

Chapter One

Introduction: Coverage, Concepts, Design and Definitions

1.0 Introduction

1.0.1 The National Sample Survey (NSS), set up by the Government of India in 1950 to collect socio-economic data employing scientific sampling methods, will start its seventy first round from 1st January 2014. The survey will continue up to 30th June 2014.

1.0.2 **Subject Coverage:** NSS 71st (January 2014 - June 2014) round is devoted to the subject of Social Consumption and earmarked for surveys on Health and Education. The last survey on health was conducted in 60th round of NSS (January 2004 - June 2004) and the same on education was conducted during 64th round of NSS (July 2007 - June 2008).

1.1 Objective of the Survey

1.1.1 **Survey on ‘Social consumption: Health’ (Schedule 25.0):** The survey on health aims to generate basic quantitative information on the health sector. A vital component is the information relevant to the determination of the prevalence rate of morbidity among various age-sex groups in different regions of the country. Further, measurement of the extent of use of health services provided by the Government is an indispensable part of the exercise. Special attention is given to hospitalisation, or medical care received as in-patient of medical institutions. The ailments for which such medical care is sought, the extent of use of Government hospitals, and the expenditure incurred on treatment received from public and private sectors, are all to be investigated by the survey. Break-up of expenditure by various heads is to be estimated for expenses on medical care received both as in-patient and otherwise.

For the first time in an NSS health survey, the data collected will enable assessment of the role of alternative schools of medicine in respect of prevalence of use, cost of treatment and type of ailments covered. Besides, the survey will ascertain the extent of use of private and public hospitals for childbirth, the cost incurred, and the extent of receipt of pre-natal and post-natal care by women who undergo childbirth. Finally, information on certain aspects of the condition of the 60-plus population will be obtained which have a bearing on their state of health, economic independence, and degree of isolation. For most important parameters, the survey will provide estimates separately for males and females.

1.1.2 **Survey on ‘Social consumption: Education’ (Schedule 25.2):** In most of the countries, government spends substantial amount on the creation as well as running of the educational infrastructure. However, for availing such facilities, individuals also have to incur expenditure in the form of tuition fees, examination fees, charges for stationeries, books, etc. Though information is available on the expenditure incurred by the governments through

budget documents, the data on expenditure by individuals have to be collected through specialised surveys. The main objective of canvassing Schedule 25.2 on 'Education' in this round is to collect information on (a) participation of persons aged 5-29 years in the education system, (b) private expenditure incurred on education, (c) examining the extent of educational wastage and their causes, and (d) IT literacy of persons aged 14 years and above.

1.2 Outline of Survey Programme

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

1.2.2 Period of survey and work programme: The period of survey will be of six months duration starting on 1st January 2014 and ending on 30th June 2014. The survey period of this round will be divided into two sub-rounds of three months duration each as follows:

sub-round 1 : January - March 2014

sub-round 2 : April - June 2014

In each of these two sub-rounds equal number of sample villages/ blocks (FSUs) will be allotted for survey with a view to ensure 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, Leh (Ladakh) and Kargil districts of Jammu & Kashmir and rural areas of Arunachal Pradesh and Nagaland.*

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

Schedule 0.0 : List of Households

Schedule 25.0 : Social consumption: Health

Schedule 25.2 : Social consumption: Education

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

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

1.3 Contents of Volume I

1.3.1 The present volume contains four chapters. Chapter one, besides giving an overview of the whole survey operation, discusses the concepts and definitions of certain important technical terms to be used in the survey. It also describes in details the sample design and the procedure of selection of households adopted for this round. Instructions for filling in Schedule 0.0, Schedule 25.0 and Schedule 25.2 are given in chapters two to four respectively.

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

1.4 Sample Design

1.4.1 **Outline of sample design:** A stratified multi-stage design has been adopted for the 71st round survey. The first stage units (FSU) will be the census villages (Panchayat wards in case of Kerala) in the rural sector and Urban Frame Survey (UFS) blocks in the urban sector. The ultimate stage units (USU) will be households in both the sectors. In the case of large FSUs, one intermediate stage of sampling will be the selection of two hamlet-groups (hgs)/ sub-blocks (sbs) from each rural/ urban FSU.

