



# **Texas Community Development Block Grant Program Survey Methodology Manual**

Texas Department of Agriculture Office of Rural Affairs

March 2020

## Introduction

Each proposed activity included in an application for Texas Community Development Block Grant (TxCDBG) Program funds must meet one of the three National Program Objectives (NPO). These NPOs are:

1. Principally benefit low- and moderate-income (LMI) persons
2. Aid in the prevention or elimination of slums and blight
3. Meet other community development needs of particular urgency which represent an immediate threat to the health and safety of residents of the community

The TxCDBG Program requires applicants to document and report the beneficiaries of each proposed application activity regardless of the NPO met by the activity. Therefore, applicants must document the beneficiaries for each activity included in an application for any TxCDBG fund category.

For an activity to qualify under the LMI area benefit category, the service area of the activity must be primarily residential. An activity with a service area that is not primarily residential may not qualify under the LMI area benefit category even if the activity provides benefits to all residents in the service area and 51.00% (NOT 50.99%) of the residents are LMI persons.

Once an applicant has identified the service area of a proposed activity, there are two acceptable methods that may be used to document the total beneficiaries and the number of LMI beneficiaries:

1. Use Low to Moderate Income Summary Data (LMISD) to document beneficiaries when the service area can be “reasonably delineated” by LMISD geographies.<sup>1</sup>
  - a. To support this determination, a statement from a qualified individual (e.g., engineer, architect, utility operator) should be provided to explain how the service area was determined. This determination should be clear and logical, as supported by specific details about the existing conditions, the proposed project’s impact, and anticipated outcomes.
  - b. A geography that is entirely enclosed by a service area would be included in the calculation of beneficiaries. In instances where a geographic area is partially overlain by the service area, a determination of the block (not block group) population within the service area is to be calculated. If this population is 70% or more of the total geographic area population, then the LMISD for this geography would be included. If less than 70% of the block group population is in the service area, then the applicant cannot use this method and will need to conduct a survey of the ENTIRE service area.
2. Use the survey method to document beneficiaries for projects that have a small benefit area or for proposed project activities with a service area that cannot be “reasonably delineated” by standard census geographic areas (place, census tracts or block groups).
  - a. NOTE: Surveys and LMISD cannot be combined **in any circumstance**. The combination of survey data and LMISD has been determined by HUD to not be methodologically sound and as such is not an acceptable method of documenting beneficiaries. In instances where the service area of a project extends beyond the boundaries of a census designated geographic area but does not substantially encompass adjacent geographic areas, a survey of the ENTIRE service area would be required.

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<sup>1</sup> CPD Notice 19-02. The notice can be found at: <https://www.hudexchange.info/resource/5794/notice-cpd1902-low-and-moderate-income-summary-data-updates/>

- b. Note: Margin of Error (MoE) in 2019 LMISD and later. For the 2019 LMISD and later, HUD now includes the MoE for all geographies and requires that the use of alternative data (i.e., an income survey) have a MoE less than the LMISD MoE. The survey instructions in this guide are based on a 95% confidence level. Before an applicant undertakes a survey for a geographic area, they must check the MoE in the current LMISD to ensure that the survey will meet this requirement. If an applicant's LMISD has a MoE of *less than +/- 5%*, they MUST contact TxCDBG for additional guidance.
- Public Housing Authority (PHA) certifications for income qualified units can only be included in a 100% survey or if the entirety of the PHA is within the proposed project's service area. If a random survey is conducted, each unit must be treated as a separate household in the comprehensive address list and a questionnaire must be completed for each unit as selected by the random number generator. When using LMISD, PHAs are accounted for in this data and cannot be added.
- For the purposes of beneficiary identification, nursing homes are considered a "business" and not part of the beneficiary population. This provision is consistent with the LMISD, which excludes nursing home facilities from this data.
- Applicants cannot combine *place* and *block group* data as these data sets have overlapping areas and would likely "double-count" beneficiaries.

Applicants using surveys to document the beneficiaries must use one of the TxCDBG Survey Questionnaires located on TDA's website to complete a door-to-door survey unless an alternate method is approved, in writing, by the TxCDBG program.

## Requirements

The TxCDBG Program has set the following survey requirements:

1. All required survey documentation must be submitted to TxCDBG staff for verification. Survey Questionnaires completed by the applicant that do not meet the survey submission requirements may not be used to document the beneficiaries for an application, unless waived in writing, by the TxCDBG program.
2. The applicant must provide the following documentation, at a minimum, for each activity included in an application where TxCDBG surveys were completed to document beneficiaries:
  - Signed Survey Tabulation Form(s) (documents beneficiaries claimed for each activity or target area)
  - Primary Survey List (comprehensive list of addresses of the households<sup>2</sup> in the service area)
  - All Survey Questionnaires (including responses, non-responses, and vacancies for each activity)
3. For a completed survey to be eligible, it must meet the following requirements:
  - Survey Size: For proposed projects benefitting less than 200 households, the applicant must survey 100% of households benefitting from proposed project. For surveys benefitting more than 200 households, a random survey may be conducted.

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<sup>2</sup> In this guidance, "household" and "family" are used interchangeably; however, if multiple "families" reside in the same household, a separate questionnaire must be completed for EACH family. See Appendix I for definitions of the terms used in this guide.

- 100% Effort: the applicant must demonstrate a 100% effort in contacting (twice, at a minimum, if initial attempt fails) 100% of households in the survey (including all vacant housing units, which an applicant shall indicate on the Survey Questionnaire as vacant).
- 80% Response: Applicants must obtain at least an 80% response rate from all households in the survey.

Surveys that do not meet these requirements will be disqualified, which may also result in disqualification of the application.

