

## Chapter One

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### 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-fifth round from 1<sup>st</sup> July 2008. The survey will continue up to 30<sup>th</sup> June 2009.

#### 1.1 Outline of Survey Programme

1.1.1 **Subject Coverage:** The 65<sup>th</sup> round (July 2008 – June 2009) of NSS is earmarked for survey on 'Domestic Tourism', 'Housing Condition' and 'Urban Slums'. NSS 54<sup>th</sup> round (January – June 1999) and 43<sup>rd</sup> round (July 1987 – June 1988) were the two latest rounds where certain data on tourism/ travel habits were collected. Detailed information on housing condition was last collected in NSS 58<sup>th</sup> round (July – December 2002), prior to which such information were collected during the 49<sup>th</sup> round of NSS (January – June 1993). Survey on urban slums was last conducted during NSS 58<sup>th</sup> round.

1.1.2 **Geographical coverage:** The survey will cover the whole of the Indian Union *except* (i) interior villages of Nagaland situated beyond five kilometres of the bus route and (ii) villages in Andaman and Nicobar Islands which remain inaccessible throughout the year.

For Leh (Ladakh) and Kargil districts of Jammu & Kashmir there will be no separate sample first-stage units (FSUs) for 'central sample'. For these two districts, sample FSUs drawn as 'state sample' will also be treated as central sample. The state directorate of economics and statistics (DES) will provide a copy of the filled-in schedules to Data Processing Division of NSSO for processing.

1.1.3 **Period of survey and work programme:** The period of survey will be of one year duration starting on 1<sup>st</sup> July 2008 and ending on 30<sup>th</sup> June 2009. 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 2008
- sub-round 2 : October - December 2008
- sub-round 3 : January - March 2009
- sub-round 4 : April - June 2009

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 21.1	: domestic tourism
Schedule 1.2	: housing condition
Schedule 0.21	: particulars of slum

**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
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 21.1, Schedule 1.2 and Schedule 0.21 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 65<sup>th</sup> 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. For towns with no UFS frame available (to be referred as 'non-UFS towns'), each town will be treated as an FSU. The ultimate stage units (USU) will be households in both the sectors. In case of large FSUs, one intermediate stage of sampling will be the selection of two hamlet-groups (hgs)/ sub-blocks (sbs) from each rural/ urban FSU.

**1.3.2 Sampling Frame for First Stage Units:** *For the rural sector*, the list of 2001 census villages (henceforth the term 'village' would mean Panchayat wards for Kerala) will constitute the sampling frame. *For the urban sector*, the list of latest available UFS blocks will be considered as the sampling frame. For non-UFS towns, the list of towns as per Census 2001 will be the sampling frame.

#### 1.3.3 Stratification for FSU:

**1.3.3.1 Rural sector:** All villages of a district will form a separate stratum.

**1.3.3.2 Urban sector:** In the urban sector, strata will be formed within each NSS region on the basis of size class of towns as per Census 2001 town population. This departure has been made in the stratification principle in order to facilitate generation of town-class wise estimates to satisfy the requirements of the user ministries. The stratum numbers and their composition (within each region) are given below.

Stratum	Composition (within NSS region)
1	All towns with population < 50,000
2	All towns with population 50,000 – 99,999
3	All towns with population 1,00,000 – 4,99,999
4	All towns with population 5,00,000 – 9,99,999
5, 6, ....	Each million plus city

1.3.3.3 The non-UFS towns, if any, within an NSS region will be grouped together to form separate urban strata as per the size classes (in terms of population) specified in the previous paragraph.