1.4.2 **Sampling Frame for First Stage Units:** *For the rural sector*, the list of 2011 census villages (henceforth the term 'village' would mean Panchayat wards for Kerala) will constitute the sampling frame. However, if 2011 census list is not available, then 2001 census villages updated by excluding the villages urbanised and including the towns de-urbanised after 2001 census will constitute the sampling frame. For the urban sector, the latest updated list of UFS blocks (phase 2007-12) will be considered as the sampling frame.

1.4.3 **Stratification:** Each district will be a stratum. Within each district of a State/UT, generally speaking, two basic strata will be formed: (i) rural stratum comprising of all rural areas of the district and (ii) urban stratum comprising of all the urban areas of the district. However, within the urban areas of a district, if there are one or more towns with population 1 lakh or more as per Census 2011, each of them will form a separate basic stratum and the remaining urban areas of the district will be considered as another basic stratum.

1.4.3.1 **Special stratum in the rural sector:** There are some villages in Nagaland and Andaman & Nicobar Islands which are difficult to access. As in earlier rounds, a special stratum will be formed at State/UT level comprising these villages in the two State/UTs.

1.4.4 Sub-stratification:

1.4.4.1 **Rural sector:** If n be the sample size allocated for a rural stratum, the number of sub-strata formed will be $n/20$. The villages within a district as per frame will be first arranged in ascending order of population. Then sub-strata 1 to $n/20$ will be demarcated in such a way

that each sub-stratum will comprise a group of villages of the arranged frame and have more or less equal population.

1.4.4.2 Urban sector: If n_u be the sample size allocated for an urban stratum, the number of sub-strata formed will be $n_u/2$. For all strata, if $n_u/2 > 1$, implying formation of 2 or more sub-strata, all the UFS blocks within the stratum will be first arranged in ascending order of total number of households in the UFS Blocks as per UFS phase 2007-12. Then sub-strata 1 to $n_u/2$ will be demarcated in such a way that each sub-stratum will have more or less equal number of households.

1.4.5 Total sample size (FSUs): About 8300 FSUs will be surveyed for the central sample at all-India level. State wise allocation of sample FSUs is given in Table-1, page A-22.

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

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

1.4.8 Allocation to strata: Within each sector of a State/ UT, the respective sample size will be allocated to the different strata in proportion to the population as per Census 2011. Stratum level allocation will be adjusted to multiples of 2 with a minimum sample size of 2.

For special strata in the rural areas of Nagaland and A & N Islands, 4 FSUs will be allocated to each.

1.4.9 Allocation to sub-strata: Allocation for each sub-stratum will be 2 in both rural and urban sectors.

1.4.10 Selection of FSUs:

For the rural sector, from each stratum/sub-stratum, required number of sample villages will be selected by Probability Proportional to Size With Replacement (PPSWR), size being the population of the village as per Census 2011.

For the urban sector, from each stratum/sub-stratum, FSUs will be selected by Probability Proportional to Size With Replacement (PPSWR), size being the number of households of the UFS Blocks.

Both rural and urban samples are to be drawn in the form of two independent sub-samples and equal number of samples will be allocated among the two sub rounds.

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

1.4.11.1 Proper identification of the FSU boundaries: The first task of the field investigators is to ascertain the exact boundaries of the sample FSU as per its identification particulars given in the sample list. For urban samples, the boundaries of each FSU may be identified by referring to the map for the UFS Phase 2007-12.

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

approximate present population of the sample FSU	no. of hg/sb 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
í ...and so on	.

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

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

1.4.11.3 Formation and selection of hamlet-groups/ sub-blocks: In case hamlet-groups/ sub-blocks are to be formed in the sample FSU, the same should be done by more or less equalizing population. Note that while doing so, it is to be ensured that the hamlet-groups/ sub-blocks formed are clearly identifiable in terms of physical landmarks.

