

**Special Nutrition Program Operations Study
(SNPOS)**

**Statement for Paperwork Reduction Act
Submission**

Part A: Justification

**Part B: Collection of Information Employing
Statistical Methods**

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**Office of Nutrition Analysis
Food and Nutrition Service
United States Department of
Agriculture**

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INTRODUCTION

The objective of the Special Nutrition Program Operations Study (SNPOS) is to collect timely data on policies, administrative, and operational issues on the Child Nutrition Programs. The ultimate goal of the study is to analyze these data and provide input for new legislation on Child Nutrition Programs as well as to provide pertinent technical assistance and training to program implementation staff. SNPOS will help the Food and Nutrition Service (FNS) better understand and address current policy issues related to Special Nutrition Program (SNP) operations. The policy and operational issues include, but are not limited to, the preparation of the program budget, development and implementation of program policy and regulations, and identification of areas for technical assistance and training. Specifically, this study will help FNS obtain:

- General descriptive data on the Child Nutrition (CN) program characteristics to help FNS respond to questions about the SNPs in schools;
- Data related to program administration for designing and revising program regulations, managing resources, and reporting requirements; and
- Data related to program operations to help FNS develop and provide training and technical assistance for School Food Authorities (SFAs) and State Agencies responsible for administering the CN program.

The study includes data collection activities during a base year and two option years. During the Base Year, surveys will be conducted with all State Agency Child Nutrition Directors and a sample of SFA Directors. If exercised, Option Years 2 and 3 will include follow-up surveys with SFA Directors and State Agency Child Nutrition Directors that participated in the Base Year. The surveys will be designed to provide a cross-sectional “snapshot” of CN program characteristics as well as longitudinal estimates of year-to-year changes in operations. Specific issues to be addressed by each survey will be determined in consultation with FNS staff based on their current policy needs.

In addition to the follow-up surveys with SFA Directors and State Child Nutrition Directors, Option Years 2 and 3 may expand data collection to include two new activities: (1) on-site data collection at a sample of 125 SFAs and (2) a survey of elementary, middle, and high schools [\[schools or students? Pg. 2 references students.\]](#) nested within the SFAs that participated in the Base Year. On-site data collection may include: observation of school meals; observation of competitive food availability; interviews or focus groups with principals, kitchen staff, parents or students;

or review of financial records with school food service staff and/or business managers. The school survey will be used to gather information about how schools implement the SBP [\[define this\]](#) and NSLP [\[define this\]](#) that is not easily ascertainable from State Agencies or SFAs.

PART A: JUSTIFICATION

A.1 Circumstances That Make the Collection of Information

Necessary (need to identify what legislation authorizes this data collection)

a. The Study

This study involves the development of an on-going modular data collection system for collection of data on policy and operational issues related to the Child Nutrition (CN) program operations. Such a data collection system will allow FNS to collect cross-sectional and longitudinal data (using selected modules or varying modules at different time points) and enable FNS to respond more quickly and effectively to requests for policy-relevant analyses. In addition, the grouping of related topics and recurring nature of the survey will reduce FNS's information collection costs, lessen respondent burden, and reduce the data collection period. Specifically, this study will provide up-to-date information about the nature of current CN program implementation, administration, and operation, to better inform future policy development.

The policy and operational issues covered in the survey will include the preparation of the program budget, development and implementation of program policy and regulations, and identification of areas for provision of technical assistance and training. The data will be collected from a nationally representative sample of directors of School Food Authorities (SFAs) and a census of the State Agency Child Nutrition Directors during School Year (SY) 2010-2011. The study includes data collection activities during a base year and two additional option years. For the option Years 2 and 3, two new data collection activities may encompass (1) an on-site component involving observational studies and in-depth interviews or focus groups and a review of financial records; and (2) a survey of elementary, middle, and high school students [\[schools or students? Pg. 1 references schools.\]](#) nested within the SFAs that participated in the Base Year survey. This OMB Package is for planned data collection activities in Year 1; a separate OMB package will be submitted for data collections proposed in Years 2 and 3.

b. Program background

The USDA's five CN Programs include the National School Lunch Program (NSLP), School Breakfast Program (SBP), Fresh Fruit and Vegetable Program (FFVP), Food Distribution Program (FDP), and the Special Milk Program (SMP). These programs are designed to improve the nutritional quality of participating children's diet. Eligibility to participate in the child nutrition

food programs is based on family income. Children living in families earning at or below 130 percent of poverty qualify for free meals (\$28,665 for a family of four during the 2009-2010 school year); those living in families with incomes between 130 percent and 185 percent of poverty pay a reduced price for meals (85% [Should this be 185%?] of poverty was \$40,793 for a family of four during the 2009-2010 school year). These programs have provided a safety net for school-age children with increasing emphasis on improving their nutritional status. On an average day in 2009, the NSLP and SBP served low-cost or free meals to [31.2 million and 11 million children] [You need to reword the previous phrase. I'm not sure what you meant to say.]; the cornerstone of the CN programs. Only the NSLP and SBP Programs are permanently authorized, the other CN programs must be reauthorized every five years. Thus far in 2010, FNS has issued 32 policies on various aspects of the CN programs, ranging from equipment assistance grants, farm to school, eligibility criteria, and geographic preference for the procurement of unprocessed agricultural products in CN programs among others. The CN funding represents an investment to remove barriers that keep children from participating in these programs, improve quality of school meals, and implement health promoting policies.

c. Previous studies

Since 1991, the FNS has completed several studies to assess various aspects of the Child Nutrition Program Policies, Administration, and Operational issues. FNS completed a three year (1989-1991) Child Nutrition Program Operations Study involving data collection from a nationally representative sample of SFA Directors and State Agency staff. The survey instruments were tailored to address various aspects of program operations; unique aspects were added in lieu of relevant issues each year. Similarly, FNS completed a three year (2000-2002) School Meals initiative Implementation Study to gather information on CN program characteristics and Operational issues. Once every ten years, the FNS ~~has~~ gathers data on the nutritional contribution of school meals to the diets of children, with the most recent data available from School Nutrition Dietary Assessment Study (SNDA) IV. While SNDA gathered data exclusively on nutritional contribution of school meals, subsequent surveys have provided data on various aspects of the school environment and meal operations, including school policies on availability of competitive foods, wellness, and food safety (in SNDA IV, completed in June 2010). Collection of ongoing data on various aspects of program operations has allowed FNS to respond to various issues in a timely manner, such as enforcing strict guidelines for school nutrition programs, developing programs to allow schools to track compliance with guidelines, and offering technical assistance and trainings to ensure program operations.

A.2 Purpose and Use of the Information

a. Study objectives

The purpose of this study is to implement a modular data collection system and collect routine data on specific aspects of the child nutrition program, specifically on the program characteristics, administration, and operation of CN programs. The findings from this study will be used to identify program operational and policy issues, and topics for technical assistance and training. The research questions corresponding to each issue are detailed in Appendix B.

b. From whom will the information be collected?

The information will be collected from a nationally representative sample of approximately 1500 SFA directors and 56 State Agency Directors. SFA and State Agency CN Directors will be the primary source of information for all data collected in the base year (2011).

c. How will the information be collected?

Survey of School Food Authority (SFA) Directors

All sampled SFA directors will be mailed an invitation letter (Appendix C.1), requesting their participation in the study. They will have the option of completing the accompanying hard copy of the survey instrument or the survey on the Web. The invitation letter will also alert the SFA directors to the availability of the enclosed survey on the web, along with the URL, secure login, and password. Given the breadth and depth of information to be collected through these surveys, respondents will be provided with the opportunity to save their progress and complete the survey in more than one sitting. Two weeks after the initial mailing, an email reminder will be sent to SFA directors with email addresses (Appendix C.2). The email will also include a link to the URL and their username and password to log-in and complete the survey. For SFA directors with no email address available on file, a postcard reminder (Appendix C.3) will be sent two weeks after the initial mailing. Replacement hard copy surveys will be mailed to SFA directors upon request. Another reminder email or postcard will be sent at the end of the third week. If hard copy or web surveys are not completed within four weeks of data collection, trained interviewers will call SFA directors and remind them to respond to the survey. They will be given the option of completing the survey over the telephone. Data collected over the telephone will be entered using the web-based version of the survey. The data collection effort for this study will span a 13 week period from March 15 to June 15, 2011. A thank you letter (Appendix C.4) will be mailed to all SFA

directors who participated in the study at the end of the 13 week data collection period.

Survey of State Agency Child Nutrition (CN) Directors

All State Agency CN Directors will be mailed an invitation letter (Appendix C.5), requesting their participation in the study and completion of the accompanying hard copy of the survey instrument. In instances where the surveys are not returned within 2 weeks, we will ask the State Agency directors to complete the survey by telephone. If requested, we will send them [another copy of the survey instrument](#) and follow-up again. The data collection duration for the Survey of State Agency CN Directors will span a 13 week period from March 15 through June 15, 2011. A thank you letter will be mailed to all State Agency CN Directors who participated in the study at the end of the 13 week data collection period (Appendix C.6).

d. How frequently will the information be collected?

The data will be collected annually for a 3 year period. Sampled SFA and all State Agency CN Directors will complete the survey once each year (See Appendix D and E respectively for the two surveys). The questions in the modular survey instrument may be used in subsequent years. Some questions have been drawn and modified from surveys conducted by FNS under prior studies.

e. Will the information be shared with any other organizations inside or outside USDA or the government?

The aggregated and analyzed data will be published and be available to the public. Again, all results will be presented in aggregated form in the final report made available in the research section of the USDA Food and Nutrition Service website.

A.3 Use of Information Technology and Burden Reduction

While mail surveys are the primary mode of data collection from SFA and State Agency CN Directors, the SFA Directors have the opportunity to complete a web-based survey. The SFA Directors will be contacted by telephone to encourage and remind them to complete the survey and to try to get a commitment of a date by which they will complete the survey. The State Agency CN Directors who do not complete the mail survey will be contacted by telephone, and data will be collected in an interview-administered survey mode.

A.4 Efforts to Identify Duplication and Use of Similar Information

To our knowledge, there is no similar information available or being collected for the current timeframe.

A.5 Impact on Small Businesses or Other Small Entities

No small entities will be involved in this survey.

A.6 Consequences of Collecting the Information Less Frequently

The proposed data collection plan calls for annual data collection. Gathering such data on an annual basis is essential to track the characteristics of the CN programs. In addition, ongoing changes to the programs are accompanied by parallel changes in administrative and operational issues. The nutritional well-being of our nation's youth, including health implications, has become an important policy issue. Collecting the information less frequently would obstruct the agency's ability to keep abreast of the issues in administration and operation of these programs thereby delaying the discussion, formulation, and implementation of suitable policies.

A.7 Special Circumstances Relating to the Guidelines of 5 CFR 1320.5

There are no other special circumstances. The remainder of this collection of information is conducted in a manner consistent with the guidelines in 5 CFR 1320.5.

A.8 Comments in Response to Federal Register Notice and Efforts to Consult Outside Agency

FNS published a notice in the Federal Register, Vol. 75, Page 68316-68317, No. 214, on Monday, November 5, 2010 (Appendix A) and received one response from the School Nutrition Association (SNA) to the Federal Register Notice.

SNA commented on topics of interest in response to the 60 Day Federal Register notice. The topics SNA addressed include Meal Costs, School Meal Pricing, Indirect Costs, Food Service Management Company Operations and Contracting Practices, Training of School Nutrition Personnel, Direct Certification, Data Collected by School Food Authorities being used by other school or local authorities for non-school food program purposes, Technology, Reasons and Consequences of nonparticipation in school meal programs, Food purchase and preparation practices, School wellness policies, Crisis management and response of SFAs, and Food allergies and the response of SFAs.

The current survey instruments include questions to capture many topic areas suggested by SNA including questions on school meal pricing; amount of indirect costs; food service management company operations and contracting practices; training of School Nutrition Personnel, types of technology used by SFAs; school wellness policies, crisis management and response of SFAs, and food allergies and the response of SFAs. Several of the topics suggested by SNA are beyond the scope of the current study and would require separate studies to adequately address their comments. However, some of the topic areas identified by SNA may be addressed in surveys that will be conducted in Years 2 and 3.

a. Consultations outside the agency

FNS contracted with Westat to conduct the SNPOS study. Westat developed a detailed data collection plan and a study and analysis plan that was submitted for review to FNS. Members of several division staff members (Child Nutrition, Food Safety, Food Distribution, and the Office of Research and Analysis) who have in-depth knowledge of the topic areas studied the data collection and the study and analysis plan and provided feedback to Westat.

A.9 Explanation of Any Payment or Gift to Respondents

The participants in the base year survey will not receive an incentive payment.

A.10 Assurance of Confidentiality Provided to Respondents

While the resulting findings and dataset is in the public domain, information provided will not be disclosed to anyone but the analysts conducting this study, except as otherwise required by law. Data will be presented in

aggregated form and therefore cannot be linked back to the response of any individual school district.

A.11 Justification for Sensitive Questions

This study does not contain questions of a sensitive nature.

A.12 Estimates of Annualized Burden Hours and Costs

Table A1 shows the estimates of the respondent burden for the proposed data collection. These estimates reflect consultations with program officials, and the contractor’s prior experience in collecting data. Table A2 shows the estimated annualized cost to respondents. It has been calculated using average hourly earnings for May 2007 obtained from the Bureau of Labor Statistics’ estimates for occupational employment wages.

Table A1. Estimates of respondent burden

(a) Type of respondents	(b) Type of survey instruments	(c) Number of respondents	(d) Frequency of response	(e) Total Annual responses	(f) Average burden hours per response	(g) Total annual hour burden
SFA Directors	Online/hard copy survey	1,500	1	1,500	1.25 hours	1,875 hours
State Directors	Hard copy/telephone survey	56	1	56	1.25 hours	70 hours
TOTAL		1,556	-	1,556	2.5 hours	1,945 hours

Table A2. Annualized cost to respondents

Type of respondents	Type of survey instruments	Average time per response	Number of respondents	Frequency of response	Hourly wage rate	Respondent cost
SFA Directors	Online/hard copy survey	1.25 hours	1,500	1	\$23.72	\$44,475.00
State Directors	Hard copy/telephone survey	1.25 hours	56	1	\$37.72	2,640.40

TOTAL	1,556	47,115.40
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A.13 Estimates of Other Total Annual Cost Burden to Respondents and Record keepers

There are no other costs to respondents beyond those presented in section A.12.

A.14 Annualized Cost to the Federal Government

The largest cost to the federal government is to pay a contractor \$1,000,000 to conduct the study and deliver data files. This is based on an estimate of 7,418 hours, with a salary range of \$30.46 – \$236.60/ hour. This contract cost includes overhead costs as well as the cost for computing, copying, supplies, postage, shipping, setting up the website, and other miscellaneous items.

A.15 Explanation for Program Changes or Adjustments

This is new data collection.

A.16 Plans for Tabulation and Publication and Project Time Schedule

The project time schedule is in Table A3 below. The project started on July 23, 2010. The school year under study began in August 2010 and will end on June 30, 2011. FNS expects the first year of the SNPOS study completed by December 30, 2011. Selecting and recruiting SFAs and recruiting State Directors will begin soon after obtaining OMB approval. Data collection will begin by the 15th of March and run through June 15th, 2011. Data file preparations will follow immediately so that data analysis could begin by June 30, 2011. The draft Base Year report will be submitted to FNS by October 7th and Presentation materials will be submitted by December 30th.

There will be two types of products resulting from the analysis of data: Analytic data tables and a Base Year report using data analysis.