1.3.4 **Sub-stratification:** There will be no sub-stratification in the rural sector and for strata corresponding to non-UFS towns. However, to net adequate number of slums, for all other urban strata, each stratum will be divided into 2 sub-strata as follows:

sub-stratum 1: all UFS blocks having area type ‘slum area’

sub-stratum 2: remaining UFS blocks

1.3.5 **Total sample size (FSUs):** 12928 FSUs for central sample and 13996 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 4 FSUs is allocated to each state/ UT separately for rural and urban areas. Further the State level allocations 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/ sub-strata:** Within each sector of a State/ UT, the respective sample size is allocated to the different strata in proportion to the stratum population as per census 2001. Allocations at stratum level are adjusted to multiples of 4 with a minimum sample size of 4. Stratum-level sample size in the urban sector pertaining to strata belonging to UFS towns will be further allocated to the 2 sub-strata in proportion to the number of UFS blocks in them with double weightage to sub-stratum 1, subject to a minimum allocation of 4 to each of the two sub-strata.

1.3.9 **Selection of FSUs:** As per census arrangement the villages will be arranged and sample villages will be selected by circular systematic sampling with probability proportional to population for all rural strata. For each of urban strata (and sub-strata wherever applicable), the towns within the stratum will be arranged in ascending order of population; then FSUs will be selected by circular systematic sampling with equal probability for UFS towns and

with probability proportional to population for non-UFS towns. Within each stratum/ sub-stratum, multiple of 4 FSUs will be selected. Both rural and urban samples will be drawn in the form of two independent sub-samples and equal number of samples will be allocated among the four sub rounds.

### 1.3.10 Selection of hamlet-groups/ sub-blocks - 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 FSU 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 in case of UFS might be available).

**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, Uttarakhand and Poonch, Rajouri, Udhampur, Doda, Leh (Ladakh), Kargil districts of Jammu and Kashmir and Idukki district of Kerala, the number of hamlet-groups will be formed as follows:

approximate present population of the sample village	no. of 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 in the following manner – one hg/ sb with maximum percentage share of population will always be selected and termed as hg/ sb 1; one more hg/ sb will be selected from the remaining hg's/ sb's by simple random sampling (SRS) and termed as hg/ sb 2. Listing and selection of the households will be done independently in the two selected hamlet-groups/ sub-blocks. The FSUs without hg/ sb formation will be treated as sample hg/ sb number 1. It is to be noted that if more than one hg/ sb have same maximum percentage share of population, the one among them which is listed first in block 4.2 of schedule 0.0 will be treated as hg/ sb 1.

**1.4 Survey on urban slums:** Information on each slum, notified or non-notified, located within the boundaries of the entire selected first stage unit (FSU) will be collected through schedule 0.21. In case of sub-block formation/ selection, all the slums located within the boundaries of the entire FSU will be considered for survey irrespective of the sub-blocks selected.

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

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

Two cut-off points 'A' and 'B' (in Rs.) are determined from NSS 61<sup>st</sup> round data for **each NSS region** for urban areas in such a way that top 30% of the population have MPCE equal to or more than 'B' and bottom 30% of the population have MPCE equal to or less than A.

The values of A and B for each NSS Region are given in Table 2 of Chapter two, (page B-9).

1.6.1: All the households listed in the selected FSU/ hamlet-group/ sub-block will be stratified into five second stage strata (SSS) for schedule 21.1 and into three SSS for schedule 1.2. Composition of the SSS and number of households to be surveyed from different SSS for the two 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)
<b>schedule 21.1</b>			
<b>rural</b>			
SSS 1:	households having pucca dwelling structure and having at least one member, who performed at least one overnight trip during last 30 days	4	2

SSS 2:	households not having pucca dwelling structure and having at least one member, who performed at least one overnight trip during last 30 days	2	1
SSS 3:	remaining households having pucca dwelling structure and having at least one member, who performed at least one same day trip during last 30 days	2	1
SSS 4:	remaining households not having pucca dwelling structure and having at least one member, who performed at least one same day trip during last 30 days	2	1
SSS5:	other households	2	1
<b>urban</b>			
SSS 1:	households with MPCE $\geq$ B and having at least one member, who performed at least one overnight trip during last 30 days	4	2
SSS 2:	households with MPCE $<$ B and having at least one member, who performed at least one overnight trip during last 30 days	2	1
SSS 3:	remaining households with MPCE $\geq$ B and having at least one member, who performed at least one same day trip during last 30 days	2	1
SSS 4:	remaining households with MPCE $<$ B and having at least one member, who performed at least one same day trip during last 30 days	2	1
SSS 5:	other households	2	1
<b>schedule 1.2</b>			
<b>rural</b>			
SSS 1:	households having pucca dwelling structure	4	2
SSS 2:	households having semi-pucca dwelling structure	4	2
SSS 3:	other households	4	2

