

Chapter Five

Schedule 0.21: Particulars of Slum

5.0 **Introduction:** The first nationwide survey on the 'economic condition of slum dwellers in urban cities' was conducted by the NSSO in its 31st round (July 1976 - June 1977). The survey was restricted to (i) all the 'Class I' towns having 1971 census population one lakh or more and (ii) two 'Class II' towns, viz. Shillong and Pondicherry. The next survey on slum dwellers was carried out in the 49th round (January – June 1993), which covered rural as well as urban areas. After a gap of nearly ten years, the third survey was conducted in the 58th round (July-December 2002), covering only the urban slums. In the present round also, the survey is restricted to urban slums only.

5.0.0 Schedule 0.21 has been framed to collect information on the present condition of the slums and on the change in the condition of some facilities available therein. The schedule is to be canvassed for each surveyed urban block having slum(s). Thus the schedule will be canvassed in the urban sector only.

5.0.1 Information on each slum, notified or non-notified, found in the entire selected first stage unit (FSU) will be collected even if sub-block formation has been resorted to. In some cases, the slum may cover such a large area that it cuts across more than one FSU, and the selected FSU is part of the slum. In such cases, all the slum particulars recorded would relate to only that part of the slum, which falls in the selected FSU. However, if the FSU contains a part of a notified slum with at least 20 households, then the part of the slum falling in the FSU will be regarded as a notified slum and the schedule will be canvassed accordingly.

5.0.2 This chapter gives detailed instructions for filling up Schedule 0.21. Concepts and definitions relating to this schedule have been discussed in Chapter One. However, concepts specific to Schedule 0.21 have been discussed in this chapter wherever necessary along with the instructions for specific items.

5.0.3 Structure of the schedule

5.0.3.0 Schedule 0.21 consists of the following eight blocks.

Block 0: descriptive identification of sample FSU (Urban)

Block 1: identification of sample FSU (Urban)

Block 2: particulars of field operations

Block 3: particulars about the slum

Block 4: change in the condition of the slum during the last 5 years

Block 5: remarks by investigator/senior investigator

Block 6: comments by superintendent/senior superintendent

Block 7: comments by other supervisory officer(s)

Blocks 0 and 1 are meant to record the identification particulars of the selected urban FSU. Blocks 2, 5, 6 and 7 are for reporting particulars of field operations, remarks by the investigator/senior investigator, comments by superintendent/senior superintendent and

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comments by other supervisory officer(s). In Blocks 3 and 4, data are to be recorded for each slum inside the selected FSU.

5.0.3.1 Some general features about the slum will be recorded in Block 3. Information relating to the area where the slum is located, condition of the road / lane / constructed path within and surrounding the slum, and basic amenities like electricity, drinking water, sewerage, drainage, garbage disposal, etc. will be collected in this block. In Block 4, information will be collected on improvement/change, if any, in the condition of some amenities of the slum during the last 5 years.

5.0.4 Sample Type (Central/ State)

5.0.4.0 At the top right corner of the first page of Schedule 0.21, a box for indicating the type of sample (Central / State) to which the FSU belongs is given. A tick mark (√) will be put against the appropriate item in the box.

5.0.5 Block 0: Descriptive identification of sample FSU (Urban)

5.0.5.0 This block has been designed to record the descriptive identification of the sample FSU. There are 5 items in the block. The items are self-explanatory.

5.1 Block 1: Identification of sample FSU (Urban)

5.1.0 Block 1 has 13 items. Most of the items of this block are coded. The code lists are provided either with the items or at the bottom of the block.

5.1.1 **Items 1 to 12:** These items will be copied from Block 1 of Schedule 0.0 except for items 2, 3 and 5, which are already printed in the schedule.

5.1.2 **Item 13: no. of slums in the FSU (Urban):** The total number of slums, notified and non-notified, found in the sample FSU will be recorded against this item.

5.2 Block 2: Particulars of field operations

5.2.0 The items in this block are self-explanatory. While making entries against item 4 of this block, care is to be taken to record the actual time taken in canvassing the schedule in whole number of minutes (**not** hours). This will not include the time taken by the investigator to finalise the schedule. Dates of survey/inspection, etc. should be recorded in six digits – 2 digits each for day, month and year, in that order.

