

Michael Ponza, Ph.D
Senior Researcher
APEC Study Director

P.O. Box 2393
Princeton, NJ 08543-2393
Telephone (609) 799-3535
Fax (609) 799-0005
www.mathematica-mpr.com
(609) 275-2361

August 3, 2005

EPS-209

John R. Endahl
Special Nutrition Staff
Office of Analysis, Nutrition and Evaluation
USDA, Food and Nutrition Service
Office of Analysis, Nutrition and Evaluation
3101 Park Center Dr., Room 1014
Alexandria, VA 22302

Dear John:

Mathematica Policy Research, Inc. (MPR) is pleased to submit the revised "Supporting Statement for Request for OMB Approval of Data Collection" for the Access, Participation, Eligibility, and Certification Study (Contract No. AG-3198-C-04-0005).

We look forward to working with FNS and OMB to obtain final clearance.

Sincerely,



Enclosures

Contract No.: AG-3198-C-04-0005
MPR Reference No.: 6118-040

MATHEMATICA
Policy Research, Inc.

**NSLP/SBP Access,
Participation, Eligibility,
and Certification Study**

**Supporting Statement for
Request for OMB
Approval of Data
Collection**

Revised

August 3, 2005

*Michael Ponza
John Hall
John Homrighausen
Philip Gleason
Melissa Clark
Lara Hulsey
Todd Ensor*

Submitted to:
U.S. Department of Agriculture
Food and Nutrition Service
Office of Analysis, Nutrition, and Evaluation
3101 Park Center Drive
Alexandria, VA 22302

Contracting Officer's Representative:
John Endahl
(703) 305-2122

Submitted by:
Mathematica Policy Research, Inc.
P.O. Box 2393
Princeton, NJ 08543-2393
Telephone: (609) 799-3535
Facsimile: (609) 799-0005

Project Director: Michael Ponza
Principal Investigator: Philip Gleason
Survey Director: John Homrighausen

CONTENTS

Section	Page
A JUSTIFICATION.....	1
A1. EXPLANATION OF CIRCUMSTANCES THAT MAKE THE COLLECTION OF INFORMATION NECESSARY	1
A2. HOW THE INFORMATION WILL BE USED, BY WHOM, AND FOR WHAT PURPOSE	4
A3. USE OF IMPROVED TECHNOLOGY TO REDUCE BURDEN	14
A4. EFFORTS TO IDENTIFY AND AVOID DUPLICATION.....	15
A5. EFFORTS TO MINIMIZE BURDEN ON SMALL BUSINESSES OR OTHER SMALL ENTITIES.....	15
A6. CONSEQUENCES TO FEDERAL PROGRAMS OR POLICIES IF DATA COLLECTION IS NOT CONDUCTED OR IS CONDUCTED LESS FREQUENTLY	15
A7. SPECIAL CIRCUMSTANCES REQUIRING COLLECTION OF INFORMATION IN A MANNER INCONSISTENT WITH SECTION 1320.5(D)(2).....	16
A8. EFFORTS TO CONSULT WITH PERSONS OUTSIDE THE AGENCY.....	16
A9. PAYMENTS TO RESPONDENTS.....	17
A10. ASSURANCES OF CONFIDENTIALITY PROVIDED TO RESPONDENTS.....	18
A11. JUSTIFICATION OF QUESTIONS OF A SENSITIVE NATURE	19
A12. ESTIMATES OF RESPONDENT BURDEN	20
A13. ESTIMATES OF THE COST BURDEN TO RESPONDENTS	20
A14. ESTIMATES OF COST TO THE FEDERAL GOVERNMENT.....	20
A15. REASONS FOR ANY PROGRAM CHANGES OR ADJUSTMENTS.....	23

Section	Page
A16. PLANS FOR TABULATIONS, STATISTICAL ANALYSIS, AND PUBLICATION	23
1. Study Schedule.....	23
2. Analysis Plans	23
A17. DISPLAY OF EXPIRATION DATE FOR OMB APPROVAL	54
A18. EXCEPTION TO THE CERTIFICATION STATEMENT IDENTIFIED IN ITEM 19.0 OF FORM OMB 83-1	54
B COLLECTION OF INFORMATION USING STATISTICAL METHODS.....	57
B1. SAMPLING AND STATISTICAL PRECISION LEVELS	57
1. Overview.....	57
2. Target Populations	60
3. Sampling Frames	60
4. Sample Selection Procedures	62
5. Statistical Precision.....	69
6. Analysis Weights	75
B2. DATA COLLECTION STRATEGY	79
1. SFA Data Collection Procedures	79
2. Household Survey Procedures	82
3. Student Records Data Collection	85
4. Counting and Claiming Data Collection.....	88
B3. METHODS TO MAXIMIZE RESPONSE RATES.....	95
1. Maximizing Participation.....	95
2. Reducing Nonresponse	97
B4. TEST OF PROCEDURES	98
B5. INDIVIDUALS CONSULTED ON STATISTICAL ASPECTS OF THE DESIGN	103
REFERENCES	105

Section

Page

APPENDIX A: SFA SURVEY AND RELATED FORMS

APPENDIX B: HOUSEHOLD SURVEY

APPENDIX C: STUDENT DATA ABSTRACTION FORMS

APPENDIX D: MEAL COUNTING AND CLAIMING DATA COLLECTION
FORMS

APPENDIX E: STATE CHILD EDUCATION/NUTRITION AGENCY DATA
COLLECTION FORM

APPENDIX F: FEDERAL REGISTER NOTICE

APPENDIX G: STUDY ENDORSEMENT LETTERS FROM USDA

APPENDIX H: AUTHORIZATION FOR STUDY: PUBLIC LAW 300-107

TABLES

Table		Page
A1.1	OVERVIEW OF STUDY DESIGN	5
A12.1	ESTIMATED RESPONDENT BURDEN FOR APEC STUDY	21
A16.1	ERRONEOUS PAYMENTS DUE TO CERTIFICATION ERROR IN THE NSLP AND SBP	25
A16.2	ESTIMATES OF CHANGES IN INCOME ELIGIBILITY STATUS OVER SCHOOL YEAR DUE TO CHANGING HOUSEHOLD CIRCUMSTANCE ...	29
A16.3	CERTIFICATION-ERROR RATES ASSOCIATED WITH DIRECT CERTIFICATION	32
A16.4	ERRONEOUS PAYMENTS DUE TO MEAL COUNTING AND CLAIMING.....	35
A16.5	CHARACTERISTICS BY APPLICATION STATUS	41
A16.6	APPLICATION STATUS AND RESULTS	44
A16.7	HOUSEHOLDS' KNOWLEDGE OF PROCEDURES FOR APPLYING FOR FREE/REDUCED-PRICE MEALS AMONG APPLICANT HOUSEHOLDS	45
A16.8	PREVALENCE OF AND REASONS FOR INCOMPLETE APPLICATIONS FOR FREE/REDUCED-PRICE MEAL BENEFITS, AMONG ELIGIBLE AND INELIGIBLE APPLICANTS.....	46
A16.9	REPORTED REASONS FOR NOT REAPPLYING FOR FREE/ REDUCED-PRICE MEAL BENEFITS AFTER INITIAL APPLICATION DENIED OR INCOMPLETE, BY REASON FOR DENIAL.....	47
A16.10	AVERAGE SCHOOL-LEVEL NSLP PARTICIPATION, BY CERTIFICATION STATUS	48
A16.11	PARTICIPATION AS REPORTED BY PARENTS, BY CERTIFICATION STATUS.....	50
A16.12	REASONS FOR NOT PARTICIPATING IN NSLP, BY CERTIFICATION STATUS.....	51
A16.13	SATISFACTION WITH SCHOOL MEALS	52

TABLES (*continued*)

Table	Page
A16.14	CHANGES IN ELIGIBILITY OVER TIME 53
A16.15	SUMMER FOOD SERVICE PROGRAM PARTICIPATION..... 55
B1.1	90 PERCENT CONFIDENCE INTERVALS: ABOUT MEAN AMOUNT IN ERROR 70
B1.2	90 PERCENT CONFIDENCE INTERVALS FOR PERCENTAGE ESTIMATES ABOUT TOTAL SAMPLE AND PROVISION 2/3 SUBGROUPS 71
B1.3	90 PERCENT CONFIDENCE INTERVALS FOR PERCENTAGE ESTIMATES OF TOTAL CASE ERROR FOR ALL APPLICANTS 73
B1.4	90 PERCENT CONFIDENCE INTERVALS FOR THE DIFFERENCE IN ESTIMATES OF CASE ERROR BETWEEN NON-PROVISION 2/3 AND PROVISION 2/3 74
B1.5	90 PERCENT CONFIDENCE INTERVALS FOR PERCENTAGE ESTIMATES OF CASE ERROR DUE TO ADMINISTRATIVE ERROR..... 76
B1.6	90 PERCENT CONFIDENCE INTERVALS for THE DIFFERENCE IN ESTIMATES OF CASE ERROR DUE TO ADMINISTRATIVE ERROR BETWEEN NON-PROVISION 2/3 AND PROVISION 2/3 77
B2.1	OVERVIEW OF DATA COLLECTION 80

FIGURE

Figure		Page
B 1.1	SAMPLE DESIGN FOR NSLP/SBP ACCESS, PARTICIPATION, ELIGIBILITY AND CERTIFICATION STUDY	58

PART A. JUSTIFICATION

A1. EXPLANATION OF CIRCUMSTANCES THAT MAKE THE COLLECTION OF INFORMATION NECESSARY

The National School Lunch Program (NSLP) and the School Breakfast Program (SBP) provide federal financial assistance and commodities to schools serving lunches and breakfasts that meet required nutritional standards. The subsidies are largest for children from families with relatively low incomes. Approved children living in households with income less than or equal to 130 percent of the federal poverty level (FPL) qualify for free meals. Children living in households with incomes above 130 percent but less than or equal to 185 percent of FPL qualify to receive reduced price meals. School Food Authorities (SFAs) establish the price for meals served to children from families with incomes more than 185 percent of poverty, although there is still some degree of federal subsidy paid for these meals. Local Education Authorities (LEAs) distribute application forms to the families of all students and receive and process the completed applications of families who want benefits. The information on the applications about household size, income, and participation in the Food Stamp Program (FSP), Temporary Assistance for Needy Families (TANF), or Food Distribution Program on Indian Reservations (FDPIR) is used to determine whether the household qualifies for benefits. Students may also become certified for free meal benefits through “direct certification,” which allows LEAs to use information provided by the FS/TANF/FDPIR administering agency to establish that a student is a member of a household which is eligible for one of these programs, and is thus automatically eligible to receive free meals.

The accuracy of the information that families provide on applications for free and reduced price school meals, the accuracy with which School Food Authorities (SFAs) classify student

eligibility, and the effectiveness of procedures that Local Education Authorities (LEAs) use to approve and verify applications are key components of the integrity of the NSLP and SBP. In recent years, however, there has been evidence from auditing studies, aggregate data on participation, and other more specialized studies that a significant number of ineligible students have been approved for free and reduced-price meals, as well as evidence of the existence of other sources of payment errors (such as schools or school districts submitting improper meal counts for reimbursable meals). This evidence has raised concerns in the U.S. Department of Agriculture (USDA), Food and Nutrition Service (FNS), which administers the program, and in Congress.

Under the Improper Payments Information Act of 2002 (Public Law 107-300), federal agencies are required to report annually on the extent of the erroneous payments in programs which may be susceptible to significant erroneous payments and report the actions they are taking to reduce them. USDA must identify and reduce erroneous payments in various food and nutrition programs, including the NSLP and SBP. Erroneous payments under the NSLP and SBP can result from misclassification of the school meal eligibility status of participating students, due to administrative errors or misreporting by households at the time of application or verification. Payment errors also result when schools and school districts submit improper meal counts and claims for reimbursable meals. To comply with this legislation, USDA needs a reliable national estimate of erroneous payments in the NSLP and SBP in SY 2005-2006. In addition, since it is not feasible to field a national study each year, USDA also needs reliable estimation models based on readily obtainable, extant data sources that it can use for updating erroneous payment estimates annually.

FNS has contracted with Mathematica Policy Research, Inc. (MPR) to conduct the Access, Participation, Eligibility, and Certification (APEC) Study of the NSLP and SBP. The APEC

Study will collect a broad range of data from nationally representative samples of SFAs, schools, and households (for a sample of students) to answer the following questions of interest to the U.S. Congress, USDA, and other program stakeholders, under three main research objectives:

- ***Objective 1: Produce National Estimates of Erroneous Payments Due to Certification Errors and Meal Counting and Claiming Errors***

- What is the extent of overpayments, underpayments, and overall erroneous payments made under the NSLP and SBP as a result of the misclassification of the school meal eligibility status of the students who participate in these programs?
- How prevalent are certification errors in districts using direct certification?
- What are erroneous payments due to certification error in Provision 2/3 schools, and do they differ from those in schools not using Provision 2/3?
- What are the sources of erroneous payments due to certification error? What fraction is due to administrative error? What fraction is due to misreporting income and/or household size at the time of application/reapplication and at verification?
- What proportion of households experience changes in incomes, and what proportion of households would be certified toward the end of the school year based on income data collected at that time?
- What is the certification error rate detected by SFAs?
- What is the payment error rate associated with errors in meal counting and meal claiming for the NSLP and SBP?

- ***Objective 2: Develop, Test, and Validate Estimation Models of Annual Erroneous Payments***

- How do the overpayment, underpayment, and overall erroneous payment estimates for the NSLP and SBP that were generated by the estimation models compare with the estimates based on the on-site data collected in SY 2005-2006?
- What additional data could help improve the estimates generated by the estimation models?
- How do changes in the verification system (such as changes in verification requirements, shifts in the proportion of applications selected for random and focused sampling) affect the estimates of erroneous payment?

- **Objective 3: Assess NSLP and SBP Access and Participation**

- What are the characteristics of students approved for free meals, students approved for reduced-price meals and denied applicants?
- What are the major reasons that denied applicants do not reapply? Why do households not apply for free or reduced-price meals if changes in income, household size, or program participation make them eligible to receive these benefits?
- What would it take to make households consider reapplying for meal benefits?
- How many families move from reduced-price to free eligibility, and what proportion apply for increased meal benefits?
- Why do students from households certified for free or reduced-price meals not participate in the NSLP or SBP or participate more frequently? What is the relationship of perceived quality of meals to application and participation in the NSLP and SBP?
- To what extent do certified households participate in the Summer Food Service Program (SFSP)? Why do they not participate in the SFSP? What would encourage them to participate?

Table A1.1 summarizes the overall research design.

A2. HOW THE INFORMATION WILL BE USED, BY WHOM, AND FOR WHAT PURPOSE

The *Improper Payments Information Act of 2002, P.L. 107-300* requires that Federal agencies identify and reduce erroneous payments in their programs. For USDA, this includes the National School Lunch Program and School Breakfast Program. An OMB directive, issued May 21, 2003, states that an annual erroneous payment estimate is the gross (not net) total of both overpayments and underpayments. That is, it is the sum of the absolute value of overpayments and underpayments. To comply with the Improper Payments Information Act, USDA needs a reliable measure to estimate NSLP and SBP erroneous payments on an annual basis. Therefore, USDA is conducting a nationally representative study that will collect data from school districts and households in School Year 2005-2006 for calculating national estimates of certification and payment errors and provide overall national estimates of erroneous payments in NSLP and SBP

TABLE A1.1

OVERVIEW OF STUDY DESIGN

Research Questions/Key Outcomes	Samples ^a	Data Collection	Analysis Methods
Objective 1: Generate National Estimates of Erroneous Payments and Meal Counting/Claiming Errors			
(1) Estimate Erroneous Payment Errors -- Amount of overpayments -- Amount of underpayments -- Sum of absolute value of over- and underpayments	Nationally representative cross-sectional sample of free and reduced-priced students/households -- 2,880 students/households	On-site data collection in SY 2005-2006 from school districts and households -- Household survey -- Record abstraction	Descriptive tabular analysis Separate estimates for NSLP and SBP 90% confidence interval of plus or minus 2.5% around the estimate of the percentage of erroneous payments
(2) Estimate Erroneous Payments for Direct Certification Districts	Nationally representative cross-sectional sample of free/reduced-price households attending direct certification districts (n = 432)	On-site data collection in SY 2005-2006 from school districts and households -- Household survey -- Record abstraction	Descriptive tabular analysis Separate estimates for NSLP and SBP
(3) Decompose Erroneous Payments by Source of Error -- Administrative error at application or verification -- Household misreports information at application	Nationally representative cross-sectional sample of free and reduced-price students/households -- 2,880 students/households	Data collection in SY 2005-2006 from school districts and households -- Household survey -- Record abstraction	Descriptive tabular analysis Estimate the source of error based on the full cross-sectional sample Separate estimates for NSLP and SBP
(4) Estimate the Proportion of Certified Households Experiencing Changes in Circumstances Over the School Year	Nationally representative sample of free and reduced-price students/households -- Panel sample (n = 800 students/households)	Data collection in SY 2005-2006 from school districts and households -- Household survey -- Record abstraction	Descriptive tabular analysis Separate estimates for NSLP and SBP
(5) Identify certification error rate detected by SFA's current verification activities	Nationally representative sample of 80 SFAs	Data collection in SY 2005-2006 from school districts	Descriptive tabular analysis
(6) Estimate Meal Counting and Claiming Errors -- Error rates and dollar amounts -- Decomposition by source of error	Nationally representative sample of 80 school districts and 264 schools	Data collection in SY 2005-2006 from school districts and schools -- Observation at point of sale -- Review of records -- Review of processes -- Staff interviews	Descriptive tabular analysis Separate estimates for NSLP and SBP

TABLE A1.1 (continued)

Research Questions/Key Outcomes	Samples ^a	Data Collection	Analysis Methods
Objective 2: Develop Estimation Models for Updating Annual Estimates of Erroneous Payments Based on Extant Data			
<p>Annual Estimates of Erroneous Payments</p> <ul style="list-style-type: none"> -- Amount of overpayments -- Amount of underpayments -- Gross total (sum of over- and underpayments) -- Predict changes in erroneous payments when verification requirements and other parameters change 	<p>Nationally representative sample of free and reduced-price students/households</p> <ul style="list-style-type: none"> -- Separate cross-sections monthly covering entire school year (n = 2,880 students/households) 	<p>Data collected from school districts and households in SY 2005-2006</p> <p>Extant data</p> <ul style="list-style-type: none"> -- Common Core of Data (CCD) -- Census data -- Administrative data from FNS and other agencies 	<p>Regression modeling and estimation</p> <p>Separate estimates for NSLP and SBP</p>
Objective 3: Assess Program Access and Related Issues			
<p>(1) Determine the Characteristics of Households That Apply and Those That Do Not Reapply for School Meals</p>	<p>Nationally representative samples of:</p> <ul style="list-style-type: none"> -- Free/reduced-price approved students/households (n = 2,880) -- Denied applicants (n = 320) 	<p>Data collected from households in SY 2005-2006</p> <p>Household survey</p>	<p>Descriptive tabular analysis</p> <p>Multivariate analysis</p>
<p>(2) Determine Reasons Denied Applicants (Denied due to Administrative Error) Do Not Reapply</p>	<p>Nationally representative sample of denied applicants (n = 320)</p> <p><i>Note:</i> Sample of denied applicants denied due to administrative error will be smaller.</p>	<p>Data collected from school districts and households in SY 2005-2006</p> <ul style="list-style-type: none"> -- Household survey -- Record abstraction 	<p>Descriptive tabular analysis</p> <p>Multivariate analysis</p>
<p>(3) Determine the Proportion of Households That Qualify for Increased Meal Benefits During the School Year</p>	<p>Nationally representative samples of:</p> <ul style="list-style-type: none"> -- Free/reduced-price approved students/households (n = 800, panel sample) -- Denied applicants (n = 320) 	<p>Data collected from school districts and households in SY 2005-2006</p> <ul style="list-style-type: none"> -- Household survey -- Record abstraction 	<p>Descriptive tabular analysis</p> <p>Multivariate analysis</p>
<p>(4) Identify the Reasons for NSLP/SBP Nonparticipation</p>	<p>Nationally representative samples of:</p> <ul style="list-style-type: none"> -- Free/reduced-price approved students/households (n = 2,880) -- Denied applicants (n = 320) 	<p>Data collected from school districts and households in SY 2005-2006</p> <ul style="list-style-type: none"> -- Household survey 	<p>Descriptive tabular analysis</p> <p>Multivariate analysis</p>
<p>(5) Determine Relationship of Perceived Meal Quality to Application and Participation</p>	<p>Nationally representative samples of:</p> <ul style="list-style-type: none"> -- Free/reduced-price approved students/households (n = 2,880) -- Denied applicants (n = 320) 	<p>Data collected from school districts and households in SY 2005-2006</p> <ul style="list-style-type: none"> -- Household survey 	<p>Descriptive tabular analysis</p> <p>Multivariate analysis</p>

TABLE A1.1 (continued)

Research Questions/Key Outcomes	Samples ^a	Data Collection	Analysis Methods
(8) Assess SFSP Participation and Reasons for Nonparticipation	Nationally representative samples of free/reduced-price approved students/households and denied applicants (n = 3,200)	Data collected from school districts and households in SY 2005-2006 -- Household survey	Descriptive tabular analysis Multivariate analysis

^aNumber of completed interviews.

that would be the gross of overpayments and underpayments. It would be cost prohibitive to conduct a large nationally representative study on a yearly basis. Therefore estimation models will be developed that would utilize the data collected during this study, augmented with available extant data sources in future years to generate updated yearly estimates of overpayments, underpayments and overall erroneous payments in NSLP and SBP until the next large onsite data collection is undertaken.

In addition to the annual national erroneous payment estimate based on misclassification of participating students' school meal eligibility status, this study will also provide national estimates of payment errors due to the improper counting and claiming of meals served under the NSLP and the SBP. The onsite data collected for this study, including household characteristic data, will also be used for providing some information on program access issues.

Information for the APEC Study will be collected by MPR under contract number AG-3198-C-04-0005, order number FNS-04-TMN-03, with the Food and Nutrition Service of the U.S. Department of Agriculture. MPR and FNS will analyze the data. The study will collect nationally representative data in a multi-stage sample. All primary data collection will be conducted in the contiguous 48 states and the District of Columbia.

The data collection plan for the study has five components: (1) an SFA survey, (2) household surveys, (3) application records abstraction and collection of other student records data, (4) observation and record review of meal-counting and -claiming processes, and (5) collection of administrative data for developing and testing models of estimating erroneous payments.

School Food Authority Survey. MPR executive interviewers will administer a telephone interview with school food service directors from a representative sample of 80 SFAs selected

from the population of all SFAs in public and private school districts that participate in the NSLP and SBP. The survey will collect the following information:

- ***Institutional Characteristics of SFAs that Participate in the NSLP and SBP.*** This information will include grade span, number of schools in the SFA by type of school (elementary, middle, and high school), enrollment, presence of charter schools, and number of school districts in the SFA (single-district SFA versus supervisory union of districts as the SFA).
- ***Meal Program Participation Data.*** We will collect information on the number of students certified by meal type, meal program participation (number of meals by type), Provision 2/3 status, and number of meals by Provision 2/3 status.
- ***Certification and Verification Procedures and Outcomes.*** We also will collect information on certification and verification procedures and outcomes: whether or not the district uses direct certification, the implementation of direct certification, and the free and reduced-price application and verification process (including information on verification error rates).
- ***School-Level Data.*** The SFA survey also will collect selected information on meal program participation and characteristics of the three schools sampled from within the SFA for on-site data collection, primarily on meal program characteristics and participation outcomes at the school level.

To expedite the interview, the SFA director will be sent in advance a “fact form” to be completed and faxed to MPR before the interview. The SFA directors will be interviewed between February and April 2006.

The SFA survey and fax-back fact form are included as Appendix A. There are two versions of the fax-back form: one for districts using one of the special provisions (Provision 2 or 3), and a shorter version for those districts not participating in Provision 2 or 3. Appendix A also includes the advance letters that were sent to school district superintendents and SFAs and the study overview.

Household Survey. MPR field staff will administer in-person interviews to parents or guardians of children selected in our scientifically selected, representative samples of certified free/reduced-price and denied applicant households in SY 2005-2006. Interviews will be

conducted throughout the school year, with most occurring during the first few months of the school year when most applications are received and certification and verification activities take place. We will complete 3,200 cross-sectional household surveys: 2,880 certified free and reduced price households; and 320 denied applicant households.

The survey will collect information on household characteristics and on experiences with the school meal benefit application process, denied applicant's perceptions about barriers or deterrents to reapplying, and participation of sampled children in the school meal programs. Most important, the household survey will collect information on household composition and size, as well as detailed information on the sources and amounts of income of family members 16 or older. The information on family composition and income will be used to establish (independently of information available from SFA records on the household's application for school meals) whether the student's family has income 130 percent or less of federal poverty level (eligible to be approved for free school meals), income of 131 to 185 percent of federal poverty level (eligible to be approved for reduced-price school meals), or income above 185 percent of the federal poverty level (not eligible for free or reduced-price school meals). Furthermore, in order to produce the most accurate possible independent estimates of household income, those who complete the in-person interview will be asked to show documents verifying the amounts of income they report for major income sources.

The purpose of the in-person interview with documentation is to obtain correct, documented income amounts for each student's family in order to measure certification error due to household misreporting. For households that applied for the school meal programs—certified and denied applicant households—these data will be compared with information on the household's school meal application and the SFA's certification decision, to assess the

prevalence of certification error and the amounts of erroneous payments and their source (whether due to administrative error or household misreporting).

We will randomly select a subsample from the study's sample of free and reduced-price approved households and interview them a second time, as part of a panel. We will complete interviews with 800 households in that panel. This panel will include primarily households sampled in September and October 2005, but it will include newly certified households selected between November 2005 and the end of the school year in 2006. The second interview will be shorter, focusing on changes in family composition and income. It will also collect information on meal program participation. The interview will be administered by telephone. MPR will use information from the panel sample to measure changes in certified free and reduced-price households' income and other circumstances over time. In addition, we may use information obtained during the follow-up interview about students' NSLP and SBP participation, to determine whether it will be necessary to adjust our measure of NSLP and SBP participation obtained from the first interview—that is, whether participation varies by the number of months since the household applied and was certified.

The household survey that will be administered to the parent or guardian of sampled F/RP approved and denied applicants in the cross section sample is included as Appendix B. Appendix B also contains the advance letter to households and the household survey brochure (English and Spanish versions). It also includes a confidentiality agreement. The telephone survey with members of the F/RP approved panel will be administered by telephone. It will be considerably shorter than the first survey (approximately 30 minutes), asking the respondent about the target child's NSLP and SBP participation during the target week and about household composition and income.

Abstraction of Meal Program Applications, Program Participation Data, and Other Data on Students. MPR field interviewers will make copies of meal program benefit applications (or if they cannot make copies, abstract data onto specially designed forms) for sampled children from the certified free and reduced-price and denied applicant samples (4,496 applications).¹ The data from the application will include the applicant’s identifying information, household composition and income, qualifying program participation, and the result of the application (certification decision). In addition, for the 3,200 free and reduced-price approved households and denied applicant households that are being administered a household survey, we will obtain data on meal program participation from point-of-sale media (electronic or hard copy) for those schools that track meal program participation at the individual-student level. Finally, for sampled free and reduced-price households and denied applicants (3,200 households) that are being administered a household survey, we will obtain data on enrollment start and stop dates, as well as information on changes in meal program certification status during the school year. This enrollment and certification information will be collected from school staff at the end of the school year by telephone by MPR’s central office staff.

The forms used for abstracting data from meal program applications and for collecting other student data are included in Appendix C.

Meal-Counting and -Claiming Data Collection. The study distinguishes a second major source of erroneous payments: those that occur after eligibility is determined up through the time when school districts submit reimbursement claims, denoted “meal counting and claiming

¹Note that, for 3,200 of these students who are sampled from 216 non-Provision 2/3 schools and 24 Provision 2/3 base-year schools, we also will be conducting household interviews with their parents or guardians. We are completing application abstractions with 1,296 additional applications from Provision 2/3 schools (648 applications sampled from the 24 Provision 2/3 base year schools and 648 applications sampled from the 24 Provision 2/3 non-base year schools). In this supplemental sample, we are abstracting data from their meal program application but not interviewing the parent or guardian.

error.” Field interviewers will collect data to measure this error, which consists of three main sources: (1) benefit issuance error, (2) cashier error, and (3) counting and reimbursement claiming error. To measure benefit issuance error, field interviewers will record the certification status of 30 students sampled from each study school’s current benefit issuance list maintained at the point-of-service, then compare this information with the student’s certification status on the application or direct certification document maintained by the SFA or school, for 240 schools.² Through observation of cashier transactions at 264 schools (100 lunch transactions and 50 breakfast transactions randomly selected for a target week for each school), field interviewers will collect information on the degree of accuracy with which cashiers classify meals as reimbursable.³ Field interviewers also will collect information on each school’s breakfast and lunch counts and claims made to SFAs for meals served and in turn how SFAs consolidate and report the schools meal counts and claims they receive on to state agencies for reimbursement.

Forms used to record these data are included in Appendix D.

Collecting Administrative Data for Developing and Testing Models. To support the development and testing of the study’s models for estimating erroneous payments in future years, MPR will collect data from several administrative sources, including district-level administrative data from the SFA Verification Summary Reports (Form FNS-742), other district-level administrative data from State Child Education/Nutrition agencies, public school district-level data from the Common Core of Data (CCD) and Decennial Census, and private school-level data

²Benefit issuance error does not occur at Provision 2/3 schools in non-base years since meals are reimbursed according to claiming percentages determined in the base year. Therefore we will measure benefit issuance error at the study's non-Provision 2/3 schools (at least 216 schools) and Provision 2/3 base-year schools (24 schools), but not the 24 Provision 2/3 non-base year schools. However, the Provision 2/3 non-base year schools may use Provision 2/3 in breakfast but not lunch. In those instances, we would measure benefit issuance error in the lunch program’s benefit issuance list.

³Cashier error may occur at Provision 2/3 non-base year schools when cashiers erroneously ring up a meal as reimbursable when it is not or do not count it as reimbursable when it should be.

from the Private School Survey (PSS). The form used to record these data from State Child Education/Nutrition agencies is included in Appendix E.

A3. USE OF IMPROVED TECHNOLOGY TO REDUCE BURDEN

The information to be collected for this study will come from existing records and data, in-person interviews or telephone interviews, and interviewer observations of meal transactions and meal count and reconciliation activities during school visits. Wherever possible, improved technology has been incorporated into the data collection, to reduce respondent burden. Information that is available to the contractor from a centralized source has not been included in the data collection instruments. For example, information on the name and location of SFAs, and the telephone number and address of SFA directors, was obtained from computerized files maintained by the state child nutrition agency. Electronic mail will be used, when possible, to send reminders and other communications to district and school staff. The initial sampling frame for SFAs was developed under a contract for another study (Child Nutrition Sample Frame task order, for USDA/FNS).

In addition, all in-person interviews with households will use computer-assisted (CAPI) technologies and the telephone survey with the F/RP approved panel will use CATI. Use of CAPI and CATI will make possible accurate skip patterns, customized wording for state-specific TANF names and income reference periods, response code validity checks, and consistent checking and editing which improve the pace and flow of the interviews and thus reduce respondent burden.

“According to the Government Paperwork Elimination Act, federal agencies are to provide electronic submission as an alternative to paper where feasible.” The nature of this procurement precludes the ability to provide electronic submission.

A4. EFFORTS TO IDENTIFY AND AVOID DUPLICATION

Every effort has been made to avoid duplication of data collection efforts. These efforts included a review of USDA reporting requirements, state administrative agency reporting requirements, and special studies by government and private agencies.

FNS has the responsibility for administering the USDA school meal programs. It funds state agencies which, in turn, fund local SFAs. Within this organizational structure, SFAs are responsible for eligibility determination and food service delivery. SFAs report on their activities to the State Agency, which reports to FNS by way of seven regional offices. Other than sampling information (which, as a starting point, we are drawing on from another USDA study—SNDA-III study, which MPR is also conducting) and extant, district-level administrative data from the SFA Verification Summary Reports (Form FNS-742)—and public school district-level data from the Common Core of Data and Decennial Census, and private school-level data from the Private School Survey—the information required for this study is not currently reported to FNS on a regular basis in a standardized form nor available from any other previous, contemporary study.

A5. EFFORTS TO MINIMIZE BURDEN ON SMALL BUSINESSES OR OTHER SMALL ENTITIES

The data collection will not involve, and will have no direct impact on, either small businesses or small not-for-profit organizations.

A6. CONSEQUENCES TO FEDERAL PROGRAMS OR POLICIES IF DATA COLLECTION IS NOT CONDUCTED OR IS CONDUCTED LESS FREQUENTLY

If this data collection were not done, USDA would be prevented from meeting its federal reporting requirements (under the Improper Payments Information Act of 2002, to annually

measure erroneous payments in the NSLP and SBP and identify the sources of erroneous payments).

Virtually all the data being collected for the study involve a one-time data collection with no repetition. An exception is that the study is conducting a second interview (by telephone) with 800 certified free and reduced-price households that comprise a panel sample later during the school year, for the purpose of measuring how economic circumstances change that could affect eligibility, as well as to collect information on meal program participation subsequent to the time of certification. The second interview, which is shorter than the initial interview, will collect information on household characteristics, changes in income and family composition, and students' meal program participation.

A7. SPECIAL CIRCUMSTANCES REQUIRING COLLECTION OF INFORMATION IN A MANNER INCONSISTENT WITH SECTION 1320.5(D)(2)

The proposed data collection is consistent with the guidelines set forth in Section 1320.5(D)(2). As discussed in Part B of this OMB supporting statement, the selection of SFAs to be included in the study is designed to provide a nationally representative sample of public and private SFAs. Similarly, the selection of schools and students within these schools is designed to provide nationally representative samples.

A8. EFFORTS TO CONSULT WITH PERSONS OUTSIDE THE AGENCY

An announcement of FNS's intent to seek approval to collect this information provided an opportunity for public comment on this study. This announcement, published in the *Federal Register*, Vol. 70, No. 48, Monday, March 14, 2005, page 12441, specified a 60-day period for comment ending May 10, 2005. During that period no public comments were received. A copy of the *Federal Register* announcement is provided in Appendix F.

Consultations about the research design, sample design, data sources and needs, and study reports occurred during the study's design phase and will continue to take place throughout the study. The purpose of these consultations is to ensure the technical soundness of the study and the relevance of its findings, and to verify the importance, relevance, and accessibility of the information sought in the study.

Senior technical staff from MPR and FNS who are conducting the study are listed below:

Mathematica Policy Research, Inc.:

Michael Ponza	609-275-2361
Phil Gleason	315-781-8495
John Hall	609-275-2357
John Homrighausen	609-275-2302
Jim Ohls	609-275-2377
John Burghardt	609-275-2395

USDA/FNS/OANE:

John Endahl	703-305-2122
Jay Hirschman	703-305-2119

In addition to the above, the data collection plan for the study was reviewed by the Food and Nutrition Subcommittee of the Education Information Advisory Committee (EIAC) at their March 2005 meeting in Washington DC. EIAC is a committee of The Council of Chief State School Officers (CCSSO). Kathy Kuser served as EIAC Food and Nutrition Subcommittee Chair, and Katie Mordhorst was the EIAC study liaison. All members of this subcommittee provided written comments on the plan and revisions were made accordingly.

