUs (minimum 8 each for rural and urban sector separately) will be allocated to each state/ UT.

1.4.8 **Allocation to strata:** Within each sector of a State/ UT, the respective sample size will be allocated to the different strata in proportion to the population as per census 2011 wherever the information is available, failing which information on population as per census 2001 will be used. Allocations at stratum level will be adjusted to multiples of 2 with a minimum sample size of 2.

For special stratum in Nagaland and A & N Islands, 8 FSUs will be allocated to each.

1.4.9 **Allocation to sub-strata:**

1.4.9.1 **Rural**: Allocation will be 2 for each sub-stratum in rural.

1.4.9.2 **Urban**: Stratum allocations will be distributed among the two sub-strata in proportion to the number of FSUs in the sub-strata. Minimum allocation for each sub-stratum will be 2. Equal number of samples will be allocated among the two sub-rounds.

Also, an additional sample of FSUs in the form of sub-sample 3, equal to number of sample FSUs in each of the sub-samples 1 & 2 in the sub-stratum 1 only, will be allocated.

1.4.10 **Selection of FSUs:**

For the rural sector, from each stratum/ sub-stratum, required number of sample villages will be selected by probability proportional to size with replacement (PPSWR), size being the population of the village as per Census 2001.

For the urban sector, UFS 2007-12 phase will be used for all towns and cities and from each stratum/sub-stratum FSUs will be selected by using Simple Random Sampling Without Replacement (SRSWOR).

Both rural and urban samples are to be drawn in the form of two independent sub-samples and equal number of samples will be allocated among the two sub rounds. For urban sub-stratum 1, additional samples will be drawn in the form of sub-sample 3 independently.

1.4.11 **Selection of hamlet-groups/ sub-blocks - important steps**

1.4.11.1 **Proper identification of the FSU boundaries:** The first task of the field investigators is to ascertain the exact boundaries of the sample FSU as per its identification particulars given in the sample list. For urban samples, the boundaries of each FSU may be identified by referring to the map corresponding to the frame code specified in the sample list.

1.4.11.2 **Criterion for hamlet-group/ sub-block formation:** After identification of the boundaries of the FSU, it is to be determined whether listing will be done in the whole sample FSU or not. In case the approximate present population of the selected FSU is found to be 1200 or more, it will be divided into a suitable number (say, D) of 'hamlet-groups' in the rural sector and 'sub-blocks' in the urban sector by more or less equalising the population as stated below.

approximate present population of the sample FSU	no. of hg's/sb's to be formed
less than 1200 (no hamlet-groups/sub-blocks)	1
1200 to 1799	3
1800 to 2399	4
2400 to 2999	5
3000 to 3599	6
…………..and so on	.

For rural areas of Himachal Pradesh, Sikkim, Uttarakhand (except four districts Dehradun (P), Nainital (P), Hardwar and Udham Singh Nagar), Poonch, Rajouri, Udhampur, Doda, Leh (Ladakh), Kargil districts of Jammu and Kashmir and Idukki district of Kerala, the number of hamlet-groups will be formed as follows:

approximate present population of the sample village	no. of hg's to be formed
less than 600 (no hamlet-groups)	1
600 to 899	3
900 to 1199	4
1200 to 1499	5
1500 to 1799	6
………..and so on	.

1.4.11.3 **Formation and selection of hamlet-groups/ sub-blocks:** In case hamlet-groups/ sub-blocks are to be formed in the sample FSU, the same should be done by more or less

equalizing population. Note that while doing so, it is to be ensured that the hamlet-groups/ sub-blocks formed are clearly identifiable in terms of physical landmarks.

