

## Chapter Four

### Schedule 0.21: Particulars of Slums

4.0.0 **Background:** The first nationwide survey on the ‘economic condition of slum dwellers in urban cities’ was conducted by the NSSO in its 31<sup>st</sup> 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 49<sup>th</sup> round (January-June 1993), and covered rural as well as urban areas. After a gap of nearly ten years, the third survey was conducted in the 58<sup>th</sup> round (July-December 2002), covering only the urban slums. The last survey on slums, which, too, covered only urban areas, was carried out in the 65<sup>th</sup> round (July 2008 - June 2009). In the present round also, the survey is restricted to urban slums only.

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

4.0.2 **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, is considered a slum by the survey, provided at least 20 households live there. If such a settlement is not notified as a slum, it will be called a “non-notified slum”.<sup>1</sup>

4.0.3 **Slums:** The word “slum” will refer to *both notified slums and non-notified slums*.

4.0.4 **Both notified slums and non-notified slums will be covered by the survey.** Notified slums will be identified with the help of knowledgeable persons and, if necessary, by obtaining a list of notified slums from the concerned municipalities, corporations, local bodies or development authorities. Non-notified slums will be identified by the investigator with the help of knowledgeable persons by applying the definition given in paragraph 5.0.2.

4.0.5 The slum survey of the 69<sup>th</sup> round is a sample survey where the sampling units are urban blocks. *There is no second stage of sampling. In case of each sample UFS block, any slum lying wholly or partly within the urban block is eligible for survey and has to be covered.*<sup>2</sup> Thus there may be sample blocks where no slum is eligible for survey, sample blocks where exactly one slum is eligible for survey, and sample blocks where more than one slum is eligible for survey.

4.0.6 The schedule of enquiry, named Schedule 0.21 as in earlier slum surveys, is not a household schedule. A single schedule is to be filled in for each urban block selected for survey. However, no schedule needs to be attached if there is no slum eligible for survey. If more than one slum is found eligible (see above paragraph) for survey “in” the sample block (wholly or partly inside the sample block), particulars of each such slum are to be recorded separately in the same schedule. Separate columns are provided for recording information on different slums.

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<sup>1</sup> Note that while a non-notified slum must consist of at least 20 households, no such restriction is imposed in case of notified slums.

<sup>2</sup> This will be done irrespective of sub-block formation (see Chapter One).

4.0.7 When the slum lies only partly within the block, all the slum particulars recorded should relate<sup>3</sup> to only that part of the slum which falls in the sample UFS block. *Such cases of 'part-slums' are to be surveyed even if the approximate number of households in the part-slum (i.e., the part of the slum within the sample UFS block) is less than 20.*<sup>4</sup> The **whole slum**, of course, must have at least 20 households if it is a non-notified slum.

4.0.8 The schedule 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 information is to be obtained from persons judged by the investigator to be knowledgeable about the slum(s).

4.0.9 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.

#### 4.1 Structure of the schedule

4.1.0 Schedule 0.21 consists of the following nine blocks.

Block 0: descriptive identification of sample UFS block

Block 1: identification of sample UFS block

Block 2: some salient features of the slum(s) lying wholly or partly within the sample UFS block

Block 3: characteristics of slum(s) lying wholly or partly within the sample UFS block

Block 4: change during the last 5 years in condition of the slum(s) lying wholly or partly within the sample UFS block

Block 5: particulars of field operations

Block 6: remarks by investigator/ senior investigator

Block 7: comments by superintendent/ senior superintendent

Block 8: comments by other supervisory officer(s)

4.1.1 In Block 2, information will be recorded on some salient features of the slums. Detailed information on the slum will be recorded in Block 3, in code. Information relating to basic amenities like electricity, drinking water, sewerage, drainage, garbage disposal, etc. available to the slum dwellers will be recorded in this block. In Block 4, information will be recorded on improvement/change, if any, in the condition of some amenities of the slum during the last 5 years.