4. Any Survey Questionnaire which does not include the following information may be considered a non-response or a non-LMI household, as appropriate:
  - The location where the survey was conducted (city or county)
  - The respondent's street address
  - The date(s) for contact attempt(s)
  - The HUD Section 8 Income Limits inserted for family sizes 1 through 12
  - Conflicting information between the identified family size and the family size income limit if it is higher than the correct income limit for that family size (e.g., a family with 3 persons is asked to compare the family's income to the income limit for a 4 person family)
5. An applicant may use a previously completed and verified survey to document the beneficiaries for a proposed activity within an application if the following requirements are met:
  - The previously completed and verified survey was conducted in accordance with the methodology specified within this manual.
  - The Survey Questionnaires were completed no more than five (5) years prior to the application deadline (for programs with an actual application deadline) or the actual date of submittal of an application (for program without an application deadline).

## Survey Methodology

See the end of this section for a flow-chart of the below methodology.

### **Step1: Identify the Benefiting Population/Households**

The first step in the survey process is to define the service area of the proposed project and identify all of the households that would benefit.

### **Step 2: Determine Which Type of Questionnaire to Use**

There are two types of questionnaires on the TDA website<sup>3</sup> (each available in Español), the Standard questionnaire and the 80% ONLY questionnaire. The Standard questionnaire MUST be used when the proposed project has a direct benefit. This questionnaire captures the 30%, 50%, and 80% Annual Median Family Income (AMFI) data required for reporting. The 80% questionnaire MAY be used when the proposed project has an indirect-benefit. This captures whether the benefitting household is LMI or non-LMI.

- Direct Benefit projects include, but are not limited to:
  - Installation/replacement of On-Site Sewage Facilities

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<sup>3</sup> Job Creation/Retention is a direct benefit activity. However, Texas Capital Fund projects MUST use form D7, located on the TDA website to qualify an eligible project. This form includes job creation/retention specific questions not found on the Standard or 80% ONLY questionnaires.

- Installation/replacement of first-time sewer and/or water yard lines
- Housing Rehabilitation
- Any work on Private Property
- Indirect Benefit projects include, but are not limited to:
  - Water Distribution Lines or Sewer Collection Lines in Residential Areas
  - Water Treatment, Water Supply, Water Storage Improvements
  - Street Improvements

**Step 3: Determine the Survey Type**

Surveys benefitting 200 or fewer households must perform a 100% effort of 100% of benefitting households with an 80% response rate. Surveys benefitting 200 or more households MAY utilize the “random sample methodology” as outlined in Steps 6-11 OR perform a 100% effort of 100% benefitting households with an 80% response rate.

However, it should be noted that surveying only the randomly selected households may result in a failure to meet the 51.00% LMI threshold – even if the actual total population is eligible – and/or the 80% response rate. Applicants are encouraged to consider these possibilities before conducting a random survey.

**Step 4: Conduct the Survey and Complete the Survey Questionnaires**

With all the benefitting households identified, physically go door-to-door to each household to attempt to complete a Survey Questionnaire for each household. Be mindful that individuals may be hesitant to disclose their household’s income, so a thorough explanation as to why you are requesting their information is crucial.

It may be advantageous to publish an article in the local newspaper or distribute notices about the locality’s efforts to obtain TxCDBG funding that also includes information about when Survey Questionnaire interviewers may be in the various neighborhoods and why their information is important.

See Appendix III for guidance and further instructions on conducting alternate survey methods.

**Instructions for Completing a Survey Questionnaire**

All entries should be complete and legible.

*Interviewer’s Name:* Enter the name of the individual that is interviewing the household with the Survey Questionnaire.

*Place:* Enter the name of the locality or area (hint: it is easier to enter this information prior to making copies).

*County Name:* From the drop-down box in the digital copy of the Survey Questionnaire (and before printing), select the appropriate county in which the survey will be completed.

*Region:* This field is auto-filled when the appropriate county is selected in which the Survey Questionnaire will be completed.

*Respondent’s Information:* Enter the following for each household that is surveyed:

- The street name and house/unit number (a post office box, or drawer, is not acceptable).
- The zip code in which the household is located.
- The respondent's telephone number (if there is no telephone in the household, or if the respondent will not divulge, leave the field blank).

*Contact Attempts:* Include the date(s) and time(s) of the contact attempt(s) and circle AM or PM for the time of day. Two contact attempts (if initial attempt fails) must be made to satisfy the one hundred percent (100%) effort requirement. Indicate (by circling) whether each survey questionnaire is a:

- Response;
- Non-Response; or
- Vacancy.

*Question 1* – Including yourself, how many people usually live in this unit? Enter the number of persons, including the respondent, that usually lives in the household.

*Question 2* – Including yourself, how many people in your family usually live in this unit?: Enter the number of family members living here, including babies, persons who usually live here but are temporarily away, relatives, lodgers/boarders, and all other persons. Do not include persons away in the Armed Forces, persons with a home elsewhere but who stay here most of the week while working, or any person staying or visiting who has a usual home elsewhere.

*Question 3* – Do any other families live in this unit?: Answer by circling “Yes” or “No.” If your answer for Question 1 is greater than your answer for Question 2, then more than one family lives in this unit and the answer to Question 3 should be “Yes.” If so, a separate Survey Questionnaire for each family that lives in a household should be completed.

*Question 4* – Family Size: Enter the number of persons of the family living in the unit for whom the Survey Questionnaire is being completed. This number should be the same as the answer to Question 2 (note: if the Family Size is greater than twelve persons, then enter the actual number of persons in the family and base the family's answer on the income limit listed for a family size of twelve persons).

*Question 4* – Median Income: This field is auto-filled when the appropriate county is selected in which the Survey Questionnaire will be completed.

*Question 4* – Males: Enter the number of males in the family.

*Question 4* – Females: Enter the number of females in the family.

*Section 8 Income Limits:* This section is auto-filled when the appropriate county is selected in which the Survey Questionnaire will be completed. The family must include all income from all sources and circle the income category that best represents the family's yearly income based on the number provided in the appropriate Family Size field (the income categories are based on annual earnings and this can either be based on the previous year's total earnings or the family's current monthly/weekly income calculated on an annual basis).