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

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

1.6 Formation of second stage strata and allocation of households:

1.6.1 All the households listed in the selected FSU/ hamlet-group/ sub-block will be stratified into three second stage strata (SSS) for both Schedule 25.0 and 25.2. 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)

Schedule 25.0

SSS 1	households having at least one child of age less than 1 year	2	1
SSS 2	from the remaining, households with at least one member (including deceased former member) hospitalised during last 365 days	4	2
SSS 3	other households	2	1

Schedule 25.2

SSS 1	households with at least one student receiving technical/professional education	2	1
SSS 2	from the remaining, households having at least one student receiving general education	4	2
SSS 3	other households	2	1

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

1.6.3 **Selection of households:** From each SSS the sample households for both the schedules will be selected by SRSWOR. If a household is selected for both the schedules, only Schedule 25.0 will be canvassed in that household and the one selected for Schedule 25.2 will be replaced following the procedure given in para 2.6.5.9.

1.7 Concepts and Definitions:

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

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

1. Under-trial prisoners in jails and indoor patients of hospitals, nursing homes etc., are to be excluded, but residential staff therein will be listed while listing is done in such institutions. The persons of the first category will be considered as 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. Neither the foreign nationals nor their domestic servants will be listed, 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 the appropriate authorities.
5. Orphanages, rescue homes, *ashrams* and vagrant houses are outside the survey coverage. However, persons staying in old age homes, *ashrams/hostels (other than students)* 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.
6. Students residing in the students' hostels are excluded from the hostel as they are considered as members of the household to which they belonged before moving to the hostel. However, residential staff are listed in the hostel.

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

1.7.2.1 Students' Hostel: A hostel meant for providing accommodation to students, irrespective of whether run by any educational institution or not. A hostel, as distinct from a mess, is not managed by the students on a cooperative basis.

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

Exceptions

- (a) students residing in students' hostels (refer to para 1.7.2.1) will be considered as members of the household to which they belonged before moving to the hostel irrespective of the period of absence from the household they belonged. Hence, they are not to be regarded as forming single-member households unlike previous rounds.**
- (b) any woman who has undergone childbirth during last 365 days will be considered a member of the household which incurred the cost of childbirth irrespective of her place of residence during the last 365 days.**
- (c) a child aged less than 1 year will be considered a member of the household to which its mother belongs.**

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. **However, the students residing in students' hostels are not to be regarded as forming single-member households but will be considered as members of the household to which they belonged before moving to the hostel, as mentioned above.** 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 (with the exception of students staying in students' hostels) 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 not be treated 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 for reasons other than study (i.e. other than student staying in studentsø hostel), he/she will not be considered as a member of his/her parent's household. If any member of the household is residing in a studentsø hostel for the purpose of study, he/she will be considered as member of that household to which he/she belonged before moving to the studentsø hostel.

1.7.4 Household size: The number of members of a household is its size. If a member of the household is residing in a studentsø hostel for the purpose of study, he/she will be considered as a member of that household to which he/she belonged before moving to the studentsø hostel irrespective of the period of absence from that household. Further, if any woman has undergone childbirth during last 365 days, she will be considered a member of the household which incurred the cost of childbirth, irrespective of her place of residence during the last 365 days. A child aged less than 1 year will be considered a member of the household to which its mother belongs.

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

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

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

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

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

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

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

1.7.6 Industry and occupation of the economic activity: The sector of the economic activity in which a person is found engaged is his/her industry of work and the corresponding occupation is the occupation of the person. For collection of information on industry, National Industrial Classification-2008 (NIC-2008) will be used and for collection of information on occupation, National Classification of Occupations-2004 (NCO-2004) will be used.

1.7.7 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. Out of the occupations listed that one which fetched the maximum earnings to the household during the last 365 days preceding the date of survey would be considered as the principal household occupation. It is quite possible that one or more members of the household may pursue the household occupation in different industries. In such cases, the particular industry out of all the different

industries corresponding to the principal occupation, which fetched the maximum earnings, should be considered as the principal industry of the household. In extreme cases, the earnings may be equal in two different occupations or industry-occupation combinations. By convention, in such cases, priority will be given to the occupation or industry-occupation combination of the senior-most member.

1.7.8 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 statuses under the broad activity category 'working or being engaged in economic activity'.