4.1.2 The urban block for which Schedule 0.21 is filled up may be canvassed as part of the Central sample or as part of the State sample. A tick mark (✓) will be put against the appropriate box at the top right corner of the first page of Schedule 0.21 to indicate whether the block is being canvassed as part of the Central sample or State sample.

<sup>3</sup> unless stated otherwise against the relevant item in Sch.0.21

<sup>4</sup> This differs from the procedure followed in the previous round, where a part-slum qualified for survey only if it contained 20 or more households.

## **Block 0: Descriptive identification of sample UFS block**

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

## **Block 1: Identification of sample UFS block**

4.3.0 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.

4.3.1 **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.

4.3.2 **Item 13: no. of slum(s) wholly or partly within the sample UFS block:** The total number of slums, notified and non-notified, lying partly or wholly in the sample UFS block will be recorded against this item.

## **Block 2: Some salient features of the slum(s) lying wholly or partly within the sample UFS block**

4.4.0 This block will record information on some important features of each slum, including the following: whether the slum is notified or non-notified, the size of the slum in terms of area and number of households, and the total number of UFS blocks that the slum cuts across. The information is to be collected by interviewing one or more knowledgeable persons.

4.4.1 **Item 1: serial number of the slum in the block:** Provision has been made for collection of information on up to five different slums. One column is to be filled in for each slum of an FSU. Against item 1, serial numbers 1, 2, 3, 4 and 5 are printed in the schedule for slums. If there is only one slum eligible for survey, a tick mark is to be put against serial number 1. If there are two slums eligible for survey, tick marks are to be put against serial numbers 1 and 2, and so on. *If there is more than one slum, the investigator may number the slums according to his choice. However, the same numbering should be followed in Block 2, Block 3 and Block 4.* If there are more than five slums in the sample UFS block, additional sheets of Block 2 are to be used.

4.4.2 **Item 2: 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.

4.4.3 **Item 3: if code 1 in item 2, 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.*

4.4.4 **Item 4: total number of UFS blocks intersecting the slum:** If the slum lies wholly within the sample UFS block, the entry will be 1. If the slum does not lie wholly within the boundaries of the sample UFS block, the entry will be greater than 1.

4.4.4.1 If the slum lies partly within the sample UFS block and partly within one other UFS block, the entry in item 4 will be 2 (=1+1). If the slum lies partly within the sample UFS block and partly within two other UFS blocks, the entry in item 4 will be 3 (=1+2), and so on.

4.4.5 **Item 5: approximate number of households in the slum (within sample UFS block):** The number of households residing in the part of the slum lying within the boundaries of the sample UFS block, as ascertained from local enquiry, will be recorded against this item. For definition of household, please refer to Chapter One.

4.4.6 **Item 6: approximate number of households in the WHOLE SLUM:** If the slum lies wholly within the sample UFS block, the entry here will be the same as the entry in item 5. But if the slum extends beyond the boundaries of the sample UFS block, the approximate number of households in the whole slum will be greater than the approximate number of households in the part lying within the sample block. In such a situation, the approximate number of households in the whole slum will have to be ascertained by the investigator from knowledgeable persons after making a judgement as to how far the slum extends outside the sample block. *This item is to be canvassed for all slums – both notified and non-notified.*

4.4.7 **Item 7: approximate area of the slum (within sample UFS block):** The approximate area in hectares of the slum lying within the boundaries of the sample UFS block 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 hectares:

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)

4.4.8 **Item 8: approximate area of the WHOLE SLUM:** If the slum lies wholly within the sample UFS block, the entry here will be the same as the entry in item 7. But if the slum extends beyond the boundaries of the sample UFS block, the approximate area of the whole slum will be greater than the approximate area of the part lying within the sample block. In such a situation, the approximate area of the whole slum will have to be ascertained by the investigator from knowledgeable persons after making a judgement on how far the slum extends outside the sample block. *This item is to be canvassed for all slums – both notified and non-notified.*