*Race (and Ethnicity):* An applicant for TxCDBG funds must provide race/ethnicity information of project activity beneficiaries within its application and this section of the Survey Questionnaire can assist

applicants in compiling that information. In lieu of requesting this information via the Survey Questionnaire, an applicant may use the race/ethnicity data contained in Table DP05 of the most current, 5-year estimate dataset available of the America Community Survey (ACS). Utilizing ACS's race/ethnicity data for the census geographic area, in combination with the "Race/Ethnicity Calculator" (located on TDA's website), an applicant can calculate the race and ethnic makeup of activity of project beneficiaries (without directly inquiring directly from surveyed households) by inferring the numbers onto the surveyed population.

*Race (and Ethnicity) Definitions:* For each, individual family, enter the following information (if opting to collect race/ethnicity data via the Survey Questionnaire) based on the following definitions.

*# of Hispanic:* Enter the number of person(s) of each race that identify as Hispanic. This can include persons of Cuban, Mexican, Puerto Rican, South/Central American, or other Spanish culture or origin, regardless of race.

*# of Non-Hispanic:* Enter the number of person(s) in each race that identify as Non-Hispanic. This includes person that are not of Cuban, Mexican, Puerto Rican, South/Central American, or other Spanish culture or origin, regardless of race.

*White:* Enter the number of person(s) in the family/household that identify as White.

*Black/African American:* Enter the number of person(s) in the family/household that identify as Black or African American. *Black/African American and White:* Enter the number of person(s) in the family/household that identify as Black/African American and White.

*Asian:* Enter the number of person(s) in the family/household that identify as Asian.

*Asian and White:* Enter the number of person(s) in the family/household that identify as Asian and White.

*Native Hawaiian/Other Pacific Islander:* Enter the number of person(s) in the family/household that identify as a Native Hawaiian or a Pacific Islander.

*American Indian/Alaskan Native:* Enter the number of person(s) in the family/household that identify as an American Indian or an Alaskan Native.

*American Indian/Alaskan Native and Black/African American:* Enter the number of person(s) in the family/household that identify as an American Indian/Alaskan Native and Black/African American.

*American Indian/Alaskan Native and White:* Enter the number of person(s) in the family/household that identify as an American Indian/Alaskan Native and White.

*Other Multi-Racial:* Enter the number of person(s) in the family/household that identify as a race that is not included in any of the above.

*Questionnaire Number:* Enter the Survey Questionnaire's identification number in this space. Each Survey Questionnaire must have its own, unique identification number. The highest number assigned (which can be done randomly) must not exceed the total number of eligible Survey Questionnaires in a

completed survey. All vacancies must be removed from the Survey List and cannot be included when assigning Questionnaire Numbers.

*Substituted In For:* If the Survey Questionnaire is part of survey that will be randomly sampled, enter the Survey Questionnaire identification number that this questionnaire is replacing in the random sample (Steps 5-7 will explain the random sample process and if it is applicable to a survey). *Substituted Out For:* If the Survey Questionnaire is part of survey that will be randomly sampled, enter the Survey Questionnaire identification number that this questionnaire is being replaced by in the random sample.

### **Step 5: Creating the Survey List**

The Survey List is a comprehensive list of the addresses of all the households/units that will benefit from the proposed project. This list should be based on an identification of all households in the service area. For a project having a city-wide benefit, the comprehensive list should be based on a list such as tax rolls, water meters, etc.<sup>4</sup>

The list must consist of the following information from each of the eligible Survey Questionnaires. From each Survey Questionnaire, enter the following:

- street address
- Survey Questionnaire number
- response type (“response,” “non-response,” or “vacant”)
- gender data (total number of persons of each gender)
- income category data
- race and ethnicity data
- substitution data (if applicable)
- survey pool – (indicate whether it is included within the pool of Survey Questionnaires used to calculate the final beneficiary numbers, if using random sampling)
- **respondent’s phone number (if using alternate survey method)**

**The list must first be grouped by street name, and then each group with the same street name must then be sorted by numerical order by street number.**

Surveys consisting of 100% of benefitting households can proceed to Step 9.

### **Step 6: Calculate the Required Sample Size**

For completed surveys consisting of 200 or more Survey Questionnaires, an applicant must calculate the required sample size using the TxDBG “Sample Size Calculator and Random Number Generator (SSC/RNG)” located on the TDA website.

Under the “SAMPLE SIZE CALCULATOR,” enter the total number of households/families that were surveyed (excluding all vacancies) in the field labeled “Surveyed Families.” Once entered, click on the “Calculate” button. The required size of the sample will appear in the box labeled “Sample size needed.”

In the following example, the applicant entered in the number of completed survey questionnaires, which totaled 300. The “SAMPLE SIZE CALCULATOR” then calculated the required “Sample size needed,” which totaled 200.

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<sup>4</sup> Proposed projects with a city-wide benefit should ensure that all households are identified. Failure to include all benefitting households on the comprehensive list may result in disqualification of the survey and the correlative application.

**SAMPLE SIZE CALCULATOR**

Confidence Level:  95%  99% Confidence Interval:  Surveyed Families:

Sample size needed:

**Currently, all TxCDBG programs require sample sizes to be based on a 95% confidence level and a confidence interval of 4.**

**Step 7: Selecting Samples Using the Sample Size Calculator / Random Number Generator**

Once you have calculated the sample size needed using the “SAMPLE SIZE CALCULATOR,” an applicant must then utilize the “RANDOM NUMBER GENERATOR” to randomly identify which surveys must be pulled to calculate the final survey tabulation.

Under the “RANDOM NUMBER GENERATOR,” enter the number (or higher, see note below) provided in the “Sample size needed” field (that was calculated above) into the field labeled “Sample Size.” Then enter the total number of households/families that were surveyed in the field labeled “Surveyed Families.”

NOTE: When entering the number into the “Sample size” field, it is strongly recommended to enter a number that is slightly larger than the “Sample size needed” number that was provided in the “SAMPLE SIZE CALCULATOR.” This will allow an applicant to have extra Survey Questionnaires to substitute if one of the Survey Questionnaires identified is a non-response (substitution and nonresponses are addressed in Step 7).

In the example below, the applicant entered in the “Sample Size” field a number (250) that was larger than the number calculated using the “SAMPLE SIZE CALCULATOR,” which was 200. Then the applicant entered in the total number of households/families that was surveyed, which was 300.

