

Chapter One

Introduction: Concepts, Definitions and Procedures

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-fourth round from 1st July 2007. The survey will continue up to 30th June 2008.

1.1 Outline of Survey Programme

1.1.1 **Subject Coverage:** The 64th round (July 2007-June 2008) of NSS is earmarked for survey on 'Employment-Unemployment and Migration', 'Participation and expenditure in Education' and 'Household Consumer Expenditure'. NSS 55th round (July 1999 – June 2000) and 49th round (January – June 1993) were the two latest rounds where migration was taken up as one of the subjects. Detailed information on education was collected for the last time in NSS 52nd round (July 1995 – June 1996), prior to which such information were collected during the 47th round of NSS (July – December 1991).

1.1.2 **Geographical coverage:** The survey will cover the whole of the Indian Union *except* (i) Leh (Ladakh) and Kargil districts of Jammu & Kashmir (for central sample), (ii) interior villages of Nagaland situated beyond five kilometres of the bus route and (iii) villages in Andaman and Nicobar Islands which remain inaccessible throughout the year.

1.1.3 **Period of survey and work programme:** The period of survey will be of one year duration starting on 1st July 2007 and ending on 30th June 2008. The survey period of this round will be divided into four sub-rounds of three months' duration each as follows:

- sub-round 1 : July - September 2007
- sub-round 2 : October - December 2007
- sub-round 3 : January - March 2008
- sub-round 4 : April - June 2008

In each of these four 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.*

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

- Schedule 0.0 : list of households
- Schedule 10.2 : employment & unemployment and migration particulars
- Schedule 25.2 : participation and expenditure in education
- Schedule 1.0 : household consumer expenditure

1.1.5 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
J & K , Manipur & Delhi	: double
Goa, Maharashtra (U)	: one and half
Gujarat	: less than equal
Remaining States/ UTs	: equal

1.2 Contents of Volume I

1.2.0 The present volume contains five 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 10.2, Schedule 25.2 and Schedule 1.0 are given in Chapters Two to Five respectively.

1.3 Sample Design

1.3.1 Outline of sample design: A stratified multi-stage design has been adopted for the 64th round survey. The first stage units (FSU) will be the 2001 census villages (Panchayat wards in case of Kerala) in the rural sector and Urban Frame Survey (UFS) blocks in the urban sector. However, for the newly declared towns and out growths (OGs) in census 2001 for which UFS has not yet been done, each individual town/ OG will be considered as an FSU. The ultimate stage units (USU) will be households in both the sectors. In case of large FSUs i.e. villages/ towns/ blocks requiring hamlet-group (hg)/ sub-block (sb) formation, one intermediate stage will be the selection of two hgs/ sbs from each FSU.

1.3.2 Sampling Frame for First Stage Units: *For the rural sector*, the list of 2001 census villages (Panchayat wards for Kerala) will constitute the sampling frame. *For the urban sector*, the list of latest available Urban Frame Survey (UFS) blocks and for non-UFS towns list of such towns/ OGs will be considered as the sampling frame.

1.3.3 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 2001 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. For a few districts, particularly in case of Tamil Nadu, if total number of towns in the district for which UFS is not yet done exceeds certain number, all such towns taken together will form another basic stratum. Otherwise, they will be merged with the UFS towns for stratification.

1.3.4 Sub-stratification:

1.3.4.1 Rural sector: If 'r' be the sample size allocated for a rural stratum, the number of sub-strata formed will be 'r/4'. The villages within a district as per frame will be first arranged in ascending order of population. Then sub-strata 1 to 'r/4' 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.

1.3.4.2 Urban sector: If 'u' be the sample size for a urban stratum, 'u/4' number of sub-strata will be formed. The towns within a district, except those with population 10 lakhs or more and also the non-UFS towns, will be first arranged in ascending order of population. Next, UFS blocks of each town will be arranged by IV unit no. × block no. in ascending order. From this arranged frame of UFS blocks of all the towns, 'u/4' number of sub-strata will be formed in such a way that each sub-stratum will have more or less equal number of FSUs.

For towns with population 10 lakhs or more, the urban blocks will be first arranged by IV unit no. × block no. in ascending order. Then 'u/4' number of sub-strata will be formed in such a way that each sub-stratum will have more or less equal number of blocks.

All non-UFS towns taken together within the district will form one sub-stratum.

1.3.5 Total sample size (FSUs): 12688 FSUs for central sample and 13624 FSUs for state sample have been allocated at all-India level.

1.3.6 Allocation of total sample to States and UTs: The total number of sample FSUs is allocated to the States and UTs in proportion to population as per census 2001 subject to a minimum sample allocation to each State/ UT. While doing so, the resource availability in terms of number of field investigators has been kept in view.

1.3.7 Allocation of State/ UT level sample to rural and urban sectors: State/ UT level sample is allocated between two sectors in proportion to population as per *census 2001* with 1.5 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 8 FSUs is allocated to each state/ UT separately for rural and urban areas. Further the State level allocation for both rural and urban have been adjusted marginally in a few cases to ensure that each stratum gets a minimum allocation of 4 FSUs.

The sample sizes by sector for each State/ UT are given in Table 1 at the end of this Chapter.

1.3.8 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 stratum population as per census 2001. Allocations at stratum level will be adjusted to a multiple of 4 with a minimum sample size of 4.

1.3.9 Selection of FSUs: From each sub-stratum of a district of rural sector, four FSUs will be selected with Probability Proportional to Size With Replacement (PPSWR), size being the population as per census 2001. For urban sector, from each sub-stratum four FSUs will be selected by using Simple Random Sampling Without Replacement (SRSWOR) for UFS towns and by PPSWR in case of non-UFS towns with size being the population as per Census 2001. Within each sub-stratum, samples will be drawn in the form of two independent sub-samples in both the rural and urban sectors.

1.3.10 Selection of hamlet-groups/ sub-blocks/ households - important steps

1.3.10.1 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 Urban Frame Survey (UFS) block may be identified by referring to the map corresponding to the frame code specified in the sample list (even though map of the block for a latter period of the UFS might be available). However for newly declared towns and out growths (OGs) in census 2001 for which UFS has not yet been done the boundaries of the whole town is to be considered.

1.3.10.2 Criterion for hamlet-group/ sub-block formation: After identification of the FSU, it is to be determined whether listing will be done in the whole sample FSU or not. In case the 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 as stated below.

approximate present population of the sample FSU	no. of hgs/sbs 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 and Poonch, Rajouri, Udhampur, Doda 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 hgs to be formed
less than 600 (no hamlet-groups)	1
600 to 899	3
900 to 1199	4
1200 to 1499	5
.....and so on	

1.3.10.3 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 (details are in Chapter Two). 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, by SRSWOR. Listing and selection of the households will be done independently in the two selected hamlet-groups/ sub-blocks to be described as sample hg/ sb 1 and 2. The FSUs without hg/ sb formation will be treated as sample hg/ sb number 1.

1.3.10.4 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 listed first and that with sample hg/ sb number 2 will be listed next.

1.4 Formation of Second Stage Strata and allocation of households

Schedule 10.2 (employment & unemployment and migration particulars)

All the households listed in the selected FSU/ hamlet-groups/ sub-blocks will be stratified into three second stage strata (SSS) as given below:

SSS 1:	households having at least one out-migrant and received at least one remittance from him/ her during last 365 days
SSS 2:	remaining households having at least one other type of migrants, including temporary out-migrants, for employment purpose
SSS 3:	other households

Schedule 25.2 (participation and expenditure in education)

The listed households will be stratified into two SSS as under:

SSS 1:	households having any member of age 5 – 29 years enrolled at primary and above level
SSS 2:	other households

Schedule 1.0 (household consumer expenditure)

The listed households will be stratified into two SSS as under:

SSS 1:	relatively affluent households
SSS 2:	other households

In rural areas a household will be classified as affluent if (i) it owns any of the items such as motor car/ jeep/ tractor/ combine-harvester/ truck/ bus/ van, consumer durables like fridge/ washing machine or spacious pucca house in good condition or (ii) a household member is a professional such as doctor/ advocate or has a high salaried job or (iii) the household owns 2 hectares or more cultivable land or 1 hectare or more irrigated land or (iv) owns at least 10 heads of cattle and buffaloes. From among all such households, ten relatively most affluent households will constitute SSS1.

