

Chapter Two

Concepts and Definitions

Some concepts and definition of important terms which were used in this survey on Drinking Water, Sanitation, Hygiene and Housing Condition during NSS 69th round are described below.

Population coverage: The following rules regarding the population to be covered were adhered to during survey operation.

1. Under-trial prisoners in jails and indoor patients of hospitals, nursing homes etc., were excluded, but residential staff therein was listed while listing was done in such institutions. The persons of the first category were considered as normal members of their parent households and were counted there. Convicted prisoners undergoing sentence were outside the coverage of the survey.
2. Floating population, i.e., persons without any normal residence were not listed. But households residing in open space, roadside shelter, under a bridge, etc., more or less regularly in the same place, were listed.
3. Foreign nationals were not listed, nor do 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 was covered.
4. Persons residing in barracks of military and paramilitary forces (like police, BSF, etc.) was 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, were covered.
5. Orphanages, rescue homes, *ashrams* and vagrant houses were 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 were listed. For orphanages, although orphans were not to be listed, the persons looking after them and staying there were considered for listing.

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.

Household: A group of persons normally living together and taking food from a common kitchen constitutes a household. It includes temporary stay-aways (those whose total period of absence from the household is expected to be less than 6 months) but excludes temporary visitors and guests (expected total period of stay less than 6 months). Even though the determination of the actual composition of a household was left to the judgment of the head of the household, the following procedures was adopted as guidelines.

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

(ii) In deciding the composition of a household, more emphasis was 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 was different from the place of boarding, he or she was 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) was considered as a member of the household with whom he or she resides even though he or she was not a member of the same family.

(iv) When a person sleeps in one place (say, in a shop or in a room in another house because of space shortage) but usually takes food with his or her family, he or she was treated not as a single member household but as a member of the household in which other members of his or her family stayed.

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

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

Household monthly per capita expenditure: Generally 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.

Dwelling unit: It is defined as 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 would 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 did 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 was treated as part of the dwelling unit except when the use of such portion for residential purpose was very nominal. The dwelling unit covers all pucca, semi-pucca and katcha structures used by a household. Households living more or

less regularly in tents, under bridges, in pipes, under staircase, in purely temporary flimsy improvisations built by the road side (which are liable to be removed at any moment) etc., were considered to have no dwelling.

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

Floor area of the dwelling: The inside area of the floor excluding the area covered by the walls was considered as floor area. If a room was used both for business and residential purposes and the residential use was not very nominal, the total area of the room was considered as floor area. On the other hand, if only a portion of a room was used for residential purposes, only the area of that portion was considered as floor area. The same procedure was adopted in case of room being shared with another household.

Tenurial status of dwelling: Information in respect of the tenurial status of the dwelling unit of the sample household was collected. For the purpose of the survey the following classifications of the tenurial status of the dwelling were used:

1. *owned:*

- 1.1 freehold
- 1.2 leasehold

2. *hired:*

- 2.1 employer quarter
- 2.2 hired dwelling units with written contract
- 2.3 hired dwelling units without written contract

3. *others*

4. *no dwelling*

Owned: A dwelling unit was considered '*owned*' by the sample household if permanent heritable possession with or without the right to transfer the title was vested in a member or members of the household. Dwelling units in owner-like possession under long term lease or assignment was also considered as '*owned*'. If the sample household had the right of permanent heritable possession of the dwelling unit with or without the right to transfer the title, such dwelling units were considered as '*freehold*'. Dwelling units held under special conditions such that the holder did not possess the title of

ownership of the dwelling unit but the right for long term possession of the dwelling unit (e.g., dwelling units possessed under perpetual lease, hereditary tenure and long term lease for 30 years or more) was considered '*leasehold*'.

Hired: In this survey three types of *hired accommodation* were distinguished. These were *employer quarter*, *hired dwelling with written contract* and *hired dwelling without written contract*. If the dwelling unit, in which the sample household lived, was provided by an employer to a member of the sample household, such dwelling units were considered as '*employer quarter*'. If the dwelling was taken on rent, by the sample household, which was payable at monthly, quarterly or any other periodic intervals or on lease, for a period of less than 30 years, it was treated as a '*hired dwelling*'. *Hired dwelling* unit might be free of rent also. If the sample household had taken the dwelling unit on rent with written contract with its owner, it was considered as '*hired dwelling with written contract*'. On the other hand, if the sample household lived in a hired dwelling unit without a written contract, such dwelling unit was considered as '*hired dwelling without written contract*'.

Others: In all other types of possession of the dwelling unit (e.g., encroached one) for the households, these were classified as '*others*'.

No dwelling: Households which lived more or less regularly, under bridges, in pipe, etc., in purely temporary flimsy improvisations built by the roadside (which are liable to be removed any moment), were considered as having '*no dwellings*'.