**RANDOM NUMBER GENERATOR**

Sample Size  This number must be "1"  Surveyed Families

When you click “GO” under the “RANDOM NUMBER GENERATOR,” the field below the generator will populate with random numbers that correlate with a particular Survey Questionnaire’s number. The questionnaires must be placed in the order generated. For example, according to the numbers generated below the Survey Questionnaires would be placed in order beginning with 25, then proceed to 127, then 299, and so forth. While this is a list of 250 numbers, the applicant will use the first 200 eligible Survey Questionnaires that were actual responses (as 200 was the required sample size calculated above).

25, 127, 299, 66, 38, 121, 111, 129, 224, 50, 75, 91, 150, 96, 97, 152, 159, 77, 275, 245, 249, 44, 120, 30, 155, 201, 72, 86, 60, 281, 107, 41, 254, 76, 197, 236, 73, 29, 208, 246, 289, 58, 173, 51, 128, 113, 204, 234, 266, 36, 137, 28, 257, 175, 99, 22, 215, 283, 181, 124, 112, 198, 61, 241, 46, 267, 80, 37, 268, 227, 141, 13, 23, 1, 269, 213, 179, 214, 136, 237, 116, 187, 288, 85, 192, 27, 223, 157, 180, 42, 184, 68, 92, 176, 165, 24, 276, 9, 233, 293, 212, 109, 146, 56, 263, 15, 7, 280, 205, 135, 232, 221, 262, 251, 194, 110, 238, 255, 160, 79, 35, 231, 10, 95, 164, 130, 177, 140, 33, 94, 142, 285, 32, 169, 18, 114, 49, 185, 88, 261, 220, 132, 65, 115, 278, 3, 147, 131, 149, 195, 202, 230, 2, 119, 78, 31, 21, 182, 17, 191, 298, 154, 291, 126, 297, 26, 12, 162, 235, 47, 218, 104, 294, 168, 292, 203, 171, 258, 284, 43, 226, 290, 34, 253, 125, 239, 273, 174, 134, 105, 108, 172, 6, 256, 209, 11, 81, 300, 117, 296, 183, 279, 19, 229, 8, 139, 243, 282, 225, 102, 211, 84, 39, 199, 5, 144, 40, 260, 14, 123, 138, 148, 217, 133, 93, 52, 170, 45, 270, 101, 206, 57, 63, 247, 161, 207, 20, 295, 62, 145, 200, 248, 64, 156, 189, 4, 106, 53, 151, 287

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**NOTE:** Do not forget to enter the applicant’s name into the field provided and to also print the page once generated, as it is required to be submitted with the survey. These are randomly generated and if it is not printed and lost, a new version will have to be calculated and used in its place. Additionally, the “Texas CDBG” watermark must also appear on the printed hardcopy. If the watermark does not appear on the printed hardcopy, go to your browser’s “Page Setup” and click on “Print Background Colors and Images” to resolve the issue.

**Step 8: Conducting Substitutions**

Once an applicant has pulled the individual Survey Questionnaires and placed them in the order as indicated in the generator, an applicant may encounter Survey Questionnaires that are marked as nonresponses (which include households/families that could not be reached after two attempts or they simply refused to divulge their income information). These non-responses must be replaced with existing Survey Questionnaires that were identified in the pool created by the number generator (hence the increase in sample size over what was required).

In our example, 300 households are being surveyed, and the required sample size was 200, yet the applicant generated 250 numbers. This will provide the applicant with 50 extra Survey Questionnaires that could be utilized as a substitution. The first possible replacement Survey Questionnaire is 183, the 201st generated number. If, for example, the first Survey Questionnaire 25 was a non-response, it would be replaced with 183. If 183 happens to be a non-response, as well, then the applicant would continue onto the next Survey Questionnaire until a response is available. Substitutions may only be made for non-responses.

**NOTE:** In the event that a substitution is not available, then the non-response must be left in the pool and will be counted as a non-LMI beneficiary when the final numbers are entered in the Survey Tabulation Form (see Step 8).

**Step 9: Instructions for the Survey Tabulation Form**

- Applicant: Type the name of the applicant into the space provided.
  - County: Select the appropriate county from the drop-down menu. This will automatically populate the “Region” field.
  - Survey Area Description: a brief description of the area surveyed (e.g., Main Street, Northwest area of town).
  - Survey Start and End Dates: Enter the dates the first and last survey questionnaires were completed in the respective field.
  - P1 Census Population: For CITYWIDE or CDP surveys only. Enter the P1 population as identified on the most recent decennial Census.
  - Questionnaire Year(s): Enter the year(s) of the survey questionnaires used to compile the survey (e.g., a survey is conducted using the 2019 survey questionnaire). However, after the 2020 questionnaire is released, if the project scale is increased and new households are added to the target area, the Questionnaire Year(s) would be “2019 and 2020”.
1. # of Households Benefitting: Enter the total number of households/families that were identified to receive benefit from a project activity (as determined in Step 1), **excluding all vacancies**.
  2. Required Sample Size: For a survey consisting of 100% of benefitting households, enter the number entered into the Number of Households Receiving Project Benefits field. For a survey that was randomly sampled, enter the required “sample size needed” as calculated using the “SAMPLE SIZE CALCULATOR.”
  3. # of Households Contacted: For a survey consisting of 100% of benefitting households, enter the number entered into the Number of Households Receiving Project Benefits field. For a survey that was randomly sampled, enter the required “sample size needed” as calculated using the “SAMPLE SIZE CALCULATOR.” The Number of Households Contacted cannot exceed the number entered in the Required Sample Size field.
  4. #of Households Responding to the Survey: Enter the number of households/families where a response to the survey was received. This number cannot exceed the number entered in the Required Sample Size field.
  5. Survey Response Rate: The response rate will be calculated on the numbers entered above. The rate must be equal to, or greater than, 80% for the survey to be eligible.
  6. Family Size: The family sizes are provided up to twelve. This field may not be modified.
  7. Number of Responses (Households): This field represents the number of responses received for each family size. It is auto-filled based on responses to columns 8 and 9.
  8. Number of Low/Mod Responses: Enter in the total number of LMI Survey Questionnaire responses for each family size.
  9. Number of Non Low/Mod Responses: Enter the total number of non-LMI Survey Questionnaire responses for each family size.
  10. Number of Low/Mod Persons: This field is auto-filled and provides the number of LMI persons for each family size by multiplying the family size (column 6) by the number of LMI Survey Questionnaire responses (column 8).
  11. Number of Non-Low/Mod Persons: This field is auto-filled and provides the number of non-LMI persons for each family size by multiplying the family size (column 6) by the number of non-LMI Survey Questionnaire responses (column 9).