Similarly, in the urban sector, a cut-off point 'A' (in Rs.) has been determined from NSS 61st round data for **each NSS region** in such a way that top 10% of the households have MPCE equal to or more than 'A'. All the listed households with MPCE more than 'A' will be considered as affluent.

The values of A for each NSS Region are given in Table 2 of Chapter two.

Compositions of second-stage strata (SSS) with number of households to be surveyed from different SSS for various schedules of enquiry will be as follows:

SSS	composition of SSS within a sample FSU	number of households to be surveyed	
		FSU without hg/sb formation	FSU with hg/sb formation (for each hg/sb)
schedule 10.2			
SSS 1:	households having at least one out-migrant and received at least one remittance from him/ her during last 365 days	2	1
SSS 2:	remaining households having at least one other type of migrants, including temporary out-migrants, for employment purpose	4	2
SSS 3:	other households	4	2
schedule 25.2			
SSS 1:	households having any member of age 5 – 29 years enrolled at primary and above level	4	2
SSS 2:	other households	4	2
schedule 1.0			
SSS 1:	relatively affluent households	2	1
SSS 2:	other households	2	1

1.5 Selection of households: From each SSS the sample households for each of the schedules will be selected by SRSWOR. If a household is selected for more than one schedule only one schedule will be canvassed in that household in the priority order of Schedule 10.2, Schedule 25.2 and Schedule 1.0 and in that case the household will be replaced for the other schedule. If a household is selected for Schedule 10.2 it will not be selected for Schedule 25.2 or Schedule 1.0. Similarly, if a household is not selected for Schedule 10.2 but selected for Schedule 25.2 it will not be selected for Schedule 1.0.

1.6 Shortfall of households to be compensated: For any schedule, shortfall in required number of households in the frame of any second-stage stratum (SSS) will be compensated from other SSS. For Schedule 10.2 where there are 3 SSS, shortfall of households in the frame of any particular SSS will be compensated from the same SSS of the other hg/ sb or from the other SSS of the same or other hg/ sb where additional household(s) are available. The procedure is as follows:

step 1: Allocate the required number of households to each SSS wherever possible and identify the SSS having shortfall.

step 2: In case of hg/ sb formation, compensate from the same SSS of the other hg/ sb if available for all the SSS having shortfall. If the shortfall still remains identify the SSS having shortfall and go to Step 3.

step 3: Find the SSS where additional households are available following the priority order of SSS 1, SSS 2, & SSS 3 and compensate.

The table given below will be useful for deciding the SSS from which the compensation is to be made.

SSS having shortfall (Schedule 10.2)	priority order of SSS for compensation
1	2, 3
2	1, 3
3	1, 2

To illustrate further, if there is hg/ sb formation, for each SSS as per priority order, compensation may be made from the hg/ sb where shortfall occurs, failing which from other hg/ sb and so on.

For example, if shortfall is in SSS 1 of hg/ sb 2 exists details of step 2 & step 3 are given below.

step 2: Try to compensate the shortfall of SSS 1 of hg/ sb 2 from SSS 1 of hg/ sb 1

If the shortfall still remains in SSS 1 of hg/ sb 2

step 3: try to compensate from SSS 2 of hg/ sb 2, failing which try from SSS 2 of hg/ sb 1. If the shortfall still remains then try from SSS 3 of hg/ sb 2, failing which try from SSS 3 of hg/sb 1.

For **Schedule 25.2 and Schedule 1.0** the procedure will be same except that choice will be limited to SSS 1 and SSS 2 only.

The resulting number of households (h) for each SSS will be entered at the top of relevant column(s) of block 5 and also in col.(6) against the relevant SSS × hg/ sb number of block 6 of sch. 0.0.

Example for Schedule 10.2

(a) FSU without hg/ sb formation

Example 1

SSS	H	Step 1	Step 3	h
1	2	2		2
2	15	4	1	5
3	3	3*		3
total	20	9	1	10
shortfall	–	1	0	×

(b) FSU with hg/ sb formation

Example 2

hg/ sb	SSS	H	Step 1	Step 2	Step 3	h
1	1	0	0*			0
	2	2	2			2
	3	126	2			2
	total	128	4			4
2	1	5	1	1	1	3
	2	1	1*			1
	3	130	2			2
	total	136	4	1	1	6
total		264	8	1	1	10
shortfall		-	2	1	0	-

* indicates the SSS having shortfall

1.7 Concepts and Definitions:

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

1.7.1 **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.

1.7.2 **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.

1.7.3 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.

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

1.7.5 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.

1.7.6 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.

1.7.7 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.

1.7.8 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 under bridges, in pipes, under staircase, in purely temporary flimsy improvisations built by the roadside (which are liable to be removed at any moment) etc., are considered to have no dwelling.

1.7.9 Independent house: An independent house is one which has a separate structure and entrance with self-contained arrangements. 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.

1.7.10 Flat: A flat, generally, is a part of the building and has one or more rooms with self-contained arrangements and normal housing facilities like water supply, latrine, toilet, etc., which are used exclusively by the household residing therein. It also includes detached room or rooms with or without other housing facilities.

1.7.11 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. 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. For a piece of 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'. In collecting information regarding land possessed, the actual position as obtained on the date of survey will be considered. It may be noted that the 'area of land possessed' to be recorded should not include the area of land owned, leased-in, etc. by the servants/ paying guests who are considered as normal members of the household.

1.7.12 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.

1.7.13 Meal: A 'meal' is composed of one or more readily eatable (generally cooked) items of food, the usually major constituent of which is cereals. The meals consumed by a person twice or thrice a day provide him/ her the required energy (calorie) and other nutrients for living and for pursuing his/ her normal avocations. A 'meal', as opposed to 'snacks', 'nashta' or 'high tea', contains larger quantum and variety of food. In rare cases, a full meal may contain larger quantity of non-cereal food. Even then, if the quantum of food in a plate is heavy as a meal, the contents of the food plate will also be considered as a 'meal'. Sometimes the contents of a 'nashta' may not be very different from the contents of a 'meal'. The difference in quantity will therefore be the guiding factor for deciding whether the plate is to be labelled as a 'meal' or a 'nashta'.

1.7.13.1 A person rendering domestic service (like cleaning utensils, dusting and cleaning of rooms, washing linen, carrying water from outside, etc.) to a number of households during the daytime gets some food from each of the households he/ she serves. Although the quantum of food received from a single household may, by quantity, be far less than a full meal, the total quantity of food received from all the households taken together would often, if not more, be at least equivalent to a full meal. In this particular situation, the person will be considered to be consuming one meal every day under 'meal taken away from home'.

1.7.13.2 Subject to the guidelines given in the two preceding paragraphs, for the purpose of data collection on 'number of meals consumed' one has to depend on the judgement of the informant as the informant would reckon the number on the basis of his/ her own understanding of the concept of a meal/ khana.

1.7.14 P.D.S.: This stands for Public Distribution System, which means the distribution of some essential commodities by the government at subsidised rates through ration shops, fair price shops and control shops. These shops may be owned by the government, local government, a government undertaking, the proprietor of a firm, co-operatives or private persons (individually or jointly) or other bodies like club, trust, etc. The following points may be noted while classifying a *purchase* as "PDS" or otherwise.