Two hamlet-groups (hg)/ sub-blocks (sb) will be selected from a large FSU wherever hamlet-groups/ sub-blocks have been formed in the following manner – one hg/ sb with maximum percentage share of population will always be selected and termed as hg/ sb 1; one more hg/ sb will be selected from the remaining hg's/ sb's by simple random sampling (SRS) and termed as hg/ sb 2. Listing and selection of the households will be done independently in the two selected hamlet-groups/ sub-blocks. The FSUs without hg/ sb formation will be treated as sample hg/ sb number 1. It is to be noted that if more than one hg/ sb have same maximum percentage share of population, the one among them which is listed first in block 4.2 of schedule 0.0 will be treated as hg/ sb 1.

1.5 **Listing of households:** Having determined the hamlet-groups/ sub-blocks, i.e. area(s) to be considered for listing, the next step is to list all the households (including those found to be temporarily locked after ascertaining the temporariness of locking of households through local enquiry). The hamlet-group/ sub-block with sample hg/ sb number 1 will be considered for listing first, to be followed by the listing of households within the sample hg/sb number 2.

1.6 **Formation of second stage strata and allocation of households**

1.6.1 Two cut-off points 'A' and 'B' (in `) have been determined from NSS 66th round data for each NSS region for urban areas in such a way that top 10% of the population have MPCE more than 'B' and bottom 30% of the population have MPCE less than A. The values of A and B for each NSS Region have been given in Chapter two.

1.6.2 Households listed in the selected FSU/ hamlet-group/ sub-block will be stratified into three second stage strata (SSS). Composition of the SSS and number of households to be surveyed from different SSS will be as follows:

| | | number of households to be surveyed | |
SSS	composition of SSS	FSU without hg/sb formation	FSU with hg/sb formation (for each hg/sb)
Rural			
SSS 1:	households having pucca dwelling structure	4	2
SSS 2:	households having semi-pucca dwelling structure	4	2
SSS 3:	other households (including those with no structure)	4	2
Urban			
SSS 1:	households having MPCE of top 10% of urban population (MPCE > B)	2	1
SSS 2:	households having MPCE of middle 60% of urban population (A ≤ MPCE ≤ B)	4	2
SSS 3:	households having MPCE of bottom 30% of urban population (MPCE < A)	6	3

1.6.3 The above table provides the plan of allocation of the sample household in the respective SSS. However, there can be situations in the selected FSUs both in rural and urban sectors where adequate number of households is not available for required allocation. In such situation, the selection of household for the SSS is compensated from the other SSS. This is done by adopting specified procedure. To meet the shortfall of households in one SSS compensation can be made from other SSSs. The details of the compensation rules are given in the Chapter two dealing with Schedule 0.0.

1.7 **Selection of households:** From each SSS the sample households will be selected by SRSWOR.

1.8 **Concepts and Definitions:**

1.8.0 Important concepts and definitions used in different schedules of this survey are explained below.

1.8.1 **Population coverage:** The following rules regarding the population to be covered are to be remembered in listing of households and persons:

1. Under-trial prisoners in jails and indoor patients of hospitals, nursing homes etc., are to be excluded, but residential staff therein will be listed while listing is done in such institutions. The persons of the first category will be considered as normal members of their parent households and will be counted there. Convicted prisoners undergoing sentence will be outside the coverage of the survey.

2. Floating population, i.e., persons without any normal residence will not be listed. But households residing in open space, roadside shelter, under a bridge, etc., more or less regularly in the same place, will be listed.

3. Foreign nationals will not be listed, nor their domestic servants, if by definition the latter belong to the foreign national's household. If, however, a foreign national becomes an Indian citizen for all practical purposes, he or she will be covered.

4. Persons residing in barracks of military and paramilitary forces (like police, BSF, etc.) will be kept outside the survey coverage due to difficulty in conduct of survey therein. However, civilian population residing in their neighbourhood, including the family quarters of service personnel, are to be covered. Permission for this may have to be obtained from appropriate authorities.