A9. PAYMENTS TO RESPONDENTS

Permission is requested to offer a financial incentive to promote cooperation and full participation in the household survey for the planned study. Sample members will be offered \$25 to complete the in-person survey and provide documentation. The incentive will be offered in the advance letter and brochure.

Recent research summarized by Singer and Kulka (2000) indicates that financial incentives can be effective. They conclude that incentives significantly reduce survey nonresponse, and are cost-effective, lowering the overall cost and burden for most surveys.

We also note that both the National Study of WIC Participants and the Evaluation of the National School Lunch Program Application and Verification Pilot Projects studies offered similar financial incentives for completing a detailed in-home interview about household composition and income and for providing documentation of income amounts. These incentives were effective in achieving the high response rates of the surveys done in these studies.

A10. ASSURANCES OF CONFIDENTIALITY PROVIDED TO RESPONDENTS

All individuals participating in the study will be assured that the information they provide will not be released in a form that identifies individual respondents, unless required by law. No information will be reported by the contractor in any way that permits linkage to individual respondents. In addition, all individuals hired by the contractor will be required to sign an oath of confidentiality as a condition of employment.

FNS will supply the contractor with an endorsement letter that will be mailed to each respondent, along with a brochure prepared by MPR giving details of the study. This letter assures the respondent that the information being gathered is for research purposes only. The identify of the respondent, the school district, or the school will not be disclosed to anyone outside the project. The information gathered will not be used to evaluate any single district or school in any way. In addition, field interviewers and household respondents will sign a Confidentiality Assurance Agreement. A copy of all letters and the brochure are provided in Appendixes A and B.

A11. JUSTIFICATION OF QUESTIONS OF A SENSITIVE NATURE

With one exception, the questions asked in household surveys and interviews with SFAs do not involve questions of a sensitive nature. The exception consists of several questions about receipt of income, by source, for individual household members and receipt of income to the household as a whole, that appear on the household survey. As described under Item A10, all respondents will be assured confidentiality at the outset of the interview (and field staff will sign a confidentiality agreement in the presence of respondents). All survey responses will be held strictly confidential; respondents' answers will not be reported to school officials or any other program or agency, but will be combined with the responses of others so that individuals cannot be identified. FNS and the contractor will comply with the requirements of the Privacy Act. All the questions have been pretested, and all have been used extensively in previous surveys with no evidence of harm.

The following questions may be considered sensitive items: Questions on income sources (Section H) and amounts (Section I); and questions on receipt of public assistance (Section J).

Questions about income and public assistance receipt of household income are necessary to establish the family's actual eligibility for free and reduced-price meal benefits. Without these questions, the study will not be able to compare students' certification status with estimated eligibility status to estimate certification error and derive estimates of erroneous payments in the NSLP and SBP for SY 2005-2006. Questions similar to those concerning income receipt by persons in the household and public assistance receipt by the household and questions requesting documentation of income reported have been used successfully in three prior FNS studies: the Evaluation of the National School Lunch Program Application and Verification Pilot Projects (OMB#0584-0516), the National Survey of WIC Participants (OMB#0584-0484), and the Study of Income Verification in the National School Lunch Program (OMB#0584-0359).

A12. ESTIMATES OF RESPONDENT BURDEN

Table A12.1 shows sample sizes and estimated burden for each part of the data collection and overall. As this data collection effort is taking place during a single year, SY 2005-2006, the “annual time” is merely the time taken to provide information during that time. The estimates are based on a pretest of procedures held in January through February 2005 (see Section B.4 for information on the pretest).

A13. ESTIMATES OF THE COST BURDEN TO RESPONDENTS

There are no direct monetary costs to respondents other than their time to participate in the study.

A14. ESTIMATES OF COST TO THE FEDERAL GOVERNMENT

The estimated cost of the study to the federal government is \$4,621,553 over a period of three years (September 27, 2004 through September 30, 2007). This represents the contractor’s costs for labor, other direct costs, and indirect costs. The estimated total cost of the data collection is approximately \$3,672,774, which can be broken down into three major components as follows:

- ***Develop Data Collection Instruments and OMB Clearance Package.*** MPR developed draft, revised, and final versions of all data collection instruments and forms and the OMB Clearance Package and conducted pretests of data collection plans and instruments. The total budget for this activity was \$168,911.
- ***Sample and Recruit School Districts, Schools, and Households.*** MPR sampled school districts and schools. We are conducting orientation conference calls with each sampled school district to describe the study and participation requirements, address any concerns districts and schools may have, and to reach agreements (formal Memoranda of Understanding) with each district. Field staff will prepare the sample frames of students and select the student samples onsite during visits to districts throughout the school year. The total budget for this activity is \$605,116.
- ***Collect and Process Data.*** MPR will conduct all in-person and telephone primary data collection during SY 2005-2006. In addition to the telephone and field activities, this task includes activities such as preparing training materials, hiring and training

TABLE A12.1

ESTIMATED RESPONDENT BURDEN FOR APEC STUDY (REVISED DESIGN)

Respondent/Instrument	Number of Respondents	Minutes per Instrument	Total Minutes/ Hours	Percentage of Overall Total
State Child Nutrition Agency Directors				
Provision of district-level data ^a	51	90		
Total minutes			4,590	
Total hours			76.50	2.1
SFA Food Service Directors				
Preparation time and complete fact sheet	80	90	7,200	
SFA survey	80	20	1,600	
Provision of reimbursement claims data ^b	80	60	4,800	
Total minutes			13,600	
Total hours			226.67	6.3
School Financial Administrator^c				
Roster Verification Form	240	15	3,600	
School Meal Count Verification Forms	264	60	15,840	
Meal Transaction Observation Form	264	15	3,960	
Total minutes			23,400	
Total hours			390.00	10.8
School Liaison^d				
Student Certification and Enrollment Form	240	30	7,200	
Provide meals claimed totals for SY 05-06 ^e	24	15	360	
Total minutes			7,560	
Total hours			126.00	3.5
Households				
F/RP Approved Household Survey	2,880	45	129,600	
F/RP Approved Household Survey—2nd Interview	800	30	24,000	
F/RP Verified Applicant Household Survey	0	45	0	
Denied Applicant Household Survey	320	45	14,400	
Non-Applicant Household Survey	0	45	0	
Total minutes			168,000	
Total hours			2,800.00	77.3
Overall Total Hours			3,619.17	100

Note: F/RP = free and reduced-price.

^aMPR is requesting meal program participation data for each district within a state from state agencies, to be provided to MPR in paper copy or electronic format.

^bMPR is requesting data on the meal counts by meal type for a target month submitted to the SFA by the sampled schools, and the data on what the SFA submitted to the State Child Nutrition Agency for those sampled schools for that month, to be provided in paper copy.

TABLE 3B (continued)

^cSchool staff are not being administered any of these data collection instruments. Instead, they are providing data to field staff or access to the relevant data that school staff record for their own reporting purposes. Field staff will make copies of the forms that schools use to record the data or field staff will enter the information into the forms specially prepared for the study if they are not permitted to make photocopies.

^dSchool staff will be asked to provide MPR with updated information on sampled students enrollment and certification status at the end of the school year by telephone for 14 students per school, 240 schools, or for 3,360 students overall.

^eSchool staff from Provision 2/3 non-base-year schools will be asked, by telephone, to provide MPR with information on total meals claimed in SY 2005-2006 by meal type and meal claiming percentages used to arrive at reimbursement levels at the end of the school year.

telephone and field data collection staff, sample tracking and location activities for the panel component, and data edit/quality control and processing. The total budget for this activity is \$2,898,747.

A15. REASONS FOR ANY PROGRAM CHANGES OR ADJUSTMENTS

Since this is a new project, it will add 3,619 hours to the OMB collection inventory.

A16. PLANS FOR TABULATIONS, STATISTICAL ANALYSIS, AND PUBLICATION

1. Study Schedule

The planned schedule for the APEC Study is as follows:

Project Activity	Dates
Select and Recruit SFAs and Schools	January 2005-September 2005
Conduct Data Collection	August 2005-July 2006
Prepare Data Files	January 2006-September 2006
Analyze Data, Develop and Estimate Models, Prepare Final Reports and Journal Articles	August 2006-September 2007

2. Analysis Plans

The APEC Study will provide national estimates of erroneous payments made under NSLP and SBP, based on on-site data collection in SY 2005-2006. The study will provide estimation models for FNS staff to use when annually updating erroneous payment estimates for NSLP and SBP using available extant data. Finally, the study will address NSLP and SBP participation and access issues related to administrative procedures designed to reduce erroneous payments. In the rest of this section, for each study objective, we present the major research questions, planned analyses to address them, and illustrative table shells of how the findings will be presented.

a. Objective 1: Generate National Estimates of Erroneous Payments

We will produce, separately, national estimates of erroneous payments (overpayment, underpayment, and overall total) made under the NSLP and SBP in SY 2005-2006 as a result of the misclassification of school meal eligibility status of certified students who participate in these programs. These estimates will be representative of erroneous payments due to certification error for all free or reduced-price meals consumed by certified students in the NSLP and SBP over the full school year. The estimation process will consist of three steps. First, we will classify each certified free and reduced-price sample member into a category indicating both the member's certification status and his or her income-eligibility status in each month. Second, we will calculate erroneous payments over the sample month, based on the students' certification/eligibility category in each month, along with the number of meals they consumed in each month.⁴ Third, we will compute a weighted sum of students' monthly erroneous payments, to generate a national estimate of erroneous payments over the full school year. In addition to estimating the total amount of erroneous payments nationally, we will estimate national erroneous payment rates as the proportion of all payments made for free and reduced-price meals (over and above the payments for paid meals) that are in error. Table A16.1 shows how we will present the basic set of erroneous payment estimates. Similar tables will be produced for schools using Provision 2/3 and districts using direct certification procedures to determine eligibility.

⁴The amount of erroneous payments for each meal consumed by a student in a given certification/eligibility category is equal to the difference between the reimbursement amount for the type of meal for which the student is certified and the reimbursement amount for the type of meal for which the student is eligible.

TABLE A16.1

ERRONEOUS PAYMENTS DUE TO CERTIFICATION ERROR
IN THE NSLP AND SBP

	Erroneous NSLP Payments	Erroneous SBP Payments
Total Dollar Amount of:		
Overpayments		
Underpayments		
Total erroneous payments		
Erroneous Payments as a Percentage of Free/Reduced-Price Reimbursements		
Overpayments		
Underpayments		
Total erroneous payments		

Determining Sources of Erroneous Payments. After estimating total erroneous payments, we will estimate the proportion of erroneous payments due to two alternative sources: (1) administrative error by the SFA in processing applications, and (2) household misreporting of income or other family circumstances on the application. We will decompose erroneous payments into these alternative sources based on data from the full cross-sectional sample of free and reduced-price households. Based on the information in the application (along with any subsequent information acquired by the SFA for that student, such as the information obtained from students selected for verification), along with the certification status on file for the student, we will determine whether or not any erroneous payments made for meals consumed by the student were due to administrative error by the SFA. To estimate the proportion of erroneous payments due to household misreporting of income on the application, we propose to take advantage of the fact that, in the month in which students apply and are certified for free or reduced-price meals, any erroneous payments not due to administrative error must be due to misreporting of household circumstances on the application (or reapplication). The estimated amount of erroneous payments due to misreporting income on their application will be determined by the household's reported income, household size, and FS/TANF/FDPIR status obtained from the household survey versus on their application. In effect, this amount will be equal to the total amount of erroneous payments minus the amount of erroneous payments due to administrative error. In addition, we can calculate the proportion of erroneous payments due to administrative error and household misreporting by dividing the amount of erroneous payments due to these sources by the total amount of erroneous payments.

Estimating Case Error Rates. In addition to estimating the dollar amount of erroneous payments, the study will provide estimates of case error rates—the proportion of applicants incorrectly certified as well as not approved. Using the sample of certified free and

reduced-price and denied applicants that we have both application data as well as household survey data (3,200 households), we will estimate (1) the overall prevalence of case error; and (2) the prevalence of case error by source (administrative error versus household misreporting).⁵ In each case, separate estimates will be derived for the NSLP and SBP, and for whether the school uses Provision 2/3 or not.

Our larger sample of applicants (4,496 applicants) will be used to assess the prevalence of certification error *due to administrative errors only*. Possible administrative errors include both over- and under-certification:

- Overcertification
 - Approved as free, should be reduced-price
 - Approved as free, should be paid
 - Approved as reduced-price, should be paid

- Undercertification
 - Approved as reduced-price, should be free
 - Denied, should be approved as free
 - Denied, should be approved as reduced-price
 - Erroneously determined incomplete, should be approved as free
 - Erroneously determined incomplete, should be approved as reduced-price

We will estimate the overall prevalence of administrative error and each of the eight types. In addition, we will provide estimates separately for Provision 2/3 schools (1,616 applicants from 48 Provision 2/3 schools) and for non-Provision 2/3 schools (2,880 applicants from 216

⁵For the analysis, a case will be defined to be "in error" only when the error results in misclassification of eligibility. For example, if an SFA miscalculates household income on an application but the error is such that it does not result in the household being misclassified, then this is not an administrative error.

non-Provision 2/3 schools), to assess whether administrative errors are more common in Provision 2/3 schools.

Estimating the Proportion of Households Experiencing Changes in Circumstances That Would Affect School Meal Eligibility if They Were to Reapply. Under regulations effective in SY 2005 - 2006, households approved for free or reduced-price meals remain eligible for the entire school year, even if they experience changes in income that would make them ineligible (or eligible for a lower amount of benefits) if they were to reapply.⁶ We will estimate the proportion of students whose eligibility status would change during the school year due to changing household circumstances if eligibility *were* adjusted to reflect changing household circumstances, as under the former regulations. We will estimate this proportion by examining the longitudinal sample of students certified for free or reduced-price meals at the time of their initial application. Specifically, we will classify students as income-eligible for free or reduced-price meals based on their income, household size, and FS/TANF/FDPIR status at the time of application. For both groups, we will use data on household circumstances at the end of the school year to determine their hypothetical income-eligibility status if the status were updated to reflect changes in household circumstances. This will allow us to estimate the proportion whose eligibility status would have changed by the end of the school year if the actual status were updated to reflect changes in circumstances. Of particular interest will be the proportion experiencing changes that cause them to be eligible for a lower level of benefits later in the school year than they were at the time of application. Table A16.2 shows how we will present these estimates.

⁶In the past, households were required to report changes in circumstances, and eligibility status would be adjusted accordingly. This was changed in the most recent reauthorization. FNS is interested in knowing the extent of such changes in household circumstances, however.

TABLE A16.2

ESTIMATES OF CHANGES IN INCOME ELIGIBILITY STATUS OVER SCHOOL YEAR
DUE TO CHANGING HOUSEHOLD CIRCUMSTANCES

Income Eligibility Status	Number	Percentage	Percentage Whose Actual Status Changed to Correctly Reflect Changed Circumstances
1 to 2 Months After Approval			
Income Eligible for Free at Time of Application			
Income eligible for free 1 to 2 months after approval			
Income eligible for reduced-price 1 to 2 months after approval			
Income eligible for paid 1 to 2 months after approval			
Income Eligible for Reduced-Price at Time of Application			
Income eligible for free 1 to 2 months after approval			
Income eligible for reduced-price 1 to 2 months after approval			
Income eligible for paid 1 to 2 months after approval			
3 to 4 Months After Approval			
Income Eligible for Free at Time of Application			
Income eligible for free 3 to 4 months after approval			
Income eligible for reduced-price 3 to 4 months after approval			
Income eligible for paid 3 to 4 months after approval			
Income Eligible for Reduced-Price at Time of Application			
Income eligible for free 3 to 4 months after approval			
Income eligible for reduced-price 3 to 4 months after approval			
Income eligible for paid 3 to 4 months after approval			
5 to 6 Months After Approval			
Income Eligible for Free at Time of Application			
Income eligible for free 5 to 6 months after approval			
Income eligible for reduced-price 5 to 6 months after approval			
Income eligible for paid 5 to 6 months after approval			
Income Eligible for Reduced-Price at Time of Application			
Income eligible for free 5 to 6 months after approval			
Income eligible for reduced-price 5 to 6 months after approval			
Income eligible for paid 5 to 6 months after approval			
7 to 8 Months After Approval			
Income Eligible for Free at Time of Application			
Income eligible for free 7 to 8 months after approval			
Income eligible for reduced-price 7 to 8 months after approval			
Income eligible for paid 7 to 8 months after approval			
Income Eligible for Reduced-Price at Time of Application			
Income eligible for free 7 to 8 months after approval			
Income eligible for reduced-price 7 to 8 months after approval			
Income eligible for paid 7 to 8 months after approval			

Determining the Direct Certification-Related Error Rate. Students from households that receive FS/TANF/FDPIR benefits can be directly certified for free meals through a process by which state FS/TANF/FDPIR agencies share eligibility information with state child nutrition agencies. Among students selected for the study's sample, some will have been directly certified for free meals. Gleason et al. (2003) estimated that 17.9 percent of all students certified for free meals nationally are directly certified, which translates into about 15 percent of all students certified for either free or reduced-price meals. Thus, we expect that in our cross-sectional sample of 2,880 F/RP certified students, about 432 will have been directly certified.

We will define directly certified students' income eligibility for free meals in the same way as we measure the eligibility of other students certified for free meals—they are defined as income eligible if their household income in the previous month was no more than 130 percent of the federal poverty level or if they received FS/TANF/FDPIR benefits in the month in which direct certification eligibility was determined. Thus, we can measure overpayment error rates for this subgroup of directly certified students using the same methods as for the overall sample of certified students. To examine whether this error rate varies by the method of direct certification implementation, we will use data from the SFA survey on whether direct certification is used and, if so, how it is implemented. We will then examine whether the error rates differ among directly certified students attending districts that use different implementation methods. The key characteristic of implementation we will examine is whether the district uses active or passive consent for direct certification. Under active consent, households identified as being eligible for direct certification must notify the school district that they consent to their children being certified for free meals. Under passive consent, all children the food stamp or welfare office identifies as eligible are automatically directly certified for free meals (with parents only being given an opportunity to explicitly “turn down” this benefit for their child). In the latter case, one

might expect a larger proportion of errors, since directly certified households would not be as likely to be aware of the benefit and thus would be less likely to notify the school district if the food stamp/welfare office had made a mistake or if the household had experienced a change in circumstances. Table A.16.3 shows how we will present our estimates of the error rates associated with direct certification.

Estimating the Certification-Related Error Rate as Detected by Current School District Verification Procedures. Currently, all SFAs must conduct verification procedures, in which they select a small sample of households approved for free or reduced-price meals by application and collect documentation of their eligibility for these benefits, by November 15 of the school year. As part of the SFA survey, we will collect information from districts on the process they use to conduct verification and on the results of their verification activities. Based on the information reported, we will calculate the following statistics for each district's verification sample:

- Percentage of students certified for free meals, according to SFA determination, whose verification indicated a change to reduced price was required on the basis of documentation they provided
- Percentage of students certified for free meals, according to SFA determination, whose verification indicated that benefits were to be terminated (that is, to be changed to paid status) on the basis of documentation they provided
- Percentage of students certified for free meals, according to SFA determination, whose verification indicated benefits were to be terminated due to nonresponse
- Percentage of students certified for reduced-price meals, according to SFA determination, whose verification indicated a change to free price was required on the basis of documentation they provided
- Percentage of students certified for reduced-price meals, according to SFA determination, whose verification indicated that benefits were to be terminated on the basis of documentation they provided
- Percentage of students certified for reduced-price meals, according to SFA determination, whose benefits were to be terminated due to nonresponse

TABLE A16.3

CERTIFICATION-ERROR RATES ASSOCIATED WITH DIRECT CERTIFICATION

	Number	Percentage
Directly Certified Students, All Districts		
Correctly certified according to income eligibility		
Erroneously certified according to income eligibility		
Directly Certified Students in Districts That Use Active Consent		
Correctly certified according to income eligibility		
Erroneously certified according to income eligibility		
Directly Certified Students in Districts That Use Passive Consent		
Correctly certified according to income eligibility		
Erroneously certified according to income eligibility		

There are several different ways to define a certification-related error rate that is detected by verification procedures. These approaches differ according to how cases are handled where benefits were terminated due to nonresponse. If all these cases are considered errors, then the *benefit reduction/termination rate*—the percentage of verified applications that had benefits reduced or terminated as a result of verification—would be used as the certification-related error rate for overpayments, while the percentage of verified applications with benefits increased would be the error rate for underpayments. However, alternative assumptions about the true status of nonresponding households would lead to different estimates of the certification-related error rate. Prior studies provide estimates of the true percentage of nonresponding households that are not income-eligible for the level of benefits they were receiving before verification. We will use the approaches followed in these studies to generate alternative estimates of the certification-related error rate as detected by the verification process.

Estimates of Erroneous Payments Due to Meal-Counting and -Claiming Errors. We will estimate meal-counting and -claiming errors—both amounts and sources, based on a sample of 80 SFAs and 264 schools. We will estimate errors at key functional points in the administrative process, including errors in communicating meal price status to the cash register (for example, meal price status change not communicated to point of sale); errors that cashiers make at the point of sale; and aggregation errors (such as occur in transcribing and totaling data from individual cash registers and errors in districts’ claims to state agencies for reimbursement). These errors will be aggregated at the school level, then at the district level, to produce national estimates of erroneous payments arising from meal-claiming and -counting errors, separately for the NSLP and SBP. Our final component of our lines of analysis will be to “normalize” the data to make them comparable, usually by converting them to (1) error counts as a percent of reimbursable meals, and (2) dollar errors as a percent of total dollars of reimbursements. This

will then allow us to aggregate the data to make national estimates of these different types of errors, both separately and in the aggregate.⁷ Table A16.4 shows how we will present these estimates.

b. Objective 2: Modeling and Predicting Annual Erroneous Payments

Under Objective 2, we will develop an estimation model that FNS staff can use to update annual estimates of overpayments, underpayments, and overall erroneous payments in the NSLP and SBP. This model will also be used to estimate how changes in the verification process required of, and used by, districts affect the erroneous payments estimates. For example, the estimation model will be extended to produce estimates of erroneous payments for directly certified students.

Estimation of the Erroneous Payments Model in the Survey Year. Our proposed model begins with a *district-level econometric model of error rates*, estimated from the survey sample. We will estimate an econometric model of district-level error rates for both the NSLP and SBP in each of four possible categories of error: (1) free meals served to students eligible for reduced-price meals, (2) free meals served to students eligible for paid meals, (3) reduced-price meals served to students eligible for paid meals, and (4) reduced-price meals served to students eligible for free meals. The first three of these error categories lead to overpayments; the fourth leads to underpayments. Estimating the model in the survey year will involve creating the dependent variables, determining the values of the independent variables used in the model, estimating the error rate models, and assessing the fit of the model specifications being estimated.

⁷Some sources (such as benefit issuance and cashier error) can be estimated in terms of either gross or net error, whereas with aggregation error, we will be able to estimate net error only. Therefore, combining the three error sources into a single total measure is problematic. We will investigate the sensitivity of results to different approaches for estimating total error.

TABLE A16.4

ERRONEOUS PAYMENTS DUE TO MEAL COUNTING AND CLAIMING

Source of Error	Erroneous Payments (in Dollars)	Percentage of Reimbursement in Error
Roster Error		
Overpayment		
Underpayment		
Total		
Cashier Error		
Overpayment		
Underpayment		
Total		
Aggregation Error		
Total		
Total Counting and Claiming Error		
Total		

We will estimate two separate models, one for the NSLP and one for the SBP, each with four error rate variables defined as follows:

- ***%CF-RPE***. Percentage of all meals reimbursed as free in the district that should have been classified as reduced-price (certified free, reduced-price-eligible)
- ***%CF-PE***. Percentage of all meals reimbursed as free in the district that should have been classified as paid (certified free, paid-eligible)
- ***%CRP-PE***. Percentage of all meals reimbursed as reduced-price in the district that should have been classified as paid (certified reduced-price, paid-eligible)
- ***%CRP-FE***. Percentage of all meals reimbursed as reduced-price in the district that should have been classified as free (certified reduced-price, free-eligible)

As noted, each of these dependent variables is defined at the district level. To estimate these district-level variables, we will use data collected from sample members enrolled in the district. For example, the first dependent variable (***%CF-RPE***) will be based on sample members certified for free meals. The weighted sum of free meals served to students in a district eligible for reduced-price benefits only will be divided by the weighted sum of all free meals served to students in the district to calculate the value of this variable in the district. The sample weights will take into account the number of free meals served in each of the schools sampled in the district.

In selecting the independent variables for the model, we considered factors that are likely to be highly correlated with misclassification error rates. As discussed above, there are two possible sources of misclassification error: (1) administrative error, and (2) misreporting of income or household size by applicants. Administrative error is likely to be most heavily influenced by administrative features of the school meal program in the district and other administrative characteristics of the district. Misreporting of family circumstances may be influenced both by administrative features of the programs (such as the type of verification

procedures used) and by demographic characteristics of students and families in the district. Therefore, the explanatory variables we will consider include indicators of the administrative features of the NSLP and SBP in the district, other characteristics of the district, and demographic characteristics of students and families in the districts. Verification rates (and procedures) will also be included as an explanatory variable, since they may also be highly predictive of error rates in the district.

The proposed model of error rates will therefore include five groups of independent variables, as specified below:

$$(1) \text{error}_{jk} = \beta_0 + \text{ADMIN} * \beta_{k1} + \text{DISTRICT} * \beta_{k2} + \text{DEMOG} * \beta_{k3} + \text{VERIF} * \beta_{k4} + \text{REGION} * \beta_{k5} + u_{jk}$$

In these models, error_{jk} represents the error rate in SFA j and error category k (%CF-RPE, %CF-PE, %CRP-FE, and %CRP-PE), for either the NSLP or the SBP. Error rates are assumed to be a function of administrative characteristics of the NSLP and SBP in the SFA (*ADMIN*), district characteristics (*DISTRICT*), demographic characteristics of students and families in the district (*DEMOG*), verification rates and verification procedures used in the SFA (*VERIF*), and the region in which the SFA is located (*REGION*).

The four NSLP and four SBP models described above will be estimated using ordinary least squares (OLS) estimation techniques.⁸ Since the sample will include only 100 district observations, we will have a limited number of degrees of freedom in the model; so we will need

⁸The model will be weighted appropriately to estimate standard errors that take into account the heteroskedasticity that arises from the fact that the dependent variables are district-level averages. If a large fraction of districts in the sample have error rates that are equal to zero, OLS estimates may be biased, since the dependent variables are left-censored. We will examine the fraction of districts in our sample with error rates equal to zero in each error category. If this fraction exceeds a minimum threshold of 10 to 20 percent, we will check the model's robustness to different functional forms appropriate for left-censored dependent variables, such as a Tobit specification. If the Tobit model appears to be a more appropriate specification, we will follow the procedure discussed by Moffit and McDonald for using Tobit models for prediction.

to be economical in including independent variables in the model. We will test various specifications of equation (1) that include subsets of the independent variables listed above. We will test specifications of this model that, like equation (1), are linear, as well as specifications that are nonlinear. In particular, we may include interactions of the independent variables or nonlinear functions of individual variables, such as quadratic functions, a series of dummy variables, or a spline function. The goal of testing these alternative specifications will be to find the specification that best explains variation in district-level error rates.

To select the independent variables that are to be included in the model, we will follow a stepwise regression procedure. Under this procedure, we will evaluate each explanatory variable, in turn, on the basis of its significance level and accumulate the model by adding variables sequentially. At each step of this procedure, we will consider the cost of the additional variable, since the optimal specification will depend not only on how predictive the model is, but also on the ease of obtaining and using the data needed to estimate this specification. For each specification, as a supplement to the stepwise procedure, we will compute the Akaike information criterion, a statistic that reflects how well the model fits the data, while taking into account the loss of degrees of freedom due to the addition of variables. In addition to independent variables based on data available from extant data sources, we will consider the added predictive value of variables not currently available but that the survey will collect. If any of these variables are highly predictive of error rates, FNS may consider collecting them in future years.

After all of this model specification testing, we will determine an optimal estimation model for predicting the four categories of certification error rates for both the SBP and NSLP, based on the Akaike information criterion as well as our own judgment and input from FNS regarding the costs and benefits of including each variable. The primary output of these models will be

eight sets of parameter estimates— β_{k1} through β_{k5} , where $k = 1$ through 8. These parameter estimates will be combined with extant data to generate predictions of SBP and NSLP erroneous payments nationally in both the survey year and in future years, using procedures described below.

Using the Model to Predict National Erroneous Payments in Survey and Future Years.

After the econometric model of error rates have been estimated using survey data, FNS can utilize a six-step procedure to estimate parameters of this model and generate national estimates of overpayments, underpayments, and overall erroneous payments in future years. This procedure is described below. To help describe the procedure, we have simplified equation (1) by rewriting it as follows:

$$(2) E_{jk} = X_j \beta_k + u_{jk}, k=1, \dots, 8$$

The steps are:

1. Collect the extant data necessary to measure the independent variables included in the final specification of the model for all SBP/NSLP-participating districts in a given year. In other words, collect data on X_j .
2. Use the parameters estimated by the econometric model (β_1 through β_8), along with these independent variables to predict the eight error rates for each participating district. $\hat{E}_{j1} = X_j \hat{\beta}_1, \dots, \hat{E}_{j8} = X_j \hat{\beta}_8$
3. For each district, multiply the predicted error rate in each category by the total number of meals reimbursed as free or reduced-price, as appropriate, using FNS administrative data on meal reimbursements. This procedure will generate estimates of total meals erroneously reimbursed by the district in each error category. For example:
 - a. *Number of free meals erroneously served to reduced-price-eligible students in district j =*
 - i. $\#CF-RPE_j = (\text{total \# free meals served in district } j) * \hat{E}_{j1}$
4. Multiply the estimated number of total meals erroneously reimbursed in each error category by the dollar value of the erroneous payment per meal in each error

category. The result of this computation will be an estimate of the total erroneous payments in each category for each district. For example:

a. *Total \$ of erroneous payments for free meals served to reduced-price-eligible students in district j* = $\$CF-RPE_j = \#CF-RPE_j * (0.40)$

5. Sum across the relevant error categories to compute total overpayments, underpayments, and overall erroneous payments in the NSLP and SBP for each district. To calculate overpayments in district *j*, for example:

a. $OP_j = \$CF-RPE_j + \$CF-PE_j + \$CRP-PE_j$

6. Sum across all participating districts to compute national estimates of overpayments, underpayments, and overall erroneous payments in the NSLP and SBP. To calculate total overpayments nationally, for example:

a. $OP = \sum_{j=1}^J OP_j$

c. Objective 3: Assess Program Access and Participation

Under Objective 3, we will conduct analyses of a limited set of issues related to access to, and participation in, the school meal programs. We will examine research questions related to: (1) the extent to which application procedures are barriers (for eligible but erroneously denied students' families), and (2) NSLP and SBP participation. The remainder of this section presents analysis plans for Objective 3.

Characteristics of Students and Their Households. The first stage in the analysis will be to describe the characteristics of students and their families by application status: all applicants, F/RP certified, and denied applicants (see Table A.16.5). Characteristics examined will include demographic characteristics of the child and the household, socioeconomic characteristics such as education and employment of the parents, income levels relative to poverty, and participation in other means-tested benefit programs. These comparisons will provide descriptive background for the analysis of factors affecting application and participation decisions. We will perform bivariate as well as multivariate analyses of characteristics of applicants and certified students.

TABLE A16.5

CHARACTERISTICS BY APPLICATION AND ELIGIBILITY STATUS

	Applicants		
	All	Certified	Denied
Child's Grade			
PreK to K			
1 to 3			
4 to 5			
6 to 8			
9 to 12			
Gender			
Boy			
Girl			
Race/Ethnicity			
White, non-Hispanic			
Black, non-Hispanic			
Hispanic			
Other			
Location			
Urban			
Suburban			
Rural			
Household Headed by			
Two parents			
Single parent			
Other relative			
Nonrelative			
Parent's Education			
Less than high school			
High school or GED			
Some college			
College graduate			
Some graduate school			
Parent's Employment			
Works full-time			
Works part-time			
Not working			
Program Participation			
TANF			
Food stamps			
Medicaid			
For child(ren)			
For adult(s)			
SFSP			

TABLE A16.5 (continued)

	Applicants		
	All	Certified	Denied
Number of Children < 18 Years			
1			
2			
3			
4			
5+			
Age of Youngest Child			
Less than 5			
5 to 8			
9 to 13			
14 to 18			
Household Size			
1 to 3			
4 to 6			
7 to 9			
10+			
Income Relative to Poverty			
< 50 percent			
50 to < 100 percent			
100 to < 130 percent			
130 to < 185 percent			
185 to < 250 percent			
250 to < 400 percent			
400+ percent			

We plan to construct similar tables so that we can compare certified students who are daily participants with those who participate less often.

Application Process. To address the research questions about the application process, we will first examine the results of the application process according to administrative records and as reported by parents, separately for certified and denied applicant households (see Table A16.6). For denied applicants, we will use application data to determine whether the denial was due to administrative error, the application was incomplete, or the application was erroneously determined incomplete. We will compare different groups of applicants as to their knowledge of the application process (see Table A16.7) Table A16.8 shows how we would examine the prevalence of, and reasons for, incomplete applications, using data from the application forms. Table A16.9 explores the reasons why households whose initial application for free or reduced-price meal benefits is denied due to administrative error do not reapply for benefits.

Meal Program Participation. Our analysis of participation issues will start with a school-level analysis. For example, it will be possible to tabulate the average daily participation rate for free, reduced-price, and paid students in schools of different types (see Table A16.10). The participation rate for free lunches, for example, could be computed as (Number of free lunches served in previous month) / (Number of serving days * number of students certified free). These rates would not be subject to the reporting error that would likely occur in parent reports on their child's participation; but could be subject to bias due to counting and claiming errors. Such an analysis could be used to assess, for example, whether participation rates among certified students were lower at the high school level than at the elementary level, and whether they were lower in schools with a small percentage of certified students than in schools with a large percentage. Another line of analysis will involve assessing participation as reported by parents. Using carefully structured questions, participation will be measured for the previous day, and as

TABLE A16.6

APPLICATION STATUS AND RESULTS

	Percentage of Households	
	Households with Income Below 185% FPL	Households with Income Above 185% FPL
Status Based on Administrative Data		
Submitted incomplete application for free or reduced-price meals		
Submitted complete application for free or reduced-price meals		
Applied and was approved		
Applied and was denied		
Denied because reported income exceeded 185% FPL		
Denied due to administrative error		
Status Based on Self-Reported Data		
Submitted incomplete application for free or reduced-price meals		
Submitted complete application for free or reduced-price meals		
Applied and was approved		
Applied and was denied		
Denied because reported income exceeded 185% FPL		
Denied due to administrative error		
Sample Size		

FPL = federal poverty level.

TABLE A16.7

HOUSEHOLDS' KNOWLEDGE OF PROCEDURES FOR APPLYING FOR FREE/REDUCED-PRICE MEALS

	Percentage of Households	
	Households That Submitted a Complete Application	Households That Submitted an Incomplete Application
Knowledge of Application Procedures:		
Aware of availability of free/reduced-price benefits		
Received letter and/or application form from school		
Found application materials clear and easy to understand ^a		
Was contacted by school and encouraged to apply		
Knows where to get an application		
Familiar with eligibility criteria		
Understands can apply for benefits at any time during the year		

Sample Size

Note: Other similar tables would show knowledge of application procedures by other household characteristics.