Table A3. Data collection schedule

Task	Activity	Deliverable*	Weeks after award	Due date
Base Year (FY2010)				
	Project Awarded		0	July 23, 2010
1.1	Orientation Meeting Agenda	1 E	2	Aug. 3, 2010
	Orientation Meeting		2	Aug. 5, 2010
	Orientation Meeting Summary Memo	1 E	3	Aug. 13, 2010
1.2	Revised Study and Analysis Plan	1 E, 3 H	4	Aug. 20, 2010
1.3	Data Collection Plan	1 E, 3 H	5	Aug. 27, 2010
	Draft Data Collection Instruments (Yr 1)	1 E, 3 H	8	Sept. 16, 2010
	Comments from FNS on Draft Data Collection Inst.		10	Sept. 30, 2010
	Revised Data Collection Instruments (Yr 1)	1 E, 3 H	12	Oct. 15, 2010
1.4	Draft OMB Clearance Package	1 E	12	Oct. 15, 2010
	Conduct feasibility and pretest		12-14	Oct. 15-29, 2010
	Comments from FNS on Draft OMB Clearance Pkg		14	Oct. 29, 2010
	Revised/Final OMB Clearance Package	1 E, 5 H	15	Nov. 5, 2010
	Receive OMB Clearance		33	Mar. 7, 2011
1.5	Sample Recruitment Summary Memo	1 E	33	Mar. 1, 2011
1.6	Data Collection Training Materials	1 E, 2 H	27	Jan. 28, 2011
	Training of data collectors		33	Mar. 9, 2011
	Completion of Data Collection Trng Memo	1 E	34	Mar. 14, 2011
	Data Collection		34-47	Mar. 15-June 15, 2011
1.7	Bi-weekly Status Reports on Data Collection	1 E	35-48	Beg. Mar. 22, bi-weekly
	Data file prep		47-49	June 16-30, 2011
	Data Analysis		50-56	June 30-Aug. 15, 2011
1.8	Completion of Raw and Analytic Data Files Memo	1 E	57	Aug. 23, 2011
1.9	Draft Analytic Data Tables	1 E	61	Sept. 23, 2011
1.10	Draft Base Year Report	1 E, 5 H	63	Oct. 7, 2011
	Comments from FNS on Draft Base Yr Report		66	Oct. 28, 2011

Task	Activity	Deliverable*	Weeks after award	Due date
	Revised Base Year Report	1 E, 5 H	68	Nov. 11, 2011
	Comments from FNS on Revised Base Yr Report		71	Dec. 2, 2011
	Final Base Year Report w/Executive Summary	1 E (W & PDF), 10 H	74	Dec. 23, 2011
1.11	Base Year Data Files and Documentation (restricted use and public use files)	3 sets of CDs	74	Dec. 23, 2011
1.12	Presentation Materials	1 E	75	Dec. 30, 2011
1.13	Administrative Reports	1 E		Monthly

What are Options 1 and 2? What happened to tasks 2.1 - 3.1?

Option 3 Prepare OMB Clearance Package for Fast Response Survey System

4.1	Draft FRSS OMB Clearance package	1 E	21	12/17/2010
	Comments from FNS on draft package		25	1/14/2011
	Revised/ Final OMB clearance package	1 E, 5 H	27	1/28/2011
	Receive OMB clearance		45	5/31/2011

* E = electronic copy; H = Hard copy.

Change the date format in the second part of the table to match the first part.

a. Analysis of the Study Data

The analysis of the Base Year data will be cross-sectional in nature and serve to provide a “snapshot” of the CN program characteristics and operations. Descriptive statistics including frequency distributions and cross tabulations will be generated for each research question; all analysis will be stratified by grade level, SFA size, poverty level, and other characteristic as appropriate. The subgroups based on SFA size and poverty level will be defined as follows:

- SFA size (1-999; 1,000 to 4,999; 5,000 or more); and
- Poverty level (60 percent or more free/reduced-price eligible students; less than 60 percent free/reduced-price eligible students).

The SFA survey data will be weighted so that estimates are nationally representative of SFAs; variance estimation methods that that appropriately reflect the complex sampling design (see section on weighting and variance estimation) will be used. The State Agency census does not require weighting or complex variance estimation, since it is not a sample. Where appropriate, we will go beyond simple cross-tabulations and use multivariate

statistical models to examine the relationship between two variables controlling for covariates. Statistical models are frequently developed in our projects to illuminate program processes. For example, we may develop models of outcome measures, such as meal participation rates and prices, as a function of food program characteristics.

b. Methods of Dissemination

A final report will be produced by the Contractor. The final report will be available in its entirety on the FNS website.

A.17 Reason(s) Display of OMB Expiration Date is Inappropriate

This study will not require exemption from displaying the expiration date of OMB approval. All data collection instruments will prominently display the OMB approval number and expiration date.

A.18 Exceptions to Certification for Paperwork Reduction Act Submission

This study does not require any exceptions to the Certificate for Paperwork Reduction Act (5 CFR 1320.9).

SUPPORTING STATEMENT B

Special Nutrition Program Operations Study

A. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

B.1 Respondent Universe and Sampling Methods

The respondent universe for the proposed survey will include all school food authorities (SFAs) operating in public school districts in the United States and outlying territories that are required to submit form FNS-742 (SFA Verification Summary Data) annually to the United State Department of Agriculture (USDA), Food and Nutrition Service (FNS). In general, SFAs that participate in the National School Lunch Program (NSLP) or School Breakfast Program (SBP) are included in the respondent universe with the following exceptions:

- SFAs that operate only in Residential Child Care Institutions that do not have day time students;
- SFAs that do not have students who are eligible for free/reduced-price lunch;
- SFAs in some outlying territories that are not required to complete form FNS-742; and
- Private schools that participate in the NSLP.

The 2009-10 FNS-742 database will be used to construct the SFA sampling frame; i.e., the universe file from which the respondent samples will be drawn. There are currently over 18,000 SFAs in the 2009-10 FNS-742 data base. However, approximately 15,000 SFAs operating in public school districts meet the criteria above and will be included in the sampling frame. Note that the unit of analysis for the proposed study will be the SFA which usually (but not always) coincides with a local education agency (LEA) as defined in the U.S. Department of Education's Common Core of Data (CCD) Local Education Agency Universe Survey File maintained by the National Center for Education Statistics (NCES). Exceptions are SFAs that operate school food programs for multiple school districts and those operating individual schools (e.g., some public charter schools). In the 2009-10 FNS-742 data base, about 89 percent of the eligible SFAs match a district (LEA) in the 2008-09 CCD universe file (see Table B1). However, the matched SFAs account for over 94 percent of the total student enrollment served by the SFAs in the frame.

Table B1. Distribution of eligible SFAs in the 2009-10 FNS-742 universe file (sampling frame) by size class and CCD-status

CCD-status of SFA	Enrollment size class ¹	Number of SFAs	Total enrollment ¹	Number of schools ²
Matches school district (LEA) in CCD	Less than 1,000	6,532	2,770,985	12,424
	1,000 to 4,999	4,863	11,314,642	24,041
	5,000 to 24,999	1,530	15,229,936	24,283
	25,000 or more	272	16,413,091	23,372
	<i>Subtotal</i>	<i>13,197</i>	<i>45,728,654</i>	<i>84,120</i>
	Does not match LEA in CCD	Less than 1,000	1,101	305,233
1,000 to 4,999		379	913,357	2,167
5,000 to 24,999		107	1,057,970	1,818
25,000 or more		14	539,072	837
<i>Subtotal</i>		<i>1,601</i>	<i>2,815,632</i>	<i>6,946</i>
All SFAs		Total	14,798	48,544,286

¹ Number of students with access to NSLP/SBP as reported in 2009-10 FNS 742.

² Counts of schools operating NSLP/SBP as reported in 2009-10 FNS 742.

Expected Response Rates

The expected response rate is the proportion of SFA Directors who respond to the survey as a percentage of the total number of SFA Directors in the sample. We plan to sample 1,765 SFAs to obtain 1,500 completes; the expected response rate is 85 percent for the School Food Authority (SFA) Director Survey. The State Agency Child Nutrition (CN) Director survey will be conducted among all 56 state directors and will not involve any sampling. We expect at least a 95 percent response rate for the State Agency Child Nutrition Director survey.

Previous Data Collections and Response Rates

This is a new data collection. However, the 85% and 95% response rates for the SFA and State Agency CN Directors respectively is based on prior surveys involving SFA directors and State Agency CN directors.

B.2 Procedures for the Collection of Information

Below we describe the procedures for the collection of information including statistical methodology for stratification and sample selection, estimation procedure, and the degree of accuracy needed for the purpose described in the justification.

A goal of the sample design is to obtain a nationally representative sample of SFAs that will yield population estimates with a precision of ± 5 percent at the 95 percent level of confidence for the overall SFA population and for specified subgroups of SFAs. Under simple random sampling, this translates to a sample size of 400-500 responding SFAs for each subgroup. For example, with three key subgroups of roughly equal size (e.g., one-way classifications defined by enrollment size of SFA or by poverty status based on the percent of students eligible for free/reduced price lunch), the total required sample size would range from 1,200-1,500 SFAs to meet the specified precision levels. In general, however, simple random sampling is not efficient for the multiple analytic objectives of the study. For example, while a simple random (or self-weighting) sample would be optimal for estimating the overall prevalence of SFAs reporting various types of food service practices or programs, it can be inefficient for estimating the *numbers of students* involved in these types of services or programs. A stratified sample design using variable rates that depend on the size of the SFA would better meet these conflicting objectives. Stratification not only helps to ensure that adequate sample sizes are obtained for important analytic subgroups of interest, but can also be effective in reducing the sampling errors of estimates that are correlated with enrollment size.

A stratified sampling design employing varying sampling fractions will be used to select the SFA sample for the study. Such a design will generally inflate the standard errors of prevalence estimates as compared with simple random sampling, but is justifiable for reasons mentioned above. A measure of the relative precision of a complex sample design is given by the design effect (DEFF), which is defined to be the ratio of the variance of an estimate based on the complex sample design to the hypothetical variance based on a simple random sample of the same size. A design effect of 1.00 means that the complex sample is roughly equivalent to a simple random sample in terms of sampling precision. A design effect less than 1.00 means that the sample is more precise than a simple random sample; this could occur, for example, in a stratified sample in which some SFAs that are sampled at very high rates. Under the proposed design, we have estimated that the resulting design effects will range from slightly under 1.00 to slightly under 1.9 depending on the subgroup being analyzed, with an overall design effect less than 1.4. As indicated in table B2, which summarizes the expected margins of error of a prevalence estimate under the proposed design for a range of

sample sizes and design effects, a total SFA sample size of 1,500 responding SFAs should be more than adequate to meet or exceed the ± 5 percent precision requirement even for design effect as large as 1.5. For a subgroup consisting of 500 SFAs for which the design effect is 1.10 (e.g., this would be reasonable for subgroups defined by size of SFA, but may be larger for other subgroups), the expected level of precision for the subgroup would be at most ± 4.9 percent (and would be lower for prevalence estimates that are less than 50 percent or greater than 50 percent).

Table B2. Expected margins of error* for various sample sizes (n) and design effects (DEFF)

n	Design effect (DEFF)		
	1.10	1.25	1.50
100	11.0%	12.5%	15.0%
200	7.8%	8.8%	10.6%
300	6.4%	7.2%	8.7%
400	5.5%	6.3%	7.5%
500	4.9%	5.6%	6.7%
600	4.5%	5.1%	6.1%
700	4.2%	4.7%	5.7%
800	3.9%	4.4%	5.3%
900	3.7%	4.2%	5.0%
1,000	3.5%	4.0%	4.7%
1,100	3.3%	3.8%	4.5%
1,200	3.2%	3.6%	4.3%
1,300	3.1%	3.5%	4.2%
1,400	2.9%	3.3%	4.0%
1,500	2.8%	3.2%	3.9%

*Entries correspond to 95% confidence limits for an estimated prevalence of approximately 50%. For estimated prevalence less than 50% or greater than 50%, the confidence limits will be smaller than those indicated in the table.

Sample Stratification and Selection

As indicated above, an SFA-level database derived from 2009-10 Verification Summary Reports data (FNS form 742) will be used to construct the SFA sampling frame. In addition to a unique identifier (SFAID), name of SFA, and state in which the SFA is located, the database includes information about the type of control of the SFA/school district (public or private), number of schools participating in the NSLP/SBP, total enrollment in participating schools, and the number of students eligible for free or reduced-price lunch. This information, along with data from the most recent NCES Common Core of Data (CCD) LEA universe file will be used to stratify SFAs for sampling purposes. Note that all known eligible SFAs, including those that cannot be matched to the current CCD file, will be included in the sampling frame. Although the nonmatched SFAs account for a small percentage of students with access to NSLP or SBP (e.g., see table B1) and could be excluded from the sampling frame, we plan to include them to minimize potential coverage biases resulting from the inability to perfectly link SFAs in the FNS-742 database to the corresponding LEA in the CCD universe file. For the nonmatched SFAs (which will not have CCD stratification data), enrollment and percent of students eligible for free-reduced price lunch data from the FNS data base will be used to form strata for sampling purposes.

The types of district-level variables that can be used either as explicit or implicit stratifiers include region (defined by the seven FNS regions), enrollment size class, a measure of poverty status defined by the percent of students eligible for free/reduced price lunch, minority status defined by the percent of non-white students served by the SFA, type of locale (e.g., central city, suburban, town, rural), and instructional level of schools served by the SFA (e.g., elementary schools only, secondary schools only, or both). Since many of these characteristics are related, it will not be necessary to employ all of them in stratification to account for the variation in SFAs. Thus, we propose to define explicit sampling strata based on three primary variables: SFA enrollment size, type of locale, and poverty status. Note that since type-of-locale will not be available for SFAs that are not matched to LEAs in the CCD file, all non-matched cases will be placed in a single type-of-locale category for sampling purposes. The remaining variables will be used as possible implicit stratifiers (i.e., sorting variables) to ensure appropriate dispersion and representation in the sample. A stratified sample of 1,765 SFAs will be allocated to the strata in rough proportion to the aggregate square root of the enrollment of SFAs in the stratum. Such an allocation gives large SFAs relatively higher selection probabilities than smaller ones, and is expected to provide acceptable sampling precision for both prevalence estimates (e.g., the proportion of SFAs with a specified characteristic) and numeric measures correlated with enrollment (e.g., the number of students in SFAs with access to various food services or programs). Prior to sample selection, SFAs in the sampling frame will be sorted by characteristics such as region (the seven FNS regions) and/or minority status to induce additional implicit stratification. Within each primary stratum defined by size class, type of locale, and poverty status, SFAs will be selected systematically at rates that are roughly proportional to the mean of the square root of the enrollment of the SFAs in the stratum.. Assuming an overall response rate of 85 percent, the initial sample of approximately 1,765 SFAs will yield about 1,500 completed questionnaires. Table B3 summarizes the proposed sample allocation and the expected sample yields by SFA enrollment size and poverty level.

Table B3. Proposed sample sizes for the SFA survey

Percent eligible for free/reduced price lunch¹	Enrollment size class²	Number of SFAs to be sampled	Expected number of responding SFAs³
Under 60 percent	Less than 1,000	275	234
	1,000 to 4,999	545	463
	5,000 to 24,999	337	286
	25,000 or more	116	99
	<i>Subtotal</i>	<i>1,273</i>	<i>1,082</i>
60 percent or	Less than 1,000	139	118

more

1,000 to 4,999	170	145
5,000 to 24,999	124	105
25,000 or more	59	50
<i>Subtotal</i>	492	418

All SFAs	Total	1,765	1,500
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¹Calculated from the numbers of students eligible for free or reduced price lunch as reported in 2009-10 FNS 742.

²Number of students with access to NSLP/SBP as reported in 2009-10 FNS 742.

³Based on 85% response rate.

There is no mention of locality in this table. How will that be incorporated into the other sampling strata?

Expected Levels of Precision

Table B4 summarizes the approximate sample sizes and standard errors to be expected under the proposed design for selected subgroups. The standard errors in table B4 reflect design effects ranging from 1.0 or less to 1.5 depending on subgroup. The design effect primarily reflects the fact that under the proposed stratified design, large SFAs will be sampled at relatively higher rates (i.e., have smaller sampling weights) than small SFAs. The standard errors in table B4 can be converted to 95 percent confidence bounds by multiplying the entries by 2. For example, an estimated proportion of the order of 20 percent (P = 0.20) for suburban SFAs will be subject to a margin of error of ±4.6 percent at the 95 percent confidence level. Similarly, an estimated proportion of the order of 50 percent (P = 0.50) for SFAs in the Northeast region will be subject to a margin of error of ±8.6 percent at the 95 percent confidence level.