5. Orphanages, rescue homes, *ashrams* and vagrant houses are outside the survey coverage. However, persons staying in old age homes, students staying in *ashrams*/ hostels and the residential staff (other than monks/ nuns) of these ashrams may be listed. For orphanages, although orphans are not to be listed, the persons looking after them and staying there may be considered for listing.

1.8.2 **House:** Every structure, tent, shelter, etc. is a house irrespective of its use. It may be used for residential or non-residential purpose or both or even may be vacant.

1.8.3 **Household:** A group of persons normally living together and taking food from a common kitchen will constitute a household. It will include temporary stay-aways (those whose total period of absence from the household is expected to be less than 6 months) but exclude temporary visitors and guests (expected total period of stay less than 6 months). Even though the determination of the actual composition of a household will be left to the

judgment of the head of the household, the following procedures will be adopted as guidelines.

(i) Each inmate (including residential staff) of a hostel, mess, hotel, boarding and lodging house, etc., will constitute a single-member household. If, however, a group of persons among them normally pool their income for spending, they will together be treated as forming a single household. For example, a family living in a hotel will be treated as a single household.

(ii) In deciding the composition of a household, more emphasis is to be placed on 'normally living together' than on 'ordinarily taking food from a common kitchen'. In case the place of residence of a person is different from the place of boarding, he or she will be treated as a member of the household with whom he or she resides.

(iii) A resident employee, or domestic servant, or a paying guest (but not just a tenant in the household) will be considered as a member of the household with whom he or she resides even though he or she is 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 takes food with his or her family, he or she should be treated not as a single member household but as a member of the household in which other members of his or her family stay.

(v) If a member of a family (say, a son or a daughter of the head of the family) stays elsewhere (say, in hostel for studies or for any other reason), he/ she will not be considered as a member of his/ her parent's household. However, he/ she will be listed as a single member household if the hostel is listed.

1.8.4 **Household size:** The number of members of a household is its size.

1.8.5 **Household monthly per capita expenditure:** Household consumer expenditure is measured as the expenditure incurred by a household on domestic account during a specified period, called reference period. It also includes the imputed values of goods and services, which are not purchased but procured otherwise for consumption. In other words, it is the sum total of monetary values of all the items (i.e. goods and services) consumed by the household on domestic account during the reference period. The imputed rent of owner-occupied houses is excluded from consumption expenditure. Any expenditure incurred towards the productive enterprises of the households is also excluded from the household consumer expenditure. Monthly per capita expenditure (MPCE) is the household consumer expenditure over a period of 30 days divided by household size.

1.8.6 **Dwelling unit:** It is the accommodation availed of by a household for its residential purpose. It may be an entire structure or a part thereof or consisting of more than one structure. There may be cases of more than one household occupying a single structure such as those living in independent flats or sharing a single housing unit, in which case, there will be as many dwelling units as the number of households sharing the structure. There may also be cases of one household occupying more than one structure (i.e. detached structures for sitting, sleeping, cooking, bathing etc) for its housing accommodation. In this case, all the structures together constitute a single dwelling unit. In general, a dwelling unit consists of living room, kitchen, store, bath, latrine, garage, open and closed veranda etc. A structure or a portion thereof used exclusively for non-residential purposes or let out to other households does not form part of the dwelling unit of the household under consideration. However, a portion of a structure used for both residential and non-residential purposes is treated as part of the dwelling unit except when the use of such portion for residential purpose is very

nominal. The dwelling unit covers all pucca, semi-pucca and katcha structures used by a household. Households living more or less regularly in tents, under bridges, in pipes, under staircase, in purely temporary flimsy improvisations built by the road side (which are liable to be removed at any moment) etc., are considered to have no dwelling.

1.8.7 **Building:** Building is a free-standing structure comprising one or more rooms or other spaces covered by a roof and usually enclosed within external walls or dividing walls which extend from the foundation to the roof. Dividing walls refer to the walls of adjoining buildings, which are practically independent of one another and likely to have been built at different times and owned by different persons. If more than one physically separated structure constitute one living unit, all of them together also form a building. Usually, building will have four external walls. But in some areas the nature of building construction is such that it has no walls. Instead, it has a roof which almost touches the ground and it is provided with an entrance. Such structures and also structures standing only on pillars will also be treated as buildings for the purpose of the survey.

