

**GUIDE TO  
ACCEPTABLE SURVEY  
METHODOLOGY**

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## Acceptable Sample Survey Methodology

### Introduction

This Guide was prepared to assist applicants for Community Development Block Grants develop an acceptable and accurate sample income survey for area benefit projects, such as water and sewer lines, drainage improvements and other infrastructure projects. The purpose of an income survey is to document that a geographic area will meet CDBG program requirements related to low and moderate income benefit. Use of an unacceptable method to document low and moderate-income benefit may result in an application for CDBG assistance not being funded.

Generally a survey of all residents of the area to benefit from a CDBG project is the preferred method. However sometimes the benefit area is too large to survey everyone in a reasonable period of time. In these cases a sample survey may be appropriate. The purpose of a sample survey is to ask questions of a portion of the population in order to make estimates about the entire population. If we ask proper questions of a randomly drawn sample of adequate size (known as a scientifically accurate sample), we can be reasonably sure of a high degree of accuracy of the overall estimates.

In the survey that is discussed here, we are limiting the emphasis to the determination of a single threshold criteria--whether at least 70 percent of the persons living in a target area have low and moderate incomes. It is important to note, however, that sound CDBG planning would also use a survey to determine other area needs related to housing, public facilities, jobs, education, social service, etc., as well as gauge the willingness of area residents to participate in possible programs.

This Guide is divided into six sections, each of which discusses a different step in administering the sample survey. In order to obtain accurate results, it is necessary to complete each step properly.

### Step 1: Selecting The Survey Method

Any type of survey that fulfills criteria discussed below can be used to determine whether an area qualifies as low and moderate income. The most commonly used surveys are:

- telephone surveys;
- door-to-door surveys; and
- mail surveys.

For CDBG planning, however, "door-to-door" or an equivalent form of one-on-one survey will usually yield the best results.

**Door-to door surveys** involve a little more work than telephone or mail surveys. The interviewers must go outside, knock on doors, and do the "leg work" necessary to obtain interviews. In small areas, this type of survey may be the best because you can define the target area by its geographic boundaries, observe area needs and develop procedures for sampling so that no list of the families in the area is needed beforehand.

## Step 2: Developing A Questionnaire

It is important that all of the individuals interviewed are asked exactly the same questions and that their responses are recorded correctly. To ensure this, you need a written questionnaire, and you need to have your interviewers write down on each questionnaire the exact responses of each respondent. Each question should be clear, written in simple language, and convey only one meaning. It is usually best to test a draft questionnaire on a few people to ensure that they understand the questions.

Experience has shown that many individuals are reluctant to provide their exact family income. For area benefit projects this type of exact income level is not needed! The central question discussed here is whether the family being interviewed has an income that is below or above the established low and moderate-income level for families of the same size.

One method to obtain this information in door-to-door interviewing is to carry a set of cards, one card each for the family sizes to be considered. On each card should be written the figure for low and moderate-income level for a family of that size. For example:

<u>Card Numbers</u>	<u>Persons in Family</u>	<u>Low/Mod Income Level *</u>
1	1	\$14,500
2	2	\$16,500
3	3	\$18,650
4	4	\$20,700
5	5	\$22,000
6	6	\$23,300
7	7	\$24,600
8	8	\$25,900

**\*Be sure to use current limits**

The interviewer would then ask the respondent for their family size (living in the household), show the appropriate card and ask if the family income is above or below the amount shown.

Another alternative is for the survey questionnaire to show the same information with a question asking if the family's income is above or below the limit. See the sample survey form at the end of this Guide for an example.

In some situations the person being interviewed may not know the family's annual income. In this case it will be necessary for the interviewer to obtain basic income data for specific pay periods, apply appropriate multipliers and add estimated annual income from all family members to project a yearly income.

An adequate questionnaire must be able to provide answers to at least the following two questions: (A sample is included at the end of this Guidebook.)