^aFor those who received them.

FPL = federal poverty level.

TABLE A16.8

PREVALENCE OF AND REASONS FOR INCOMPLETE APPLICATIONS FOR FREE/REDUCED-PRICE MEAL BENEFITS, AMONG ELIGIBLE AND INELIGIBLE APPLICANTS

	Percentage of Households	
	Households with Income Below 185% FPL	Households with Income Above 185% FPL
Application Incomplete (Based on Review of Administrative Data)		
Type of Information Missing from Incomplete Applications (Based on Review of Administrative Data)		
Food stamp, TANF, or FDPIR case number		
Names of all household members		
Income received in the prior month for each household member (amount and source)		
Signature of adult household member		
Social security number of adult who signed application		
Other		
Sample Size		

Note: Column percents may sum to greater than 100, because respondents could give more than one reason. This sample table shell shows reasons by income eligibility level. Other similar tables would show reasons by other household characteristics.

FPL = federal poverty level.

TABLE A16.9

REPORTED REASONS FOR NOT REAPPLYING FOR FREE/REDUCED-PRICE MEAL BENEFITS
AFTER INITIAL APPLICATION DENIED OR INCOMPLETE, BY REASON FOR DENIAL

	Percentage of Households Citing Reason		
	Applications Denied Because Reported Income Exceeded 185% FPL	Applications Denied Due to Administrative Error	Applications Incomplete
Reasons for Not Reapplying Among Households Whose Applications Were Denied			
<i>Costs of Reapplying for Benefits</i>			
Wanted to avoid hassle of appeal or reapplication process			
<i>Changed Mind About Wanting to Receive Benefits</i>			
Did not want to receive government assistance			
Wanted to avoid stigma associated with receiving free/ reduced-price meals			
Child no longer wishes to eat school meals			
<i>No Longer Eligible Due to Change in Household Circumstances</i>			
Income increased			
Household size decreased			
No longer receiving food stamps or TANF			
<i>Unaware of Eligibility/Reapplication Process</i>			
Did not think they were eligible			
Did not know they could reapply after being denied free/reduced-price benefits			
Not familiar with process for reapplying			
<i>Other Reasons for Not Applying</i>			
Other			

Sample Size

Note: Column percents may sum to greater than 100, because respondents could give more than one reason. Other similar tables would show reasons by income eligibility level and other household characteristics. We will also present a version of the table showing the most important reason cited by respondent for not applying.

FPL = federal poverty level.

TABLE A16.10

AVERAGE SCHOOL-LEVEL NSLP PARTICIPATION,
BY CERTIFICATION STATUS

	Certification Status		
	Free	Reduced-Price	Paid
Participation Rates for			
All Schools			
Elementary Schools			
Middle Schools			
High Schools			
Urban Schools			
Suburban Schools			
Rural Schools			
Number of Schools			

Note: Aggregate participation rates will be computed for each school for the calendar month prior to the target week. These rates will be computed, for each category, as follows:

$$Rate(i) = \frac{Total\ Meals\ to\ Group(i)}{(Number\ of\ Serving\ Days) \times (Number\ of\ Children\ in\ Group(i))}$$

where i = free, reduced-price, or paid status.

A similar table would be prepared for SBP participation rates.

the number of days participating in the previous week (see Table A16.11). Separate measures will be constructed for breakfast and lunch.

Those who do not meet a threshold level of participation (say, 60 percent of the days in which school meals were available) will be asked their reasons for not participating or for not participating more often (see Table A16.12). In addition, out of the reasons offered, they will be asked to designate the most important reason. We also will ask parents for their views and their child's views on the quality of school meals along several dimensions: for children—taste, amount of food, and overall satisfaction; for parents—healthfulness and overall satisfaction (see Table A16.13). These variables will support an analysis of how the perceived quality of school meals is related to participation among students whose certification status is free, reduced-price, or paid. Multivariate analysis of participation will be used to examine the effects of certification status, income, and other student and school characteristics on participation, while holding other factors constant. For these analyses, participation may be defined as participation any time in the past week or participation for four or more days out of five.

Changes in Eligibility and Certification Status. One type of barrier in the application process is that most enrollment in the program occurs at the start of the school year, so that families may not be aware of benefits, or may not be motivated to apply for them, if they become eligible after the start of the year. The magnitude of this barrier depends in part on how common it is for families to become eligible for increased meal benefits after the start of the year—if such a change is rare, concern about barriers will be less. Table A16.14 shows the format we plan to use to examine changes in eligibility over time. Ideally, we would measure changes in eligibility between the start of the school year and the end of the school year, but our sample design will not allow that. Instead, for the panel sample of those certified at the beginning of the year, changes over time will be measured from the time of the first interview to the time of the second.

TABLE A16.11

PARTICIPATION AS REPORTED BY PARENTS,
BY CERTIFICATION STATUS

	Certification Status		
	Free	Reduced-Price	Paid ^a
Lunch			
Participation on day prior to interview			
Number of Days in Past Week That Child Participated			
None			
1			
2			
3			
4			
5 (every day)			
(Mean)			
Sample Size			
Breakfast			
Participation on Interview Day			
Number of Days in Past Week That Child Participated			
None			
1			
2			
3			
4			
5 (every day)			
(Mean)			
Sample Size			

Note: Similar tables would examine participation by eligibility status or other subgroups.

^aThese are denied applicants only

TABLE A16.12

REASONS FOR NOT PARTICIPATING IN NSLP,
BY CERTIFICATION STATUS

	Certification Status			
	Total	Free	Reduced-Price	Paid ^a
Reasons				
(All)				
Child Does Not Eat Lunch				
Child Does Not Like the Food Served				
Child Prefers to Bring Lunch From Home				
Child Does Not Have Enough Time to Get and Eat School Lunch				
Child Does Not Like Waiting in Line				
Child Thinks Only Needy Kids Eat School Lunch and He/She Does Not Want to be Thought of That Way				
Parent Prefers That Child Bring Lunch				
Child Does Not Want to Eat Lunch Because Friends Don't				
Most Important Reason				
Child Does Not Eat Lunch				
Child Does Not Like the Food Served				
Child Prefers to Bring Lunch From Home				
Child Does Not Have Enough Time to Get and Eat School Lunch				
Child Does Not Like Waiting in Line				
Child Thinks Only Needy Kids Eat School Lunch and He/She Does Not Want to be Thought of That Way				
Parent Prefers That Child Bring Lunch				
Child Does Not Want to Eat Lunch Because Friends Don't				
Sample Size				

Note: A similar table will cover reasons for not eating school breakfast.

^aThese are denied applicants only

TABLE A16.13

SATISFACTION WITH SCHOOL MEALS

	Certification Status			
	Total	Free	Reduced-Price	Paid ^a
Child's Satisfaction with Taste ^b				
Very satisfied				
Somewhat satisfied				
Somewhat dissatisfied				
Very dissatisfied				
Child Satisfaction with Amounts ^a				
Very satisfied				
Somewhat satisfied				
Somewhat dissatisfied				
Very dissatisfied				
Child's Overall Satisfaction ^a				
Very satisfied				
Somewhat satisfied				
Somewhat dissatisfied				
Very dissatisfied				
Parent's Satisfaction with Healthfulness				
Very satisfied				
Somewhat satisfied				
Somewhat dissatisfied				
Very dissatisfied				
Parent's Overall Satisfaction				
Very satisfied				
Somewhat satisfied				
Somewhat dissatisfied				
Very dissatisfied				

Sample Size

^aThese are denied applicants only

^bParents are being asked to report child's satisfaction.

TABLE A16.14

CHANGES IN ELIGIBILITY OVER TIME

Percentage of Students' Households

Always Eligible

- Always free-eligible
- Always reduced-eligible
- Changed from free to reduced
- Changed from reduced to free

Changed from Eligible to Not Eligible

Sample Size

Note: Eligibility will be defined as income below 185 percent of poverty. Data will be from parent interviews for certified and denied applicants—weighted to be representative of all applicants. For the panel sample of those certified at the beginning of the year, changes will be measured from the time of the first interview to the time of the second interview. For the sample of those who were denied at the beginning of the year, changes will be measured from their retrospective reporting on the previous year to the time of their interview.

SFSP Participation. SFSP participation is relevant to the main objectives of the study as a background characteristic of the students sampled. Perhaps more important, this study provides an opportunity to gather information on this issue, which is of independent policy interest, at a low marginal cost. Among all school meal applicant households, we will examine what proportion participated in and received free meals from academic programs versus non-academic recreation programs during the previous summer. Table A16.15 shows how we plan to examine SFSP participation patterns. We will ascertain the prevalence of students' participation in programs in which they receive free meals and how frequently they participate and types of meals received. We also will determine the types and locations of programs that students attend. For nonparticipating students, we will determine whether parents are aware of programs that provide free meals during the summer, and if they are aware, their reasons for not participating. In addition, we will examine what other strategies parents of children who do not participate in the SFSP may use to feed their children during the summer. These strategies may include, for example, asking relatives for help, using a food pantry, spending food dollars more carefully, or buying less expensive types of food.

A17. DISPLAY OF EXPIRATION DATE FOR OMB APPROVAL

The OMB approval number and expiration date will be printed at the top of the cover page of each instrument.

A18. EXCEPTION TO THE CERTIFICATION STATEMENT IDENTIFIED IN ITEM 19.0 OF FORM OMB 83-1

None.

TABLE A16.15

SUMMER FOOD SERVICE PROGRAM PARTICIPATION

	Certification Status		Total
	Free	Reduced-Price	
Participated in a Program That Offered Free Meals to Children in Your Community in the Previous Summer			
Yes			
No			
Attended Summer School and Received Free Meals There in the Previous Summer			
Yes			
No			
Participated in the SFSP in Previous Summer			
Yes			
No			
Frequency of SFSP Participation			
Average number of days per week			
Average total number of days			
Types of Meals Typically Received While Attending Program			
Breakfast			
Lunch			
Supper			
Other			
Location Received Meals			
School			
Park			
Housing project			
Church			
Other			
Distance from Program			
Average number of blocks (or miles)			
Other Activity Associated with Program			
None			
Summer school			
Day camp			
Recreation program			
Other			

TABLE A16.15 (continued)

	Certification Status		
	Free	Reduced-Price	Total
Whether Child Liked the Food			
Yes			
No			
If Not Participating in SFSP,			
Aware of a free food for kids program nearby in the area?			
If yes, how far away (in blocks or miles)?			
Among Those Who Did Not Participate, Reasons for Not Participating			
Not aware of program nearby			
Transportation problem			
Child doesn't like food			
Child doesn't like other aspects of the program			
Wanted to avoid stigma			
Wanted child to stay home over the summer			
Concerned about safety of the child			
Child had different summer activities			
Other			
If Program Opened Up Close to Home, Would They Send Their Children to It?			
Yes			
No			
Don't know			
Among Those Who Did Not Participate, Other Strategies Parents Used			
Asked relatives for help			
Used a food pantry			
Spent food dollars more carefully			
Bought less expensive types of food			

Sample Size

Note: We will prepare similar table for denied applicants.

PART B. COLLECTION OF INFORMATION USING STATISTICAL METHODS

B1. SAMPLING AND STATISTICAL PRECISION LEVELS

1. Overview

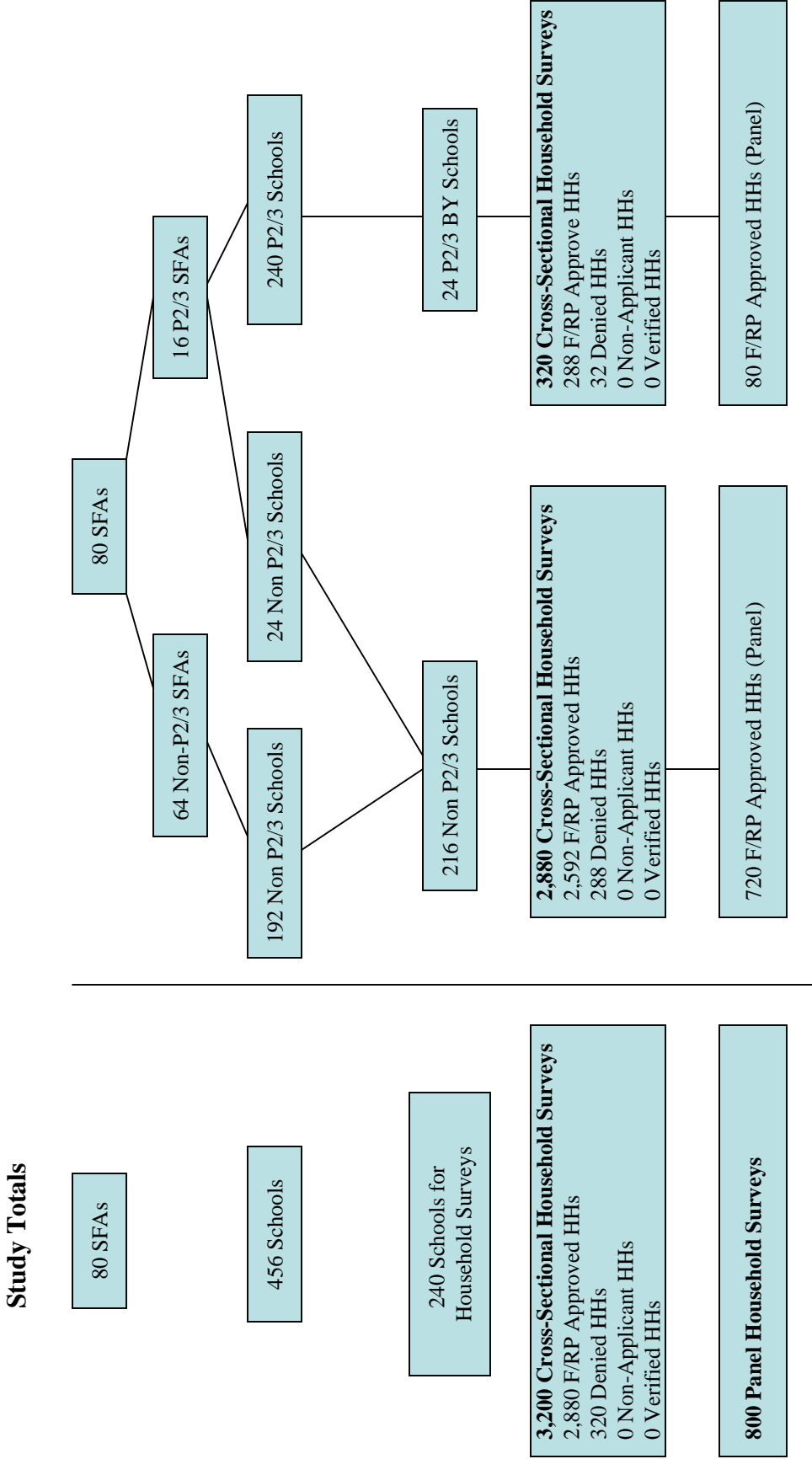
The APEC Study involves a multi-stage sample design that begins by sampling SFAs, then sampling schools served by the SFAs, and finally by sampling children who attend the schools (see Figure B1.1). Substantive data for the study will be obtained from the entities at each level of sampling. Students will not be interviewed, however; rather, Mathematica Policy Research, Inc. (MPR) field interviewers will interview parents and guardians of sampled students and abstract data from students records with the consent of parents and guardians.

The need for separate estimates of erroneous payments for lunches and breakfasts drives much of the sample design. Only three-fourths of the schools participating in the NSLP also participate in the SBP; at the student level, only about one-third as many eligible students consume free or reduced-price breakfasts as do lunches. Therefore, in order to achieve OMB precision standards for estimating erroneous payments for both the NSLP and SBP, our proposed main sample includes the completion of interviews with the parents or guardians of 2,880 students certified for free or reduced-price meals, including those attending schools that participate in Provision 2/3. We anticipate that at least 960 of these households will include students who participate in the SBP.

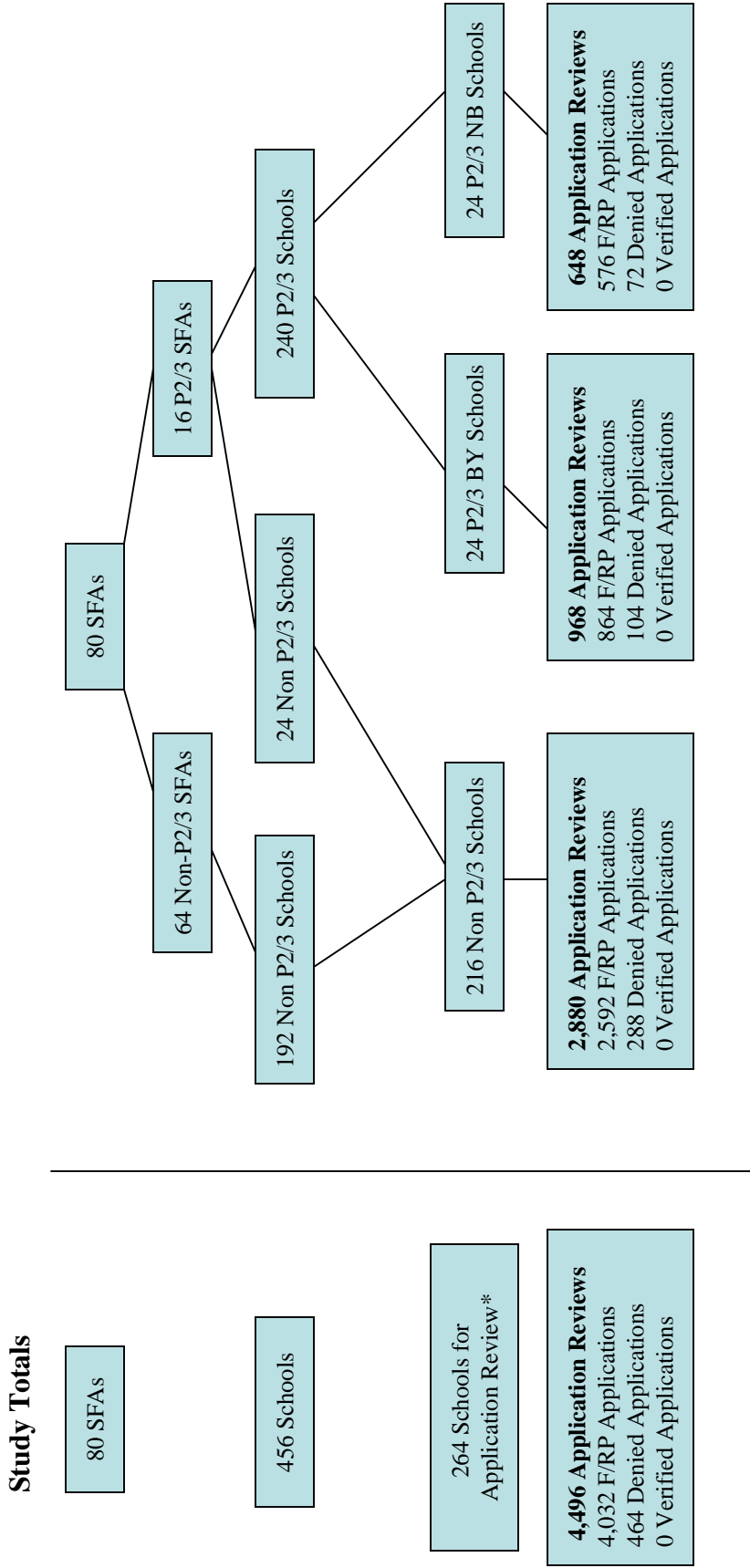
An additional consideration is the need to sample enough Provision 2/3 schools so that separate estimates of erroneous payments can be made for that group. Because of the nature of Provisions 2 and 3, obtaining enough Provision 2/3 schools *in their base year* is critical, since information about certification error in base-year schools will also be used to derive estimates of erroneous payments in Provision 2/3 schools in their non-base year during SY 2005-2006. FNS

FIGURE B.1

SAMPLE DESIGN FOR NSLP/SBP
ACCESS, PARTICIPATION, ELIGIBILITY AND CERTIFICATION STUDY
HOUSEHOLD SURVEYS



SAMPLE DESIGN FOR NSLP/SBP
ACCESS, PARTICIPATION, ELIGIBILITY AND CERTIFICATION STUDY
APPLICATION REVIEWS



*Note all schools selected for application reviews would also include data collection for counting and claiming errors

data suggest that approximately 20 percent of all Provision 2/3 schools will be in their base year in SY 2005-2006. We plan to sample 240 Provision 2/3 schools, expecting to obtain 24 base-year schools and complete 320 household interviews from those 24 schools (288 free and reduced-price households, 32 denied applicant households). Meal-counting and -claiming error data will be collected from 264 schools: 216 non- Provision 2/3 schools, 24 Provision 2/3 base year schools, and 24 Provision 2/3 non-base year schools.

2. Target Populations

The target populations are as follows:

- **SFAs.** At the district level, the study population refers to local SFAs that operate the NSLP and/or SBP. We will include both public and private SFAs.
- **Schools.** The target population consists of elementary and secondary schools (kindergarten through 12th grade). Both public and private schools are included.
- **Students.** We will sample two groups of students from schools: (1) students certified for free or reduced-price meals; and (2) denied applicants (which include completed applications, as well as incomplete ones).

3. Sampling Frames

To conduct the sampling, we started with a sampling frame, or list of SFAs in the contiguous United States and District of Columbia. The main frame for this study was the sample of public school SFAs selected for FNS by MPR as part of the NSLP Sample Frame Construction Project. This frame is being used for the current School Nutrition and Dietary Assessment Study (SNDA-III). It includes SFAs selected from the NCES Core of Common Data (CCD), plus data from three surveys with SFAs that collected information about participation in the NSLP and SBP, meal-planning methods, participation in Provisions 2/3, and other topics. Since public school SFAs cover geographically defined areas (that for the most part

do not overlap), and since private SFAs tend to be schools themselves, rather than districts, we plan to include private schools in the frame at a subsequent stage of selection, described below.

For each SFA selected, we compiled a sampling frame of schools to select the sample of schools. Public schools were added using data from the most recent CCD, and private schools are added from Quality Education Data (QED).¹ Since the public school SFAs cover all geographic areas in the contiguous United States, we added private schools to the frame for each sampled SFA, based on the private school's zip code. To give the schools not on the supplemented frame (the "new" schools) a chance to be selected, SFAs are asked to provide names, enrollment, and program participation data for schools that have come into existence since the last CCD. We discuss sampling of such schools below.

Finally, after the sample of schools is selected, each SFA (or school, as appropriate) will be asked to provide student lists with the information needed to stratify and select students, as well as to contact participating households. With support from MPR's central office, MPR field staff will compile the lists and perform the sampling on-site. Team leaders will visit sampled schools on or close to the first of each month of the school year to compile the lists and select samples of students for the household survey, including certified free and reduced-price students and students whose applications were denied.

Some school districts have policies that do not permit the release of the names and addresses of students without receiving prior, signed parental consent. MPR is working with school districts that have this policy by having the districts distribute consent packets to all enrolled students in the district's study schools. Only those parents who return signed consent forms would be included in the student frame and eligible for selection.

¹The CCD does not contain information on private schools.

4. Sample Selection Procedures

Because of resource constraints, we had to scale back the scope of the sample design for the APEC study after we initially selected 100 SFAs. When we determined we needed to scale back the study's scale, we randomly selected a subsample of the 100 districts designed to yield 80 cooperative districts. In the remainder of this section, we first describe the procedures for selecting the initial sample of districts, and then describe procedures for ending up with the current sample design--80 districts.

a. The Initial Sample Design

We initially selected a sample of 100 SFAs.² We used stratification at several stages to increase statistical efficiency. This included:

- **SFA-Level Stratification.** We stratified the frame of SFAs by the geographic region and prevalence (estimated from the NSLP Sample Frame Construction Project) of schools with SBP and those using Provision 2/3, and by poverty. For the most part, we implicitly stratified (sorting based on the stratifying variables) the sample frame rather than used explicit stratification. A random, sequential selection at this stage from the sorted schools produced a stratification effect that ensures representation of schools in the range of the factors (see the next section for a description of the sorting and selection method used). The only instances in which we used explicit stratification are those where oversampling is called for. Explicit stratification was used to ensure selection of an adequate number of SFAs where Provision 2/3 is used.
- **School-Level Stratification.** The original design provides for selecting, on average, only three schools per SFA in non-Provision 2/3 SFAs, and approximately 16 to 17 schools per SFA in Provision 2/3 SFAs (data will be collected from only a subset of these Provision 2/3 schools, however). In SFAs where Provision 2 and 3 are not used, we plan on stratifying schools into two groups: (1) elementary schools and (2) middle- and high-schools, and then selecting schools from these two groups, reflecting that a larger percentage of reimbursements go to elementary schools than middle- and high schools. In these SFAs, we used implicit rather than explicit

²Based on our experience with SNDA-III, we expected that one or two SFAs will be selected with certainty. If these "certainty" SFAs are large enough, we would treat them as multiple SFAs and allocate more schools and students to them. In fact, there were initially eight certainty selections accounting for 10 district equivalents (New York City and Los Angeles were certainty selections and were given a double allocation). In this case, we selected 89 additional (noncertainty) SFAs.

stratification if oversampling is not called for based on the distribution of the study population (certified students). (Where oversampling is not needed, we used implicit stratification at the school level, because it is easier to implement and should lead to less variability in student level probabilities of selection, and hence in sampling weights, than would explicit stratification.) For example if on average half the study population is in the elementary group, implicit stratification will result in about half of the sampled schools being in the elementary group. If this distribution matches the desired sample distribution, no oversampling will be needed. In SFAs where Provision 2 or 3 is used, we stratified explicitly on that characteristic, so that this group can be adequately represented. Within these explicit strata we stratified on grade level. This second level of stratification was explicit or implicit based on the same considerations discussed for SFAs where Provision 2 and 3 are not used.

- **Student-Level Stratification.** Students in sampled schools will be partitioned into two frames: (1) certified free/reduced-price, and (2) denied applicants. Based on our experience using the same frame for selecting the SNDA-III sample, we expected that 20 of the SFAs will be those that use Provision 2/3. From these 20 SFAs, we planned on selecting 300 schools that use Provision 2/3 and would screen them to find 60 schools in their base year. In SFAs without Provision 2/3, we planned on selecting three schools, on average, or a total of 240 schools. In other SFAs (those with and without Provision 2/3 schools), we planned on selecting, on average, 16 to 17 schools (15 Provision 2/3 and 1 to 2 non-Provision 2/3, on average), or 330 schools. Allocation of the sample in this way would ensure that all schools in SFAs where Provision 2/3 is used have a chance of being sampled.

For the household survey, under the original sample design, we planned on sampling students in 300 schools from the 100 districts—270 schools not using Provision 2/3 and 30 Provision 2/3 schools in their base years. From those 300 schools, we planned to select samples large enough to yield completed interviews with 3,600 students certified for free and reduced-price meals and 400 denied applicant households. The distribution of the free and reduced-price sample during the year would mirror the proportion certified in each month, with most coming from those certified in August through October 2005. This is done so that interviews can take place near the time of certification. In each successive month from November 2005 through the end of the school year, MPR would augment this sample with a sample of 75 free and reduced-priced households newly certified during the current (and preceding month), totaling 600

households.³ We planned on selecting and interviewing a panel subsample of 1,000 free and reduced-price students/households from the 3,600 related in the main sample.

Data from the meal program applications and surveys with the parents of the 3,600 certified free and reduced-price students and 400 denied applicants from the 270 non-Provision 2/3 schools and 30 Provision 2/3 base-year schools would be used to estimate erroneous payments due to certification error as well as total case error rates (case error rates here will be defined as resulting from either administrative error or household misreporting), separately for the NSLP and SBP. In addition, we will augment our sample of approved and denied applications by selecting samples of applications from the 60 Provision 2/3 schools (30 Provision 2/3 base year schools and 30 Provision 2/3 non-base year schools) where we are not conducting household surveys. This larger sample of applications (5,600 applications from 360 sampled schools) will be used to estimate the case error rate *due to administrative error* and to assess differences in this error by Provision 2/3 status.⁴

Since the main analytic variables of interest are at the student or meal reimbursement levels, the samples of SFAs and schools in sampled SFAs were selected with probability proportional to size (PPS). The frame we used comprises a sample of public school districts selected with PPS from the CCD where the measure of size (MOS) was the square root of the estimated enrollment.

³We had proposed to allow the possibility that applicants who were originally included in our “denied applicant” sample could reenter the data collection as part of the sample of free and reduced-price “new entrants,” if they reapply, are determined eligible by the program, or happen to be drawn into the “new entrant” sample. Our basic reason for proposing to allow this to happen is that it is the appropriate thing to do from the point of view of sampling methodology—denied applicants who reapply later and are certified should be eligible for the newly certified free/reduced-price sample, since that is their new status. More formally, to have a valid statistical sample of free/reduced-price students/households requires that all members of the universe have a nonzero probability of selection; failure to allow them into the sample would violate this.

⁴This overall sample of applications was to be comprised of 3,240 approved F/RP and 360 denied applications from the 270 non-Provision 2/3 schools, 1,080 approved F/RP and 120 denied applications from 60 Provision 2/3 base year schools, and 720 approved F/RP and 80 denied applications from 30 Provision 2/3 non-base year schools. The applications for the non-base year schools refer to those from the base year of their current Provision 2/3 cycle.

Using a square root-based MOS is a common practice for multipurpose surveys and has been used in selecting other samples of SFAs and schools for FNS. However, because this study focuses on the precision of estimates regarding reimbursement errors for meals served to students, the use of the square root MOS is not optimal for this study. To select a sample of SFAs from the frame, we set the probability of selection (from the frame) for each SFA such that when schools are selected PPS within SFAs and an equal number of students are sampled per school, the resulting sample of students will be approximately self-weighting.⁵ This will lead to greater precision for meal and student level estimates. PPS methods were also used in selecting schools within SFAs. We used an estimate of the number of certified students as the MOS for selecting schools.

MPR used SAS PROC SURVEY SELECT, to sequentially select stratified or zoned (implicitly stratified) samples. Where we do not use explicit strata, we used a probability minimum replacement (PMR) approach as defined in Chromy (1979). The units on the file are sorted in a manner that maximizes proximity of similar units within explicit strata.

While we have made every effort to ensure participation of the initial sample of SFAs and schools, some may refuse to participate. In these situations, we use substitution of random units from the same stratum. Substitute SFAs are selected at the same time as the main sample and released if necessary because of nonresponse. Where explicit stratification is used, we select a double sample in each stratum randomly pick half of the selection to serve as substitutes. Where implicit stratification is used we select a sample twice as large as desired and form pairs of SFAs

⁵Essentially, this will be done by developing an adjusted measure of size with which to select SFAs from the existing frame into the erroneous payments sample. The adjusted measure of size is relatively larger for larger schools and is set so that the overall probabilities of selection for the SFAs (taking account both of the initial into the frame and the secondary selection into the current sample) are approximately proportional to the numbers of students in the SFAs. A similar procedure was used in the SNDA-III study.

belonging to adjacent zones. One of each pair was randomly selected to serve as the substitute. As with SFAs, we selected a substitute sample for schools. In addition, we allowed for selection of schools that have come into existence since the most recent CCD was compiled. SFAs are contacted after schools are selected and asked if any schools have come into existence since the date of the most recent CCD. The new schools have been given a chance of selection proportional to their share of the sum of their MOS plus the MOS of the schools on the frame.⁶

As mentioned, students will be sampled by field interviewers from lists they will compile onsite from SFAs and schools. They will review lists to make sure only eligible students appear on the list and to make sure that the lists are sorted so that samples can be randomly selected. Field interviewers will use laptop computers with specially designed sampling programs to help them select the student samples. This usually involves entering the number of eligible students for a target group (e.g., free or reduced-price students) and clicking on a button that makes the random selections. The computer will provide a list of the random selections, identifying the selections by the student's position (line number) on the sample frame (list) and indicating the selection's "selection order." For students, a supplemental sample will be used that allows for nonresponse of households. For example, our target is 10 completes with free or reduced-price student households and our estimate is that on average we need to sample 13. The computer will make 20 selections, where 10 are "main" selections designated from immediate use and the remaining 10 are "replacements," for use if more parents than expected are uncooperative or

⁶It would be better to update the school frame before final selections were made, and this procedure is being followed in most districts. Schools will be selected within strata within LEA, after the LEAs are selected from the most recent CCD before contact with the LEA. LEAs will be asked if they have any schools that are new (opened since the date of the CCD) and eligible (participate in NSLP). If they report any, we will obtain information about enrollment numbers of certified students and participation in Provision 2/3. We will then: (1) check that each reported "new" school was not on the CCD (schools that were on the CCD will have already had a chance of selection); (2) assign new schools to their appropriate strata; (3) compute a new total measure of size (MOS) for each stratum ($\text{Revised_Total_MOS} = \text{Old_Total_MOS} + \text{New_Total_MOS}$); and (4) select a new sample of schools.

ineligible. Some households may have more than one student attending the sampled school. Should we happen to sample more than one child from a household, we will randomly select one child to serve as the “sampled student” for that household.⁷

b. The Final Sample Design

For the APEC study, our original design specified 100 districts. We selected a sample of 10 certainty districts (8 certainty selections equal to 10 district-equivalents) and then selected 89 “pairs” of districts (noncertainty selections), randomly assigning one district in each pair as the “main” selection and the other as the “replacement” should the main selection refuse to participate. Districts were sampled from two strata: non-Provision 2/3 (districts that did not include Provision 2/3 schools) and Provision 2/3 (districts that included at least one Provision 2/3 school). Districts with P2/3 schools were oversampled. Implicit stratification was used to help assure proportional representation on such district level characteristics as region, poverty level and participation in the SBP.

Because of resource constraints, we needed to reduce the study sample to approximately 80 districts. (As shown in Section 5, the study’s estimates of erroneous payments will still remain well within the OMB precision standard of +/- 2.5 percent with this smaller sample of districts.)

⁷There are two possible approaches for treating situations where more than one student is selected from a particular household. Under the first, we could include all children that were sampled. For example, if the household had three children attending a school, and two were sampled, we would keep both. We would abstract their application. We would interview the household once. Under this approach we would need to expand the NSLP and SBP participation section to allow responses on each sampled child in the household. A second approach is to sample just one student per household. That is, in cases where more than one child from the same household is selected, we would randomly select one child to be the “Sample Student” for all data collection. Each has advantages and disadvantages. The sampling is easier under the first approach, but the household survey would be substantially longer since the questions on participation in the survey ask about participation on each day separately for the entire prior week before the interview, and separately for the SBP and NLSP. Sampling students under the second approach is somewhat more difficult to implement (field interviewers will need to sample one child per household and replace the student not selected with another selection), but is easier in terms of data collection. We are proposing to use the second approach and limit the sample to one child per household in order to minimize burden on parents when responding to the household survey.

In reducing the district sample, we wanted to accomplish the following objectives: (1) maintain the probabilistic nature of the sample, (2) have a distribution of districts that reflects that of the original sample, and (3) assure to the extent possible that at least 80 districts would participate in the study.