5.2.1 **Item 5: whether schedule contains remarks?remarks/comments are recorded (yes-1, no-2):** In blocks 5, 6 and 7, remarks of (i) investigator/ senior investigator, (ii) superintendent / senior superintendent and (iii) other supervisory officer are to be recorded when some difficulty is encountered in collection of data or if some of the items of information seem doubtful in nature or are unusual and require explanation. Besides the remarks blocks, remarks are sometimes also recorded in the available blank spaces in the schedules. ~~These remarks may help to make proper assessment of the entries made in the schedule.~~ Entry will be 1 in column 3/4/5 of item 5 if relevant remarks are recorded, else entry will be 2. If remarks have been recorded in block 5, entry will be 1 against column 3, otherwise entry will be 2. Similarly, entry will be 1 in column 4, if remarks are made in ~~block blocks 6/ or~~ 7. If remarks are recorded elsewhere in the schedule, entry will be 1 in column 5; else entry in column 5 will be 2.

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5.3 Block 3: Particulars about the slum

5.3.0 Some broad information about the slum(s) falling within the entire selected UFS block will be recorded in this block. Provision has been made in Block 3 to collect information on up to five different slums. One column is to be filled in for each slum of an FSU. If there are more than five slums in an FSU, additional sheets of Block 3 are to be used. The information is to be collected by interviewing one or more knowledgeable persons. Information for most of the items is to be recorded in code. If more than one code is applicable for any particular item, then the code which applies to the major part of the slum will be recorded.

5.3.1 **Item 1: serial number of the slum in the block:** The serial number of the slum for which information is being collected in items 2 to 26 is to be recorded. The serial number (up to five slums in a sample FSU) is printed in the schedule. **Only a tick (✓) mark to be given against the corresponding serial number.** Each column corresponding to a serial number is meant for recording the particulars of one slum. *If there is more than one slum, the investigator may list the slums in any order. However, same order should be followed in both Block 3 and Block 4.*

5.3.2 **Item 2: approximate number of households in the slum:** The number of households residing in the slum as ascertained from local enquiry will be recorded in this item. For definition of household, please refer to Chapter One.

5.3.3 **Item 3: approximate area of the slum:** The approximate area in hectares of the slum will be ascertained by the investigator and recorded against this item in code. The class intervals are in hectares. The codes are:

Class interval in hectare:

less than 0.05	1
0.05 to 1.00	2
1.00 to 2.00	3
2.00 to 3.00	4
3.00 to 4.00	5
4.00 to 6.00	6
6.00 to 8.00	7
8.00 or more	8

(1 acre \approx 0.4047 hectare and 0.01 hectare = 100 sq. metre)

5.3.4 **Item 4: is the slum a notified one?** Whether the slum is a notified one or not will have to be ascertained from the local municipality or other appropriate authorities. Code 1 is to be recorded if the slum is notified; else code 2 will be recorded.

5.3.5 **Item 5: if code 1 in item 4, year of notification:** If the slum is a notified one, the year of notification by the appropriate government agency, viz., municipality or any other appropriate authority, will be recorded against this item. All the four digits of the year are to be reported in the cell provided in this column. *If the year of notification is not known, it will be ascertained from the said government agency.*

5.3.6 **Item 6: ownership of the land where slum is located:** The ownership of the land under the slum will be recorded against this item in code. If there is more than one owner, the code that applies to the greater part of the area of the slum will be recorded. The codes are:

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private.....	1
public: railway.....	2
local bodies...	3
others.....	9
not known.....	4

'Public: others' will include all other public-owned lands such as defence, airport, highways, etc. If different agencies own equal areas of the land under the slum, then the code will relate to the land where the majority of the households of the slum live.

5.3.7 Item 7: type of area surrounding the slum: The area type of the area surrounding the slum will be recorded in code, the codes being:

residential	1
industrial	2
commercial	3
slum(s).....	4
others	9

'Area surrounding the slum' refers to the area adjoining the major part of the border of the slum. Code 1 is meant for residential area not belonging to any slum, whereas code 4 is for slum area only.

5.3.8 Item 8: location of slum: The location of the slum refers to the part of the town in which the slum is situated. Fringe area is the border of the town. The codes to be used for this purpose are:

fringe area – 1, other area – 2.

5.3.9 Item 9: physical location of the slum: Physical location of the slum refers to the place where the slum is located. The codes are:

along <i>nallah</i> /drain ...	1
along railway line ...	2
river bank	3
river bed	4
others	9

5.3.10 Item 10: does the slum usually remain waterlogged during monsoon? Code 1 is to be recorded if the slum usually remains waterlogged during the monsoon and code 2, otherwise.

5.3.11 Item 11: does the approach road / lane / constructed path usually remain waterlogged in monsoon? Code 1 is to be recorded if the approach road/lane/constructed path to slum usually remains waterlogged for some days during monsoon and code 2, otherwise. Constructed path mentioned in items 11, 14 and 15 includes other path also.

5.3.12 Item 12: whether the slum has electricity: The information in appropriate codes is to be entered in this column. The codes are:

yes:	for street lights only.....	1
	for household use only.....	2
	for street lights and household use.....	3
no.....		4

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The slum will be regarded as having electricity for “street lights” even if street lights are there only on the boundary of the slum and even if lights are provided only at two or three important positions instead of along the streets of the slum.