1. How many people live here in your family?
2. What is the annual gross family income from all sources?

While the necessary questions are brief and simple, there are some additional factors to take into account when designing the questionnaire. First, the questions used cannot be “loaded” or biased. The interviewer may not imply that the neighborhood will benefit or receive CDBG funding if respondents say that they have low incomes. The questions must be designed to determine truthfully and accurately whether respondents have low and moderate incomes.

It is permissible to note that the reason for the survey is to gather information essential to support an application for funding under the State CDBG program.

Second, bear in mind that questions about income are personal. Many people are suspicious or reluctant to answer questions about their incomes--especially if they do not see the reason for the question. A good way to handle this problem is to put questions about income at the end of a somewhat longer questionnaire on other community development matters. In this instance, a local agency can use the questionnaire to gather some information on what the neighborhood sees as important needs or to gather feedback on some policy or project. At the end of such a questionnaire, it usually is possible to ask questions on income more discreetly. If this option is chosen, however, it should be noted that an excessively lengthy questionnaire might cause respondents to lose interest before it is over. The ideal length would probably be less than ten minutes, although certainly you could develop an even longer questionnaire if it were necessary.

Of course, it is possible to ask only the critical questions on income and family size. You should know best how people in your community would respond to such questions. With a proper introduction that identifies the need for the information, you can generate an adequate level of response.

### **Step 3: Selecting The Sample**

In selecting a sample of families to interview, there are a series of steps that must be taken for the results to be accurate and acceptable. First, you must define the group whose characteristics you are trying to estimate. Then you must determine how many families in that group must be sampled in order to estimate the overall characteristics accurately. Next you must make some allowances for families who, for whatever reason, you will not be able to interview. And finally, you must actually select the families to be interviewed. This section discusses each of these steps.

**Defining the Universe.** In sampling, the large group whose characteristics you seek to estimate from a sample is known as the universe. For purposes of the CDBG program, your universe will be all the families living in the area that is to be served by a CDBG-funded project. You will need to know how many families live in the “universe”.

When you have defined your universe, you next need a method of identifying the individual members of that area so that you can sample them. Ideally, for a given neighborhood, you would have a list of every address in the neighborhood benefit area. Then you would devise a procedure to select randomly the persons you wanted to interview.

In reality, you will not likely have such a list available, so you will have to improvise a little. One way would be to use neighborhood maps or go to the neighborhood and randomly select which homes to go to for an interview. The advantage of this method is that the houses are there, so you can go right to them instead of using a list. After collecting information on the various families, you then can make some estimates about the number of families and people in the neighborhood and their incomes.

For larger areas, it may not be practical to go door-to-door and a list of some sort may be absolutely necessary. For water and sewer projects city billing Departments will have a list of all addresses connected to the system. (This will not be of help if you are proposing to construct new sewer or water lines). City indexes, if available and up-to-date, usually provide the best source of family information suitable for sampling. Telephone books may be adequate, but keep in mind that you will miss people without telephones or with unlisted numbers. Also telephone directories usually will have far more people listed than those who are in your defined universe, so you will need to work to eliminate those outside of your target area. Tax rolls are a source identifying addresses in an area, but keep in mind that they identify property owners, whereas you are interested in residents. Also, tax rolls, generally identify building addresses, whereas in the case of apartment buildings, you are interested in the individual apartments.

**How big a sample?** After you have defined your universe and identified a method for identifying individual families in the universe, you must next determine how many families to select. Note that this is a critical step for insuring accuracy. Too small a sample may lead to your CDBG applicaton being denied funding.

A randomly chosen sample is also absolutly essential for accuracy (see below on selecting the sample). Assuming that you develop procedures whereby every family in your target area has an equal chance of being included in your sample, you can use Table 2 to determine how many families you need to interview.

Note that Table 2 provides the **minimum sample size** based on the size of the population universe. It is acceptable to use larger samples but only if all families are chosen in the same manner.

**Unreachables and Other Non-Response:** It is important to note that the sample sizes suggested in Table B **indicate the number of interviews needed, and not necessarily the size of the sample you need to draw.** No matter what you do, some families will not be home during the time you are interviewing, some probably will refuse to be interviewed, some will terminate the interview before you finish, and some will complete the interview, but fail to provide an answer to the question on income level. In order to be considered an adequate response, the interview must be conducted, and you must obtain complete and accurate information on the respondent's income level. Table C on the next page suggests some of the usual rates of response to be expected by a variety of surveys.