The approach we implemented entailed selecting a random subsample from all 100 districts (plus the alternates in the case of the noncertainty districts). We are currently recruiting only those districts that included in this subsample of 80 districts. The selection employed explicit stratification on Provision 2/3 and implicit stratification on other characteristics to maintain the probabilistic nature of the sample and resulted in a distribution of the new sample that reflects the original sample. Under this approach, some districts that have already been recruited (e.g., agreed to participate and signed letters of understanding) needed to be dropped.

In the original design, if a “main” selection declines to participate, we release its alternate and attempt to recruit the alternate. We continue this method with the reduced sample. However, there have been two cases in which both the main and alternate selections have declined to participate. Because sampled districts that have not yet executed letters of understanding and their alternate could both decline to participate, we could end up with less than our target of 80 districts. We therefore selected 84 main districts (instead of 80), plus a reserve sample of three additional main districts (for a total of 87 districts overall in the new study design) to provide some margin should this occur. The reserve sample will be used, if in contacting the 84 main districts (and their alternates if needed) we obtain cooperation from fewer 80 districts. In this case we will take replacements from the reserve sample in random order until we obtain cooperation with 80 districts.

5. Statistical Precision

OMB specifications for statistical precision require a 90 percent confidence interval of " 2.5 percent around the estimate of the percentage of erroneous payments.^{8,9} To obtain this level of precision for both the NSLP and SBP, we plan to complete household surveys with parents of 2,880 certified free and reduced-price students.

Table B1.1 presents the precision expected under the new design for estimates relating to the erroneous payments, expressed as a percentage of all free and reduced-price reimbursements. Precision values are 90 percent confidence intervals. The confidence interval for the study's estimate of the rate of erroneous payments in the NSLP is " 1.34 percentage points and " 2.03 for the SBP. Both are within the OMB precision standard of " 2.5 percentage points.¹⁰

Because we also are interested in the characteristics of households belonging to each of the categories, the precision for a range of percentage estimates (of binary variables) are presented, in Table B1.2. This table presents confidence intervals of estimates percentages for the NSLP, the SBP and denied applicants.

⁸OMB's guidance on erroneous payments states that "significant erroneous payments are defined as annual erroneous payments in a program exceeding both 2.5% of program payments and \$10 million." Programs and activities susceptible to significant erroneous payments, as defined above, are to determine an annual estimated amount of erroneous payments made in those programs and activities, identify the reasons the programs and activities are at risk of erroneous payments and implement a plan to reduce erroneous payments. OMB calls the first threshold the "error rate" and the second threshold the "error amount." We interpret this as meaning the error rate is the ratio of two "dollar-denominated" sums: total annual erroneous payments divided by total annual payments. For the NSLP (or SBP), the error rate will equal the total dollar amount of erroneous payments made to free approved and reduced-price approved students divided by total reimbursements for free and reduced-price meals under the NSLP (or SBP). The study also assesses the prevalence of "case error" rate: the percentage of all applicants erroneously certified or denied.

⁹This is mathematically equivalent to the requirement that the confidence interval around the ratio of average error, as a percentage of average reimbursement per meal, be plus or minus 2.5 percentage points.

¹⁰The error categories used in making our precision estimates for Table B1.1 are defined on the basis of the lunch reimbursements for SY 2004-2005. Assumptions about the frequencies of these error values, based on previous studies, are used as the basis for estimating the population parameters for school lunches. That is, the means and variances are obtained for each of the error situations (aggregate, underpay, and overpay).

TABLE B1.1

90 PERCENT CONFIDENCE INTERVALS: ABOUT MEAN AMOUNT IN ERROR
(REVISED DESIGN)

Mean Amount in Error	Sample Size (Students)	90 Percent Confidence Interval Error for Payments in Error ^a
NSLP		
Overall ^b	2,880	±1.34
Non-Provision 2/3 ^b	2,592	±1.41
Provision 2/3 ^c	288	±4.14
SBP^d		
Overall ^e	960	±2.03
Non-Provision 2/3 ^e	864	±2.14
Provision 2/3 ^e	96	±6.25

^aIn percentage points.

^bAssumes design effect equals 2.4.

^cAssumes design effect of 2.3.

^dAssumes one-third of sampled approved free/reduced-price students will participate in the SBP. This is a conservative assumption. It is likely that 40 percent of free/reduced-price students will participate in the SBP, which means the precision of these estimates will increase over what the table shows.

^eAssumes design effect equals 1.8.

TABLE B1.2

90 PERCENT CONFIDENCE INTERVALS FOR PERCENTAGE ESTIMATES ABOUT
 TOTAL SAMPLE AND PROVISION 2/3 SUBGROUPS
 (Entries Are Percentage Points)

REVISED DESIGN

	Sample Size	Estimated Proportion (P) Equals		
		10% or 90%	30% or 70%	50%
NSLP				
Total Free/Reduced-Price Sample	2,880	± 1.42	± 2.17	± 2.37
Non-Provision 2/3 Free/Reduced-Price	2,592	± 1.50	± 2.29	± 2.50
Provision 2/3 Free/Reduced-Price	288	± 4.40	± 6.72	± 7.33
SBP^a				
Total Free/Reduced-Price Sample	960	± 2.13	± 3.25	± 3.55
Non-Provision 2/3 Free/Reduced-Price	864	± 2.25	± 3.43	± 3.74
Provision 2/3 Free/Reduced-Price	96	± 6.74	± 10.29	± 11.23

^aAssumes one-third of sampled approved free/reduced-price students will participate in the SBP. This is a conservative assumption. It is likely that 40 percent of free/reduced-price students will participate in the SBP, which means the precision of these estimates will increase over what is shown in the table.

The precision of the estimates of the total case error rate (case error due to either administrative error or household misreporting) can be obtained from Table B1.2 since one can treat the proportion of approved applications that are in error as a characteristic of all approved free and reduced price students. For estimating the *percentage of cases in error* (defined over approved applicants and including certification error due to administrative error or household misreporting), the 90 percent confidence interval will be " 2.17 percentage points for the NSLP and " 3.25 percentage points for the SBP, assuming a case error rate due to both administrative error and household misreporting near 30 percent (see Column labeled “.30 or .70”). Note that these precision estimates apply to case error rates defined only for approved applicants (free and reduced-price certified students). That is, it excludes denied applicants from the base. For these analyses, we are treating erroneous payments and total case error (erroneously certified applicants) similarly in that they are both defined over approved applicants only. We also plan to estimate total case error rates over all applicants (those approved for free and reduced-price meals *and* denied applicants). The precision of the estimates for case error defined over all applicants is shown in Table B1.3 and B1.4. For estimating the *percentage of cases in error* (defined over all applicants and including certification error due to administrative error or household misreporting), the 90 percent confidence interval will be " 2.13 percentage points for the NSLP and " 3.20 percentage points for the SBP, assuming a case error rate due to both administrative error and household misreporting near 30 percent.

TABLE B1.3

90 PERCENT CONFIDENCE INTERVALS FOR PERCENTAGE ESTIMATES
 OF TOTAL CASE ERROR FOR ALL APPLICANTS^{a,b}
 (Entries Are Percentage Points)

	Sample Size	Estimated Proportion (P) Equals		
		10% or 90%	30% or 70%	50%
NSLP				
Total Sample	3,200	± 1.39	± 2.13	± 2.32
Non-Provision 2/3	2,880	± 1.46	± 2.23	± 2.44
Provision 2/3	320	± 4.31	± 6.59	± 7.19
SBP				
Total Sample	1,067	± 2.09	± 3.20	± 3.49
Non-Provision 2/3	960	± 2.19	± 3.35	± 3.66
Provision 2/3	107	± 6.40	± 9.83	± 10.73

^aCalculated over approved and denied applicant students.

^bCase error here includes error due to administrative error *and* household misreporting.

TABLE B1.4

90 PERCENT CONFIDENCE INTERVALS FOR THE DIFFERENCE IN ESTIMATES OF CASE ERROR BETWEEN NON-PROVISION 2/3 AND PROVISION 2/3^{a,b}
(Entries Are Percentage Points)

	Estimated Proportions (P) Equal to or Near ^c		
	10% or 90%	30% or 70%	50%
NSLP	± 4.50	± 7.00	± 7.63
SBP	± 6.84	± 10.45	± 11.40

^aCalculated over approved and denied applicant students.

^bCase error here includes error due to administrative error *and* household misreporting.

^cTable entries show the confidence intervals around the difference in proportions between Provision 2/3 and non-Provision 2/3 when both proportions are equal to or “near” the percentage shown in the column heading. For example, if the certification error rate was .09 in non-Provision 2/3 and .11 in Provision 2/3 for the NSLP, then the confidence interval around the difference, .02, would be +/- .0450, since the estimates of certification error are both near 10 percent. If the certification error rate was .29 in non-Provision 2/3 and .31 in Provision 2/3, then the confidence interval around the difference, .02, would be +/- .0700, since the estimates of certification error are both near 30 percent.

The study's sample design will provide a sample of 4,496 applicants from 264 sampled schools in which to estimate case error rate *due to administrative error*. This sample will be comprised of 2,592 approved F/RP and 288 denied applications from the 216 non-Provision 2/3 schools, 864 approved F/RP and 104 denied applications from 24 Provision 2/3 base year schools, and 576 approved F/RP and 72 denied applications from 24 Provision 2/3 non-base year schools. We will use this sample to estimate the overall prevalence of certification error due to administrative error separately for the NSLP and SBP; and we will provide separate estimates for case error rates due to administrative error in non-Provision 2/3 and Provision 2/3 schools. The estimates of case error rates due to administrative error are based on all applicants, approved and denied. Tables B1.5 and B1.6 provide estimates of expected precision. For this analysis of *case error due to administrative error only*, which will be based on a larger sample of applications, the 90 percent confidence interval will be " 1.17 percentage points for the NSLP and " 1.73 percentage points for the SBP, assuming a case error rate due to administrative error near 10 percent.

6. Analysis Weights

In this section, we present our procedures for calculating the weights to be used in analyzing the data collected for this study. An initial adjustment factor—the sampling weight—adjusts for difference in probabilities of selection. Subsequent weighting adjustment factors will adjust for nonresponse; also, if needed, a trimming factor will be used to reduce the influence of extremely large weights (outliers). Sampling weights will be calculated for each SFA, school, and student included in the sample.

Sampling weights equal the reciprocal of the selection probabilities, which are the primary sampling unit selection probabilities multiplied by the product of conditional selection probabilities at each subsequent stage of sampling. These are the basic weights needed to obtain

TABLE B1.5

90 PERCENT CONFIDENCE INTERVALS FOR PERCENTAGE ESTIMATES
 OF CASE ERROR DUE TO ADMINISTRATIVE ERROR^{a,b}
 (Entries Are Percentage Points)

	Sample Size	Proportion (P) Equals	
		10% or 90%	20% or 80%
NSLP			
Total Sample	4,496	± 1.17	± 1.56
Non-Provision 2/3	2,880	± 1.39	± 1.85
Provision 2/3	1,616	± 2.79	± 3.72
SBP			
Total Sample	1,498	± 1.73	± 2.31
Non-Provision 2/3	960	± 2.13	± 2.84
Provision 2/3	539	± 3.50	± 4.66

^aCase error here is defined as due to administrative error only. It does not include certification error due to household misreporting.

^bCalculated over approved and denied applicant students.

TABLE B1.6

90 PERCENT CONFIDENCE INTERVALS FOR THE DIFFERENCE IN ESTIMATES OF
CASE ERROR DUE TO ADMINISTRATIVE ERROR BETWEEN NON-PROVISION 2/3
AND PROVISION 2/3^a
(Entries Are Percentage Points)

	Estimated Proportions (P) Equal to or Near ^c	
	10% or 90%	20% or 80%
NSLP	± 3.13	± 4.18
SBP	± 4.12	± 5.49

^aCase error here is defined as due to administrative error only. It does not include certification error due to household misreporting.

^bCalculated over approved and denied applicant students.

^cTable entries show the confidence intervals around the difference in proportions between Provision 2/3 and non-Provision 2/3 when both proportions are equal to or “near” the percentage shown in the column heading. For example, if the certification error rate due to administrative error was .09 in non-Provision 2/3 and .11 in Provision 2/3 for NSLP under the design, then the confidence interval around the difference, .02, would be +/- .0313, since the estimates of certification error are both near 10 percent. If the certification error rate was .19 in non-Provision 2/3 and .21 in Provision 2/3, then the confidence interval around the difference, .02, would be +/- .0418, since the estimates of certification error are both near 20 percent.

unbiased results. Obviously, unequal sampling weights are needed for developing SFA- and school-level estimates, because they are selected with PPS (larger units will be more prevalent in the sample than in the population). Depending on the selection method used, the sample of students will be included with approximately equal inclusion probabilities. However, even in this case, weights will be different due to possible errors in size measures and different levels of nonresponse.

Note that we have indicated this additional source of unequal weighting for meal observation, not for sample students. The reason is that sample SFAs, schools, and students will be stochastically assigned to month (meals cannot be so assigned, but the different sampling rates by month must be accounted for because of the time-dependent observations—more meals tend to be in error near the end of the school year). That is, each sample SFA, sample school, and sample student will have a known probability of being assigned to one of two sampling rates (panel month or other month). Thus, the sampling weight for each unit reflects both the inclusion probability for the panel months and the inclusion probabilities for the other months.

We will take several steps to adjust the sampling weights to obtain valid survey results. Essentially, these adjustments will be made to account for the nonresponse of sample SFAs, schools, and students; thus, the weights will sum to selected control totals, such as known number of program participants. We also will check for extreme weights, which may unduly affect estimates or estimation variances; these will be considered for trimming (see Potter 1993).

Two methods often used to adjust sampling weights for nonresponse are (1) weighting class adjustments, and (2) propensity modeling using logistic regression. Which of these is preferred depends largely on the extent of the nonresponse and the amount of information known about the units, both responding and nonresponding. We anticipate that the levels of nonresponse at the SFA and school levels will be relatively low; thus, it may be preferable to use weighting class

adjustments based on frame information. Student (household) nonresponse, on the other hand, may be more serious. In addition, since a substantial amount of information is known about program applicants, we consider the use of propensity modeling.

The propensity models predict the probability that households of sample students with a particular set of characteristics, based on the application and frame information, will respond to the survey. The weights of all respondents will be divided by these estimated probabilities to obtain the analysis weights.

B2. DATA COLLECTION STRATEGY

The data collection plan for the study has five components: (1) an SFA survey, (2) household surveys, (3) application records data abstraction, (4) observation and record review of meal-counting and -claiming processes, and (5) collection of administrative data for developing and testing models of estimating erroneous payments. Our data collection plans are summarized in Table B2.1, which shows, for each data collection, the mode, respondent, target number of completed interviews, and key data elements to be collected.

1. SFA Data Collection Procedures

MPR executive interviewers will conduct a telephone interview with 80 SFA directors in the sampled school districts. The respondent we will target for interviewing will be the person who knows the most about the district's administrative practices regarding the school meal programs—typically the district's food service director. The SFA survey will be administered between February and April 2006. To expedite the interview, the SFA director will be sent a “fact form” to be completed before the interview and faxed back to MPR's central office. During the initial orientation conference calls and subsequent exchanges of information, SFA directors will be made aware that they will be asked to complete the fact form and participate in

TABLE B2.1

OVERVIEW OF DATA COLLECTION

Instrument	Mode	Respondent/ Data Source	Number of Completes	Response Rate (Percent)	Key Data Elements
SFA Survey	Telephone	SFA director	80	100	<i>District characteristics:</i> institutional characteristics; meal program participation; certification procedures; verification procedures and outcomes <i>School characteristics:</i> For each of the three sampled schools per district, data on meal program participation characteristics and outcomes
Household Survey					
Approved Free/Reduced-Price	In-Person	Parent/Guardian	2,880	80	Certification status; NSLP and SBP participation; household income; family size and composition; perceptions of meal program quality; knowledge and perceptions of application and verification processes; SFSP participation and reasons for nonparticipation; demographic characteristics
Denied Applicants	In-Person	Parent/Guardian	320	80	Household income, family size; NSLP and SBP participation; knowledge and perceptions of application process; perceptions of meal programs; reasons not reapplied; retrospective questions on changes in income or household composition; demographic characteristics
Approved Free/Reduced-Price (Panel—2 nd Interview)	Telephone	Parent/Guardian	800	80	Certification status; NSLP and SBP participation; household income; family size and composition
Record Abstractions					
Approved Free/Reduced-Price ^a	Interviewer Abstraction	n.a.	4,032	100	Meal program application information; NSLP/SBP participation (if school tracks participation); enrollment start and stop dates during school year
Denied Applicants ^b	Interviewer Abstraction	n.a.	464	100	Meal program application information; NSLP/SBP participation (if school tracks participation); enrollment start and stop dates during school year
Meal Claiming/ Counting Data					
Roster and Certification List Abstraction Form	Interviewer Abstraction	Records	25 students per school/ 240 schools	100	Certification status of sampled students on roster at point of sale and on certification list

TABLE B2.1 (continued)

Instrument	Mode	Respondent/ Data Source	Number of Completes	Response Rate (Percent)	Key Data Elements
Cashier Transactions Observation Form	Interviewer Observation	Cashier	100 lunch transactions/ 50 breakfast transactions per school covering target week, 264 schools	100	Food items on each tray; whether cashier records meal as reimbursable or not; type of individual purchasing meal (student or adult)
Meal Count Forms, Reimbursement Claiming Forms	Interviewer Abstraction	n.a.	264 schools and 80 SFAs	100	Day and week totals from all individual cash registers by meal type; week and month totals by meal type; week and month totals claimed by districts for sampled schools
Extant Data					
District Meal Program Data Acquisition Form	Telephone	State Education Agency Director	51	100	For all districts within a state: Number of NSLP and SBP reimbursable meals by meal claiming status type; number of schools by Provision 2/3 status; number of students enrolled by Provision 2/3 status
		Common Core of Data (CCD) Census data Other Adm. data	n.a.	n.a.	Other district-level data: Locale; enrollment; percent certified for free and reduced-price lunch; grade span of district; Title 1 status of schools; poverty rates; income levels; verification results; eligibility determinations made; NSLP and SBP certification and participation rates

^aFor 1,440 of the 4,032 free or reduced-price students we are only abstracting applications and not collecting any of the other data listed under “key data elements.”

^bFor 176 of the 464 denied applicants we are only abstracting applications and not collecting any of the other data listed under “key data elements.”

n.a. = not applicable.

a brief telephone interview. They will be given a list of the topics to be covered in the interview before it is administered. Interviewers will be trained to conduct these interviews at the SFA director's convenience. SFA directors will be given the option to contact MPR and set up a time for the interview. To complete some SFA director interviews, more than one session or more than one respondent may be required.

2. Household Survey Procedures

Contacting Parents. Regardless of the degree to which the schools and SFAs inform the parents about the study, MPR will take an active role in explaining the survey to prospective respondents. After we receive the contact information for sample members from team leaders, we will send advance letters to parents. The advance letters (printed on U.S. Department of Agriculture [USDA] letterhead) and project brochures will be mailed from MPR the week before in-person contacts are made at sampled households. The advance letters will describe the purpose and nature of the study and will explain the household data collection process and the time burden and incentive payments. In addition, they will mention that, as part of trying to understand how schools ascertain eligibility for free or reduced-price lunches, we will ask to see documents that show the amount of income household members receive. Finally, the advance letters will address the issue of confidentiality and the protection of respondents' privacy, noting that participation will not affect respondents' certification for free or reduced-price meals.

Crucial to obtaining cooperation from parents, both with respect to the in-home data collection and to the verification of income, will be establishing rapport with the parents and creating an acceptable context for our request for detailed income information and income-verification documents. This requires striking an appropriate balance between full disclosure of the purpose of the survey and encouraging compliance without biasing responses. We believe it is important (and appropriate, in terms of honesty about the study's objectives) for the

certification accuracy component to be presented as the primary piece of the survey. In introducing the study to respondents before beginning the interview, we will stress that FNS wants to understand the barriers to application for the NSLP, the difficulties applicants may have in reporting and verifying their incomes, the kinds of documents that are most easily available to applicants, and their experiences with the application process. In addition, we will stress that the study is focusing on school food programs, not individual participants. The field interviewer will sign a confidentiality agreement with the respondent prior to the interview.

Conducting the Household Survey. We will administer in-person household interviews to parents of children selected in our samples of certified free/reduced-price, verified free/reduced-price, denied applicant, and nonapplicant households. Interviews will be conducted throughout the school year; however, most of them will occur during the first few months when the bulk of applications are received and certification and verification activities take place. During September, October, and November 2005, we will visit all 240 schools sampled from the 100 districts once. We will select samples of free and reduced-price approved students (completing 10 per school) and denied applicants (completing 1 to 2 per school on average), for a total of 2,400 free and reduced-price approved students, 320 denied applicants. During the remaining eight months of the school year, we will complete interviews with 60 newly certified entrants each month for the F/RP cross-sectional sample, for a total of 480 newly certified students.¹¹ Members of the F/RP approved student panel sample are selected and interviewed beginning in mid-November 2005. Between then and the end of the school year (8 months), we will complete

¹¹As mentioned, we assume for planning purposes to select a similar proportion of new entrants throughout the rest of the school year. However, it is possible that, for various reasons, the pattern of new entry is skewed toward the earlier part of the school year. We plan to ask the schools in the sample for their estimates of what the pattern of applications is and to develop sampling plans accordingly. If their prediction proves not to be exactly correct, this is not a serious problem for the analysis, since we can use weighting to correct for minor differences in probabilities of selection across periods.

interviews with 100 households per month for the F/RP panel sample, for a total of 800 second interviews. These panel interviews will be conducted by telephone.

Household interviews will be conducted by teams of interviewers who will spend a week in each district (sometimes nearly two weeks, depending on the number of schools sampled from the district). The team leaders will be responsible for coordinating the activities of the team and ensuring that the work of the local interviewers is performed efficiently. Because many interviews will be conducted in the evening and on weekends, interviewers will have to maintain flexible schedules. All the interviews except the F/RP panel interviews will be administered in person using computer-assisted personal interviewing (CAPI). Four-member teams (a leader and three interviewers) will travel to selected school areas to conduct the interviews during the first visit to districts, when interviewing demands are the greatest. Interviews will be scheduled during the second or fourth week of each month, so that accurate data on income and household composition can be collected for the month before the point of sample selection. In September and October, each four-person team will conduct household interviews at 12 schools in four school districts. Then, from November through the end of the school year, teams will be reduced to two-person teams, depending on the number of interviews to be done in each school district.

Collecting Data on Household Income and Other Eligibility-Related Characteristics.

Obtaining an accurate measure of the household's monthly income and family size at the time of application is critical to estimating erroneous payments. We will implement a multi-step methodology adapted from MPR's evaluation of the NSLP Application/Verification Pilot Projects. We will begin by asking for all the different sources of income received by household members. Next, we will ask for the specific amount of income per person and source. Asking for the sources of income first, without asking for amounts or documentation, will encourage disclosure of more sources, since respondents may not expect to be asked further questions about

each source. At the end of the sequence, income sources across all adults and sources will be summed in order to derive a total monthly amount. Then we will ask respondents whether that total accurately reflects total household income at the time of application. If the answer is no, respondents will be asked what sources or household members differ, and by how much. Amounts will be adjusted to yield the appropriate monthly total for the time of application.

We will use income and other eligibility-related information obtained from the household survey to assess the accuracy of parents' reports of eligibility information when applying or verifying their eligibility. Therefore, it is crucial that the reference period covered in the survey matches exactly the one used on the application. Using information collected at the time we sample students from the sample frame and/or source applications (as required), we will identify the date the application was submitted or the date of certification, and use that as the reference month for the interview. In cases where we don't have that data we will ask the respondent when they applied and use that as the reference month. If the application date is unknown, we will use the first month of school, if school begins prior to the 15th, and if it starts after the middle of the month, we will use the next month. Our approach programs the CAPI survey to bring up the appropriate reference month for a given household, based on the household's circumstances.

3. Student Records Data Collection

Data on students' meal program applications are required to assess the accuracy with which SFAs determine eligibility and, when compared with information from the household survey, the accuracy of parents' reports of eligibility information. We also will collect data on students' meal program participation for those students attending schools that record and retain meal program participation at the individual-student level. Finally, we will need to collect data on

sampled students' enrollment start and stop dates, as well as any changes in certification status during the school year.

Obtaining Parental Consent for Student Records Data. For the study, special attention must be paid to concerns associated with confidentiality and parental consent. During the district orientation and recruiting calls, the evaluation team will discuss with school districts the form of consent that is needed. If a school district requires signed parental consent for the release of meal price-eligibility application records, we will obtain this consent during the household interviews. Consent forms and procedures for obtaining consent will be designed to be in full compliance with privacy protection laws. Consent forms will contain an explanation of the meal price verification process and how individual observations will be kept confidential and not disclosed to the SFA or other school or district officials. The consent forms will be printed on multi-ply NCR paper. Interviewers will leave a copy of this form, signed by both the interviewer and the respondent, with the respondent at the end of the interview. Appendix B contains a copy of the consent form.

Collection of Application Data. We will collect the data that appears on the certification applications for the samples of free and reduced-price approved students and denied applicants. Subject to approval by schools, team leaders will make copies of meal-price application forms when they revisit schools after obtaining parental consent. When schools do not permit us to make copies, the information will be hand-copied onto standardized data abstraction forms. Field staff team leaders will review application abstraction forms to ensure completeness. MPR central staff supervisors will provide ongoing oversight and assistance to field staff. The application certification data will be sent to MPR's central office, where quality control staff will assign codes to the data. The forms will then be data-entered.

Collecting Student-Level Records Data on NSLP and SBP Participation. We will collect—and keep—data on individual-level meal program participation for sampled students in districts and schools that compile individual-level participation data. This information will be collected for students in the free and reduced-price meal samples and denied applicants. Wherever possible, we will obtain participation information covering the entire school year. We anticipate that most schools which track participation do so electronically. In these cases, we will request copies of relevant data files. Some schools that track individual student participation may not do so electronically, but keep paper records instead. These data may, in some cases, be transferred to an electronic format after being collected at points of sale in the school. For example, the data could be recorded manually at the cash registers but later entered into a school billing system to bill the accounts of full-price and reduced-price parents, or they may be kept only as hard-copy information. In either case, we propose to request these data from the schools. Where schools are willing and able to supply these data, we will data-enter or reformat them as necessary, essentially using them the same way we will use the point-of-sale files.

Obtaining Information on Changes in Certification and Enrollment Status. Our estimate of erroneous payments due to certification error equals the difference between the reimbursement amount for the type of meal for which students are certified and the reimbursement amount for the type of meal for which they are eligible, times the number of meals they received during the year. We need to know enrollment end dates for sampled students, so as not to attribute erroneous payments to students no longer attending sampled schools because they transferred or dropped out of school. We need attendance stop dates on leavers and attendance start and stop dates on new enterers. To obtain these data, central MPR staff will contact sampled schools just before the end of school and ask them about the status of sampled students: to indicate the month last attended for those who dropped out or transferred.

Similarly, we will collect data on changes in sampled students' certification status during the school year. That information is needed to properly account for erroneous payments during the school year.

4. Counting and Claiming Data Collection

Counting and claiming errors can occur at various points in school and district operations. The study distinguishes errors that occur at each of three main stages of the claiming process: (1) benefit issuance; (2) cashier transactions; and (3) counting, consolidating, and claiming meal reimbursements. Data collection will be complicated by the fact that there is great variation across SFAs in their levels of technology and staff training, as well as in the specific procedures used. In addition, even in a specific district, the relevant systems may vary from school to school. Indeed, they can vary over time in a specific school—for example, when a school uses an automated system most of the time but reverts to a manual system when the computerized process breaks down. The plans MPR has developed for collecting data on and measuring counting and claiming error in the project take into account this variation in procedures. Since interview teams visit school districts and schools throughout the school year, data collection for meal counting and claiming activities will be staggered throughout the school year to obtain information representative of meal counting and claiming error across the entire school year.

Benefit Issuance Error Data Collection. Schools use benefit issuance documentation to identify the category in which a meal served to a student will be claimed for reimbursement. This documentation is based on information from the office that conducts the certifications. Errors occur when a student is listed on the benefit issuance document for the wrong reimbursement category. Six types of errors are possible: a student is (1) approved for free meals but is listed as “reduced-price”; (2) approved for free meals but is listed as “paid”; (3) approved for reduced-price meals but is listed as “free”; (4) approved for reduced-price meals

but is listed as “paid”; (5) ineligible for free or reduced-price benefits, or no application for direct certification/other eligibility documentation was on file, but was listed as “free”; and (6) ineligible for free or reduced-price benefits, or no application for direct certification/other eligibility documentation was on file, but was listed as “reduced-price.” These errors might reflect clerical transcription error, or they might occur when the benefit issuance document is not updated properly.

To measure the errors associated with this process, sometimes referred to as “roster” errors, field interviewers will select a random sample of students from a school’s benefit issuance documentation. Then, for that sample, the interviewers will compare the certification status shown on the benefit issuance document used in counting students for reimbursements with their certification status as recorded on the application or direct certification document maintained by the SFA or school. We plan to select a random sample of 25 students per sampled school (for 240 schools across the 80 districts). Team Leaders will select the students from the benefit issuance list using their laptop computer using specially designed sampling programs that make random selections. The computer will provide information on which students to select (based on the student’s position on the list). We have developed procedures for selecting students from a single, centralized list; when lists are maintained in separate classrooms; and in mixed situations where some students are listed on individual classroom lists and others on a single, centralized list.

Cashier Error Data Collection. A key step in the counting and claiming process occurs at the point where a cashier judges whether the food on a student’s tray is a reimbursable meal and records that information. Although details of this transaction vary greatly, some version of the process occurs in all NSLP and SBP schools. Furthermore, this point in the process may be especially vulnerable to error because of the variety of foods available to students in most

schools and the complexity of the rules that govern what combinations of foods are and are not reimbursable. Errors occur when cashiers record a meal as reimbursable that does not contain the required number of items/components.¹² Errors also occur when a second meal served to students in any category is claimed for reimbursement or when meals are served to ineligible people (such as teachers or adult visitors). Similarly, an error occurs if a cashier fails to count a meal as reimbursable that is eligible or is received by an eligible student.

In addition, besides determining whether a student's *meal* is reimbursable, at some schools, the cashier must determine and record the reimbursement status of the *student*. Increasingly, this determination is made based on passing a student ID card through electronic point-of-sale equipment (or entering a PIN number) without direct cashier involvement. However, systems are still in use in which cashiers must make this determination based on a code embedded in a ticket, on a list of students and their certification status, or in some other way. Mistakes in this process represent another form of cashier error.

Thus, it is possible for counting and claiming errors to occur in cashiers' assessments of the *meals* and in their determination of the reimbursement status of the *students* passing through the line. It is likely, however, that the mistakes related to *meals* are much more common, since the meal-related determination is made more often and is more difficult.

Our approach to collecting data on cashier error is to station MPR staff near points of sale for a sample of two days during a target week and meal periods and have the staff record enough details on a specially designed form about a sample of meal "transactions" to make possible an estimate of the prevalence of the following types of cashier error: (1) meals incorrectly recorded

¹²The quantity served may be insufficient to meet meal-pattern requirements; in principle, these meals should not be counted as reimbursable. However, we believe it would be intrusive and too difficult for field interviewers to accurately make this assessment; therefore, we do not include it when measuring cashier error.

as reimbursable, and (2) meals incorrectly recorded as non-reimbursable.¹³ We used this approach successfully on the Competitive Foods Data Collection Methodology Study for FNS.

Specifically, for a given school, our approach involves:

- **Obtain Information on Point-of-Sale Procedures.** MPR central staff will first obtain enough information from school food service managers on the logistics of the school's point-of-service operations to finalize plans for drawing random samples of point-of-sale/time combinations.
- **Select Samples of "Transactions" and Record Information.** Team Leaders will enter information into their laptop computers for each cash register, by meal period and volume of transactions, separately for breakfast and lunch. The computer will randomly select cash registers to observe during periods and interval samples of individuals coming through the lines to observe. Field staff will record (1) what items are on each tray and the amounts of each item;¹⁴ (2) whether the transaction involved a student, nonstudent, or other adult; and (3) whether the cashier records the tray as a reimbursable meal.¹⁵ The sampled meal transactions could include reimbursable meals obtained by free and reduced-price approved students and full price paying students. We will not station field staff at "a la carte" only lines, but if "a la carte" meals can be purchased in the same lines as reimbursable meals then they will be included as a possible transaction that can be selected.
- **Send Data to MPR's Central Office.** The recorded information will then be sent to MPR's Princeton office, where coders fully trained in the rules governing whether or not meals are reimbursable will code this information. (The determinations depend on whether the school uses a food-based or a nutrient-based menu-planning approach and whether the school uses offer versus serve. This information will have been obtained earlier at the school.)

¹³The study will not directly measure errors when cashiers inaccurately record a student's meal reimbursement status. To measure this error would require identifying the student involved in each meal transaction and then collecting information on their certification status from administrative records and comparing it to what the cashier recorded. While this would be relatively easy to implement, identifying students either by asking them their names or asking school staff to provide their names is intrusive and would result in greater requirements for informed consent. We are concerned that this could cause districts and schools to be less willing to participate in the study. For similar reasons we are also not measuring the prevalence in which cashiers count as reimbursable second meals served to students. We do plan to obtain information to qualify these types of error. Field interviewers will ask school food service directors whether there is a procedure in place to prevent these types of errors, and if so, to describe the procedures. Then while conducting meal transaction observations, field interviews will assess whether the procedures are being followed.

¹⁴Food items available will be precoded on the form.

¹⁵There will be a column on the form for interviewers to make an assessment of whether the meal constitutes a reimbursable meal. This assessment will be confirmed at MPR's central office when the forms are reviewed.

Our earlier experience shows that it is almost always possible to find a spot near the cashier where student trays can be observed. Field staff will need to be flexible, both to accommodate the physical layout of the serving area and to accommodate the staff. If data collectors are flexible, staff will usually be well prepared to cooperate with the data collection and willing to make minor accommodations to facilitate accurate observation.

Critical to measuring these errors is the development of statistically efficient samples of point-of-sale locations and times. We plan to observe meal service operations at each of 264 schools on a randomly selected day when MPR field staff are at a school district for a target week and to collect, overall, data on 100 lunch transactions and (when relevant) 50 breakfast transactions per school. The information on the data collection instruments that are filled out at the schools will be coded and entered onto short coding forms—one per transaction—which will then be data-entered at MPR’s central office.

Aggregation Error Data Collection. Aggregation error refers to all errors occurring between the time the meal reimbursement status is recorded at the point of sale and the time the district claims reimbursement for its meals from its State Agency. Errors can occur in adding up the meals from individual points of sale to a daily count at the school, adding the daily counts at the school to weekly or monthly levels, or (at the district level) entering the incorrect amount for a school or totaling counts across schools and filling out and submitting the appropriate claims material. Daily totals may not match totals across points of sale (cash registers) because of errors in totaling amounts from the registers. They may also be in error if schools use an inappropriate method for determining the daily counts. For example, a school might use daily attendance or a classroom count as the basis for its claims, count trays; or, instead of counting all meal categories, it might use a category “back-out” system where one or more categories are

calculated by subtracting the number of meals of one or more meal type from the total meal count.