1.8.8 **Independent house:** A dwelling unit is considered as an independent house if it has a separate structure and the structure is not shared with any other household. In other words, if the dwelling unit and the entire structure of the house are physically the same, it should be considered as an independent house. In some parts, particularly in rural areas, two or more structures together may constitute a single housing unit. While the main residence may be in one of the structures, the other structures may be used for sleeping, sitting and for store, bath etc. In all such cases, all the structures together will form a single housing unit and will be treated as an independent house.

1.8.9 **Flat:** A dwelling unit is considered as a flat if it is a part of a structure which is shared with at least one other household and the dwelling unit has housing facilities of water supply, bathroom and latrine, which are used exclusively by the households or shared with households residing in that structure. If the household reports that the facilities of water supply, bathroom and latrine are shared with households residing in other structures, in such cases also such dwelling units will be considered as flat. If the households residing in flat-like structure without any one of the housing facilities of water supply, bathroom and latrine, these dwelling units will not be classified as flat.

1.8.10 **Pucca structure:** A pucca structure is one whose walls and roofs are made of pucca materials such as cement, concrete, oven burnt bricks, hollow cement / ash bricks, stone, stone blocks, jack boards (cement plastered reeds), iron, zinc or other metal sheets, timber, tiles, slate, corrugated iron, asbestos cement sheet, veneer, plywood, artificial wood of synthetic material and poly vinyl chloride (PVC) material.

1.8.11 **Katcha structure:** A structure which has walls and roof made of non-pucca materials is regarded as a katcha structure. Non-pucca materials include unburnt bricks, bamboo, mud, grass, leaves, reeds, thatch, etc. Katcha structures can be of the following two types:

   (a) **Unserviceable katcha structure** includes all structures with thatch walls and thatch roof, i.e., walls made of grass, leaves, reeds, etc. and roof of a similar material and

   (b) **Serviceable katcha structure** includes all katcha structures other than unserviceable katcha structures.

1.8.12 **Semi-pucca structure:** A structure which cannot be classified as a pucca or a katcha structure as per definition is a semi-pucca structure. Such a structure will have either the walls or the roof but not both, made of pucca materials.

1.8.13 **Room:** A constructed area with walls or partitions on all side with at least one door way and a roof overhead. Wall / partition means a continuous solid structure (except for the doors, windows, ventilators, air-holes, etc.) extending from floor to ceiling. A constructed space with grill or net on one or more sides in place of wall or partition is not treated as a room. In case of conical shaped structures in which the roof itself is built to the floor level, the roof is also regarded as wall.

 1.8.14 **Living room**: A room with floor area (carpet area) of at least 4 square metres (i.e., approximately 43 square feet), a height of at least 2 metres (i.e., approximately 6.6 feet) from the floor to the highest point in the ceiling and used for living purposes will be considered as a living room. Thus, rooms used as bedroom, sitting room, prayer room, dining room, servant's room - all are considered as living rooms provided they satisfy the size criterion. Kitchen, bathroom, latrine, store, garage etc. are not living rooms. A room used in common for living purpose and as kitchen or store is also considered as living room.

1.8.15 **Other room:** It is a room which does not satisfy the specification of 4 square metres floor area and 2 metres height from the floor to the highest point of the ceiling or a room which though satisfies the specification, not used for living purposes. A room satisfying the size criterion when shared by more than one household or when used for both residential and business purposes is to be treated as other room.

