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A GENERIC SURVEY PROTOCOL
FOR THE HOUSING GUARANTY PROGRAM

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Project Director

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SECTION I: INTRODUCTION AND BACKGROUND

Lawrence Johnson & Associates, Inc. (LJA) has prepared a data collection manual for the Office of Housing, U.S. Agency for International Development.¹ The purpose of the manual is to provide guidance to Office of Housing officials, consultants, host country governments, and others involved with planning and evaluating shelter projects in developing countries. Specifically, the manual presents an overview of the Housing Guaranty (HG) program, identifies data needs for effective project planning and evaluation, and provides a discussion of issues and problems associated with the selection of approaches and strategies and the construction of instruments for use in field situations.

This report is intended as a complement to the data collection manual. It is designed to provide additional guidance for persons who will be involved with constructing survey instruments.

Presented below are a series of prototypic questions that can be used to collect data on the characteristics and shelter situation of a target population. These questions have been developed from the data categories and elements identified in the data collection manual and represent the minimum essential baseline information that should be sought in all HG shelter projects. As a guide for developing the format and constructing questions for survey instruments, the information is intended to provide optional methods of phrasing questions and to suggest alternate approaches

¹ Data Collection Manual for the Housing Guaranty Program, Lawrence Johnson and Associates, Inc., February, 1980.

to designing site-specific survey instruments. The user, while presented with many ideas to reflect upon when approaching the problem of data collection, still retains considerable flexibility in wording the questions and the ultimate responsibility for selecting formats and strategies and developing survey instruments that fit the needs and circumstances of the particular shelter project and host country. Hopefully, this will result in the collection of better quality data for planning and evaluating shelter projects, make better use of HG program funds, and lead to more successful shelter programs. Most effective treatment of the materials in this report will be achieved if they are used in conjunction with the data collection manual.

In developing a household questionnaire, several basic issues must be considered. The length of the questionnaire should not, under normal circumstances, exceed five pages. A reasonable amount of time, generally less than 30 minutes, should be allowed for administering the questionnaire. A mix of open-ended and closed questions and an organizational form that will facilitate the recording of responses and simplify the coding task should be included. Also, simple, non-ambiguous language should be used.

A review of survey instruments that have been used in previous HG program data collection efforts reveals that most of the questionnaires are extremely long, require a time frame for administration far in excess of thirty minutes, employ a disproportionate number of open-ended questions, and are presented in a format that requires a considerable amount of time for data coding. Only a few of the questionnaires are of reasonable length, contain a mix of open-ended and closed questions, and are set in a format that facilitates coding. Hopefully, careful consideration of the materials included in this report will result in the development of better survey instruments for use in the HG program.

The preparation of either open-ended or closed questions presupposes that responses will be grouped for analysis. In both situations, the development of meaningful categories must be based on specific rationales. In many cases, the individual responsible for developing response categories will have to acquire a clear understanding of the host country situation. This will reinforce the notion of flexibility in developing strategies, approaches, and actual survey instruments for use in the field. Some of these response categories could be drawn from tables in existing host country documents such as the national census. Many of the examples presented below were, in fact, derived from data tables found in shelter sector analyses (SSA's) and other HG program documents.

Different rationales may have to be applied to each specific situation. Response categories may vary among countries and among individual shelter projects within a particular country. What is rational, logical, and useful in one place may not work elsewhere. Income and employment categories, for example, may have to be tailored to the requirements of the specific project and the circumstances of the host country.

Response categories must not overlap if they are to eliminate ambiguity in analyzing the data. In the case of closed questions, the identification of categories is necessary for structuring and recording responses. For open-ended questions, the responses will be grouped into categories after the data have been collected.

The use of open-ended questions does not eliminate the need for a rationale. Responses must still be logically grouped into categories for analysis. Although open-ended questions are more easily constructed, the time needed or expended to develop categories and code responses once the questionnaire has been administered could surpass the amount of time that it

would have taken to prepare closed questions. By using closed questions, time will be saved in both recording and coding responses.

The methods of phrasing questions included in this report are presented as examples or options for guiding the preparation of survey instruments. They are intended as suggestions and need not be used in the same form or order in which they appear. Other formats and wordings are also possible. Design of a questionnaire for use in a particular host country should reflect the imagination, ingenuity, experiences, data needs, and anticipated uses of the information by the Office of Housing, consultants, host country governments, and others involved in the planning, implementation, and evaluation of shelter programs.

The data elements are grouped under seven broad topical headings and overlap with the information categories identified in the data collection manual:

- 1) respondent information;
- 2) household roster;
- 3) migration;
- 4) shelter affordability;
- 5) tenure status;
- 6) current shelter; and
- 7) attitudes, perceptions, and preference.

Representing the minimum essential information categories for all HG shelter project data collection efforts, the questions included under each heading are merely suggestive and are used to illustrate how one might develop questions for obtaining particular types of data. Each topic could be further expanded to meet the data requirements of a specific project. It is the user who must assume the responsibility for developing an instrument and a methodology that will meet his/her precise needs.

SECTION II: PROTOTYPIC QUESTIONS

- A. Respondent Information
 - Selection of the Principal Respondent
 - Age
 - Sex
- B. Household Roster
- C. Migration
 - Length of Residence at Present Location
 - Place of Birth
 - Place of Last Residence
 - Length of Time at Last Residence
 - Future Mobility
- D. Shelter Affordability
 - Employment of the Principal Respondent
 - Income of the Principal Respondent
 - Employment and Income of Other Household Members
 - Expenditures
 - Occupancy Status
 - Credit
 - Savings
- E. Tenure Status
- F. Current Shelter
 - Size
 - Materials
 - Infrastructure
 - Construction
- G. Attitudes, Perceptions, and Preferences

A. RESPONDENT INFORMATION

Except in special cases such as an application approach to select project beneficiaries, specific identification of the principal respondent by name is not really essential or necessary. Also, the respondent should be assured that the information being collected will be treated confidentially.