Based on Table C, if you were doing a door-to-door survey to obtain 250 interviews in a 400 family neighborhood, you should anticipate that you will need to actually try to interview between 278 and 333 families (200 divided by 75% or 9%). Thus, list from, one way to deal with non-response is to oversample -- list about 300 families and assume you will be able to interview 250. In door-to-door surveys, it will then be possible to replace unreachables, by trying to obtain an interview next door to the family actually sampled.

**TABLE 2**

**REQUIRED SAMPLE SIZES FOR UNIVERSES OF VARIOUS SIZES**

<i><u>Number of Families in the Universe</u></i>	<i><u>Minimum Sample Size</u></i>
55 or less	50
56 - 63	55
64 - 70	60
71 - 77	65
78 - 87	70
88 - 99	80
100 - 115	90
116 - 133	100
134 - 153	110
154 - 180	125
181 - 238	150
239 - 308	175
309 - 398	200
399 - 650	250
651 - 1200	300
1201 - 2700	350
2701 or more	400

**TABLE 3**

**EXPECTED RESPONSE RATE FOR DIFFERENT TYPE OF SURVEY**

<i><u>Survey Type</u></i>	<i><u>Expected Rate of Response</u></i>
Mail	25-50%
Mail, with letter follow-up	50-60%
Mail, with telephone follow-up	50-80%
Telephone	75-90%
Door-to-Door	75-90%

**Selecting the Sample:** In sampling, you are looking at a portion of everyone in a group and making inferences about the whole group. For those inferences to be most accurate, everyone who is in the group should have an equal chance of being included in the sample. For example, if you are sampling from a list, using a random numbers table will provide you with a highly random sample. In using a random numbers table, you take a list of your universe and draw from it according to the table. If, for example, the first three random numbers are 087, 384, and 102, then you would go through your universe list and take the 87<sup>th</sup>, 384<sup>th</sup>, and 102<sup>nd</sup> families to try to interview. Continue until you have achieved the desired sample size.

As indicated above, when sampling from a list, you should oversample. Then, if you encounter unreachables, you should replace them with families in the oversample list in the order they were selected. For example, if you drew a list of 300 families in an effort to obtain 250 interviews, the first family you write off as “unreachable” should be replaced by the 251<sup>st</sup> family sampled.

Achieving a purely random sample can be costly, so it is acceptable to take some shortcuts. If you do not have a list of all the families in a target area, but you know the geographic boundaries of the target area, you might **randomly select a point at which to start and proceed systematically from there.** In our hypothetical 400 family neighborhood, for example, in trying for 250 interviews, you need to interview every 1.6<sup>th</sup> family (400 divided by 250) to ensure that you would cover the entire neighborhood. In whole numbers, this works out to about 2 of every 3 families. Therefore, you could start at one end of the neighborhood and proceed systematically through the entire neighborhood trying two doors and then skipping one. Any families that were selected by this procedure at which an interview was not possible could be replaced by the next family you would have skipped. If the sample size called for you to sample one of every six families, you could draw a random number from one to six and start at that family and every sixth family after it, and replace unreachables with every third family in the six family groups.

#### **STEP 4: CONDUCTING THE SURVEY**

To carry out the survey, you have to reproduce sufficient questionnaires, recruit and train interviewers, schedule the interviewing, and develop procedures for editing, tabulating, and analyzing the results.

**Publicity.** To promote participation it is worthwhile to arrange some advance notice. A notice in a local newspaper or announcements at churches or civic organizations can let people living in your target area know that you will be conducting a survey. If you let people know in advance how, when, and why you will contact them, usually they are more willing to cooperate.

As with all aspects of the survey, any publicity must be worded so that it does not bias the results. For example, it is fine to say that the community is applying for a State CDBG grant and that, as part of the application, the community has to provide the State with current estimates of the incomes of the residents of the target neighborhood. It is not appropriate to say that, in order for the community to receive the desired funding, a survey must be conducted to show that most of the residents of the target area have low and moderate incomes.

