

2021

Community Development
Block Grant (CDBG)
Application Workshop

May 24, 2021

IOWA
economic development

State of Iowa CDBG Program

» **This Year's Allocation = \$25.3 million**

» **National Objective**

- Benefit to low- and moderate-income persons (70% of allocation or greater)
- Slum & blight elimination
- Urgent need

» **Eligible Applicants**

- All cities under 50,000 population (including Cedar Falls)
- All Counties
- City or County on behalf of non-profit entity

CDBG Overview

2021 WATER AND SEWER FUND

2021 Water and Sewer Fund

» **Fund Ceilings**

- 0-999 population - \$300,000 (max of \$1,000 per person)
- 1,000-2,499 - \$500,000
- 2,500-14,999 - \$600,000
- 15,000-49,999 - \$800,000

» **Eligible Activities**

- Water and wastewater treatment facilities
 - Expansion, rehabilitation, new construction
- Water and wastewater collection systems
 - Rehabilitation, new construction
- Water storage
- Wells
- Stormwater/sanitary sewer separation

2021 Applications

» **Water & Sewer application requirements:**

- If project needs DNR permit:
 - Sewer – Approved Facility Plan letter submitted
 - Water – Approved Preliminary Engineering Plan letter submitted
- Local match committed & documented:
 - If DNR SRF - project must be on the approved Environmental Protection Commission IUP
 - If USDA-RD - USDA letter of conditions must be submitted

» **If required attachments are not submitted with the application, the application will not be reviewed**

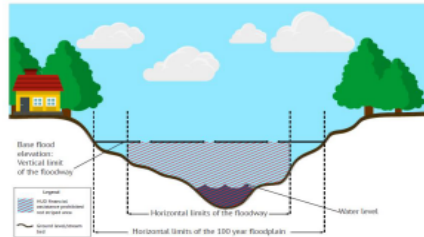
2021 Applications

- » **More competitive applications will also have (but not required):**
 - Environmental review complete
 - Final engineering complete or at least underway (if awarded, CDBG would then only reimburse construction activities)

What is a Floodway?

A "Regulatory Floodway" means the channel of a river or other watercourse and the adjacent land areas that must be reserved in order to discharge the base flood without cumulatively increasing the water surface elevation more than a designated height.

A floodway is more expansive than the riverbed or current water level. A floodway is typically less expansive than the area designated as Zone A or "100 year floodplain".



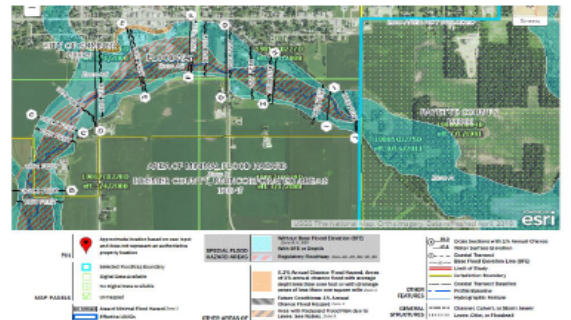
How to find a floodway on a FEMA map? Online maps can be found here: <https://msc.fema.gov/portal/home>

- On newer FEMA maps, floodways will be designated as red and blue cross hatch:



- On older FEMA maps, the area will be marked as Zone A and further investigation will need to be completed by contacting the engineer or DNR to determine the actual floodway.

The difference between older and new maps can be seen in the FEMA map below:



What does this mean to my CDBG project?