<b>urban</b>		
SSS 1: households having MPCE of top 30% of urban population ( $MPCE \geq B$ )	4	2
SSS 2: households having MPCE of middle 40% of urban population ( $A < MPCE < B$ )	4	2
SSS 3: households having MPCE of bottom 30% of urban population ( $MPCE \leq A$ )	4	2

**1.7 Selection of households:** From each SSS the sample households for each of the two schedules will be selected by SRSWOR. If a household is selected both for schedule 21.1 and schedule 1.2 only schedule 21.1 will be canvassed in that household and the household will be replaced by next household in the frame for schedule 1.2.

**1.8 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. While making such compensation, in case of schedule 21.1, the general principle will be to give top priority to the strata of households involving overnight trip and then to the strata of households involving same day trip. Within each of the above two broad categories, the stratum comprising households having pucca structure (rural)/ high MPCE (urban) will get the first preference. In case of schedule 1.2, the priority will be given to the stratum of households having pucca structure (rural)/ high MPCE (urban). The households not having pucca or semi-pucca structure (rural)/ low MPCE (urban) will get the last priority. To clarify further, for Schedule 21.1 where there are 5 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, SSS 4 & SSS 5 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 21.1)	priority order of SSS for compensation
1	2, 3, 4, 5
2	1, 3, 4, 5
3	1, 2, 4, 5
4	1, 2, 3, 5
5	1, 2, 3, 4

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 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 and so on.

For **Schedule 1.2** the procedure will be same except that choice will be limited to SSS 1, SSS 2 and SSS 3 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 schedule 0.0.

#### Example for Schedule 21.1

(a) FSU without hg/ sb formation

#### Example 1

SSS	H	Step 1	Step 3	h
1	2	2*		2
2	1	1*		1
3	3	2	1	3
4	6	2	1+1	4
5	40	2		2
total	52	9	3	12
shortfall	–	3	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	1		1	2
	3	1	1			1
	4	0	0*			0
	5	125	1		1	2
	total	128	3		2	5
2	1	3	2	1		3
	2	1	1			1
	3	1	1			1
	4	0	0*			0
	5	115	1		1	2
	total	120	5	1	1	7
total		248	8	1	3	12
shortfall		–	4	3	0	-

\* indicates the SSS having shortfall



## 1.9 Concepts and Definitions:

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

1.9.1 **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.

1.9.2 **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.

1.9.3 **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.

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

**1.9.5 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.

**1.9.6 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.

**1.9.7 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.

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

structures standing only on pillars will also be treated as buildings for the purpose of the survey.

**1.9.9 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 road side (which are liable to be removed at any moment) etc., are considered to have no dwelling.

**1.9.10 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.

**1.9.11 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 or jointly with other households. It also includes detached room or rooms with or without other housing facilities.

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

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

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

**1.9.15 Veranda:** A roofed space often without a door adjacent to living/other room. It is generally used as an access to the room(s) and is not walled from all sides. In other words, at least one side of such space is either open or walled only to some height or protected by grill, net, etc. A veranda is considered as a 'covered veranda', if it is protected from all sides and an 'uncovered veranda', if it is not protected at least from any one of the sides. A covered veranda may have a door also. Corridor or passage within the dwelling unit is treated as portion of a room or a veranda depending on its layout. However, veranda does not cover a common corridor or passage used mainly as an access to the dwelling itself.

**1.9.16 Slum:** A slum is a compact area within the First Stage Unit (FSU) with a collection of poorly built tenements, mostly of temporary nature, crowded together usually with inadequate sanitary and drinking water facilities in unhygienic conditions in that compact area. Such an area will be considered as a slum if at least 20 households live in that area for the purpose of this survey. Certain areas notified as slums by the respective municipalities, corporations, local bodies or development authorities will be treated as 'notified slums'. Slum will be considered in urban areas only. An area having at least 20 households of notified slum within an FSU will always be considered as a slum. Slum dwellings are commonly known as 'Jhopad Patti' in Bombay and 'Jhuggi Jhopri' in Delhi.