MPR will collect data on each stage of the process. We will collect data for each sampled school for a target week (previous completed full week prior to the visit to the school) and target month (prior month). The reference week/month will be distributed across the school year. Our basic approach is to have field interviewers collect information from both sampled schools and SFAs; with MPR central office staff serving as a backup to collect district-level data when appropriate. We also will collect data on number of students in the meal pricing categories (free; reduced-price), enrollment, daily attendance, and number of serving days, to help us assess the accuracy of the meal counts. All raw data on counting, consolidation, and claiming will be processed by MPR central office staff to determine prevalence and amount-of-aggregation errors.

Our approach for collecting data on each source of aggregation error is as follows:

- ***Daily Counts for Target Week.*** During the visit to each study school to collect counting and claiming data, MPR field staff will meet with the school's food service manager to obtain data on the target week meal counts (most recently completed week prior to the visit). We will obtain the separate meal counts from all the cashiers, as well as the total daily count recorded for the daily report the school compiles each day. Field interviewers will photocopy all relevant documents, if possible; otherwise, they will enter the information onto specially designed forms. All these data will be obtained in formats broken down by meal reimbursement status—free, reduced-price, and paid, so the number of each type erroneously counted can be identified. Field staff must also validate the school's daily meal counts for the target week. They will use the same procedure as the food service worker (for example, counting tickets in a ticket system or counting check marks in a roster check-off system). In automated systems, we will obtain the register totals. We will need a printout or copy of a cash register tape for each register for each meal on each day of the target week. For a few schools, if they do not use a point of sale or cash register tape, we may have to go to the school every day as they clear the registers and write down the amounts. However, we anticipate that few schools will keep track of sales this way.
- ***Monthly Counts.*** Field staff will also request data in the same report formats for the previous full calendar month (called the target month). For example, if the data collection were taking place in the second week of April, school-level data would be obtained covering the full month of March. They will obtain the school recorded

counts that the school reports to the SFA, separately by free, reduced-price, paid, and total. Field staff do not verify these meal counts.

- ***District Reimbursement Claims for Sampled School.*** We will collect data from the district covering the same target week and month to determine whether the SFA accurately claimed meals for reimbursements for the sampled school when it submitted the claim to its State agency.^{16,17} Team leaders will request the following information from the SFA: (1) records of the breakfast and lunch counts for the target week and month that the school submitted to the SFA, and (2) documentation showing the number of breakfasts and lunches the SFA claimed for reimbursement for the sampled school when submitting the claim to the State agency. We will obtain the breakdown by free, reduced-price, paid, and total meals. When field staff cannot obtain this information, MPR central office staff will make the request.
- ***District Consolidation and Claims Across All Schools.*** For a sampled month, we will collect data from the district on (1) the separate meal counts by type that each school submitted to the district and (2) the total meal counts reported (claimed) by the district to the State agency for meal reimbursement, to determine aggregation error from this source.

To supplement the data collection, we will also ask, during our telephone interviews with district staff, for respondents to give us their own assessment of whether there are places in the flow of information that are vulnerable to errors. We also will ask for information on any formal audits (either by state auditors or by school district auditors) that have involved the aggregation process and for the results of those audits. We will then use this information to supplement the information obtained from the direct observation of meal counts.

¹⁶Schools vary in how often they report meal counts to SFAs. Some schools report weekly, some monthly, and others daily. When tracking the school's meal count totals by category through the process of reporting the counts to the SFA, we will base the reporting period on what the school uses.

¹⁷Part of the initial interviews that will take place with the SFA directors will involve identifying what office in the school district is responsible for submitting reimbursement claims to the state and obtaining contact information. We will then telephone that office from Princeton and obtain detailed information about the flow of reimbursement count data to that office—including what offices or staff the data go through, what is done with the data at each stage, and how the data are transmitted to the next stage. (In some instances, collateral contacts to additional offices may be necessary to obtain comprehensive information.) In particular, in the discussions with the office that submits claims to the state, we will ask whether—in their office—data are available on a school-by-school level to support the overall totals. If so, we will obtain those data and assess whether they correspond to the information we obtained at the school level. If the data do not correspond to the data obtained from the schools, we will use additional telephone interviews to determine the reasons for the differences, thus assessing whether the discrepancies are due to aggregation error or to some other factor.

B3. METHODS TO MAXIMIZE RESPONSE RATES

MPR will do several things to maximize participation and reduce nonresponse in each data collection effort. These strategies are described below.

1. Maximizing Participation

a. Effective Strategies for Recruiting SFAs and Schools

To successfully implement the study, we need for districts and schools to cooperate with the research by providing sample frames of student households, including contact information, and access to sampled students' applications and related records. We believe that one of the greatest challenges of the evaluation work will be obtaining the timely cooperation of SFAs and schools.

School districts are complex organizations and are often conservative in their decision-making. Many SFAs may be concerned about confidentiality issues or about negative feedback from parents if they release the required information. Administrative burden in complying with the contractor's requests may also be a significant barrier.

Some school districts may refuse to cooperate. Even where there is a general willingness to cooperate, there may be delays in obtaining buy-in from all the relevant parties. Depending on the SFA, these can include the district superintendent, school principals, school attorneys, and even the full school board. (In some instances, considerable contractor time may be required just to determine who the relevant decision-makers are.) In addition, the contractor—or even FNS—has little leverage to force them to comply.

MPR is including in its study plans several features that, based on our previous work with school districts, we believe will maximize the likelihood of compliance:

- ***Using Senior Personnel to Contact School Districts.*** MPR will conduct an orientation meeting by teleconference with each sampled school district to inform the school district about the objectives of the project and the nature and scope of the data collection activities. These conference calls will allow MPR to discuss the

availability of school and individual records and reach some agreement on the data collection methods most suitable for each school district. Included in this discussion will be a determination of the type of parental consent required to obtain individual student records. MPR's project director, principal investigator, and survey director will conduct the conference calls with school districts. Because the school staff contacted during the calls will be senior officials, the MPR staff members involved in these contacts must be able to explain articulately the purposes and needs of the study and to answer any questions that arise.

- ***Forming Agreements with Each District.*** To foster mutual understanding of what will be involved in successfully implementing the study and the district's and schools' roles vis-à-vis MPR, we will prepare a written letter of understanding (LOU) with each district. The LOU will detail the decisions reached between MPR and the school district and will be signed by both parties. It will describe study procedures, data requirements and the data collection schedule, method of securing parental consent, confidentiality of data assurances, and the roles of the parties in the study. Discussions will also take place to designate an individual in each school district to be the primary contact person responsible for facilitating the collection of administrative data.
- ***Using School-Designated Liaisons to Assist with Recruitment and Obtaining Parent Consent.*** MPR will provide the school liaison with information on the study so that he or she can become familiar with the study and feel comfortable answering questions from parents and staff.
- ***Flexibility in How the Data Are to Be Provided.*** To minimize the work the schools will have to do, and to demonstrate our concern about the burdens we are placing on them, we will accept the required sample frame information in essentially any format and abstract information from applications if copies are not available. This also applies to administrative records data on participation of individual students in those schools that track participation of individual students.

Use of these and similar techniques will minimize noncooperation. In addition, it will be important for the MPR project director and the FNS project officer to work closely together to develop and implement any back-up strategies that may be needed. Such strategies might include enlisting federal or state personnel to encourage cooperation and, as a last resort, promptly replacing districts that do not cooperate.

b. Providing Incentives for Households

Obtaining cooperation on the income-verification questions and obtaining income documentation (pay stubs) during the household data collection are critical to the success of the

study. Similar to what MPR did in the evaluation of the NSLP Application/Verification Pilot Projects, we plan to use incentive payments designed to increase cooperation at each stage of the interviewing. Providing documentation increases the interview burden on respondents. Respondents will be offered \$25 for the in-home interview, in the expectation that they would provide at least some income verification documents.

c. Sending Information on the Study to the Parents

To stimulate cooperation from parents, our plans include (1) advance mailings on USDA letterhead, (2) endorsements from USDA, the Education Information Advisory Committee (EIAC), the school districts and schools, and (3) encouragement from school officials—school principal (with a number to call to confirm the authenticity of the survey). The mailing to parents will include a brochure designed especially for them.

2. Reducing Nonresponse

In addition to maximizing participation, it is essential to minimize nonresponse among study participants (SFAs and households). The key to minimizing nonresponse is the use of experienced and highly skilled interviewers. Interviewers hired for this study will be selected based on their experience conducting in-person interviews with similar populations. Parent interviewers will be selected based on experience interviewing a variety of people, particularly low-income people, working in school settings, and their ability to work independently. Preference will be given to field interviewers who have worked with other studies involving the collection of data on households and in school settings. Bilingual interviewers will be hired where there is likely to be a concentration of non-English-speaking parents.

Interviewers will also receive extensive training. Parent interviewers will receive seven days of training on constructing student sample frames and sampling, gathering data on

household income and family composition, and parent experiences and attitudes toward the meal programs and application and certification procedures. As part of the training, parent interviewers will be asked to complete practice exercises using CAPI prior to the start of interviewing. They will be thoroughly trained on all record abstraction and observation and review forms as well.

In addition, several other techniques will be used to minimize nonresponse. To ensure privacy, interviews will be done in households, and as discussed in Items A10 and A11, all respondents will be assured of confidentiality. The household survey will be conducted using computer-assisted interviewing software. This will ensure that all questions are asked with the appropriate prompts and that the skip patterns are followed. The computer programs also make the interviews go faster and thus reduce burden.

B4. TEST OF PROCEDURES

All procedures and instruments for collecting onsite data for the APEC study were pretested in January through March 2005. Seven school districts were visited in New Jersey and Pennsylvania. These districts were recruited from a list of SFAs in the Pennsylvania and New Jersey areas that were not included in the study's sample frame. At each district we discussed the goals of the project with the SFA Director, pretested student sampling, administration of on-site data collection forms and procedures including household surveys and application record abstraction, and gave SFA Directors copies of the SFA Fact Form for them to fill out and fax to MPR. We obtained information on the procedures SFAs use to certify students and on availability and formats of records data on approved students and location of applications for abstraction, and obtained information on procedures for benefit issuance, meal serving logistics, and meal counting and claiming procedures. The pretest demonstrated the feasibility of the planned data collection and provided information to refine the wording and formatting of

instruments, data collection forms, and instructions, and of procedures for acquiring the information.

Table 1 summarizes the instruments, number of sites, and number of respondents in the pretest.

TABLE 1
ON-SITE DATA COLLECTION PRETEST ACTIVITIES

Respondent/Instrument	Number of SFAs	Number of Respondents
SFA Food Service Director		
SFA Fax-Back Fact Form	5	5
SFA Survey	5	5
SFA Meal Consolidation and Claim Forms	4	4
School Staff		
Benefit Issuance Verification Form	2	2
School Meal Count Verification Forms	4	4
School Meal Count Reconciliation Form	4	4
Changes in Certification/Enrollment Form	2	2
Interviewer Abstraction/Observation		
Application/Verification Abstraction Form	1	4 applications
Meal Transaction Observation Form	2	2 schools
Households		
Household Survey	1	7

SFA Fax-Back Form and Survey. SFA fax-back forms were distributed to the seven SFA directors that we visited. Five SFA directors filled out the fact form and returned it and then participated in the telephone portion of the survey. The average time taken to fill out the fact form was 2.5 hours. One district took four hours and another took three, while three districts took 1, 1.5, and 2 hours. The districts that took the longest time used applications for all school children in each household and had to count the total number of students by hand. Districts that

did not have to count students by hand averaged 1.5 hours to complete the fact form. The telephone part of the SFA survey averaged about 15 minutes to complete. Interview times ranged from 10 to 30 minutes. There were frequent interruptions during the interview that lasted 30 minutes, which probably accounted for about 15 minutes of total interview time.

The primary changes to the fax-back form and questionnaire resulting from the pretest included:

- Creating two versions of the fax-back form: One version for districts containing Provision 2/3 schools, and a version for districts without Provision 2/3 schools.
- Adding titles and instructions to sections of the fax-back form.
- Revising questions on counts of enrolled students by ethnicity and race to ensure SFAs report ethnicity separately from race.
- Revising sections on counts of students and meals to take into account nuances of Provision 2 and 3, including appropriate treatment of base and non-base years.
- Eliminating redundancy regarding numbers of applications denied and incomplete.
- Revising the section on verification results to correspond to the way SFAs report verification information on the Verification Summary Report submitted to State Child Nutrition Agencies.

Meal Counting and Claiming Data Collection. Procedures for obtaining meal counts, consolidation, and reimbursement claim data and appropriateness of forms were tested in four SFAs and schools. At the schools we obtained daily lunch counts by cash register, separately for free, reduced-price, and paid meals, and then validated the counts by reviewing the cash register tapes. We did this for a sampled day, the entire previous week, and entire previous month. We then asked the SFA to provide data submitted to the SFA by these schools for the same time periods as well as the claims for these schools that the SFA submitted to their state agency. In addition, in two schools we randomly selected students as they approached cashiers and recorded the foods taken by students, whether meals were reimbursable, and the type of participant using

the Meal Transaction Observation Forms. At two schools we sampled students from the benefit issuance list and recorded their status and compared it against their status on the source applications.

The primary changes to meal counting and claiming and related procedures and forms included:

- On the school meal count forms, adding a section to obtain information about # students enrolled, # students free, # students reduced-price, and average daily attendance, and # of serving days, for the target week and previous month to facilitate interpretation of the data collected.
- On the meal transaction observation form, adding a column to indicate the component the food item satisfies regarding meeting requirements for a reimbursable meal to make it easier for field staff to determine whether meal is reimbursable or not.
- On the benefit issuance list verification form, having field staff compare status on the benefit issuance list against the source application (not Master Eligibility List).

Household Survey and Student Data Abstraction. One school district provided us with access to contact information for sampled students. We mailed letters to, contacted and arranged in-person interviews with free and reduced-price approved and denied applicants from that district. For a sample of students, the SFA provided copies of application forms from which we selected the student/household pretest sample. We completed four interviews with households in this sample. All together we completed interviews with seven households: four from the school district and three from a local organization that serves low income families.¹⁸

¹⁸While waiting for approval from the school superintendent to contact parents (to insure we could pretest the household survey on some households), we obtained the names of households with children from local social service agencies that MPR has had previous contacts with, who were local income households and receiving free lunches.

The average household interview took 50 minutes.¹⁹ The meal status of the participating students was: 3 free, 1 reduced-price, 1 non-applicant, 1 denied applicant, and 1 verified applicant. The one major change resulting from the pretest was to move the income document verification questions into the section where we ask about each income amount. This became obvious as we conducted interviews because respondents had the income documentation when we asked the income questions. The rest of the revisions to the household questionnaire were minor wording and skip logic changes.

The application and verification record abstraction procedures and forms were tested on a four sampled applications. For three applications, we reviewed and filled out Application Data Abstraction Forms to make sure the forms contained all the relevant fields for abstracting the data needed from free and reduced-price meal applications. We also tested procedures for identifying verified applicants, and tested the application and verification abstraction form for one verified household. We revised the application abstraction forms to account for new ways to become eligible (runaway, migrant, and homeless) which we had not initially included in the form. At one SFA, the SFA did not enter the decision on the application, but rather directly onto a Master Eligibility file, so we revised the abstraction form to account for this situation, including providing instructions to the abstractor to examine the Master Eligibility list to ascertain the sampled student's certification status.

The study will contact either the SFA or school liaisons at the end of SY 2005-2006 to obtain data on changes in certification status and enrollment status of sampled students. This information will be collected by telephone from MPR's Princeton office. The proposed

¹⁹We administered a hard-copy version of the household survey in the pretest. Traditionally, CAPI administration runs 5 to 10 minutes shorter than hard copy administration, putting us at the 45 minute target administrative time assumed for OMB submission.

procedures for collecting these data were actually tested in-person (not by telephone) while onsite at two SFAs and two schools within those SFAs. The data were kept electronically. We asked the respondents to select a few students at random and without identifying them, tell us their initial certification status, and about any changes during the school year in certification status—dates and changes in status, and whether they were still enrolled.

B5. INDIVIDUALS CONSULTED ON STATISTICAL ASPECTS OF THE DESIGN

The sampling procedures were developed by John Hall of MPR and reviewed by James C. Ohls and Daniel Kasprzyk, also of MPR. Analysis plans were developed by Michael Ponza, Philip Gleason, Melissa Clark, John Burghardt, Anne Gordon, and Lara Hulsey of MPR. Data collection plans were developed by Michael Ponza and Todd Ensor, also of MPR.

REFERENCES

- Bogen, K., J. Moore, and K. Marquis. "Pretest Results of an Alternative Measurement Design for the Survey of Income and Program Participation." Paper presented at the Annual Meetings of the American Statistical Association for Public Opinion Research, St. Petersburg, FL, May 16-19, 1992. Published in the SIPP Working Paper Series, #9204.
- Bogen, K., J. Moore, and K. Marquis. "Can We Get Respondents to Use Their Personal Income Records?" Paper presented at the Annual Meetings of the American Statistical Association for Public Opinion Research, Danvers, MA, May 11-15, 1994. Proceedings of the Section on Survey Research Methods, American Statistical Association, pp. 1252-57.
- Bogen, K., N. Krasko, J. Moore, and K. Marquis. "Preliminary Field Results of an Alternative Measurement Design for the Survey of Income and Program Participation." Paper presented at the Annual Meetings of the American Statistical Association for Public Opinion Research, St. Charles, Ill, May 20 – 23, 1993. Published in the 1993 Proceedings of the Section on Survey Research Methods, American Statistical Association, pp. 1027-31.
- Burghardt, J., P. Gleason, M. Sinclair, R. Cohen, L. Hulsey, and J. Milliner-Waddell. "Evaluation of the National School Lunch Program Application/Verification Pilot Projects. Volume I: Impacts on Deterrence, Barriers, and Accuracy." *Special Nutrition Program Report Series*, No. CN-04-AV5. Project Officer: Paul Strasberg. U.S. Department of Agriculture, Food and Nutrition Service. Office of Analysis, Nutrition and Evaluation, Alexandria, VA: 2004.
- Burghardt, John, Tim Silva, and Lara Hulsey. "Case Study of National School Lunch Program Verification Outcomes in Large Metropolitan Areas." *Special Nutrition Program Report Series*, No. CN-04-AV3. Project Officer: Paul Strasberg. U.S. Department of Agriculture, Food and Nutrition Service. Office of Analysis, Nutrition and Evaluation, Alexandria, VA: 2004.
- Clark, Melissa A. "Four Essays on the Economics of Education." Unpublished dissertation, Princeton University, Princeton, NJ., 2003.
- Chromy, James R. "Sequential sample selection methods." In *Proceedings of the Survey Research Methods Section, American Statistical Association*, pp 401-406, 1979.
- Dynarski, Mark, A. Rangarajan, and P. Decker, "Forecasting Food Stamp Program Participation and Benefits," Final Report prepared for U.S. Department of Agriculture, Food and Nutrition Service, Office of Analysis, Nutrition and Evaluation. Princeton, NJ: Mathematica Policy Research, Inc., August 1991.
- Gleason, Philip, Tania Tasse, Kenneth Jackson, and Patricia Nemeth. "Direct Certification in the National School Lunch Program—Impacts on Program Access and Integrity." Report No. E-FAN-03-009, Washington, DC: U.S. Department of Agriculture, Economic Research Service, October 2003.

- Kormendi, E. "The Quality of Income Information in Telephone and Face-to-Face Surveys in Telephone Survey Methodology." Edited by Robert M. Groves et al. New York: John Wiley and Sons, 1988.
- Macmillan, Harriet L. "Computer Survey Technology: A Window on Sensitive Issues." *Canadian Medical Association Journal*, vol. 161, no. 9, November 2, 1999, p. 1142.
- Neuberger, Zoe, and Robert Greenstein. "New Analysis Shows Overcertification For Free Or Reduced-Price School Meals Has Been Overstated." Center on Budget and Policy Priorities, July 15, 2003. Available at: [<http://www.cbpp.org/7-15-03wic.htm>] (accessed May 28, 2004).
- Marquis K., J. Moore, and K. Bogen. "Effects of Cognitive Interviewing Approach on Response Quality in a Pretest for SIPP." *Proceedings of the Section on Survey Research Methods, American Statistical Association*, 1993, pp. 318-23.
- Marquis K., J. Moore, and K. Bogen. "An Experiment to Reduce Measurement Error in the SIPP: Preliminary Results." *Proceedings of the Section on Survey Research Methods, American Statistical Association*, 1994, pp. 725-29.
- McDonald, John F. and Robert A. Moffitt. "The Uses of Tobit Analysis." *The Review of Economics and Statistics*, pp. 318-321, 1980.
- Moore, J., K. Bogen, and K. Marquis. "A Cognitive Interviewing Approach for Survey of Income and Program Participation: Development of Procedures and Initial Test Results." *Proceedings of Statistics Canada Symposium 92*, 1993, pp. 31-40.
- Moore, Stinson, and Welniak. "Income Measurement Error in Surveys: A Review." *Journal of Official Statistics*, vol. 16, no. 4, 2000, pp. 331-61.
- Potter, Frank. "The Effect of Weight Trimming on Nonlinear Survey Estimates." *Proceedings of the American Statistical Association, Section on Survey Research Methods*, 1993, pp. 758-763.
- Schochet, P. and K. Needels, "Technical Review of the FNS Forecasting Model," Memorandum submitted to U.S. Department of Agriculture, Food and Nutrition Service. Princeton, NJ: Mathematica Policy Research, Inc., September 25, 2000.
- Singer, E., and R.A. Kulka. "Paying Respondents for Survey Participation." Survey Methodology Program, No. 092. The University of Michigan, Institute for Social Research, Survey Research Center, May 2000. <http://www.isr.umich.edu/src/smp/Electronic%20Copies/92.pdf> (accessed January 13, 2005).
- Sudman, S., and N.M. Bradburn. *Asking Questions*. San Francisco: Jossey-Bass, 1982.
- U.S. Department of Agriculture, Food and Nutrition Service. "Study of Income Verification in the National School Lunch Program, Final Report: Volume I." Washington: January 1990.

U.S. Department of Agriculture, Food and Nutrition Service. "Study of Income Verification in the National School Lunch Program, Final Report: Volume II." Washington, DC: Office of Analysis and Evaluation, 1990.

APPENDIX A

SFA SURVEY AND RELATED FORMS

LETTER TO SUPERINTENDENT OF THE SCHOOL DISTRICT

Michael Ponza, Ph.D
Project Director

609-275-2361

EPS-XXX

Date

<<Name>>, <<Title>>
<<School District>>
<<Address>>
<<City, State Zip>>

Dear <<Name>>:

The U.S. Department of Agriculture (USDA), Food and Nutrition Service (FNS), has contracted with Mathematica Policy Research, Inc. (MPR) to conduct a national study of the National School Lunch Program (NSLP) and School Breakfast Program (SBP). The study will include nationally representative samples of school districts and schools and students within those sampled districts. It will examine access, participation, eligibility, and certification in the NSLP and the SBP. Amounts and sources of erroneous reimbursements due to certification error (administrative errors versus household misreporting) and meal counting and claiming errors will also be examined. Under the 2002 Improper Payments Information Act, all Federal agencies that administer large programs are required to report these findings to the Office of Management and Budget. The study will help USDA better understand the school meal programs and the application and verification processes, why some denied applicant households do not reapply to participate in the programs and the difficulties households experience in fulfilling the requirements of the application and certification process. Findings from this study will enable FNS to meet its Federal reporting requirements and help FNS provide guidance to school districts and schools on how to enhance program administration and target benefits effectively to those who are eligible for free and reduced-price meals.

Your district has been selected to participate in the study. We are in the process of selecting the schools from your district that we would like to participate. (If your district does not participate in Provision 2 or 3, we will select three schools; if it does participate in Provision 2 or 3, we may select up to five schools.) The study requires the collection of data from several sources: school records, school and school district officials responsible for collection, certification, and verification of school meal applications, and student households. For the sampled schools, we would like to select samples of students approved for free or reduced-price meals and denied applicants and conduct interviews with those student's parents or guardians on their experience with the school food program during School Year 2005-2006. The study also includes a telephone interview with the Director of the School Food Authority, about your district's participation in the NSLP and SBP, and visiting sampled schools during a target week once over the school year to observe and collect information on how school meals are counted and claimed for reimbursement from the USDA.

The information collected by the study will be aggregated to form national estimates and are for research purposes only. Results will never be used to identify any individual student or household, school, school food authority, or state, or to alter anyone's current benefit status or the reimbursements paid to school food authorities.

LETTER TO:
FROM: Michael Ponza
DATE:
PAGE: 2

At this time I am writing to you and the school food authority director to provide you with some initial background on the study (see enclosed Study Overview). We will be contacting you in the next few days to discuss your district's participation in the study.

To verify your state's support of the study and to address any questions you have you may contact your state's liaison for this study, the Child Nutrition Director, (<<FILL OF CN DIRECTOR NAME>>). USDA contacts include: (<<FILL REGIONAL OFFICE DIRECTOR CONTACT>>) and Dr. John Endahl (USDA, Office of Analysis, Nutrition, and Evaluation), the FNS project officer, at (703) 305-2122 or by e-mail at John.Endahl@fns.usda.gov.

If you have any questions about the study please contact me at (609) 275-2361 or e-mail me at mponza@mathematica-mpr.com. Thank you in advance for your help and cooperation. We look forward to working with you to conduct this important study.

Sincerely,

Michael Ponza
Project Director

Cc:

<<Name SFA Director>>

Attachments: Study Overview
Study Brochure for Households
USDA/FNS Study Endorsement Letter—State Child Nutrition Agency Director
USDA/FNS Study Endorsement Letter—SFA Director

LETTER TO SCHOOL FOOD AUTHORITY DIRECTOR

Michael Ponza, Ph.D
Project Director

609-275-2361

EPS-XXX

Date

<<Name>>, <<Title>>
<<School District>>
<<Address>>
<<City, State Zip>>

Dear <<Name>>:

The U.S. Department of Agriculture (USDA), Food and Nutrition Service (FNS), has contracted with Mathematica Policy Research, Inc. (MPR) to conduct a national study of the National School Lunch Program (NSLP) and School Breakfast Program (SBP). The study will include nationally representative samples of school districts and schools and students within those sampled districts. It will examine access, participation, eligibility, and certification in the NSLP and the SBP. Amounts and sources of erroneous reimbursements due to certification error (administrative errors versus household misreporting) and meal counting and claiming errors will also be examined. Under the 2002 Improper Payments Information Act, all Federal agencies that administer large programs are required to report these findings to the Office of Management and Budget. The study will help USDA better understand the school meal programs and the application and verification processes, why some denied applicant households do not reapply to participate in the programs and the difficulties households experience in fulfilling the requirements of the application and certification process. Findings from this study will enable FNS to meet its Federal reporting requirements and help FNS provide guidance to school districts and schools on how to enhance program administration and target benefits effectively to those who are eligible for free and reduced-price meals.

Your district has been selected to participate in the study. We are in the process of selecting the schools from your district that we would like to participate. (If your district does not participate in Provision 2 or 3, we will select three schools; if it does participate in Provision 2 or 3, we may select up to five schools.) The study requires the collection of data from several sources: school records, school and school district officials responsible for collection, certification, and verification of school meal applications, and student households. For the sampled schools, we would like to select samples of students approved for free or reduced-price meals and denied applicants and conduct interviews with those student's parents or guardians on their experience with the school food program during School Year 2005-2006. The study also includes a telephone interview with the Director of the School Food Authority, about your district's participation in the NSLP and SBP, and visiting sampled schools during a target week once over the school year to observe and collect information on how school meals are counted and claimed for reimbursement from the USDA.

The information collected by the study will be aggregated to form national estimates and are for research purposes only. Results will never be used to identify any individual student or household, school, school food authority, or state, or to alter anyone's current benefit status or the reimbursements paid to school food authorities.

LETTER TO:
FROM: Michael Ponza
DATE:
PAGE: 2

At this time I am writing to you and the school district superintendent to provide you with some initial background on the study (see enclosed Study Overview). We will be contacting you in the next few days to discuss your district's participation in the study.

To verify your state's support of the study and to address any questions you have you may contact your state's liaison for this study, the Child Nutrition Director, (<<FILL OF CN DIRECTOR NAME>>). USDA contacts include: (<<FILL REGIONAL OFFICE DIRECTOR CONTACT>>) and Dr. John Endahl (USDA, Office of Analysis, Nutrition, and Evaluation), the FNS project officer, at (703) 305-2122 or by e-mail at John.Endahl@fns.usda.gov.

If you have any questions about the study please contact me at (609) 275-2361 or e-mail me at mponza@mathematica-mpr.com. Thank you in advance for your help and cooperation. We look forward to working with you to conduct this important study.

Sincerely,

Michael Ponza
Project Director

Cc:

<<Name of District Superintendent>>

Attachments: Study Overview
Study Brochure for Households
USDA/FNS Study Endorsement Letter—State Child Nutrition Agency Director
USDA/FNS Study Endorsement Letter—SFA Director

The National School Lunch and School Breakfast Programs: Access, Participation, Eligibility, and Certification Study

About the Study

The National School Lunch Program (NSLP) and School Breakfast Program (SBP) play a critical role in America's strategy to ensure that children have access to nutritious meals. These programs, which provide free and reduced-price meals for students from low-income families, must balance competing objectives: (1) ensuring that children and families who receive benefits are eligible; (2) maintaining ease of access for those who are eligible; and (3) keeping the costs and burden of determining eligibility reasonable both for School Food Authorities (SFAs) and for families. Meeting the first objective can sometimes increase administrative costs and make it more difficult for eligible children to participate. Simplifying access or streamlining procedures, however, can sometimes result in more benefits going to people who do not qualify, increasing costs of the program.

The U.S. Department of Agriculture, Food and Nutrition Service, has contracted with Mathematica Policy Research, Inc., to conduct the Access, Participation, Eligibility, and Certification Study. The study will include nationally representative samples of school districts, schools, and students within sampled schools. It is designed to provide information about children's access, participation, eligibility, and certification in the NSLP and SBP to help Congress and the U.S. Department of Agriculture improve the programs and ensure that intended recipients have access to them. The study will look at the application and certification process to identify reasons that some families do not participate, difficulties they experience in applying, and amounts and sources of erroneous reimbursements due to certification errors (administrative error versus household misreporting) and meal counting and claiming errors. The findings will help the Food and Nutrition Service provide guidance to school districts and schools on how to enhance program administration and target benefits effectively.

Participating in the Study

Mathematica is selecting a nationally representative sample of 80 school districts nationwide and about 3 to 6 schools per district. School district offices and schools will be requested to provide us with a minimal amount of data and assistance. During the 2005-2006 school year, SFAs and schools will be asked to:

- **Complete a survey.** Mathematica will interview each SFA food service director by telephone about the district's participation in school nutrition programs. The interview will take place sometime between March and April 2006.
- **Help field interviewers collect data on meal counting and claiming activities.** Mathematica field interviewers will visit each sampled school once to collect information on meal counts for a target week and month. SFAs will be asked to provide information on meal counts submitted by sampled schools and the claims SFAs submit to their state agency for reimbursement. Field staff will also collect data from the school's benefit issuance list and observe a random sample of breakfast and lunch cashier transactions. Field staff will be specially trained to ensure they observe breakfast and lunch transactions without being intrusive to school food service personnel or students.

- **Provide field staff access to lists of meal program applicants.** SFAs and/or schools, as appropriate, will be asked to provide field interviewers with access to applicant information. This information will be used to select representative samples of students certified for free or reduced-price meals and denied applicants. After selecting the samples, Mathematica will send letter to sampled households asking to interview parents on their experience with the school food program during the 2005-2006 school year.
- **Provide access to sampled students' applications and other data.** After the student samples have been selected, SFAs and/or schools will be asked to provide Mathematica with access to applications and other records for sampled students certified for free or reduced-price meals and denied for free and reduced-price meals. In addition, at the end of the school year and with consent from parents, Mathematica will ask SFAs for information on any changes during the school year in certification status or enrollment for sampled students.
- **Provide information on district characteristics.** At the end of SY 2005 - 2006, Mathematica will contact each State Child Nutrition Agency to request the following information for each district in the state: the number of reimbursable lunches and breakfasts claimed, and number of schools and enrolled students by Provision 2 and 3 status. This information will be used to develop models that FNS will use in the future to produce annual estimates of certification errors and amounts of erroneous payments in the NSLP and SBP to meet federal reporting requirements to Congress.

Protecting Confidentiality

All information gathered from school districts, schools, and households is for research purposes only and is strictly confidential to the full extent allowed by law. Your responses will be grouped with those of other participants, and no individual schools, districts, or students will be identified. We will inform parents of the study and our confidentiality procedures, and obtain parental consent for abstracting records data on their child. We are not conducting audits or monitoring visits. Participation in the study will not affect meal reimbursements to participating districts, schools, or households.

Disseminating the Findings

Mathematica will produce a final report on the research findings in summer 2007.

About Mathematica

Mathematica, one of the nation's leading research firms, has over 20 years of experience studying child nutrition programs. The company has offices in Princeton, NJ, Washington, DC, and Cambridge, MA.

For More Information

For more information about the study, please contact:

John Endahl	Office of Analysis, Nutrition, and Evaluation Food and Nutrition Service, U.S. Department of Agriculture John.Endahl@fns.usda.gov (703) 305-2122
-------------	--

Michael Ponza	Study Director Mathematica Policy Research, Inc. mponza@mathematica-mpr.com (609) 275-2361
---------------	--

OMB Approval No.:
Approval Expires:

NATIONAL SCHOOL LUNCH AND SCHOOL BREAKFAST
ACCESS, PARTICIPATION, ELIGIBILITY, AND
CERTIFICATION STUDY

SCHOOL FOOD AUTHORITY DIRECTOR
DISTRICT (SFA) QUESTIONNAIRE

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this collection is XXXX-XXXX. The time required to complete this information collection is estimated to average 20 minutes per response, including the time to review instructions, searching existing data resources, gather the data needed, and complete and review the information collected.

A3.

WHEN SPEAKING TO THE SFA DIRECTOR, SAY:

Hello, my name is INTERVIEWER'S FULL NAME, and I am calling from Mathematica Policy Research on behalf of the U.S. Department of Agriculture's regarding a survey of school districts. We recently sent (you) a letter about the study and a fact form to help you prepare for this call. I would like to talk to you about your school district's participation in the National School Lunch Program and the School Breakfast Program. May we begin the interview now?

CONTINUE..... (GO TO A6).....	1
NOT THE BEST QUALIFIED PERSON TO ANSWER SURVEY. (GET NAME AND TELEPHONE NUMBER OF DESIGNATED RESPONDENT AND RECORD NOTES ON CONTACT SHEET)	2
DID NOT RECEIVE LETTER AND FACT SHEET ... (OFFER TO FAX THEM. OBTAIN FAX NUMBER. ARRANGE CALLBACK TIME)	3
MORE INFO REQUIRED (GO TO A4).....	4
NOT A CONVENIENT TIME..... (SCHEDULE A CALLBACK)	5
REFUSED (RECORD NOTES ON CONTACT SHEET)	r

A4. **ADDITIONAL INFORMATION ON THE EVALUATION:**

This research is being conducted for the Food and Nutrition Service of the U.S. Department of Agriculture. The research topic is access, participation, eligibility, and certification of students in the National School Lunch and Breakfast Programs in a national sample of school districts. In addition, the study will examine how SFAs certify students for free and reduced-price meals, the verification process, and how schools and districts record and account for meals served to students. I would like to begin the interview now.