1.8.16 **Veranda:** It is a roofed space adjacent to living/other room and is not walled from all sides. In other words, at least one side of such space is either open or walled only to some height or protected by grill, net, etc. A veranda is considered as a 'covered veranda', if it is protected from all sides and an 'uncovered veranda', if is not protected at least from any one of the sides. A covered veranda may have a door also. Sometimes veranda is used as an access to the room(s). Corridor or passage within the dwelling unit is treated as portion of a room or a veranda depending on its layout. However, veranda does not cover a common corridor or passage used mainly as an access to the dwelling itself.

1.8.17 **Notified slums:** These are areas notified as slums by the concerned State governments, municipalities, corporations, local bodies or development authorities.

1.8.18 **Non-notified slums:** Also, any compact settlement with a collection of poorly built tenements, mostly of temporary nature, crowded together, usually with inadequate sanitary and drinking water facilities in unhygienic conditions, <u>is considered a slum by the survey, provided at least 20 households live there.</u> *If such a settlement is not notified as a slum, it will be called a non-notified slum*. Note that while a non-notified slum must consist of at least 20 households, no such restriction is imposed in case of notified slums.

1.8.19 **Slums:** The word "slum" will refer to ***both notified slums and non-notified slums.***

1.8.20 **Slums eligible for survey:** Any slum lying wholly or partly within the sample UFS block is *eligible for survey* and has to be covered. If, for a sample block, more than one slum is eligible for survey, particulars of each such slum are to be recorded separately in the same schedule. <u>A single schedule is to be filled in for each urban block selected for survey.</u> However, no schedule needs to be attached if there is no slum eligible for survey.

1.8.21 **Part-slums:** When the slum lies only partly within the sample UFS block, the part of the slum which falls within the block may be called a part-slum. ***In such cases all the slum particulars recorded should relate to only the part-slum*** (unless the relevant item in Sch.0.21 mentions that information is to be given for the "WHOLE SLUM"). ***Such 'part-slums' are to be surveyed even if the approximate number of households in the part-slum (i.e., the part of the slum within the sample UFS block) is less than 20.*** (This differs from the procedure followed in the previous survey, where a part-slum qualified for survey only if it contained 20 or more households.)

1.8.22 **Procedure for identifying a slum:** Notified slums will be identified with the help of knowledgeable persons and, if necessary, by obtaining a list of notified slums from the concerned municipalities, corporations, local bodies or development authorities. Non-notified slums will be identified by the investigator with the help of knowledgeable persons by applying the definition of non-notified slums given above.

1.8.23 **Squatter settlement:** Slum like settlements with less than 20 households are considered as squatter settlements. The criteria of 20 households is not restricted within an FSU only but by considering the whole of such an area, which may cut across more than one FSU.

1.8.24 **Economic activity:** The entire spectrum of human activity falls into two categories: economic activity and non-economic activity. Any activity that results in production of goods and services that adds value to national product is considered as an economic activity. The economic activities have two parts - market activities and non-market activities. Market activities are those that involve remuneration to those who perform it, i.e., activity performed for pay or profit. Such activities include production of all goods and services for market including those of government services, etc. Non-market activities are those involving the production of primary commodities for own consumption and own account production of fixed assets.

1.8.24.1 The full spectrum of economic activities as defined in the UN System of National Accounts is not covered in the definition of economic activity adopted in the present survey of NSSO. Production of any good for own consumption is considered as economic activity by UN System of National Accounts but production of only primary goods for own consumption is considered as economic activity by NSSO. While the former includes activities like own account processing of primary products among other things, in the NSS surveys, processing of primary products for own consumption is not considered as economic activity. However, it may be noted that 'production of agricultural goods for own consumption' covering all activities up to and including stages of threshing and storing of produce for own consumption, comes under the coverage of the economic activities of NSSO.

1.8.24.2 The term 'economic activity' in this round will include:

   (i) all the market activities described above, i.e., the activities performed for pay or profit which result in production of goods and services for exchange,

   (ii) of the non-market activities,

      (a) all the activities relating to the primary sector (i.e., **industry Divisions 01 to 09 of NIC-2008**) which result in production (including free collection of uncultivated

crops, forestry, firewood, hunting, fishing, mining, quarrying, etc.) of primary goods, including threshing and storing of grains for own consumption.