Selection of the Principal Respondent

Appropriate selection of a knowledgeable principal respondent will facilitate a successful interview.

Q. *Are you the recognized spokesperson for this household?*

or _____ *yes* _____ *no*

Q. *Are you the individual in this household who makes the greatest contribution toward providing for the household members?*

or _____ *yes* _____ *no*

Q. *Are you the owner or the individual who pays the rent on this house?*

_____ *yes* _____ *no*

(IF THE RESPONDENT ANSWERS "NO" TO THE ABOVE QUESTION(S),
THEN ASK THE FOLLOWING QUESTION.)

Q. *If no, then who is the recognized spokesperson (chief wage earner, owner, or renter) in this house?*

Age

The age of the principal respondent can be obtained either by asking directly or by assessing the year of birth. Where it appears that the respondent may be sensitive or embarrassed to state his/her age, an indirect approach may be preferable.

Q. How old are you? _____ years old
or

Q Are you: 1) under 15 years of age? _____
2) between 15-44 years old? _____
3) between 45-64 years old? _____
4) 65 years of age or older? _____

Q. In what year were you born? _____
or

Q. Were you born in the period
1) before 1920? _____
2) 1920-1939? _____
3) 1940-1959? _____
4) since 1960? _____

Sex

The sex of the principal respondent can be obtained by direct observation. The interviewer should record his/her observation.

Q. What is the respondent's sex?

(INTERVIEWER) male _____ female _____

B. HOUSEHOLD ROSTER

The household roster provides a composite sketch of each member of the household. The use of open-questions may be appropriate in collecting the desired information. The data should be recorded in tabular form. Discretion must be used in determining if information on all members of the household is relevant, especially if the household is large.

HOUSEHOLD ROSTER TABLE

Total household size = _____ persons as listed below

<u>Member</u>	<u>Age</u>	<u>Sex</u>	<u>Relationship to Respondent</u>
Principal Respondent	_____	_____	_____
2nd person	_____	_____	_____
3rd person	_____	_____	_____
4th person	_____	_____	_____
(etc.)			

Q. How many persons are there in your household? _____

or

Q How many persons are there in your household?

- 1) 3 or less _____
- 2) 4-6 _____
- 3) 7-9 _____
- 4) 10 or more _____

Q. What is the age and sex of each member of your household?

Q. What is the relationship of each member of your household to you?

C. MIGRATION

In collecting migration data, care must be taken in choice of words. A knowledge of local culture is necessary to facilitate clarity and understanding on the part of the respondent. Place can mean site, location, region, neighborhood, settlement, or locale. House can refer to the dwelling unit, building, or home.

Length of Residence at Present Location

The length of time the respondent has spent at the present location can be determined directly or by ascertaining the year in which the respondent moved to the present location.

or Q. *How long have you lived in this house?* _____ (years)

Q. *How long have you lived in this settlement?*

- 1) *less than 2 years* _____
- 2) *2-5 years* _____
- 3) *6-10 years* _____
- 4) *11-20 years* _____
- 5) *more than 20 years* _____

or

Q. *In which province were you born?* _____ (province)

or

Q. *In what type of place were you born?*

- 1) *agricultural area* _____
- 2) *small town* _____
- 3) *city* _____

Place of Last Residence

A variety of locational terminology can be used to determine place of last residence. Terms should conform to the circumstances of the host country.

Q. *Where did you live before you came here?*

- | | |
|----------------------------------------------|----------|
| 1) rural area | 1) _____ |
| 2) small town | 2) _____ |
| 3) provincial capital | 3) _____ |
| 4) metropolitan area | 4) _____ |
| 5) another location within this municipality | 5) _____ |
| 6) other (specify) 6) _____ | |

Q. *How large was the settlement you came from?*

- | | |
|---------------------------|-------|
| 1) fewer than 100 persons | _____ |
| 2) 100-2499 persons | _____ |
| 3) 2500-74,999 persons | _____ |
| 4) 74,000-249,999 persons | _____ |
| 5) over 250,000 persons | _____ |
| 6) don't know | _____ |

Q. *In which province did you live before coming here?* _____ (province)

Length of Time at Last Residence

Length of time at last residence can be obtained through the use of either open-ended or closed questions.

Q. *How long did you live at your last place of residence?* _____ (years)

or

Q. *How long did you live at your last place of residence?*

- | | |
|-----------------------|----------|
| 1) less than 2 years | 1) _____ |
| 2) 2-5 years | 2) _____ |
| 3) 6-10 years | 3) _____ |
| 4) 11-20 years | 4) _____ |
| 5) more than 20 years | 5) _____ |

Reasons for Moving

Because a variety of responses can be anticipated to a question on residential changes, closed questions with predetermined categories will facilitate coding. Because mobility behavior is complex, one may wish to record more than one response.

(IF THE RESPONDENT MOVED FROM A LOCATION OR PLACE OTHER THAN THE PRESENT MUNICIPALITY, ASK THE FOLLOWING QUESTION.)