Table B4. Expected standard error of an estimated proportion under proposed design for selected analytic domains

Domain (subset)	Expected sample size*	Standard error† of an estimated proportion equal to ...		
		P = 0.20	P = 0.33	P = 0.50
Total sample	1,500	0.012	0.014	0.015
<i>Community Type</i>				
Missing‡	128	0.041	0.049	0.052
City	225	0.036	0.043	0.046
Suburban	403	0.023	0.027	0.029
Town	250	0.027	0.031	0.033
Rural	494	0.020	0.023	0.024
<i>Percent of students eligible for free/reduced price lunch</i>				
Less than 30	394	0.023	0.027	0.028
30 to 59.9	689	0.018	0.021	0.022
60 or more	418	0.024	0.028	0.030
<i>FNS Region</i>				
Mid Atlantic	173	0.035	0.041	0.043

Midwest	339	0.024	0.028	0.030
Mountain	173	0.035	0.041	0.043
Northeast	167	0.035	0.041	0.043
Southeast	196	0.033	0.039	0.041
Southwest	213	0.032	0.038	0.041
Western	240	0.034	0.040	0.042
<i>SFA Enrollment Size</i>				
Under 1,000	358	0.020	0.024	0.026
1,000 to 4,999	607	0.015	0.018	0.019
5,000 or more	536	0.015	0.018	0.019

* Expected number of responding eligible SFAs, assuming response rate of 85 percent. The standard errors given in this table are given for illustration. Actual standard errors will depend on characteristics being estimated and may differ from those shown.

† Assumes unequal weighting design effect ranging from 0.78 to 1.87 depending on subgroup.

‡ Includes SFAs in FNS-742 database that do not match to any records on the CCD frame.

Estimation and Calculation of Sampling Errors

For estimation purposes, sampling weights reflecting the overall probabilities of selection and differential nonresponse rates will be attached to each data record providing usable SFA data. The first step in the weighting process will be to assign a base weight to each sampled SFA. The base weight is equal to the reciprocal of the probability of selecting the SFA for the study, which will vary by sampling stratum under the proposed stratified sample design. Next, the base weights will be adjusted for nonresponse within cells consisting of SFAs that are expected to be homogeneous with respect to response propensity. To determine the appropriate adjustment cells, we will conduct a nonresponse bias analysis to identify characteristics of SFAs that are correlated with nonresponse. The potential set of predictors to be used to define the adjustment cells will include SFA-level characteristics that are available from the FNS database and data from the most recent CCD file. Within these cells, a weighted response rate will be computed and applied to the SFA base weights to obtain the corresponding nonresponse-adjusted weights.

To properly reflect the complex features of the sample design, standard errors of the survey-based estimates will be calculated using jackknife replication. Under the jackknife replication approach, 100 subsamples or "replicates" will be formed in a way that preserves the basic features of the full sample design. A set of weights (referred to as "replicate weights") will then be constructed for each jackknife replicate. Using the full sample weights and the replicate weights, estimates of any survey statistic can be calculated for the full sample and for each of the jackknife replicates. The variability of the replicate estimates is used to obtain the variance of the survey statistic. The replicate weights can be imported into variance estimation software (e.g., SAS, SUDAAN, WESVAR) to calculate standard errors of the survey-based estimates. In addition to the replicate weights, stratum and unit codes will be provided in the data files to permit calculation

of standard errors using Taylor series approximations if desired. Note that while replication and Taylor series methods often produce similar results, jackknife replication has some advantages in reflecting statistical adjustments used in weighting such as nonresponse and poststratification (e.g., see Rust, K.F., and Rao, J.N.K., 1996. Variance estimation for complex surveys using replication techniques. *Statistical Methods in Medical Research*, 5: 283-310).

B.3 Methods to Maximize the Response Rates and to Deal with Nonresponse

Overall response projections were presented earlier. Achieving this response rate involves locating the sample members and securing participation. We estimate 85 percent of the SFA Directors will either complete a self administered paper survey or the web-administered survey. We also expect all State Agency Child Nutrition (CN) Directors to complete the surveys.

Below we describe procedures to be followed to maximize the number of sample members who complete the survey:

- The letters inviting SFA Directors and State Agency CN Directors to participate in the surveys will be very carefully developed to emphasize the importance of this study and how the information will help the Food and Nutrition Service (FNS) to better understand and address current policy issues related to Special Nutrition Program (SNP) operations.
- Before the SFAs are invited to participate in the study, the contractor will gain support from relevant associations representing organizations with an interest in the success of this study (e.g. School Nutrition Association) and Food Service Management Companies managing school meals programs on behalf of SFAs.
- Designated FNS regional staff will serve as regional study liaisons and be kept closely informed of the project so that they will be able to answer questions from SFAs and encourage participation.
- The contractor will have a toll free number that SFAs can call to ask any questions related to the study.
- Sampled SFA Directors will have the option of completing the survey using the mode of their choice (hard copy or web). The State CN Directors will have the option of completing a hard copy survey or a telephone survey.
- We will follow up by telephone with all sampled SFA and the State CN Directors who do not complete the survey within a specified period and urge them to complete the survey. At that point if the State Directors prefer to complete the survey over the telephone, a

telephone interviewer will administer the survey over the telephone. The SFA Directors will not be given the option of completing a telephone survey because they need to gather data to complete the survey, and it is not practical to complete the SFA survey on the telephone.

- Follow-up reminders will be sent either by email (if an email address is available) or by regular mail to respondents who have not mailed the survey or completed the web survey.

The following procedures will be used to maximize the completion rates for surveys that are administered by telephone:

- Use a core of interviewers with experience working on telephone surveys, particularly interviewers who have proven their ability to obtain cooperation from a high proportion of sample members, to administer the survey over the telephone to State Agency CN Directors who do not complete the hard copy survey.
- All telephone interviewers will complete training specific to this study.
- Use call scheduling procedures that are designed to call numbers at different times of the day (between 8am and 6pm) and week (Monday through Friday), to improve the chances of finding a respondent at work.
- Make every reasonable effort to obtain an interview at the initial contact, but allow respondents flexibility in scheduling appointments to be interviewed.
- Conduct silent monitoring of interviews to identify and promptly correct behaviors that could be inviting refusals or otherwise contributing to low cooperation rates.
- Leave a message on voice mail in order to let the respondent know the call was for a research study.
- Provide a toll-free number for respondents to call to verify the study's legitimacy or to ask other questions about the study.
- Require many unsuccessful call attempts to a number without reaching someone before considering whether to treat the case as "unable to contact."
- Implement refusal conversion efforts for first-time refusals and use interviewers who are skilled at refusal conversion and will not unduly pressure the respondent.

B.4 Test of Procedures or Methods to be Undertaken

The discussion below provides the results of the feasibility study and the pretest of the survey instruments.

Feasibility study. We contacted several of the SFA Directors and one State Agency CN Director who completed the questionnaires to discuss their responses to the questions they found difficult to answer. During the call we probed for clarity, appropriate use of definitions and terms, and the level of ease for respondents to gather the requested information. The feasibility study helped us understand whether the SFA and State Agency CN directors are able to provide the data as requested in the draft survey items. We determined that SFA Directors found it hard to report income and expenditure information broken down by all the categories identified in the SFA survey.

Pretest. A paper version of each survey was pretested with [7 SFA directors] and 3 State Agency CN Directors. Westat purposively selected [24 SFAs] [How did you go from 7 SFA directors to 24 SFAs?] taking into account their representation across all FNS regions, student enrollment ranging from small (1,000 and 2,500 students) to large (25,000 and 100,000 students), and poverty status (percent of students eligible for free/reduced priced lunch). For the State Agency Child Nutrition Director Survey we attempted to recruit 4 states (Texas, Minnesota, and Louisiana and Maryland), 3 of which participated (Minnesota was unable to participate).

The purpose of the pretest was to test the questionnaire, focusing on (1) clarity of the wording, (2) availability of the information, and (3) response burden. Respondents reported that the time taken to complete the survey was far more than the original 1hour estimated. Based on this feedback, we are working on shortening both surveys to reduce the burden on the respondents. Additionally respondents provided valuable feedback on question wording as well as questions that were hard to respond to. Several questions were identified that could not be answered. We are in the process of revising the questionnaires to shorten them to 1.25 hours.

B.5 Individuals consulted on statistical aspects and individuals collecting and/or analyzing data

The contractor, Westat will conduct this study.

Name	Affiliation	Telephone Number	e-mail
Juanita Lucas-McLean	Westat	301-294-2866	JuanitaLucas-McLean@Westat.com
Adam Chu	Westat	301-251-4326	AdamChu@Westat.com
Cynthia Thomas	Westat	301-251-	CynthiaThomas@westat.com

		4364	

We need names of FNS team members as well for # 5.

Appendix A
60-Day Federal Register Notice

APPENDIX A. FEDERAL REGISTER NOTICE

[Federal Register: November 5, 2010 (Volume 75, Number 214)]
[Notices]
[Page 68316-68317]
From the Federal Register Online via GPO Access [wais.access.gpo.gov]
[DOCID:fr05no10-38]

DEPARTMENT OF AGRICULTURE

Food and Nutrition Service

Agency Information Collection Activities: Proposed Collection;
Comment Request--Special Nutrition Program Operations Study (SNPOS)

AGENCY: Food and Nutrition Service (FNS), United States Department of
Agriculture.

ACTION: Notice and request for comments.

SUMMARY: In accordance with the Paperwork Reduction Act of 1995, this notice
invites the the general public and other public agencies to comment on this
proposed information collection. This collection is a new information collection
for the Special Nutrition Program Operations Study.

DATES: Written comments on this notice must be received by January 4, 2011.

ADDRESSES: Comments are invited on: (a) whether the proposed collection of
information is necessary for the proper performance of the functions of the
agency, including whether the information shall have practical utility; (b) the
accuracy of the agency's estimate of the burden of the proposed collection of
information, including the validity of the methodology and assumptions that were
used; (c) ways to enhance the quality, utility, and clarity of the information to
be collected; and (d) ways to minimize the burden of the collection of
information on those who are to respond, including use of appropriate automated,
electronic, mechanical, or other technological collection techniques or other
forms of information technology.

Comments may be sent to: John Endahl, Senior Program Analyst, Office of
Research and Analysis, Food and Nutrition Service, USDA, 3101 Park Center Drive,
Room 1004, Alexandria, VA 22302. Comments may also be submitted via fax to the
attention of John Endahl at 703-305-2576 or via e-mail to
john.endahl@fns.usda.gov. Comments will also be accepted through the Federal
eRulemaking Portal. Go to [http://frwebgate.access.gpo.gov/cgi-bin/leaving.cgi?
from=leavingFR.html&log=linklog&to=http://www.regulations.gov](http://frwebgate.access.gpo.gov/cgi-bin/leaving.cgi?from=leavingFR.html&log=linklog&to=http://www.regulations.gov), and follow the
online instructions for submitting comments electronically.

All responses to this notice will be summarized and included in the request
for Office of Management and Budget approval. All comments will be a matter of
public record.

FOR FURTHER INFORMATION CONTACT: To request more information on the proposed project or to obtain a copy of the data collection plans, contact John Endahl, Senior Program Analyst, Office of Research and Analysis, Food and Nutrition Service/USDA, 3101 Park Center Drive, Room 1004, Alexandria, VA 22302; Fax: 703-305-2576; E-mail: john.endahl@fns.usda.gov.

[[Page 68317]]

SUPPLEMENTARY INFORMATION:

Title: Special Nutrition Program Operations Study.

OMB Number: 0584-NEW.

Expiration Date of Approval: Not yet determined.

Type of Information Collection Request: New information collection.

Abstract: The objective of the Special Nutrition Program Operations Study (SNPOS) is to collect timely data on policies, administrative, and operational issues on the Child Nutrition Programs. The ultimate goal is to analyze these data and provide input for new legislation on Child Nutrition Programs as well as to provide pertinent technical assistance and training to program implementation staff.

The SNPOS will help the Food and Nutrition Service (FNS) better understand and address current policy issues related to Special Nutrition Programs (SNP) operations. The policy and operational issues include, but are not limited to, the preparation of the program budget, development and implementation of program policy and regulations, and identification of areas for technical assistance and training.

Specifically, this study will help FNS obtain:

General descriptive data on the Child Nutrition (CN) program characteristics to help FNS respond to questions about the nutrition programs in schools;

Data related to program administration for designing and revising program regulations, managing resources, and reporting requirements; and

Data related to program operations to help FNS develop and provide training and technical assistance for School Food Authorities (SFAs) and State Agencies responsible for administering the CN programs.

The activities to be undertaken subject to this notice include:

Conducting a multi-modal (e.g. paper, Web, and telephone) survey of approximately 1,500 SFA Directors.

Conducting a paper survey of all 56 State Agency CN Directors.

Affected Public: State, Local and Tribal Governments.

Type of Respondents: 1,500 SFA Directors and 56 State CN Program Directors.

Estimated Total Number of Respondents: 1,556.

Frequency of Response: Once annually.

Estimated Annual Responses: 1,556.

Estimate of Time per Respondent and Annual Burden: Public reporting burden for this collection of information is estimated to average sixty (60) minutes per Self Administered Survey for the SFA Directors and the State Agency Child Nutrition Directors (this includes 30 minutes for data gathering and 30 minutes to respond to the questionnaire).

Respondents in the SNOPS include 1,500 School Food Service Directors and 56 State Child Nutrition Program Directors. The annual reporting burden is estimated at 1,556 hours (see table below).

Data collection	Respondents	Estimated number of respondents	Frequency of response	Total annual responses	Average burden hours per response
Self Administered/Web/Telephone Survey (SFA) Directors	School Food Authority	1,500	1	1,500	1
Self Administered/Telephone Survey Nutrition Directors	State Agency Child	56	1	56	1
Total		1,556		1,556	1

Dated: November 1, 2010.
Julia Paradis,
Administrator, Food and Nutrition Service.
[FR Doc. 2010-28037 Filed 11-4-10; 8:45 am]
BILLING CODE 3410-30-P

Appendix B
Research Issues and Corresponding Research
Questions

APPENDIX B. RESEARCH ISSUES AND CORRESPONDING RESEARCH QUESTIONS

Table B-1. Base Year research issues and revised research questions for SFA survey

Issue	Question
Student participation	<p>What is the level of participation in the NSLP and SBP?</p> <p>Do the patterns of participation (e.g., the percentage distribution of free, reduced, and paid meals served) and the rate of student participation vary by type of SFA?</p> <p>How do student participation rates vary for elementary and secondary schools?</p>
Meal prices	<p>What was the average price charged for full-price, reduced-price and adult lunches in SY 2010-11?</p> <p>What was the average price charged for full-price, reduced-price and adult breakfasts in SY 2010-11?</p> <p>How have prices changed in the past 5 years?</p> <p>What are the patterns of price change in the NSLP and SBP? How often do SFAs change meal prices? What is the typical size of the price increase?</p> <p>What factors influence SFA decisions about meal pricing? What steps are taken to avoid increased prices? What steps are taken to maintain participation if prices are increased?</p>
Revenues	<p>What were the total dollar receipts of the school food service program from cash receipts from sale of reimbursable meals? Federal reimbursements for reimbursable meals? State/local reimbursements for reimbursable meals? A la carte sales? Other revenue sources?</p> <p>Are State/local revenues provided on a per meal basis? For breakfast only? For lunch only? Are State revenues used to support any other aspects of the school food service program?</p> <p>How do revenues generated by full-price and reduced-price meals (prices charged plus meal reimbursement) compare to the Federal subsidy for free meals?</p>
Alternative meals/ recouping credits	<p>What are the district policies and practices relating to providing children who are without funds a meal?</p> <p>How much debt has the school food service account encountered as a result of unpaid school meals? How much of this debt has the SFA successfully recovered?</p> <p>What steps has the district taken to collect payments for unpaid meals? How do these methods compare with other school programs?</p> <p>Do meal pricing practices include policies related to recouping credits when students don't have money to pay for meals?</p>
Food service characteristics	<p>What proportion of SFAs utilizes food service management companies?</p> <p>What types of kitchen facilities (self-prep; central kitchen; satellite) do SFAs utilize?</p> <p>What types of meal service systems (cafeteria configuration; eating locations; open vs. closed campuses, meal kiosks) do SFAs utilize?</p> <p>How much time is allocated for eating school lunches? In elementary schools, is lunch provided before/after recess?</p> <p>Are SFA food service facilities used to prepare foods for purposes other than NSLP and SBP? Are the facilities used to prepare reimbursable meals for other programs (CACFP, SFSP, define the previous two abbreviations Elderly Nutrition Program, Head Start, other schools or school systems, disaster feeding, etc.)? Are the facilities used to prepare food for other non-</p>

Issue	Question
	reimbursable purposes (catering school related events –athletic events, PTA meetings, public catering, school staff meals, other day care, etc.)? What types of non-USDA meal alternatives (e.g., vending machines, a la carte, open-campus privileges, school stores, etc.) are available in SFAs? What SFAs utilize the OVS[define this] option at the elementary school level? What type of menu planning options is being used by SFAs? Do SFAs conduct a formal nutritional analysis of their planned menus? Do SFAs make free potable water available where school meals are served?