### **Block 3: Characteristics of slum(s) lying wholly or partly within the sample UFS block**

4.5.0 Detailed information about each slum eligible for survey will be recorded in this block. One column is to be filled in for each slum lying wholly or partly within the sample UFS block. Provision has been made for collection of information on up to five different slums. If there are more than five eligible slums, 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 (within the boundaries of the sample UFS block) will be entered.*

**4.5.1 Item 1: serial number of the slum in the block:** Each column is meant for recording the particulars of one slum. Against item 1, serial numbers 1, 2, 3, 4 and 5 are printed in the schedule for slums (up to five slums in a sample FSU). The numbering of slums should be the same as the numbering adopted in Block 2.

**4.5.2 Item 2: 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:

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.

**4.5.3 Item 3: type of area surrounding the slum:** For the type of area surrounding the slum, the codes are:

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

**4.5.3.1** ‘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.

**4.5.4 Item 4: 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.

**4.5.5 Item 5: physical location of the slum:** Physical location of the slum refers to the place where the slum is located. The codes are:

along nallah/drain .....	1
along railway line .....	2
river bank/river bed .....	3
hilly terrain/slope.....	4
park/open space.....	5
others .....	9

**4.5.6 Item 6: does the slum usually remain waterlogged due to rainfall?** Code 1 is to be recorded if the slum usually remains waterlogged due to rainfall and code 2, otherwise.

**4.5.7 Item 7: does the approach road / lane / constructed path usually remain waterlogged due to rainfall?** Code 1 is to be recorded if the approach road/lane/constructed path to slum usually remains waterlogged for some days due to rainfall and code 2, otherwise. Constructed path mentioned in items 7, 10 and 11 includes other path also.

**4.5.8 Item 8: whether the slum has electricity:** Here it is to be ascertained whether the slum has electricity for street lights/ household use/ both. Electricity available for any purpose other than these two purposes will not be considered for making entries against this item. The codes are:

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

4.5.8.1 Even if electricity is not available legally to the slum residents but is enjoyed by a majority of the households through illegal tapping, the slum will still be considered to have electricity.

4.5.8.2 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.

**4.5.9 Item 9: type of structure of the majority of houses:** The codes are:

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

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

**4.5.10 Item 10: 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.

4.5.10.1 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.

4.5.10.2 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.

**4.5.11 Item 11: 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. If the slum is reported to have no approach road or constructed path, the path or route used by the majority of the slum dwellers to approach the slum 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

**4.5.12 Item 12: for code 3 or code 4 in item 11, 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 11 is 3 or 4. The distance from the nearest motorable road is to be recorded in code. The distance will be considered from the centre of the slum. 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

A ‘-’ is to be entered against item 12 If entry in item 11 is 1 or 2.

**4.5.13 Item 13: 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/ borehole .....	2
protected well .....	3
unprotected well .....	4
others .....	9

4.5.13.1 Descriptions of the different sources of drinking water are given below:

(i) *Tap:* If drinking water is obtained as the result of an arrangement made by corporation, municipality or other local authorities or any private or public agency to supply water through pipe, then the source of drinking water is considered to be *tap*. It may be noted that water is sometimes collected by people from a public water point where water is supplied by pipe. Such water points, called public tap or standpipe, can have one or more taps and are typically made of brickwork, masonry or concrete. The source of drinking water for these cases also will be *tap*.

(ii) *Tube well/borehole:* *Tube well* or *borehole* is a deep hole that has been driven, bored or drilled, with the purpose of reaching groundwater supplies. Boreholes/tube wells are constructed with casing, or pipes, which prevent the small diameter hole from caving in and protect the water source from infiltration by run-off water. Water is delivered from a tube well or borehole through a pump, which may be powered by human, animal, wind, electric, diesel or solar means. A borehole/tube well is usually protected by a platform around it, which leads spilled water away from the borehole and prevents infiltration of run-off water at the well head.

