

## APPENDIX D

### INCOME SURVEYS

Most projects funded by the Utah Small Cities CDBG program qualify under the national objective of **benefit to low and moderate income persons**. (Chapter 3) Low- and moderate-income persons (LMI) are persons and families whose incomes are no more than 80 percent of the median income of the area involved. Appendix C provides the income limits based on family size for each county. An applicant must be able to demonstrate the income eligibility of the project beneficiaries. In order to qualify, at least 51 percent of the project beneficiaries must be LMI. Some projects provide a benefit to a small area such as a street or neighborhood (site specific), while others provide benefit to an entire city, town or county (community wide). The information in this chapter will assist applicants as they determine the type of survey that is required for the proposed project.

1. After reading the information below, applicants **must** contact their local Association of Governments (AOG) representative for guidance **prior to** conducting the survey. Income surveys are tricky! Applicants should not try to do this without assistance from the AOG.
2. The AOG representative will contact the State CDBG staff at the Housing and Community Development Division (HCD) to review the proposed survey form and process **before** the applicant proceeds with the survey. **The survey form and process must be approved by the CDBG staff before the survey is conducted.**
3. Income surveys are valid for more than one application cycle under the following conditions:
  - a. The project beneficiaries and boundaries of the original project are identical to the new project beneficiaries and boundaries;
  - b. The income survey may be used for up to **three** application cycles if the survey shows that 51-59 percent of the beneficiaries are LMI;
  - c. The income survey may be used for up to **five** application cycles if the original survey shows that 60 percent to 74 percent of the beneficiaries are LMI.
  - d. The income survey may be used for up to **eight** application cycles if the original survey shows that 75 percent or more of the beneficiaries are LMI.

### HOW TO PREPARE TO CONDUCT AN INCOME SURVEY

1. First, applicants must determine which project they wish to carry out. Is it an eligible activity? (Chapter 3)
2. Next, the applicant must determine the boundaries of the project and the persons who will be benefitting from it. The AOG representative will assist the applicant in this determination.
3. The size and scope of the project determines which type of income survey is required.

**Note:** Income surveys are not required for projects that benefit a limited clientele group such as abused children, battered spouses, migrant farm workers, persons over 62 years of age (seniors),

**U.S. CENSUS - American Community Survey (ACS)  
Pre-Approved LMI Communities  
2017**

Antimony Town	56.25 %
Beaver City	54.53 %
Boulder Town	58.97 %
Brian Head Town	57.14 %
Bryce Canyon City	72.73 %
Carbonville CDP	56.51 %
Clawson Town	55.56 %
Coalville City	61.45 %
Ephraim City	62.54 %
Fayette Town	60.00 %
Hatch Town	55.17 %
Hildale City	65.41 %
Kamas City	67.20 %
Moroni City	52.08 %
Paragonah Town	51.25 %
Peoa CDP	62.65 %
Rocky Ridge Town	62.67 %
Samak CDP	54.26 %
South Willard CDP	51.45 %
Sunnyside Town	56.45 %
Trenton Town	51.49 %
Vernon Town	60.87 %
Virgin Town	51.39 %
Wendover City	72.16 %

illiterate adults, homeless persons, persons living with AIDS and severely disabled adults. HUD presumes that at least 51 percent of persons in these groups are low or moderated income (LMI). One example of a project for a limited clientele is a senior center because at least 51 percent of seniors are *presumed* to be LMI. A survey is not required. All the seniors in a town would be counted as beneficiaries of the project.