**1.9.17 Squatter settlement:** Sometimes an area develops into an unauthorised settlement with unauthorised structures put up by "squatters". Squatter settlement will include all slum like settlements which do not have the stipulated number of 20 households to be classified as a slum.

#### 1.9.18 Travel

In general, *travel* is understood as the movement of persons between different geographic boundaries, for any purpose and any duration. Those who travel are referred to as travellers. Travel can occur within a country (domestic travel) or involve more than one country (international travel). Travel has economic, environmental and social impacts that occur mainly in the places visited by the traveller.

#### 1.9.19 Usual Place of Residence

The usual place of residence (UPR) of a person is the place (village/town) where the person has been staying continuously for at least six months immediately prior to the date of survey. Even if a person was not staying in the village/town continuously for six months immediately prior to the date of survey but is presently staying there with intention to stay there continuously for six months then also that place should be taken as his/her UPR.

#### 1.9.20 Usual Environment

1.9.20.1 The *usual environment* (UE) of an individual is a key concept of tourism statistics. It refers to the notional geographical space, extending beyond the UPR of an individual, within which he/she moves in the course of *his/her regular routine of life*.

1.9.20.2 In general, by the term ***movement of a person within his/her regular routine of life*** is meant the regular and frequent (nearly every day/ every week/every fortnight) movements of a person between his/her UPR and some place for the purpose of work or study, visiting homes of friends or relatives, shopping centers, religious places, centres of health care or any other facilities that might be at a substantial distance away but nevertheless are regularly and frequently visited. Such a movement may be within his/her UPR or beyond it.

### 1.9.21 Trip

1.9.21.1 With reference to domestic tourism, the term **trip** relates to those household members who are resident Indians. It refers to the movement - ***for a duration of not more than six months*** - by one or more household members traveling to a place outside their ***usual place of residence (UPR) as well as return to their UPR (a round trip)*** for purposes other than those of migration or getting employed or setting up of residence in that place and which is outside their regular routine of life. A trip may be made up of visits to different places. A trip may be single-member or multi-member; in other words, a trip may be undertaken by one or more members of the sample household with or without members of other households participating. However, information will be collected in this survey only on those visitors who belong to the sample household.

1.9.21.2 Thus, all movements of persons commuting regularly and frequently (nearly every day/ every week/every fortnight) between their UPR and some fixed places for the purpose of work or study, visiting homes of friends or relatives, shopping centers, religious places, centres of health care or any other facilities that might be at a substantial distance away but nevertheless are regularly and frequently visited, would **not** be considered as trip. Similarly, all movements of persons, whose nature of activities within their regular routine of life involve making movements outside their UPR to different places, like travelling salesmen, mobile hawkers, medical representatives, on-board staff of airlines/railways or of buses, hired taxis, etc would **not** be considered as trips.

1.9.21.3 *Exceptions for exclusion from the coverage of trip as mentioned in the above para:* All domestic movements performed by air except for the purpose of migration or getting employed or setting up of residence in that place shall be considered as trips even if such movements fall within the *regular routine of life* of the visitor. Thus, all such movements would be deemed to be trips. However, domestic movements performed by on-board aircraft crew as part of their duty shall not be considered as trips.

1.9.21.4 A trip is uniquely specified by its set of destinations, persons participating, and starting and ending dates.

1.9.21.4.1 In some cases trips may be reported for which the set of destinations differs slightly from person to person (among those who undertook the trip). For example, it may happen that all members of a household visit Delhi, but only some go from Delhi to Agra to see the Taj Mahal. Even in such cases, if the persons are together for most of the time

(duration of the trip), they will be considered to be on the same trip. (Here “being together” means being in the same town or village, though, obviously, one person may spend the day in a hotel while others visit a museum or temple, or attend a conference.) But if two members of a household spent most of the time away from each other during the period since leaving their residence to return to their residence, then they will be considered to have been on two different trips even though their starting and returning dates may be the same.