**Interviewers.** Anyone who is willing to follow the established procedures can serve as an interviewer. Volunteers from local community groups serve well. Also, schools or colleges doing courses on civics, public policy, or survey research frequently may be persuaded to assist in the effort as a mean of providing students with practical experience.

**Contact and Follow-Up.** Interviewers should attempt to contact respondents at a time when they are most likely to get a high rate of response from most types of people. Door-to-door interviews should be conducted early in the evening (especially before dark) or on weekends. You should try again at a different time to reach anyone in the initial sample who is missed by this initial effort.

What you should avoid is selecting a time or method that will yield biased results. For example, interviewing only during the day from Monday to Friday probably will miss families where both the husband and wife work. Since these families may have higher incomes than families with only one employed member, your timing may lead to the biased results of finding an excessively high proportion of low and moderate income families.

Of course, in making contact with a member of the family, the interviewer first has to determine that the person being interviewed is knowledgeable and competent to answer the questions being asked. The interviewer thus should ask to speak to the head of the family or the spouse of the head. If it is absolutely necessary, the interviewer may conduct an interview with other resident adults or children of at least high school age after determining that they are mature and competent to provide accurate information.

As part of your questionnaire, you should develop a standard introduction which the interviewers introduce themselves, identify the purpose of the survey, and request the participation of the respondent. Usually it is also a good idea to note that the expected duration of the interview -- to let respondents know that the burden to them will be minimal.

You also should emphasize to respondents that their answers will be kept confidential. You should do your very best to maintain this confidentiality. Usually, the respondent's name, address and telephone number appear only on a cover sheet -- never on a survey form. Each survey form and cover sheet can be coded in order to match the survey to its cover, if needed. What is important is that people will not just be able to pick up a questionnaire and see what someone else's income is.

**The Interview.** Interviewers should read the questions exactly as they are written. If the respondent does not understand the question or gives an unresponsive answer, it usually is best to have the interviewer just repeat the question. Questions should be read in the order in which they are written. The respondents' answers should be recorded immediately as they are provided. At the end of the interview, and before proceeding to the next interview, the interviewer should always do a quick edit of the questionnaire to be sure that they have completed every answer correctly. This simple check helps to avoid the frustrating mistake of having gone to the time and expense of conducting the interview, but without getting the information you sought.

Note that there may be an important exception to reading the questions in the exact order every time. If you elect to include other questions, and if you place the questions on income at the end, it is possible that a willing respondent will end the interview before you get to the critical question. If it appears to the interviewer that the respondent is about to terminate the interview, it is recommended that he or she immediately try to get an answer to the critical income question.

**Editing.** Interviewers should turn their completed surveys in to the person who will tabulate and analyze them. That person should review each survey to ensure that is complete and unambiguous. Questions or errors that are found should be referred to the interviewer for clarification. Note that editing is an ongoing process. Even after you have started to tabulate or analyze the data, you may come across errors, which you need to correct.

## **STEP 5: DETERMINING THE RESULTS**

After you have your data collected and edited, you just need to add up the numbers to see what you have learned. Actually, it is useful to think of this in two parts: (1) tabulating the responses from the questionnaires and calculating an estimated proportion of low and moderate income persons; and (2) determining how accurate that estimate is. The first of these parts can be taken care of by completing the low and moderate income worksheet, which appears below.

**Tabulation.** For ease of processing, it may be desirable to enter the responses onto a computer, if one is available. Personal computer software packages such as dBase, Lotus 1-2-3, and MS Excel are easy to use in tabulating this type of data. Computers also make it relatively easy to check for accuracy and consistency in the data. However, you can perform the calculations by hand or with a calculator. And you can process the data by putting it on a code sheet, by entering it on a manual spreadsheet, or just by flipping through the completed surveys.