<div align="center">and</div>

(b) the activities relating to the own-account production of fixed assets. Own account production of fixed assets include construction of own houses, roads, wells, etc., and of machinery, tools, etc., for household enterprise and also construction of any private or community facilities free of charge. A person may be engaged in own account construction in the capacity of either a labourer or a supervisor.

1.8.24.3 Determination of economic activities described above will be done irrespective of the situation whether such activity is carried out illegally in the form of smuggling or not. However, by convention, as in earlier rounds, the activities like prostitution, begging, etc., which may result in earnings, will not be considered as economic activities in this round also.

1.8.25 **Procedure for determining Household principal industry and occupation:** To determine the household principal industry and occupation, the general procedure to be followed is to list all the occupations pertaining to economic activities pursued by the members of the household excluding those employed by the household and paying guests (who in view of their staying and taking food in the household are considered as its normal members) during the one year period preceding the date of survey, no matter whether such occupations are pursued by the members in their principal or subsidiary (on the basis of earnings) capacity. Out of the occupations listed that one which fetched the maximum earnings to the household during the last 365 days preceding the date of survey would be considered as the principal household occupation. It is quite possible that one or more members of the household may pursue the household occupation in different industries. In such cases, the particular industry out of all the different industries corresponding to the principal occupation, which fetched the maximum earnings, should be considered as the principal industry of the household. In extreme cases, the earnings may be equal in two different occupations or industry-occupation combinations. By convention, in such cases, priority will be given to the occupation or industry-occupation combination of the senior-most member.

1.8.26 **Household type:** The household type, based on the means of livelihood of a household, is decided on the basis of the sources of the household's income during the 365 days preceding the date of survey. For this purpose, only the household's income (net income and not gross income) from economic activities is to be considered; but the incomes of servants and paying guests are not to be taken into account.

In **rural** areas, a household will belong to any one of the following six household types:

> self-employed in agriculture
> self-employed in non-agriculture
> regular wage/salary earning
> casual labour in agriculture
> casual labour in non-agriculture
> others

For **urban** areas, the household types are:

> self-employed
> regular wage/salary earning
> casual labour
> others

1.8.26.1 **Procedure for determining household type in rural sector**: The broad household types in rural areas to be used in this round are *self-employed*, *regular wage/salary earning*, *casual labour* and *others*. A household which does not have any income from economic activities will be classified under *others*. Within each of the broad category of *self-employed* and *casual labours* two specific household types will be distinguished, depending on their major income from agricultural activities (section A of NIC-2008) and non-agricultural activities (rest of the NIC-2008 sections, excluding section A). The specific household types for self-employed are: s*elf-employed in agriculture* and *self-employed in non-agriculture.* For casual labour, the specific household types are: *casual labour in agriculture* and *casual labour in non-agriculture*. In the determination of the household type in the rural areas, first the household's income from economic activities will be considered. Rural household will be first categorized as '*self-employed*', '*regular wage/salary earning*' or '*casual labour*' depending on the single major source of its income from economic activities during last 365 days. Further, for those households which are categorized either as *self-employed* or *casual labours*, specific household types (s*elf-employed in agriculture or self-employed in non-agriculture* and *casual labour in agriculture or casual labour in non-agriculture*) will be assigned depending on the single major source of income from agricultural or non-agricultural activities.

1.8.26.2 An **urban** household will be assigned the household type *self-employed*, *regular wage/salary earning*, *casual labour* or *others* corresponding to the major source of its income from economic activities during the last 365 days. A household which does not have any income from economic activities will be classified under *others*.