- BEGIN INTERVIEW(GO TO A6) 1
- NEEDS MORE
INFORMATION(GO TO A5)2
- NOT A GOOD TIME(SCHEDULE
CALLBACK, RECORD
ON CONTACT SHEET) ...3
- REFUSED(DESCRIBE WHY THE
SFA REFUSED ON THE
CONTACT SHEET).....r

A5. **READ ALL OR PART AS APPROPRIATE:**

The superintendent of your school district has agreed to participate in this research project. You can contact (READ SUPERINTENDENT NAME ON CONTACT SHEET) to verify this. (IF NO NAME IS INDICATED, ASK THE RESPONDENT TO CONTACT THE SUPERINTENDENT'S OFFICE). Your state superintendent of schools, the Chief State School Officer, has also endorsed the project.

Also, your state's child nutrition director has agreed to serve as a state-level liaison for you to contact about this study. You can confirm the legitimacy of the study or ask questions about your district's participation in the study by contacting (READ THE STATE'S CHILD NUTRITION DIRECTOR NAME, TITLE, AGENCY AND PHONE NUMBER FROM THE LIST YOU HAVE BEEN SUPPLIED).

The information you provide will be used for research purposes only. It will not be disclosed to the USDA or anyone outside the project team. The information gathered will not be used to evaluate any single district in any way and will only be used in aggregate. Your district was selected in a sample of districts that is representative of the entire nation's school districts and the information you provide will only be reported in that way.

- BEGIN INTERVIEW(GO TO A6) 1
- REFUSED(DESCRIBE WHY THE
SFA REFUSED ON THE
CONTACT SHEET).....r

A6. **INTERVIEWER: WAS THE FACT FORM COMPLETED AND RETURNED?**

YES(GO TO B1)..... 1

NO 0

A7. Did you complete the fact sheet we sent you with the introductory letter?

YES(GO TO A8)..... 1

NO(GO TO A9)..... 0

A8. Most of the answers to my questions should come right off the fact sheet you filled out. Please fax it to me and I will call you back to finish the interview. **GIVE SFA DIRECTOR MPR's FAX NUMBER AND SCHEDULE CALL BACK.**

A9. It would be easier to answer my questions if you have the information on the fact sheet but let me begin and we can always go back and fill in items not readily available later. **CONTINUE TO B1.**

SECTION B: DISTRICT AND STUDENT CHARACTERISTICS

B1a. The first questions are about your SFA and the schools it serves. Does your School Food Authority include public schools only, private schools only, or both public and private schools?

- PUBLIC SCHOOLS ONLY 1
- PRIVATE SCHOOLS ONLY.....2
- BOTH PUBLIC AND PRIVATE SCHOOL 3

B1b. Does your SFA administer the NSLP or SBP for more than one school district or other legal entity?

- YES 1
- NO (GO TO B1d)..... 0

B1c. How many public school districts or legal entities are in your SFA?

|_|_|_| NUMBER OF
DISTRICTS OR
LEGAL ENTITIES
IN SFA

B1d. Is your SFA food service operation under the direction of a food service management company, or does your SFA use a consulting company or independent consultant to help plan or manage food service operations?

- YES-USES FOOD SERVICE
MANAGEMENT COMPANY 1
- YES-USES OTHER TYPE OF
CONSULTING SERVICE 2
- NO 0

B2. What was the first day of the current school year?

PROBE: When did classes begin?

IF FIRST DAY VARIES, SAY: Please give me the most common starting day of school

|_|_| / |_|_| / |0|5|
MONTH DAY YEAR

B3. What is the last day of the current school year?

PROBE: When will classes end?

IF LAST DAY VARIES, SAY: Please give me the most common last day of school.

|_|_| / |_|_| / |0|6|
MONTH DAY YEAR

B3a. Are the first and last days the same for all schools in your SFA?

YES 1
NO 0

B4. What school grades are served by your school food authority or SFA?

CIRCLE ALL
THAT APPLY

Pre-School..... P
Kindergarten..... K
First 1
Second 2
Third 3
Fourth 4
Fifth 5
Sixth 6
Seventh 7
Eighth 8
Ninth 9
Tenth 10
Eleventh 11
Twelfth..... 12
Other (SPECIFY)..... 0

B5a. How many schools are in your SFA as of October 31, 2005?

PROBE: Please include all schools, both public and private.

|_|,|_|_|_| TOTAL SCHOOLS

B5b. How many of the schools are private schools?

|_|_|_| PRIVATE SCHOOLS

B6. The next questions are about student enrollment. We would like you to report in terms of students who have an opportunity to participate in the school meal programs in your SFA. Are you able to report enrollment in terms of those with the opportunity to participate or in terms of total students enrolled?

STUDENTS WITH OPPORTUNITY
TO PARTICIPATE 1
TOTAL STUDENTS ENROLLED 2

B7. (A1) How many schools in your SFA operate either the NSLP only, the SBP only, or both the NSLP and SBP?

|_|,|_|_|_| SCHOOLS WITH NSLP OR SBP

B7a. (A1) On October 31, 2005, how many students were enrolled in the schools in your district that operated the NSLP, SBP, or both?

PROBE: If possible, please report the number of students who have the opportunity to eat school meals. Exclude those children who attend school half day and are not served meals at school.

|_|,|_|_|_|,|_|_|_| TOTAL ENROLLMENT

B8. (A1) Now we want to ask you about the number of elementary schools, middle or junior high schools, and high schools, in your SFA which operate the NSLP only, the SBP only, or both programs. We will also ask the number of students enrolled at each school level in the schools that operate these programs.

How many elementary schools operate the NSLP, the SBP, or both programs in your SFA?

|_|,|_|_|_| ELEMENTARY SCHOOLS

NONE (GO TO B11)..... 0

B9. What are the lowest and highest grade levels for those elementary schools?

PROBE: Please report the most common elementary school grade range.

|__| LOWEST GRADE

|__| HIGHEST GRADE

B10. How many students are enrolled in those elementary schools?

(A1)

|_|,|_|_|_|_|,|_|_|_|_| ELEMENTARY STUDENTS

B11. How many middle or junior high schools operate the NSLP, a SBP, or both programs in your SFA?

(A1)

|_|,|_|_|_|_| MIDDLE OR JUNIOR HIGH SCHOOLS

NONE (GO TO B14).....0

B12. What are the lowest and highest grade levels for those middle or junior high schools?

PROBE: Please report the most common middle school grade range.

|_|_| LOWEST GRADE

|_|_| HIGHEST GRADE

B13. How many students are enrolled in those middle or junior high schools?

(A1)

|_|,|_|_|_|_|,|_|_|_|_| MIDDLE OR JUNIOR HIGH STUDENTS

B14. How many high schools operate the NSLP, the SBP, or both programs in your SFA?

(A1)

|_|,|_|_|_|_| HIGH SCHOOLS

NONE (GO TO B17).....0

B15. What are the lowest and highest grade levels for those high schools?

PROBE: Please report the most common high school grade range.

|_|_| LOWEST GRADE

|_|_| HIGHEST GRADE

B16. How many students are enrolled in those high schools?
(A1)

|_|,|_|_|_|,|_|_|_| HIGH SCHOOL STUDENTS

B17. How many other schools or programs that offer the NSLP, the SBP, or both programs are in your SFA? By other schools or programs we mean preschool programs, kindergarten to 12 schools, programs for exceptional children, or other programs that are not elementary, middle, or high schools but operate the NSLP, SBP, or both.

|_|,|_|_|_| OTHER SCHOOLS

NONE (GO TO B20).....0

NO QUESTION B18 IN THIS VERSION

B19. How many students are enrolled in those schools?
(A1)

|_|,|_|_|_|,|_|_|_| OTHER SCHOOL STUDENTS

B20. The next questions are about the characteristics of (enrolled students/students with access to school meals) in your district(s).
(B1a)

Approximately how many or what percentage of your (enrolled students/students with access to school meals) are of Hispanic or Latino origin?

|_|,|_|_|_|,|_|_|_| NUMBER HISPANICS

OR

|_|_|_| PERCENTAGE HISPANIC

B21. How many are non-Hispanic?
(B1a)

|_|,|_|_|_|,|_|_|_| NUMBER NOT HISPANIC

OR

|_|_|_| PERCENTAGE NOT HISPANIC

B22. Next I am going to ask you about the racial characteristics of your students. Please include Hispanic students in the following categories.
(B1b)

Approximately how many or what percentage of your students are White?

|_|,|_|_|_|,|_|_|_| TOTAL WHITE

OR

|_|_|_| PERCENTAGE WHITE

B23. Approximately how many students are Black or African American?
(B1b)

|_|,|_|_|_|,|_|_|_| TOTAL BLACK
OR AFRICAN
AMERICAN

OR

|_|_|_| PERCENTAGE BLACK

B24. (Approximately) how many are American Indian or Alaskan Natives?
(B1b)

|_|,|_|_|_|,|_|_|_| TOTAL AMERICAN
INDIANS OR
ALASKAN NATIVES

OR

|_|_|_| PERCENTAGE AMERICAN INDIAN

B25. (Approximately) how many students are Asian?
(B1b)

|_|,|_|_|_|,|_|_|_| TOTAL ASIANS

OR

|_|_|_| PERCENTAGE ASIAN

B26. (Approximately) how many are Native Hawaiian or other Pacific Islander?
(B1b)

|_|,|_|_|_|,|_|_|_| TOTAL HAWAIIAN
PACIFIC ISLANDER

OR

|_|_|_| PERCENTAGE HAWAIIAN

B27. (Approximately) how many students are from other racial groups?

(B1b)

|_|,|_|_|_|,|_|_|_| TOTAL OTHER RACES

OR

|_|_|_| PERCENTAGE OTHER RACES

B28. (Approximately) how many or what percentage are male?

(B1c)

|_|,|_|_|_|,|_|_|_| MALE STUDENTS

OR

|_|_|_| PERCENTAGE MALE

B29. (Approximately) how many or what percentage are female?

(B1c)

|_|,|_|_|_|,|_|_|_| FEMALE STUDENTS

OR

|_|_|_| PERCENTAGE FEMALE

B30. Next I want to ask you specific questions about the schools that have been selected to participate in our study. Those schools are: **READ NAMES OF SAMPLED SCHOOLS. IF MORE THAN THREE SCHOOLS, USE SUPPLEMENTARY FORMS.**

LIST NAMES OF SCHOOLS ACROSS TOP OF GRID, THEN ASK QUESTIONS B31 THROUGH B36 FOR EACH SCHOOL.	SCHOOL ONE NAME: _____	SCHOOL TWO NAME: _____	SCHOOL THREE NAME: _____
B31. INTERVIEWER: DO ALL SCHOOLS START AND END ON THE SAME DAYS? DOES B3a EQUAL "YES"?	YES.....(GO TO B34) 1 NO(GO TO B32) 0	YES..... (GO TO B34) 1 NO..... (GO TO B32) 0	YES(GO TO B34) 1 NO(GO TO B32) 0
B32. What was the first day of the current school year for SCHOOL?	_ _ / _ _ / _0_ _5 MONTH DAY YEAR	_ _ / _ _ / _0_ _5 MONTH DAY YEAR	_ _ / _ _ / _0_ _5 MONTH DAY YEAR
B33. When is the last day of the current school year for SCHOOL?	_ _ / _ _ / _0_ _6 MONTH DAY YEAR	_ _ / _ _ / _0_ _6 MONTH DAY YEAR	_ _ / _ _ / _0_ _6 MONTH DAY YEAR
B34. What grades does SCHOOL serve?	PRE-SCHOOL P KINDERGARTEN K FIRST 1 SECOND 2 THIRD 3 FOURTH 4 FIFTH 5 SIXTH 6 SEVENTH 7 EIGHTH 8 NINTH 9 TENTH 10 ELEVENTH 11 TWELFTH 12 OTHER (SPECIFY) 0 _____ _____ _____	PRE-SCHOOL P KINDERGARTEN K FIRST 1 SECOND 2 THIRD 3 FOURTH 4 FIFTH 5 SIXTH 6 SEVENTH 7 EIGHTH 8 NINTH 9 TENTH 10 ELEVENTH 11 TWELFTH 12 OTHER (SPECIFY) 0 _____ _____ _____	PRE-SCHOOL P KINDERGARTEN K FIRST 1 SECOND 2 THIRD 3 FOURTH 4 FIFTH 5 SIXTH 6 SEVENTH 7 EIGHTH 8 NINTH 9 TENTH 10 ELEVENTH 11 TWELFTH 12 OTHER (SPECIFY) 0 _____ _____ _____
B35. What is the total number of students with access to the NSLP only, the SBP only, or both the NSLP and the SBP enrolled in SCHOOL as of October 31, 2005?	_ _ _ , _ _ _ TOTAL ENROLLMENT	_ _ _ , _ _ _ TOTAL ENROLLMENT	_ _ _ , _ _ _ TOTAL ENROLLMENT

SCHOOL FOUR NAME: _____	SCHOOL FIVE NAME: _____	SCHOOL SIX NAME: _____	SCHOOL SEVEN NAME: _____
YES (GO TO B34)..... 1 NO (GO TO B32)..... 0	YES (GO TO B34)..... 1 NO (GO TO B32)..... 0	YES (GO TO B34)..... 1 NO (GO TO B32)..... 0	YES (GO TO B34)..... 1 NO (GO TO B32)..... 0
_____/_____/ _0_ _5_ MONTH DAY YEAR	_____/_____/ _0_ _5_ MONTH DAY YEAR	_____/_____/ _0_ _5_ MONTH DAY YEAR	_____/_____/ _0_ _5_ MONTH DAY YEAR
_____/_____/ _0_ _6_ MONTH DAY YEAR	_____/_____/ _0_ _6_ MONTH DAY YEAR	_____/_____/ _0_ _6_ MONTH DAY YEAR	_____/_____/ _0_ _6_ MONTH DAY YEAR
PRE-SCHOOL P KINDERGARTEN K FIRST 1 SECOND 2 THIRD 3 FOURTH 4 FIFTH 5 SIXTH 6 SEVENTH 7 EIGHTH 8 NINTH 9 TENTH 10 ELEVENTH 11 TWELFTH 12 OTHER (SPECIFY) 0 _____ _____ _____	PRE-SCHOOL P KINDERGARTEN K FIRST 1 SECOND 2 THIRD 3 FOURTH 4 FIFTH 5 SIXTH 6 SEVENTH 7 EIGHTH 8 NINTH 9 TENTH 10 ELEVENTH 11 TWELFTH 12 OTHER (SPECIFY) 0 _____ _____ _____	PRE-SCHOOL P KINDERGARTEN K FIRST 1 SECOND 2 THIRD 3 FOURTH 4 FIFTH 5 SIXTH 6 SEVENTH 7 EIGHTH 8 NINTH 9 TENTH 10 ELEVENTH 11 TWELFTH 12 OTHER (SPECIFY) 0 _____ _____ _____	PRE-SCHOOL P KINDERGARTEN K FIRST 1 SECOND 2 THIRD 3 FOURTH 4 FIFTH 5 SIXTH 6 SEVENTH 7 EIGHTH 8 NINTH 9 TENTH 10 ELEVENTH 11 TWELFTH 12 OTHER (SPECIFY) 0 _____ _____ _____
_____ _____ _____ _____ TOTAL ENROLLMENT	_____ _____ _____ _____ TOTAL ENROLLMENT	_____ _____ _____ _____ TOTAL ENROLLMENT	_____ _____ _____ _____ TOTAL ENROLLMENT

SECTION C: MEAL PROGRAM PARTICIPATION

- C1. The next questions are about participation in the National School Lunch Program and the School Breakfast Program. Most of the questions are about your entire SFA, but for some questions I will ask specifically about the schools in our study. **READ NAMES OF SAMPLED SCHOOLS. IF MORE THAN SEVEN SCHOOLS, USE SUPPLEMENTARY FORMS.**

		SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
DAYS SERVING BREAKFAST OR LUNCH	SFA OR SCHOOL DISTRICT			
C2. Does (your SFA/ SCHOOL) operate the National School Lunch Program or NSLP?	YES(ASK ABOUT EACH SCHOOL)..... 1 NO(GO TO C3) 0	YES..... 1 NO.....0	YES1 NO0	YES..... 1 NO 0
C3. Does (your SFA/ SCHOOL) operate the School Breakfast Program or SBP?	YES(ASK ABOUT EACH SCHOOL)..... 1 NO(GO TO C3a) 0	YES..... 1 NO.....0	YES1 NO0	YES..... 1 NO 0
C3a. INTERVIEWER: DOES THE (SFA/SCHOOL): OPERATE THE NSLP? DOES C2 EQUAL "YES"?	YES(GO TO C4)..... 1 NO(GO TO C5) 0	YES.... (GO TO C4) 1 NO.....(GO TO C5)..... 0	YES(GO TO C4)..... 1 NO(GO TO C5)0	YES.... (GO TO C4) 1 NO(GO TO C5)..... 0
C4. During October 2005, on how many days did the (SFA/ SCHOOL) serve lunch? INTERVIEWER: ASK ABOUT THE ENTIRE SFA THEN ABOUT EACH SAMPLED SCHOOL THAT OPERATES A NSLP.	_ _ DAYS	_ _ DAYS	_ _ DAYS	_ _ DAYS
C5. INTERVIEWER: DOES THE (SFA/SCHOOL) OPERATE THE SBP? DOES C3 EQUAL "YES"?	YES(GO TO C6)..... 1 NO(GO TO C7)..... 0	YES.... (GO TO C6) 1 NO.....(GO TO C7) 0	YES(GO TO C6)..... 1 NO(GO TO C7).....0	YES.... (GO TO C6) 1 NO(GO TO C7)..... 0
C6. During October 2005, on how many days did the (SFA/ SCHOOL) serve breakfast? INTERVIEWER: ASK ABOUT THE ENTIRE SFA THEN ABOUT EACH SAMPLED SCHOOL THAT OPERATES A SBP.	_ _ DAYS	_ _ DAYS	_ _ DAYS	_ _ DAYS

SCHOOL FOUR	SCHOOL FIVE	SCHOOL SIX	SCHOOL SEVEN
_____	_____	_____	_____
YES1	YES1	YES1	YES1
NO0	NO0	NO0	NO0
YES1	YES1	YES1	YES1
NO0	NO0	NO0	NO0
YES (GO TO C4)1	YES (GO TO C4)1	YES (GO TO C4)1	YES (GO TO C4)1
NO (GO TO C5)0	NO (GO TO C5)0	NO (GO TO C5)0	NO (GO TO C5)0
_ _ DAYS	_ _ DAYS	_ _ DAYS	_ _ DAYS
YES (GO TO C6)1	YES (GO TO C6)1	YES (GO TO C6)1	YES (GO TO C6)1
NO (GO TO C7)0	NO (GO TO C7)0	NO (GO TO C7)0	NO (GO TO C7)0
_ _ DAYS	_ _ DAYS	_ _ DAYS	_ _ DAYS

SCHOOLS AND STUDENTS PARTICIPATING IN NSLP	
<p>C7. INTERVIEWER: DOES THE SFA OPERATE BOTH THE NSLP AND SBP? DOES BOTH C2-SFA AND C3-SFA EQUAL "YES"?</p>	<p>YES(GO TO C8) 1 NO(GO TO C10) 0</p>
<p>C8. Do all of the schools in your SFA operate both the NSLP and SBP?</p>	<p>YES(GO TO C16) 1 NO(GO TO C9) 0</p>
<p>C9. How many schools operate both a NSLP and SBP (D1) program?</p> <p>PROBE: These are schools that serve both breakfast and lunch and receive meal reimbursement for both.</p>	<p>____ ____ ____ ____ SCHOOLS OPERATING BOTH NSLP AND SBP</p> <p>NONE(GO TO C10) 0</p>
<p>C9a. How many students are enrolled in the schools that (D1) operate both NSLP and SBP?</p>	<p>____ ____ ____ ____ ____ ____ ____ ____ STUDENTS ENROLLED IN SCHOOLS OPERATING BOTH NSLP AND SBP</p>
<p>C10. INTERVIEWER: DOES THE SFA OPERATE THE NSLP? DOES C2-SFA EQUAL "YES"?</p>	<p>YES(GO TO C11) 1 NO(GO TO C13) 0</p>
<p>C11. How many schools operate only a NSLP? (D2)</p> <p>PROBE: These are schools that only serve lunch and receive meal reimbursements for lunches served.</p>	<p>____ ____ ____ ____ SCHOOLS OPERATING ONLY NSLP</p> <p>NONE(GO TO C13) 0</p>
<p>C12. How many students are enrolled in the schools that (D2) operate only a NSLP?</p>	<p>____ ____ ____ ____ ____ ____ ____ ____ STUDENTS ENROLLED IN SCHOOLS OPERATING ONLY NSLP</p>
<p>C13. DOES THE SFA OPERATE THE SBP? DOES C3-SFA EQUAL "YES"?</p>	<p>YES(GO TO C14) 1 NO(GO TO C16) 0</p>
<p>C14. How many schools operate only a SBP? (D3)</p> <p>PROBE: These are schools that only serve breakfast with no school lunch program and receive meal reimbursements for breakfasts served.</p>	<p>____ ____ ____ ____ SCHOOLS OPERATING ONLY SBP</p> <p>NONE(GO TO C16) 0</p>
<p>C15. How many students are enrolled in the schools that (D3) operate only a SBP?</p>	<p>____ ____ ____ ____ ____ ____ ____ ____ STUDENTS ENROLLED IN SCHOOLS OPERATING ONLY SBP</p>

PARTICIPATION IN PROVISION 2 AND 3	SFA OR SCHOOL DISTRICT
<p>C16. Did any of the schools in your SFA participate in Provision 2 as of October 31, 2005?</p> <p>DEFINITION: Under Provision 2 funding, schools serve meals free to all students and after a base year do not need to track whether students receiving meals are eligible for free or reduced-price meals. Under Provision 2, the reimbursements they receive from USDA are based on the total number of meals they currently serve and the proportion of meals by type served to students in the base year.</p>	<p>YES(GO TO C17) 1</p> <p>NO(GO TO C17) 0</p>
<p>C17. Did any of the schools in your SFA participate in Provision 3 as of October 31, 2005?</p> <p>DEFINITION: Under Provision 3 funding, schools serve meals free to all students and after a base year do not need to track of whether students receiving meals are certified for free or reduced-price meals. Under Provision 3, their reimbursements equal the amounts they received in the base year after adjustments for changes in enrollment and inflation.</p>	<p>YES(GO TO C18) 1</p> <p>NO(GO TO C18) 0</p>
<p>C18. INTERVIEWER: DOES THE SFA HAVE SCHOOLS THAT PARTICIPATE IN PROVISION 2? DOES C16 EQUAL "YES"?</p>	<p>YES(GO TO C19) 1</p> <p>NO(GO TO C36) 0</p>
<p>C19. INTERVIEWER: DOES THE SFA HAVE SCHOOLS THAT OPERATE BOTH THE NSLP AND SBP? IS C8 GREATER THAN "ZERO"?</p>	<p>YES(GO TO C19a) 1</p> <p>NO(GO TO C24) 0</p>
<p>C19a. Do any of the schools which operate both the NSLP and SBP also participate in Provision 2?</p>	<p>YES(GO TO C20) 1</p> <p>NO(GO TO C24) 0</p>
<p>C20. How many of the Provision 2 schools which operate (D1) both the NSLP and SBP are in a base year?</p>	<p style="text-align: center;"> _ _ _ _ </p> <p style="text-align: center;">PROVISION 2 SCHOOLS OPERATING BOTH NSLP AND SBP IN A BASE YEAR</p> <p>NONE(GO TO C22) 0</p>
<p>C21. How many students are enrolled in the Provision 2 (D1) schools which operate both the NSLP and SBP that are in a base year?</p>	<p style="text-align: center;"> _ , _ _ _ _ , _ _ _ _ </p> <p style="text-align: center;">ENROLLMENT IN PROVISION 2 SCHOOLS OPERATING BOTH NSLP AND SBP IN A BASE YEAR</p>
<p>C22. How many of the Provision 2 schools which operate (D2) both the NSLP and SBP are <u>not</u> in a base year?</p>	<p style="text-align: center;"> _ , _ _ _ _ </p> <p style="text-align: center;">PROVISION 2 SCHOOLS OPERATING BOTH NSLP AND SBP NOT IN A BASE YEAR</p> <p>NONE(GO TO C24) 0</p>
<p>C23. How many students are enrolled in the Provision 2 (D2) schools which operate both the NSLP and SBP that are <u>not</u> in a base year?</p>	<p style="text-align: center;"> _ , _ _ _ _ , _ _ _ _ </p> <p style="text-align: center;">ENROLLMENT IN PROVISION 2 SCHOOLS OPERATING BOTH NSLP AND SBP NOT IN A BASE YEAR</p>
<p>C24. INTERVIEWER: DOES THE SFA HAVE SCHOOLS THAT OPERATE ONLY THE NSLP? IS C11 GREATER THAN "ZERO"?</p>	<p>YES(GO TO C25) 1</p> <p>NO(GO TO C30) 0</p>

	SFA OR SCHOOL DISTRICT
C25. Do any of the schools in your SFA which operate only the NSLP also participate in Provision 2?	YES (GO TO C26) 1 NO (GO TO C30) 0
C26. How many of the Provision 2 schools which operate only (D2) the NSLP are in a base year?	_ _ _ _ PROVISION 2 SCHOOLS OPERATING ONLY NSLP IN A BASE YEAR NONE (GO TO C28) 0
C27. How many students are enrolled in the Provision 2 (D3) schools which operate only the NSLP that are in a base year?	_ _ _ _ , _ _ _ _ ENROLLMENT IN PROVISION 2 SCHOOLS OPERATING ONLY NSLP IN A BASE YEAR
C28. How many of the Provision 2 schools which operate only (D4) the NSLP are <u>not</u> in a base year?	_ , _ _ _ _ PROVISION 2 SCHOOLS OPERATING ONLY NSLP NOT IN A BASE YEAR NONE (GO TO C30) 0
C29. How many students are enrolled in the Provision 2 (D4) schools which operate only the NSLP that are <u>not</u> in a base year?	_ , _ _ _ _ , _ _ _ _ ENROLLMENT IN PROVISION 2 SCHOOLS OPERATING ONLY NSLP NOT IN A BASE YEAR
C30. INTERVIEWER: DOES THE SFA HAVE SCHOOLS THAT OPERATE ONLY THE SBP? IS C14 GREATER THAN "ZERO"?	YES (GO TO C31) 1 NO (GO TO C36) 0
C31. Do any of the schools in your SFA which operate only the SBP also participate in Provision 2?	YES (GO TO C32) 1 NO (GO TO C36) 0
C32. How many of the Provision 2 schools which operate only (D5) the SBP are in a base year?	_ _ _ _ PROVISION 2 SCHOOLS OPERATING ONLY SBP IN A BASE YEAR NONE (GO TO C34) 0
C33. How many students are enrolled in Provision 2 schools (D5) which operate only the SBP in a base year?	_ _ _ _ , _ _ _ _ ENROLLMENT IN PROVISION 2 SCHOOLS OPERATING ONLY SBP IN A BASE YEAR
C34. How many of your Provision 2 schools which operate (D5) only the SBP are <u>not</u> in a base year?	_ , _ _ _ _ PROVISION 2 SCHOOLS OPERATING ONLY SBP NOT IN A BASE YEAR NONE (GO TO C36) 0
C35. How many students are enrolled in the Provision 2 (D5) schools which operate only the SBP that are <u>not</u> in a base year?	_ , _ _ _ _ , _ _ _ _ ENROLLMENT IN PROVISION 2 SCHOOLS OPERATING ONLY SBP NOT IN A BASE YEAR

	SFA OR SCHOOL DISTRICT
C36. INTERVIEWER: DOES THE SFA HAVE SCHOOLS THAT PARTICIPATE IN PROVISION 3? DOES C17 EQUAL "YES"?	YES (GO TO C37) 1 NO (GO TO C54) 0
C37. INTERVIEWER: DOES THE SFA HAVE SCHOOLS THAT OPERATE BOTH THE NSLP AND SBP? IS C9 GREATER THAN "ZERO"?	YES (GO TO C37a) 1 NO (GO TO C42) 0
C37a. Do any of the schools which operate both the NSLP and SBP also participate in Provision 3?	YES (GO TO C38) 1 NO (GO TO C42) 0
C38. How many of the Provision 3 schools which operate (D7) both the NSLP and SBP are in a base year?	_ _ _ PROVISION 3 SCHOOLS OPERATING BOTH NSLP AND SBP IN A BASE YEAR NONE (GO TO C40) 0
C39. How many students are enrolled in the Provision 3 (D7) schools which operate both the NSLP and SBP that are in a base year?	_ , _ _ _ , _ _ _ ENROLLMENT IN PROVISION 3 SCHOOLS OPERATING BOTH NSLP AND SBP IN A BASE YEAR
C40. How many of the Provision 3 schools which operate (D8) both the NSLP and SBP are <u>not</u> in a base year?	_ , _ _ _ PROVISION 3 SCHOOLS OPERATING BOTH NSLP AND SBP NOT IN A BASE YEAR NONE (GO TO C42) 0
C41. How many students are enrolled in the Provision 3 (D8) schools which operate both the NSLP and SBP that are <u>not</u> in a base year?	_ , _ _ _ , _ _ _ ENROLLMENT IN PROVISION 3 SCHOOLS OPERATING BOTH NSLP AND SBP NOT IN A BASE YEAR
C42. INTERVIEWER: DOES THE SFA HAVE SCHOOLS THAT OPERATE ONLY THE NSLP? IS C11 GREATER THAN "ZERO"?	YES (GO TO C43) 1 NO (GO TO C48) 0
C43. Do any of the schools in your SFA which operate the NSLP only also participate in Provision 3?	YES (GO TO C44) 1 NO (GO TO C48) 0
C44. How many of the Provision 3 schools which operate (D9) only the NSLP are in a base year?	_ _ _ PROVISION 3 SCHOOLS OPERATING ONLY NSLP IN A BASE YEAR NONE (GO TO C46) 0
C45. How many students are enrolled in the Provision 3 (D9) schools which operate only the NSLP that are in a base year?	_ _ _ , _ _ _ ENROLLMENT IN PROVISION 3 SCHOOLS OPERATING ONLY NSLP IN A BASE YEAR

	SFA OR SCHOOL DISTRICT
C46. How many of the Provision 3 schools which operate only the NSLP are <u>not</u> in a base year? (D10)	_ , _ _ _ _ PROVISION 3 SCHOOLS OPERATING ONLY NSLP NOT IN A BASE YEAR NONE (GO TO C48) 0
C47. How many students are enrolled in the Provision 3 schools which operate only the NSLP that are <u>not</u> in a base year?	_ , _ _ _ _ , _ _ _ _ ENROLLMENT IN PROVISION 3 SCHOOLS OPERATING ONLY NSLP NOT IN A BASE YEAR
C48. INTERVIEWER: DOES THE SFA HAVE SCHOOLS THAT OPERATE ONLY THE SBP? IS C14 GREATER THAN "ZERO"?	YES (GO TO C49) 1 NO (GO TO C54) 0
C49. Do any of the schools in your SFA which operate only the SBP also participate in Provision 3?	YES (GO TO C50) 1 NO (GO TO C54) 0
C50. How many of the Provision 3 schools which operate only the SBP are in a base year? (D11)	_ _ _ _ PROVISION 3 SCHOOLS OPERATING ONLY SBP IN A BASE YEAR NONE (GO TO C52) 0
C51. How many students are enrolled in Provision 3 schools which operate only the SBP in a base year? (D11)	_ _ _ _ , _ _ _ _ ENROLLMENT IN PROVISION 3 SCHOOLS OPERATING ONLY SBP IN A BASE YEAR
C52. How many of the Provision 3 schools which operate only the SBP are <u>not</u> in a base year? (D12)	_ , _ _ _ _ PROVISION 3 SCHOOLS OPERATING ONLY SBP NOT IN A BASE YEAR NONE (GO TO C54) 0
C53. How many students are enrolled in the Provision 3 schools which operate only the SBP that are <u>not</u> in a base year? (D12)	_ , _ _ _ _ , _ _ _ _ ENROLLMENT IN PROVISION 3 SCHOOLS OPERATING ONLY SBP NOT IN A BASE YEAR
C54. What was the base year for your Provision 2 and 3 schools? IF MORE THAN ONE, PROBE: What is the most common base year?	_ _ _ _ BASE YEAR

	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
	_____	_____	_____
	_____	_____	_____
SCHOOL PARTICIPATION IN PROVISION 2 OR 3			
C55. INTERVIEWER: DOES SCHOOL OPERATE A NSLP? DOES C2 EQUAL "YES"?	YES (GO TO C56) 1 NO (GO TO C59) 0	YES (GO TO C56) 1 NO (GO TO C59) 0	YES (GO TO C56) 1 NO (GO TO C59) 0
C56. The next questions are only about the sampled schools. Does SCHOOL use Provision 2 or 3 in its lunch program? INTERVIEWER: ASK C57 THROUGH C62 FOR EACH SCHOOL, THEN GO TO C63.	<u>CIRCLE ONE</u> PROVISION 2 (GO TO C57) 1 PROVISION 3 (GO TO C57) 2 DOES NOT USE (GO TO C59) 0	<u>CIRCLE ONE</u> PROVISION 2 (GO TO C57) 1 PROVISION 3 (GO TO C57) 2 DOES NOT USE (GO TO C59) 0	<u>CIRCLE ONE</u> PROVISION 2 (GO TO C57) 1 PROVISION 3 (GO TO C57) 2 DOES NOT USE (GO TO C59) 0
C57. Is SCHOOL currently in its Provision 2 or 3 base year for its lunch program?	YES (GO TO C59) 1 NO (GO TO C58) 0	YES (GO TO C59) 1 NO (GO TO C58) 0	YES (GO TO C59) 1 NO (GO TO C58) 0
C58. When was SCHOOL's Provision 2 or 3 base year for its lunch program?	_ _ _ _ BASE YEAR	_ _ _ _ BASE YEAR	_ _ _ _ BASE YEAR
C59. INTERVIEWER: DOES SCHOOL PARTICIPATE IN THE SBP? DOES C3 EQUAL "YES"?	YES (GO TO C60) 1 NO (GO TO C55, NEXT SCHOOL) 0	YES (GO TO C60) 1 NO (GO TO C55, NEXT SCHOOL) 0	YES (GO TO C60) 1 NO (GO TO C63) 0
C60. Does SCHOOL use Provision 2 or 3 for its breakfast program?	PROVISION 2 (GO TO C61) 1 PROVISION 3 (GO TO C61) 2 DOES NOT USE (GO TO C55, NEXT SCHOOL) 0	PROVISION 2 (GO TO C61) 1 PROVISION 3 (GO TO C61) 2 DOES NOT USE (GO TO C55, NEXT SCHOOL) 0	PROVISION 2 (GO TO C61) 1 PROVISION 3 (GO TO C61) 2 DOES NOT USE (GO TO C55, NEXT SCHOOL) 0
C61. Is SCHOOL currently in its Provision 2 or 3 base year for its breakfast program?	YES (GO TO C55, NEXT SCHOOL) 1 NO (GO TO C62) 0	YES (GO TO C55, NEXT SCHOOL) .. 1 NO (GO TO C62) 0	YES (GO TO C63) 1 NO (GO TO C62) 0
C62. When was SCHOOL's Provision 2 or 3 base year for its breakfast program?	_ _ _ _ BASE YEAR GO BACK TO C55, NEXT SCHOOL	_ _ _ _ BASE YEAR GO BACK TO C55, NEXT SCHOOL	_ _ _ _ BASE YEAR GO TO C63