- "Super Bazaars" and co-operative stores will not generally be included under public distribution system. However, when these also sell rationed commodities at controlled prices against ration cards, they will be taken as ration shops for particular commodities.
- For kerosene, "PDS" will also include kerosene depots selling kerosene at controlled prices.

- Distribution of some controlled price commodities such as kerosene may in some areas be made without a system of presentation of ration card. Except in such situations, a purchase which is not made against a ration card will not qualify as a PDS purchase.
- A purchase will be considered as “PDS” irrespective of whether the household uses its own ration card or that of some other household.
- Purchase from PDS shops at prices higher than the PDS prices will also be considered as purchase from PDS as long as the price paid is perceptibly lower than the market price.

1.7.15 Education: The term ‘education’ generally refers to developing knowledge, skill or character of individuals through a process of learning such as self-study, attendance in formal or informal educational institutions, etc. In most of the countries, government spends substantial amounts on the creation as well as running of the educational infrastructure. However, for availing such facilities, individuals have to also incur expenditure in the form of tuition fees, examination fees, charges for stationeries, books, etc. Though information is available on the expenditure incurred by the governments through budget documents, the data on expenditure by individuals have to be collected through specialised surveys. The main objectives of canvassing Schedule 25.2 in this round is to collect information on (a) participation in education of persons aged 5-29 years in the education system, (b) private expenditure incurred on education and (c) examining the extent of educational wastage and its causes. For the purpose of this survey, ‘education’ will cover only the following:

- I. School education including those under Education Guarantee Scheme (EGS) commencing from class I to X or XII, as the case may be, irrespective of the recognition status of the educational institution,
- II. Higher secondary / Pre-university education leading to certificate/ diploma/ degree etc. It also includes enrolment in private unrecognised institutions, which have regular classes and following the syllabus and pattern of the education as in recognised schools or colleges and which sponsor students for public examinations as private or external candidates,
- III. General University education, whether full time or part time, leading to certificate/ diploma/ degree etc. The Universities not recognised by University Grant Commission will not be covered,
- IV. Correspondence courses conducted by Universities, Deemed Universities or Institutions, authorised by competent authorities for awarding regular degrees or diplomas or certificates,
- V. Higher secondary / Pre-university / Under-graduate/ Post-graduate / Professional/ Technical education leading to certificate/diploma/degree etc. conducted by recognised open university/schools,
- VI. Technical or Professional courses, leading to degree/diploma/certificates, conducted by Universities, Deemed Universities or institutes like, National Institute of Fashion Technology, National School of Drama, Satyajit Ray Film and Television Institute, Film and Television Institute of India, Lok Nayak Jayaprakash Narayan National Institute of Criminology and Forensic Science,

etc. or Institutions, authorised by competent authorities like All India Council of Technical Education (AICTE), Medical Council of India (MCI) etc.,

VII. Professional courses conducted by Institutes like The Institute of Chartered Accountants of India, The Institute of Cost and Works Accountants of India, The Institute of Company Secretaries of India, Actuarial Society of India, etc.,

VIII. All types of vocational courses of duration three months or more, conducted by Institutions like Industrial Training Institute (ITI), National Vocational Training Institute, Regional Vocational Training Institutes, etc., authorised by competent authorities

IX. All the courses at primary level and above, whether recognised or not, conducted by recognised educational institutions and which are not covered under above-mentioned categories.

The following courses shall be specifically excluded:

- *Art, music and similar type of courses conducted by individuals in their houses or unrecognised/ unaffiliated institutions,*
- *Classes taken by Private tutors,*
- *Education in nursery/Kindergartens/Preparatory levels except for their enrolment statuses and dropout / discontinuance statuses.*
- *The non-formal system of education being implemented through various programs by government or other agencies except for their enrolment statuses and dropout / discontinuance statuses.*

1.7.16 Educational level: It refers to the different stages of educational attainment. It is the highest level a person has completed successfully. The levels are: not literate -01, literate without any schooling: 02, literate without formal schooling: through NFEC/ AIEP -03, literate through TLC/ AEC -04, others -05; literate with formal schooling including EGS: below primary -06, primary -07, upper primary/middle -08, secondary -10, higher secondary -11, diploma/ certificate course -12, graduate -13, postgraduate and above -14. It may be noted that if a person has successfully passed the final year of a given level, then and only then will he/ she be considered to have attained that level of education. For example, for a person studying in Class IX the educational level will be middle and not secondary.

1.7.17 Level of current attendance: It refers to the different stages of educational attainment also but in this case the current educational level where a student is pursuing his current education is to be considered. Here the levels are: never attended-1; ever attended but currently not attending-2; currently attending in: NFEC/ AIEP -3, TLC/AEC -4, other non-formal education-5, pre-primary (nursery/ Kindergarten, etc.) -6, primary (class I to IV/ V)-07, middle-08, secondary-10, higher secondary-11; diploma or certificate (below graduate level) in: agriculture -21, engineering/ technology-22, medicine -23, crafts -24, other subjects-29; diploma or certificate (graduate and above level) in: agriculture-31, engineering/ technology-32, medicine-33, crafts-34, other subjects -39; Graduation level degree courses in: agriculture-41, engineering/ technology-42, medicine-43, crafts-44, other subjects -49; Post-graduation and above degree courses in: agriculture-51, engineering/ technology-52, medicine-53, crafts-54, other subjects -59. For example, the level of current attendance of a person studying in Class IX will be secondary.

1.7.18 **Literate:** A person is considered literate if he/she can read and write a simple message in at least one language with understanding.

1.7.19 **School Education Levels:** A uniform pattern across the country for the number of years of schooling at primary level, upper primary/middle level, secondary level and a higher secondary level is yet to be achieved. Generally, the primary level refers to Classes I-V, the middle to Classes VI-VIII, the secondary to Classes IX-X and the higher secondary to Classes XI-XII. While in many states, this system is being followed, there are some states where the primary level comprises Classes I- IV, the middle Classes V to VII or VIII, the secondary Classes VIII-X, etc., and the higher secondary in some states is taught in colleges. The information pertaining to a state is to be recorded according to the pattern followed in that state.

1.7.20 **Education Guarantee Scheme (EGS) and Alternative & Innovative Education Programme(AIEP):** EGS & AIEP support the following three broad kinds of strategies:

- (a) Setting up schools in the school-less habitations.
- (b) Intervention of mainstreaming of 'out of school' children, viz., bridge courses, back to school camps, etc.
- (c) Strategies for very specific, difficult groups of children who cannot be mainstreamed.

Strategy under (a) above refers to as the EGS component of EGS & AIEP scheme and strategies under (b) and (c) above together refer to as AIE component of the EGS & AIEP scheme.

EGS aims at setting up schools in the school-less habitations where no school exists within a radius of 1 k.m and at least 15 children in the age group 6 -14 years who are not going to schools, are available. In exceptional cases, e.g., for remote habitations in hilly areas for Jammu and Kashmir and part of North-Eastern region, EGS schools could be supported even for 10 children. It may be noted that EGS & AIEP is applicable throughout the country and not limited to the educationally backward states covered under the scheme of Non-formal Education (NFE). Such schools are in operation under various names in different states, as for example, 'Sishu Siksha Karmasuchi' in West Bengal, 'Bastishala' in Maharashtra, 'Rajiv Gandhi Swaran Jayanti Pathshala' in Rajasthan., 'Maabadi' in Andhra Pradesh. For the purpose of our survey, an individual who is attending or has become literate through schools under EGS & AIE scheme will be considered under the coverage of EGS.