5.3.13 **Item 13: type of structure of the majority of houses:** The information is to be recorded in terms of codes. The codes are:

pucca.....	1
semi-pucca.....	2
serviceable katcha.....	3
unserviceable katcha...	4
no structure.....	5

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The definition of each type of structure is given in Chapter One.

5.3.14 **Item 14: type of road / lane / constructed path within the slum:** The information will relate to the road used by the slum dwellers as main thoroughfare. For a pucca road, code 1 will be recorded and for a katcha road code 2 will be recorded.

A road made of pucca materials like asphalt, cement, concrete, burnt bricks / tiles, stones, slabs, etc. will be treated as a pucca road. If a road is not made of pucca material, it is a katcha road.

If there is more than one road, the one used by most of the households will be considered. If some part of the road used is pucca and the remaining is katcha, then the type of road will be determined by considering the distance covered by each kind of road.

5.3.15 **Item 15: approach road / lane / constructed path to the slum:** The approach road will mean the main road leading to the slum area. If there is more than one approach road, the one which is used by the majority of the slum dwellers is to be considered. The construction type of the approach road or lane or constructed path for entrance to the slum area will be recorded in code. A motorable road is one which is wide enough for a motor car to pass through. The codes are:

motorable: pucca.....	1
katcha.....	2
non- motorable: pucca.....	3
katcha.....	4

5.3.16 **Item 16: for code 3 or code 4 in item 15, distance from the nearest motorable road:** This item will be filled if the approach road/lane/constructed path to the slum is non-motorable, that is, if entry in item 15 is 3 or 4. The distance from the nearest motorable road is to be recorded in code. The codes are:

less than 0.5 km ...	1
0.5 to 1 km	2
1 to 2 km	3
2 to 5 km	4
5 km & above	5

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5.3.17 **Item 17: major source of drinking water:** Information about the major source of drinking water available to the slum dwellers will be ascertained and recorded in code. The relevant codes are:

tap	1
tube well / hand pump	2
well	3
others	9

If an arrangement is made by corporation, municipality or other local authorities or any private or public housing estate or agency to supply water through pipe then code 1 will be given. *In case of two or more sources, the major source is the one which is used by the majority of households.*

5.3.18 **Item 18: latrine facility used by most of the residents:** The latrine facility used by most of the slum dwellers is to be noted in code against this item. The codes are:

public / community latrine:	service.....	01
	pit.....	02
	septic tank/ flush...	03
shared latrine:	service.....	04
	pit.....	05
	septic tank/ flush...	06
own latrine:	service.....	07
	pit.....	08
	septic tank/ flush...	10
other latrine.....		99
no latrine facility.....		11

In a few areas one may still come across latrines that are serviced by scavengers. These are called service latrines. A latrine connected to underground sewerage system is called flush system latrine. A latrine connected to underground septic chambers will be considered as a septic tank latrine. A latrine connected to a pit dug in the earth is a pit latrine.

5.3.19 **Item 19: does the slum have underground sewerage system?** An underground sewerage system contains underground pipes or conduits for carrying off drainage water, waste matter, discharge from water closets, etc. Code 1 is to be given if there is an underground sewerage system and code 2 otherwise.

5.3.20 **Item 20: type of drainage system:** A system, if any exists, for carrying off wastewater and liquid wastes of the area will be called a drainage system. Drainage could involve natural or artificial removal of surface and sub-surface water from a given area. However, if water flows down by its own weight under gravity, in an unregulated manner, then it will be a case of 'no drainage'. The type of drainage system existing in the slum area is to be entered in code against this item. The relevant codes are:

underground.....	1
covered pucca.....	2
open pucca.....	3
open katcha.....	4
no drainage system...	5

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5.3.21 Item 21: garbage disposal for the slum: In the urban areas, some arrangements usually exist to carry away the refuse and waste of households to some dumping place away from the residential areas. In some places, the public bodies collect the garbage from the premises of the household or from some fixed points in the locality where the residents put their garbage. In some places, a body of residents themselves make arrangements for carrying the garbage to the dumping place away from residential areas without participation of any public body till the final disposal. Information on the arrangement prevailing for the colony/locality of the slum will be obtained and entered in code. The codes are:

arrangement by: municipality / corporation.....	1
resident(s).....	2
others.....	9
no arrangement.....	3