Regardless of how you process and tabulate the data, you should be able to complete Part A of the low and moderate income worksheet. The worksheet provides an easy way to summarize survey results. Survey data is entered in Part A. Calculations based on the data go in Part B and Part C is an example with instructions. Information requested by DCA on form 6 could be easily provided by a CDBG applicant if the worksheet is completed.

## LOW AND MODERATE INCOME SURVEY WORKSHEET

### PART A. INFORMATION CONTAINED IN YOUR SURVEY

1. Enter the estimated total number of families in the target area. 1. \_\_\_\_\_
2. Enter the total number of families interviewed. 2. \_\_\_\_\_
3. Enter the total number of low and moderate income families interviewed. 3. \_\_\_\_\_
4. Enter the total number of persons living in the low and moderate income families interviewed. 4. \_\_\_\_\_
5. Enter the total number of non low and moderate income families interviewed. 5. \_\_\_\_\_
6. Enter the total number of persons living in the non low and moderate families. 6. \_\_\_\_\_

### PART B. CALCULATIONS BASED ON DATA CONTAINED IN YOUR SURVEY

7. Divide Line 4 by Line 3. (This is the average size of the low-mod family you interviewed) 7. \_\_\_\_\_
8. Divide Line 6 by Line 5. (This is the average size of non low-mod family you interviewed) 8. \_\_\_\_\_
9. Divide Line 3 by Line 2. (This is the proportion of families interviewed that have low and moderate incomes) 9. \_\_\_\_\_
10. Divide Line 5 by Line 2. (This is the proportion of families interviewed that do not have low and moderate incomes) 10. \_\_\_\_\_
11. Multiply Line 1 by Line 9. (This is the estimate of the total number of low-mod families in your target area) 11. \_\_\_\_\_
12. Multiply Line 1 by Line 10. (This is the estimate of the total number of non low-mod families in your target area.) 12. \_\_\_\_\_
13. Multiply Line 7 by Line 11. (This is the estimate of the total number of low-mod persons in your target area.) 13. \_\_\_\_\_
14. Multiply Line 8 by Line 12. (This is the estimate of the total number of non low-mod persons in your target area.) 14. \_\_\_\_\_
15. Add Line 13 and Line 14. (This is the estimate of the total number of persons in your target area) 15. \_\_\_\_\_

16. Divide Line 13 by Line 15, and multiply the resulting decimal by 100. (This is the estimated percentage of persons in your target area who have low and moderate incomes.) 16. \_\_\_\_\_

### **PART C. INSTRUCTION AND EXPLANATIONS**

1. The number that goes on Line 1 is something you needed to know before drawing your sample. In the course of your survey, you may refined your original estimate. On Line 1, you should enter your current best estimate of the total number of families in the area.
2. For the number of families interviewed, you actually want the total number of interviews with complete and accurate information on the income.
3. When you are completing Part A, be sure that the answers are logical. For example, the number of Line 4 cannot be smaller than the number on Line 3 (because every family must have at least one person). Similarly, the number on Line 6 cannot be less than the number on Line 5. Also note that the number on Line 3 plus the number on Line 5 should equal the number on Line 2 -- every family is either low and moderate income or it is not.
4. Some examples for Part B: For purposes of illustration, assume that you estimated that the target area contained 650 families (Line 1). Assume that you interviewed 250 families (Line 2), of whom 130 had low and moderate incomes (Line 3). These low and moderate income families contained 450 persons (Line 4). The 120 families with incomes above the low and moderate income level (Line 5) contained 400 persons (Line 6). You would complete Part B as follows.

- Line 7. If the families you interviewed contained 450 low-mod persons in 130 families, the number on Line 7 would be about 3.46 ( $450/130$ ).
- Line 8. If the families you interviewed contained 400 non-low-mod persons in 120 families, the number on Line 8 would be about 3.33 ( $400/120$ ).
- Line 9. If you interviewed a total of 250 families, 130 of which had low and moderate incomes, the number on Line 9 would be about .52 ( $130/250$ ).
- Line 10. If 120 of the 250 families you interviewed did not have low and moderate incomes, the number on Line 10 would be about .48 ( $120/250$ ).
- Line 11. If your target area contained an estimated 650 families, and you interviewed 250, of which 130 had low and moderate incomes, the number on Line 11 would be about 338 ( $650 \times .52$ ).
- Line 12. Continuing with the example, Line 12 would be about 312 ( $650 \times .48$ ).
- Line 13. 3.46 persons per low-mod family times 338 low-mod families--line 13 would be about 1,169.