## **SITE-SPECIFIC SURVEYS**

If the project does not benefit the entire population of the community it is considered a *site-specific* project and will require a site-specific survey. Examples of projects that require a site-specific survey typically include the following projects:

- Water and sewer lines adjacent to homes
- Curb and gutter projects along secondary streets
- Road improvements along secondary streets
- Sidewalks along secondary streets
- Neighborhood parks

### **How to Conduct a Site-Specific Survey**

1. Applicants must provide a map of the project area that clearly shows the number of homes in the project area. (Barns, sheds and other buildings can be mistaken for homes on an aerial map.) All homes must be marked so the total number can be determined. Empty lots must be marked with an “E.”
2. Applicants must determine which homes are occupied and which are vacant. If no one is living in the home, the home must be marked on the map as being vacant. Vacant homes must be marked with a “V” and seasonal homes with an “S.”
3. Once the homes are identified, a survey form is prepared by the AOG representative using the most current HUD income limits for the county in which the project is located. (Appendix C)

**NOTE: It is critical that applicants receive approval from the state CDBG staff prior to conducting the survey. Surveys conducted incorrectly will not be accepted.**

4. An attempt must be made to survey 100 percent of the occupied homes in the project area.
5. In order for the survey to be valid, surveys from 80 percent of the homes must be completed.  
If there are 30 occupied homes in the project area, 24 surveys must be completed.  
.80 x 30 homes = 24 homes minimum to be surveyed
6. Homes with families that refuse to respond to the survey must be marked “R”.
7. Once the surveys are completed, the AOG representative will tally the results.
8. If at least 51 percent of the persons in the project area must be LMI in order for the project to qualify as meeting the CDBG national objective of **benefit to low and moderate income persons**.
9. After the survey is tallied, those families refusing to answer the survey will be added into the total number of beneficiaries of the project. (Everyone in the project area benefits from the project even if they don’t respond to the survey).

## COMMUNITY WIDE SURVEYS

If a project serves an entire community rather than a neighborhood or several blocks, a community wide survey must be completed. The entire population of the community must be represented in the survey. Examples of projects that would benefit an entire community include:

- Culinary water tanks that provide water to all residents
- Sewer lagoons or treatment plant
- Residential water meters
- Road, curb, gutter and sidewalk improvements on main street
- A main water line from the city water tank
- A fire station that serves ALL residents, not just one part of town
- Community centers
- Main city park (not a small neighborhood park)
- Recreation centers

### How to Conduct a Community-wide Survey

1. A community wide survey must be **random** and only a portion (**sample**) of the residents are surveyed. The number of homes to be surveyed depends on the population of the city or town.
2. Applicants begin by determining the **number** of residents in the city or town. The census figure or other documentation must be provided.
3. Applicants must contact their AOG representative for guidance before proceeding!
4. A utility billing or other complete list of residents is used to choose which homes will be surveyed.
5. The AOG representative will 1) calculate the *number of persons* to be surveyed and 2) the *number of homes* (based on average family size) that will need to be surveyed to get the minimum responses required. (The process is described on pages 4 and 5)

**Note:** If 235 people need to be surveyed and the average family size for the town is 2.3, then it is *projected* that 102 homes will need to be surveyed. If, in the end, the tally shows that fewer than 235 people were surveyed, then additional surveys will need to be conducted to get to 235.

6. Once the *number* of homes to be surveyed is determined, the next step is to determine *which* homes to survey. This is where the randomizing happens.
7. Using dice or a ‘random number generator’ website ([www.random.org](http://www.random.org)), a number is chosen. If, for example, the number eight is chosen, then the applicant will go down the list marking every eighth house. This process is repeated until the pre-determined number of homes is reached.
8. Only the homes marked on the list are surveyed. Homes on the list should be marked “V” for vacant or “R” for ‘refused to respond’.

9. An extra 15 homes should be marked differently on the list, surveyed and set aside should additional surveys be necessary.
10. **It is critical that applicants receive approval from the state CDBG staff prior to conducting the survey. Surveys conducted incorrectly will not be accepted.**

## DETERMINING SURVEY SIZE FOR COMMUNITY WIDE SURVEYS

The information below is provided so that applicants understand the survey process. **However, it is the AOG representative that will determine the ‘survey size’ for any applicant that needs to conduct a community wide survey.** Applicants do NOT have to do this math!