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

1.7.9 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.

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 generally used synonymously 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.

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 employer's 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 they receive 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* at home on order from some particular unit/ contractor/ trader will be treated as 'home worker'. On the other hand, if she does the work in the employer's premises, she will be treated as an *employee*. Again, if she is not undertaking these activities on orders from outside, but markets the products by herself/ other household members for profit, she will be considered as an own account worker, if of course, she does not employ any hired help more or less on a regular basis.

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

1.7.11 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.

1.7.12 Hospitalisation: Hospitalisation means admission as in-patient or for treatment of ailment or injury, or for childbirth or to any medical institution. Medical institution here refers

to any institution having provision for admission of sick persons as in-patients for treatment ó all Primary Health Centres, Community Health Centres, all public hospitals (district hospital/state general hospitals/ medical college hospitals etc.), and all private hospitals (private nursing home, day care centre, private medical college and hospital, super-specialty hospital, etc.). Further, childbirths sometimes take place in Health Sub Centres; such cases of delivery will also be considered as hospitalisation. Surgeries undergone in temporary camps set up for treatment of ailments, such as eye camps, will also be treated as cases of hospitalisation.

1.7.13 Education: The term ‘education’ generally refers to developing knowledge, skill or character of individuals through a process of learning such as self-study, attendance in formal or informal educational institutions, etc. For the purpose of this survey, ‘education’ will cover the followings:

- I. School education commencing from class I to X or XII, as the case may be, irrespective of the recognition status of the educational institution,
- II. Higher secondary / Pre-university education leading to certificate/ diploma/ degree etc. It also includes enrolment in private unrecognised institutions, which have regular classes and following the syllabus and pattern of the education as in recognised schools or colleges and which sponsor students for public examinations as private or external candidates,
- III. General University education, whether full time or part time, leading to certificate/ diploma/ degree etc. The Universities not recognised by University Grant Commission will not be covered,
- IV. Correspondence courses conducted by Universities, Deemed Universities or Institutions authorised by competent authorities for awarding regular degrees or diplomas or certificates,
- V. Higher secondary / Pre-university / Under-graduate/ Post-graduate / Professional/ Technical education leading to certificate/diploma/degree etc. conducted by recognised open university/schools,
- VI. Technical or Professional courses, leading to degree/diploma/certificates, conducted by Universities, Deemed Universities or institutes like, National Institute of Fashion Technology, National School of Drama, Satyajit Ray Film and Television Institute, Film and Television Institute of India, Lok Nayak Jayaprakash Narayan National Institute of Criminology and Forensic Science, etc. or Institutions, authorised by competent authorities like All India Council of Technical Education (AICTE), Medical Council of India (MCI) etc.,
- VII. Professional courses conducted by Institutes like The Institute of Chartered Accountants of India, The Institute of Cost and Works Accountants of India, The Institute of Company Secretaries of India, Actuarial Society of India, etc.,
- VIII. All types of courses of duration three months or more, conducted by Institutions like Industrial Training Institute (ITI), National Vocational

Training Institute, Regional Vocational Training Institutes, etc., authorised by competent authorities,

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

The following courses shall be specifically excluded from detailed canvassing:

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

1.7.14 **Computer:** For this survey, a computer means any of the following devices *viz* desktops, laptops, notebooks, netbooks, palmtops, smart phones, tablets etc. The following categories are defined basically for the convenience of identifying a computer for capturing appropriate information while eliminating the chance of missing out. These should not be strictly used for distinguishing the various types.

- I. **Desktop:** A desktop computer (or desktop PC) is a computer that is designed to stay in a single location without portability. Generally, the monitor, keyboard and mouse in a desktop computer are separate units.
- II. **Laptop:** A laptop computer is a portable personal computer light and small enough to sit on a person's lap. A laptop computer can be powered by battery or plugged into the unit. The main utility of a laptop computer is that it allows a person to travel with its computing resource.
- III. **Notebook:** A notebook is an extremely lightweight personal computer, a portable computer *smaller than a laptop model*, capable of being run on batteries and electrical current. Technically and traditionally, the difference between a laptop and a notebook is the matter of size only; functionally they are the same.
- IV. **Netbook:** A netbook is a portable computer that is about half the size of a traditional laptop. These computers are a great solution for users who just want a basic computer to get onto the Internet with and do basic applications such as a word processing. The main difference between netbook and notebook is its functionality. Netbook is used for content consumption such as listening to music or watching movies while Notebook is used for content making.