- Line 14. 3.33 persons per non-low-mod family times 312 non-low-mod families--  
Line 14 would be about 1,039
- Line 15. Total low-mod persons (1,169) plus total non-low-mod persons(1.039)--  
Line 15 would be about 2,208 estimated total persons.
- Line 16. 1,169 low-mod persons divided by 2,208 total persons yields about .5294.  
Multiplied by 100, this gives an estimate that about 52.94 percent of the  
residents have low and moderate incomes.

**Analysis.** The estimate you reach for the proportion of the residents who have low and moderate incomes will be just that--an estimate. If you have done everything right, including random selections of the required number of families, the estimate should be reasonably accurate. If, using the procedures specified here you come up with an estimate of 75 percent or more of the residents of the target area having low or moderate incomes, you can be sure that at least 70 percent of the residents actually have low or moderate incomes. You can skip over this section, and go down to STEP 6.

On the other hand, if your estimate is less than 70 percent, the presumption is that the area is ineligible as a target area. This section, and in fact, the remainder of this guide, probably will not be of much use to you.

**This section is intended for use by those whose survey results indicate that somewhere between 70 and 74 percent of the residents of the target area have low and moderate incomes.** If your estimates were in the 70-74 percent range, there is less certainty than if you came up with a higher proportion. The closer your estimate is to 70 percent, the less certain you become that the area is an eligible low and moderate income target area.

There are a couple of additional analysis you can make to help determine the extent to which your estimate of the proportion of the low and moderate income residents is correct. First, compare the average size of the low and moderate income families in your sample with the average size of above low and moderate income families. The closer those figures are to each other, the more confident you can be in your estimate. Thus, if you estimate that 62 percent of the residents have low and moderate incomes and you found in your sample that both low and moderate income families and those above low and moderate income families had an average size of 3.4 people, you can be pretty sure that it is a low and moderate income area.

A second simple calculation is to arrange your data into a table such as that outlined below as Table D. This table enables you to compare the distribution of family sizes of families with low and moderate incomes with those that are above low and moderate income.

In completing Table D, you would count the number of low and moderate income families in your survey that had just one person in the family. You would enter this figure under "number" across from "one." You would proceed to enter the number of low and moderate income families with two persons, with three persons, and so forth through the "nine or more" category. Adding up all entries in this column, you enter the sum across from "total," which will be the total number of low and moderate income families from which you obtained interviews. Then, considering families that are above low and

moderate income, you follow the same procedure to complete the “number” column for them. For each income group, dividing the number of one person families by the total number of families in that income group and multiply it by 100, yields the percent of that group that are in one-person families. You should fill in the “percent” columns using this procedure. Each of the percent columns should total to 100 or so allowing for rounding errors.

**TABLE D  
TABLE FOR COMPARING THE DISTRIBUTION  
OF FAMILY SIZE BY FAMILY INCOME**

Number of Persons in The Family	Families with Low and Moderate Incomes		Families with above Low and Moderate Incomes	
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>
One				
Two				
Three				
Four				
Five				
Six				
Seven				
Eight				
<u>Nine of More</u>				
Totals	_____	_____	_____	_____
		100%		100%

When you have filled Table D with your data, compare the percentages of the low and moderate income respondents with the percentages of the above low and moderate income respondents for each family size. The closer the distribution, the greater the degree of confidence you can have in your estimate of the proportion of persons with low and moderate incomes. For example, if among your low and moderate income group, 10 percent have one person, 40 percent have two persons, and 50 percent have three persons, and among your above low and moderate income group 12 percent have one person, 41 percent have two persons, and 47 percent have three persons, you would have a great deal of confidence in you estimate.