(iii) *Protected well/unprotected well:* A well is considered as protected if it has generally the following protective measures to lower the risk of contamination:

- 1) A headwall around the well with a properly fitting cover
- 2) A concrete drainage platform around the well with a drainage channel
- 3) A handpump or bucket with windlass.

If instead of hand pump or bucket with windlass, electric pump is used to pump water from such wells, where the conditions (1) and (2) exist, it will still be considered as *protected well*.

A well is classified as *unprotected* if either (i) the well is not protected from runoff water, or (ii) the well is not protected from bird droppings and animals.

(iv) *Others* (tanker-truck, cart with small tank or drum, etc.): This includes cases where water is carried by truck to a locality and supplied from tanker, and cases where water is supplied in small tank or drum to a locality by donkey carts, motorized vehicles and other means.

4.5.13.2 In case of two or more sources, the major source is the one which is used by the majority of households.

4.5.14 **Item 14: 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:

<u>public/community latrine (without payment):</u>	dry pit .....01
	flush/ pour-flush ...02
	others ..... 03
<u>public/community latrine (with payment):</u>	dry pit .....04
	flush/ pour-flush ....05
	others .....06
<u>shared latrine:</u>	dry pit .....07
	flush/ pour-flush ....08
	others .....10
<u>own latrine:</u>	dry pit .....11
	flush/ pour-flush ....12
	others .....13
<u>no latrine facility</u>	..... 14

4.5.14.1 A latrine will be considered as *public/ community latrine* if it is available for use of the households in the locality or for a specific section of the people. If a latrine is for use of residents of some (more than one) households it will be considered as *shared latrine*. If a latrine is for exclusive use of residents of only one household then it is known as *own latrine*. Further, within each of these 4 categories, the broad types of latrine are: dry pit, flush/pour flush and others.

4.5.14.2 For the purpose of collecting information on this item, it may be noted that there are two broad types of latrine, wet and dry, differentiated depending on use of water to divert human excreta. In wet latrines water is used to divert human excreta and dry latrines use very limited or no water for flushing out human excreta. Moreover, there are latrines like incinerating latrines which burn the human excreta, chemical latrines which are used in a

variety of situations as in passenger trains and airplanes, hanging latrines, which deposit waste directly into open waterways, and bucket latrines, in which human excreta are collected in a bucket placed underneath a latrine hole.

4.5.14.3 Descriptions of the broad types of latrine referred to above are as follows:

(i) *Pit latrine*: This could be (a) *Ventilated improved pit latrine* (b) *Pit latrine with slab* and (c) *Pit latrine without slab/ open pit*. Detailed descriptions of each of these are as follows:

(a) *Ventilated improved pit latrine*: This is a dry pit latrine ventilated by a pipe that extends above the latrine roof. The open end of the vent pipe is covered with gauze mesh or fly-proof netting and the inside of the superstructure is kept dark.

(b) *Pit latrine with slab*: This is a dry pit latrine that uses a hole in the ground to collect the excreta and a squatting slab or platform that is firmly supported on all sides, easy to clean and raised above the surrounding ground level to prevent surface water from entering the pit. The platform has a squatting hole, or is fitted with a seat. Unlike ventilated pit latrine, in this type of latrine vent pipe is not used.

(c) *Pit latrine without slab/open pit*: Pit latrine without slab uses a hole in the ground for excreta collection and does not have a squatting slab, platform or seat.

(ii) *Flush/pour-flush*: *Flush* latrine uses a cistern or holding tank for flushing water, and a water seal (which is a U-shaped pipe below the seat or squatting pan) that prevents the passage of flies and odours. A *pour flush* latrine uses a water seal, but unlike a flush latrine, it uses water poured by hand for flushing (no cistern is used). Depending on the system/site to which human excreta and wastewater are carried off, flush/ pour-flush latrine can be of the following types: (i) piped sewer system, (ii) septic tank, (iii) pit latrine, (iv) elsewhere (open drain, open pit, open field, etc.). Different systems of *flush/ pour flush* latrine could be:

(a) *Piped sewer system*: Piped sewer system is a system of sewer pipes, also called sewerage, that is designed to collect human excreta and wastewater and remove them from the household environment. In this system *flush/ pour-flush* latrine used by a household is connected to a *piped sewer system*.