- V. **Palmtop:** A small computer that literally fits in the palm of one's hand is called a Palmtop. Other names for Palmtops are hand-held computers or Personal Digital Assistants (PDAs).
- VI. **Smartphone:** A smartphone is a mobile phone with built-in applications and internet access with more advanced computing capability and connectivity than an ordinary mobile phone.
- VII. **Tablet:** A tablet computer, or simply tablet, is a one-piece mobile computer. Devices typically have a touch screen, with finger or stylus gestures replacing the conventional computer mouse. An on-screen concealable virtual keyboard is usually used for typing.

1.7.15 IT Literate Person: A person is an IT literate person if he/she is having familiarity with basic hardware, software and internet concepts that allow one to use computer devices for data entry, word processing and electronic communication. For this survey, the use of computer/internet will be captured in Block 4 of schedule 25.2 in the form of some simple questions, which will be used for estimation of IT Literacy.

1.7.16 Educational level: It refers to the different stages of educational attainment. It is the highest level a person has completed successfully. The levels with codes are: not literate -01, literate without any schooling -02, literate without formal schooling: through NFEC -03, through TLC/AEC -04, others -05; literate with formal schooling: below primary -06, primary -07, upper primary/middle -08, secondary -10, higher secondary -11; diploma/certificate course (up to secondary) -12, diploma/certificate course (higher secondary) -13, diploma/certificate course (graduation & above) -14, graduate -15, postgraduate and above -16. It may be noted that if a person has successfully passed the final year of a given level, then and only then he/she will be considered to have attained that level of education. For example, for a person studying in Class IX the educational level will be middle and not secondary.

1.7.17 Level of current attendance: In this case, the current educational level where a student is pursuing his current education is to be considered. Here the levels are: never attended -01; ever attended but currently not attending -02; currently attending in: NFEC -03, TLC/AEC -04, other non-formal education -05, pre-primary (nursery/ Kindergarten, etc.) -06, primary (class I to V) -07, upper primary/middle -08, secondary -10, higher secondary -11; diploma/certificate course (up to secondary) -12, diploma/certificate course (higher secondary) -13, diploma/certificate course (graduation & above) -14, graduate -15, postgraduate and above -16.

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

1.7.19 School education levels: A uniform pattern across the country for the number of years of schooling at primary level, upper primary/middle level, secondary level and a higher

secondary level is yet to be achieved. However, for this survey, the primary level refers to Classes I-V, the upper primary/middle to Classes VI-VIII, the secondary to Classes IX-X and the higher secondary to Classes XI-XII.

1.7.20 Type of Education: Education is broadly divided into two categories: (i) general education and (ii) technical / professional education.

1.7.21 General education: In this survey, it includes general school education from the primary to the higher secondary level, normal university education for a degree.

1.7.22 Technical/professional education: Technical/professional courses involve the hands on training in addition to theoretical classes. Education in engineering, medicine, agriculture, management, chartered accountancy, cost accountancy, art, music, driving, pilot training etc are examples of technical/ professional courses.

1.7.23 Vocational Courses: For the purpose of this survey, vocational courses are not defined separately from the technical/professional courses. Any technical/ professional course with the *level of current attendance* as *secondary* or below or *diploma/certificate course (up to secondary)* will be considered as vocational course. However, courses offered by Industrial Training Institute (ITI), National Vocational Training Institute, Regional Vocational Training Institutes etc. shall be considered as vocational courses.

1.7.24 Student: For the purpose of this survey, a household member is considered as student if he is aged between 5 to 29 years and currently attending a course at primary level and above.

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

1.7.26 Basic course: When a particular student is undertaking more than one course, the basic course should be identified as per following criteria ó

- If an individual is pursuing more than one course then the course, which is in the highest level, should be considered as the basic course.
- If all the courses simultaneously pursued currently are in the same level then the course of the general education should be the basic course
- In absence of any general education, the course, which involves higher cost, should be taken as the basic course.