1.7.21 **Type of Education:** Education is broadly divided into three categories: (i) general education and (ii) technical and professional education and (iii) vocational education. General education, in this survey, includes general school education from the primary to the higher secondary level, normal university education for a degree whereas technical/professional courses involve the hands on training in addition to theoretical classes. Education like Engineering, Medicine, Agriculture, Management, Chartered Accountancy, Cost Accountancy etc are examples of technical/ professional courses. The education which aims at imparting training in very specific fields through providing significant 'hands on' experience in acquiring necessary skill, which will make them employable or create for them opportunities of self employment and the degree/ diploma/ certificate awarded by the institute should have recognition by State/ Central Government/ public sector or similar employers are included under vocational education. Education offered by ITIs, polytechnics, etc. are examples of vocational courses.

1.7.22 **Course:** A course is a) a structured educational programme having a specified syllabus, duration, level, etc. and it should b) necessarily involve appearing in some kind of examination/performance appraisal for getting the degree/diploma/certificate or advancing to the next class/level. Depending upon the subjects covered and the mode of instruction, the courses can be categorised broadly as (a) general, (b) technical/professional and (c) vocational. For the purpose of this survey, only those courses covered under the definition of 'education' in 1.7.15 above shall be considered.

1.7.23 **Basic Course:** When the number of courses a particular member is undertaking is more than one, the basic course should be identified as per following criteria –

- If an individual is pursuing more than one course then the course, which is in the highest level, should be considered as the basic course.
- If all the courses simultaneously pursued currently are in the same level then the course of the general education should be the basic course
- In absence of any general education, the course, which involves higher cost, should be taken as the basic course.
- If a person is enrolled both in regular course and course through distance learning then regular course should be treated as the basic course irrespective of the cost involved.

For example: if a person undergoes MSc and DOEACC A-level courses simultaneously then MSc is to be taken as basic course.

1.7.24 **Second course:** If an individual is pursuing more than two courses then the basic course should be taken as first course in the way suggested in paragraph 1.7.23. After the first course is selected then from the remaining courses, the course, which involves highest cost, should be taken as the *second course*.

1.7.25 **Academic session:** The academic session will be defined in relation to the duration of the course in which he/she is enrolled in the following manner –

- i) If duration of the course is less than one year, the academic session will cover full duration of the course,
- ii) If duration of the course is more than one year, then generally at the end of every year there is an evaluation process through examination or otherwise, the passing of which enables the individual for further continuation of the course. In such cases, academic session will be of one-year. For the educational institutions pursuing three to six months semester system, academic session will still be taken as one year.

1.7.26 **Nature of Institution:** This refers to whether the institution is recognised or not. A recognised school/ institution is one in which the course(s) of study followed is/ are prescribed or recognised by the Government or a university or a Board constituted by law or by any other agency authorised in this behalf by the central or state government. It also satisfies one or more of the authorities, e.g. Directorate of education, Municipal Board, Secondary Board, etc., with regard to its standard of efficiency. It runs regular classes and sends candidates for public examination, if any.

1.7.27 Type of Institution: This refers to the type of management by which the institution is run. It may be run by Government, a Local Body or a private body either receiving or not receiving government aid. Thus, the four types are: (a) Government, (b) Local Body, (c) Private aided and (d) Private unaided. All schools/ institutions run by central and state governments, public sector undertakings or autonomous organisations completely financed by the government are treated as government institutions. All institutions run by municipal corporations, municipal committees, notified area committees, zilla parishads, panchayat samitis, cantonment boards, etc., are treated as local body institutions. A private aided institution is one, which is run by an individual or a private organisation and receives maintenance grant from a government or a local body. A private unaided institution is one, which is managed by an individual or a private organisation and is not receiving maintenance grant either from a government or from a local body.

1.7.28 Medium of instruction: It is the language used for the instruction in the course for which a student is enrolled. In case, more than one language are used while teaching different subjects then the language used for teaching largest number of subjects is to be treated as medium of instruction.

1.7.29 Full time and Part time course: For the courses organized by educational institutions on full time basis certain minimum hours of attendance is prescribed. For example a student studying for his/ her graduation has to necessarily attend classes for three years. Some educational institution can offer the same course in longer duration (more than three years) by reducing the requirement of number of hours for attending classes per day/ week. The course with the longer duration will be considered as part time course. Some students do not attend the classes regularly in any educational institutions but appear in public examinations by registering themselves as “private” students. The course for all such students should be treated as part time.

1.7.30 Distance Learning: This is a form of education where the student does not have to be physically present in the place where the teaching is taking place. The main point about distance learning is, therefore, geographical distance between the learner and the teacher. Access to the instructor is gained through either study materials sent over post or by using modern technology such as the Internet, interactive videoconferencing and satellite. Such course may also involve occasional contact classroom programme as its integral part. Different correspondence courses offered by Universities or open schools are examples of this form of education.

1.7.31 Free Education: Education is free of tuition fee in government schools in most of the states and also in private schools in some states up to certain levels of education. There are some schools where students up to a certain level are not required to pay tuition fees. Nevertheless, a fixed sum of money has to be paid such as development fee, library fee, etc. Education in such schools is still considered to be free. This applies to the institution as a whole and not to the specific situation obtaining for the student.

1.7.32 Exemption from Tuition Fees: This refers to exemption from payment of tuition fees granted to some students on some special consideration in those institutions where it is reported that the education is not free. The exemption may be full or partial.

1.7.33 Private Expenditure on Education: It is the sum total of all the expenditures incurred by the student on education (towards fees, books & stationery, uniform, transport, private coaching, study tours, etc.)

1.7.34 Attendance and enrolment: The current attendance status refers to whether a person is currently attending any educational institution or not. While every person, who is attending an educational institution is necessarily enrolled in that institution, it may so happen that a person, who is enrolled is not currently attending the institution. While most of the official educational statistics are based on enrolment, the NSSO Survey, because of its household approach, bases its analysis on the current attendance status.

1.7.35 Dropout/ Discontinuance: An ever-enrolled student currently not pursuing the education may be due to either: (i) he/ she has discontinued after completing the last level of education for which he/ she was enrolled or (ii) he/ she has discontinued education before attaining a specific level. For the first category, for example, if a person has completed the middle level but does not enroll for the next higher level of education, he/ she is not considered as a dropout. It is considered as a case of discontinuance. However, if the person enrolls for the secondary level but does not complete it, then he/ she is considered a dropout. For this survey, dropouts and discontinuance will be treated alike.

1.7.36 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.

The full spectrum of economic activities as defined in the UN System of National Accounts is not covered in the definition adopted for the Employment and Unemployment surveys 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 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' covers all activities up to and including stages of thrashing and storing of produce, for own consumption, comes under the coverage of the economic activities of NSSO.

The term 'economic activity' in the Employment and Unemployment survey of NSSO 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 14 of NIC-2004**) which result in production (including free collection of uncultivated crops, forestry, firewood, hunting, fishing, mining, quarrying, etc.) of primary goods, including thrashing and storing of grains for own consumption.

and

(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.

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 earlier rounds, activities under 'smuggling' were kept outside the economic activity. In assigning the activity status of an individual in the field, probing is perhaps not extended to ascertain whether the production of goods and services is carried out in the form of smuggling. Thus, in practice, production of goods and services in the form of smuggling have actually been considered as economic activity in NSS surveys. In view of this, activity status of a person may be judged irrespective of the situation whether such activity is carried out illegally in the form of smuggling or not.