Totals for columns 7 through 11 are auto-filled along the "Total" row located at the bottom of each column. Fields 12 through 18 are auto-filled based on previous responses in the tabulation form.

12. Total Persons Surveyed
13. Average Family Size
14. Households Not Surveyed
15. Total Non-Low/Mod (Including Non-Responses from Sample)
16. Total Beneficiaries
17. Total Low/Mod Beneficiaries
- 17b. LMI Households (Based on Sample)
18. Low/Mod Percentage (Based on Sample)
19. Total Vacancies: This number must be provided manually. While vacancies are not included in the survey list, they must still be identified. Enter the total number of Survey Questionnaire(s) indicating that a household was vacant.

#### *Income Category Data*

Income category data for the survey must be provided for the survey as a whole. If the survey is randomly sampled, the category income data from the randomly identified Survey Questionnaires can be inferred on to the survey as a whole.

- HH - 80% County MFI - Enter the number of households claiming they earned more than 50% but not more than 80% of the County Median Family Income (CMFI).
- HH - 50% County MFI - Enter the number of households claiming they earned more than 30%, but not more than 50% of the CMFI.
- HH - 30% County MFI - Enter the number of households claiming they didn't earn more than 30% of the CMFI.
- Persons - 80% County MFI - Enter the number of persons claiming they earned more than 50% but not more than 80% of the CMFI.
- Persons - 50% County MFI - Enter the number of persons claiming they earned more than 30% but not more than 50% of the CMFI.
- Persons - 30% County MFI - Enter the number of persons claiming they didn't earn more than 30% of the CMFI.

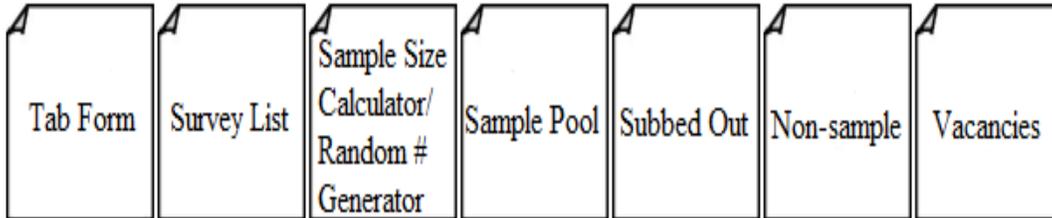
The chief local elected official for the applicant must review and sign the form. The person signing the Survey Tabulation Form may be contacted by TxCDBG staff concerning the results of our survey verification. Please include the official's Title, phone number (include area code), and address (include address, city and zip code). Also, enter the date that the Survey Tabulation Form was signed.

#### **Step 10: Sorting Instructions for Completion and Submittal of the Survey**

For 100% surveys, the documents must be submitted in the following order:

1. Survey Tabulation Form;
2. Survey List;
3. Sample Size Calculator/Random Number Generator;
4. Sample Pool Survey Questionnaires (if applicable) (these Survey Questionnaires must be submitted in the same order as indicated in the number generator and should only include those Survey Questionnaires counted in the pool, not questionnaires that were replaced);

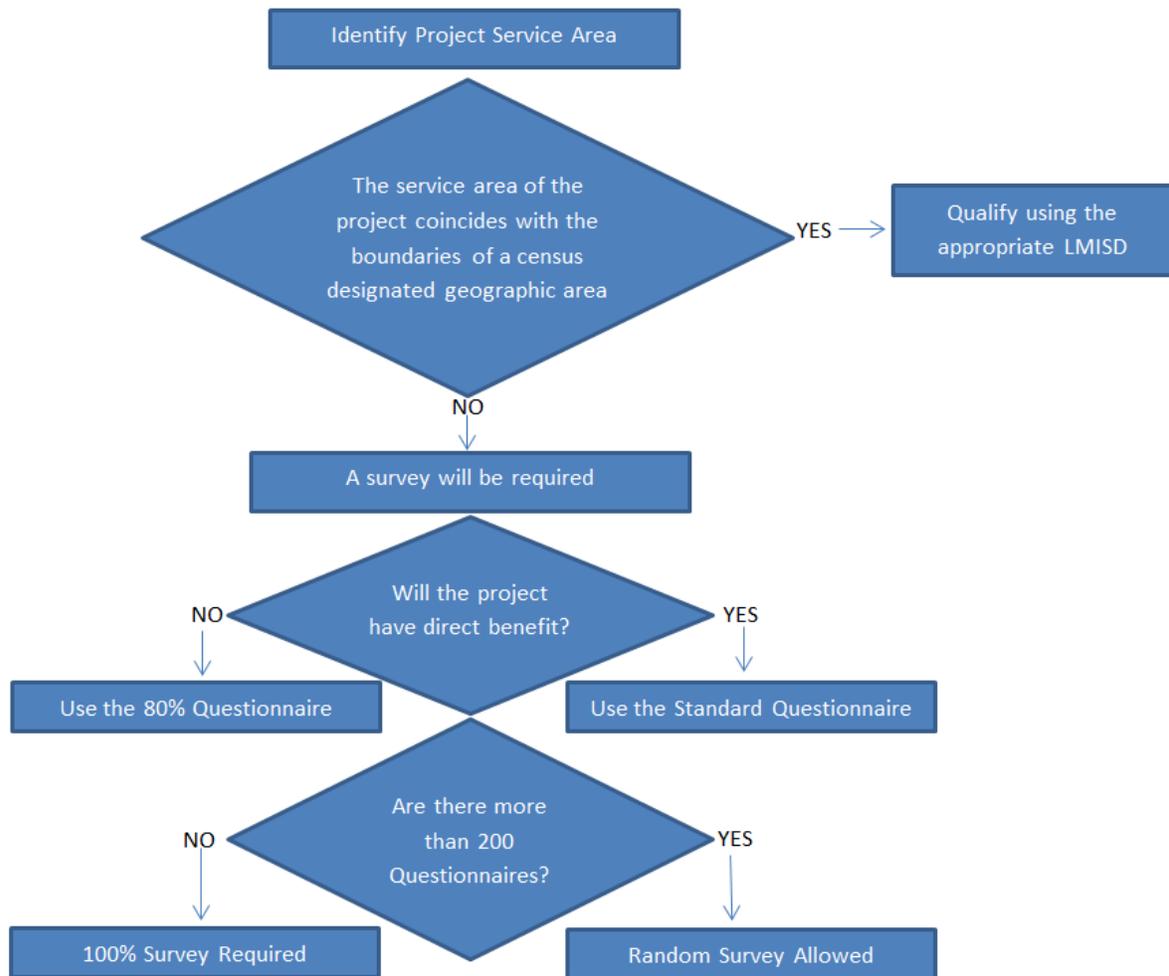
5. Replaced Survey Questionnaires (if applicable) (these are the non-response Survey Questionnaires that were replaced by responding Survey Questionnaires);
6. Non-sampled Survey Questionnaires (if applicable) (if random sampling was required, place all of the Survey Questionnaires that were not in the sample pool in this section);
7. Survey Questionnaires of Vacant Households/Units