- If a person is enrolled both in regular course and course through distance learning then regular course should be treated as the basic course irrespective of the cost involved.

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

1.7.27 Academic session: The academic session will be defined in relation to the duration of the basic course in which he/she is enrolled and attending in the following manner ó

- i) If duration of the course is less than one year, the academic session will cover full duration of the course,
- ii) If duration of the course is equal to or more than one year, then the academic session will be considered as one-year.
- iii) For the educational institutions pursuing three to six months semester system, academic session will still be taken as one year if the duration of the course is equal to or more than one year.

1.7.28 Current academic session: This refers to the academic session relating to the basic course, the student is currently attending.

1.7.29 Recognised school/ institution: A recognised school/ institution is one in which the course(s) of study followed is/ are prescribed or recognised by the Government or a university or a Board constituted by law or by any other agency authorised in this behalf by the central or state government. With regard to its standard of efficiency, it also satisfies criteria of one or more of the authorities, e.g. Directorate of Education, Municipal Board, Secondary Board, etc. It runs regular classes and sends candidates for public examination, if any.

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

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

1.7.32 Full time and Part time course: For the courses organized by educational institutions on full time basis certain minimum hours of attendance is prescribed. For example a student studying for his/ her graduation has to necessarily attend classes for three years. Some educational institution can offer the same course in longer duration (more than three years) by reducing the requirement of number of hours for attending classes per day/ week. The course with the longer duration will be considered as part time course. For example, a working person can enrol in a part-time MBA course for three years, in place of regular MBA of 2 years. The part-time relates to the course, and not in reference to the person.

1.7.33 Correspondence courses/distance learning: This is a form of education where the student does not have to be physically present in the place where the teaching is taking place. The distinguishing feature about distance learning is the geographical distance between the student and the teacher. Access to the instructor is gained through either study materials sent over post or by using modern technology such as the internet, interactive video conferencing, etc. Such course may also involve occasional classroom programme as its integral part. Different correspondence courses offered by Universities or open schools are examples of this form of education. Persons who are studying courses from recognized educational institution, and are appearing as private/external candidates in examination can be treated similarly to those studying distance learning courses.

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

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

1.7.36 Expenditure on education: It is the sum of all the expenditure incurred by individuals on the education of the student towards fees, books & stationery, uniform, transport, private coaching, study tours, etc., irrespective of the source of the expenditure.

1.7.37 Other compulsory payments: These are the payments, besides tuition fee, examination fee, development fee, which are obligatory for a course, usually at the beginning of the academic session. A receipt is given for such payments. A special fee for getting

admission under management quota is an example of such payment. Any payment made voluntarily such as donation, bribes, etc shall not be considered as compulsory payment.

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

1.7.39 Dropout/ Discontinuance: An ever-enrolled person currently not attending any educational institution may be due to either: (i) he/ she has discontinued after completing the last level of education for which he/ she was enrolled or (ii) he/ she has discontinued education before attaining a specific level. For the first category, for example, if a person has completed the middle level but does not enrol for the next higher level of education, he/ she is **not** considered as a dropout. It is considered as a case of discontinuation. However, if the person enrolls for the secondary level but does not complete it, then he/ she is considered a dropout. For the purpose of this survey, both the types should be treated alike for recording information.

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

- (1) **'Hospital'** Medical institutions having provision of admission of sick persons as in-door patients (in-patients) for treatment are called hospitals. Hospital run by the central/ state government or local bodies like municipalities are considered Government Hospital. It is pertinent to mention here that any allopathic hospital having treatment facility for any discipline under AYUSH (for examples if an allopathic hospital has a wing of Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.
- (2) **'Dispensary'** is the consulting place/ chamber, which does not generally have facilities for treatment of in-patients. A dispensary is a public institution that dispenses medicine or medical aids in a hospital from which medical supplies, preparations and treatments are dispensed. Hospitals without bed may be treated as Dispensaries. Dispensary having treatment facility for any discipline under AYUSH (for example if an allopathic Hospital/ Dispensary has out-patient facility for Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.
- (3) **'Primary Health Centre (PHC)'** is the first contact point between a village community and the medical officer. It has a medical officer and other paramedical staff. It is run by the Government and usually has in-patient and out-patient facilities. A PHC has jurisdiction over 6 sub-centres and serves about 30,000

population in plain area and 20,000 population in hilly/ tribal area. PHC having treatment facility for any discipline under AYUSH (for examples if any PHC has treatment facility for Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.