Example: A young man and his mother residing in Kolkata go to their relatives’ residence in Delhi. Within two days, the young man and a cousin go on a trek to Kedarnath and Badrinath. They return after two weeks. The mother stays in Delhi and returns to Kolkata with her son three days after his return from the trek. Here the mother and son will be considered to have made two separate trips because they have not been together for the major part of the period between leaving their UPR and returning.

1.9.21.4.2 In some cases, one member (or more) among those who go on a trip may start later than the rest, or return earlier, due to other engagements.

(a) If both the starting date and the returning date for this member are different from that of the rest of the members, then this member will be considered to have undertaken a different trip from the rest.

(b) If at least one of the two dates – the starting date ( $D_s$ ) and the returning date ( $D_r$ ) – is the same for this member as for the rest of the members, and the other date, too, does not differ from that of the rest of the members by more than 3 days, then such a member may be considered to have gone on the same trip as the rest of the members.

1.9.21.5 The *main destination* of a trip is defined as the place, visiting of which is central to the decision to undertake the trip. However, if no such place can be identified by the informant, the main destination is to be defined as the place where the visitors spent most of their time during the trip. If the visitors spent the same amount of time in two or more places during the trip, then the main destination is defined as the one among these places that is the farthest from the usual place of residence of the visitors.

1.9.21.6 A *trip* may be undertaken for various purposes, viz.

- Business
- Holidaying, leisure and recreation
- Social including visiting friends and relatives, attending marriages, etc.
- Religious and pilgrimage
- Education and training
- Health and medical
- Shopping
- Others (e.g. volunteer work)

1.9.21.7 The *purpose of a trip* of a household member is that purpose but for which he/she would not have undertaken the trip.

1.9.21.8 The *leading purpose of a trip* as a whole is that purpose without which none of the household members in that trip would have undertaken the trip. There may be exceptional situations where no one purpose can be identified as the leading purpose. For example, there could be two or more purposes, say, pilgrimage and health, recorded for different trip

members. In such a case, the leading purpose will be identified as that purpose which the informant considers to be the most important for performing the trip.

**1.9.21.9 The step-by-step procedure for identifying a movement, which qualifies as a trip for a household member is stated below:**

**Step 1:** The movement should be outside the *usual place of residence* of the individual and it should not be in connection with activities, which form part of his regular routine of life.

**Step 2:** The movement should be a round movement. It means the movement should start from the UPR and end at the UPR.

**Step 3:** The movement should be completed within the reference period and the duration of the movement should not be more than six months, irrespective of when the movement started.

**Step 4:** The movement should **not** be for any of the following purposes:

- Arriving at a place to take up an occupation or employment at that place.  
For example, farm labourers from Bihar and Eastern U.P. going to Punjab every year.
- Arriving at a place to establish more or less permanent residence in that place.  
For example, movements of retirees staying in rental flat in New Delhi moving out to stay in their own flat in Faridabad after retirement.
- Arriving at a place to work temporarily (less than six months) in institutions within the country.  
For example, Government servants on deputation to different stations for short periods.
- Arriving at a place on migration within the country.  
For example, going to Surat from Howrah as migrant.

**Step 5:** The movement should **not** be within the regular routine of life of the individual.

**Step 6:** The movement should **not** be (a) within the same village in rural areas or (b) within the same town in urban areas, where the individual resides.

## 1.9.22 Visit

1.9.22.1 As stated earlier, (Ref. 1.9.21.1) a trip may consist of **visits** to one or more places. The term **visit** refers to the stay (overnight or same-day) in a place visited during a trip. The stay need not be overnight to qualify as a visit. Nevertheless, the notion of stay supposes that there is a stop for a purpose. Entering a geographical boundary without stopping there for a purpose is considered as being *in transit* and does not qualify as a visit to that area.