1.7.37 Activity status: It is the activity situation in which a person is found during a reference period, which concerns the person's participation in economic and non-economic activities. According to this, a person will be in one or a combination of the following three status during a reference period:

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

Activity statuses, as mentioned in (i) & (ii) above, are associated with 'being in labour force' and the last with 'not being in the labour force'. Within the labour force, activity status (i) above is associated with 'employment' and that of (ii) above with 'unemployment'. The three broad activity statuses have been further sub-divided into several detailed activity categories. These are stated below:

(i) working or being engaged in economic activity (employed):

- (a) worked in household enterprise (self-employed) as an own-account worker
- (b) worked in household enterprise (self-employed) as an employer
- (c) worked in household enterprise (self-employed) as 'helper'
- (d) worked as regular wage/ salaried employee
- (e) worked as casual wage labour in public works other than National Rural Employment Guarantee (NREG) public works
- (f) worked as casual wage labour in National Rural Employment Guarantee (NREG) public works

- (g) worked as casual wage labour in other types of works
- (h) did not work due to sickness though there was work in household enterprise
- (i) did not work due to other reasons though there was work in household enterprise
- (j) did not work due to sickness but had regular wage/ salaried employment
- (k) did not work due to other reasons but had regular wage/ salaried employment

(ii) *not working but seeking or available for work (unemployed) :*

- (a) sought work
- (b) did not seek but was available for work

(iii) *not working and also not available for work (not in labour force) :*

- (a) attended educational institution
- (b) attended domestic duties only
- (c) attended domestic duties and was also engaged in free collection of goods, tailoring, weaving, etc., for household use
- (d) recipients of rent, pension, remittance, etc.
- (e) not able to work due to disability
- (f) others
- (g) did not work due to sickness (for casual workers only).

1.7.38 The various constituents of 'employed', 'unemployed', 'labour force', 'out of labour force' are as explained below:

(a) **Workers (or employed):** Persons who, during the reference period, are engaged in any economic activity or who, despite their attachment to economic activity, have temporarily abstained from work for reasons of illness, injury or other physical disability, bad weather, festivals, social or religious functions or other contingencies constitute workers. Unpaid helpers who assist in the operation of an economic activity in the household farm or non-farm activities are also considered as workers. All the workers are assigned one of the detailed activity status under the broad activity category 'working or being engaged in economic activity'.

(b) **Seeking or available for work (or unemployed):** Persons, who, during the reference period, owing to lack of work, had not worked but either sought work through employment exchanges, intermediaries, friends or relatives or by making applications to prospective employers or expressed their willingness or availability for work *under the prevailing condition of work and remuneration* are considered as those who are 'seeking or available for work' (or unemployed).

(c) **Labour force:** Persons who are either 'working' (or employed) or 'seeking or available for work' (or unemployed) during the reference period together constitute the labour force.

(d) **Out of labour force:** Persons who are neither 'working' and at the same time nor 'seeking or available for work' for various reasons during the reference period are considered to be 'out of labour force'. The persons under this category are students, those engaged in domestic duties, rentiers, pensioners, recipients of remittances, those living on alms, infirm or disabled persons, too young or too old persons, prostitutes, etc. and casual labourers not working due to sickness.

1.7.39 It may be noted that workers have been further categorized as *self-employed, regular wage/ salaried employee and casual wage labourer*. These categories are defined in the following paragraphs.

1.7.40 **Self-employed:** Persons who operate their own farm or non-farm enterprises or are engaged independently in a profession or trade on own-account or with one or a few partners are deemed to be self-employed in household enterprises. The essential feature of the self-employed is that they have *autonomy* (i.e., how, where and when to produce) and *economic independence* (i.e., market, scale of operation and money) for carrying out their operation. The remuneration of the self-employed consists of a non-separable combination of two parts: a reward for their labour and profit of their enterprise. The combined remuneration is given by the revenue from sale of output produced by self-employed persons *minus* the cost of purchased inputs in production.

The self-employed persons may again be categorised into the following three groups:

- (i) **own-account workers:** They are the self-employed who operate their enterprises on their own account or with one or a few partners and who during the reference period by and large, run their enterprise without hiring any labour. They may, however, have unpaid helpers to assist them in the activity of the enterprise.
- (ii) **employers:** The self-employed persons who work on their own account or with one or a few partners and by and large run their enterprise by hiring labour are the employers, and
- (iii) **helpers in household enterprise:** The helpers are a category of self-employed persons mostly family members who keep themselves engaged in their household enterprises, working full or part time and do not receive any regular salary or wages in return for the work performed. They do not run the household enterprise on their own but assist the related person living in the same household in running the household enterprise.

1.7.41 There is a category of workers who work at a place of their choice which is outside the establishment that employs them or buys their product. Different expressions like 'home workers', 'home based workers' and 'out workers' are synonymously used for such workers. For the purpose of this survey, all such workers will be categorised as 'self-employed'. The 'home workers' have *some degree of autonomy* and *economic independence* in carrying out the work, and their work is not directly supervised as is the case for the *employees*. Like the other self-employed, these workers have to meet certain costs, like actual or imputed rent on the buildings in which they work, costs incurred for heating, lighting and power, storage or transportation, etc., thereby indicating that they have some tangible or intangible means of production. It may be noted that *employees* are not required to provide such inputs for production.

1.7.42 It may further be elaborated that the 'putting out' system prevalent in the production process in which a part of production which is 'put out' is performed in different household enterprises (and not at the employers establishment). For example, *bidi* rollers obtaining orders from a *bidi* manufacturer will be considered as home workers irrespective of whether or not they were supplied raw material (leaves, *masala*, etc.), equipment (scissors) and other

means of production. The fee or remuneration received consists of two parts - the share of their labour and profit of the enterprise. In some cases, the payment may be based on piece rate. Similarly, a woman engaged in tailoring or embroidery work on order from a wholesaler, or making *pappad* on order from some particular unit/ contractor/ trader at her home will be treated as 'home worker'. On the other hand, if she does the work in the employers premises, she will be treated as *employee*. Again, if she is not undertaking these activities on orders from outside, but markets the products by herself/ other household members for profit, she will be considered as an own account worker, if of course, she does not employ any hired help more or less on a regular basis.

1.7.43 Regular wage/ salaried employee: Persons working in other's farm or non-farm enterprises (both household and non-household) and getting in return salary or wages on a regular basis (and not on the basis of daily or periodic renewal of work contract) are the regular wage/ salaried employees. *This category not only includes persons getting time wage but also persons receiving piece wage or salary and paid apprentices, both full time and part-time.*

1.7.44 Casual wage labour: A person casually engaged in other's farm or non-farm enterprises (both household and non-household) and getting in return wage according to the terms of the daily or periodic work contract is a casual wage labour. Usually, in the rural areas, one category of casual labourers can be seen who normally engage themselves in 'public works' activities. The concepts related to 'public works' are discussed later in this chapter.

1.7.45 Different approaches for determining activity status: The persons surveyed are to be classified into various activity categories on the basis of activities pursued by them during certain specified reference periods. There are three reference periods for this survey viz. (i) one year, (ii) one week and (iii) each day of the reference week. Based on these three periods, three different measures of activity status are arrived at. These are termed respectively as usual status, current weekly status and current daily status. The activity status determined on the basis of the reference period of 1 year is known as the usual activity status of a person, that determined on the basis of a reference period of 1 week is known as the current weekly status (cws) of the person and the activity status determined on the basis of each day of the reference week is known as the current daily status (cws) of the person.

1.7.46 Identification of each individual into a unique situation poses a problem when more than one of three types of broad activity status viz. 'employed', 'unemployed' and 'not in labour force' is concurrently obtained for a person. In such an eventuality, unique identification under any one of the three broad activity status is done by adopting either the major time criterion or priority criterion. The former is used for classification of persons under 'usual activity status' and, the latter, for classification of persons under 'current activity status'. If, by adopting one of these two criteria, a person categorised as engaged in economic activity is found to be pursuing more than one economic activity during the reference period, the appropriate detailed activity status category will relate to the activity in which relatively more time has been spent. Similar approach is adopted for non-economic activities also.