Q. *What were your reasons for moving to this settlement?*

- | | |
|---------------------------------------|----------|
| 1) <i>job opportunities</i> | 1) _____ |
| 2) <i>better schools</i> | 2) _____ |
| 3) <i>closer to relatives</i> | 3) _____ |
| 4) <i>access to health facilities</i> | 4) _____ |
| 5) <i>urban area</i> | 5) _____ |
| 6) <i>other (specify)</i> | 6) _____ |
- _____

(IF THE RESPONDENT MOVED FROM A LOCATION WITHIN THE PRESENT MUNICIPALITY, ASK THE FOLLOWING QUESTION.)

Q. *What were your reasons for moving to this house?*

- | | |
|--------------------------------------|----------|
| 1) <i>close to friends/relatives</i> | 1) _____ |
| 2) <i>close to place of work</i> | 2) _____ |
| 3) <i>close to schools</i> | 3) _____ |
| 4) <i>close to market</i> | 4) _____ |
| 5) <i>availability of land</i> | 5) _____ |
| 6) <i>other (specify)</i> | 6) _____ |
- _____

Future Mobility

A series of questions is needed to obtain information on future mobility plans.

Q. *How many times did you move before you came to this house (place, location, ...)?*

- | | |
|-----------------------------|-------|
| 1) <i>less than 3 times</i> | _____ |
| 2) <i>3-5 times</i> | _____ |
| 3) <i>5 or more times</i> | _____ |

or

Q. *How many times did you move before coming to your present location?*

Q. *Do you expect to move to another place (house, location, or settlement) sometime in the future?*

_____ *yes* _____ *no* _____ *don't know*

Q. If you expect to move again, within how many years do you expect this move will take place? -

- 1) within the next year _____
- 2) within 1-5 years _____
- 3) within 6-10 years _____
- 4) within 11-15 years _____

Q. If you expect to move again, to what type of place do you anticipate moving to?

- 1) rural area 1) _____
 - 2) small town 2) _____
 - 3) medium sized city 3) _____
 - 4) large city/metropolitan area 4) _____
 - 5) suburb 5) _____
 - 6) other (specify) 6) _____
-

D. SHELTER AFFORDABILITY

Employment and income are the most important factors for determining shelter affordability. Employment and income data should be collected for the principal respondent and all other members of the household engaging in income and related credit producing activities. Separation of the principal respondent from other income producers is suggested to facilitate asking the questions. The response categories presented below reflect actual classification schemes that have been used in developing countries in different geographic areas. Also, the questionnaire should be structured in a manner that will permit the interviewer to record the responses in tabular form. This will facilitate subsequent tabulation of the data.

Employment of the Principal Respondent

Several levels of detail can be used to ascertain meaningful employment information. These are illustrated below.

Q. *Are you currently employed or otherwise engaging in an income producing activity?* _____ *yes* _____ *no*

Q. *If you are currently employed or otherwise engaging in an income producing activity, is this activity*

a) _____ *permanent?* _____ *temporary?*

b) _____ *full-time?* _____ *part-time?*

Employment and Income Table

Household Member	Activity	Employment			Income		
		Regularity			month	week	day
		Permanent/temporary	Full/part-time	Number of Months employed during the last year			
Principal Respondent							
Primary job or activity	-----	-----	-----	-----	-----	-----	
2nd job or activity	-----	-----	-----	-----	-----	-----	
3rd job or activity	-----	-----	-----	-----	-----	-----	
2nd Person (identify by relationship to Principal Respondent)							
Primary job or activity	-----	-----	-----	-----	-----	-----	
2nd job or activity	-----	-----	-----	-----	-----	-----	
3rd Person							
4th Person							
etc.							

Level 1 Degree of Detail

Q. In which of the following employment groups is your job or income producing activity?

- 1) agriculture _____
 - 2) industry _____
 - 3) services _____
- or
- 1) manufacturing _____
 - 2) trade _____
 - 3) services _____
- or
- 1) manufacturing _____
 - 2) wholesale trade _____
 - 3) retail trade _____
 - 4) professional services _____
 - 5) personal services _____
- or
- 1) agriculture and forestry _____
 - 2) mining and quarrying _____
 - 3) manufacturing _____
 - 4) electricity and water utilities _____
 - 5) construction _____
 - 6) trade and hotels _____
 - 7) transportation and communication _____
 - 8) finance and business services _____
 - 8) social and personal services _____

Level 2 Degree of Detail

Q. What is your primary job or occupation?

- 1) vendor/buy and sell _____
- 2) security guard _____
- 3) carpenter/painter _____
- 4) craftsman _____
- 5) laborer _____
- 6) businessman/merchant _____
- 7) fisherman/farmer _____
- 8) mechanic _____
- 9) driver _____
- 10) dressmaker _____
- 11) cook/housekeeper _____
- 12) laundrywoman _____
- 13) other (specify) _____

If the respondent has more than one job or income producing activity, the question on primary occupation will have to be reworded. Also, sufficient space must be allowed in the table to record these additional activities.

Q. *Which job or income producing activity takes up the greatest amount of your time or generates the greatest amount of income?*

Q. *Is your primary job or income producing activity within the formal or informal sector?*

_____ *formal* _____ *informal*

Level 3 Degree of Detail

Q. *Does your primary occupation or income generating activity have a job title?*

_____ *yes* _____ *no*

Q. *If yes, what is that title?*

Q. *What types of skills do you have?*

- | | |
|-----------------------------------------|-------|
| 1) <i>professional and technical</i> | _____ |
| 2) <i>administrative and managerial</i> | _____ |
| 3) <i>sales</i> | _____ |
| 4) <i>clerical</i> | _____ |
| 5) <i>skilled labor</i> | _____ |
| 6) <i>semi-skilled labor</i> | _____ |
| 7) <i>unskilled labor</i> | _____ |

Income of the Principal Respondent

Determination of meaningful income categories must be country-specific. Pesos are used in the examples. The responses should be recorded in the table.