1.9.22.2 The number of places visited by a person during the trip is taken as “number of visits”.

## 1.9.23 Domestic Visitor

1.9.23.1 A *domestic visitor* is a person (household member), residing in the country, who travels to a place within the country, outside his / her **usual place of residence and not as a part of his/her regular routine of life**, for duration of not more than **six** months at a time and completed the trip during the reference period and whose main purpose of visit is other than

- (a) getting engaged in employment or taking up an occupation in that place
- or (b) setting up of residence in that place
- or (c) migrating to that place.

In other words, a domestic visitor is a household member, who has completed a 'trip' (as defined earlier).

1.9.23.2 The following are **excluded** from the purview of domestic visitors:

(i) persons commuting regularly and frequently (nearly every day, every week or every fortnight) between their usual place of residence and place of work or study, visiting frequently places within their current routine of life in the neighbouring areas (which may be outside their UPR), for instance, visiting homes of friends or relatives, shopping centres, religious places, centres of health care or any other facilities that might be at a distance but nevertheless are regularly and frequently visited.

(ii) persons arriving at a place, with or without a contract, to take up an occupation or to engage in employment in that place

(iii) persons arriving at a place for setting up of residence in that place

(iv) persons who travel to work temporarily (i.e. less than six months) in institutions within the country

(v) foreigners resident in India

(vi) persons arriving at a place on migration or migrants. A migrant is a person whose place of enumeration is different from his/her last usual place of residence (UPR). The last usual place of residence is the place where the person stayed continuously for at least six months immediately prior to moving to the place (village/town) of enumeration.

(vii) persons, whose nature of activities within their regular routine of life involves making movements outside their UPR to different places, like travelling salesmen, mobile hawkers, medical representatives, on-board staff of airlines/ railways or buses, hired taxis etc.

1.9.23.3 The following are **included** within the purview of domestic visitors:

(i) persons who have completed a trip during the reference period and the duration of trip is not more than six months

(ii) persons who are presently household members but were not household members at the time of actually completing a trip within the reference period

(iii) persons on a trip for any of the following purposes:

- Business
- Holidaying, leisure and recreation
- Social including visiting friends and relatives, attending marriages, etc.)
- Religious and pilgrimage
- Education and training
- Health and Medical
- Shopping



➤ Others (e.g. volunteer work)

(iv) domestic component (not in transit) of the trip of a household member visiting a place outside the country.

1.9.23.4 Domestic visitors are classified into two categories: *domestic overnight visitors* and *domestic same-day visitors*.

#### 1.9.24 Domestic Overnight Visitor

A *domestic overnight visitor* is a domestic visitor who **spends at least one night in the trip**. This means that the trip should cover at least two calendar days, wholly or partly.

#### 1.9.25 Domestic Same-day Visitor

A *domestic same-day visitor* is a domestic visitor who does not spend the night in the trip. This means that the trip should start and end on the same day (0000 hrs to 2359 hrs).

#### 1.9.26 Domestic Tourism

It covers trips of household members within the territory of India, either as a domestic trip or as part of an international trip.

#### 1.9.27 Tourism Expenditure

1.9.27.1 For the purpose of this survey tourism expenditure shall include expenditure made not just during the trip but also the expenditure related to the trip even if made before or after the trip. It shall include all expenses related to the trip paid or payable by the household. It shall also include expenditure related to the trip, whether directly paid or reimbursed, by some institution like Government or other agencies on behalf of the selected household. All expenditure in connection with the trip except those to be used / intended to be used for productive purposes/enterprises shall be included. All expenditure made by a sample household (whose members are on a trip) on members of other households shall be included. But all expenditure made by other households for any trip undertaken by a sample household shall be excluded.

1.9.27.2 Tourism expenditure shall be classified as under:

- a) package component
- b) non-package component, which may be further sub-divided as below:
  - i. accommodation
  - ii. food and drink
  - iii. transport
  - iv. recreation, religious, cultural, sporting and health related activities
  - v. shopping
  - vi. others

#### 1.9.27.3 Tourism expenditure shall include

- monetary expenditure on goods and services paid or payable by the visitor out of his/her own pocket
- direct expenditure by the visitor reimbursed by some institution like Government or other agencies or expenses of the visitor directly paid by such institutions
- expenditure incurred on items of high unit values like cars, computers, etc. related to a trip if those are used for consumption purpose and not for productive purpose.