(b) *Septic tank*: Septic tank is an excreta collection device consisting of a watertight settling tank, which is normally located underground. The treated effluent of a septic tank usually seeps into the ground through a leaching pit. In this system, flush/ pour-flush latrine used by a household is connected to a *septic tank*.

(c) *Flush/pour-flush to pit latrine*: In this case, human excreta are flushed or pour-flushed to a hole in the ground or leaching pit which is covered.

(d) *Flush/pour-flush to elsewhere (open drain, open pit, open field, etc)*: In this case, excreta is disposed of near the household environment (not into a pit, septic tank, or sewer). Excreta may be flushed to the open drain, open pit, open field, etc.

(iii) *Others*: If a latrine is other than the types/ systems of latrine discussed above then it will be recorded under *Others*. Examples of such latrine are (i) hanging latrine, which is

built over the sea, a river, or other body of water, into which excreta drops directly and (ii) service latrine, which is serviced by scavengers. Further, a *composting toilet*, which is a dry toilet into which carbon-rich material (vegetable wastes, straw, grass, sawdust, ash) is added to the excreta and special conditions maintained to produce inoffensive compost, will also be recorded under *Others*.

**4.5.15 Item 15: 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.

**4.5.16 Item 16: type of drainage system:** A system, if any exists, for carrying off waste water 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

**4.5.17 Item 17: 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

**4.5.18 Item 18: frequency of collection:** If the entry against item 17 is 3 (no arrangement for garbage disposal), a dash (-) is to be entered against item 18. Otherwise, the frequency of garbage disposal will be recorded in code against item 18. 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'. 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

**4.5.19 Items 19 & 20: 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 19 and 20 in code. 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.

**4.5.20 Item 21: 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.

**4.5.21 Item 22: whether the slum has benefited from JNNURM/RAY/any other slum improvement scheme:** It is to be enquired whether the slum has benefited from any welfare scheme like Jawaharlal Nehru National Urban Renewal Mission (JNNURM), Rajiv Awas Yojana (RAY) or any other scheme runs by the Central Government or State Government or any local body. If the slum is reported to have benefited by one of these welfare schemes, code 1 will be recorded, otherwise code 2 will be recorded.

**4.5.22 Item 23: 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 against this item. The codes are:

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

#### **Block 4: Change during the last 5 years in the condition of the slum(s) lying wholly or partly within the sample UFS block**

4.6.0 Provision has been made for collection of information on up to five different slums. If there are more than five eligible slums, additional sheets of Block 4 are to be used. Serial numbers 1, 2, 3, 4 and 5 are printed in the schedule for slums (up to five slums in a sample FSU). The numbering of slums should be the same as the numbering adopted in Blocks 2 and 3. The information is to be collected by interviewing one or more knowledgeable persons.

4.6.1 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. Improvement in medical facility includes setting up a hospital, health centre, etc. regardless of whether it is private or public. 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.

4.6.2 **Column (3)/(5)/(7)/(9)/(11): change in condition:** If some facilities existed earlier, it is to be ascertained from the informant whether there has been improvement, deterioration or

no change in the condition of the slum during the last 5 years. The facilities include roads (approach as well as those inside the slum), water supply, street light, electricity, latrine facility, sewerage, drainage system, garbage disposal, educational facility at primary level and medical facility. The relevant information will be recorded in code in column (3)/(5)/(7)/(9)/(11). The codes to be used are:

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

4.6.3 If some facilities did not exist 5 years earlier but came into existence since then, code '1' will be recorded. If some facility was neither available 5 years before nor is available presently, code 4 will be recorded. If a facility is not available legally to the slum residents but is enjoyed by some of the households illegally, such as electricity obtained through illegal tapping, such a facility will not be considered 'facility available' and here too code '4' is to be recorded.