- HUD prohibits financing ANY type of structure in the floodway unless it is a functionally depended use (bridge, warf, etc) or a floodplain function restoration activity.
- In some cases, linear infrastructure is allowed if the project results in no increase in upstream flood elevations. See HUD's notice here: <https://www.hud.gov/sites/dfiles/OCHCO/documents/17-13cpdn.pdf>

WATER AND SEWER FUND – KEY POINTS

Water/Sewer – Key Points

» **Need for the Project**

- Health or safety concerns (DNR violation) or is project just an amenity

» **Timely Start and Completion**

- A/E procured, realistic construction start date and overall timetable to complete project

» **Local Funds Leveraged**

- % of project leveraged with other, and/or city funds

» **Cost Per Beneficiary**

- < \$5000 CDBG dollars / beneficiary

» **Best Long Term Option**

- A/E and/or DNR recommendations

» **Affordability - Existing Water & Sewer Rates / Bonding Capacity**

- Most efficient use of leveraged funds

» **Readiness to proceed**

- Preliminary / final design complete, matching funds secured, capacity of recipient

Readiness Requirements

- » **Procurement of engineer prior to submittal of application**
- » **Other funding agencies commitments**
 - On EPC approved IUP
 - USDA Letter of Conditions
- » **Approved Preliminary Engineering Report letter**
- » **Approved Facility Plan letter**
- » **Environmental review complete**
- » **Final design completed or underway**

Water and Sewer Scoring Criteria

- » **Magnitude of need for the project**
- » **Degree to which project can be completed in a timely manner**
- » **Degree to which CDBG funds will be leveraged by other funds**
- » **Cost per beneficiary**
- » **Degree of impact project will have on identified need & quality of life**
- » **Readiness to proceed – emphasis on acquisition**
- » **Capacity to operate and maintain proposed project**
- » **LMI benefit**

CDBG Overview

2021 COMMUNITY FACILITIES & SERVICES FUND

2021 Community Facilities and Services Fund

» Fund Ceilings

- 0-999 population - \$300,000 (max of \$1,000 per person)
- 1,000-2,499 - \$500,000
- 2,500-14,999 - \$600,000
- 15,000-49,999 - \$800,000

» Eligible Activities

- Child Care Centers
- Facilities for Physically and Mentally Challenged
- Senior Centers
- Homeless Shelters



2021 Community Facilities and Services Fund

2021 Application Cycle

- » **Application workshop – May 24, 2021**
- » **Open window process**
- » **Applications will be reviewed as submitted**
- » **Awards will be made until all funds are obligated**

2021 Applications

» **Community Facilities & Services application requirements:**

- Site Control demonstrated by either:
 - An option on the parcel secured with money (if necessary) or
 - Ownership - as long as it is purchased prior to the application submittal date
- Local match committed & documented

» **If documentation is not submitted with the application, the application will not be reviewed**

2021 Applications

- » **To show more “readiness to proceed”, applications will also have (but are not required):**
 - Environmental review complete
 - Final architectural plans completed or at least underway (CDBG would pay for only construction)

CDBG Overview

2021 COMMUNITY FACILITIES & SERVICES FUND – KEY POINTS

Community Facilities & Services – Key Points

- » **Need for the Project**
- » **Timely Start and Completion**
 - Realistic construction start date and overall timetable to complete project
- » **Local Funds Leveraged**
 - % of project leveraged with other, and/or city funds
- » **Cost Per Beneficiary**
 - < \$10,000 CDBG dollars / beneficiary
- » **Capacity to Operate Facility**

Community Facilities & Services – Key Points

- » **Local Funds Committed or Secured**
- » **Site control if acquisition is necessary**
 - Option to Purchase
- » **Readiness to proceed**
 - Procurement of Architect
- » **Will Meet National Objective After Completion**
 - Certain projects may need to survey; Form 3-D

Readiness To Proceed

- » **If planning to follow Green Streets Criteria, work with IEDA to have a project design consultation early in process and before application is submitted**
 - Assistance is available at no cost
 - Contact Jeff Geerts, jeff.geerts@iowaeda.com
- » **Environmental review complete**
- » **Final architectural plans completed or at least underway**