- (4) **‘Community Health Centre’ (CHC)** serves about 1.2 lakh populations in plain area and 80,000 in the hilly/ tribal area. The CHC functions as referral centre for the PHC. It is manned by medical specialists and paramedical staff and has in-patient and out-patient facilities. CHC having treatment facility for any discipline under AYUSH (for examples if a CHC has treatment facility of Ayurveda/ Unani/ Siddha/ Homoeopathy/Yoga/Naturopathy) will be covered under this item.
- (5) **AYUSH Health Centre (AHC):** In some of the State Govt. Institutions, Ayurveda, Unani, Siddha dispensaries are also called as AYUSH Health Centres. Generally these centres are managed by one doctor, one pharmacist and one other staff and provide only out-door patient care.
- (6) **Panchkarma Centres / Kendra:** These are small hospitals where Panchkarma Procedures / Ayurveda massage etc. is carried out. Panchkarma Centre provides the facilities for ladies and gents both types of patients.
- (7) **Ayurveda / Panchkarma Hospitals:** There are many hospitals providing indoor patient care through Panchkarma / Massage therapy. Kerala State is well known to have Panchkarma Hospitals of very high quality. Various procedures of massage, fomentation, putting oil on forehead (called as Shirodhara) and applying medicated oils all over the body.

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

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

Government undertaking or non-governmental organization authorized by the Central Government or the State Government.

Table 1: allocation of sample villages and blocks for NSS 71st round

State/UT	number of sample villages/blocks					
	central sample			state sample		
	total	rural	urban	total	rural	urban
(1)	(2)	(3)	(4)	(5)	(6)	(7)
ANDHRA PRADESH	500	250	250	1000	500	500
ARUNACHAL PRADESH	80	48	32	80	48	32
ASSAM	282	212	70	282	212	70
BIHAR	396	264	132	396	264	132
CHHATTISGARH	152	86	66	152	86	66
GOA	24	12	12	24	12	12
GUJARAT	362	182	180	362	182	180
HARYANA	180	90	90	180	90	90
HIMACHAL PRADESH	112	88	24	112	88	24
JAMMU & KASHMIR	160	92	68	320	184	136
JHARKHAND	186	104	82	186	104	82
KARNATAKA	370	186	184	370	186	184
KERALA	320	160	160	320	160	160
MADHYA PRADESH	452	248	204	452	248	204
MAHARASHTRA	680	340	340	850	340	510
MANIPUR	176	96	80	352	192	160
MEGHALAYA	104	68	36	104	68	36
MIZORAM	96	48	48	96	48	48
NAGALAND	72	44	28	128	44	84
ODISHA	306	212	94	306	212	94
PUNJAB	192	96	96	192	96	96
RAJASTHAN	368	212	156	368	212	156
SIKKIM	64	40	24	64	40	24
TAMIL NADU	492	246	246	492	246	246
TRIPURA	176	104	72	176	104	72
UTTAR PRADESH	994	616	378	994	616	378
UTTARAKHAND	84	44	40	84	44	40
WEST BENGAL	628	324	304	628	324	304
A & N ISLANDS	32	20	12	0	0	0
CHANDIGARH	24	8	16	0	0	0
D & N HAVELI	16	8	8	0	0	0
DAMAN & DIU	16	8	8	16	8	8
DELHI	156	8	148	156	8	148
LAKSHADWEEP	16	8	8	0	0	0
PUDUCHERRY	32	8	24	32	8	24

ALL- INDIA	8300	4580	3720	9274	4974	4300
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Note: (i) Minor changes in allocations may be necessary at the time of actual sample selection work.