1.7.47 Usual activity status: The usual activity status relates to the activity status of a person during the reference period of 365 days preceding the date of survey. The activity status on which a person spent relatively longer time (major time criterion) during the 365

days preceding the date of survey is considered the *usual principal activity status* of the person. To decide the usual principal activity of a person, he/ she is first categorised as belonging to the labour force or not, during the reference period **on the basis of major time criterion**. Persons, thus, adjudged as not belonging to the labour force are assigned the broad activity status 'neither working nor available for work'. For the persons belonging to the labour force, the broad activity status of either 'working' or 'not working but seeking and/ or available for work' is then ascertained again on the basis of the relatively longer time spent in the labour force during the 365 days preceding the date of survey. Within the broad activity status so determined, the detailed activity status category of a person pursuing more than one such activity will be determined again on the basis of the relatively longer time spent.

1.7.48 Subsidiary economic activity status: A person whose principal usual status is determined on the basis of the major time criterion may have pursued some economic activity **for 30 days or more** during the reference period of 365 days preceding the date of survey. The status in which such economic activity is pursued during the reference period of 365 days preceding the date of survey is the subsidiary economic activity status of the person. In case of multiple subsidiary economic activities, the major activity and status based on the relatively longer time spent criterion will be considered. It may be noted that engagement in work in subsidiary capacity may arise out of the two following situations:

i) a person may be engaged in a relatively longer period during the 365 days in economic (non-economic activity) and for a relatively minor period, which is not less than 30 days, in another economic activity (any economic activity).

(ii) a person may be pursuing an economic activity (non-economic activity) almost throughout the year in the principal status and also simultaneously pursuing another economic activity (any economic activity) for relatively shorter time in a subsidiary capacity. In such cases, since both the activities are being pursued throughout the year and hence the duration of both the activities are more than 30 days, the activity which is being pursued for a relatively shorter time will be considered as his/ her subsidiary activity.

1.7.49 Current weekly activity status: The current weekly activity status of a person is the activity status obtaining for a person during a reference period of 7 days preceding the date of survey. It is decided **on the basis of a certain priority cum major time criterion**. According to the priority criterion, the status of 'working' gets priority over the status of 'not working but seeking or available for work', which in turn gets priority over the status of 'neither working nor available for work'. *A person is considered working (or employed) if he/ she, while pursuing any economic activity, had worked for at least one hour on at least one day during the 7 days preceding the date of survey.* A person is considered 'seeking or available for work (or unemployed)' if during the reference week no economic activity was pursued by the person but he/ she made efforts to get work or had been available for work any time during the reference week though not actively seeking work in the belief that no work was available. A person who had neither worked nor was available for work any time during the reference week, is considered to be engaged in non-economic activities (or not in labour force). Having decided the broad current weekly activity status of a person on the basis of 'priority' criterion, the detailed current weekly activity status is again decided **on the basis of 'major time' criterion if a person is pursuing multiple economic activities.**

1.7.50 **Current daily activity status:** The activity pattern of the population, particularly in the unorganised sector, is such that during a week, and sometimes, even during a day, a person can pursue more than one activity. Moreover, many people can even undertake both economic and non-economic activities on the same day of a reference week. The current daily activity status for a person is determined on the basis of his/ her activity status on each day of the reference week **using a priority-cum-major time criterion** (day to day labour time disposition). The following points may be noted for determining the current daily status of a person:

- i) Each day of the reference week is looked upon as comprising of either two 'half days' or a 'full day' for assigning the activity status.
- ii) A person is considered 'working' (employed) for the entire day if he/ she had worked for 4 hours or more during the day.
- iii) If a person was engaged in more than one of the economic activities for *4 hours or more* on a day, he/ she would be assigned two economic activities out of the different economic activities on which he/ she devoted relatively longer time on the reference day. In such cases, one 'half day' work will be considered for each of those two economic activities (i.e., 0.5 intensity will be given for each of these two economic activities).
- iv) If the person had worked for *1 hour or more but less than 4 hours*, he/ she is considered 'working' (employed) for half-day and 'seeking or available for work' (unemployed) or 'neither seeking nor available for work' (not in labour force) for the other half of the day depending on whether he was seeking/ available for work or not.
- v) If a person was not engaged in 'work' even for 1 hour on a day but was seeking/ available for work even for 4 hours or more, he/ she is considered 'unemployed' for the entire day. But if he/ she was 'seeking/ available for work' for more than 1 hour and less than 4 hours only, he/ she is considered 'unemployed' for half day and 'not in labour force' for the other half of the day.
- vi) A person who neither had any 'work' to do nor was available for 'work' even for half a day was considered 'not in labour force' for the entire day and is assigned one or two of the detailed non-economic activity status depending upon the activities pursued by him/ her during the reference day.

It may be noted that while assigning intensity, an intensity of 1.0 will be given against an activity which is done for 'full day' and 0.5, if it is done for 'half day'.

1.7.51 **Operation:** It is the type of work performed by a person during a reference period such as manual, non-manual, agricultural, non-agricultural, etc. Operation has been combined with activity status and industry corresponding to the work performed. Information regarding the type of operation is collected **only for rural areas and relating to current status only**. The different types of operations are - ploughing, sowing, transplanting, weeding, harvesting, others (manual) and others (non-manual). In the last two cases, the sector in which the work is performed is indicated by the industry. It may be noted, that for 'regular wage/ salaried employees' on leave or on holiday, the 'operation' relates to their respective function in the work or job from which he/ she is temporarily off.

Similarly, for persons categorised as 'self-employed' but not working on a particular day in spite of having work on that day, the operation will relate to the work that he/ she would have done if he/ she had not enjoyed leisure on that day.

1.7.52 Manual work: A job essentially involving physical labour is considered as manual work. However, jobs essentially involving physical labour but also requiring a certain level of general, professional, scientific or technical education are not to be termed as 'manual work'. On the other hand, jobs not involving much of physical labour and at the same time not requiring much educational (general, scientific, technical or otherwise) background are to be treated as 'manual work'. Thus, engineers, doctors, dentists, midwives, etc., are not considered manual workers even though their jobs involve some amount of physical labour. But, peons, chowkidars, watchman, etc. are considered manual workers even though their work might not involve much physical labour. A few examples of manual workers are cooks, waiters, building caretakers, sweepers, cleaners and related workers, launderers, dry cleaners and pressers, hair dressers, barbers, beauticians, watchmen, gate keepers, agricultural labourers, plantation labourers and related workers

1.7.53 Rural Labour: Manual labour working in agricultural and/ or non-agricultural occupations *in return for wages* paid either in cash or in kind (excluding exchange labour) and *living in rural areas*, will be taken as rural labour.

1.7.54 Agricultural labour: A person will be considered to be engaged as agricultural labour, if he/ she follows one or more of the following agricultural occupations in the capacity of a wage paid manual labour, whether paid in cash or kind or both:

- (i) farming
- (ii) dairy farming
- (iii) production of any horticultural commodity
- (iv) raising of livestock, bees or poultry
- (v) any practice performed on a farm as incidental to or in conjunction with farm operations (including forestry and timbering) and the preparation for market and delivery to storage or to market or to carriage for transportation to market of farm produce. Further, 'carriage for transportation' refers **only to the first stage of the transport** from farm to the first place of disposal.

Working in fisheries is excluded from agricultural labour.

1.7.55 Wage-paid manual labour: A person who does manual work in return for wages in cash or kind or partly in cash and partly in kind (excluding exchange labour) is a wage paid manual labour. Salaries are also to be counted as wages. A person who is self-employed in manual work is **not treated** as a wage paid manual labour.

1.7.56 Cultivation: All activities relating to production of crops and related ancillary activities are considered as cultivation. Growing of trees, plants or crops as plantation or orchards (such as rubber, cashew, coconut, pepper, coffee, tea etc.) are not considered as cultivation activities for the purpose of this survey. In general, the activities covered under NIC-2004 sub-classes 01111, 01112, 01113, 01115, 01119, 01121, 01122 and 01135 (excepting plantation of pepper and cardamom) are to be considered as cultivation.