5.3.22 Item 22: frequency of collection: The frequency of garbage disposal will be recorded in code. Disposal of garbage may be arranged by municipality / corporation, residents, etc. In case there is no arrangement for disposal of garbage, code 9 (i.e., the code for others) may be given against 'frequency of collection'. ~~[Another option may be to keep the cell blank or put a dash '-'.]~~ The codes are:

daily	1
once in two days	2
once in 3 to 7 days	3
once in 8 to 15 days	4
others	9

5.3.23 Items 23 & 24: distance from nearest government primary school & distance from nearest government hospital / health centre etc.: The distance from the nearest government school having primary classes and nearest government hospital / health centre will be recorded respectively in columns 23 and 24 in terms of codes. Distance from the nearest facility will be considered if the facility is available to the slum dwellers. The distance will be considered from the centre of the slum. The codes to be used are:

less than 0.5 km	1
0.5 to 1 km	2
1 to 2 km	3
2 to 5 km	4
5 km or more	5

If the facility is available within the slum, code 1 will be given.

5.3.24 Items 25: do the slum dwellers have an association for improving the condition of the slum?: It is to be enquired whether there is an association of the slum dwellers for improving the condition of the slum. If the slum dwellers have any such association, code 1 will be recorded, otherwise code 2 will be recorded.

5.3.25 Item 26: informant code: The information in Blocks 3 and 4 is to be collected from one or more knowledgeable person(s) from the slum(s). The source of such information for each slum collected in Blocks 3 and 4 is to be reported in this item. The codes are:

knowledgeable person from the slum: male.....	1
female.....	2
knowledgeable person from outside the slum:.....	9

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5.4 Block 4: Change in the condition of the slum during the last 5 years

5.4.1 In this block, provision has been made to record information for three slums. If there are more than three slums in the FSU, additional sheets for this block may be used and attached to the schedule. Compared to the earlier round, two additional items regarding information on any improvement /change in the condition during last five years with respect to a) “educational facility at primary level” and b) medical facility have been included. Improvement in educational facility at primary level includes setting up a primary school closer to the slum, increase in number of teachers or seats for students, etc. The improvement in medical facility includes setting up a hospital or, health centre, etc. (regardless of whether it is private, private or public), or, health centre, etc. *If the slum came up less than five years before the date of survey then the change over the period since the inception of the slum will be considered for filling this block.*

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5.4.2 **Column (3) / (5) / (7): condition:** ~~From the informant~~ *If some facilities existed earlier,* it is to be ascertained from the informant whether there has been any improvement, deterioration, or no change in the condition of the slum during the last 5 years. Such facilities could be in regard with respect to roads (approach ~~and as well as~~ those inside the slum), water supply, street light, electricity, latrine facility, sewerage, drainage system, garbage disposal, ~~and~~ educational facility at primary level and medical facility. ~~—~~The relevant information will be recorded in codes under cols. (3) / (5) / (7). The codes to be used are:

improvement	1
no change	2
deterioration	3
neither existed earlier nor existing now	4

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If some facilities did not exist 5 years earlier but came into existence since then, code ‘1’ will be recorded. If some facility ~~was~~ ~~was not~~ neither available 5 years before nor is available presently, code 4 will be recorded. ~~In that situation,~~ ~~However,~~ If a facility is not available legally to the slum residents but is enjoyed by ~~most~~ some of the households illegally, such as electricity obtained (where electricity facility has not reached the slum area) through illegal tapping, such a facility will not be considered ‘facility available’ and here also code ‘4’ is to be recorded.

5.4.3 **Column (4) / (6) / (8): source of improvement:** These columns will be filled in if there has been some improvement in the condition of the slum in regard to the items given in column 2, i.e. if code 1 is recorded under col. (3) / (5) / (7). In respect of each item, if any improvement has taken place during last 5 years, then the organisation/agency by which this improvement has been brought about will be ascertained and recorded in code. The codes to be used for cols. (4) / (6) / (8) for each one of the slums are:

Government	1
non-governmental organization	2
residents	3
others	9

If more than one source is considered to be responsible for the improvement, the source whose contribution is greatest will be identified and the code will be given accordingly.

5.5 **Block 5: Remarks by investigator/senior investigator:** Any relevant remarks relating to the problems encountered in collecting the data will be recorded in this block by the

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investigator/senior investigator. If the investigator/senior investigator feels that certain information given by the informant is of doubtful nature, it may also be indicated with comments, if any. Any other comment, which may help to make proper assessment of the entries made in the schedule, may also be recorded here.

5.6 Block 6: Comments by superintendent/senior superintendent: This block will be used by superintendent/senior superintendent to record their comments and suggestions. They should particularly highlight the unusual entries or inconsistent data, if any, recorded in the schedule, giving possible reason for such entries.

5.7 Block 7: Comments by other supervisory officer(s): This block is meant for recording the views of other supervisory officer(s) on any aspect relating to the slum survey.

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