For random ONLY surveys, the documents must be submitted in the following order:

1. Survey Tabulation Form;
2. Survey List;
3. Sample Size Calculator/Random Number Generator;
4. Sample Pool Survey Questionnaires (these Survey Questionnaires must be submitted in the same order as indicated in the number generator and should only include those Survey Questionnaires counted in the pool, not questionnaires that were replaced);
5. Replaced Survey Questionnaires (if applicable) (these are the non-response Survey Questionnaires that were replaced by responding Survey Questionnaires);
6. Non-sampled Survey Questionnaires (if applicable) (if random sampling was required, place all of the Survey Questionnaires that were not in the sample pool in this section);
7. Survey Questionnaires of Vacant Households/Units

**Step 11: Submit Completed Survey prior to or with Application for Funding. NOTE:** Survey “approval” prior to application submittal only “approves” the eligibility of the survey, not the proposed project nor the appropriateness of the beneficiaries for the proposed project.



## Appendix I – Definition of Terminologies

### **CDBG Regulatory Definitions of *Family, Household, and Income***

1. Pursuant to 24 CFR 5.403, family includes but not limited to the following, regardless of actual or perceived sexual orientation, gender identity, or marital status:
  - A single person, who may be an elderly person, displaced person, nearly-elderly person, or any other single person; or
  - A group of persons residing together, and such group includes, but not limited to:
    - A family with or without children (the temporary absence of a child from the home due to placement in foster care shall not be considered in determining family composition and family size).
    - An elderly family—a family whose head (co-head), spouse, or sole member is a person who is at least 62 years of age. It may include two or more persons who are at least 62 years of age living with one or more live-in aides. (A live-in aide is a person who resides with one or more elderly persons or near elderly persons, or persons with disabilities).
    - A near-elderly family—a family whose head (co-head), spouse, or sole member is a person who is at least 50 years of age but below the age of 62, living together; or one or more persons who are at least 50 years of age but below the age of 62 living with one or more live-in aides.
    - Disabled family—a family whose head (including co-head), spouse, or sole member is a person with disabilities. It may include two or more persons with disabilities living together, or one or more persons with disabilities living with one or more live-in aides.
    - A displaced family—a family in which each member, or whose sole member, is a person displaced by governmental action, or a person whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized pursuant to Federal disaster relief laws.
    - The remaining member of a tenant family.
    - A single person who is not an elderly or displaced person, or a person with disabilities, or the remaining member of a tenant family.
2. Pursuant to 24 CFR 570.3, household means all persons who occupy a housing unit. A household may consist of persons living together or any other group of related or unrelated persons who share living arrangements, regardless of actual or perceived sexual orientation, gender identity, or marital status.
3. Pursuant to 24 CFR Part 5 and 24 CFR 570.3, low-income person refers to member of a family that has an income equal to or less than the Section 8 very low-income limit established by HUD. Unrelated individuals shall be considered as one-person families for this purpose. (The Section 8 very low-income limit is income that does not exceed 50 percent of the median income for the area, as adjusted by HUD.) Unrelated individuals shall be considered as one-person families for this purpose.
4. Moderate-income person means a member of a family that has an income equal to or less than the Section 8 low-income limit and greater than the Section 8 very low-income limit, established by HUD. Unrelated individuals shall be considered as one-person families for this purpose.

### **Terms Used in Survey Research**

1. Respondent refers to the person who is responding to the questionnaire or interview.
2. Rate of response is expressed as a percent; it is the number of households participating in a survey (number of responses) divided by the number of households in the sample.
3. Population refers to the group whose characteristics you seek to estimate.
4. Sample refers to a portion of the population under study. Samples are used to draw inferences about the population.
5. Sampling is the process of selecting a group of respondents from the population.
6. Simple random sampling is a type of probability selection process in which the units composing a population are assigned numbers and a set of random numbers is then generated, and the units having those numbers are selected to make up the sample.
7. Representativeness refers to the quality of a sample having the same distribution of characteristics as the population from which it is selected.