Using the Community Wide Survey Chart on the following page, applicants can determine how many **persons** must be surveyed. That number will be divided by the average family size to determine how many **households** will actually need to be surveyed. The applicant **must submit** documentation of how the figures were developed and then the CDBG staff will certify the numbers so that the applicant can proceed with the survey. The following example will help explain this process.

**EXAMPLE:**      **Manti City**                      **Population - 2,268**                      **Average Family Size - 3.75**

**Sample Size** - In order to determine the number of individuals who must be surveyed, the applicant should find the number (from the chart on the next page) which is nearest to but less than the actual population. In the example community, Manti, the chart shows that the number nearest to but less than 2,268 is 2,000. Then the applicant must determine what percent of their population is greater than the corresponding number (in this case 2,000) on the chart. 2,268 is 268 more than 2,000 and 268 is 54% of 500 ( $268 / 500 = .536$  or 54%), which is the difference between 2,000 and 2,500 on the chart. Then, take 54 percent of the difference between 714 and 769, which are the corresponding tolerated error numbers on the chart. ( $769 - 714 = 55$ ) Calculate 54% of 55. ( $.54 \times 55 = 30$ ) Add 30 to 714 for a total of 744. For Manti City then, 744 people must complete surveys in order to get the required + or - 3 percent error. Then, in order to determine how many **families** should be surveyed, divide the sample size by the average family size. 744 people divided by 3.75 = 198. 198 families must be surveyed in order reach 744 people

Based on the above calculations Manti City must survey at least 744 people. In order to get to **744** people goal, a minimum of 198 homes should be visited. Not all surveys are completed correctly and some households refuse to respond, so it is necessary to over sample. Experience indicates that about 80 percent of the people will respond to a door-to-door survey. In this example the city should plan on contacting approximately 238 families to get the 198 responses they need. Any surveys received in excess (over sample) of the 198 should be set aside and used only for replacement of incomplete or refused surveys. The initial 198 survey forms should be tallied and if 744 persons have not been surveyed, the extra survey forms should be added in – one by one – until at least 744 persons are tallied.

The survey must be a **random** sample. Applicants must not survey 100% of the households. For a large survey (100+ homes) the applicant should use a random number generator. A website that offers number randomizing is [www.random.org](http://www.random.org). (use the “True Random Number Generator” with a Min of 2 and Max of 15) For smaller surveys of less than 100 homes it is acceptable to randomly write the numbers 2 through 10 in random order on a piece of paper, put them in a hat and have someone close their eyes and choose one number. Applicants can also roll a pair of dice. That number would then be used to select the households to be surveyed. Applicants must document how the random number was chosen.

Remember, applicants must document and submit the methodology (process) used for selecting the random number(s). Note: For very small cities (populations of less than 50 households) there is no point in trying to randomize the survey. In those circumstances, State CDBG staff will direct applicants to survey every home in order to get the minimum number of required responses.

**COMMUNITY WIDE SURVEY CHART**

**Population Size    \*Survey Sample Size**

50	-----	47
100	-----	91
150	-----	132
200	-----	169
300	-----	236
400	-----	294
500	-----	344
600	-----	389
700	-----	429
800	-----	465
900	-----	497
1,000	-----	526
1,250	-----	588
1,500	-----	638
1,750	-----	679
2,000	-----	714
2,500	-----	769
3,000	-----	810
3,500	-----	843
4,000	-----	869
5,000	-----	909
6,000	-----	937
7,000	-----	958
8,000	-----	975
9,000	-----	989
10,000	-----	999
12,500	-----	1,020
15,000	-----	1,034
17,500	-----	1,044
20,000	-----	1,052
22,500	-----	1,058
25,000	-----	1,063
30,000	-----	1,071
40,000	-----	1,081

**\*Tolerated Error +/- 3.0.**

## **SEASONAL HOMES**

**Seasonal homes** (recreational or vacation property) or **empty lots** (undeveloped sites) that are not occupied at the time of the survey will not be counted (included in the survey) as long as they do not make up more than 30 percent of the homes in the survey area. Project areas that are more than 30 percent vacant, un-occupied or undeveloped at the time of the survey will not qualify as meeting the 51 percent LMI requirement.