Q. *What is your total monthly income for all jobs and income producing activities?*

- | | |
|-----------------------------|-------|
| 1) <i>200 Pesos or less</i> | _____ |
| 2) <i>201-400 Pesos</i> | _____ |
| 3) <i>401-600 Pesos</i> | _____ |
| 4) <i>601-800 Pesos</i> | _____ |
| 5) <i>over 800 Pesos</i> | _____ |

Q. Are there any non-family members residing in your house who pay rent?

_____ yes _____ no

Q. If yes, how much rent do they pay each month?

_____ (Pesos)

Q. Do you receive any income from relatives who live elsewhere?

_____ yes _____ no

Q. If yes, how much income do you receive from these relatives each month?

_____ (Pesos)

The next question attempts to determine the amount of income available to the principal respondent. When the contributions of other members of the household are included, total household assets can be determined.

Q. How much income do you receive each month from each of the following?

- 1) wages and salaries _____
- 2) pensions _____
- 3) dividends and interest _____
- 4) rent from a boarder _____
- 5) money from relative living elsewhere _____
- 6) other (specify) _____

TOTAL: _____

Q. Do you engage in any other activities that bring in income or other benefits to your household?

_____ yes _____ no

Q. If yes, how much income and/or what types of benefits do you receive?

- 1) income _____
- 2) materials _____
- 3) labor services _____
- 4) food or goods _____
- 5) in-kind services _____
- 6) other (specify) _____

Q. How many people do you support with your income?

- 1) 3 or less _____
- 2) 4-6 _____
- 3) 7 or more _____

Employment and Income of Other Household Members

Employment data on other members of the household should also be recorded in the table. The information need not be as detailed as the information on the principal respondent.

or Q. How many members of your household are employed or otherwise engaging in income producing activities? _____

or Q. How many other members of your household have been employed during the past _____ (3, 6, 12...) months?

Q. Who else in your household earns income?

- 1) _____
- 2) _____
- 3) _____
- 4) _____

(SPECIFY WHO, THE RELATIONSHIP OF THIS INDIVIDUAL TO THE PRINCIPAL RESPONDENT, AND ENTER THIS INFORMATION IN THE TABLE.)

Q. What types of employment activities are the members of your household engaged in?

(ENTER THIS MATERIAL DIRECTLY IN THE TABLE. ALSO, ASCERTAIN IF THIS ACTIVITY IS FULL/PART-TIME, REGULAR/IRREGULAR, AND THE APPROXIMATE MONTHLY INCOME.)

Q. (FOR EACH ACTIVITY) Is this activity full-time or part-time, regular/irregular, seasonal?

Q. What is the amount of income of each person and/or activity listed above?

If additional detail on employment and income of other members of the household is desired, questions such as those asked of the principal respondent could be included. Also, the following information might be important.

Q. *Is there anyone in your household who is self-employed?*

_____ *yes* _____ *no*

Q. *If yes, who is this person and what type of self-employed activity is he/she engaging in?*

Q. *Who in your household has vocational skills? (LIST THE INDIVIDUALS AND THEIR SKILLS.)*

1) _____

2) _____

3) _____

At this point, a few questions about total household income may be desirable. This will connect the income of the household members with that of the principal respondent, thereby establishing a check on the information already collected.

Q. *How much income does your household have on a regular weekly or monthly basis?*

_____ (Pesos)

Q. *Does the income of your household change from week to week or month to month?*

_____ *yes* _____ *no*

Q. *If yes, by how much does your total household income vary from week to week or month to month?*

_____ (Pesos)

Expenditures

Expenditure categories may be used to reflect real and perceived needs as well as priorities. The three sets of categories presented below were abstracted

from government household and expenditures documents for the Philippines, Togo, and Morocco respectively. They are intended as illustration and to suggest possible response categories.

Q. *What do you consider your 3 main items of expenditure?*

- | | |
|--------------------------------------------------------|----------|
| 1) <i>food</i> | 1) _____ |
| 2) <i>clothing</i> | 2) _____ |
| 3) <i>housing and furnishings</i> | 3) _____ |
| 4) <i>recreation and personal care</i> | 4) _____ |
| 5) <i>education, transportation, and communication</i> | 5) _____ |
| 6) <i>miscellaneous (specify)</i> | 6) _____ |
-

- | | |
|-------------------------------------------------|----------|
| 1) <i>food</i> | 1) _____ |
| 2) <i>tobacco and alcoholic beverages</i> | 2) _____ |
| 3) <i>clothing</i> | 3) _____ |
| 4) <i>housing</i> | 4) _____ |
| 5) <i>fuel, light, and domestic maintenance</i> | 5) _____ |
| 6) <i>miscellaneous (specify)</i> | 6) _____ |
-

- | | |
|--------------------------------------|----------|
| 1) <i>food</i> | 1) _____ |
| 2) <i>clothing</i> | 2) _____ |
| 3) <i>housing</i> | 3) _____ |
| 4) <i>hygiene</i> | 4) _____ |
| 5) <i>transportation and leisure</i> | 5) _____ |
| 6) <i>miscellaneous (specify)</i> | 6) _____ |
-

A few questions on the amount of money available for housing or infrastructure expenditures could follow or be included in the section on characteristics of current shelter. In either case, closed questions with specific response categories should be developed to record the information.