SCHOOL FOUR	SCHOOL FIVE	SCHOOL SIX	SCHOOL SEVEN
_____	_____	_____	_____
YES (GO TO C56) 1 NO (GO TO C59) 0	YES (GO TO C56) 1 NO (GO TO C59) 0	YES (GO TO C56) 1 NO (GO TO C59) 0	YES (GO TO C56) 1 NO (GO TO C59) 0
<u>CIRCLE ONE</u>	<u>CIRCLE ONE</u>	<u>CIRCLE ONE</u>	<u>CIRCLE ONE</u>
PROVISION 2 (GO TO C57) 1 PROVISION 3 (GO TO C57) 2 DOES NOT USE (GO TO C59) 0	PROVISION 2 (GO TO C57) 1 PROVISION 3 (GO TO C57) 2 DOES NOT USE (GO TO C59) 0	PROVISION 2 (GO TO C57) 1 PROVISION 3 (GO TO C57) 2 DOES NOT USE (GO TO C59) 0	PROVISION 2 (GO TO C57) 1 PROVISION 3 (GO TO C57) 2 DOES NOT USE (GO TO C59) 0
YES (GO TO C59) 1 NO (GO TO C58) 0	YES (GO TO C59) 1 NO (GO TO C58) 0	YES (GO TO C59) 1 NO (GO TO C58) 0	YES (GO TO C59) 1 NO (GO TO C58) 0
_ _ _ _ BASE YEAR	_ _ _ _ BASE YEAR	_ _ _ _ BASE YEAR	_ _ _ _ BASE YEAR
YES (GO TO C60) 1 NO (GO TO C55, NEXT SCHOOL) 0	YES (GO TO C60) 1 NO (GO TO C55, NEXT SCHOOL) 0	YES (GO TO C60) 1 NO (GO TO C55, NEXT SCHOOL) 0	YES (GO TO C60) 1 NO (GO TO C55, NEXT SCHOOL) 0
PROVISION 2 (GO TO C61) 1 PROVISION 3 (GO TO C61) 2 DOES NOT USE (GO TO C55, NEXT SCHOOL) 0	PROVISION 2 (GO TO C61) 1 PROVISION 3 (GO TO C61) 2 DOES NOT USE (GO TO C55, NEXT SCHOOL) 0	PROVISION 2 (GO TO C61) 1 PROVISION 3 (GO TO C61) 2 DOES NOT USE (GO TO C55, NEXT SCHOOL) 0	PROVISION 2 (GO TO C61) 1 PROVISION 3 (GO TO C61) 2 DOES NOT USE (GO TO C55, NEXT SCHOOL) 0
YES (GO TO C55, NEXT SCHOOL) 1 NO (GO TO C62) 0	YES (GO TO C55, NEXT SCHOOL) ..1 NO (GO TO C62) 0	YES (GO TO C55, NEXT SCHOOL) 1 NO (GO TO C62) 0	YES (GO TO C55, NEXT SCHOOL) ..1 NO (GO TO C62) 0
_ _ _ _ BASE YEAR	_ _ _ _ BASE YEAR	_ _ _ _ BASE YEAR	_ _ _ _ BASE YEAR

	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
<div style="border: 1px solid black; padding: 2px; width: fit-content; margin-bottom: 10px;">STUDENT CERTIFICATION FOR FREE OR REDUCED-PRICE MEALS</div> <p>C63. The next questions (E1) are about student certification for free or reduced-price meals.</p> <p>How many free eligible students were reported on your October report in (your entire SFA/SCHOOL)?</p> <p>PROBE: Approved for free breakfasts or lunches?</p> <p>IF SFA HAS PROVISION 2 OR 3 SCHOOLS, ASK: How many free eligible students were on your October report for (your entire SFA/SCHOOL)?</p>	<p style="text-align: center;"> _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">TOTAL STUDENTS CERTIFIED FOR FREE MEALS</p> <p>NONE(GO TO C66)..... 0</p>	<p style="text-align: center;"> _ _ _ _ , _ _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR FREE MEALS</p>	<p style="text-align: center;"> _ _ _ _ , _ _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR FREE MEALS</p>	<p style="text-align: center;"> _ _ _ _ , _ _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR FREE MEALS</p>
<p>C64. INTERVIEWER: DOES THE (SFA/SAMPLED SCHOOL) PARTICIPATE IN PROVISION 2 OR 3?</p> <p>DOES C16 OR C17 EQUAL "YES" FOR THE SFA?</p> <p>DOES C56 OR C60 EQUAL "2" OR "3" FOR EACH SAMPLED SCHOOL?</p>	<p>YES..... (GO TO C64a) 1</p> <p>NO..... (GO TO C69) 0</p>	<p>YES ... (GO TO C64b) 1</p> <p>NO (GO TO C64, NEXT SCHOOL) 0</p>	<p>YES.....(GO TO C64b)..... 1</p> <p>NO.....(GO TO C64, NEXT SCHOOL).....0</p>	<p>YES ... (GO TO C64b) 1</p> <p>NO (GO TO C64, NEXT ... NO MORE SCHOOLS) 0</p>
<p>C64a. Are any in schools in the SFA that participate in Provision 2 or 3 not in a base year?</p>	<p>YES..... (GO TO C65, 1</p> <p>NO..... (GO TO C66) 0</p>			
<p>C64b. INTERVIEWER: IS SAMPLED SCHOOL IN ITS BASE YEAR? IS C58 OR C62 EQUAL TO 2005?</p>		<p>YES (GO TO C64, SCHOOL 2) 1</p> <p>NO (GO TO C65)..... 0</p>	<p>YES..... (GO TO C64, SCHOOL 3)..... 1</p> <p>NO..... (GO TO C65) 0</p>	<p>YES (GO TO C64b SCHOOL 4 OR 66 IF NO MORE SCHOOLS) 1</p> <p>NO (GO TO C65)..... 0</p>
<p>C65. FOR SFA TOTAL, ASK: How many free eligible students were reported for the Provision 2 and 3 schools which are not operating a base year?</p> <p>FOR EACH SCHOOL ASK: How many free eligible students were reported at SCHOOL?</p>	<p style="text-align: center;"> _ , _ _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center; margin: 10px auto; width: 80%;">GO TO C64, SCHOOL 1</div>	<p style="text-align: center;"> _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center; margin: 10px auto; width: 80%;">GO TO C64, SCHOOL 2</div>	<p style="text-align: center;"> _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center; margin: 10px auto; width: 80%;">GO TO C64, SCHOOL 3</div>	<p style="text-align: center;"> _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center; margin: 10px auto; width: 80%;">GO TO C64, SCHOOL 4, OR C66 IF NO MORE SCHOOLS</div>

SCHOOL FOUR	SCHOOL FIVE	SCHOOL SIX	SCHOOL SEVEN
<p style="text-align: center;"> _ _ _ , _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR FREE MEALS</p>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR FREE MEALS</p>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR FREE MEALS</p>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR FREE MEALS</p>
<p>YES (GO TO C64b).....1</p> <p>NO (GO TO C64, NEXT SCHOOL OR C66 IF NO MORE SCHOOLS).....0</p>	<p>YES.....(GO TO C64b) 1</p> <p>NO(GO TO C64, NEXT SCHOOL OR C66 IF NO MORE SCHOOLS)..... 0</p>	<p>YES (GO TO C64b) 1</p> <p>NO (GO TO C64, NEXT SCHOOL OR C66 IF NO MORE SCHOOLS).....0</p>	<p>YES.....(GO TO C64b)..... 1</p> <p>NO(GO TO C64, NEXT SCHOOL OR C66 IF NO MORE SCHOOLS)..... 0</p>
<p>YES (GO TO C64b, SCHOOL 2)1</p> <p>NO (GO TO C65).....0</p>	<p>YES.....(GO TO C64b, SCHOOL 3)..... 1</p> <p>NO(GO TO C65)..... 0</p>	<p>YES (GO TO C64b, SCHOOL 2)1</p> <p>NO (GO TO C65)0</p>	<p>YES.....(GO TO C64b, SCHOOL 3)..... 1</p> <p>NO(GO TO C65)..... 0</p>
<p style="text-align: center;"> _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C64, SCHOOL 5, OR C66 IF NO MORE SCHOOLS</p> </div>	<p style="text-align: center;"> _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C64, SCHOOL 6, OR C66 IF NO MORE SCHOOLS</p> </div>	<p style="text-align: center;"> _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C64, SCHOOL 7, OR C66 IF NO MORE SCHOOLS</p> </div>	<p style="text-align: center;"> _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C64, SCHOOL 8, OR C66 IF NO MORE SCHOOLS</p> </div>

	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
C66. How many reduced-price eligible students were reported on your October report in (your entire SFA/ SCHOOL)? (E2)	<p> _ , _ </p> <p>TOTAL STUDENTS CERTIFIED FOR REDUCED-PRICE MEALS</p> <p>NONE(GO TO C69)..... 0</p>	<p> _ , _ </p> <p>STUDENTS CERTIFIED FOR REDUCED-PRICE MEALS</p>	<p> _ , _ </p> <p>STUDENTS CERTIFIED FOR REDUCED-PRICE MEALS</p>	<p> _ , _ </p> <p>STUDENTS CERTIFIED FOR REDUCED-PRICE MEALS</p>
C67. INTERVIEWER: DOES THE (SFA/SAMPLED SCHOOL) PARTICIPATE IN PROVISION 2 OR 3? DOES THE C16 OR C17 EQUAL "YES" FOR THE SFA? DOES C56 OR C60 EQUAL "2" OR "3" FOR EACH SAMPLED SCHOOL?	<p>YES(GO TO C67a).. 1</p> <p>NO(GO TO C69).... 0</p>	<p>YES...(GO TO C67b) 1</p> <p>NO.....(GO TO C67, NEXT SCHOOL) ... 0</p>	<p>YES...(GO TO C67b)..... 1</p> <p>NO.....(GO TO C67, NEXT SCHOOL) ... 0</p>	<p>YES... (GO TO C67b) 1</p> <p>NO (GO TO C67, NEXT ... IF NO MORE SCHOOLS) 0</p>
C67a. INTERVIEWER: ARE ANY OF THE SCHOOLS PARTICIPATING IN PROVISION 2 OR 3 NOT IN THEIR BASE YEAR? DOES C64a EQUAL "YES"?	<p>YES(GO TO C68, SFA) 1</p> <p>NO(GO TO C69).... 0</p>			
C67b. INTERVIEWER: IS SAMPLED SCHOOL IN ITS BASE YEAR? IS C58 OR C62 EQUAL TO 2005?		<p>YES..... (GO TO C67, SCHOOL 2).... 1</p> <p>NO..... (GO TO C68) 0</p>	<p>YES..... (GO TO C67, SCHOOL 3).... 1</p> <p>NO..... (GO TO C68) 0</p>	<p>YES.....(GO TO C67, SCHOOL 4, OR C69 IF NO MORE SCHOOLS) 1</p> <p>NO(GO TO C68).... 0</p>
C68. FOR SFA TOTAL, ASK: How many reduced-price eligible students were reported for the Provision 2 and 3 schools which are not operating a base year? FOR EACH SCHOOL ASK: How many reduced-price eligible students were reported at SCHOOL? NOTE: The number is determined by adjusting the number of reduced-price eligibles in the base year for these schools to reflect current enrollment.	<p> _ , _ , _ </p> <p>GO TO C67, SCHOOL 1</p>	<p> _ , _ </p> <p>GO TO C67, SCHOOL 2</p>	<p> _ , _ </p> <p>GO TO C67, SCHOOL 3</p>	<p> _ , _ </p> <p>GO TO C67, SCHOOL 4, OR C69 IF NO MORE SCHOOLS</p>

SCHOOL FOUR	SCHOOL FIVE	SCHOOL SIX	SCHOOL SEVEN
<p style="text-align: center;"> _ _ _ , _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR REDUCED-PRICE MEALS</p>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR REDUCED-PRICE MEALS</p>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR REDUCED-PRICE MEALS</p>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <p style="text-align: center;">STUDENTS CERTIFIED FOR REDUCED-PRICE MEALS</p>
<p>YES...(GO TO C67b)..... 1</p> <p>NO (GO TO C67, NEXT SCHOOL, OR C69 IF NO MORE SCHOOLS)..... 0</p>	<p>YES...(GO TO C67b)..... 1</p> <p>NO (GO TO C67, NEXT SCHOOL, OR C69 IF NO MORE SCHOOLS) 0</p>	<p>YES...(GO TO C67b)..... 1</p> <p>NO (GO TO C67, NEXT SCHOOL, OR C69 IF NO MORE SCHOOLS) 0</p>	<p>YES...(GO TO C67b)..... 1</p> <p>NO (GO TO C67, NEXT SCHOOL, OR C69 IF NO MORE SCHOOLS) 0</p>
<p>YES (GO TO C67b, SCHOOL 5, OR C69 IF NO MORE SCHOOLS) 1</p> <p>NO (GO TO C68) 0</p>	<p>YES (GO TO C67b, SCHOOL 6, OR C69 IF NO MORE SCHOOLS) 1</p> <p>NO (GO TO C68) 0</p>	<p>YES (GO TO C67b, SCHOOL 7, OR C69 IF NO MORE SCHOOLS) 1</p> <p>NO (GO TO C68) 0</p>	<p>YES (GO TO C67b, SCHOOL 8, OR C69 IF NO MORE SCHOOLS) 1</p> <p>NO (GO TO C68) 0</p>
<p style="text-align: center;"> _ _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;"> <p>GO TO C67, SCHOOL 5, OR C69 IF NO MORE SCHOOLS</p> </div>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;"> <p>GO TO C67, SCHOOL 6, OR C69 IF NO MORE SCHOOLS</p> </div>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;"> <p>GO TO C67, SCHOOL 7, OR C69 IF NO MORE SCHOOLS</p> </div>	<p style="text-align: center;"> _ _ _ , _ _ _ </p> <div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;"> <p>GO TO C67, SCHOOL 8, OR C69 IF NO MORE SCHOOLS</p> </div>

	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
C69. INTERVIEWER: DOES THE SFA PARTICIPATE IN THE NSLP? DOES C2 EQUAL "YES"?	YES..... (GO TO C70)1 NO..... (GO TO C76)0			
REIMBURSABLE MEALS SERVED				
C70. (F1) The next questions are about the number of reimbursable meals claimed by your SFA and the sampled schools in October 2005. First, during October 2005, what is the total number of reimbursable school lunches claimed by (your SFA/ SCHOOL)? IF SFA HAS PROVISION 2 OR 3 SCHOOLS SAY: Please include all reimbursable lunches claimed except Provision 3 schools which are not in a base year.	_____ _____ _____ _____ _____ TOTAL REIMBURSABLE LUNCHES CLAIMED NONE (GO TO C76) 0	_____ _____ _____ _____ _____ REIMBURSABLE LUNCHES CLAIMED	_____ _____ _____ _____ _____ REIMBURSABLE LUNCHES CLAIMED	_____ _____ _____ _____ _____ REIMBURSABLE LUNCHES CLAIMED
C71. (F2) How many reimbursable free school lunches were claimed in (your SFA/SCHOOL)? IF SFA HAS PROVISION 2 OR 3 SCHOOLS SAY: Please include all reimbursable free lunches claimed except Provision 3 schools which are not in a base year.	_____ _____ _____ _____ _____ FREE LUNCHES CLAIMED NONE (GO TO C72) 0	_____ _____ _____ _____ _____ FREE LUNCHES CLAIMED	_____ _____ _____ _____ _____ FREE LUNCHES CLAIMED	_____ _____ _____ _____ _____ FREE LUNCHES CLAIMED
C72. (F3) How many reimbursable reduced-price school lunches were claimed in (your SFA/ SCHOOL)? IF SFA HAS PROVISION 2 OR 3 SCHOOLS SAY: Please include all reimbursable reduced-price lunches claimed except Provision 3 schools which are not in a base year.	_____ _____ _____ _____ _____ TOTAL REDUCED-PRICE LUNCHES CLAIMED NONE (GO TO C73) 0	_____ _____ _____ _____ _____ REDUCED-PRICE LUNCHES CLAIMED	_____ _____ _____ _____ _____ REDUCED-PRICE LUNCHES CLAIMED	_____ _____ _____ _____ _____ REDUCED-PRICE LUNCHES CLAIMED

<p style="text-align: center;">SCHOOL FOUR</p> <p>_____</p> <p>_____</p>	<p style="text-align: center;">SCHOOL FIVE</p> <p>_____</p> <p>_____</p>	<p style="text-align: center;">SCHOOL SIX</p> <p>_____</p> <p>_____</p>	<p style="text-align: center;">SCHOOL SEVEN</p> <p>_____</p> <p>_____</p>
<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">REIMBURSABLE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">REIMBURSABLE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">REIMBURSABLE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">REIMBURSABLE LUNCHES CLAIMED</p>
<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">FREE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">FREE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">FREE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">FREE LUNCHES CLAIMED</p>
<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">REDUCED-PRICE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">REDUCED-PRICE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">REDUCED-PRICE LUNCHES CLAIMED</p>	<p style="text-align: center;"> _ _ , _ _ _ , _ _ _ </p> <p style="text-align: center;">REDUCED-PRICE LUNCHES CLAIMED</p>

	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
C73. How many reimbursable full-price school lunches were claimed in (your SFA/SCHOOL)? (F4) IF SFA HAS PROVISION 2 OR 3 SCHOOLS SAY: Please include all reimbursable full-price lunches claimed except at Provision 3 schools which are not in a base year. PROBE: Full price meals are sometimes referred to as "paid" meals.	_____ FULL-PRICE LUNCHES CLAIMED NONE (GO TO C74)..... 0	_____ FULL-PRICE LUNCHES CLAIMED	_____ FULL-PRICE LUNCHES CLAIMED	_____ FULL-PRICE LUNCHES CLAIMED
C74. INTERVIEWER: DOES THE (SFA/SAMPLED SCHOOL) PARTICIPATE IN PROVISION 2 OR 3? DOES C16 OR C17 EQUAL "YES" FOR THE SFA? DOES C56 OR C60 EQUAL "2" OR "3" FOR EACH SAMPLED SCHOOL?	YES..... (GO TO C75)1 NO..... (GO TO C76)0	YES ... (GO TO C74a) 1 NO (GO TO C74, NEXT SCHOOL)0	YES.....(GO TO C74a)1 NO.....(GO TO C74, NEXT SCHOOL).....0	YES ... (GO TO C74a) 1 NO (GO TO C74, NEXT SCHOOL, OR C76 IF NO MORE SCHOOLS) ..0
C74a. INTERVIEWER: IS SAMPLED SCHOOL OPERATING A BASE YEAR FOR LUNCH? DOES C58 EQUAL 2005 FOR SAMPLED SCHOOL?		YES ... (GO TO C74, SCHOOL 2)..... 1 NO (GO TO C75)0	YES.....(GO TO C74, SCHOOL 3)1 NO.....(GO TO C75) 0	YES ... (GO TO C76) 1 SCHOOL 4)..... 1 NO (GO TO C75)0
C75. How many reimbursable lunches were claimed by Provision 3 schools which are not operating a base year in (your SFA/SCHOOL)? (H5)	_____ <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> IF MORE THAN NONE, GO TO C74, SCHOOL 1 </div> NONE (GO TO C76).... 0	_____ <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> GO TO C74, SCHOOL 2 </div>	_____ <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> GO TO C74, SCHOOL 3 </div>	_____ <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> GO TO C74, SCHOOL 4, OR C76 IF NO MORE SCHOOLS </div>
C76. INTERVIEWER: DOES THE SFA PARTICIPATE IN THE SBP? DOES C3 EQUAL "YES"?	YES(GO TO C77)... 1 NO(GO TO C83)... 0			

SCHOOL FOUR	SCHOOL FIVE	SCHOOL SIX	SCHOOL SEVEN
<p>_____ _____ _____</p> <p> _ , _ , _ FULL-PRICE LUNCHES CLAIMED</p>	<p>_____ _____ _____</p> <p> _ , _ , _ FULL-PRICE LUNCHES CLAIMED</p>	<p>_____ _____ _____</p> <p> _ , _ , _ FULL-PRICE LUNCHES CLAIMED</p>	<p>_____ _____ _____</p> <p> _ , _ , _ FULL-PRICE LUNCHES CLAIMED</p>
<p>YES (GO TO C74a) 1 NO (GO TO C74, NEXT SCHOOL, OR C76 IF NO MORE SCHOOLS) 0</p>	<p>YES (GO TO C74a) 1 NO (GO TO C74, NEXT SCHOOL, OR C76 IF NO MORE SCHOOLS) 0</p>	<p>YES (GO TO C74a) 1 NO (GO TO C74, NEXT SCHOOL, OR C76 IF NO MORE SCHOOLS) 0</p>	<p>YES (GO TO C74a) 1 NO (GO TO C74, NEXT SCHOOL, OR C76 IF NO MORE SCHOOLS) 0</p>
<p>YES (GO TO C74, SCHOOL 5) 1 NO (GO TO C75) 0</p>	<p>YES (GO TO C74, SCHOOL 6) 1 NO (GO TO C75) 0</p>	<p>YES (GO TO C74, SCHOOL 7) 1 NO (GO TO C75) 0</p>	<p>YES (GO TO C74, SCHOOL 8) 1 NO (GO TO C75) 0</p>
<p> _ , _ , _ </p> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> <p>GO TO C74, SCHOOL 5, OR C76 IF NO MORE SCHOOLS</p> </div>	<p> _ , _ , _ </p> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> <p>GO TO C74, SCHOOL 6, OR C76 IF NO MORE SCHOOLS</p> </div>	<p> _ , _ , _ </p> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> <p>GO TO C74, SCHOOL 7, OR C76 IF NO MORE SCHOOLS</p> </div>	<p> _ , _ , _ </p> <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> <p>GO TO C74, SCHOOL 8, OR C76 IF NO MORE SCHOOLS</p> </div>

	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
C77. What is the total number of reimbursable breakfasts claimed by (your SFA/SCHOOL) in October 2005? IF SFA HAS PROVISION 2 OR 3 SCHOOLS SAY: Please include all breakfasts except Provision 3 schools which are not operating a base year.	_____ TOTAL REIMBURSABLE BREAKFASTS CLAIMED NONE..... (GO TO C83)0	_____ REIMBURSABLE BREAKFASTS CLAIMED	_____ REIMBURSABLE BREAKFASTS CLAIMED	_____ REIMBURSABLE BREAKFASTS CLAIMED
C78. How many reimbursable free-price breakfasts were claimed in (your SFA/SCHOOL) in October 2005? IF SFA HAS PROVISION 2 OR 3 SCHOOLS SAY: Please include all breakfasts except Provision 3 schools which are not operating a base year.	_____ FREE BREAKFASTS CLAIMED NONE.....(GO TO C79)0	_____ FREE BREAKFASTS CLAIMED	_____ FREE BREAKFASTS CLAIMED	_____ FREE BREAKFASTS CLAIMED
C79. How many reimbursable reduced-price breakfasts were claimed in (your SFA/SCHOOL) in October 2005? IF SFA HAS PROVISION 2 OR 3 SCHOOLS SAY: Please include all breakfasts except Provision 3 schools which are not operating a base year.	_____ REDUCED PRICE BREAKFASTS CLAIMED NONE.....(GO TO C80)0	_____ REDUCED PRICE BREAKFASTS CLAIMED	_____ REDUCED PRICE BREAKFASTS CLAIMED	_____ REDUCED PRICE BREAKFASTS CLAIMED
C80. How many reimbursable full-price breakfasts were claimed in (your SFA/SCHOOL) in October 2005? IF SFA HAS PROVISION 2 OR 3 SCHOOLS SAY: Please include all breakfasts except Provision 3 schools which are not operating a base year.	_____ FULL-PRICE BREAKFASTS CLAIMED NONE.....(GO TO C81)0	_____ FULL-PRICE BREAKFASTS CLAIMED	_____ FULL-PRICE BREAKFASTS CLAIMED	_____ FULL-PRICE BREAKFASTS CLAIMED
C81. INTERVIEWER: DOES THE (SFA/SAMPLED SCHOOL) PARTICIPATE IN PROVISION 2 OR 3?	YES..... (GO TO C82)1 NO..... (GO TO C83)0	YES ... (GO TO C81a) 1 NO (GO TO C81, NEXT SCHOOL) 0	YES....(GO TO C81a) 1 NO.....(GO TO C81, NEXT SCHOOL)..... 0	YES ... (GO TO C81a)..... 1 NO (GO TO C81, NEXT SCHOOL, OR C82 IF NO MORE SCHOOLS) 0

SCHOOL FOUR _____	SCHOOL FIVE _____	SCHOOL SIX _____	SCHOOL SEVEN _____
<p>_____,_____,_____ REIMBURSABLE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ REIMBURSABLE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ REIMBURSABLE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ REIMBURSABLE BREAKFASTS CLAIMED</p>
<p>_____,_____,_____ FREE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ FREE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ FREE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ FREE BREAKFASTS CLAIMED</p>
<p>_____,_____,_____ REDUCED PRICE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ REDUCED PRICE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ REDUCED PRICE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ REDUCED PRICE BREAKFASTS CLAIMED</p>
<p>_____,_____,_____ FULL-PRICE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ FULL-PRICE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ FULL-PRICE BREAKFASTS CLAIMED</p>	<p>_____,_____,_____ FULL-PRICE BREAKFASTS CLAIMED</p>
<p>YES ... (GO TO C81a) 1 NO (GO TO C81, NEXT SCHOOL, OR C82 IF NO MORE</p>	<p>YES....(GO TO C81a).....1 NO(GO TO C81, NEXT SCHOOL, OR C82 IF NO MORE</p>	<p>YES ... (GO TO C81a) 1 NO (GO TO C81, NEXT SCHOOL, OR C82 IF NO MORE</p>	<p>YES....(GO TO C81a).....1 NO(GO TO C81, NEXT SCHOOL, OR C82 IF NO MORE</p>

SCHOOLS).....0	SCHOOLS).....0	SCHOOLS).....0	SCHOOLS).....0	
	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
C81a. INTERVIEWER: IS SAMPLED SCHOOL OPERATING A BASE YEAR FOR BREAKFAST? DOES C62 EQUAL 2005 FOR SAMPLED SCHOOL?		YES ... (GO TO C81, SCHOOL 2)..... 1 NO (GO TO C82) 0	YES(GO TO C81, SCHOOL 3) 1 NO.....(GO TO C82)..... 0	YES ... (GO TO C83, SCHOOL 4 OR 84 IF NO MORE SCHOOLS)..... 1 NO (GO TO C82)..... 0
C82. How many reimbursable breakfasts were claimed at Provision 3 schools which are not operating a base year (15)	_ _ , _ _ , _ _ IF MORE THAN NONE, GO TO C81, SCHOOL 1 NONE..... (GO TO C83)0	_ _ , _ _ , _ _ GO TO C81, SCHOOL 2	_ _ , _ _ , _ _ GO TO C81, SCHOOL 3	_ _ , _ _ , _ _ GO TO C83 SCHOOL 4, OR C84 IF NO MORE SCHOOLS
C83. INTERVIEWER: DOES THE SFA PARTICIPATE IN THE NSLP? DOES C2 EQUAL "YES"?	YES.....(GO TO C83a).....1 NO.....(GO TO C87).....0			
C83a. Does your SFA use a computerized system to process applications and determine free or reduced-price certification status?	YES.....1 NO.....0			
RETENTION OF INDIVIDUAL STUDENT PARTICIPATION INFORMATION				
C84. Does your SFA retain records on NSLP meals consumed by individual students throughout the course of the school year at all of your schools, some of your schools, or none of your schools?	ALL.....(GO TO C86-SFA)1 SOME(GO TO C85 AND ASK ABOUT EACH SCHOOL).....2 NONE.....(GO TO C87).....0			
C85. Does SCHOOL retain records on NSLP meals consumed by individual students throughout the course of the school year?		YES (GO TO C86)..... 1 NO (GO TO C85, NEXT SCHOOL)..... 0	YES..... (GO TO C86) 1 NO..... (GO TO C85, NEXT SCHOOL) 0	YES (GO TO C86)..... 1 NO (GO TO C85, NEXT SCHOOL OR C87 IF NO MORE SCHOOLS)..... 0
C86. How does (your SFA/SCHOOL) retain records of NSLP meals consumed by individual students throughout the course of the school year? PROBE: Electronically or on hard copy?	ELECTRONICALLY1 HARD COPY.....2 OTHER (SPECIFY).....3 GO TO C87	ELECTRONICALLY..... 1 HARD COPY2 OTHER (SPECIFY) 3 GO TO C85, SCHOOL 2	ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY)..... 3 GO TO C85, SCHOOL 3	ELECTRONICALLY 1 HARD COPY2 OTHER (SPECIFY)3 GO TO C85, SCHOOL 4 OR C87 IF NO MORE SCHOOLS

--	--	--	--

SCHOOL FOUR	SCHOOL FIVE	SCHOOL SIX	SCHOOL SEVEN
<p>YES (GO TO C83, SCHOOL 5 OR C84 IF NO MORE SCHOOLS).....1</p> <p>NO (GO TO C82).....0</p>	<p>YES.....(GO TO C83, SCHOOL 6 OR C84 IF NO MORE SCHOOLS) 1</p> <p>NO(GO TO C82) 0</p>	<p>YES (GO TO C83, SCHOOL 7 OR C84 IF NO MORE SCHOOLS).....1</p> <p>NO (GO TO C82) 0</p>	<p>YES.....(GO TO C83, SCHOOL 8 OR C84 IF NO MORE SCHOOLS) 1</p> <p>NO(GO TO C82)..... 0</p>
<p>_____ _____ _____ _____ </p> <div data-bbox="175 516 354 657" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C83 SCHOOL 4, OR C84 IF NO MORE SCHOOLS</p> </div>	<p>_____ _____ _____ _____ </p> <div data-bbox="542 516 721 657" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C83 SCHOOL 4, OR C84 IF NO MORE SCHOOLS</p> </div>	<p>_____ _____ _____ _____ </p> <div data-bbox="907 516 1086 657" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C83 SCHOOL 4, OR C84 IF NO MORE SCHOOLS</p> </div>	<p>_____ _____ _____ _____ </p> <div data-bbox="1273 516 1451 657" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C83 SCHOOL 4, OR C84 IF NO MORE SCHOOLS</p> </div>
<p>YES (GO TO C86)..... 1</p> <p>NO (GO TO C85, NEXT SCHOOL OR C87 IF NO MORE SCHOOLS).....0</p>	<p>YES.....(GO TO C86) 1</p> <p>NO(GO TO C85, NEXT SCHOOL OR C87 IF NO MORE SCHOOLS) 0</p>	<p>YES (GO TO C86) 1</p> <p>NO (GO TO C85, NEXT SCHOOL OR C87 IF NO MORE SCHOOLS).....0</p>	<p>YES.....(GO TO C86)..... 1</p> <p>NO(GO TO C85, NEXT SCHOOL OR C87 IF NO MORE SCHOOLS) 0</p>
<p>ELECTRONICALLY.....1</p> <p>HARD COPY2</p> <p>OTHER (SPECIFY)3</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>ELECTRONICALLY 1</p> <p>HARD COPY2</p> <p>OTHER (SPECIFY)3</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>ELECTRONICALLY1</p> <p>HARD COPY2</p> <p>OTHER (SPECIFY)3</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>ELECTRONICALLY 1</p> <p>HARD COPY2</p> <p>OTHER (SPECIFY).....3</p> <p>_____</p> <p>_____</p> <p>_____</p>
<div data-bbox="126 1776 315 1938" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C85, SCHOOL 5 OR C87 IF NO MORE SCHOOLS</p> </div>	<div data-bbox="493 1776 682 1938" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C85, SCHOOL 6 OR C87 IF NO MORE SCHOOLS</p> </div>	<div data-bbox="883 1776 1071 1938" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C85, SCHOOL 7 OR C87 IF NO MORE SCHOOLS</p> </div>	<div data-bbox="1240 1776 1429 1938" style="border: 1px solid black; padding: 5px; text-align: center;"> <p>GO TO C85, SCHOOL 8 OR C87 IF NO MORE SCHOOLS</p> </div>

	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
C87. INTERVIEWER: DOES THE SFA PARTICIPATE IN THE SBP? DOES C3 EQUAL "YES"?	YES .. (GO TO C88) 1 NO (GO TO D1) 0			
C88. Does your SFA retain records of SBP meals consumed by individual students throughout the course of the school year at all of your schools, some of your schools, or none of your schools?	ALL (GO TO C90-SFA) 1 SOME ... (GO TO C88 AND ASK ABOUT EACH SCHOOL) ... 2 NONE ... (GO TO D1) 0			
C89. Does SCHOOL retain records on SBP meals consumed by individual students throughout the course of the school year?		YES... (GO TO C90) 1 NO..... (GO TO C89 NEXT SCHOOL) ... 0	YES...(GO TO C90).....1 NO.....(GO TO C89 NEXT SCHOOL) ...0	YES... (GO TO C90) 1 NO (GO TO C89, NEXT SCHOOL, OR D1 IF NO MORE SCHOOLS) 0
C90. How does (your SFA/SCHOOL) retain records of SBP meals consumed by individual students throughout the course of the school year? PROBE: Electronically or on hard copy?	ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY) 3 _____ _____ _____ <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">GO TO D1</div>	ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY) 3 _____ _____ _____ <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">GO TO C89, SCHOOL 2</div>	ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY) 3 _____ _____ _____ <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">GO TO C89, SCHOOL 3</div>	ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY) 3 _____ _____ _____ <div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">GO TO C89, SCHOOL 4 OR D1 IF NO MORE SCHOOLS</div>

SCHOOL FOUR	SCHOOL FIVE	SCHOOL SIX	SCHOOL SEVEN
<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>
YES(GO TO C90)..... 1 NO(GO TO C89, NEXT SCHOOL, OR D1 IF NO MORE SCHOOLS)0	YES(GO TO C90)..... 1 NO(GO TO C89, NEXT SCHOOL, OR D1 IF NO MORE SCHOOLS)0	YES(GO TO C90)..... 1 NO(GO TO C89, NEXT SCHOOL, OR D1 IF NO MORE SCHOOLS)0	YES(GO TO C90)..... 1 NO(GO TO C89, NEXT SCHOOL, OR D1 IF NO MORE SCHOOLS)0
ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY) 3 <hr/> <hr/> <hr/>	ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY) 3 <hr/> <hr/> <hr/>	ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY) 3 <hr/> <hr/> <hr/>	ELECTRONICALLY 1 HARD COPY 2 OTHER (SPECIFY) 3 <hr/> <hr/> <hr/>
<div style="border: 1px solid black; padding: 5px; text-align: center;"> GO TO C89, SCHOOL 5 OR D1 IF NO MORE SCHOOLS </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> GO TO C89, SCHOOL 6 OR D1 IF NO MORE SCHOOLS </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> GO TO C89, SCHOOL 7 OR D1 IF NO MORE SCHOOLS </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> GO TO C89, SCHOOL 8 OR D1 IF NO MORE SCHOOLS </div>

SECTION D: DIRECT CERTIFICATION

D1. The next questions are about direct certification, which allows SFAs to certify students as eligible for free meals based on information received from other public assistance programs instead of on the basis of an application submitted by the household.

Does your SFA use direct certification?