Consider a scenario where you estimate that 61% of the residents have low and moderate incomes. You examine the distribution of families sizes according to Table D and find that in your sample 100% of your low and moderate income group had just one person and 100% of you above low and moderate income group had nine or more persons. (Yes this would be a strange neighborhood.) This distribution would make it probable that your sample was badly distributed in favor of large above-lower income families and that, without the sample error, the actual distribution in the target area is that at least 60 % of the residents had low and moderate incomes.

After completing data collection, non-respondents should be briefly analyzed to determine that they were reasonably random. For example you may want to tabulate the rate of response by street or block in the target area to see whether there are notable gaps in the coverage of you survey. You may want to examine the racial or

ethnic background of your respondents and compare them with what you supposed the distribution to be. If you do not detect any major gaps in the coverage of your sample or any probable patterns in the characteristics of your non-respondents, you can be more certain of the accuracy of your estimate.

## **STEP 6: DOCUMENTING YOUR EFFORT**

The result of your survey will indicate to you with a high degree of accuracy whether your target area is predominately low and moderate income. People who may be auditing or evaluating the program may want to review the procedures and data you used to determine that your target area qualifies under the CDBG program regulations. You should therefore maintain careful documentation of the survey. The contents of that documentation are discussed here.

1. Keep the completed surveys. This will show you actually did the survey and that you asked the proper questions.

It is best if each survey has a cover sheet that contains the information that indicates the respondent, such as name, address, and telephone number. Then, when the survey is complete, the cover sheets can be separated from the questionnaires. You can save the questionnaires as documentation of your work, but maintain the privacy of your respondents.

If you save the cover sheets and save them separately, this provides you with a record of who was contacted. If anyone wanted subsequently to verify that you had not made up data, they could contact some of the respondents noted on the cover sheet and ask them whether, in fact, they had been contacted on such-and-such a date by such-and-such a person to discuss matters related to community development. The privacy of their responses still is protected by this procedure.

2. Keep a list of the universe of the families you sampled from and a list of the actual families sampled. This might be one list with the sampled families being checked once if they were sampled, and checked twice if they were interviewed. Replacement families should be noted too. There should be some written documentation about the method you used to select families from the list for interviewing. Note that this is a little different from keeping just the cover sheets, since it documents not just who was interviewed, but also who was not interviewed and how interviewees were selected.

If you did a door-to-door sample without starting from a universe list, you should have written down the procedures you used to select the sample, including instructions to interviewers for replacing sampled families who were not interviewed.

3. You should retain your data analysis and tabulation. If you put the data onto a computer, keep a floppy disk with the data and programs you used to tabulate the results. If you do your tabulations from spreadsheets, retain the spreadsheets. If you just leaf through the questionnaires and count up responses and enter them into a table as you go, keep the tables with the raw data counts.

## OVERVIEW OF STEPS IN A SAMPLE SURVEY

### STEP 1: Selecting the Type of Survey

- a. Decide whether it is best to conduct a telephone, door-to-door, or other types of survey. Be sure to consider your available manpower, the size of the sample you need, and the means you have available for identifying families to interview.

### STEP 2: Developing a Questionnaire

- a. Write your questionnaire. Remember to keep the language as simple as possible. Avoid bias—do not encourage particular answers. Include other questions, if you like, but make sure the survey does not take too long.
- b. Develop a standard introduction for your interviewers to use in approaching the respondents.

### STEP 3: Selecting the Sample

- a. Define your universe. What is the area or population for which you are trying to estimate the portions of persons who have low and moderate incomes.
- b. Identify a procedure for identifying individual families in the target area. Obtain a complete list of residents, addresses, telephone numbers, or identify a procedure for selecting from all of the homes in the area.
- c. Determine the number of interviews you need to achieve an acceptable level of accuracy
- d. Select your sample (or sample selection procedure). Make sure you can add families to replace refusals. Make sure that the entire universe is covered—that is, that you have not excluded certain areas or groups of people.