Community Facilities & Services Review Criteria

- » **Magnitude of need for the project**
- » **Degree to which project can be completed in a timely manner**
- » **Degree to which CDBG funds will be leveraged by other funds**
- » **Cost per beneficiary**
- » **Degree of impact project will have on identified need & quality of life**
- » **Readiness to proceed**
- » **Capacity to operate and maintain proposed project**
- » **LMI benefit**
- » **Green Streets Criteria optional**

Instructions

*Please ensure that applications are complete and all attachments are provided upon submittal to IEDA. Incomplete applications and/or applications w/ attachments/components will **NOT** be reviewed!*

Application Forms

Form Name	Complete?
General Information	✓
Cover Sheet-General Information	✓
Project Information	✓
Budget	
Cost Estimates	
Demographic Data	
Financial Information	
Operating Budget	
Project Feasibility Narrative	
Project Impact Narrative	
Survey Tabulation Results	
Community Development and Housing Needs Assessment	
Green Streets Criteria (Optional)	
Required Attachments	
Other Attachments	
Citizen Participation Checklist	
Minority Impact Statement	
Reason Application Not Awarded	

Instructions

Projects applying for funds under the Community Facilities and Upper Story Housing CDBG programs may request additional funds to incorporate certain Green Streets activities into their project. The maximum amount of funding available for these activities is 10% of the CDBG request, excluding Green Streets activities. (CDBG project costs + administration X 10%). Additional CDBG funding is only available for the activities included below.

Incorporating Green Streets activities into a CDBG project is **OPTIONAL**.

Projects that wish to include Green Streets activities should complete relevant sections below and provide documentation as to how the costs of these activities were determined.

To assist with the Green Streets Criteria, projects should plan to complete a design consultation prior to application. Contact Jeff Geerts at (515) 348-6211 or by e-mail at Jeff.Geerts@iowaEDA.com.

Green Streets Criteria

Is additional funding being requested to meet the Green Street Criteria for this project?

Yes ▾

Date of Green Street Consultation:

1. Integrative Design

1.6 Resilient Communities: Multi-Hazard Risk / Vulnerability Assessment

Conduct a four-part assessment (social, physical, functional, strategy) to identify critical risk factors of your property and implement at least two sets of strategies to enable the project to adapt to, and mitigate, climate related or seismic risks.

Implement Section 1.6

Yes ▾

Champion Name

Champion Role

Strategies to meet goal

Supporting Documents

Document

Attachment

Green Streets Green Development Plan & Checklist (Appendix A)(Not applicable to stormwater projects)

Click here for the form. [\[MS Excel\]](#) [\[PDF\]](#)

Choose File No file chosen

Green Streets Criteria Cert. of Intent to Comply (Appendix B)(Not applicable to stormwater projects)

Click here for the form. [\[PDF\]](#)

Choose File No file chosen

Green Streets Applicant Assurances Checklist (Not applicable to stormwater projects)

Download the checklist [here](#).

Choose File No file chosen

Green Streets Project Assurances Checklist (Not applicable to stormwater projects)

Download the checklist [here](#).

Choose File No file chosen

[Return to Top](#)

Community Facilities Design Consultation

Please contact Jeff Geerts to set up a consultation.

jeff.geerts@iowaeda.com

515.348.6211

Before You Apply

PROGRAM REQUIREMENTS

Water/Sewer and CF&S Program Requirements

- » **Low- and Moderate Income Survey**
- » **Community Development and Housing Needs Assessment**
- » **Minority Impact Statement**
- » **Federal Assurance Signature Page**
- » **Applicant/Recipient Disclosure/Update Form**
- » **Public Hearing Documentation**
 - Notice, Signed Minutes and Proof of Publication or Affidavit of Posting
- » **Commitment of Local Funds**
- » **Documentation of other funding sources**
- » **Target Area Map**
- » **Incomplete applications will NOT be reviewed.**

Application Reminders

- » **If an application is incomplete it will NOT be reviewed. Complete means all required documents are uploaded and include all necessary information. IEDA will not give applicants an opportunity to “fix” applications or supplement information.**
- » **Project planning should begin now. Facility Plan or Preliminary Engineering Report is required with application.**
- » **Letter of approval from IDNR for Preliminary Engineering Report or Facility Plan must be submitted with application.**
- » **Documentation of local matching funds must be included.**
- » **Water & Sewer applications will be accepted on a quarterly basis: January 1, April 1, July 1, and October 1.**

Thank You!

