

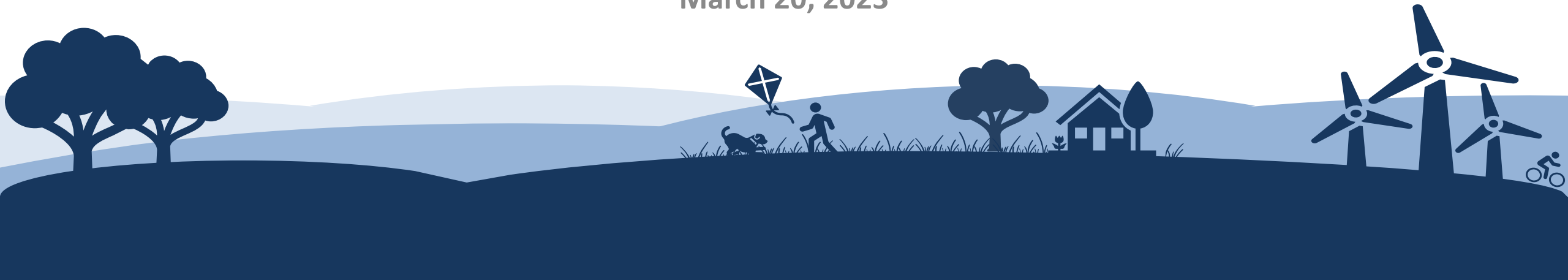


CDBG Income Survey Toolkit Overview

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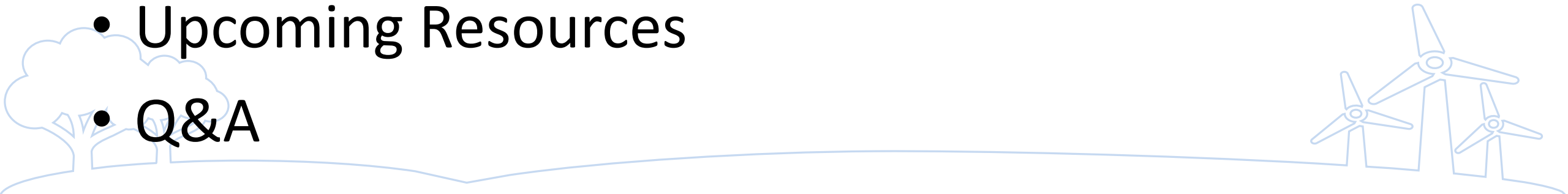


INTRODUCTION



Topics Covered

- Key Concepts
- Why conduct a local income survey?
- Toolkit Snapshot
- Survey process and how to use the Toolkit
- Upcoming Resources
- Q&A



KEY CONCEPTS

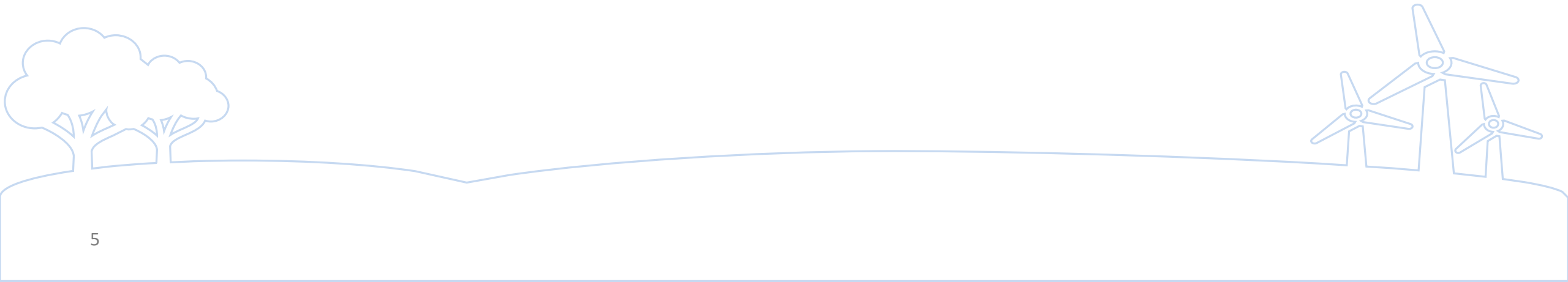


Definitions

24 CFR 570.3

24 CFR 5.403

- Family: A single person or a group of people, which can include children, living together
- Household: All persons, related or unrelated, occupying a housing unit
- Person: Any individual



Definitions (cont'd)

24 CFR 570.481(a) (States)
42 U.S.C. 5302(a)(20)(A)

- **Income:** States may establish their own definitions of income, provided such definitions are explicit, reasonable, and not plainly inconsistent with the Housing and Community Development Act
- **Low- and Moderate-Income:** Families and individuals whose incomes do not exceed 80% of area median income

Basic Area Benefit Requirements

24 CFR
570.483(b)(1)
(States)

- Benefits available to all area residents for a particular area (the “service area”)
- A service area be primarily residential
- An activity meets the LMI Area Benefit (LMA) National Objective if **at least 51 percent** of the area residents are low- and moderate-income (LMI) persons

Determining Area Benefit LMI Criteria

- HUD provided LMI Summary Data (LMISD)
- Conduct a local survey

WHY CONDUCT A LOCAL INCOME SURVEY?