Table B-1. Base Year research issues and revised research questions for SFA survey (continued)

Issue	Question
Involvement in other programs	Do SFAs participate in the DoD[define this] Fresh Program? Do SFAs participate in the farm to school activities? What SFAs provide snacks in an after-school program? Does your school district have a pre-K program? Do the children that participate in this program have access to school meals? Are any of your schools recognized as HealthierUS schools? At what level have these schools been recognized? Are any schools in the process of being recognized? What areas give you the most problems in attaining this recognition?
Technical assistance	What proportion of SFAs received training or technical assistance in SY 2010-11? How much training did SFAs receive, and in what topic areas? Which SFA personnel received training? Do SFAs receive training and technical assistance from sources other than the State Agency? If so, who else provides assistance to SFAs? How useful do SFAs receive the training and technical assistance provided? [You are missing at least one word in this question.] What additional training and technical assistance do SFAs perceive are needed?
Meal counting and claiming	What type of technology is being used at the point of service to differentiate free/reduced-price/paid students (pin cards, fingerprint, etc.)? What type of payments are accepted (cash, pre-pay, on-line, etc.)? What type of training/oversight is given to cashiers to assist in their determination of reimbursable meals?
Procurement issues	Are SFAs using geographic preference in their procurement of foods? If yes, is it for all foods or just fresh produce? What methods are used to track rebates, discounts, or fees for service? Do SFAs use food purchasing specifications that include specific per-serving nutrient requirements? Are these product specifications required for all foods or just some foods? What nutritional information is requested from potential vendors? Is this information provided?
Communication issues	How do State Agencies communicate with local SFAs (written correspondence, blanket emails, etc.)? Does this vary by type of information communicated (policy memos, announcements, commodity recalls, etc.)? How do SFAs communicate with households? Do they utilize a website? What information is provided households (menus, nutritional information, etc.)?
Commodity distribution issues	What delivery system is being used in each State to provide USDA Foods? What additional charges do State Agencies assess SFAs for the delivery of USDA Foods on a per case basis (administrative fees, storage fees, delivery

Issue	Question
	fees, etc.)? Has the increase in processing of USDA Foods over the years resulted in a lessening of the warehouse fees States collect? Do States do statewide procurements on behalf of their SFAs? If so, how does this operate? How well do States think the DoD Fresh Program involving USDA Foods is running? What are States and SFAs doing to ensure traceability of USDA Foods in the event of a hold or recall?
Food safety issues	What practices are in place to assure food safety risks are minimized for farm-to-school and other local purchases?

Table B-2. Base Year research issues and revised research questions for State Agency survey

Issue	Question
Direct verification	Are State agencies currently conducting direct verification using Medicaid data? Using TANF [define this] data? How is this being implemented? Is direct verification available to all SFAs in the State? Do States anticipate conducting direct verification in the future?
Provision 2/3	How many SFAs/schools are operating under Provision 2 or 3? [What are these provisions?]
Food service management companies	How many SFAs/schools are using Food Service Management Companies? How many of these are National companies? Regional companies? Local companies? Do State agencies require the use of a State-developed prototype contract?
Procurement issues	Do States do statewide procurements on behalf of their SFAs? If so, how does this operate?
Nutritional standards	Do States have nutrition standards that exceed federal requirements for foods and beverages offered in school meals? Do States have nutrition standards for foods and beverages offered in competition with the school meals? What is the impact on participation? On nutritional profiles?
Training and technical assistance	<p>What are the minimum educational requirements of State Child Nutrition Directors? What is the educational and background of current State Child Nutrition Directors?</p> <p>What specific topic areas do State Agencies include in training and technical assistance programs?</p> <p>Is technical assistance provided routinely or only in response to SFA requests? What mechanisms do State Agencies employ in providing technical assistance (e.g., written materials, workshops or courses, discussions during program reviews, etc.)? How frequently is training provided?></p> <p>Which SFA personnel do State Agencies reach in their training and technical assistance programs?</p> <p>Has the level of training provided by State Agencies changed over the last three years? If so, why?</p>
USDA Foods	<p>What delivery system is being used in each State to provide USDA Foods? What additional charges do State Agencies assess SFAs for the delivery of USDA Foods on a per case basis (administrative fees, storage fees, delivery fees, etc.)?</p> <p>Has the increase in processing of USDA Foods over the years resulted in a lessening of the warehouse fees States collect?</p> <p>How well do States think the DoD Fresh Program involving USDA Foods is running?</p> <p>What are States doing to ensure traceability of USDA Foods in the event of a hold or recall?</p>
Communications with SFAs	How do State Agencies communicate with local SFAs (written correspondence, blanket emails, etc.)? Does this vary by type of information communicated (policy memos, announcements, commodity recalls, etc.)?
Alternative meals	What are current State policies and practices regarding providing children who are without funds a school meal?
Charter schools	How many charter schools are participating in the NSLP/SBP by State? For purposes of school food operations, are charter schools treated as a separate SFA, as part of an existing SFA, or a combination of both? Does this vary by State?
State subsidies to	Does the State provide financial resources for school meals to SFAs in the

Issue	Question
SFAs	form of per meal subsidies? Does the State provide support for any other aspects of the school food service operation?
Budget issues	Have State budget issues impacted the use of State administrative funds? Do States have adequate staffing resources? Are States operating under a hiring freeze? Are States using contracted staff for certain functions?

Appendix C
Invitation Letters and Reminder Notices

APPENDIX C.1. INVITATION LETTER TO SCHOOL FOOD SERVICE DIRECTORS

XX/XX/2011

SUBJECT: Participation in the Special Nutrition Program Operations Study (SNPOS), 2010-2011

TO: School Food Authority Directors

The Food and Nutrition Services (FNS) of the U.S. Department of Agriculture (USDA), is requesting your participation in the Special Nutrition Program Operations Study (SNPOS). The information for this study is being collected by Westat, a research firm in Rockville, Maryland for FNS, U.S. Department of Agriculture. The SNPOS is being conducted to understand and address the current policy issues related to Special Nutrition Program (SNP) operations.

The goal of this study is to improve the implementation of the Child Nutrition Program by examining:

- Data on the Child Nutrition (CN) program characteristics to help FNS respond to questions about the SNPs in schools;
- Data related to program administration for designing and revising program regulations, managing resources, and reporting requirements; and
- Data related to program operations to help FNS develop and provide training and technical assistance for School Food Authorities (SFAs) and State Agencies responsible for administering the CN program.

The topics included on the survey include school and student participation rates, school food service characteristics, meal prices, revenues, expenditures, alternative meals/recouping credits, meal counting and claiming, procurement issues, involvement in other programs, training and technical assistance, food safety program, and communication issues.

The survey is designed to be completed in about [30 minutes] [Your docket says this survey will take 1.25 hours on average.] by the School Food Authority Director. While you may complete the survey and mail it to Westat, you also have the option of completing an online version of the survey available through the Internet. The online version of the survey is available at **www.XXX.org**. Your username and password appear on the enclosed Web Survey Information Sheet. If you complete the paper version of the questionnaire, please return it to Westat in the enclosed postage-paid envelope. **Please complete the survey only once, using either the paper or the online version.**

We ask that the survey be completed **within 3 weeks**, and that you keep a copy of the completed survey for your files. If you have any questions about this survey, please contact xxxxxxxx, the Westat survey manager, at 800-XXX-XXXX (toll-free) or 301-XXX-XXXX, or by e-mail at XXXXXXX@westat.com. You may

also call xxxxxxxx, the FNS Project Officer, at xxx-xxx-xxxx. Thank you for your assistance.

Signature (FNS PD)
Enclosed: SNPOS Survey

Special Nutrition Program Operations Study (SNPOS)

Frequently Asked Questions

Q Why is FNS conducting the survey?

A This survey is being conducted to provide nationally representative information about Child Nutrition programs and programs available in public school districts. The goal of the SNPOS is to understand the policy and operational issues surrounding the Child Nutrition Programs. Specifically, survey topics include the preparation of program budget, development and implementation of program policy and regulations, and identification of areas for provision of technical assistance and training.

Q Who is invited to participate in SNPOS?

A This is a survey of 56 State Child Nutrition Program Directors and 1765 School Food Authority Directors.

Q Why is participation by your School Food Authority (SFA) important?

A Your SFA's participation, while voluntary, is important because it is vital to the development of national estimates. We need your input because your SFA is one of a small sample of SFAs selected for the study. Your cooperation is critical to make the results of this survey comprehensive, accurate, and timely.

Q How long is the data collection period?

A Because of the time sensitive nature of data that are being collected, we expect to receive all completed surveys within 6 weeks of initial mailing.

Q Can I complete the survey on-line?

A Yes, you can visit XXX.gov website to access the survey. Use your Study ID to access and complete your survey. While you can complete your survey over multiple seating's, the survey can be completed in about [30 minutes] [Your docket says average response time is 1.25 hours.], and we urge you to complete it in one seating or to take fewer breaks and save your responses if you have to stop along the way.

Q How does FNS protect the confidentiality of the information that you provide?

A Your answers may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose unless otherwise compelled by law. The federal Office of Management and Budget (OMB) has approved the survey (OMB No. xxxx-xxxx).

Q Who should I contact if I have questions about the study or the survey?

A If you have any questions about this survey, please contact xxxxxxxx, the Westat survey manager, at 800-XXX-XXXX (toll-free) or 301-XXX-XXXX, or by e-mail at XXXXXXXX@westat.com. You may also call xxxxxxxx, the FNS Project Officer, at xxx-xxx-xxxx.

[Where is the Web Survey Information Sheet?](#)

APPENDIX C.2. FOLLOW-UP EMAIL REMINDER TO SFA DIRECTORS

XX/XX/2011

REMINDER for School Food Authority Director!

Last week, you received a survey for the USDA Special Nutrition Operations Program Study. Your response is very important. If you have not mailed the completed survey, please do so.

If you need another copy of the survey, call XXX-XXX-XXX, and we will be glad to mail you another questionnaire.

You can also complete the survey on-line by visiting the SNPOS website at www.XXX.gov and using the special study code that was provided to you. If you don't have access to your special study code, please email XXX@XXX.gov, and your study code will be emailed to you shortly.

If you have mailed the questionnaire, disregard the reminder.

Thank you!

APPENDIX C.3. FOLLOW-UP REMINDER POSTCARD MAILING TO SFA DIRECTORS

XX/XX/2011

REMINDER for School Food Authority Director!

Last week, you received a survey for the USDA Special Nutrition Operations Program Study. Your response is very important. If you have not mailed the completed survey, please do so.

If you need another copy of the survey, call XXX-XXX-XXX, and we will be glad to mail you another questionnaire.

You can also complete the survey on-line by visiting the SNPOS website and using the special study code that was provided to you.

If you have mailed the questionnaire, disregard the reminder.

Thank you!

APPENDIX C.4. THANK YOU POSTCARD TO SFA DIRECTOR FOR COMPLETING THE SNPOS SURVEY

XX/XX/2011

Thank you, School Food Authority Director!

We received your completed survey for the USDA Special Nutrition Operations Program Study. We thank you for your response.

If you would like a copy of the report and the survey findings, please visit the FNS website ... after .../.../...

Thank you!

APPENDIX C.5. INVITATION LETTER TO STATE AGENCY CHILD NUTRITION DIRECTOR

XX/XX/2011

SUBJECT: Participation in the Special Nutrition Program Operations Study (SNPOS), 2010-2011

TO: State Agency Child Nutrition Directors

The Food and Nutrition Services (FNS) of the U.S. Department of Agriculture (USDA), is requesting your participation in the Special Nutrition Program Operations Study (SNPOS). The information for this study is being collected by Westat, a research firm in Rockville, Maryland for FNS, U.S. Department of Agriculture. The SNPOS is being conducted to understand and address the current policy issues related to Special Nutrition Program (SNP) operations.

The goal of this study is to improve the implementation of the Child Nutrition Program by examining:

- Data on the Child Nutrition (CN) program characteristics to help FNS respond to questions about the SNPs in schools;
- Data related to program administration for designing and revising program regulations, managing resources, and reporting requirements; and
- Data related to program operations to help FNS develop and provide training and technical assistance for School Food Authorities (SFAs) and State Agencies responsible for administering the CN program.

The topics included on the survey include state policies pertinent to Child Nutrition Programs, Resources and Finances, Administrative and Operational issues, and Training and Technical Assistance.

You seem to have copied the last two paragraphs directly from the SFA Director letter. In your docket, CN Directors do not have the option of completing the survey by web, but you mention web options here.

The survey is designed to be completed in about [30 minutes] [Your docket says the survey has an average response time of 1.25 hours.] by the School Food Authority State Agency Child Nutrition Director. While you may complete the survey and mail it to Westat, you also have the option of completing an online version of the survey available through the Internet. The online version of the survey is available at **www.XXX.org**. Your username and password appear on the enclosed Web Survey Information Sheet. If you complete the paper version of the questionnaire, please return it to Westat in the enclosed postage-paid envelope. **Please complete the survey only once, using either the paper or the online version.**

We ask that the survey be completed **within 3 weeks**, and that you keep a copy of the completed survey for your files. If you have any questions about this survey, please contact xxxxxxxx, the Westat survey manager, at 800-XXX-XXXX

(toll-free) or 301-XXX-XXXX, or by e-mail at XXXXXXX@westat.com. You may also call xxxxxxxx, the FNS Project Officer, at xxx-xxx-xxxx. Thank you for your assistance.

Signature (FNS PD)
Enclosed: SNPOS Survey

APPENDIX C.6. THANK YOU POSTCARD TO STATE AGENCY CN DIRECTOR
FOR COMPLETING THE SNPOS SURVEY

XX/XX/2011

Thank you, State Agency Child Nutrition Program Director!

We received your completed survey for the USDA Special Nutrition Operations Program Study. We thank you for your response.

If you would like a copy of the report and the survey findings, please visit the FNS website ... after .../.../...

Thank you!

Appendix D
School Food Authority (SFA) Director Survey 2010

Do you mean 2010 or 2011? The survey has 2011.

ID Number _____

OMB Number _____

Expiration Date _____

**SPECIAL NUTRITION PROGRAM OPERATIONS STUDY
(SNPOS)**

**SCHOOL FOOD AUTHORITY (SFA) DIRECTOR
SURVEY 2011**

REVISED DRAFT

Sponsored by:

U.S. Department of Agriculture
Food and Nutrition Service

This survey is being conducted for the Food and Nutrition Service, U.S. Department of Agriculture as part of a study of the National School Lunch Program (NSLP) and School Breakfast Program (SBP) as well as other USDA food programs throughout the country. **All responses will be treated in strict confidence; no names will be used in our reports, and only aggregated results will be reported.** Participation is completely voluntary. Choosing not to participate will not affect your employment or your district's participation in school meal programs.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: U.S. Department of Agriculture, Food and Nutrition Service, Office of Research and Analysis, Room 1014, Alexandria, VA 22302. **(Do not return the completed form to this address.)**

ATTN: _____

You have the option of completing this questionnaire on the web or as a hard copy survey.

Public reporting burden for this collection of information is estimated to average 1.25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.**

We thank you for your cooperation and participation in this very important study.

INSTRUCTIONS

- Please answer all questions.
- Unless you see the words CIRCLE ALL THAT APPLY after a question, please circle only one answer for each question.
- If you have any questions about the study or about completing this survey, please contact **Priyanthi Silva** by telephone at 1-800-937-8281 Extension 5162 or at 301-610-5162 or by email: priyanthisilva@westat.com

Date: _____

School District Name: What about SFA Directors who are responsible for more than one school district? _____

Contact information for the SFA Director

Name: _____

Address: _____

Telephone: (_____) _____

Email: _____

Name and address of person filling out this survey if other than the SFA Director

Name: _____

Title: _____

Address: _____

Telephone: (____) _____

Email: _____

SECTION 1. INTRODUCTION

1.1 How would you characterize your School Food Authority (SFA)? Is your SFA responsible for a school district, several school districts, or an individual school?