4.6.4 **Column (4)/(6)/(8)/(10)/(12): 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 in cols. (3)/(5)/(7)/(9)/(11). In respect of each item, if any improvement has taken place during last 5 years, then the organisation/agency that has brought about this improvement will be ascertained and recorded in code. The codes to be used for cols. (4)/(6)/(8)/(10)/(12) are:

Government	1
non-governmental organization	2
residents	3
others	9

4.6.5 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.

## Block 5: Particulars of field operations

4.7.0 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 commencement of survey/inspection, etc. should be recorded in six digits – 2 digits each for day, month and year, in that order.

4.7.1 **Item 6: whether any remark has been entered by FT/ASO/SO (yes-1, no-2):** In Blocks 6, 7 and 8, 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. If remarks have been recorded in Block 6/7/8, entry against item 6(i) will be 1 against column 3 and column 4, otherwise entry will be 2. If remarks are recorded elsewhere in the schedule, entry against item 6(ii) will be 1 in column 3 and column 4; else entry will be 2.

**Block 6: Remarks by investigator/ senior investigator**

4.8.0 Any relevant remarks relating to the problems encountered in collecting the data will be recorded in this block by the 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.

**Block 7: Comments by superintendent/ senior superintendent**

4.9.0 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.

**Block 8: Comments by other supervisory officer(s)**

4.10.0 This block is meant for recording the views of other supervisory officer(s) on any aspect relating to the slum survey.

### Frequently asked questions and their replies

sl. no.	block	item	question	reply
(1)	(2)	(3)	(4)	(5)
1.	General		Suppose there are two slums, both of which fall partly within the sample block. Only 12 households of one slum and 15 households of the other slum fall within the sample block. Are these to be canvassed together as one slum?	No, these are to be canvassed as two separate slums.
2.	General		Suppose none of the areas of a sample block looks like a slum. Will the enquiry of 'notified slum or not' be made?	The list of notified slums is to be obtained from the concerned authorities.
3.	General		If there is no slum in the selected FSU, whether this schedule is to be attached with identification particulars?	No schedule is to be attached if no slum is eligible for survey in respect of the sample block.
4.	General		A notified slum appears like a developed area with no slum-like appearance. Should it be considered as a slum for our survey? The slum has been developed with the help of an NGO during last 3 years.	As it is a notified slum, it will be considered as a slum for the purpose of the survey. Particulars of its improvement will be recorded in block 4.
5.	General		If sub-stratum code is 1 and there is no slum in it, will the schedule be filled up or not?	No schedule will be filled up. [Such cases may be brought to the notice of FOD (HQ).]
6.	General		What is to be done if the portion of a slum which falls within the UFS boundary does not have certain facilities like drinking water, latrine, electricity, but the facilities are available in the slum as a whole?	Only the part of the slum which falls within the boundary of the UFS block will be considered for making entries.
7.	1	13	The sample block consists of a notified slum and another slum area surrounding it. How many slums are to be recorded against this item?	If the notified slum has grown over time into a larger settlement fulfilling the conditions of a slum, then the entire settlement is to be considered as a single slum.
8.	2	2, 3	Regarding year of notification, if no person in slum has any knowledge about whether slum is notified or not, then how to record entries against this item?	If no person has knowledge regarding notification of slum, then ward or office of municipality can be contacted to ascertain whether slum is notified and if so, the year of notification.