#### 1.9.27.4 Tourism expenditure shall exclude

- the payment of taxes and duties not levied on products (goods and services)
- the purchase of financial and non-financial assets, including land, real estate
- all transfers of cash or used goods such as donations to charities or to members of other households as these do not correspond to the purchase of consumption goods or services from these charities or individuals. Alms are also excluded.

#### 1.9.28 Package Trip

A package is a combination of transport and any one or more chargeable travel services (e.g., accommodation, meals/food, entertainment and/or sightseeing, etc.) and sold by tour operators through travel agencies or directly to final consumers as a single product for a single price. The components of a package tour might be pre-established or tailor-made, in which case, the visitor chooses a combination of services he/she wishes to acquire from a pre-established list of such services. *If such a package is availed of for a major part of time in a trip, such a trip should be considered as a package trip.* Note that traveling by say, a hired video coach, for sightseeing where expenditure on food and entry tickets to sightseeing spots is borne separately by the visitors should **not** be taken a package.

#### 1.9.29 Non-Resident Indian (NRI)

Indian citizens (including officials of Indian diplomatic missions abroad ) who stay abroad for employment or for carrying on business or vocation or any other purpose in circumstances indicating a period of stay abroad exceeding 6 months shall be considered as Non-Resident Indian (NRI) for the purpose of this survey.

**1.9.30 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 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.

**1.9.31 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).

1.9.32 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.

1.9.33 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.

1.9.34 **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.

1.9.35 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.

1.9.36 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.

1.9.37 **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.*

1.9.38 **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.

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

**1.9.40 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 as 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.

**1.9.41 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.

**1.9.42 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.

Working in fisheries is excluded from agricultural labour. Further, 'carriage for transportation' refers only to the first stage of the transport from farm to the first place of disposal.

**1.9.43 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.

**1.9.44 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.

**1.9.45 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.

**1.9.46 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 Programme (NREGP), 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:

**1.9.46.1 National Rural Employment Guarantee Programme (NREGP):** 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.

**1.9.46.2 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.

**1.9.46.3 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*'.

**Table 1: Allocation of sample villages and blocks for NSS 65<sup>th</sup> 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	760	488	272	760	488	272
ARUNACHAL PRADESH	144	104	40	144	104	40
ASSAM	464	376	88	464	376	88
BIHAR	560	472	88	560	472	88
CHHATTISGARH	216	152	64	216	152	64
GOA	40	16	24	40	16	24
GUJARAT	528	280	248	336	176	160
HARYANA	240	144	96	240	144	96
HIMACHAL PRADESH	192	160	32	192	160	32
JAMMU & KASHMIR	240	160	80	480	320	160
JHARKHAND	272	184	88	272	184	88
KARNATAKA	544	304	240	544	304	240
KERALA	520	336	184	780	504	276
MADHYA PRADESH	704	456	248	704	456	248
MAHARASHTRA	1040	520	520	1296	520	776
MANIPUR	288	192	96	576	384	192
MEGHALAYA	176	128	48	176	128	48
MIZORAM	160	64	96	160	64	96
NAGALAND	112	80	32	176	80	96
ORISSA	488	384	104	488	384	104
PUNJAB	288	160	128	288	160	128
RAJASTHAN	560	384	176	560	384	176
SIKKIM	112	88	24	112	88	24
TAMIL NADU	792	400	392	792	400	392
TRIPURA	288	216	72	288	216	72
UTTAR PRADESH	1568	1120	448	1568	1120	448
UTTARAKHAND	112	72	40	112	72	40
WEST BENGAL	1008	632	376	1008	632	376
A & N ISLANDS	40	24	16	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	288	16	272	576	32	544
LAKSHADWEEP	16	4	12	0	0	0
PONDICHERY	56	16	40	56	16	40
ALL- INDIA	12928	8172	4756	13996	8552	5444