Q. *What amount of money could you afford to spend on improvements to your present house?*

- 1) *less than 200 Pesos* _____
- 2) *201-400 Pesos* _____
- 3) *401-500 Pesos* _____
- 4) *more than 500 Pesos* _____

Q. *How much money would you be willing to pay for improved access to safe water (sewerage, electricity, and/or other services?)*

- 1) *less than 200 Pesos* _____
- 2) *201-400 Pesos* _____
- 3) *401-500 Pesos* _____
- 4) *more than 500 Pesos* _____

Occupancy Status

The following series of questions is concerned with occupancy status and current housing expenditures. While the topic of tenure is treated separately elsewhere in this report, a brief consideration of tenure status and current shelter payments is necessary at this point for focusing in on the issue of shelter affordability. In developing an actual questionnaire, the sequence of topics may have to be modified from that provided in this report in order to achieve a smooth flow of topics and questions. It may prove useful to raise questions about current shelter payments and the perceived affordability of shelter immediately after the material on employment and income. In either case, the choices, ranges, and wordings of the anticipated response categories should be suited to the accepted phrasings and norms of the host country.

Q. Which of the following describes your household's occupancy status with respect to your current dwelling unit?

- 1) own _____
- 2) rent _____
- 3) inherited _____
- 4) given free use _____
- 5) other (specify) _____

or

- 1) ownership with title _____
- 2) ownership without title _____
- 3) renter _____
- 4) free lodging _____
- 5) squatter _____

Q. If you rent this dwelling, what is your monthly rental payment?

or _____ (Pesos)

Q. If you rent this dwelling, how much do you pay in rent each month?

- 1) less than 20 Pesos _____
- 2) 21-50 Pesos _____
- 3) 51-100 Pesos _____
- 4) more than 100 Pesos _____

Q. If you own this dwelling, how much is your monthly mortgage payment?

or _____ (Pesos)

Q. If you own or are buying this dwelling, how much do you pay each month on the mortgage?

- 1) no mortgage payment _____
- 2) 1-50 Pesos _____
- 3) 51-100 Pesos _____
- 4) 101-200 Pesos _____
- 5) more than 200 Pesos _____

Credit

A series of questions is needed to obtain information on the respondent's credit history. A combination of open-ended and closed questions is appropriate. A table should be provided for recording the information.

CREDIT HISTORY

Source of Loan	Purpose	Amount Borrowed	Outstanding Balance
----------------	---------	-----------------	---------------------

Total Indebtedness = _____

Q. Did you borrow money to acquire this house?

_____ yes _____ no

Q. If yes, who did you borrow from?

- | | |
|-----------------------------|----------|
| 1) family | 1) _____ |
| 2) friend | 2) _____ |
| 3) community organization | 3) _____ |
| 4) bank | 4) _____ |
| 5) money lender | 5) _____ |
| 6) other (specify) 6) _____ | |

Q. If yes, how much money did you borrow? _____ (Pesos)

Q. How long will it take (did it take) you to repay the loan?

Q. How are you repaying (did you repay) the loan?

- | | |
|-----------------------------|----------|
| 1) weekly | 1) _____ |
| 2) monthly | 2) _____ |
| 3) quarterly | 3) _____ |
| 4) yearly | 4) _____ |
| 5) all at one time | 5) _____ |
| 6) other (specify) 6) _____ | |

Q. Have you expanded or improved this house since obtaining it?

_____ yes _____ no

Q. If yes, did you borrow money?

_____ yes _____ no

Q. If yes, how much money did you borrow? _____ (Pesos)

Q. If you borrowed money to expand or improve your house, who did you borrow from?

- | | |
|-----------------------------|----------|
| 1) family | 1) _____ |
| 2) friend | 2) _____ |
| 3) community organization | 3) _____ |
| 4) bank | 4) _____ |
| 5) money lender | 5) _____ |
| 6) other (specify) 6) _____ | |

Q. *If you did not borrow money to expand or improve your house, how did you acquire the materials?*

- | | |
|----------------------------------------------------------------------|----------|
| 1) <i>saved and bought materials all at once.</i> | 1) _____ |
| 2) <i>bought materials a few at a time as they could be afforded</i> | 2) _____ |
| 3) <i>bought materials on credit</i> | 3) _____ |
| 4) <i>sold some possessions</i> | 4) _____ |
| 5) <i>provided in-kind services</i> | 5) _____ |
| 6) <i>other (specify)</i> 6) _____ | _____ |

Additional questions on shelter construction activities are presented in the section on current shelter that appears later in this report. Again, it must be re-emphasized that the sequence of questions presented in this report is not necessarily the order in which they would appear in a final questionnaire.

Q. *Has your family ever been granted credit?*

_____ *yes* _____ *no*

or

Q. *What sources of credit has your family used in obtaining loans?*

- | | |
|------------------------------------|----------|
| 1) <i>bank</i> | 1) _____ |
| 2) <i>savings and loan</i> | 2) _____ |
| 3) <i>credit coop</i> | 3) _____ |
| 4) <i>money lender</i> | 4) _____ |
| 5) <i>relative/friend</i> | 5) _____ |
| 6) <i>shop/large store</i> | 6) _____ |
| 7) <i>other (specify)</i> 7) _____ | _____ |

or

Q. *If your family has been granted credit, how many loans have you had?*

Loans may be sought for a variety of purposes. The following list suggests some of the things for which people might seek to borrow money. The list includes but is not restricted to:

- | | |
|-------------|----------------------|
| materials | food |
| housing | education |
| furnishings | dowry |
| automobile | capital for business |
| medical | wedding/funeral |

Q. *What was the value and purpose of each loan?*

(RECORD THIS MATERIAL IN THE TABLE.)