## **ADDITIONAL SURVEY GUIDANCE**

If an applicant will not be using the survey form provided below, a separate similar script should be used by the surveyors. Detailed written instructions should be provided so that respondents understand the process. This documentation must be submitted with the CDBG application.

## **ADDITIONAL INFORMATION THAT CAN BE COLLECTED FROM THE SURVEY**

As applicants prepare city/county wide surveys, it is suggested that they take full advantage of the survey by including questions similar to those found on the census such as national origin, race, single female head of household, etc. Also, the community may be interested in attitudes concerning community issues and other informational statistics that may be of value to community leaders.

## **CONDUCTING SURVEYS: TELEPHONE, MAIL-OUT OR IN-PERSON**

It is strongly advised to conduct surveys door to door rather than by telephone or by mail.

**Applicants planning to use any method other than door-to-door, in person surveys must receive approval from the CDBG staff prior to initiating the survey.** Telephone and mailed surveys are less accurate and less successful than door-to-door surveys. Respondents can be given the survey along with an envelope to put it in and then they can deposit it in a closed box to maintain anonymity. The person responsible for conducting the survey must certify that a standard script was read.

The survey script cannot be “loaded” or biased. Surveyors must not influence responses by making leading statements during the interview. No leading statements should be included in the language in the survey form itself that is presented to the resident. A copy of the written script to be read to each participant (if separate from survey form) must be **submitted to HCD** prior to conducting the survey and included along with the survey information in the application.



## REQUIRED SURVEY DOCUMENTATION

Applicants must be able to document the following questions regarding how the survey was developed and conducted. **This documentation must be attached to the CDBG application.**

1. Was an appropriate survey prepared and conducted based on the type of project: site-specific or community-wide?
2. Was the survey tabulation completed in compliance with the process shown in this Application Policies and Procedures manual and was the tabulation sheet included with the application?
3. If the survey was city or county-wide how were the following determined?
  - a. Population
  - b. Average family size
  - c. Randomness of the survey
  - d. List of project beneficiaries
4. If the survey was site specific, did the applicant provide a detailed map identifying the service area and each home surveyed?
5. Was the survey form/script approved in advance by the AOG and the CDBG staff?
6. Did the applicant document how the survey was conducted?