Appendix II – Forms

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**Survey Tabulation Form**



**TxCDBG Survey Tabulation Form**

Applicant: \_\_\_\_\_ County: \_\_\_\_\_ Region: \_\_\_\_\_  
 Survey Description: \_\_\_\_\_ Survey Start Date: \_\_\_\_\_ Survey End Date: \_\_\_\_\_  
 P1 Census Population (citywide only): \_\_\_\_\_ Questionnaire Year(s): \_\_\_\_\_  
 1. # of Households Benefitting: \_\_\_\_\_ 0 2. Required Sample Size: \_\_\_\_\_ 0 3. # of Households Contacted: \_\_\_\_\_ 0  
 4. # of Households Responding: \_\_\_\_\_ 0 5. Survey Response Rate: \_\_\_\_\_ 0.00%

6. Family Size	7. Number of Responses (Households)	8. Number of Low/Mod Responses	9. Number of Non Low/Mod Responses	10. Number of Low/Mod Persons	11. Number of Non-Low/Mod Persons
1	0	0	0	0	0
2	0	0	0	0	0
3	0	0	0	0	0
4	0	0	0	0	0
5	0	0	0	0	0
6	0	0	0	0	0
7	0	0	0	0	0
8	0	0	0	0	0
9	0	0	0	0	0
10	0	0	0	0	0
11	0	0	0	0	0
12	0	0	0	0	0
Total:	0	0	0	0	0

12. Total Persons Surveyed: \_\_\_\_\_ 0 13. Average Family Size: \_\_\_\_\_ 0.00 14. Households Not Surveyed: \_\_\_\_\_ 0  
 15. Total Non-Low/Mod: \_\_\_\_\_ 0 16. Total Beneficiaries: \_\_\_\_\_ 0 17. Total Low/Mod Beneficiaries: \_\_\_\_\_ 0  
 17b. LMI Households: \_\_\_\_\_ 0 18. Low/Mod Percentage: \_\_\_\_\_ 0.00% 19. Total Vacancies: \_\_\_\_\_

HH - 80% County MFI \_\_\_\_\_ HH - 50% County MFI \_\_\_\_\_ HH - 30% County MFI \_\_\_\_\_  
 Persons - 80% County MFI \_\_\_\_\_ Persons - 50% County MFI \_\_\_\_\_ Persons - 30% County MFI \_\_\_\_\_

CERTIFICATION: I, THE CHIEF ELECTED OFFICIAL FOR THIS JURISDICTION, CERTIFIES THAT THE INFORMATION IN THIS REPORT AND THE SURVEY LOCATIONS FORM IS CORRECT TO THE BEST OF MY KNOWLEDGE AND WAS REPORTED IN ACCORDANCE WITH THE ACCOMPANYING INSTRUCTIONS.

Signature: \_\_\_\_\_ Title: \_\_\_\_\_  
 Name: \_\_\_\_\_ Date: \_\_\_\_\_

Below is for TDA use ONLY

**Survey Questionnaire – Standard**

<b>2019 TxCDBG Survey Questionnaire</b>										Interviewers Name:		
<b>Place:</b>			<b>County Name:</b>				<b>Region:</b>					
			Karnes				AACOG 18					
<u>Respondent's Information:</u>												
Street Address:				Zip Code:				Phone:				
<u>Contact Attempts:</u> (Circle)												
<i>First Attempt:</i>		Date:		Time:		A.M.		P.M.		(Circle ONE)		
<i>Second Attempt:</i>		Date:		Time:		A.M.		P.M.		Response	Non-Response	Vacancy
1. Including yourself, how many people usually live in this unit?												
2. Including yourself, how many people in your family usually live in this unit?												
3. Do any other families live in this unit? (Circle) Yes No												
<i>If yes, please complete an additional questionnaire for each family that lives in this unit. (Note: Do not include yourself as a member of another family or families.) Compare your family's 2018 annual adjusted gross income, or your family's 2019 monthly / weekly income calculated on an annual basis, to the income eligibility figures listed below for your County.</i>												
4. Family Size:				<i>Extremely Low: at or below 30% AMFI</i>				Males:		Females:		
Family Size	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>10</u>	<u>11</u>	<u>12</u>
Income	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>BETWEEN:</b>	\$13,050	\$16,910	\$21,330	\$25,750	\$30,170	\$34,590	\$0	\$0	\$0	\$0	\$0	\$0
<i>Very Low Income: 31% - 50% AMFI</i>												
Family Size	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>10</u>	<u>11</u>	<u>12</u>
Income	\$13,051	\$16,911	\$21,331	\$25,751	\$30,171	\$34,591	\$0	\$0	\$0	\$0	\$0	\$0
<b>BETWEEN:</b>	\$21,700	\$24,800	\$27,900	\$31,000	\$33,500	\$36,000	\$38,450	\$40,950	\$43,400	\$45,880	\$48,360	\$50,840
<i>Low Income: 51% - 80% AMFI</i>												
Family Size	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>10</u>	<u>11</u>	<u>12</u>
Income	\$21,701	\$24,801	\$27,901	\$31,001	\$33,501	\$36,001	\$38,451	\$40,951	\$43,401	\$45,881	\$48,361	\$50,841
<b>BETWEEN:</b>	\$34,750	\$39,700	\$44,650	\$49,600	\$53,600	\$57,550	\$61,550	\$65,500	\$69,440	\$73,408	\$77,376	\$81,344
<i>Non-Low-and-Moderate Income: Greater than 80% AMFI</i>												
Family Size	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>10</u>	<u>11</u>	<u>12</u>
Income	>	>	>	>	>	>	>	>	>	>	>	>
<b>MORE than:</b>	\$34,751	\$39,701	\$44,651	\$49,601	\$53,601	\$57,551	\$61,551	\$65,501	\$69,441	\$73,409	\$77,377	\$81,345
<b>Race</b>										<b>Hispanic</b>		<b>Non-Hispanic</b>
White												
Black African American												
Black African American and White												
Asian												
Asian and White												
Native Hawaiian/Other Pacific Islander												
American Indian/Alaskan Native												
American Indian/Alaskan Native and Black African American												
American Indian/Alaskan Native and White												
Other Multi-Racial												
<b>TO BE COMPLETED BY ADMINISTRATIVE STAFF</b>												
Questionnaire Number:				Substituted In For:				Substituted Out For:				