Q. *If money or credit were made available to you, what would be your first priority for spending it?*

- | | |
|----------------------------------|----------|
| 1) <i>capital for business</i> | 1) _____ |
| 2) <i>education for children</i> | 2) _____ |
| 3) <i>food</i> | 3) _____ |
| 4) <i>housing</i> | 4) _____ |
| 5) <i>other (specify)</i> | 5) _____ |

Savings

Questions on savings can be either open-ended or closed.

Q. *How much money does your household save each month?*

_____ (Pesos)

Q. *What type of savings plan or program do you participate in?*

- | | |
|-------------------------------------------|----------|
| 1) <i>no savings plan or program</i> | 1) _____ |
| 2) <i>bank account</i> | 2) _____ |
| 3) <i>postal savings plan</i> | 3) _____ |
| 4) <i>pension plan</i> | 4) _____ |
| 5) <i>company savings plan</i> | 5) _____ |
| 6) <i>savings cooperative</i> | 6) _____ |
| 7) <i>individual ("mattress") savings</i> | 7) _____ |
| 8) <i>other (specify)</i> | 8) _____ |

E. TENURE STATUS

Questions relating to tenure must be appropriately placed within the questionnaire to insure a smooth, logical flow of topics during the course of the interview. Additional questions on tenure have been placed in the section on shelter affordability.

Q. *Which of the following describes your current occupancy status?*

- 1) *own both house and lot* _____
- 2) *own house, rent lot* _____
- 3) *own house, squat on lot* _____
- 4) *rent both house and lot* _____
- 5) *other (specify)* _____

or

- 1) *own lot* _____
- 2) *rent lot* _____
- 3) *lot is free of charge* _____
- 4) *squatter* _____

(IF THE RESPONDENT IS A RENTER OR SQUATTER, ASK THE FOLLOWING QUESTION.)

Q. *If you are a renter, how much money do you pay to your landlord (or to the landowner) each month? (or each year?)*

or

_____ (Pesos)

Q. *Who owns the land or property upon which you are currently residing?*

or

Q. *Is this land or property owned by the government or by an individual?*

- 1) *government* _____
- 2) *individual* _____

F. CURRENT SHELTER

Current shelter is a catchall category for considering a variety of physical shelter characteristics including size, materials, infrastructure, and construction activities. This section of a formal household questionnaire might be complemented with an observational assessment of site characteristics, housing quality, construction materials, and evidence of expansion or upgrading.

Size

Response categories for both house and lot size must be country-specific.

Q. *What is the approximate floor area (in M²) of your house?*

- 1) *less than 20 M²* _____
- 2) *21-40 M²* _____
- 3) *41-60 M²* _____
- 4) *61-100 M²* _____
- 5) *more than 100 M²* _____

Q. *How many rooms are there in your house?*

- 1) *1-2 rooms* _____
- 2) *3-4 rooms* _____
- 3) *5-6 rooms* _____
- 4) *more than 6 rooms* _____

(NOTE: THE INTERVIEWER MAY BE ABLE TO ASSESS THE NUMBER OF FLOORS OR STORIES IN THE DWELLING UNIT WITHOUT FORMALLY ASKING THE RESPONDENT THE FOLLOWING QUESTION.)

Q. *How many floors or stories are there in this house?*

- 1) *1* _____
- 2) *2* _____
- 3) *more than 2* _____

Plot size or lot area should be related to project type. Size ranges for the response categories should be realistic and reflect actual settlement conditions. It might be useful to have the respondent point out the limits or boundaries of the plot. Other indicators or techniques (e.g.

the use of plat maps or air photos) may be necessary depending upon the ability of the respondents to judge the size of areas. Also the interviewer might be able to estimate plot size through direct observation.

Q. *What is the appropriate area (in M²) of your lot or plot?*

- | | |
|---------------------------------|-------|
| 1) under 50 M ² | _____ |
| 2) 51-75 M ² | _____ |
| 3) 76-100 M ² | _____ |
| 4) 101 -150 M ² | _____ |
| 5) 151-200 M ² | _____ |
| 6) more than 200 M ² | _____ |

Materials

Variations in materials categories are based on actual circumstances in the Philippines, Morocco, Togo, and other parts of sub-Saharan Africa. Additional categories can be developed as necessary. The interviewer can assess the types of materials used in the construction of the shelter through direct observation. The respondent need not be asked the following question.

Q. *The dwelling unit is constructed out of which of the following types of materials?*

- | | | |
|----|--------------------|----------|
| | 1) concrete | 1) _____ |
| | 2) wood | 2) _____ |
| | 3) bamboo-nipa | 3) _____ |
| | 4) mixed | 4) _____ |
| or | 5) other (specify) | 5) _____ |

- | | | |
|----|--------------------|----------|
| | 1) masonry | 1) _____ |
| | 2) dry store | 2) _____ |
| | 3) straw and mud | 3) _____ |
| | 4) waste materials | 4) _____ |
| or | 5) other (specify) | 5) _____ |

- | | | |
|----|-------------------|----------|
| | 1) wood | 1) _____ |
| | 2) concrete block | 2) _____ |
| | 3) brick | 3) _____ |
| | 4) thatch | 4) _____ |
| or | 5) adobe | 5) _____ |

- | | | |
|--|--------------------------------------------|----------|
| | 1) wattle and daub | 1) _____ |
| | 2) wattle and daub, with
cement plaster | 2) _____ |
| | 3) wood planks | 3) _____ |
| | 4) concrete block | 4) _____ |

Infrastructure

Under infrastructure, four themes are considered. These include water supply, sewerage system, source of lighting, and fuel supply.