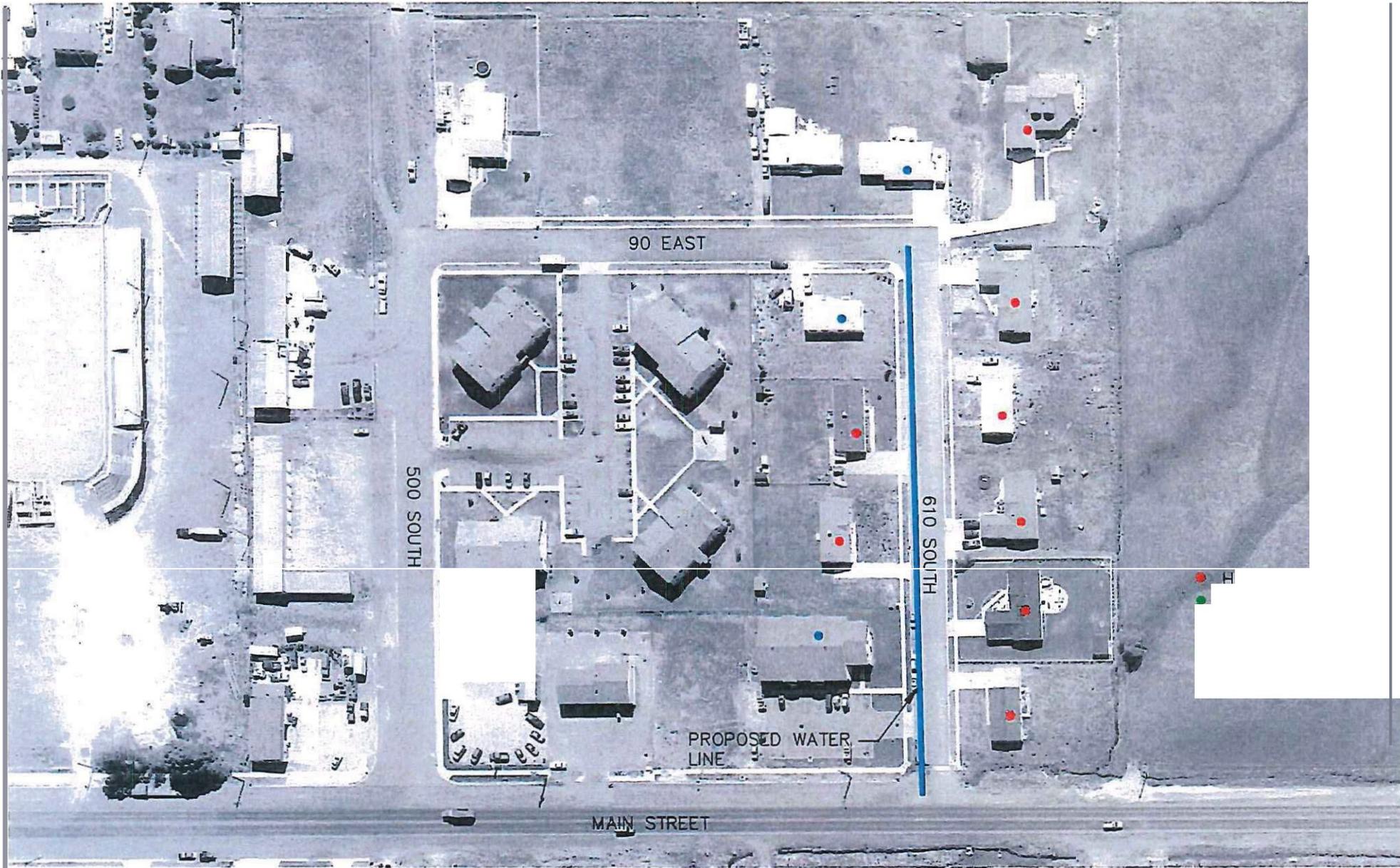
## TABULATING THE SURVEY RESPONSES

Once the survey is completed, the calculation of the low- and moderate-income (LMI) beneficiaries and non-LMI beneficiaries can be done. **The original surveys should be sorted by family size and submitted to the AOG representative for tallying.** The extra completed surveys should be kept separate in an envelope in case they are needed and given to the AOG representative also. Applicants should keep copies of all the surveys for their files. (Applicants are welcome to tally their surveys as well.) The CDBG staff will also tally the surveys to confirm the results.

A sample table is included on the next page. The table includes the various family sizes along the top. The appropriate county income limits for each family size (per Appendix C) are entered down the left margin. The numbers used should be the same as the numbers included on the survey form. The table shows all families who are LMI broken down by 30%, 50% and 80% of average median income (AMI). The number of families that are **not** LMI is collected in the shaded boxes. Once the numbers of families are tallied by size and income on the table, the total number of persons is computed by multiplying the number of families in each column by the respective family size. Then, the total of all persons surveyed is added up. The number of LMI persons is divided by the total of all persons surveyed to obtain the percent of LMI persons in the survey area. If the percent is at least 51, the project meets the income requirements of the program.

The table is used by the AOG representative to calculate the percentage of low and very low income households. This information is used in the rating and ranking process to score the projects.





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