PROBE: Direct certification is a method of eligibility determination that does not require families to complete a school meal application form. Instead, school officials use documentation from the agencies which administer the TANF, Food Stamp, or Food Distribution Program on Indian Reservations programs to certify students who are members of TANF, Food Stamp, or FDPIR households for free school meal benefits.

YES 1
NO (GO TO D3) 0

D2. In what year did your district begin using direct certification?

PROBE: Your best estimate is fine.

|_|_|_|_| YEAR (**GO TO D4**)

D3. Did your school district ever use direct certification?

YES (GO TO D11) 1
NO (GO TO D11) 0

SFA OR SCHOOL DISTRICT	
D4. Does your SFA have any students who are directly certified for free meals?	YES(GO TO D5)..... 1 NO(GO TO D12).....0
D5. Students are generally certified by three methods. Which of the following procedures is used by your SFA? Does the State Food Stamp or Education agency send letters to food stamp households with school age children telling them they are eligible for free meals and the household submits the letter to the SFA or school to have children become certified?	YES(GO TO D12)..... 1 NO(GO TO D6).....0
D6. Does the SFA send a list of enrolled students to a state-level agency, and the state agency matches names of students with names of children in food stamp, TANF, or FDPIR households, and sends a list of matches back to the SFA?	YES(GO TO D9)..... 1 NO(GO TO D7).....0
D7. Does a state agency send a list of students in food stamp, TANF, or FDPIR households who live in the SFAs attendance area and the SFA identifies enrolled students who are on the state list?	YES(GO TO D9)..... 1 NO(GO TO D8).....0
D8. How does your SFA directly certify students for free meals?	RECORD RESPONSE VERBATIM: <hr/> <hr/> <hr/> <div style="border: 1px solid black; display: inline-block; padding: 5px; margin: 10px auto;">GO TO D9</div>
D9. Does your SFA send letters to households notifying them that they are eligible for free meals?	YES(GO TO D10)..... 1 NO(GO TO D11).....0

<p>D10. Does the household have to return the letter to the SFA for the child to become certified for free meal benefits?</p>	<p style="text-align: center;">SFA OR SCHOOL DISTRICT</p> <hr/> <p>YES(GO TO D12).....1</p> <p>NO(GO TO D12).....0</p>
<p>D11. How are households notified of their children's free meal eligibility?</p>	<p style="text-align: right;"><u>CIRCLE ONE</u></p> <p>TELEPHONE CALL.....1</p> <p>CHILD IS TOLD ORALLY.....2</p> <p>IN-PERSON MEETING WITH PARENTS3</p> <p>OTHER (SPECIFY)4</p> <p>_____</p> <p>_____</p> <p>_____</p>

STUDENT CERTIFICATION	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
<p>D12. Of the NUMBER FROM C63 free eligible students, how many were directly certified on the basis of food stamps, TANF, or FDPIR?</p> <p>IF NOT "NONE" FOR SFA ASK ABOUT EACH SCHOOL: How many free eligible students from SCHOOL were directly certified?</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS DIRECTLY CERTIFIED</p> <p>NONE(GO TO D13).....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS DIRECTLY CERTIFIED</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS DIRECTLY CERTIFIED</p> <p>NONE 0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS DIRECTLY CERTIFIED</p> <p>NO.....0</p>
<p>D13. Aside from directly certified students, how many of the free eligible students were approved <u>without having to submit an application</u>, such as those approved on the basis of observed need or homeless, runaway, or migrant students?</p> <p>IF NOT "NONE" FOR THE SFA, ASK ABOUT EACH SCHOOL: How many students were approved in this way at SCHOOL?</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BY OBSERVED NEED</p> <p>NONE ..(GO TO D14) ... 0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BY OBSERVED NEED</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BY OBSERVED NEED</p> <p>NONE 0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BY OBSERVED NEED</p> <p>NONE.....0</p>
<p>D14. Of the NUMBER FROM C63 free eligible students, how many were approved through the submission of an application?</p> <p>IF NOT "NONE" FOR SFA ASK ABOUT EACH SCHOOL: How many students from SCHOOL were approved by application?</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS APPROVED BY APPLICATION</p> <p>NONE(GO TO D15).....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS APPROVED BY APPLICATION</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS APPROVED BY APPLICATION</p> <p>NONE 0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS APPROVED BY APPLICATION</p> <p>NONE.....0</p>
<p>D15. Of the number from D14 students approved for free meals based on an application, how many were approved for free meals based on information on household size and income reported on an application in (your SFA/SCHOOL)?</p> <p>IF NOT "NONE", ASK ABOUT EACH</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BASED ON INCOME</p> <p>NONE(GO TO D16).....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BASED ON INCOME</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BASED ON INCOME</p> <p>NONE 0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BASED ON INCOME</p> <p>NONE.....0</p>

SCHOOL.				
---------	--	--	--	--

SCHOOL FOUR _____ _____	SCHOOL FIVE _____ _____	SCHOOL SIX _____ _____	SCHOOL SEVEN _____ _____
<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS DIRECTLY CERTIFIED</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS DIRECTLY CERTIFIED</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS DIRECTLY CERTIFIED</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS DIRECTLY CERTIFIED</p> <p>NONE.....0</p>
<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BY OBSERVED NEED</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BY OBSERVED NEED</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BY OBSERVED NEED</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BY OBSERVED NEED</p> <p>NONE.....0</p>
<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS APPROVED BY APPLICATION</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS APPROVED BY APPLICATION</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS APPROVED BY APPLICATION</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>STUDENTS APPROVED BY APPLICATION</p> <p>NONE.....0</p>
<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BASED ON INCOME</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BASED ON INCOME</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BASED ON INCOME</p> <p>NONE.....0</p>	<p>_____ _____ _____ _____ _____ </p> <p>APPROVED BASED ON INCOME</p> <p>NONE.....0</p>

--	--	--	--

	SFA OR SCHOOL DISTRICT	SCHOOL ONE	SCHOOL TWO	SCHOOL THREE
<p>D16. How many of the number from D14 (H36b) students were approved for free meals based on a food stamp, TANF, or FDPIR case number reported on an application in (your SFA/SCHOOL)?</p> <p>PROBE: This is sometimes referred to as categorical eligibility.</p>	<p>_____,_____ APPROVED BASED ON CATEGORICAL ELIGIBILITY NONE ... (GO TO D17)0</p>	<p>_____,_____ APPROVED BASED ON CATEGORICAL ELIGIBILITY NONE..... 0</p>	<p>_____,_____ APPROVED BASED ON CATEGORICAL ELIGIBILITY NONE..... 0</p>	<p>_____,_____ APPROVED BASED ON CATEGORICAL ELIGIBILITY NONE..... 0</p>
<p>D17. In your SFA, does a household with more than one school-age child submit one application for all its children or must it submit a separate application for each child?</p>	<p>ONE APPLICATION FOR ALL CHILDREN IN HOUSEHOLD (GO TO D18)1 SEPARATE APPLICATION FOR EACH CHILD IN HOUSEHOLD (GO TO D23)2 OTHER (SPECIFY) (GO TO D23)3 _____ _____</p>			

SCHOOL FOUR	SCHOOL FIVE	SCHOOL SIX	SCHOOL SEVEN
<p style="text-align: center;"> _ _ _ _ _ _ _ _ _ </p> <p style="text-align: center;">APPROVED BASED ON CATEGORICAL ELIGIBILITY</p> <p>NONE 0</p>	<p style="text-align: center;"> _ _ _ _ _ _ _ _ _ </p> <p style="text-align: center;">APPROVED BASED ON CATEGORICAL ELIGIBILITY</p> <p>NONE 0</p>	<p style="text-align: center;"> _ _ _ _ _ _ _ _ _ </p> <p style="text-align: center;">APPROVED BASED ON CATEGORICAL ELIGIBILITY</p> <p>NONE 0</p>	<p style="text-align: center;"> _ _ _ _ _ _ _ _ _ </p> <p style="text-align: center;">APPROVED BASED ON CATEGORICAL ELIGIBILITY</p> <p>NONE 0</p>

APPROVED APPLICATIONS

D18. What was the total number of **applications** approved for free or reduced-priced meals received by the end of October 2005 in your SFA?
(1)

|_|_|_|_|,|_|_|_|_| . APPROVED APPLICATIONS RECEIVED

NONE(GO TO D19).....0

D19. What is the total number of applications approved for free meals?
(12)

|_|_|_|_|,|_|_|_|_| . APPLICATIONS APPROVED FOR FREE MEALS

NONE(GO TO D20).....0

D20. What is the number of applications approved for free meals based on income and household size? Those that were income eligible?
(12a)

|_|_|_|_|,|_|_|_|_| . APPLICATIONS BASED ON INCOME

NONE(GO TO D21).....0

D21. What is the total number of applications approved for free meals based on TANF, Food Stamp, or FDPIR case number reported on the application?
(12b)

|_|_|_|_|,|_|_|_|_| . APPLICATION APPROVED BASED ON TANF, FOOD STAMPS, OR FDPIR

NONE(GO TO D22).....0

D22. What is the total number of applications approved for reduced-price meals?
(13)

|_|_|_|_|,|_|_|_|_| . APPLICATIONS APPROVED FOR REDUCED-PRICE MEALS

NONE(GO TO D23).....0

DENIED APPLICATIONS

D23. The next questions are about denied applications.

(J1)

What was the total number of denied and incomplete applications as of October 31, 2005 in your SFA?

PROBE: We mean applications that are not approved for free or reduced-price meal benefits, including complete and incomplete applications.

|_|_|_|_|,|_|_|_|_| DENIED AND INCOMPLETE APPLICATIONS

NONE(GO TO E1) 0

SECTION E: VERIFICATION

E1. Next I would like to ask you about the process where districts verify information for a sample of applications.

When did your SFA begin to verify applications for school year 2005-2006?

|_|_|_| / |_|_|_| / |_|_|_|
MONTH DAY YEAR

E2. When did your SFA complete verification activities on applications for school year 2005-2006?

|_|_|_| / |_|_|_| / |_|_|_|
MONTH DAY YEAR

E3a. Did your district verify a random sample only, a focused or error prone sample only, or did you use a mixture of random and focused or error prone method of selecting applications for verification?
(K1)

- RANDOM ONLY..... (GO TO E4) 1
- FOCUSED OR ERROR PRONE ONLY..... (GO TO E4) 2
- MIXTURE OF RANDOM AND ERROR PRONE..... (GO TO E3b) 3
- ALL APPLICATIONS..... (GO TO E4) 4
- OTHER (Please describe the methods used for selecting the applications to be verified and the number of applications verified) (GO TO E4) 5

GO TO E4

E3b. What percentage of your verification sample was random?

(K1a)

|_|_|_| PERCENTAGE RANDOM

E3c. What percentage of your verification sample was focused or error prone?

(K1a)

|_|_|_| PERCENTAGE FOCUSED OR
ERROR PRONE

RESULTS OF VERIFICATION BY TYPE OF ELIGIBILITY AND TYPE OF CHANGE

<p>This information comes from Items 2 through 7 on the Verification Summary Report submitted to State Child Nutrition Agencies for school year 2005 - 2006.</p>		<p>E4. How many free eligible (applications/students) that were based on Food Stamps, TANF, or FDIPIR applications, had their verification result in TYPE OF CHANGE?</p> <p>PROBE: The categorical eligible.</p>	<p>E5. How many free eligible (applications/students) that were based on income and household size application, had their verification result in TYPE OF CHANGE?</p> <p>PROBE: The income eligible.</p>	<p>E6. How many reduced-price eligible (applications/students) had their verification result in TYPE OF CHANGE?</p>
TYPE OF CHANGE				
A. No change	1. Number of Applications	_ _ _ , _ _ _	_ _ _ , _ _ _	_ _ _ , _ _ _
	2. Number of Students	_ _ _ , _ _ _	_ _ _ , _ _ _	_ _ _ , _ _ _
B. Responded, changed to free	1. Number of Applications			_ _ _ , _ _ _
	2. Number of Students			_ _ _ , _ _ _
C. Responded, changed to reduced-price	1. Number of Applications	_ _ _ , _ _ _	_ _ _ , _ _ _	
	2. Number of Students	_ _ _ , _ _ _	_ _ _ , _ _ _	
D. Responded, changed to paid	1. Number of Applications	_ _ _ , _ _ _	_ _ _ , _ _ _	_ _ _ , _ _ _
	2. Number of Students	_ _ _ , _ _ _	_ _ _ , _ _ _	_ _ _ , _ _ _
E. Did not respond	1. Number of Applications	_ _ _ , _ _ _	_ _ _ , _ _ _	_ _ _ , _ _ _
	2. Number of Students	_ _ _ , _ _ _	_ _ _ , _ _ _	_ _ _ , _ _ _
F. Reapplied and reapproved on or before February 15, 2006	1. Number of Applications	_ _ _ , _ _ _	_ _ _ , _ _ _	_ _ _ , _ _ _
	2. Number of Students	_ _ _ , _ _ _	_ _ _ , _ _ _	_ _ _ , _ _ _
<p>INTERVIEWER: CHECK HERE IF SFA DID NOT KEEP TRACK OF THOSE CASES <input type="checkbox"/></p> <p>If SFA does keep track and none reapplied, enter "0" in the appropriate fields.</p>				

TIME INTERVIEW ENDED: |_|_|_|:|_|_| AM..... 1
 PM..... 2

OMB Approval No.:
Approval Expires:

NATIONAL SCHOOL LUNCH AND SCHOOL BREAKFAST
ACCESS, PARTICIPATION, ELIGIBILITY, AND
CERTIFICATION STUDY

FAX BACK FACT FORM

VERSION FOR SFAS WITHOUT PROVISION 2 OR 3 SCHOOLS

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this collection is XXXX-XXXX. The time required to complete this information collection is estimated to average 90 minutes per response, including the time to review instructions, searching existing data resources, gather the data needed, and complete and review the information collected.

B. ETHNICITY, RACE, AND GENDER OF STUDENTS FOR ENTIRE SFA AS OF OCTOBER 31, 2005

<p>1. Student characteristics of enrolled students with access to either the NSLP only, SBP only, or both the NSLP and SBP</p> <p>Please include Hispanic students in one of the race categories.</p>	<p>a. ETHNICITY</p> <p>HISPANIC</p> <p>_____ _____ _____ </p>	<p>NON-HISPANIC</p> <p>_____ _____ _____ </p>					
	<p>b. RACE</p> <p>WHITE</p> <p>_____ _____ _____ </p>	<p>BLACK OR AFRICAN AMERICAN</p> <p>_____ _____ _____ </p>	<p>INDIAN OR ALASKAN NATIVE</p> <p>_____ _____ _____ </p>	<p>ASIAN</p> <p>_____ _____ _____ </p>	<p>HAWAIIAN OR PACIFIC ISLANDER</p> <p>_____ _____ _____ </p>	<p>OTHER</p> <p>_____ _____ _____ </p>	
	<p>c. GENDER</p> <p>MALE</p> <p>_____ _____ _____ </p>	<p>FEMALE</p> <p>_____ _____ _____ </p>					

C. STUDENT ENROLLMENT IN SAMPLED SCHOOLS AS OF OCTOBER 31, 2005

	<p>SAMPLED SCHOOL ONE:</p> <p>_____</p>	<p>SAMPLED SCHOOL TWO:</p> <p>_____</p>	<p>SAMPLED SCHOOL THREE:</p> <p>_____</p>
<p>1. Number of students enrolled in sampled schools with access to the NSLP only, SBP only, or both the NSLP and the SBP.</p>	<p>_____ _____ _____ </p>	<p>_____ _____ _____ </p>	<p>_____ _____ _____ </p>

D. SCHOOLS AND STUDENTS WITH ACCESS TO NSLP AND SBP BY TYPE OF MEAL PROGRAM FOR ENTIRE SFA AS OF OCTOBER 31, 2005

	<p>TOTAL SCHOOLS</p> <p>_____ _____ </p>	<p>TOTAL STUDENTS ENROLLED</p> <p>_____ _____ _____ _____ _____ </p>
<p>1. Number of schools which operate both NSLP and SBP and number of students enrolled in those schools</p>	<p>_____ _____ </p>	<p>_____ _____ _____ _____ _____ </p>
<p>2. Number of schools which operate the NSLP only and number of students enrolled in those schools</p>	<p>_____ _____ </p>	<p>_____ _____ _____ _____ _____ </p>
<p>3. Number of schools which operate SBP only and number of students enrolled in those schools</p>	<p>_____ _____ </p>	<p>_____ _____ _____ _____ _____ </p>

E. STUDENTS CERTIFIED FOR ENTIRE SFA AND SAMPLED SCHOOLS AS OF OCTOBER 31, 2005

	<p>TOTAL SFA STUDENTS</p> <p>_____ _____ _____ _____ </p>	<p>SAMPLED SCHOOL ONE:</p> <p>_____</p>	<p>SAMPLED SCHOOL TWO:</p> <p>_____</p>	<p>SAMPLED SCHOOL THREE:</p> <p>_____</p>
<p>1. Total number of students certified for free meals</p>	<p>_____ _____ _____ _____ </p>	<p>_____ _____ _____ </p>	<p>_____ _____ _____ </p>	<p>_____ _____ _____ </p>
<p>2. Total number of students certified for reduced-price meals</p>	<p>_____ _____ _____ _____ </p>	<p>_____ _____ _____ </p>	<p>_____ _____ _____ </p>	<p>_____ _____ _____ </p>

F. LUNCHES CLAIMED FOR REIMBURSEMENT IN OCTOBER 2005 BY TYPE OF REIMBURSEMENT FOR ENTIRE SFA AND SAMPLED SCHOOLS

	TOTAL FOR SFA	SAMPLED SCHOOL ONE:	SAMPLED SCHOOL TWO:	SAMPLED SCHOOL THREE:
1. Total number of school lunches claimed for reimbursement in October 2005	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____
2. Number of free lunches claimed for reimbursement in October 2005	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____
3. Number of reduced-price lunches claimed for reimbursement in October 2005	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____
4. Number of full-price lunches claimed for reimbursement in October 2005	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____

G. BREAKFASTS CLAIMED FOR REIMBURSEMENT DURING OCTOBER 2005 BY TYPE OF REIMBURSEMENT FOR ENTIRE SFA AND SAMPLED SCHOOLS, (IF NO SBP, SKIP TO SECTION H)

	TOTAL FOR SFA	SAMPLED SCHOOL ONE:	SAMPLED SCHOOL TWO:	SAMPLED SCHOOL THREE:
1. Total number of school breakfasts claimed for reimbursement in October 2005	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _
2. Number of free breakfasts claimed for reimbursement in October 2005	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _
3. Number of reduced-price breakfasts claimed for reimbursement in October 2005	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _
4. Number of full-price breakfasts claimed for reimbursement in October 2005	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _	_ _ , _ _ _ , _ _ _

H. STUDENTS CERTIFIED FOR FREE MEALS BY TYPE OF CERTIFICATION FOR ENTIRE SFA AND SAMPLED SCHOOLS AS OF OCTOBER 31, 2005

NUMBER OF STUDENTS	SFA	SAMPLED SCHOOL ONE:	SAMPLED SCHOOL TWO:	SAMPLED SCHOOL THREE:
1. Number of students approved for free meals who were directly certified by food stamps, TANF, or FDIPIR	_ , _ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
2. Aside from directly certified students, the number of free eligible students approved <u>without having to submit an application</u> , such as those approved on the basis of observed need or homeless, runaway, or migrant students	_ , _ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
3. Number of free eligible students approved through submission of an application	_ , _ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
3a. Number of free eligible students who submitted an application and were approved based on household income and size	_ , _ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
3b. Number of free eligible students who submitted an application and were approved based on TANF, food stamp, or FDIPIR case number	_ , _ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _

I. NUMBER OF APPLICATIONS APPROVED BY TYPE FOR THE ENTIRE SFA AND SAMPLED SCHOOLS AS OF OCTOBER 31, 2005

	TOTAL NUMBER OF APPLICATIONS
1. Total number of applications approved for free or reduced-price meals	_ , _ _ _ , _ _ _
2. Total number of applications approved for free meals	_ , _ _ _ , _ _ _
2a. Number of applications approved for free meals based on TANF, food stamp, or FDPIR case number	_ , _ _ _ , _ _ _
2b. Number of applications approved for free meals based on income and household size (income eligibility)	_ , _ _ _ , _ _ _
3. Total number of applications approved for reduced-price meals	_ , _ _ _ , _ _ _

J. NUMBER OF DENIED AND INCOMPLETE APPLICATIONS AS OF OCTOBER 31, 2005

1. Number of denied and incomplete applications	_ _ _ , _ _ _
--	----------------

K. RESULTS OF VERIFICATION BY APPLICATION TYPE FOR 2005-2006 SCHOOL YEAR

1. Check the type of verification used:

Random only

Focused/error prone only

Mixture of random and focused/error prone

All applications

1a. For those using a mixture of random and focused/error prone verification, record:

 |_|_|_|_| PERCENTAGE RANDOM

 |_|_|_|_| PERCENTAGE FOCUSED/
 ERROR PRONE

Fill in Items 2 through 7 from the information on the Verification Summary Report submitted to your State Child Nutrition Agency for school year 2005-2006		A. FREE ELIGIBLE based on Food Stamps, TANF, or FDPIR application (Categorical Eligible)	B. FREE ELIGIBLE based on income and household size application (Income Eligible)	C. REDUCED-PRICE ELIGIBLE
2. No change	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
3. Responded, changed to free	a. Number of Applications			_ _ _ _ , _ _ _ _
	b. Number of Students			_ _ _ _ , _ _ _ _
4. Responded, changed to reduced-price	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	
5. Responded, changed to paid	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
6. Did not respond	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
7. Reapplied and reapproved on or before February 15, 2006	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
Check this box if your SFA does not keep track of this information..... <input type="checkbox"/>				
Enter "0" in column A, B, or C if you keep track but none reapplied				

OMB Approval No.:
Approval Expires:

NATIONAL SCHOOL LUNCH AND SCHOOL BREAKFAST
ACCESS, PARTICIPATION, ELIGIBILITY, AND
CERTIFICATION STUDY

FAX BACK FACT FORM

VERSION FOR SFA'S WITH PROVISION 2 OR 3 SCHOOLS

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this collection is XXXX-XXXX. The time required to complete this information collection is estimated to average 90 minutes per response, including the time to review instructions, searching existing data resources, gather the data needed, and complete and review the information collected.

SFA ID: | | | | | | | | | | | | | | | |

SFA NAME: | | | | | | | | | | | | | | | |

OMB Approval No.: Approval Expires:
--

NATIONAL SCHOOL LUNCH AND SCHOOL BREAKFAST
 ACCESS, PARTICIPATION, ELIGIBILITY, AND
 CERTIFICATION STUDY

FAX BACK FACT FORM

VERSION FOR SFA'S WITH PROVISION 2 OR 3 SCHOOLS

Please calculate and record counts of schools and students in terms of schools participating in the NSLP and/or SBP and students with access to the NSLP and SBP. If it is not possible to do this for students, please record the total students enrolled. Please indicate whether you are reporting the:

1. Number of students with access to the NSLP or SBP
2. Total students enrolled.....

Please report the number of schools, students, meals served, and applications AS OF OCTOBER 31, 2005 or for the period which you reported to the State Child Education or Nutrition Agency.

Please fax the completed form to John Homrighausen at (609) 799-0005 or mail to P.O. Box 2393, Princeton, NJ 08540. Keep a copy of this form for reference when you are called to complete the telephone interview.

NOTE: If a given data item is not readily available, please do a hand count, as long as this does not require an unreasonable amount of work. If a hand count is not possible, your best estimate would be fine.

A. NUMBER OF SCHOOLS AND STUDENTS IN SFA AS OF OCTOBER 31, 2005: SFA TOTAL AND BY SCHOOL TYPE

	SFA TOTAL	ELEMENTARY SCHOOLS	MIDDLE OR JUNIOR HIGH	HIGH SCHOOLS	OTHER PROGRAMS
1. Number of schools operating either the NSLP only, the SBP only, or both the NSLP and the SBP	_ , _ _ _ SCHOOLS	_ , _ _ _ SCHOOLS	_ , _ _ _ SCHOOLS	_ , _ _ _ SCHOOLS	_ , _ _ _ SCHOOLS
2. Number of enrolled students with access to either the NSLP only, the SBP only, or both the NSLP and the SBP	_ , _ _ _ , _ _ _ STUDENTS	_ , _ _ _ , _ _ _ STUDENTS	_ , _ _ _ , _ _ _ STUDENTS	_ , _ _ _ , _ _ _ STUDENTS	_ , _ _ _ , _ _ _ STUDENTS

B. ETHNICITY, RACE, AND GENDER OF STUDENTS FOR ENTIRE SFA AS OF OCTOBER 31, 2005

<p>1. Characteristics of enrolled students with access to the NSLP only, SBP only, or both the NSLP and SBP</p> <p>Please include Hispanic students in one of the race categories.</p>	<p>a. ETHNICITY</p> <p>HISPANIC</p> <p>_____,____</p>	<p>NON-HISPANIC</p> <p>_____,____</p>				
	<p>b. RACE</p> <p>WHITE</p> <p>_____,____</p>	<p>BLACK OR AFRICAN AMERICAN</p> <p>_____,____</p>	<p>INDIAN OR ALASKAN NATIVE</p> <p>_____,____</p>	<p>ASIAN</p> <p>_____,____</p>	<p>HAWAIIAN OR PACIFIC ISLANDER</p> <p>_____,____</p>	<p>OTHER</p> <p>_____,____</p>
	<p>c. GENDER</p> <p>MALE</p> <p>_____,____</p>	<p>FEMALE</p> <p>_____,____</p>				

C. SCHOOLS AND STUDENTS WITH ACCESS TO NSLP AND SBP BY TYPE OF MEAL PROGRAM FOR ENTIRE SFA AS OF OCTOBER 31, 2005

	TOTAL SCHOOLS	TOTAL STUDENTS ENROLLED
1. Number of schools which operate both NSLP and SBP and number of students enrolled in those schools	____	____,____,____
2. Number of schools which operate the NSLP only and number of students enrolled in those schools	____	____,____,____
3. Number of schools which operate SBP only and number of students enrolled in those schools	____	____,____,____

D. PROVISION 2 OR 3 SCHOOLS AND ENROLLED STUDENTS FOR ENTIRE SFA AS OF OCTOBER 31, 2005: Under Provision 2 or 3 special assistance, schools serve meals free to all students and after a base year do not take applications or need to track whether students receiving meals are eligible for free or reduced-price meals. Under Provision 2, the reimbursements they receive from USDA are based on the total number of meals they currently serve and the proportion of meals by type served to students in the base year. Under Provision 3, their reimbursements are the same as they were in the base year after adjustments for changes in enrollment and inflation.

	PROVISION 2 OR 3 SCHOOLS ONLY	
	SCHOOLS	STUDENTS
1. Number of schools which use Provision 2 in both NSLP and SBP which are in a base year , and number of students enrolled in these schools.	□□□□	□□,□□□□,□□□□
2. Number of schools which use Provision 2 in both NSLP and SBP which are in a non-base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
3. Number of schools which use Provision 2 in the NSLP only and are in a base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
4. Number of schools which use Provision 2 in NSLP only which are in a non-base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
5. Number of schools which use Provision 2 in SBP only which are in a base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
6. Number of schools which use Provision 2 in SBP only which are in a non-base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
7. Number of schools which use Provision 3 in both NSLP and SBP which are in a base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
8. Number of schools which use Provision 3 in both NSLP and SBP which are in a non-base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
9. Number of schools which use Provision 3 in the NSLP only which are in a base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
10. Number of schools which use Provision 3 in NSLP only which are in a non-base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
11. Number of schools which use Provision 3 in SBP only which are in a base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□
12. Number of schools which use Provision 3 in SBP only which are in a non-base year , and number of students enrolled in those schools.	□□□□	□□,□□□□,□□□□

E. STUDENT ENROLLMENT IN SAMPLED SCHOOLS AS OF OCTOBER 31, 2005

	SAMPLED SCHOOL ONE:	SAMPLED SCHOOL TWO:	SAMPLED SCHOOL THREE:	SAMPLED SCHOOL FOUR:	SAMPLED SCHOOL FIVE:
1. Number of students enrolled in sampled schools with access to the NSLP only, the SBP only, or both the NSLP and the SBP.	_____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____

F. PROVISION 2 AND 3 PARTICIPATION IN SAMPLED SCHOOLS.

	SAMPLED SCHOOL ONE:	SAMPLED SCHOOL TWO:	SAMPLED SCHOOL THREE:	SAMPLED SCHOOL FOUR:	SAMPLED SCHOOL FIVE:
1. Record whether each sampled school uses Provision 2 or 3 in its lunch program .	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0
2. Enter each sampled school's Provision 2 or 3 base year for its lunch program .	_____ _____ _____ _____ _____ BASE YEAR	_____ _____ _____ _____ _____ BASE YEAR	_____ _____ _____ _____ _____ BASE YEAR	_____ _____ _____ _____ _____ BASE YEAR	_____ _____ _____ _____ _____ BASE YEAR
3. Record whether each sampled school uses Provision 2 or 3 for its breakfast program .	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0	<u>CIRCLE ONE</u> PROVISION 2 1 PROVISION 3 2 DOES NOT USE 0
4. Enter each sampled school's Provision 2 or 3 base year for its breakfast program .	_____ _____ _____ _____ _____ BASE YEAR	_____ _____ _____ _____ _____ BASE YEAR	_____ _____ _____ _____ _____ BASE YEAR	_____ _____ _____ _____ _____ BASE YEAR	_____ _____ _____ _____ _____ BASE YEAR

H. LUNCHESES CLAIMED FOR REIMBURSEMENT IN OCTOBER 2005 BY TYPE OF REIMBURSEMENT FOR THE ENTIRE SFA AND SAMPLED SCHOOLS

INSTRUCTIONS: In Items #1 through #4, include all lunches EXCEPT those served at Provision 3 schools which are in a non-base year. Enter information on lunches served at Provision 3 schools that are not operating a base year in Item #5.

	TOTAL FOR SFA	SAMPLED SCHOOL ONE:	SAMPLED SCHOOL TWO:	SAMPLED SCHOOL THREE:	SAMPLED SCHOOL FOUR:	SAMPLED SCHOOL FIVE:
1. Total number of school lunches claimed for reimbursement in October 2005	_____	_____	_____	_____	_____	_____
2. Number of free lunches claimed for reimbursement in October 2005	_____	_____	_____	_____	_____	_____
3. Number of reduced-price lunches claimed for reimbursement in October 2005	_____	_____	_____	_____	_____	_____
4. Number of full-price lunches claimed for reimbursement in October 2005	_____	_____	_____	_____	_____	_____
5. Number of lunches claimed for reimbursement by Provision 3 schools which are not operating a base year in October 2005	_____	_____	_____	_____	_____	_____

I. BREAKFASTS CLAIMED FOR REIMBURSEMENT DURING OCTOBER 2005 FOR THE ENTIRE SFA AND FOR SAMPLED SCHOOLS (IF NO SBP, SKIP TO SECTION J)

INSTRUCTIONS: In Items #1 through #4, include all breakfasts EXCEPT those served at Provision 3 schools which are in a non-base year. Enter information on breakfasts served at Provision 3 schools that are not operating a base year in Item #5.

	TOTAL FOR SFA	SAMPLED SCHOOL ONE:	SAMPLED SCHOOL TWO:	SAMPLED SCHOOL THREE:	SAMPLED SCHOOL FOUR:	SAMPLED SCHOOL FIVE:
1. Total number of school breakfasts claimed for reimbursement in October 2005	_____	_____	_____	_____	_____	_____
2. Number of free breakfasts claimed for reimbursement in October 2005	_____	_____	_____	_____	_____	_____
3. Number of reduced-price breakfasts claimed for reimbursement in October 2005	_____	_____	_____	_____	_____	_____
4. Number of full-price breakfasts claimed for reimbursement in October 2005	_____	_____	_____	_____	_____	_____
5. Number of breakfasts claimed for reimbursement at Provision 3 schools which are not operating a base year in October 2005	_____	_____	_____	_____	_____	_____

J. STUDENTS CERTIFIED FOR FREE MEALS BY TYPE OF CERTIFICATION FOR ENTIRE SFA AND FOR SAMPLED SCHOOLS AS OF OCTOBER 31, 2005

	SFA	SAMPLED SCHOOL ONE:	SAMPLED SCHOOL TWO:	SAMPLED SCHOOL THREE:	SAMPLED SCHOOL FOUR:	SAMPLED SCHOOL FIVE:
1. Number of students approved for free meals who were directly certified by food stamps, TANF, or FDPIR	_____	_____	_____	_____	_____	_____
2. Aside from directly certified students, the number of free eligibles approved <u>without having to submit an application</u> , such as those approved on the basis of observed need or homeless, runaway, or migrant students	_____	_____	_____	_____	_____	_____
3. Number of free eligibles approved through submission of an application	_____	_____	_____	_____	_____	_____
3a. Number of free eligibles who submitted an application and were approved based on household income and size	_____	_____	_____	_____	_____	_____
3b. Number of free eligibles who submitted an application and were approved based on food stamp, TANF, or FDPIR case number	_____	_____	_____	_____	_____	_____

K. NUMBER OF APPLICATIONS APPROVED BY TYPE FOR THE ENTIRE SFA AS OF OCTOBER 31, 2005

	TOTAL NUMBER OF APPLICATIONS
1. Total number of applications approved for free or reduced-price meals	_ , _ _ _ , _ _ _
2. Total number of applications approved for free meals	_ , _ _ _ , _ _ _
2a. Number of applications approved for free meals based on income and household size (income eligibility)	_ , _ _ _ , _ _ _
2b. Number of applications approved for free meals based on food stamp, TANF, or FDPIR case number	_ , _ _ _ , _ _ _
3. Total number of applications approved for reduced-price meals	_ , _ _ _ , _ _ _

L. NUMBER OF DENIED AND INCOMPLETE APPLICATIONS AS OF OCTOBER 31, 2005

1. Number of denied and incomplete applications	_ _ _ , _ _ _
--	----------------

M. RESULTS OF VERIFICATION BY APPLICATION TYPE FOR 2005-2006 SCHOOL YEAR

1. Check the type of verification used:

Random only

Focused/error prone only

Mixture of random and focused/error prone

All applications

1a. For those using a mixture of random and focused/error prone verification, record:

 |_|_|_|_| PERCENTAGE RANDOM

 |_|_|_|_| PERCENTAGE FOCUSED/
 ERROR PRONE

Fill in Items 2 through 7 from the information on the Verification Summary Report submitted to your State Child Nutrition Agency for school year 2005-2006		A. FREE ELIGIBLE based on Food Stamps, TANF, or FDPIR application (Categorical Eligible)	B. FREE ELIGIBLE based on income and household size application (Income Eligible)	C. REDUCED-PRICE ELIGIBLE
2. No change	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
3. Responded, changed to free	a. Number of Applications			_ _ _ _ , _ _ _ _
	b. Number of Students			_ _ _ _ , _ _ _ _
4. Responded, changed to reduced-price	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	
5. Responded, changed to paid	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
6. Did not respond	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
7. Reapplied and reapproved on or before February 15, 2006	a. Number of Applications	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
	b. Number of Students	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _	_ _ _ _ , _ _ _ _
Check this box if your SFA does not keep track of this information..... <input type="checkbox"/>				
Enter "0" in column A, B, or C if you keep track but none reapplied				