1.8.27 **Land possessed:** The area of land possessed will include land 'owned', 'leased in' and 'land neither owned nor leased in' (i.e. encroached) by the household but exclude land 'leased out'. The total land area possessed by the household as on the date of survey is taken into account. Note that

- A piece of land is considered to be owned by the household if permanent heritable possession with or without the right to transfer the title vests in a member or members of the household. Land held in owner-like possession say, under perpetual lease, hereditary tenure, long-term lease for 30 years or more, etc., will also be considered as land owned.

- As regards lease, land given to others on rent or free by owner of the land without surrendering the right of permanent heritable title is defined as land leased out. Land leased in is defined as land taken by a household on rent or free without any right of permanent or heritable possession. The lease contract may be written or oral.

- For a piece of public/institutional land under the possession of the household, if the household lacks title of ownership and also does not have lease agreement for the

use of land transacted, either verbally or in writing, such land will be considered as 'neither owned nor leased in'. Private land (i.e. land owned by the household sector) possessed by the household without title of ownership and occupancy right will *not* be considered in the 'otherwise possessed' category. All private land encroached upon by the household will be treated as leased-in land.

- Land possessed by the household members by virtue of family ties with the owner who stays elsewhere (forms a different household), is also to be treated as a case of land leased in. For such owners (those found to be living away from their family members who are in possession of the land), the land is to be recorded as owned and leased out.

- Land owned, leased in, etc., by a particular household does not include the area of land owned, leased in, etc., by the servants/paying guests who are considered as normal members of the household. However, land owned/cultivated jointly by two or more households may be apportioned to determine the land owned/cultivated by any one of them.

- Land possessed by the households living in a block of flats is to be calculated by apportioning the total area occupied by the building among the households in proportion to the size of the flats.

1.8.28 **'AYUSH Unit':**

AYUSH Unit will mean any Health Care Center/ unit providing treatment facility for any discipline under AYUSH (Ayurveda, Yoga, Naturopathy, Unani, Siddha, Homoeopathy), such as:

(1) **'Hospita**l' Medical institutions having provision of admission of sick persons as in-door patients (in-patients) for treatment are called hospitals. Hospital run by the central/ state government or local bodies like municipalities are considered Government Hospital. It is pertinent to mention here that any allopathic Hospital having treatment facility for any discipline under AYUSH (for examples if an allopathic Hospital has a wing of Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.

(2) '**Dispensary**' is the consulting place/ chamber, which does not generally have facilities for treatment of in-patients. A dispensary is a public institution that dispenses medicine or medical aids or an office in a hospital, school or other institution from which medical supplies, preparations, and treatments are dispensed. Hospitals without bed may be treated as Dispensaries. Dispensary having treatment facility for any discipline under AYUSH (for examples if an allopathic Hospital/ Dispensary has out-patient facility for Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.

(3) '**Primary health centre (PHC)**' is the first contact point between a village community and the medical officer. It has a medical officer and other paramedical staff. It is run by the Government and usually has in-patient and out–patient facilities. A PHC has jurisdiction over 6 sub-centres and serves about 30,000 populations in plain area and 20,000 populations in hilly/ tribal area. PHC having treatment facility for any discipline under AYUSH (for examples if any PHC has treatment facility for Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.

(4) **'Community health centre'** (**CHC**) serves about 1.2 lakh populations in plain area and 80,000 in the hilly/ tribal area. The CHC functions as referral centre for the PHC. It is manned by medical specialists and paramedical staff and has in-patient and out-patient facilities. CHC having treatment facility for any discipline under AYUSH (for examples if an CHC has treatment facility of Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.

(5) **AYUSH Health Center (AHC):** In some of the State Govt. Institutions, Ayurveda, Unani, Siddha dispensaries are also called as AYUSH Health Centers. Generally these centers are managed by one doctor, one pharmacist and one other staff and provide only out-door patient care.