- One school district with multiple schools..... 1
- Several school districts 2
- One individual school..... 3
- Other..... 4
- (SPECIFY)_____

1.2 Does your school district have a Pre-K program?

- YES 1
- NO..... 2 (GO TO NEXT SECTION)
- DON'T KNOW..... 8 (GO TO NEXT SECTION)

1.3 Do the children that participate in the Pre-K program have access to school meals?

- YES 1
- NO 2
- DON'T KNOW..... 8

SECTION 2. SCHOOL PARTICIPATION

Throughout the survey, you ask for information on "the school district." This wording could be confusing for respondents whose SFA is responsible for multiple school districts. Does "the school district" refer to a particular district they are responsible for? If so, which one? Does "the school district" refer to all school districts under their purview? This wording could also be confusing for respondents whose SFA is responsible for an individual school. Does "the school district" refer to the school district the school resides in? If so, would respondents have access to data for the entire district?

If you intend "the school district" to mean "the schools that are the responsibility of the respondent's SFA," please consider replacing each instance of "the school district" with alternate wording to reflect this.

The next few questions are about the number of schools in your SFA participating in the school breakfast and lunch programs during the 2010-2011 school year.

- 2.1 For this question, please record your responses separately for Elementary (i.e., schools composed of any span of grades from Kindergarten through 6th grade); Middle or Junior High (i.e., schools that have no grade lower than 6 and no grade higher than 9); or High School (i.e., schools that have no grade lower than 9 and continue through grade 12). If any school does not meet the Elementary, Middle or Junior High, or High School definition, please include them in the "Other school" column and describe them briefly in Question 2.1.1.

Please answer the following questions for the 2010-2011 School Year:

Number of Schools	Elementary School	Middle or Junior High	High School	Other school	Total
a. Total Number of schools in the school district	_____	_____	_____	_____	_____
b. Number participating in both the School Breakfast Program (SBP) and the National School Lunch Program (NSLP)	_____	_____	_____	_____	_____
c. Number participating in SBP only	_____	_____	_____	_____	_____
d. Number participating in NSLP only	_____	_____	_____	_____	_____
e. Number NOT participating in either SBP or NSLP	_____	_____	_____	_____	_____

2.1.1 Please list the grades included in schools listed under “other.”

2.2 For the 2010-2011 school year, how many schools participate in the School Breakfast Program as severe need schools?

Elementary School	Middle or Junior High	High School	Other school	Total
_____	_____	_____	_____	_____

SECTION 3. STUDENT PARTICIPATION

The next few questions are about the number of children enrolled in the school(s) you serve and their participation in the school breakfast and lunch programs during the 2010-2011 school year.

3.1 For this question, please record your responses separately for Elementary (i.e., schools composed of any span of grades from Kindergarten through 6th grade); Middle or Junior High (i.e., schools that have no grade lower than 6 and no grade higher than 9); or High School (i.e., schools that have no grade lower than 9 and continue through grade 12). If any school does not meet the Elementary, Middle or Junior High, or High School definition, please include them in the “Other school” column.

Please answer the following questions for the 2010-2011 School Year:

Number of Students	Elementary School	Middle or Junior High	High School	Other school	Total
a. Total Number of students enrolled in the 2010-2011 School Year as of October 1st	_____	_____	_____	_____	_____
b. Number approved to receive free meals	_____	_____	_____	_____	_____
c. Number approved to receive reduced price meals	_____	_____	_____	_____	_____
d. Number of students included in the “Total Student Enrollment” without access to the SBP*	_____	_____	_____	_____	_____
e. Number of students included in the “Total Student Enrollment” without access to NSLP*	_____	_____	_____	_____	_____
f. What was the average daily attendance for the month of October 2010	_____	_____	_____	_____	_____

*Kindergarten students who attend school half day and do not have access to meals or a school that does not have the NSLP or the SBP should be included in this count.

SECTION 4. FOOD SERVICE CHARACTERISTICS

The next section asks about food services that may be available in your school district.

4.1 What types of meal service systems do you currently use in the schools? Do you use...

	<u>Yes</u>	<u>No</u>
Traditional cafeteria line.....	1	
.....		2
Food court concepts where students select from various specialty stations, such as burger bars, salad bars, etc.....	1	
.....		2
Window service where students can walk-up and obtain food from a limited menu.....	1	
.....		2
Speed lines where multiple points of service are offered including pre-wrapped products, such as chef salads, standard bagged lunches, etc.....	1	
.....		2
Kiosks that offer food for faster service at small, free-standing carts.....	1	
.....		2
Packaged, reimbursable meals at a pick-up and go setting.....	1	
.....		2
Food boutiques and convenience stores which are similar in appearance to retail stores with specialized food choices.....	1	
.....		2
Emphasis on visual display (Marche concepts).....	1	
.....		2
Other.....	1	
.....		2
(SPECIFY)		

4.2 Do you give elementary school students the 'offer vs. serve' option for the NSLP?

- YES..... 1
- NO..... 2

4.3 Which of the following types of alternatives to SBP and NSLP meals are available in your school(s)? Please circle a response for each meal alternative or not applicable.

Meal alternatives	Elementary school			Middle or Junior High			High school			Other school		
	Yes	No	NA	Yes	No	NA	Yes	No	NA	Yes	No	NA
A la carte items during breakfast.....	1	2	3	1	2	3	1	2	3	1	2	3
A la carte items during lunch.....	1	2	3	1	2	3	1	2	3	1	2	3
Vending machines.....	1	2	3	1	2	3	1	2	3	1	2	3
Snack bars.....	1	2	3	1	2	3	1	2	3	1	2	3
School store.....	1	2	3	1	2	3	1	2	3	1	2	3
Alternate food source.....	1	2	3	1	2	3	1	2	3	1	2	3

4.4 Where In which of the following locations are students allowed to eat their breakfasts and lunches?

	Breakfast			Lunch		
	Yes	No	N/A	Yes	No	N/A
Cafeteria.....	1	2	3	1	2	3
Outside tables.....	1	2	3	1	2	3
Classroom.....	1	2	3	1	2	3
Other.....	1	2	3	1	2	3
(SPECIFY) _____						

4.5 During the current school year, do high schools allow any of their students to go off-campus during lunch in all, some, or none of the schools?

- All schools..... 1
- Some schools..... 2
- None of the schools..... 3
- Not applicable..... 4
- Don't know..... 8

4.6 How much time on average is a student given to eat school breakfast? Please circle the closest time period for each type of school.

Do you want to include a N/A option for schools that do not serve breakfast?

	Time allowed			
	Less than 20 minutes	20 minutes	30 minutes	45 minutes or more
Elementary School.....	1	2	3	4
Middle or Junior High School.....	1	2	3	4
High School.....	1	2	3	4
Other School.....	1	2	3	4

4.7 How much time on average is a student given to eat lunch? Please circle a response for each type of school.

	Time allowed			
	Less than 30 minutes	30 minutes	45 minutes	60 minutes
Elementary School.....	1	2	3	4
Middle or Junior High School.....	1	2	3	4
High School.....	1	2	3	4
Other School.....	1	2	3	4

4.8 In most elementary schools, is lunch provided before or after recess?

- Before recess..... 1
- After recess..... 2
- Some before and some after recess..... 3
- Don't know..... 8

4.9 Are students allowed to leave the cafeteria after eating, before the lunch period is over, or do they remain in the cafeteria for the entire lunch period?

	Elementary school	Middle or Junior High	High school	Other school
Students allowed to leave the cafeteria after eating	1	1	1	1
Students remain in the cafeteria for the entire lunch period	2	2	2	2
Don't know	8	8	8	8

4.10 Which of the following methods does your SFA use in planning lunch menus?

- | | <u>Yes</u> | <u>No</u> |
|---|------------|-----------|
| Traditional Food-Based Menu Planning..... | 1 | |
|2 | | |
| Enhanced Food-Based Menu Planning..... | 1 | |
|2 | | |
| Nutrient Standard Menu Planning (NuMenus)..... | 1 | |
|2 | | |
| Assisted Nutrient Standard Menu Planning
(Assisted NuMenus)..... | 1 | |
|2 | | |
| New or innovative approaches to menu
planning..... | 1 | |
|2 | | |

4.10a Describe new or innovative approaches to menu planning:

4.11 Does your school [*district*] [*remove the italics*] have policies for school meals, a la carte items, or vending machines that are stricter than the federal rules?

	<u>Yes</u>	<u>No</u>	<u>Don't know</u>
School meals.....	1		
.....2	3		
A la carte items.....	1		
.....2	3		
Vending machines.....	1		
.....2	3		

4.12 Have any *individual* schools implemented stricter food policies than Federal, state, or district-level rules?

YES.....	1
NO.....	2
DON'T KNOW.....	8

4.13 Does your SFA conduct a formal nutritional analysis of your menus? That is, does your SFA determine the nutritional content of the meals served independent of the menu planning system you use?

YES.....	1
NO.....	2 (GO TO Q4.17)
DON'T KNOW.....	8 (GO TO Q4.17)

4.14 Is nutrition information posted for students, staff, and/or parents to see?

YES.....	1
NO.....	2 (GO TO Q4.17)
DON'T KNOW.....	8 (GO TO Q4.17)

4.15 Where is the nutrition information posted? (CIRCLE ALL THAT APPLY.)

- On the school website 1
 - In the cafeteria..... 2
 - On menu or flyer sent to students' homes..... 3
 - Other 4
- (SPECIFY): _____

4.16 Is free drinking water available to students where school meals are served?

	Elementary school	Middle or Junior High	High school	Other school
YES	1	1	1	1
NO	2	2	2	2
Don't know	8	8	8	8

IF YES TO QUESTION 4.16 GO TO QUESTION 4.17.
 IF NO OR DON'T KNOW TO QUESTION 4.16 GO TO QUESTION 4.19

4.17 How is free drinking water made available to students during breakfast? Do they have access to... (CIRCLE ALL THAT APPLY.)

Do you want to have a N/A option for SFAs that do not have schools that serve breakfast?

- Water fountains 1
 - Water in pitchers, jugs, or cups..... 2
 - Free bottled water 3
 - Other..... 4
- (SPECIFY) _____

4.18 How is free drinking water made available to students during lunch? Do they have access to... (CIRCLE ALL THAT APPLY.)

- Water fountains 1
- Water in pitchers, jugs, or cups..... 2
- Free bottled water 3
- Other..... 4
- (SPECIFY)_____

4.19 How many of each of the following types of kitchens does your school district currently operate? (Please enter number of kitchens. If none, enter "0". If you have kitchen types not described here, please record under "Other" and provide a brief description).

<u>Type of kitchen</u>	<u>Number of kitchens</u>
Central kitchens where meals are prepared only for serving at receiving or satellite schools.....	1 _____
Base kitchens where meals are prepared for serving on-site and for shipment to receiving kitchens	2 _____
On-site kitchens where meals are prepared for serving only at the facility in which the kitchen is located.....	3 _____
Receiving or satellite kitchens which obtain partially or fully prepared meals from a base or central kitchen or an outside vendor.....	4 _____
Combination kitchens where some food is prepared for on-site consumption and some food is received fully or partially prepared from a central or base kitchen.....	5 _____
Other type of kitchen	6 _____
(SPECIFY)_____	

4.20 Are food service facilities in your district used to prepare foods for purposes other than SBP and NSLP?

- YES..... 1
- NO..... 2 (GO TO NEXT SECTION)
- DON'T KNOW..... 8 (GO TO NEXT SECTION)

4.21 Are these facilities used to prepare reimbursable meals for other programs such as...
[Do you need a Don't Know option?](#)

	<u>Yes</u>	<u>No</u>
Child and Adult Care Food Program (CACFP).....	1	
.....2		
Summer Food Service Program (SFSP).....	1	
.....2		
Elderly Nutrition Program	1	
.....2		
Head Start Program	1	
.....2		
Other schools or school systems	1	
.....2		
Disaster feeding	1	
.....2		
Any other program.....	1	
.....2		
(SPECIFY)_____		

4.22 Are these facilities used to prepare food for non-reimbursable purposes?
Do you need a Don't Know option?

	<u>Yes</u>	<u>No</u>
Athletic events	1	
.....2		
PTA meetings	1	
.....2		
School staff meals	1	
.....2		
Day care	1	
.....2		
Catering	1	
.....2		
Any other event.....	1	
.....2		
(SPECIFY)_____		

SECTION 5. MEAL PRICES

The next few questions are about the meal prices for the current School Year (2010-2011) and how the prices have changed during the past three years.

5.1 What prices did you charge for reimbursable full price, reduced price, and adult **breakfasts** in your school district by school level at the beginning of the 2010-2011 school year?

Do you want to have a N/A option for SFAs with no schools that serve breakfast?

Breakfast Prices	Elementary school	Middle or Junior High	High school	Other school
Full price breakfast.....	\$ _____	\$ _____	\$ _____	\$ _____
Reduced price breakfast. .	\$ _____	\$ _____	\$ _____	\$ _____
Adult breakfast.....	\$ _____	\$ _____	\$ _____	\$ _____

5.2 What prices did you charge for reimbursable full price, reduced price, and adult **lunches** in your school district by school level at the beginning of the 2010-2011 school year?

Lunch Prices	Elementary school	Middle or Junior High	High school	Other school
Full price lunch.....	\$ _____	\$ _____	\$ _____	\$ _____
Reduced price lunch.....	\$ _____	\$ _____	\$ _____	\$ _____
Adult lunch.....	\$ _____	\$ _____	\$ _____	\$ _____

5.3 Please record the price charged at the Elementary (i.e., schools comprised of any span of grades from Kindergarten through 6th grade), Middle or Junior High (i.e., schools that have no grade lower than 6 and no grade higher than 9), and high school (i.e., schools that have no grade lower than 9 and continue through grade 12) levels (or under the other column if a school does not meet the definitions for an Elementary, Middle or Junior High, or High school). What prices did you charge for reimbursable full price, reduced price, and adult **breakfasts** at the beginning of the past two school years.

Do you want to have a N/A option for SFAs with no schools that serve breakfast?

2009-2010

Prices did not change from the previous year ____

Breakfast Prices	Elementary school	Middle or Junior High	High school	Other school
Full price breakfast	\$ _____	\$ _____	\$ _____	\$ _____
Reduced price breakfast	\$ _____	\$ _____	\$ _____	\$ _____
Adult breakfast	\$ _____	\$ _____	\$ _____	\$ _____

2008-2009

Prices did not change from the previous year ____

Breakfast Prices	Elementary school	Middle or Junior High	High school	Other school
Full price breakfast	\$ _____	\$ _____	\$ _____	\$ _____
Reduced price breakfast	\$ _____	\$ _____	\$ _____	\$ _____
Adult breakfast	\$ _____	\$ _____	\$ _____	\$ _____

5.4 Please record the price charged at the Elementary (i.e., schools comprised of any span of grades from Kindergarten through 6th grade), Middle or Junior High (i.e., schools that have no grade lower than 6 and no grade higher than 9), and high school (i.e., schools that have no grade lower than 9 and continue through grade 12) levels (or under the other column if a school does not meet the definitions for an Elementary, Middle, or High school). What prices did you charge for reimbursable full price, reduced price, and adult **lunches** at the beginning of each of the past two school years?

2009-2010

Prices did not change from the previous year ____

Lunch Prices	Elementary school	Middle or Junior High	High school	Other school
Full price lunch	\$ _____	\$ _____	\$ _____	\$ _____
Reduced price lunch	\$ _____	\$ _____	\$ _____	\$ _____
Adult lunch	\$ _____	\$ _____	\$ _____	\$ _____

2008-2009

Prices did not change from the previous year _____

Lunch Prices	Elementary school	Middle or Junior High	High school	Other school
Full price lunch	\$ _____	\$ _____	\$ _____	\$ _____
Reduced price lunch	\$ _____	\$ _____	\$ _____	\$ _____
Adult lunch	\$ _____	\$ _____	\$ _____	\$ _____

5.5 Over the past 3 years, in general, which of the following factors influenced the school breakfast prices?

Do you want to have a N/A option for SFAs with no schools that serve breakfast?