Q. *What is your source of water?*

- 1) *water tap inside of dwelling* 1) _____
- 2) *standpipe outside of dwelling* 2) _____
- or 3) *other (specify)* 3) _____

- 1) *in-house tap* 1) _____
- 2) *public fountain only* 2) _____
- 3) *well in compound* 3) _____
- 4) *well outside of compound* 4) _____
- or 5) *other (specify)* 5) _____

- 1) *piped water* 1) _____
- 2) *communal drilled well* 2) _____
- 3) *private drilled well* 3) _____
- 4) *spring* 4) _____
- 5) *creek, stream, or river* 5) _____
- 6) *rain water* 6) _____
- 7) *bought from vendor* 7) _____
- 8) *other (specify)* 8) _____

Q. *Is there a toilet in your house?*

_____ *yes* _____ *no*

(IF THE ANSWER TO THE PRECEDING QUESTION IS "YES", THEN ASK THE FOLLOWING QUESTION.)

Q. *If "yes" to the preceding question, what type of toilet does your household use?*

- 1) *water sealed* _____
- 2) *cement bowl* _____
- 3) *closed pit* _____
- 4) *open pit* _____

(IF THE ANSWER TO THE PRECEDING QUESTION IS "NO", THEN ASK THE FOLLOWING QUESTION.)

Q. If "no" to the preceding question, what type of toilet does your household use?

- | | |
|-----------------------------|----------|
| 1) public toilet | 1) _____ |
| 2) sea | 2) _____ |
| 3) other (specify) 3) _____ | |

Q. What type of waste disposal system does your household use?

- | | |
|-----------------------------|----------|
| 1) waterborne system | 1) _____ |
| 2) septic tank | 2) _____ |
| 3) bucket latrine | 3) _____ |
| 4) pit latrine | 4) _____ |
| 5) other (specify) 5) _____ | |

Q. What type of lighting do you use in your house?

- | | |
|----------------|----------|
| 1) electricity | 1) _____ |
| 2) kerosene | 2) _____ |
| 3) candles | 3) _____ |
| 4) oil lamps | 4) _____ |

Q. What energy source does your household use for cooking?

- | | |
|-----------------------------|----------|
| 1) gas | 1) _____ |
| 2) wood | 2) _____ |
| 3) kerosene | 3) _____ |
| 4) charcoal | 4) _____ |
| 5) other (specify) 5) _____ | |

Q. What energy source does your household use for heating?

- | | |
|-----------------------------|----------|
| 1) gas | 1) _____ |
| 2) wood | 2) _____ |
| 3) kerosene | 3) _____ |
| 4) charcoal | 4) _____ |
| 5) fuel oil | 5) _____ |
| 6) other (specify) 6) _____ | |

Construction

With the exception of categories on building costs, the question-and-response options for construction-related activities can probably be universally applied without additional modification. For purposes of illustration, the categories on building costs are stated in Pesos (P).

Q. Did you build, expand, modify, or upgrade your house?

_____ yes _____ no

(IF THE RESPONSE TO THE PRECEDING QUESTION IS "NO", THEN GO ON TO THE NEXT SECTION OF THE QUESTIONNAIRE.)

(IF THE RESPONSE TO THE PRECEDING QUESTION IS "YES", THEN ASK THE FOLLOWING FOUR QUESTIONS.)

Multiple responses are possible for several shelter construction questions. These are illustrated below. Ultimately, individual codes will be assigned to each combination. This is not an issue that the interviewer should be concerned about.

Q. *If you built, expanded, modified, or upgraded your house, did you accomplish the construction:*

- 1) *by yourself?* _____
- 2) *with family help?* _____
- 3) *with community help?* _____
- 4) *with a contractor?* _____

(RECORD ALL RESPONSES TO THIS QUESTION.)

Q. *If you built, expanded, modified, or upgraded your house, what were the approximate costs of construction?*

- 1) *less than 500 Pesos* _____
- 2) *501-1000 Pesos* _____
- 3) *1001-2000 Pesos* _____
- 4) *2001-5000 Pesos* _____
- 5) *more than 5,000 Pesos* _____

Q. *How did you acquire the materials that you used to build, expand, modify, or upgrade your house?*

- 1) *made them* _____
- 2) *purchased them* _____
- 3) *traded for them* _____

(RECORD ALL RESPONSES TO THIS QUESTION.)

Q. *If you purchased or traded for the materials you used to build, expand, modify, or upgrade your house, was the transaction:*

- 1) *in cash?* _____
- 2) *for credit?* _____
- 3) *in material goods?* _____
- 4) *for in-kind services?* _____
- 5) *other? (specify)* _____

(RECORD ALL RESPONSES TO THIS QUESTION.)

G. ATTITUDES, PERCEPTIONS, AND PREFERENCES

Information on attitudes, perceptions, and preferences will reflect the respondent's view of his/her shelter and surroundings. Responses to such questions will reveal specific community issues and problems of concern. Both open-ended and closed questions can be developed. However, because of the nature of the anticipated responses, the use of open-ended questions could result in a rather lengthy list of different items. To facilitate coding and tabulation, the use of closed questions with specific response categories may be preferred. The key element is to identify the appropriate response categories. Also, one may wish to limit the number of responses that each respondent is permitted to make. For example, the respondent might be asked to identify what he/she believes is the single most important issue or problem. If a large proportion of the respondents identify the same items, the probability that the salient issues and problems will have been identified will increase.