(6) **Panchkarma Centers / Kendra:** These are small hospitals where Panchkarma Procedures / Ayurveda massage etc. is carried out. Panchkarma Center provides the facilities for ladies and gents both types of patients.

(7) **Ayurveda / Panchkarma Hospitals:** There are many hospitals providing indoor patient care through Panchkarma / Massage therapy. Kerala State is well known to have Panchkarma Hospitals of very high quality. Various procedures of massage, fomentation, putting oil on forehead (called as Shirodhara) and applying medicated oils all over the body.

Note: In case, if an AYUSH doctor visits an allopathic health care centre (Hospital/Dispensaries/PHCs/CHCs) once or twice in a week or so (but not on all working days) such Allopathic centre may not be treated as 'AYUSH Unit' for this survey purpose.

1.8.29 **Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA):** The Mahatma Gandhi National Rural Employment Guarantee Act, 2005 (MGNREGA) is an important step towards the realization of the right to work and to enhance the livelihood security of the households in the rural areas of the country. According to this Act, Rural Employment Guarantee Schemes (REGS) are formed by the State Governments. The Scheme provides at least 100 days of guaranteed wage employment in every financial year to every household whose adult members volunteer to do unskilled manual work. Adult means a person who has completed his/ her eighteen years of age. Unskilled manual work means any physical work which any adult person is capable of doing without any special skill/ training. The implementing agency of the scheme may be any Department of the Central Government or a State Government, a Zila Parishad, Panchayat/ Gram Panchayat or any local authority or Government undertaking or non-governmental organization authorized by the Central Government or the State Government.

Table 1: allocation of sample villages and blocks for NSS 69th round
(excluding the sample blocks of sub-sample 3)

State/UT	number of sample villages/blocks					
	central sample			state sample		
	total	rural	urban	total	rural	urban
(1)	(2)	(3)	(4)	(5)	(6)	(7)
ANDHRA PRADESH	488	244	244	976	488	488
ARUNACHAL PRADESH	80	48	32	80	48	32
ASSAM	280	212	68	280	212	68
BIHAR	352	280	72	352	280	72
CHHATTISGARH	136	84	52	136	84	52
GOA	24	12	12	24	12	12
GUJARAT	328	164	164	328	164	164
HARYANA	152	76	76	152	76	76
HIMACHAL PRADESH	112	88	24	112	88	24
JAMMU & KASHMIR	160	92	68	320	184	136
JHARKHAND	168	104	64	168	104	64
KARNATAKA	336	168	168	336	168	168
KERALA	320	160	160	320	160	160
MADHYA PRADESH	440	248	192	440	248	192
MAHARASHTRA	656	328	328	820	328	492
MANIPUR	176	96	80	352	192	160
MEGHALAYA	104	68	36	104	68	36
MIZORAM	96	48	48	96	48	48
NAGALAND	72	44	28	128	44	84
ODISHA	296	212	84	296	212	84
PUNJAB	184	92	92	184	92	92
RAJASTHAN	352	212	140	352	212	140
SIKKIM	64	40	24	64	40	24
TAMIL NADU	488	244	244	488	244	244
TRIPURA	176	104	72	176	104	72
UTTAR PRADESH	972	616	356	972	616	356
UTTARAKHAND	72	40	32	72	40	32
WEST BENGAL	624	324	300	624	324	300
A & N ISLANDS	32	20	12	0	0	0
CHANDIGARH	24	8	16	0	0	0
D & N HAVELI	16	8	8	0	0	0
DAMAN & DIU	16	8	8	16	8	8
DELHI	156	8	148	312	16	296
LAKSHADWEEP	16	8	8	0	0	0
PUDUCHERRY	32	8	24	32	8	24
ALL- INDIA	**8000**	**4516**	**3484**	**9112**	**4912**	**4200**

Note: (i) Number of sample blocks in sub-sample 3 will be added to the above sample sizes in urban
*   (ii) Minor changes in allocations may be necessary at the time of actual sample selection work*