Reasons to Conduct a Survey

- If the activity's service area doesn't qualify with the LMISD provided, and the UGLG has reason to believe that the LMISD is inaccurate
- The LMISD geographies (Block Group, Place, County Sub-Division, County) do not need to be coterminous with the Service Area, but must include the Entire Service Area.

TOOLKIT SNAPSHOT



Snapshot of Toolkit Contents

- The Guidebook, *Conducting Local Income Surveys in the Community Development Grant Program*
- Outreach materials
- 5 Survey instruments (4 digital, 1 paper)
 - 4 Corresponding User guides
- Excel Data Analysis Tools
- Case Management Resources



SURVEY PROCESS AND HOW TO USE THE TOOLKIT



Use the Guide from Start to Finish

➤ The Guidebook, *Conducting Local Income Surveys in the Community Development Grant Program*:

- Provides step-by-step guidance on how to conduct an income survey including:
 - Determining Survey Approach
 - Prepare for Survey
 - Calculating Sample Size
 - Conducting the Survey
 - Calculating the Results

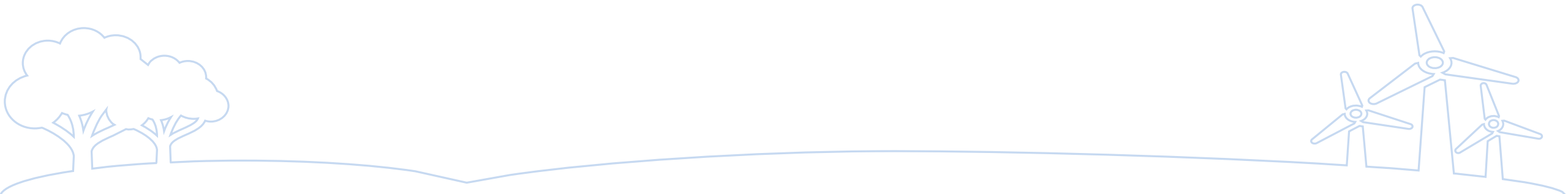


Define the Service Area

- Service Area Boundaries
 - Need not be coterminous with Census boundaries
 - Must be reasonable given the activity
- Consider:
 - The nature of the activity
 - The location of the activity
 - Accessibility issues
- The service area will be the survey area

Determine Survey Approach

- Web-based Survey
- Paper Survey
- Telephone Survey
- In-Person Interviewing
- Multi-Modal



Determine Survey Approach (cont'd)

➤ Web-based Survey

- Distribute via mail or email with web survey link and/or QR code for respondents to access survey

- 4 Web-Based Survey Instruments available via subscription
 - Microsoft Forms (Office 365 subscription)*
 - Survey123 (ArcGIS/ESRI subscription)*
 - Fulcrum
 - Qualtrics
- 4 Corresponding User guides

Cost breakdown for
Web-Based Surveys in
Appendix A of The
Guidebook, page 35

Use the
Toolkit

*Spanish version available

Determine Survey Approach (cont'd)

➤ Mail/Paper survey

- Mail respondent a letter that includes a questionnaire and prepaid return envelope

- Paper Survey templates
 - Income Survey Card
 - Mail Income Survey*

Use the
Toolkit

*Spanish version available

Determine Survey Approach (cont'd)

➤ Telephone Survey

- Contact respondents via telephone or provide a toll-free number for respondents to call to take the survey

➤ In-Person Interviewing

- Send interviewers to sampled addresses to conduct the survey and collect data

- In-person Survey template
 - In-person Interviewer Notes and Income Survey*

*Spanish version available

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Toolkit

Determine Survey Approach (cont'd)

Guidebook Recommended

Three-Step Multimodal Approach:

1. Initial Send Out:

- Send the paper survey or link to web-survey via letter OR e-mail web-based survey to sample addresses.

2. Follow-up by Mail

- After one week, send a follow-up postcard.