Independent house: A dwelling unit is considered as an independent house if it has a separate structure and the structure is not shared with any other household. In other words, if the dwelling unit and the entire structure of the house are physically the same, it was 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 would form a single housing unit and was treated as an independent house.

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

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.

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

(i) *Unserviceable katcha structure*, which 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

(ii) *Serviceable katcha structure*, which includes all katcha structures other than unserviceable katcha structures.

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.

Room: it is defined as 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 was not considered as a room. In case of conical shaped structures in which the roof itself was built to the floor level, the roof was considered as wall.

Living room: A room with floor area (carpet area) of at least 4 square metres (i.e., approximately 43 square feet), a height of at least 2 metres (i.e., approximately 6.6 feet) from the floor to the highest point in the ceiling and used for living purposes was considered as a living room.

Thus, rooms used as bedroom, sitting room, prayer room, dining room, servant's room - all were considered as living rooms provided they satisfy the size criterion. Kitchen, bathroom, latrine, store, garage etc. were not considered as living rooms. A room used in common for living purpose and as kitchen or store was also considered as living room.

Other room: It is defined as 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 is 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 was treated as other room.

Verandah: It is a roofed space adjacent to living/other room and is not walled from all sides.

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

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

Non-notified slums: Also, any compact settlement with a collection of poorly built tenements, mostly of temporary nature, crowded together, usually with inadequate sanitary and drinking water facilities in unhygienic conditions, was considered as a slum by the survey, provided at least 20 households live there. If such a settlement was not notified as a slum, it was considered as a non-notified slum.

Slums: The word “slum” includes both *notified slums* and *non-notified slums*.

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

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 was not covered in the definition of economic activity adopted in 69th round survey of NSSO. Production of any good for own consumption is considered as economic activity by UN System of National Accounts, but in NSS surveys, production of only primary goods for own consumption is considered as economic activity. While the former includes activities like own account processing of primary products among other things, in the NSS surveys, processing of primary products for own consumption is not considered as economic activity. However, it may be noted that 'production of agricultural goods for own consumption' covering all activities up to and including stages of threshing and storing of produce for own consumption, comes under the coverage of the economic activities of NSS.

The term 'economic activity' in this round included the following:

- (i) all the market activities described above, i.e., the activities performed for pay or profit which result in production of goods and services for exchange,
- (ii) of the non-market activities,
 - (a) all the activities relating to the primary sector (i.e., industry Divisions 01 to 09 of NIC- 2008) which result in production (including free collection of uncultivated crops, forestry, firewood, hunting, fishing, mining, quarrying, etc.) of primary goods, including threshing and storing of grains for own consumption 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.

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

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

In rural areas, a household belongs to any one of the six household types viz. (a) self-employed in agriculture, (b) self-employed in non-agriculture, (c) regular wage/salary earning, (d) casual labour in agriculture, (e) casual labour in non-agriculture and (f) others. In urban area, four different types of households may be obtained. These types are (a) self-employed, (b) regular wage/salary earners, (c) casual labour and (d) others.

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

An urban household was assigned the household type *self-employed*, *regular wage/salary earning*, *casual labour* or *others* depending on the major source of its income from economic activities during the last 365 days. A household which did not have any income from economic activities was classified as *others*.

Earner of a household, place of work and maximum distance travelled by the earner: A household member with earning either from economic activities and/or from non-economic activities was

considered as an earner in the household. Place of work meant a place where the activities, considering both the economic and non-economic activities together, were performed by the earners. Distance meant the one way actual distance from residence to the place of work normally travelled by the earner.

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 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 capacity. Out of the occupations listed that one which fetched the maximum earning 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 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 combination of the senior most members.

Land possessed: In this survey, the 'area of land possessed' included land 'owned', 'leased in' and 'land neither owned nor leased in' (i.e. encroached) by the household but excluded land 'leased out'. The total land area possessed by the household as on the date of survey was taken into account.

To determine the area under land possessed by a household, the following points were kept in mind.

(a) A piece of land was considered to be owned by the household if permanent heritable possession with or without the right to transfer the title vested 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., was considered as land owned.

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

(c) For a piece of public/institutional land under the possession of the household, if the household lacked title of ownership and also did not have lease agreement for the use of land transacted, either orally or in writing, such land was considered as 'neither owned nor leased in'. Private land (i.e. land owned by the household sector) possessed by the household without title of ownership and occupancy right was not considered in the 'otherwise possessed' category. All private land encroached upon by the household was treated as leased-in land.

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

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

(f) Land possessed by the households living in a block of flats was calculated by apportioning the total area occupied by the building among the households in proportion to the size of the flats.