NOTE: Due to a change in the definition of “very low” income, some county data for the “very low” income brackets may show “\$0 to \$0.” If this is the case, please select the appropriate income level under the “low” income brackets for the appropriate family size. Sample Size Calculator and Random Number Generator

**Survey Questionnaire – 80% Only**

<b>2019 TxCDBG Survey Questionnaire</b>												Interviewers Name:		
<b>80% Only</b>														
<b>Place:</b>				<b>County Name:</b>				<b>Region:</b>						
				Cooke				TEXOMA						
<b>Respondent's Information:</b>														
Street Address:						Zip Code:				Phone:				
<b>Contact Attempts:</b>										(Circle)				
<i>First Attempt:</i>		Date:		Time:		A.M.		P.M.		(Circle ONE)				
<i>Second Attempt:</i>		Date:		Time:		A.M.		P.M.		Response		Non-Response		Vacancy
1. Including yourself, how many people usually live in this unit?														
2. Including yourself, how many people in your family usually live in this unit?														
3. Do any other families live in this unit? (Circle) Yes No														
<i>If yes, please complete an additional questionnaire for each family that lives in this unit. (Note: Do not include yourself as a member of another family or families.) Compare your family's 2018 annual adjusted gross income, or your family's 2019 monthly / weekly income calculated on an annual basis, to the income eligibility figures listed below for your County.</i>														
4. Family Size:														
										Males:		Females:		
<i>Extremely Low- to Low-Income: &lt;80% AMFI</i>														
Family Size	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>10</u>	<u>11</u>	<u>12</u>		
Income	<	<	<	<	<	<	<	<	<	<	<	<	<	<
LESS than:	\$39,950	\$45,650	\$51,350	\$57,050	\$61,650	\$66,200	\$70,750	\$75,350	\$79,870	\$84,434	\$88,998	\$93,562		
<i>Non-Low- and-Moderate Income: Greater than 80% AMFI</i>														
Family Size	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>10</u>	<u>11</u>	<u>12</u>		
Income	>	>	>	>	>	>	>	>	>	>	>	>	>	>
MORE than:	\$39,950	\$45,650	\$51,350	\$57,050	\$61,650	\$66,200	\$70,750	\$75,350	\$79,870	\$84,434	\$88,998	\$93,562		
<b>Race</b>										<b>Hispanic</b>		<b>Non-Hispanic</b>		
White														
Black African American														
Black African American and White														
Asian														
Asian and White														
Native Hawaiian/Other Pacific Islander														
American Indian/Alaskan Native														
American Indian/Alaskan Native and Black African American														
American Indian/Alaskan Native and White														
Other Multi-Racial														
<b>TO BE COMPLETED BY ADMINISTRATIVE STAFF</b>														
Questionnaire Number:				Substituted In For:				Substituted Out For:						
NOTE: Failure to correctly complete this survey (e.g. selection of an incorrect income level for family size identified) may result in its disqualification from the survey or be considered a "Non-Response". See TxCDBG Survey Methodology for specific information.														

# Sample Size Calculator and Random Number Generator

**SAMPLE SIZE CALCULATOR**

Confidence Level:  95%  99% Confidence Interval:  Surveyed Families:  Calculate  Sample size needed:

Currently, all TxCDBG programs require sample sizes to be based on a 95% confidence level and a confidence interval of 4.

*Applicant Name*

**RANDOM NUMBER GENERATOR**

Sample Size  This number must be "1"  Surveyed Families  with no repeats

Select "With No Repeats" for TxCDBG Surveys

*The Texas CDBG watermark must be present in the text area below when printed.*

# Texas CDBG

This Random Number Generator requires a JavaScript enabled browser

Click Here To  This Page!

## Appendix III –Alternate Strategies for Conducting Surveys

### Background

Applicants using surveys to document the beneficiaries must complete a door-to-door survey unless an alternate method is approved, in writing, by the TxCDBG program.

In communities where social distancing measures or other circumstances limit the feasibility of in-person contact, a phone survey may be conducted to collect appropriate household data. In lieu of attempting door-to-door contact with each benefitting household, a TxCDBG Survey Questionnaire may be completed via telephone interview.

### Requirements

Surveys completed using the alternate method must comply with all requirements outlined in pages 3 & 4 of the 2020 Survey Methodology Guidance.

### Methodology

Steps 1 through 11 should be followed as outlined in the 2020 Survey Methodology Guidance with exception to the following phone survey-specific instructions:

#### Step 4: Conduct the Survey and Complete the Survey Questionnaires

With all the benefitting households identified, determine if current and accurate contact information is available for each household. Once contact information has been collected, telephone interviewers should contact each benefitting household to attempt to complete a Survey Questionnaire for each household. The telephone interviewer **must confirm** that the person responding to the survey actually resides at the address identified in the survey.

If accurate and complete contact information is not available for a specific household, the applicant community may provide written material to the household, including the direct phone number of the telephone interviewer, requesting that the Respondent initiate the call. If this method is used, the household must be contacted a minimum of four separate times, no less than three days apart, before a substitution is used to replace the non-response household in the survey.

#### Step 5: Creating the Survey List

Instructions for Step 5 should be followed as outlined in Page 8 of the 2020 Survey Methodology with the following item to be included in the survey list:

- Respondent's telephone number

### Best Practices

It may be beneficial to publish an article in the local newspaper or create social media campaigns to provide details about the locality's efforts to obtain TxCDBG funding. Applicant communities might consider recruiting local officials and community leaders as telephone interviewers.

Communities may lack complete or current contact information for each benefitting household. Therefore, door hangers, utility bill stuffers, and mailers can be utilized to provide households with background information, describe why their response is important, and provide contact information to call telephone interviewer(s) and respond to the Survey Questionnaire. Email communication may also be used, however, please consult your local legal counsel regarding privacy practices and the allowable uses for which such electronic information was collected.

Contact attempts should be started early to allow adequate time to reach the minimum 80% response rate. Mailers and door hangers may need to be distributed multiple times to provide households ample opportunity to respond. In some instances, it may be necessary for an interviewer to physically go door-to-door to households that have not responded via phone interview.