3. Follow-up in Person

- After a pre-determined amount of time, visit homes in-person that did not respond via the letter or postcard and addresses without a viable mailing address. Continue until your community receives enough survey responses to meet your service area's necessary sample size.

Use the
Toolkit

Step 1—Letter

Send letter to sample.

Dear John Smith/Resident,
[Assurance of confidentiality]
Estius volorem non reici opisint et,
ullaborum et maxim rest, sus, sam
ipiet qui il iusapiciamet es am, quat.

Family 2	Family 3	Family 1
ID2	ID3	ID1

Survey URL: www.survey.net

Toll free # (if using): 888-555-5555

Contact person, email, phone



Step 2—Postcard

After one week, send postcard.

Dear John Smith/Resident,

You recently received
a letter with a request
to take an online survey
to benefit your community.

Survey URL
IDs



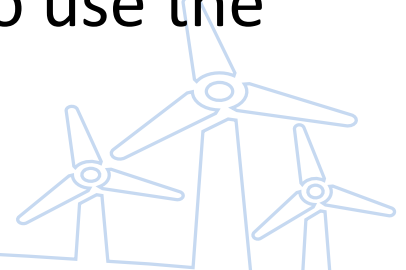
Step 3—In-person

Visit homes that didn't respond
via the letter or postcard and
addresses without a good
mailing address.



Determine Survey Approach (cont'd)

- Depends on UGLG's available time and resources. For example:
 - If an UGLG has a limited staff capacity, they may choose to rely on mail and telephone survey only instead of in-person surveying
 - If an UGLG already has a subscription for either Qualtrics, Fulcrum, Survey123 (ESRI/ArcGIS software), or Microsoft Forms (Office 365), they may choose to use that web-based survey resource in the toolkit
 - If an UGLG has a limited budget capacity, they may choose to use the paper survey in the toolkit



Prepare to Conduct Survey: Obtain Sampling Frame

- Obtain and clean sampling frame
 - City utility and tax rolls
 - Clean and validate data to ensure address list is complete and contains only residential units
 - Assign Unique Family IDs

Use the
Toolkit



The screenshot shows the RANDOM.ORG website interface. At the top, it says "RANDOM.ORG" and "True Random Number Service". Below that, there's a "Random String Generator" section. It includes a search bar, a description of the service, and a form with the following fields and options:

- Generate: 5800 random strings (maximum 10,000).
- Each string should be 5 characters long (maximum 20).
- Which characters are allowed to occur in the strings?
 - Numeric digits (0-9)
 - Uppercase letters (A-Z)
 - Lowercase letters (a-z)
- Do you want each string to be unique?
 - Each string should be unique (like raffle tickets)
 - Identical strings are allowed (like dice rolls)

At the bottom of the form, it says "Part 2: Go!"

Assign Unique Family IDs using
Random.org before drawing sample

Prepare to Conduct Survey: Determine Sample Size and Draw Sample

1. Determine Sample Size

- Sample Size is based on:
 - 90% Confidence Level
 - Margin of Error = the lesser of
 - ✓ 10% OR
 - ✓ The MOE of the HUD-provided data for the closest corresponding area

2. Draw Sample

- To account for non-responses, **draw at least 150 – 200 percent** of the number of addresses required

Use the
Toolkit

Use Survey Monkey to calculate
sample size

Calculate your sample size

Population Size ⓘ	Confidence Level (%) ⓘ	Margin of Error (%) ⓘ
1800	90	10
Sample size		
66		
Send a 10-question survey for free in minutes and see the first 100 responses.		

Prepare to Conduct Survey: Publicize Survey

- Publicize survey prior to data collection through:
 - Public meetings, informational mailings, public notices, newspaper ads, listservs, city council meetings, and more

- Outreach Materials
 - Income Survey Flyer*
 - Income Survey Letter*
 - Reminder Post Card*
 - Sorry We Missed You Card*
- All Materials can be customized with local seals and letterhead, as appropriate

*Spanish Versions Available

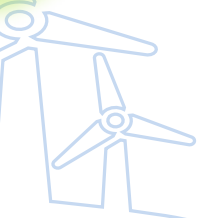
Use the
Toolkit

Conduct Survey

- Distribute surveys, reminder postcards and letters, etc.
- If conducting in-person surveying:
 - Deploy Field Workers
- Conduct Case Management
 - Track Responses and Progress of Survey

- Case Management Process Guide
- Case Management Paper Tool
- Case Management Excel Tool

Use the
Toolkit



Analyze Data and Calculate LMI Percentage

Step 1: Clean and Validate Dataset

- Resolve data irregularities or any data entry errors
- Ensure each data row is for a single family and contains valid income data
- Confirm receipt of minimum # of responses required for sample size