1.7.57 **Earnings:** Earnings refer to the wage/ salary income (and not total earnings from other sources) receivable for the wage/ salaried work done during the reference week by the wage/ salaried employees and casual labourers. The wage/ salary already received or receivable may be in cash or kind or partly in cash and partly in kind. For recording the wages and salaries:

- i) The kind wages are evaluated at the respective current retail price.
- ii) Bonus (expected or paid) and perquisites evaluated at respective retail prices and duly apportioned for the reference week are also included in earnings.
- iii) For any economic activity, amount received or receivable as 'over-time' for the additional work done beyond normal working time is excluded.

1.7.58 **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.

1.7.59 **Public works:** 'Public works' are those activities which are sponsored by Government or Local Bodies, and which cover 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 (NREG) public works, Sampoorna Grameen Rozgar Yojana (SGRY), National Food for Work Programme (NFFWP), etc.

The coverage of schemes under 'public works' is restricted to those schemes under poverty alleviation programme, or relief measures through which the Government generates wage employment. It may be noted that the names of these schemes signify the Budget Heads under Plan from which funds are released for carrying out various 'types of works'. The types of works that are generally undertaken through these schemes, are watershed development, drought proofing, land levelling, flood control, laying pipes or cables, sanitation, water harvesting, irrigation canal, development of orchard, road construction, building construction / repair, running crèche, etc.

There may be some schemes sponsored by the Government and in operation, which are conceived as self-employment generation schemes. Some such schemes of the Government

are Swarnjayanti Gram Swarozgar Yojana (schemes under erstwhile IRDP merged with this), Rural Employment Generation Programme (REGP), Prime Minister's Rozgar Yojana (PMRY), Valmiki Ambedkar Awas Yojana (VAMBAY), etc. Employment generated through these schemes is not to be considered within the purview of 'public works'.

Sometimes, the Government may undertake various programmes, viz., Accelerated Rural Water Supply Programme (ARWSP), Rural Sanitation Programme (RSP), Drought Prone Areas Programme (DPAP), Desert Development Programme (DDP), Integrated Wastelands Development Programme (IWDP), Pradhan Mantri Gram Sadak Yojana (PMGSY), etc. The main objective of such programmes is on infrastructure development rather than poverty alleviation and generation of employment. Moreover, these programmes are executed as projects through contractors. Employment generated through these programmes, which are executed through contractors, is also kept outside the domain of 'public works'. However, if similar activities relating to rural water supply, rural sanitation, desert development, wastelands development, etc. are undertaken by the State Government or Local Bodies to provide wage employment and without employing any contractor for its execution, those are to be considered under 'public works'.

Classification of individuals as 'casual labour in *public works*' requires that the work in which they participate is '*public works*' as defined above. To distinguish between '*public works*' and works not classifiable as '*public works*', some broad characteristics of '*public work*' have been identified, viz. the primary objective is generation of wage employment and poverty alleviation, and creation of community asset as an outcome in achieving those main objectives. These features of *public works* along with the description of some wage employment generation schemes given above will be helpful in identification of '*public works*'.

A short description of the three schemes sponsored by the Central Government, which are in operation either in rural areas or in urban areas, and are covered under '*public works*' is given below:

1.7.59.1 National Rural Employment Guarantee (NREG) Public Works: The National Rural Employment Guarantee Act, 2005 (NREGA) 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. It extends to the whole of India except the state of Jammu & Kashmir. According to this Act, Rural Employment Guarantee Schemes (REGS) are formed by the State Governments. The Scheme provides at least one hundred 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. If an applicant for employment under the scheme is not provided employment within 15 days of receipt of his application seeking employment or from the date on which employment has been sought, the applicant will be entitled for getting daily unemployment allowances.

1.7.59.2 Sampoorna Grameen Rozgar Yojana (SGRY): The primary objective of the Sampoorna Grameen Rozgar Yojana (SGRY) is to provide additional wage employment in all rural areas and thereby ensure food security and improve nutritional levels. The secondary objective is the creation of durable assets and infrastructural development in rural areas. This scheme was announced by the Prime Minister on 15.8.2001 and launched in September 2001. The schemes of Jawahar Gram Samridhi Yojana (JGSY), Employment Assurance Scheme (EAS) have been merged under this programme w.e.f. 1.4.2002. The SGRY is open to all rural poor who are in need of wage employment and desire to do manual and unskilled work in and around the village/ habitat. The programme is self-targeting in nature. While providing wage employment preference is given to agricultural wage earners, non-agricultural unskilled wage earners, marginal farmers, women, members of Scheduled Castes/ Scheduled Tribes, parents of child labour withdrawn from hazardous occupations, parents of handicapped children or adults with handicapped parents. The programme is implemented through the Panchayati Raj Institutions (PRIs). Thirty percent of employment opportunities are reserved for women under the programme.

The programme is implemented on cost sharing basis in the ratio of 75:25 between the Centre and the States for the cash component of the programme. However, foodgrains under the programme are provided to the States free of cost.

Five per cent of the funds and foodgrains under SGRY are retained in the Ministry of Rural Development for utilization in areas of acute distress arising out of natural calamities or by taking up preventive measures in the chronically drought or flood affected areas. In addition, a certain percentage of the allotted foodgrains under the SGRY is reserved for the Special Component to be used in any Central or State Government scheme with wage employment potential to meet exigencies arising out of any natural calamity. The remaining funds and foodgrains under SGRY are distributed among the Zila Parishad, Intermediate Panchayats and Village Panchayat in the ratio of 20:30:50.

Wages under the programme are paid partly in the form of foodgrains and partly in cash. The States and UTs are free to calculate the cost of foodgrains paid as part of wages, at a uniform rate, which may be either BPL rate or APL rate, or anywhere between the two rates. The workers are paid the balance of wages in cash so that they are assured of the notified minimum wages.

Under the programme, priority is given to works of soil and moisture conservation, minor irrigation, rejuvenation of drinking water resources and augmentation of ground water, traditional water harvesting structures, desiltation of village tanks/ ponds, durable assets such as schools, kitchen sheds for schools, dispensaries, community centers, and Panchayat Ghars. Development of Haats, which are labour intensive, is also to be given priority. The size, cost and nature of the work should be such that they may be completed within a period of one year and in exceptional situations within a maximum period of two years.

1.7.59.3 National Food for Work Programme (NFFWP): The National Food for Work Programme (NFFWP) is being implemented in 150 most backward districts of the country from November, 2004. The objective of the programme is to provide additional resources to 150 most backward districts of the country so that generation of supplementary wage employment and provision of food security through creation of need based economic, social and community assets in these districts is further intensified. Foodgrains are provided to the States free of cost. Works are taken up under the programme in accordance with the Five

Year Perspective Plan. The Collector is responsible for preparation of the Perspective Plan and for programme implementation.

The above three schemes are sponsored by the Central Government for generation of wage employment. These apart, there may be similar schemes sponsored by the State Government or Local Bodies to provide wage employment, which are also to be considered under 'public works'.

1.7.60 Usual place of residence (upr): In this survey, usual place of residence (upr) of a person is defined as a place (village/town) where the person had stayed continuously for a period of six months or more.

1.7.61 Migrant: A household member whose last usual place of residence is different from the present place of enumeration is considered as a migrant member in a household.

1.7.62 Migrant household: If the entire household, as now being enumerated has moved to the place of enumeration during the last 365 days preceding the date of survey, it will be considered as a migrant household. If one member of the household has moved ahead of other members to the present household and others have joined later (but all of them during the reference year) such households will also be considered as migrant households. Where some members of the household were born or married into households which have moved, during the last 365 days, the entire household is to be treated as migrated to the place of enumeration.