### STEP 4: Conducting the Survey

- a. Select and train your interviewers. Make sure they are very comfortable with the questionnaire. Make sure they know the importance of randomness and how to select and replace individual families.
- b. Make contact with the sample. Write or phone and let them know you are coming. Or just knock on doors, if this is the procedure you select.
- c. Try again (and again) where contact has not resulted in an interview.
- d. Replace families you have written off as “unreachable.”

### STEP 5: Determine the Results

- a. Complete the Low and Moderate Income Worksheet. What is your estimated percent low and moderate income residents? If your results are between 60 and 65 percent does your data give you any reason to think that this is an overestimation.

### STEP 6: Documenting Your Efforts

- a. Save the completed questionnaires, preferably in a form that does not identify the respondents.
- b. Save a list of the respondents, preferably in a form that does not identify their responses.
- c. Save a list of your sampling procedures, this includes your universe list, your original sample, your replacements, your sampling method, and your replacement method.
- d. Save your data.

**HOUSEHOLD SURVEY FOR A PROPOSED  
COMMUNITY DEVELOPMENT BLOCK GRANT**

**ALL INFORMATION ON THIS SURVEY IS ABSOLUTELY CONFIDENTIAL!**

Purpose of survey: City of \_\_\_\_\_ is seeking a grant to \_\_\_\_\_ in order to solve the problems of the residents.

**1. HOUSEHOLD AND INCOME INFORMATION**

Total household residents \_\_\_\_\_ and # of: Adults \_\_\_\_\_; Children \_\_\_\_\_; Elderly \_\_\_\_\_ and/or Handicapped \_\_\_\_\_

The Head of Household is ((Y One ONLY-->) Male \_\_\_\_\_ OR Female \_\_\_\_\_) and is (Y) Elderly \_\_\_\_\_ Handicapped \_\_\_\_\_

Y Are you Hispanic? YES NO \_\_\_\_\_

Y Household Race: \_\_\_\_\_ White \_\_\_\_\_ Black \_\_\_\_\_ Black/White \_\_\_\_\_ Asian \_\_\_\_\_ Pacific Islander  
 \_\_\_\_\_ Native American \_\_\_\_\_ Asian/ White \_\_\_\_\_ Asian/ Pacific Islander \_\_\_\_\_ Native American/White  
 \_\_\_\_\_ Native American/ Black \_\_\_\_\_ Other multi racial

Please CIRCLE the number of people in your household below, and then CIRCLE the income WITHIN THAT ROW that your combined annual household income falls within. Combined annual household income is the total amount of income that all the members of your household make within a year. Please note that we **DO NOT WANT OR NEED YOUR HOUSEHOLD'S EXACT INCOME.** Grant-providing agencies only need to know which broad income bracket they will be aiding if they fund water and/or sewage improvements.

Total People in Your Household	Combined Annual Household Income			
	1 person	Less than \$9,750	\$9,750 - \$16,199	\$16,200 - \$25,999
2 people	Less than \$11,150	\$11,150 - \$18,549	\$18,550 - \$29,699	\$29,700 or more
3 people	Less than \$12,550	\$12,550 - \$20,849	\$20,850 - \$33,399	\$33,400 or more
4 people	Less than \$13,900	\$13,900 - \$23,199	\$23,200 - \$37,099	\$37,100 or more
5 people	Less than \$15,050	\$15,050 - \$25,049	\$25,050 - \$40,099	\$40,100 or more
6 people	Less than \$16,150	\$16,150 - \$26,899	\$26,900 - \$43,049	\$43,050 or more
7 people	Less than \$17,250	\$17,250 - \$28,749	\$28,750 - \$46,049	\$46,050 or more
8 people	Less than \$18,350	\$18,350 - \$30,599	\$30,600 - \$48,999	\$49,000 or more

**2. Certification (Information on this survey form is ABSOLUTELY CONFIDENTIAL!)**

I certify that my household size and household income answers indicated above are correct.

Signature:

Print Name:

Date:

**PLEASE PRINT your mailing/ and physical address above**

**PLEASE PRINT ABOVE your home's package delivery location - Directions for a package to be delivered to you. (Address, street/road NAME) etc.**