	<u>Yes</u>	<u>No</u>	<u>DK</u>
Food costs	1	2	8
Labor costs	1	2	8
Student participation rates.....	1	2	8
State revenues (increases or decreases).....	1	2	8
Federal subsidies (increases or decreases).....	1	2	8
Local subsidies (increases or decreases).....	1	2	8
Profits from a la carte items	1	2	8
Unpaid school meals.....	1	2	8
SFA budget deficit.....	1	2	8
Administrative indirect costs.....	1	2	8
Other reason.....	1	2	8
(SPECIFY)_____			

5.6 Over the past 3 years, in general, which of the following factors influenced the National school lunch prices?

	<u>Yes</u>	<u>No</u>	<u>DK</u>
Food costs	1	2	8
Labor costs	1	2	8
Student participation rates.....	1	2	8
State revenues (increases or decreases).....	1	2	8
Federal subsidies (increases or decreases).....	1	2	8
Local subsidies (increases or decreases).....	1	2	8
Profits from a la carte items	1	2	8
Unpaid school meals.....	1	2	8
SFA budget deficit.....	1	2	8
Administrative indirect costs.....	1	2	8
Other reason.....	1	2	8
(SPECIFY)_____			

5.7 Over the past 3 years, has your SFA taken any steps to minimize or avoid an increase in the prices charged for school breakfasts or lunches?

YES..... 1

NO..... 2 (GO TO Q5.9)

5.8 Over the past 3 years, what steps were taken to minimize or avoid an increase in the prices charged for school breakfasts or lunches? Did you ...

	<u>Yes</u>	<u>No</u>
Switch to lower priced foods	1	
.....2		
Reduce food service administrative staff hours.....	1	
.....2		
Reduce the number of kitchen staff hours.....	1	
.....2		
Substitute part-time staff for full-time staff	1	
.....2		
Use USDA donated foods	1	
.....2		
Increase the quantity of a la carte sales	1	
.....2		
Increase the price of a la carte items	1	
.....2		
Increase the price of adult meals	1	
.....2		
Improve food staff efficiency	1	
.....2		
Postpone equipment repair/ replacement	1	
.....2		
Use school district general funds	1	
.....2		
Reduce the number of on-site kitchens	1	
.....2		
Ask for volunteer help.....	1	
.....2		
Take other steps	1	
.....2		
(SPECIFY)_____		

5.9 When meal prices are increased, do you take any special steps to maintain participation?

YES.....	1
NO.....	2 (GO TO NEXT SECTION)
NOT APPLICABLE.....	3 (GO TO NEXT SECTION)

5.10 What steps do you take to maintain participation? Do you...

	<u>Yes</u>	<u>No</u>
Increase student or parent awareness of the program.....	1	
.....	2	
Improve meal quality	1	
.....	2	
Offer more popular foods.....	1	
.....	2	
Take other steps	1	
.....	2	
(SPECIFY) _____		

SECTION 6. REVENUES

6.1 For the last school year, that is, the 2009-10 school year, please record all income that was received by your school district's food service program. If no income, please enter zero.

6.1.1 Total income \$ _____

Income from local sources

- a. Full price meals served to students \$ _____
- b. Reduced price meals served to students \$ _____
- c. Adult meals \$ _____
- d. A la carte sales \$ _____
- e. Subsidy from the school district \$ _____
- f. Community donations \$ _____
- g. Catering \$ _____
- h. Other local income \$ _____

Income from state sources

- i. State meal reimbursements for free meals \$ _____
- j. State meal reimbursements for reduced-price meals \$ _____
- k. Other income from the state \$ _____

Income from Federal sources

- l. Federal meal reimbursements for free meals \$ _____
- m. Federal meal reimbursements for reduced-price meals \$ _____
- n. Federal meal reimbursements for full price meals \$ _____
- o. Federal income from other child nutrition programs (e.g., FFVP, SMP) \$ _____
- p. Adjustment for an underclaim from a federal or state audit \$ _____
- q. Other federal income \$ _____

r. Other sources of income Amounts of other income

_____ \$ _____

_____ \$ _____

_____ \$ _____

6.2 The next set of questions ask about whether your district or state provided a subsidy for breakfasts or lunches and how that subsidy was provided during the last school year, that is, the 2009-2010 school year.

Do you want to have a N/A option for SFAs with no schools that serve breakfast?

		Did you receive a subsidy?	IF YES, how was the subsidy provided?	
School District				
Breakfast	Yes..... 1 No..... 2	Per-meal.....	1	
		Annual lump sum.....	2	
		Supplement to cover specific costs.....	3	
		Based on a percentage of low-income students	4	
		Other	5	(SPECIFY) _____
<hr/>				
Lunch	Yes..... 1 No..... 2	Per-meal.....	1	
		Annual lump sum.....	2	
		Supplement to cover specific costs.....	3	
		Based on a percentage of low-income students	4	
		Other	5	(SPECIFY) _____
<hr/>				
State				
Breakfast	Yes..... 1 No..... 2	Per-meal.....	1	
		Annual lump sum.....	2	
		Supplement to cover specific costs.....	3	
		Based on a percentage of low-income students	4	
		Other	5	(SPECIFY) _____
<hr/>				
Lunch	Yes..... 1 No..... 2	Per-meal.....	1	
		Annual lump sum.....	2	
		Supplement to cover specific costs.....	3	
		Based on a percentage of low-income students	4	
		Other	5	(SPECIFY) _____

SECTION 7. EXPENDITURES

| This section ~~is~~ asks about expenditures.

7.1 For the last school year that is, the 2009-10 school, year, please record all expenditures made by your school district's food service program.

7.1.1.		Total expenditures \$

a.	Salaries	\$ _____
b.	Fringe benefits	\$ _____
c.	Purchased foods	\$ _____
d.	Capital expenditures	\$ _____
e.	Supplies	\$ _____
f.	Storage and transportation	\$ _____
g.	Contracted services	\$ _____
h.	Payment for an overclaim as a result of a state or Federal audit	\$ _____
i.	Overhead/Indirect costs	\$ _____
j. Other sources of expenditures		<u>Amounts of other expenditures</u>
	_____	\$ _____
	_____	\$ _____
	_____	\$ _____

SECTION 8. ALTERNATIVE MEALS/RECOUPING CREDITS

The following questions are about alternative meals provided and ~~about~~ recouping credits.

8.1 What is normally done if a child who is not receiving a free meal cannot pay for a meal?

- Serve the child the reimbursable meal 1
- Serve the child an alternate meal..... 2
- Do not serve the child a meal 3
- Other..... 4
- (SPECIFY) _____

8.1.1 Does your school district keep track of the amount of money owed as a result of unpaid school meals?

- YES..... 1
- NO 2

8.2 For the 2009-10 school year, what was the total amount of money owed to your school district as a result of unpaid school meals?

\$ _____

8.3 How much of this money has been recovered?

\$ _____

8.4 What steps does your district take to recover money for unpaid student meals?

- | | <u>Yes</u> | <u>No</u> |
|---|------------|-----------|
| Bill the parents..... | 1 | |
| | | 2 |
| Provide the student with alternate meals until
the debt is paid..... | 1 | |
| | | 2 |
| Use a debt collection agency..... | 1 | |
| | | 2 |

Try to retroactively approve the student for free or reduced price meals.....	1
.....	2
Administrative actions (e.g., withhold grades).....	1
.....	2
No effort made.....	1
.....	2
Other.....	1
.....	2
(SPECIFY)_____	

SECTION 9. MEAL COUNTING AND CLAIMING

The following questions ask about meal counting and claiming.

9.1 How does your SFA keep track of the number the number of free, reduced price, and paid meals served to students?

	<u>Yes</u>	<u>No</u>
Tickets or tokens	1	
.....2		
Swipe cards.....	1	
.....2		
PIN numbers.....	1	
.....2		
Biometric technology (e.g., fingerprint scanners).....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY)_____		

9.2 Which of the following types of payments are accepted?

	<u>Yes</u>	<u>No</u>
Cash at POS.....	1	
.....2		
Credit or debit card	1	
.....2		
Personal check or money order.....	1	
.....2		
Prepayment via the internet.....	1	
.....2		
Prepayment via mail, phone, or fax.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY)_____		

9.3 Which of the following types of training is provided to cashiers?

Type of training	Training available?	IF YES, how often provided? (CIRCLE ALL THAT APPLY)
a. Method of counting meals	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3
b. Monitoring student meal selections for reimbursable meals	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3
c. Managing cash for a la carte and adult meals	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3
d. Acceptable types of payments	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3
e. Meal and food pricing	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3
f. Offer versus serve	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3
g. Applications for free or reduced price meals	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3
h. Operating a Point of Service (POS) system	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3
i. Other SPECIFY _____	Yes..... 1	When cashier is hired..... 1
	No..... 2	Once each school year..... 2
		More than once each school year3

9.4 Does your SFA conduct on-site monitoring of cashiers?

- Yes 1
- No..... 2 (GO TO NEXT SECTION)

9.5 How often is on-site monitoring conducted?

- Less than once a year 1
- Once a year..... 2
- Twice a year..... 3
- Three or more times a year..... 4
- Once every 5 years..... 5

SECTION 10. PROCUREMENT ISSUES

The next questions are about procurement issues.

10.1 During the 2010-2011 school year, has your school district given preference to purchasing unprocessed foods for school meal programs that have been locally grown, raised, or produced? Would you say...

- MOST OF THE TIME..... 1
- SOME OF THE TIME..... 2
- NEVER..... 3 (GO TO Q10.5)

10.2 If locally grown fruits, vegetables, and other products cost more than similar products obtained from outside the local area, to what extent do you purchase them anyway? Do you

- Always purchase or try to purchase local foods..... 1
- Sometimes purchase or try to purchase local foods..... 2
- Only purchase local foods when they are priced competitively..... 3

10.3 Which of the following types of local foods have you given preference to in your purchases? (CIRCLE ALL THAT APPLY.)

- Fresh fruits and vegetables..... 1
 - Pasteurized milk..... 2
 - Meat, fish, or poultry..... 3
 - Other..... 4
- (SPECIFY)_____

10.4 When giving preferences to the purchase of local foods, do you consider “local” to be within (CIRCLE ALL THAT APPLY.)

- 50 miles of your school(s)..... 1
- 51-100 miles of your school(s)..... 2
- 101-200 miles of your school(s)..... 3
- More than 200 miles of your school(s)..... 4
- Some other definition..... 5
- (SPECIFY) _____

FOOD PURCHASING SPECIFICATIONS

10.5 When your SFA orders foods for the school meal programs, how often do you specify the nutrient requirements for a single serving of a specific type of food or meal?

- Always 1
- Sometimes 2
- Never..... 3

10.6 For which of the following food types do you specify per serving nutrient requirements?

	<u>Yes</u>	<u>No</u>
Milk	1	
.....2		
Main dish/entree.....	1	
.....2		
Bread or bread alternate.....	1	
.....2		
Salad/ raw vegetables.....	1	
.....2		
Cooked vegetables	1	
.....2		
Fruit.....	1	
.....2		
Beverages other than milk.....	1	
.....2		
Snack foods.....	1	
.....2		
Desserts.....	1	
.....2		

10.7 Which of the following types of nutritional information per serving do you require from vendors for the foods they supply?

	<u>Yes</u>	<u>No</u>
Total calories	1	
.....2		
Protein.....	1	
.....2		
Fiber.....	1	
.....2		
Carbohydrates.....	1	
.....2		
Calcium.....	1	
.....2		
Iron.....	1	
.....2		
Vitamin A	1	
.....2		
Vitamin B	1	
.....2		
Vitamin C	1	
.....2		
Vitamin D	1	
.....2		
Sodium.....	1	
.....2		
Sugar.....	1	
.....2		
Percent of calories from total fat.....	1	
.....2		
Percent of calories from saturated fat.....	1	
.....2		
Percent of calories from trans fat.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY) _____		

10.8 In the last year, have vendors always, sometimes, or never supplied the nutritional information you requested?

- Always 1
- Sometimes..... 2
- Never..... 3

10.9 How are food products purchased for your school district?

- | | <u>Yes</u> | <u>No</u> |
|--|------------|-----------|
| Directly purchased by SFA..... | 1 | |
|2 | | |
| Directly purchased by the schools..... | 1 | |
|2 | | |
| Directly purchased by your state..... | 1 | |
|2 | | |
| Directly purchased by a consortium of states..... | 1 | |
|2 | | |
| Through a food co-op..... | 1 | |
|2 | | |
| By Food Service Management companies
(FSMCs)..... | 1 | |
|2 | | |
| Through the Department of Defense Fresh
Fruit and
Vegetable Program..... | 1 | |
|2 | | |
| Other..... | 1 | |
|2 | | |
| (SPECIFY) _____ | | |

10.10 Does your SFA use school food service management companies (FSMCs)?

- YES..... 1
- NO..... 2 (GO TO

Q.10.12)

[There is no Q.10.12. Are you missing a question?](#)

10.11 Which of the following methods does your school district use to track rebates, discounts, or fees for service from Food Service Management Companies (FSMCs)?

- | | <u>Yes</u> | <u>No</u> |
|---|------------|-----------|
| Contracts specify the value of USDA donated
foods must be credited to the school district..... | 1 | |
|2 | | |

We obtain documentation supporting the calculation of the bid rate per meal	1
.....2	
We check that invoices specify credits and reductions	1
.....2	
We review documentation supplied by FSMC's on variable costs (i.e. the out-of-pocket cash expenses paid for inputs unique to the commodity being produced).....	1
.....2	
We require the return of discounts, rebates, and applicable credits and appropriate documentation.....	1
.....2	
Other review and oversight procedures.....	1
.....2	
(SPECIFY)_____	

SECTION 11. INVOLVEMENT IN OTHER PROGRAMS

The next set of questions ask about your school district's involvement in other programs.

11.1 Does your SFA participate in the following?

	<u>YES</u>	<u>NO</u>
USDA <i>Fresh Fruit and Vegetable Program</i> [remove italics].....	1	
.....		2
The NSLP After School Snack Program.....	1	
.....		2
The CACFP At-Risk After School Snack or Supper Program.....	1	
.....		2
Summer Food Service Program.....	1	
.....		2

11.2 Does your SFA participate in the Department of Defense (DoD) Fresh program?

YES.....	1	
NO.....	2	(GO TO Q11.5)

11.3 How satisfied are you with the way the DoD Fresh Fruit and Vegetable Program is working in your state in each of the following areas?

	Very satisfied	Satisfied	Dissatisfied	Very dissatisfied	Not applicable
Price for fruits and vegetables.....	1	2	3	4	5
On-line ordering.....	1	2	3	4	5
Overall customer service.....	1	2	3	4	5
Other..... (SPECIFY)_____	1	2	3	4	5

IF ALL ANSWERS TO QUESTION 11.3 ARE "VERY SATISFIED" OR "SATISFIED," GO TO QUESTION 11.5

11.4 Why are you dissatisfied with the DoD Fresh Program?

11.5 Does your SFA participate in the Farm to School Initiative?

- YES..... 1
- NO..... 2 (GO TO Q11.7)

11.6 As part of your district's Farm to School Initiative, in which of the following activities do you participate?

	<u>Yes</u>	<u>No</u>
Nutrition education at school.....	1	
.....2		
Agriculture-related lessons and curriculum.....	1	
.....2		
School or community gardens.....	1	
.....2		
Farm tours.....	1	
.....2		
Taste testing.....	1	
.....2		
Parent educational lessons.....	1	
.....2		
Community educational lessons.....	1	
.....2		

11.7 How many schools in your district have been recognized as HealthierUS schools at the following levels?

For this question, please record your responses separately for Elementary (i.e., schools composed of any span of grades from Kindergarten through 6th grade); Middle or Junior High (i.e., schools that have no grade lower than 6 and no grade higher than 9); or High School (i.e., schools that have no grade lower than 9 and continue through grade 12). If any school does not meet the Elementary, Middle or Junior High, or High School definition, please include them in the “Other school” column.

Do you need a N/A column?