sl. no.	block	item	question	reply
(1)	(2)	(3)	(4)	(5)
9.	2	7, 8	If the slum area is very large, how will the area of the slum be determined?	All information should be collected from knowledgeable persons. If the knowledgeable persons are not aware of the area of the slum, help may be taken from municipal or local body authority.
10.	3	-	What is the reference period for this block – last 365 days or last 5 years?	As on date of survey.
11.	3	2	The slum is located on Jaipur Development Authority land and the slum is notified. What ownership code should be given?	Code 3 (local bodies) is to be recorded.
12.	3	2	If the slum area consists of public area as well as private area, what will be the entry against this item?	The entry should reflect the type of ownership of the major area of the slum.
13.	3	8	There is no electricity connection within a slum. But a local club is supplying electricity to some households in the slum by hooking and taking some payment in return. Is this to be considered as electricity connection in the slum?	Yes, it will be considered as having electricity provided it is available to the majority of the households in the slum/ part slum.
14.	3	8	Electricity generated through solar energy is available in the slum. Will it be considered here?	Yes, it will be considered as having electricity and proper code is to be entered.
15.	3	9	Majority of houses in a slum are made of tents. What will be the entry for recording structure of house for item 9 of Block 3?	Record code 3 (serviceable katcha) or code 4 (unserviceable katcha) depending on condition of tent (whether repairable or not).
16.	3	9	Is pucca structure also possible in a slum?	Yes, it is possible, particularly in notified slums.
17.	3	11	If the slum has no approach road or constructed path, what should be the appropriate code in item 11?	The code applicable for the path used by majority of slum dwellers to enter the slum should be recorded here.
18.	3	11	Suppose a particular slum can be approached only through <i>nullah</i> or water pipeline, what code should be reported in such case?	If no such approach road exists, code 4 may be given.

sl. no.	block	item	question	reply
(1)	(2)	(3)	(4)	(5)
19.	3	17	Though the municipality has provided a big dustbin, the slum dwellers are throwing their garbage in the adjoining <i>nullah</i> , since the dustbin is placed a bit far from the place of residence. In this situation what code should be given?	If the dustbin is in the vicinity of the slum, code 1 may be given; otherwise code 3.
20.	3	18	If the frequency of garbage collection is once in 16 days or more and there is code 1 or 2 or 9 in item 17, what code should be given against item 18?	In such a situation code for item 22 will be 9.
21.	3	18	What code will be recorded if disposal of garbage is done twice in a day?	Code 1 (daily).
22.	3	19	There is a school constructed inside the slum imparting primary level education up to Standard II, but the majority of children in the slum are going to a school located 1 km away from this slum. What code will be reported?	If the school constructed within the slum is a government school, code 1 will be given.
23.	3	19, 20	The distance code seems to be overlapping.	Follow the convention: lower limit is included and upper limit is excluded.
24.	4	-	If the improvement is done through MLA fund, what will be source of improvement code?	Code 1, i.e., Government.
25.	4	-	The improvement in the facility was done by the association formed by slum dwellers. Will the source of improvement be considered as “residents” or “NGO”?	Here it will be considered as “residents”.
26.	4	-	A facility was not there five years ago, was made available three years ago, but now as on the date of survey is found to have been withdrawn. What will be the change in condition code?	It should be considered as “no change”.
27.	4	5	During last five years, electricity pole has been erected but supply of electricity is yet to commence. Is this to be considered as improvement?	Yes.
28.	4	8	It is found that in a slum, the official	Yes, provided the drainage

sl. no.	block	item	question	reply
(1)	(2)	(3)	(4)	(5)
			authorities had built a drainage system, but the slum dwellers have found it useless and till date have not used it at all. Will it be treated as improvement?	system is usable.
29.	4	10	There is no improvement in the school at the primary level. No new building has been built. No addition in teachers or students at primary level during last five years. However, the school has been upgraded to middle level. Can this be regarded as improvement in educational facility at primary level?	No.
30.	4	10	There was no primary school existing in a slum 5 years ago. Presently construction of primary school is in progress and teaching has started for primary level up to 2 <sup>nd</sup> standard. Can it be considered as improvement?	It should be considered as improvement.