Q. *Which of the following do you think is the single most important issue, area of concern, or problem that you face in this community? (Select one.)*

- | | |
|-------------------------------|-----------|
| 1) housing conditions | 1) _____ |
| 2) secure tenure | 2) _____ |
| 3) safe water | 3) _____ |
| 4) sewerage system | 4) _____ |
| 5) electricity | 5) _____ |
| 6) schools | 6) _____ |
| 7) employment opportunities | 7) _____ |
| 8) recreational facilities | 8) _____ |
| 9) transportation | 9) _____ |
| 10) health facilities | 10) _____ |
| 11) crime | 11) _____ |
| 12) other (specify) 12) _____ | _____ |

(INSTRUCT THE RESPONDENT TO SELECT ONE ISSUE ONLY.
PLACE A CHECK IN THE APPROPRIATE SPACE.)

Variations of the basic theme presented in the above questions are possible. For example, one might ask the respondent to identify the three most important issues and problems facing the community. Open-ended questions can also be developed to obtain this information.

Q. *What are the three things you like the most about this community?*

1) _____

2) _____

3) _____

Q. *What are the two things you dislike the most (or like the least) about this community?*

1) _____

2) _____

Q. *If it were up to you, which issue, area of concern, or problem would you address first?*

Increasing the respondent's awareness of possible project outcomes and opportunities might be accomplished with a series of pictures or sketches illustrating examples of settlement upgrading, sites and services, core housing, and completed houses. However, one must be careful not to inflate expectations unrealistically. The examples should reflect, with a fairly high degree of accuracy, the actual kinds of products that will be produced. The pictures or sketches and the questions should be integrated to achieve a smooth flow during the interview. It is assumed that the interviewer will have to explain the various types of shelter projects and the products that are being planned or contemplated. Understanding on the part of the respondent is prerequisite to eliciting meaningful responses on attitudes and preferences about the HG project and its products.

The following examples are intended as illustration of how this might be accomplished. Because respondents may not be familiar with or not really understand what the HG program is all about, one might wish to consider placing a description of the project and its anticipated outcomes somewhere near the beginning of the questionnaire. Sufficient information must be given to the respondent so that he/she understands why information of so personal a nature is being sought.

(READ THE FOLLOWING DESCRIPTION OF THE HG PROGRAM TO THE RESPONDENT.)

The HG program is designed to provide affordable, low-cost housing to individuals and households such as yourself.

Q. Are you familiar with the HG program?

_____ yes _____ no

(READ THE FOLLOWING DESCRIPTIONS OF THE TYPES OF SHELTER BEING PLANNED OR ANTICIPATED.)

This project will include the following types of shelter options:

NOTE: The actual types of shelter options that are being planned or contemplated will have to be included in the descriptive sections and in the questions on the actual survey instrument. Not all of the housing options that could be supported by the HG program will necessarily be applicable to all shelter projects. Examples of these descriptive sections are presented below.

Settlement Upgrading: In settlement upgrading, loans and materials are made available for improving existing houses and to provide basic community services (e.g. water, sewerage, and electricity). Here is an example (SHOW SKETCH 1) of a house before it was improved. Here is a picture of the same house after upgrading (SHOW SKETCH 2).

Q. Are you familiar with settlement upgrading kinds of projects?
_____ yes _____ no

Sites and Services: Sites and services housing projects provide a plot with basic infrastructure on which you can build your own house. The improvements could increase your access to safe water, improved sewerage, electricity, and other community services. This is a drawing (SHOW SKETCH) of a completed site and services plot.

Q. Are you familiar with site and services types of schemes?
_____ yes _____ no

Core Housing: Core houses are small, basic housing units (SHOW SKETCH 1). You can live in one of these core housing units and add rooms or make improvements as time and resources permit. This sketch (SHOW SKETCH 2) shows how rooms have been added and other improvements made to a basic core house.

Q. Are you familiar with core housing projects?
_____ yes _____ no

Completed Housing: In this type of shelter project, a completed house is built for rental or purchase. A variety of house designs and lot sizes are offered for households in different income groups. Here are some pictures (SHOW SKETCHES) of some of the types of completed houses that could be produced for sale or rent.

Q. Are you familiar with housing projects that produce completed houses for sale or rent?
_____ yes _____ no

Having brought the respondent to the desired level of understanding about the project, the following questions on attitudes, perceptions, and preferences can be asked. The number of response categories will be partially determined by the types of projects and number of design options that will be offered

Q. Assuming that you qualify, which of the following types of housing projects would you be willing to participate in?

1) settlement upgrading?

_____ yes _____ no

2) sites and services?

_____ yes _____ no

3) core housing?

_____ yes _____ no

4) completed housing?

_____ yes _____ no

Q. Which of the following house and site designs do you find acceptable and would be willing to live in? (SHOW SKETCHES)

1) Sketch 1 _____

2) Sketch 2 _____

3) Sketch 3 _____

4) Sketch 4 _____

Q. Are any of the following house and site designs unacceptable to you as a place to live?

1) Sketch 1 _____ yes _____ no

2) Sketch 2 _____ yes _____ no

3) Sketch 3 _____ yes _____ no

4) Sketch 4 _____ yes _____ no

Q. Would you be willing to move to a new location if you could obtain a serviced site, core house, or completed house?

_____ yes _____ no

Q. If no, what are the reasons why you would not be willing to move?