	Elementary school	Middle or Junior High	High school	Other school	Not Applicable
Gold Award of Distinction	_____	_____	_____	_____	_____
Gold	_____	_____	_____	_____	_____
Silver	_____	_____	_____	_____	_____
Bronze	_____	_____	_____	_____	_____

11.8 Have any other schools applied, but have not yet been recognized as HealthierUS schools?

- YES..... 1
- NO..... 2
- Not Applicable..... 3
- DON'T KNOW..... 8

11.9 What challenges do schools face in trying to attain the HealthierUS schools recognition?

SECTION 12. TRAINING AND TECHNICAL ASSISTANCE

The next set of questions deal with training and technical assistance on various aspects of food service during this school year (SY 2010-2011).

12.1. In what topic areas does your SFA staff receive training and technical assistance ?

If staff received training and technical assistance, please circle how useful the training or technical assistance is for each of the topic areas.

TOPIC AREA	Was training or technical assistance provided?	12.2. If YES, how useful was the training?	12.3 Who provided the training or technical assistance? (CIRCLE ALL THAT APPLY.)
a. Menu Planning Options under school meals initiative..... D-40	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
b. Defining reimbursable meals.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
c. Using computer/software.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____

TOPIC AREA	Was training or technical assistance provided?	12.2. If YES, how useful was the training?	12.3 Who provided the training or technical assistance? (CIRCLE ALL THAT APPLY.)
d. Developing menu cycles.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
e. Using standardized recipes.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
41 D- f. Implementing offer vs. serve.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
g. Controlling portion sizes.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____

TOPIC AREA	Was training or technical assistance provided?	12.2. If YES, how useful was the training?	12.3 Who provided the training or technical assistance? (CIRCLE ALL THAT APPLY.)
h. Documenting use of substitute foods.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
i. Documenting use of leftovers.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
42 D- j. Marketing your food program.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
k. Food purchasing.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____

TOPIC AREA	Was training or technical assistance provided?	12.2. If YES, how useful was the training?	12.3 Who provided the training or technical assistance? (CIRCLE ALL THAT APPLY.)
i. Food sanitation/safety.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
m. Contracting.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
43 D- n. Program regulations and procedures.....	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____
o. Other..... (SPECIFY) _____ _____ _____	Yes.....1 No.....2	Very useful.....1 Somewhat useful.....2 Not at all useful.....3	SFA Staff1 State Child Nutrition Agency.....2 Local/regional state agency.....3 USDA FNIC.....4 NET program.....5 National Food Service Management Institute (NFSMI).....6 Cooperative extension.....7 Computer software vendor.....8 College/university.....9 Private consultant.....10 Private food industry.....11 Other.....12 (SPECIFY)_____

12.4 During the 2010-11 school year, who received training or technical assistance?

	<u>Yes</u>	<u>No</u>
Cafeteria Manager.....	1	
.....	2	
Other Cafeteria workers.....	1	
.....	2	
School Administrators.....	1	
.....	2	
Other	1	
.....	2	
(SPECIFY) _____		

12.5 What additional training or technical assistance does your SFA think is needed?

SECTION 13. FOOD SAFETY PROGRAM

The following questions are about food safety.

13.1 Do schools in your SFA have a written Food Safety Plan based on Hazard Analysis and Critical Control Point (HACCP) principles?

- All schools..... 1 (GO TO Q13.3)
- Most schools..... 2
- Some schools..... 3
- None of the schools..... 4

13.2 What is the main reason that all schools do not have a written Food Safety Plan and/or a HACCP Plan for the preparation and service of school meals served to children?

13.3 Which of the following food safety program components have been implemented in the school(s) under your supervision?

	<u>Yes</u>	<u>No</u>
Written Standard Operating Procedures (SOPs)	1	
.....2		
Electronic Commodity Ordering System (ECOS).....	1	
.....2		
Annual review and updating of food safety plan	1	
.....2		
Menu items grouped by process (e.g., no cook, same day service, complex)	1	
.....2		
Temperatures taken and recorded for Foods at receiving.....	1	
.....2		

Foods in storage	1
.....2	
End-point cooking temperatures.....	1
.....2	
Holding temperatures.....	1
.....2	
Serving temperatures.....	1
.....2	
Cooling temperatures	1
.....2	

13.4 Which of the following preventive measures are included in your food safety plan for produce?

	<u>Yes</u>	<u>No</u>
Washing thoroughly all produce before cutting, cooking, or serving	1	
.....2		
Throwing out bruised or damaged produce	1	
.....2		
Keeping produce on the service line refrigerated or surrounded by ice	1	
.....2		
Storing perishable fresh fruits and vegetables at appropriate temperatures.....	1	
.....2		
Storing fresh fruits and vegetables to prevent cross contamination with other food products.....	1	
.....2		
Food safety requirements in procurement specifications or contracts for suppliers or distributors.....	1	
.....2		

13.5 Do you have policies and procedures to accommodate students with food allergies?

YES.....	1
NO.....	2
DON'T KNOW.....	8

13.6 How many children with food allergies are served in your SFA?
[Do you want a Don't Know option here?](#)

NUMBER OF CHILDREN WITH FOOD ALLERGIES

13.7 What types of food service procedures do you use to protect students with food allergies?

	<u>Yes</u>	<u>No</u>
Separate tables	1	
.....2		
Menu signs for foods that contain peanuts.....	1	
.....2		
Menu signs for foods that contain milk.....	1	
.....2		
Menu signs for foods that contain other items to which students are allergic.....	1	
.....2		

13.8 Do you have policies and procedures to accommodate students with special diets?

YES.....	1	
NO.....	2	
DON'T KNOW.....	8	

13.9 How many children with non-allergy related special diets are served in your district?
[What if the number of children with special diets = 8? What will be the input for Don't Know?](#)

.....DON'T KNOW
8

NUMBER OF CHILDREN WITH SPECIAL DIETS

13.10 What types of food service procedures do you use to protect students with special diets?

	<u>Yes</u>	<u>No</u>
Signed prescription from child's physician.....	1	
.....2		

Cashier has child names to check trays..... 1
2
 Consultation with registered dietitian to plan
 menus..... 1
2
 Other..... 1
2
 (SPECIFY)_____

FOOD SAFETY INSPECTIONS

13.11 For each of the following school years, how many schools in your SFA had two or more safety inspections?

	<u>All</u>	<u>Most</u>	<u>Some</u>	<u>None</u>	
a. School Year 2009-2010.....	1	2	3	4	4
b. School Year 2008-2009.....	1	2	3	4	4
c. School Year 2007-2008.....	1	2	3	4	4

IF SY 2009-2010 = ALL, MOST OR SOME GO TO QUESTION 13.12.
 IF SY 2009-2010 = NONE, GO TO QUESTION 13.13

13.12 Which of the following types of agencies conducted the school food safety inspections during the 2009-2010 SY?

	<u>Yes</u>	<u>No</u>
State governmental agency (e.g. public health agency)	1	
.....	2	
Local governmental agency	1	
.....	2	
Some other type of agency.....	1	
.....	2	
(SPECIFY)_____		

13.13 Which of the following reasons best describe why at least two inspections were not made at all schools covered under your food safety plan during school year 2009-2010:

	<u>Yes</u>	<u>No</u>
Insufficient funding at State and local public health agencies	1	
.....2		
Lack of local public health inspectors	1	
.....2		
Schools are a low priority.....	1	
.....2		
The public health agencies prioritize inspections according to risk.....	1	
.....2		
Insufficient funding in the school district to pay for two or more inspections.....	1	
.....2		
Some other reason.....	1	
.....2		
(SPECIFY) _____		

13.14 Were any schools cited for food safety inspection violations during school year 2009-2010?

YES	1	
NO.....	2	(GO TO Q13.17)

13.15 How many schools were cited for food safety violations during school year 2009-2010?

	Number of <u>schools cited</u>
Elementary School.....	_____
Middle or Junior High School.....	_____
High School.....	_____
Other school.....	_____

13.16 During the 2009-10 school year, how many schools were cited for the following violations?

	<u>All</u>	<u>Most</u>	<u>Some</u>	<u>None</u>
Food storage problems	1	2		
.....3	4			
Improper temperature of food during storage, cooking, holding, and/or cooling.....	1	2		
.....3	4			
Inconsistent or not using gloves and/or hair restraints	1	2		
.....3	4			
Presence of pests.....	1	2		
.....3	4			
Raw meat or fish not properly separated from ready-to-eat food.....	1	2		
.....3	4			
Surfaces and/or utensils not properly cleaned/sanitized.....	1	2		
.....3	4			
Lack of proper, adequate hand washing.....	1	2		
.....3	4			
Chemicals and other poisonous or toxic materials not properly marked, stored, or used.....	1	2		
.....3	4			
Other	1	2		
.....3	4			
(SPECIFY) _____				

HOLD OR RECALL PROCEDURES FOR USDA FOODS

13.17 How is your SFA alerted about holds or food recalls?

	<u>Yes</u>	<u>No</u>
Email notification	1	
.....2		
Telephone calls.....	1	
.....2		
Fax.....	1	
.....2		
Notice sent by mail.....	1	
.....2		
Other.....	1	
.....2		

(SPECIFY) _____

13.18 How does your SFA alert schools about holds or food recalls? Does your SFA...

	<u>Yes</u>	<u>No</u>
Send email notification	1	
.....2		
Make telephone calls	1	
.....2		
Send faxes.....	1	
.....2		
Send notice by mail.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY) _____		

13.19 What are schools expected to do when there is a USDA food recall? Do they...

	<u>Yes</u>	<u>No</u>
Follow the state or Federal guidelines or rules.....	1	
.....2		
Follow guidance from NFSMI's publication, "Responding to Food Recall"	1	
.....2		
Follow SFA rules or procedures.....	1	
.....2		
Follow local agency rules or procedures.....	1	
.....2		
1..... 2		
Other.....	1	
.....2		
(SPECIFY) _____		

There are no standard procedures for dealing with food items that have been recalled _____

FOOD SAFETY TRAINING

13.20 What percentage of schools in your SFA have at least one food service supervisor or manager who has a food safety certification?

 PERCENT

13.21 Which organizations performed the certifications?

- County Health Department1
- State Health Department2
- Private Organization3
- Other..... 4

(SPECIFY) _____

13.22 Which of the following safety topics have food service employees been trained on during the 2009-10 school year?

	<u>Yes</u>	<u>No</u>
Personal hygiene, proper hand washing	1	
.....2		
Pathogens and characteristics of food borne illness.....	1	
.....2		
Illnesses and symptoms that should be reported to a foodservice supervisor	1	
.....2		
Kitchen sanitation	1	
.....2		
Storing and labeling chemicals and sanitizers.....	1	
.....2		
Equipment and maintenance	1	
.....2		
Proper thermometer use and maintenance.....	1	
.....2		
<u>Safe food handling at each of the following steps in the food flow:</u>		
Receiving.....	1	
.....2		
Storage	1	
.....2		

Thawing	1
.....	2
Preparation	1
.....	2
Cooking	1
.....	2
Cooling	1
.....	2
Reheating	1
.....	2

13.23 Which of the following USDA materials has your SFA used to assist in food safety?

	<u>Yes</u>	<u>No</u>
Fresh Fruit and Vegetable Program Handbook.....	1	
.....2		
Produce/Salad Area: Produce/Salad Area - Educational Poster.....	1	
.....2		
Choice Plus: Food Safety Supplement.....	1	
.....2		
Preventing Contamination in Food Bars: Food Safety Fact Sheet.....	1	
.....2		
Checklist for Retail Purchasing of Local Produce	1	
.....2		
Best Practices: Handling Fresh Produce in Schools.....	1	
.....2		
Fruits and Vegetables Galore: Helping Kids Eat More.....	1	
.....2		

13.24 Which of the following food defense practices are currently being used in your SFA?

	<u>Yes</u>	<u>No</u>
The food service operations <u>has-have</u> a plan to prevent the intentional contamination of food.....	1	
.....2		
The school food service operators are involved in the school district emergency plan.....	1	
.....2		
A Biosecurity Checklist for School Food service Programs is being used.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY) _____		
We do not have a plan/do not have any food defense practices.....		_____

SECTION 14. COMMUNICATION ISSUES

14.1 How do the State agencies communicate with your SFA? Do they use...

	<u>Yes</u>	<u>No</u>
Mail.....	1	
.....2		
A web site.....	1	
.....2		
Email correspondence.....	1	
.....2		
Blanket emails.....	1	
.....2		
Email blasts.....	1	
.....2		
All of the above.....	1	
.....2		
Other methods.....	1	
.....2		
(SPECIFY) _____		

14.2 Does the type of communication vary depending on the type of information communicated?

YES.....	1
NO.....	2
DON'T KNOW.....	8

14.3 How does your SFA communicate with individual households in the school district? Do you...

	<u>Yes</u>	<u>No</u>
Use a website to provide information.....	1	
.....2		
Send letters/memos through the students.....	1	
.....2		
Send a periodic newsletter	1	
.....2		
Send e-mails or text messages	1	
.....2		
Other methods.....	1	
.....2		

(SPECIFY) _____

14.4 What information do you provide to households?

	<u>Yes</u>	<u>No</u>
Breakfast menus	1	
.....2		
Lunch menus.....	1	
.....2		
Nutritional information.....	1	
.....2		
Inspections of the cafeteria reports.....	1	
.....2		
Insecticide spraying alerts.....	1	
.....2		
Other information.....	1	
.....2		
(SPECIFY) _____		

14.5 How does your SFA communicate with school staff in the school district? Do you...

	<u>Yes</u>	<u>No</u>
Use a web site to provide information.....	1	
.....	2	
Send letters, memos.....	1	
.....	2	
Send a periodic newsletter.....	1	
.....	2	
Send emails or text messages.....	1	
.....	2	
Do not communicate.....	1	
.....	2	
Other methods.....	1	
.....	2	
(SPECIFY)		

SECTION 15. SFA DIRECTOR BACKGROUND

These questions are about the SFA Director.

15.1 How long have you been the SFA Director?

YEARS MONTHS

15.2 Prior to your position as the SFA Director, how much experience did you have in food service?

YEARS MONTHS

15.3 What is the highest grade or year of schooling you completed?

- Less than high school 1
- High school..... 2
- Some college, no degree 3
- Associate degree..... 4
- Bachelor's degree 5
- Graduate degree 6

15.4 What are your other district- or school-level responsibilities? (CIRCLE ALL THAT APPLY.)

- Full-time SFA Director, no other responsibilities..... 1
- Part-time SFA Director..... 2
- Business manager (district)..... 3
- Transportation coordinator (district)..... 4
- Other (SPECIFY)_____ 5

15.5 What is the minimum level of education required for an SFA Director in your district?

- Less than high school 1
- High school..... 2
- Some college, no degree 3
- Associates degree..... 4
- Bachelor’s degree 5
- Graduate degree 6

15.6 Is a SFA Director required to be a licensed dietician in your district?

- YES 1
- NO..... 2
- DON’T KNOW..... 8

15.7 Is a SFA Director required to be a School Nutrition Specialist in your district?

- YES 1
- NO..... 2
- DON’T KNOW..... 8

15.8 Which of the following credentials does the current SFA director have:

	<u>Yes</u>	<u>No</u>		
A licensed dietician.....	1	2		
A School Nutrition Specialist.....			1	2

15.9 In your district, is an SFA Director required to be:

	<u>Yes</u>	<u>No</u>
A Certified Professional Food Manager.....	1	
.....	2	
A Certified Professional – Food Safety.....	1	
.....	2	
A Certified Professional Food Handler.....	1	
.....	2	
ServSafe Food Safety Certified.....	1	
.....	2	

Thank you for your participation in this important study.

Appendix E
State Agency Child Nutrition Director Survey 2010

Do you mean 2010 or 2011? The survey has 2011

ID Number: XXX-XXXX-XXXXX

OMB Number: XXX-XXXX

Expiration Date: XX/XX/XXXX

**SPECIAL NUTRITION PROGRAM OPERATIONS STUDY
(SNPOS)**

**STATE AGENCY CHILD NUTRITION DIRECTOR
SURVEY 2011**

REVISED DRAFT

Sponsored by:

U.S. Department of Agriculture
Food and Nutrition Service

This survey is being conducted for the Food and Nutrition Service, U.S. Department of Agriculture as part of a study of the National School Lunch Program (NSLP) and School Breakfast Program (SBP) as well as other USDA food programs throughout the country. **All responses will be treated in strict confidence; no names will be used in our reports, and only aggregated results will be reported.** Participation is completely voluntary. Choosing not to participate will not affect your employment or your state's participation in school meal programs.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: U.S. Department of Agriculture, Food and Nutrition Service, Office of Research and Analysis, Room 1014, Alexandria, VA 22302. Attn:

Public reporting burden for this collection of information is estimated to average 1.25 hours per respondent, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. **An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.**

We thank you for your cooperation and participation in this very important study.