We look forward to great applications...

IOWA
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LOW AND MODERATE INCOME (LMI) BENEFIT AND SURVEY PROCESS

IOWA
economic development

Requirements of the CDBG Program

» Eligible Activity

» National Objective

- Benefit to low- and moderate-income persons (LMI)
- Slum & blight elimination
- Urgent need

Types of LMI Benefit

» **Limited clientele**

- Benefiting a specific group of people
- Presumed to be 51% LMI without conducting a survey

» **Area benefit**

- Targeted project area
- Community-wide project area

Limited Clientele

» **Groups defined by CDBG regulations**

- Abused children
- Elderly persons
- Battered spouses
- Homeless persons
- Adults meeting census definition of “severely disabled adults”
- Illiterate adults
- Persons living with AIDS
- Migrant farm workers

Methods to Determine LMI Benefit

- » **Limited clientele (presumed 51%)**

- » **HUD LMI percentage based on 2011-2015 American Community Survey data (on IEDA website)**

- » **Income survey**
 - Conducting an Income Survey - <https://www.iowaeda.com/UserDocs/Conducting-LMI-Survey-Packet.pdf>
 - For Community Facilities - Surveys completed in 2019, 2020 or 2021
 - Water/Sewer (refer to chart)

Methods to Determine LMI Benefit

» LMI Surveys for Water/Sewer Fund

Quarter	Application deadline	Date of acceptable Income surveys
Quarter 1	January 1, 2021	Surveys completed in 2018, 2019, 2020
Quarter 2	April 1, 2021	Surveys completed in 2018, 2019, 2020
Quarter 3	July 1, 2021	Surveys completed in 2019, 2020, 2021
Quarter 4	October 1, 2021	Surveys completed in 2019, 2020, 2021

HUD Guidance

» Guidance from HUD Notice CPD-14-013

– Complete copy can be found at:

- [Notice CPD-14-013: Guidelines for Conducting Income Surveys to Determine the Percentage of LMI Persons in the Service Area of a CDBG-Funded Activity](#)

Reminders

- » **Number of households required for sample**
- » **Sample Size Calculator**
 - <https://www.surveysystem.com/sscalc.htm>
- » **100% response rate**
- » **Consideration will be given to the HUD 2011 – 2015 ACS data LMI % in comparison to income survey LMI %**

Conducting an Income Survey

» Determine number of households required

- Use the link to Sample Size Calculator (SSC)
- Set confidence level equal to 95%
- Set confidence interval to 4
- 100% response rate
- May use replacement household if no response after several attempts
- Minimum sample size of 500, if total number of households is 3000 or more



THE SURVEY SYSTEM

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Research Aids

Research Aids

- Sample Size Calculator
- Sample Size Formula
- Significance
- Survey Design
- Correlation

"Best Survey Software"



TopTenReviews selected The Survey System as the Best Survey Software.

"The Survey System gains our highest marks for survey creation, analysis and administration methods, making it the best survey software in our ranking... This is the only product in our lineup that offers all features and tools we considered. For these reasons, The Survey System earns our TopTenREVIEWS Gold Award." [Read More](#)

Sample Size Calculator

This Sample Size Calculator is presented as a public service of Creative Research Systems [survey software](#). You can use it to determine how many people you need to interview in order to get results that reflect the target population as precisely as needed. You can also find the level of precision you have in an existing sample.