Step 2: Calculate LMI Percentage

- If a web-based instrument was utilized, follow the corresponding user guide to download data from the software and paste into the Excel Tool (manual data entry form also available)
 - The Excel Tool will automatically calculate percentage LMI

Use the
Toolkit

Use Excel Tool which Automates Data Analysis:

- Fulcrum, Microsoft Forms, and Manual Entry Data Entry Form
- Qualtrics and Manual Data Entry Form
- Survey123 and Manual Data Entry Form

Example: Determine Sample Size, Draw Sample, and Conduct Survey

Estimate # of housing units in service area:
1800 housing units

Use calculator to determine sample size:
66 surveys

Draw sample & conduct survey:
99 - 132 addresses

Clean data & calculate # of complete responses:
80 responses

Received sufficient # of responses to proceed with LMI percentage calculation

Calculate your sample size

Population Size ⓘ	Confidence Level (%) ⓘ	Margin of Error (%) ⓘ
<input type="text" value="1800"/>	<input type="text" value="90"/>	<input type="text" value="10"/>
Sample size		
66		

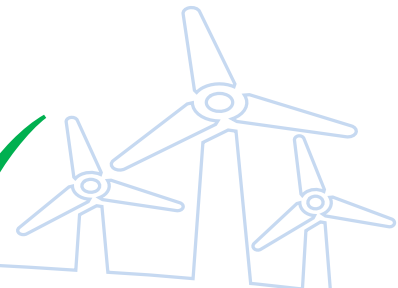
Example: Calculate LMI Percentage



Percentage of persons that are LMI =

$$\frac{\text{number of persons in LMI families}}{\text{total number of persons in all families}}$$

$$\frac{120}{200} = 60\% \quad \checkmark$$

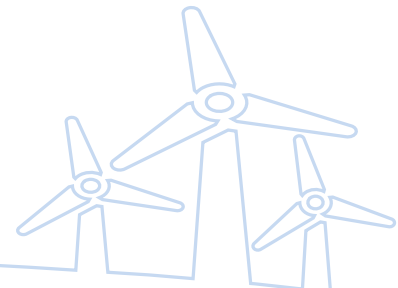


State's Role and Responsibilities

- State has discretion whether UGLGs may use methodologically-sound survey data over HUD-provided LMISD data (24 CFR 570.483(b)(1)(i)).
- Ensure UGLGs keep records to document local income survey policies and procedures, actual survey process and results. Ultimately, UGLGs must document activity's compliance with LMA national objective.
- Require UGLGs to provide survey data for proper reporting in HUD's Integrated Disbursement and Information System (IDIS).
- Provide HUD and State resources and technical assistance (as needed) to UGLGs.

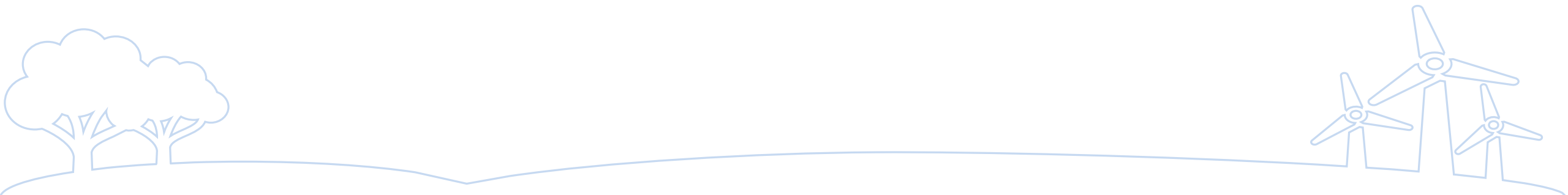
HUD Resources

- [CPD Notice 19-02](#)
- [CPD Notice 14-013](#) (updated Notice forthcoming)
- Link to CDBG Income Survey Toolkit:
 - www.hudexchange.info/programs/cdbg/cdbg-income-survey-toolkit/
- Link to Guidebook:
 - files.hudexchange.info/resources/documents/CDBG-Guidebook-for-Conducting-Local-Income-Surveys.pdf
- Link to HUD LMISD:
 - Data Sets: <https://www.hudexchange.info/programs/acs-low-mod-summary-data/>
 - Mapping Application: hud.maps.arcgis.com/home/item.html?id=ffd0597e8af24f88b501b7e7f326bedd



Upcoming

- CDBG Income Toolkit Webinar coming Late Spring
- Upcoming release of a CPD Notice which will update CPD-14-013: *Guidelines for Conducting Income Surveys to Determine the Percentage of LMI persons in the Service Area of a CDBG-Funded Activity*



Q&A