1.7.63 Out-migrant: Any former member of a household who left the household, any time in the past, for stay outside the village/ town is considered as out-migrant provided he/ she is alive on the date of survey.

1.7.64 Reason for migration: The reasons for migration, which are to be collected in codes, are as follows:

reason for migration	reason for migration
in search of employment	social / political problems (riots, terrorism, political refugee, bad law and order, etc.)
in search of better employment	displacement by development project
business	acquisition of own house/ flat
to take up employment / better employment	housing problems
transfer of service/ contract	health care
proximity to place of work	post retirement
studies	marriage
natural disaster (drought, flood, tsunami, etc.)	migration of parent/ earning member of the family
	others

The reason for migration has to be arrived at after suitable probes. Brief details of each of these reasons are given below:

(i) *In search of employment*: Persons, who were not already in employment at the time of leaving the last upr, when migrate to another village/ town in search of employment are considered as migrated in search of employment.

(ii) *In search of better employment*: These include those persons who were employed at the time of leaving last upr, but have come to the place of enumeration in search of better employment, in terms of emoluments, job satisfaction, etc..

(iii) *To take up employment / better employment*: The first two cases are different from this one because it relates to persons who come to the place of enumeration to *take up employment*. These persons were not in search of employment but were offered jobs or were offered better jobs than the one they were having at the time of leaving last upr.

(iv) *Business*: Those who migrate to start a new business or due to shifting of the existing business will be considered as migrated for business.

(v) *Transfer of service/ contract*: Transfer of service/ contract will include persons who as part of the employment contract or service liability migrate from one place of posting to another.

(vi) *Proximity to place of work*: This will include persons who had moved in order to be nearer to their places of work. These are the people who move to another village/ town with the explicit purpose of avoiding or reducing commuting to place of work or other similar reasons and should be distinguished from the persons who migrate to *take up employment/ better employment*.

(vii) *Studies*: Students and others who leave their upr for studies will be classified under this category. If a person changes upr to pursue his studies and at the same time looks for employment, which is the case in many occasions, the factor which is basic for his change of residence should be considered.

(viii) *Natural disaster (earthquake, drought, flood, tsunami, etc.)*: Persons who have migrate due to natural disaster caused by earthquake, drought, flood, cyclone, tsunami, etc. will be covered under this category.

(ix) *Social/ political problems (riots, terrorism, political refugee, bad law and order, etc.)*: Migration arising out of social or political problems such as riots, terrorism, political refugee, bad law and order, etc. will be included under this category.

(x) *Displacement by development project*: Sometime undertaking development projects, such as construction of dams, power plants, or starting a new factory, etc., may result in eviction of persons and those effected by such displacements may migrate to other village/ town. Such types of migration will be included in this category.

(xi) *Acquisition of own house/ flat*: Persons who move to a place to stay in a house/ flat acquired by them will be categorized in this category. Here again the reason for movement should be directly attributable to the acquisition. Persons who on retirement move to their own house, etc. will not be included.

(xii) *Housing problems*: Certain persons move from metropolitan cities or large towns to nearby smaller towns or other areas due to the problems of getting suitable accommodation, poor amenities, or high rent, etc. In rural areas, it may be mainly due to poor amenities.

(xiii) *Health care*: Persons sometimes move from one place to another due to the availability of better medical facilities for treatment or conditions, unsuitable weather in the last upr. They will be covered under this reason.

(xiv) *Post retirement*: Sometimes after retirement, persons may leave upr either to stay in their native place or in some other place chosen by him/ her. If the reason for migration is due to retirement from employment they will be categorized here.

(xv) *Marriage*: A substantial number of women in India change their upr after marriage. Person, whose change in upr occurs exclusively due to marriage will be covered here.

(xvi) *Migration of parent/ earning member of the family*: In many cases, the members are passive movers in the sense that they change upr because the parent or earning member changed upr. Such migrants will be categorized here.

(xvii) *Others*: Reasons for migration which cannot be classified into any of the above categories will be covered here.

1.7.64.1 It may be noted that the reason for migration is to be collected for the migrant households, for the out-migrants and for each migrant member in a household. The reason for migration for each of the out-migrants from a household as well as for the migrant members in a household is to be found out and any one of the reasons listed above are to be assigned. For out-migrants and migrants in a household all of the reasons listed above may be applicable. However, for a migrant household, all the reasons cited above except the reason 'migration of parent/earning member of the family' may be applicable. In many occasions, more than one of the reasons given above may seem to be applicable for the migration of a household member, such as a person may leave the upr for study but at the same time may look for employment. In such cases, the reason which is basic for migration of the household member has to be determined to assign reason for migration code. Similarly, the reason for migration of a household has to be determined considering the basic reason for migration, if more than one reason seem possible. For example, a household which was facing some housing problem at the place of last usual residence, had to migrate as the earning member was transferred to the present place of enumeration. In this case, the reason for migration of the household shall be 'transfer of service/ contract'. The Investigator may identify the basic reason, in consultation with the respondents, after detailed probing in cases involving more than one reason for migration.

1.7.65 **Remittances**: These are the transfers, in either cash or kind, to the households by their former members who had migrated out. For the purpose of this survey, the former household members who had migrated out any time in the past, will only be considered and the transfers by them during the last 365 days will be treated as remittances. However, if such transfers are in the form of loans, these will not be considered as remittances. The valuation of the remittances received in kind will be done by considering the market value of the kind received by the household. If the cash remittances are in any foreign currency, exchange value of the cash remittances in Indian Rupee may be arrived at to determine the amount of remittances. It is, moreover, to be noted that amount of remittances may be

arrived at considering both the remittances received through formally recorded channels as well as remittances sent through informal channels.

Table 1: Allocation of sample villages and blocks for NSS 64th round

state/u.t.	number of FSUs					
	central sample			state sample		
	total	rural	urban	total	rural	urban
(1)	(2)	(3)	(4)	(5)	(6)	(7)
ANDHRA PRADESH	872	560	312	872	560	312
ARUNACHAL PRADESH	144	88	56	144	88	56
ASSAM	304	200	104	304	200	104
BIHAR	880	712	168	880	712	168
CHHATTISGARH	240	160	80	240	160	80
GOA	40	16	24	64	24	40
GUJARAT	520	272	248	360	184	176

HARYANA	240	144	96	240	144	96
HIMACHAL PRADESH	224	168	56	224	168	56
JAMMU & KASHMIR	256	144	112	512	288	224
JHARKHAND	312	216	96	312	216	96
KARNATAKA	528	296	232	528	296	232
KERALA	368	240	128	552	360	192
MADHYA PRADESH	696	448	248	696	448	248
MAHARASHTRA	1008	504	504	1256	504	752
MANIPUR	288	192	96	576	384	192
MEGHALAYA	176	128	48	176	128	48
MIZORAM	160	64	96	160	64	96
NAGALAND	176	128	48	272	128	144
ORISSA	520	384	136	520	384	136
PUNJAB	320	176	144	320	176	144
RAJASTHAN	552	376	176	552	376	176
SIKKIM	144	120	24	144	120	24
TAMIL NADU	712	360	352	712	360	352
TRIPURA	288	216	72	288	216	72
UTTAR PRADESH	1264	904	360	1264	904	360
UTTARANCHAL	168	104	64	168	104	64
WEST BENGAL	880	552	328	880	552	328
A & N ISLANDS	56	32	24	0	0	0
CHANDIGARH	48	8	40	0	0	0
D & N HAVELI	32	16	16	0	0	0
DAMAN & DIU	32	16	16	32	16	16
DELHI	160	16	144	320	32	288
LAKSHADWEEP	24	8	16	0	0	0
PONDICHERRY	56	16	40	56	16	40
ALL- INDIA	12688	7984	4704	13624	8312	5312