Before using the sample size calculator, there are two terms that you need to know. These are: **confidence interval** and **confidence level**. If you are not familiar with these terms, [click here](#). To learn more about the factors that affect the size of confidence intervals, [click here](#).

Enter your choices in a calculator below to find the sample size you need or the confidence interval you have. Leave the Population box blank, if the population is very large or unknown.

Determine Sample Size

Confidence Level: 95% 99%

Confidence Interval:

Population:

Sample size needed:



Find Confidence Interval

Confidence Level: 95% 99%

Sample Size:

Population:

Percentage:

Confidence Interval:



Conducting an Income Survey

» **Survey sample**

- Households must be selected randomly
- Utility billing list to select households
- Random numbers generator

» **Group quarters are not considered households**

- Dormitories
- Jails
- Care facilities

» **Contact IEDA if you have questions concerning sampling technique prior to completing survey**

Conducting an Income Survey

» **Acceptable survey methods**

- House-to-house
- Telephone
- Mail out/pick-up

» **Unacceptable/unusable methods**

- Mail-out/mail-in survey with low response rate
- Third party estimates of household income
- Income assumptions about classes of people

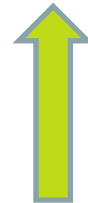
Sample Survey Form

» Use a simple survey form

- Brief explanation of the survey
- Assurance of anonymity
- Name of local official or responsible party
- Household size
- Household income
- Citizen support
- Racial and ethnic data
 - Neighborhood projects
 - Direct beneficiary projects such child care facilities

- 2019 CDBG Median Income Levels (MFI) Income Limits effective June 28, 2019 [MS Excel:58k]

45	Henry County, IA	\$40,600	\$46,400	\$52,200	\$58,000	\$62,650	\$67,300	\$71,950	\$76,600
46	Howard County, IA	\$40,600	\$46,400	\$52,200	\$58,000	\$62,650	\$67,300	\$71,950	\$76,600
47	Humboldt County, IA	\$40,600	\$46,400	\$52,200	\$58,000	\$62,650	\$67,300	\$71,950	\$76,600
48	Ida County, IA	\$41,000	\$46,850	\$52,700	\$58,550	\$63,250	\$67,950	\$72,650	\$77,300
49	Iowa County, IA	\$42,800	\$48,900	\$55,000	\$61,100	\$66,000	\$70,900	\$75,800	\$80,700
50	Jackson County, IA	\$40,600	\$46,400	\$52,200	\$58,000	\$62,650	\$67,300	\$71,950	\$76,600
51	Jasper County, IA	\$40,800	\$46,600	\$52,450	\$58,250	\$62,950	\$67,600	\$72,250	\$76,900
		2020 30% LMI	2019 50% LMI	2020 60% LMI	2020 80% LMI	2020 120% LMI (NSP ONLY)		+	



Note: This link contains a spreadsheet with all HUD income categories. Be sure to use the **80% MFI** tab to access the correct income figures for your LMI survey.

Unavailable Persons/Non-responses

- » **Non-respondents are classified as non-LMI persons**
- » **At least two different attempts to contact a household should be made for door-to-door surveys**
- » **At least three calls should be made if doing telephone surveys**
- » **Only after these attempts, a replacement household should be selected**
- » **If there are still non-respondents after all attempts to contact and replacement selection, persons in remaining households must be counted as non-LMI.**
- » **Vacant lots and abandoned and vacant homes should be excluded from the sample because they do not have any effect on the outcome of the survey**

Racial and Ethnic Data

- » **Collect as part of the survey process**
- » **Generally applies to CF&S fund projects**
 - Direct beneficiaries
- » **Racial/ethnic categories**

Household Racial and Ethnic Information

Racial/Ethnic Group	Number of Persons	
	Each Group	Hispanic Origin
White		
Black/African American		
Asian		
American Indian/Alaskan Native		
Native Hawaiian/Other Pacific Islander		
American Indian/Alaskan Native & White		
Asian & White		
Black/African American & White		
American Indian/Alaskan Native & Black/African American		
Other Multi-Racial		
TOTAL PERSONS SERVED		

Survey Tabulation

» Survey Tabulation

- Complete survey tabulation results sheet and maintain in your files
- Maintain a copy of the actual survey instrument used
- Include LMI % based on the 2011-2015 ACS data

» LMI Verification

- Maintain separate list of those completing survey
- Keep all survey responses completely confidential
- Maintain surveys in file

» Re-survey for some funded projects

- CF&S fund projects with direct beneficiaries
- Potential changes in users
- LMI benefit must be documented at project completion

Survey Tabulation Results

Is the Survey Tabulation Results required?*	No	
City and Township LMI Percentage based on 2011 - 2015 American Community Survey data:	55.8	The LMI percentage can be found at "City and Township LMI based on 2011 - 2015 American Community survey:" under the heading "Recipient Income Requirements and Census Information" at the following link: www.iowaeconomicdevelopment.com/userdocs/documents/ieda/CityLMI-MarginOfErrorBasedOn2011-2015AmericanCommunitySurveyData.xlsx .
Description of the survey method used		
Month and year the survey was conducted		
Total number of households in the project area		
Number of households in the project area that were contacted (include contacts with no answer)		The minimum number of households contacted MUST equal the number generated from the Sample Size Calculator. (http://www.surveysystem.com/sscalc.htm)
Number of usable responses		
Percent of households responding	0	This number MUST BE 100% TO BE VALID
How many persons were below the LMI income figure?		
How many persons were above the LMI income figure?		
Total number of person responding:	0	
Percent of persons below the LMI income figure	0	
Percent of persons above the LMI income figure	0	
Total number of persons in the project area		(For community-wide benefit projects, most current certified population figure.)
Total number of LMI Persons benefiting	0	

If respondents were asked other questions in addition to income, provide a breakdown of responses by number and percent of the total responding.



LMI Survey for Direct Benefit Projects

You are being asked to complete this survey as a beneficiary of a project funded with federal Community Development Block Grant funds. Using the table below, please indicate the range your household income falls into in relation to the 30%, 50%, 60% and 80% of median income levels listed for your size household. You are not required to put your name on the survey, and all information collected will be kept strictly confidential. If you have questions concerning this survey, please contact _____ at the following number: _____.

Income Limits		1 person household	2 person household	3 person household	4 person household	5 person household	6 person household	7 person household	8 or more persons
A	30% of Median Income								
B	50% of Median Income								
C	60% of Median Income								
D	80% of Median Income								

My Household Size is: _____

Please check the box below that represents your household income in relation to the 30%, 50%, 60%, and 80% income levels (in rows A-D) that appear immediately below your household size in the table above.

My Household Income is: (check only one box below)

- Below Row A income level (<30%) Between Row C & D income levels (<80%)
 Between Row A & B income levels (<50%) Above Row D income level (non-LMI)
 Between Row B & C income levels (<60%)

Household Racial and Ethnic Information

Racial/Ethnic Group	Number of Persons	
	Each Group	Hispanic Origin
White		
Black/African American		
Asian		
American Indian/Alaskan Native		
Native Hawaiian/Other Pacific Islander		
American Indian/Alaskan Native & White		
Asian & White		
Black/African American & White		
American Indian/Alaskan Native & Black/African American		
Other Multi-Racial		
TOTAL PERSONS SERVED		

In Summary...

- » **Surveys must be completed prior to application submittal**
- » **Use Sample Size Calculator to determine sample size.**
- » **Sample size of 500 households when total number of households in defined project area is 3000 and more**
- » **All households must have equal chance of being surveyed**
- » **Maintain survey instrument and tabulation results in your files**
- » **Surveys must be available for review at monitoring**
- » **Contact IEDA with any questions about survey methodology or sampling**

Questions?