INSTRUCTIONS

- Please answer all questions.
- Unless you see the words CIRCLE ALL THAT APPLY after a question, please circle only one answer for each question.
- If you have any questions about the study or about completing this survey, please do not hesitate to contact _____ by telephone at 1-xxx-xxx-xxxx or email: _____@westat.com.

Date: _____

School Name: What school? Aren't CN Directors responsible for an entire state?

Contact information for the Child Nutrition Director

Name: _____

Address: _____

Telephone: (_____) _____

Email: _____

Name and address of person filling out this survey if other than the Child Nutrition Director

Name: _____

Title: _____

Address: _____

Telephone: (_____) _____

Email: _____

SECTION A. POLICY

A1. Are your state nutrition standards stricter than the federal requirements for foods and beverages offered in school meals?

- Yes..... 1
- No..... 2 (SKIP TO A2)

A1a. In which of the following areas are your state nutrition standards stricter than the federal requirements?

	<u>YES</u>	<u>NO</u>
Dietary fat.....	1	
.....2		
Calories from total sugars.....	1	
.....2		
Maximum calories for snack and a la carte items.....	1	
.....2		
Sodium content for snack items.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY)_____		

A2. Does your state have nutrition standards for foods and beverages from the following sources?

	<u>YES</u>	<u>NO</u>
School stores.....	1	
.....2		
A la carte items.....	1	
.....2		
Bake sales.....	1	
.....2		
Snack bars.....	1	
.....2		
Vending machines.....	1	
.....2		

Instruction Box

If you answered "NO" to **all** of the items in question A2, then skip to A3; otherwise continue with question A2a.

A2a. Since adopting these nutrition standards, which of the following best describes the impact of these standards on participation in the school meals program?

- Increased..... 1
- Decreased..... 2
- No impact..... 3

A2b. Please describe any impact of the nutrition standards on nutritional profiles under the School Meal Initiative.

A3. Does your state currently have a policy or standard practice with regard to providing school breakfasts or lunches to children who are without funds for breakfast or lunch?

	<u>Breakfast</u>	<u>Lunch</u>
Yes, have policy.....	1	
.....	1	
No policy but have standard practice.....	2	
.....	2	
No policy or standard practice.....	3	
.....	3	

Instruction Box

If you answered "No policy or standard practice" for BOTH breakfast and lunch, then skip to B1; otherwise continue with question A4.

A4. What is the state policy for providing a meal to a child who is not receiving free meals and cannot pay for a meal?

- State requires SFA to provide the full reimbursable meal being served that day..... 1
 - State requires SFA to provide an alternative meal 2
 - State recommends SFA provide the full reimbursable meal being served that day..... 3
 - State recommends SFA provide alternative meal..... 4
 - State leaves it up to SFA to determine..... 5
 - Other..... 6
- (SPECIFY)_____

SECTION B. RESOURCES AND FINANCES

B1. Does your state provide a subsidy for breakfasts or lunches to SFAs? If yes, how is the subsidy provided, and what was the total amount of subsidies given to all SFAs in your state during 2009-10?

	B1a. Did state provide a subsidy?	B1b. IF YES, how was the subsidy provided? 1=Per-meal reimbursement 2=Annual lump sum 3=Supplemental to cover specific costs 4=Based on percentage of low income students 5=Other (SPECIFY ON LINE BELOW)	B1c. What was the total amount of these subsidies given to all SFAs during 2009-10?
Meal	Y e s N o		
Breakfast.....	1 2	1 2 3 4 5 _____	\$ _____
Lunch.....	1 2	1 2 3 4 5 _____	\$ _____

B2. Does your state provide financial or personnel support for any of the following school food services operations?

	<u>YES</u>	<u>NO</u>
Reimbursable meal preparation (including food purchase and labor).....	1	
.....2		
Non-reimbursable meal preparation.....	1	
.....2		
Equipment.....	1	
.....2		
Preparing claims.....	1	
.....2		
Storage.....	1	
.....2		
Contracted services	1	
.....2		
Overhead/indirect costs	1	
.....2		

Other 1
2
 (SPECIFY) _____

B3. Have any of the following areas been impacted by state budget issues?

	<u>YES</u>	<u>NO</u>
Hiring/retraining staff.....	1	
.....2		
Meal prices.....	1	
.....2		
Purchasing/upgrading equipment.....	1	
.....2		
Food purchases.....	1	
.....2		
Procuring contracted services.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY) _____		

B4. How many full-time equivalent (FTE) state agency staff are responsible for conducting monitoring of school meal operations?

_____ NUMBER OF FTE STATE STAFF

B5. How adequate is this staffing for monitoring program operations?

Adequate.....1
 Somewhat adequate.....2
 Not adequate.....3

B6. Are you currently operating under a state mandated hiring freeze for Child Nutrition/School Program staff?

Yes..... 1
 No..... 2 (SKIP TO B7)

B6a. Approximately how long has the hiring freeze been in effect?

- Less than one year..... 1
- One year..... 2
- Two years..... 3
- Three or more years..... 4

B7. Is your state currently using contracted staff for any of the following functions?

	<u>Yes</u>	<u>No</u>	<u>Don't Know</u>
Monitoring.....	1		
.....2	8		
Technical assistance.....	1		
.....2	8		
Claims processing.....	1		
.....2	8		
Nutrition education.....	1		
.....2	8		
Other	1		
.....2	8		
(SPECIFY)_____			

B8. Is your state warehouse for USDA Foods state owned, or is warehouse space contracted?

- All state owned..... 1
- All contracted..... 2
- Some of both..... 3

B9. How is the warehouse funded?

- Funded in State budget..... 1
- School districts are charged a fee..... 2
- Other..... 3
- (SPECIFY)_____

B10. Does your state agency currently charge school districts for the delivery of USDA food?

- Yes..... 1
- No 2 (SKIP TO B11)

B10a. For each of the following categories of charges indicate whether your state agency charged SFAs on a per case basis for the delivery of USDA food during 2009-10?

- | | <u>Yes</u> | |
|--------------------------|------------|---|
| | <u>No</u> | |
| Administrative fees..... | 1 | 2 |
| Storage fees..... | 1 | 2 |
| Delivery fees..... | 1 | 2 |
| Warehouse fees..... | 1 | 2 |
| Other fees..... | 1 | 2 |
| (SPECIFY)_____ | | |

B11. What effect has the increased processing of USDA food had on warehouse fees charged to SFAs over the last 3 years?

- Increased storage fees.....1
- Decreased storage fees.....2
- No change in storage fees.....3

B12. For how many SFAs does your state purchase food products for the school food programs?

- All SFAs.....1
- Most SFAs.....2

Some SFAs.....	3
None.....	4

SECTION C. ADMINISTRATIVE

C1. Have the SFAs in your state ever used direct verification?

- Yes..... 1
- No 2 (SKIP TO C10)

C2. Do any SFAs in your state currently use direct verification?

- Yes..... 1 (SKIP TO C4)
- No 2

C3. Which of the following reasons describe why you are not currently using direct verification?

	<u>Yes</u>	<u>No</u>
Satisfied with household verification.....	1	
.....2		
Number of eligible students is too small to make it worthwhile.....	1	
.....2		
Lack of staff at state or district level to perform direct verification.....	1	
.....2		
Lack of computer equipment.....	1	
.....2		
No training available for staff.....	1	
.....2		
Agency does not keep records in a manner that is cost-effective to access.....	1	
.....2		
Too difficult to gain cooperation of agency.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY) _____		

Skip to C10.

C4. How many SFAs in your state currently use direct verification?
[Do you want a Don't Know option?](#)

NUMBER OF SFAs

C5. When conducting direct verification, from which of the following programs is information collected?

	<u>Yes</u>	<u>No</u>
Supplemental Nutrition Assistance Program (SNAP).....	1	
.....2		
Temporary Assistance for Needy Families (TANF).....	1	
.....2		
Food Distribution Program on Indian Reservations (FDPIR).....	1	
.....2		
Medicaid.....	1	
.....2		
State Children’s Health Insurance Program (SCHIP).....	1	
.....2		
State unemployment office.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY) _____		

C6. Are program records matched to the student records by the state or by the district?

State matches.....	1
District matches.....	2
Third party (e.g., TANF, SNAP, or other program office) matches.....	3

C7. How frequently does direct verification occur?

Once each school year.....	1
Once each semester or quarter.....	2
On a monthly basis.....	3
Other.....	4
(SPECIFY) _____	

C8. Do the SFAs in your state have access to a web-based lookup system to search the records of individual students, including those who may be deemed ineligible through computerized matching?

Yes..... 1
 No 2

C9. Have you encountered any of the following while implementing direct verification?

	<u>Yes</u>	<u>No</u>
Difficulties matching student records.....	1	
.....2		
Students known to be eligible were determined ineligible.....	1	
.....2		
Staff did not have time for direct verification.....	1	
.....2		
Had to upgrade computer systems.....	1	
.....2		
Difficulty gaining cooperation of program providing data	1	
.....2		
Other.....	1	
.....2		
(SPECIFY) _____		

C10. Does your state anticipate conducting Direct Verification during the...

	<u>Yes</u>	<u>No</u>
Next school year (2011-12).....	1	
.....2		
2012-2013 school year.....	1	
.....2		
2013-2014 school year or later.....	1	
.....2		

The next few questions are about charter schools in your state.

C11. Does your state have any charter schools?

Yes..... 1
 No 2 (SKIP TO SECTION D)

C11a. How many charter schools are currently operating in your state?

NUMBER OF CHARTER SCHOOLS

C11b. How many of these charter schools are participating in the NSLP and SBP programs?

	<u>NSLP</u>	<u>SBP</u>
NUMBER OF CHARTER SCHOOLS		
PARTICIPATING IN.....	_____	
.....		_____

C11c. For purposes of school food operations, how many of these charter schools are considered to be separate SFAs or part of a larger SFA?

Fix the formatting in your answer section.

	<u>Separate SFA</u>	<u>Part of larger SFA</u>
NUMBER OF CHARTER SCHOOLS...	_____	
.....		_____

SECTION D. OPERATIONAL

D1. How many SFAs have schools that are operating under the option of Provision 2 or Provision 3?

Provision 2
Provision 3

NUMBER OF SFAs WITH SCHOOLS OPERATING UNDER..... _____
..... _____

D2. How many schools in the state are operating under the option of Provision 2 or Provision 3?

Provision 2
Provision 3

NUMBER OF SCHOOLS OPERATING UNDER..... _____
..... _____

D3. In your state, how many SFAs and schools are using Food Service Management Companies (FSMCS)? Indicate how many are using the national companies listed.

	<u>SFAs</u>	<u>Schools</u>
Number using national companies.....	_____	
.....	_____	
Aramark.....	_____	
.....	_____	
Chartwells.....	_____	
.....	_____	
Preferred Meal Systems.....	_____	
.....	_____	
Sodexo.....	_____	
.....	_____	
Number using regional companies (i.e., within multi-state area).....	_____	
.....	_____	
Number using local companies.....	_____	
.....	_____	

Total number using Food Service Management
 Companies..... _____
 _____

D4. Does your state agency require the use of a state-developed prototype contract for food service management?

Yes..... 1
 No 2

D4a. Does the state have any oversight of the provisions in the contract?

Yes..... 1
 No 2

D5. Does the State review SFA FSMC contracts in advance of execution to ensure proper inclusion of the following?

	<u>Yes</u>	<u>No</u>
Return of rebates.....	1	
.....2		
Discounts.....	1	
.....2		
Credits.....	1	
.....2		

D6. Is there a state policy governing food recalls?

YES..... 1
 NO..... 2
 DON'T KNOW..... 8

D7. Who at the school or district level is notified by the State Agency about holds or food recalls?

	<u>Yes</u>	<u>No</u>
Food Services Directors at the school/district level.....	1	
.....2		

Food Safety Coordinator at the school/district level.....	1
.....	2
Warehouses.....	1
.....	2
Distributors.....	1
.....	2
Further Processors.....	1
.....	2
Someone else.....	1
.....	2
(SPECIFY)_____	

D8. How are schools and districts alerted about holds or food recalls?

	<u>Yes</u>	<u>No</u>
Email notification.....	1	
.....	2	
Phone calls.....	1	
.....	2	
Fax.....	1	
.....	2	
Regular mail.....	1	
.....	2	
Some other way.....	1	
.....	2	
(SPECIFY)_____		

D9 What information is provided to the schools and districts about holds or food recalls?

	<u>Yes</u>	<u>No</u>
Product name and information.....	1	
.....2		
Press release regarding the hold or recall.....	1	
.....2		
Contact information for questions.....	1	
.....2		
Product disposition/disposal instructions.....	1	
.....2		
USDA food hold/recall notice.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY)_____		

D10. What procedures or guidelines are schools and districts expected to follow when there is a USDA food recall?

	<u>Yes</u>	<u>No</u>
State established procedures or guidelines.....	1	
.....2		
School district established procedures or guidelines.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY)_____		

D11. How quickly do you expect schools and districts to respond to a USDA food recall?

On the day the notice is received (within 24 hours).....	1
Within two days (24 to 48 hours).....	2
Within one week.....	3
Other	4
(SPECIFY)_____	

D12. What information do you expect the schools and districts to report back to the state when there is a USDA food recall?

	<u>Yes</u>	<u>No</u>
Location and quantity of the product in storage.....	1	
.....2		
Amount of the product already consumed.....	1	
.....2		
Reimbursable costs.....	1	
.....2		
Actions taken.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY)_____		

D13. How does your state agency communicate with local SFAs for each of the following?

	<u>Regular Mail</u>	<u>Email</u>	<u>Web posting</u>	<u>Automated phone or FAX</u>	<u>Other (SPECIFY)</u>
Policy memos.....	1	2	3	4	5 _____
Announcements.....	1	2	3	4	5 _____
Commodity recalls.....	1	2	3	4	5 _____
Other.....	1	2	3	4	5 _____
(SPECIFY)_____					

SECTION E. TRAINING AND TECHNICAL ASSISTANCE

E1. For which of the following specific topic areas, does your state agency provide training and technical assistance? How frequently is training provided?

Training topic areas	Does your state provide?		IF YES, how frequently? 1=Every two years 2=Annually 3=Semi annually 4=Quarterly 5=Monthly 6=only when requested					
	Yes	No	1	2	3	4	5	6
a. Food Safety Plans based on HACCP Principles.....	1	2	1	2	3	4	5	6
b. Other food sanitation and safety.....	1	2	1	2	3	4	5	6
c. Food purchasing.....	1	2	1	2	3	4	5	6
d. Menu planning.....	1	2	1	2	3	4	5	6
e. Food preparation.....	1	2	1	2	3	4	5	6
f.Contracting procedures	1	2	1	2	3	4	5	6
g.Recordkeeping	1	2	1	2	3	4	5	6
h.Merchandising	1	2	1	2	3	4	5	6
i.Program regulations and procedures	1	2	1	2	3	4	5	6
j. Use of commodities.....	1	2	1	2	3	4	5	6
k. Other	1	2	1	2	3	4	5	6

(SPECIFY)_____		
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E2. How does your state agency provide technical assistance?

	<u>Yes</u>	<u>No</u>
Through written materials (e.g., manuals).....	1	
.....2		
Through workshops or courses.....	1	
.....2		
During discussions during program reviews.....	1	
.....2		
Through on-line training materials.....	1	
.....2		
Through webinars.....	1	
.....2		
Other.....	1	
.....2		
(SPECIFY)_____		

E3. Have the topic areas available for training changed over the last three years?

- More topic areas..... 1
- Fewer topic areas..... 2
- Replaced some with newer topic areas..... 3
- No changes in topic areas..... 4

E4. Has the number of training sessions available decreased?

- YES..... 1
- NO..... 2 (GO TO E5)

E4a. Why has the number of training sessions available through your state agency decreased over the last three years?

- Budgetary constraints..... 1
 - Decreased funds for training..... 2
 - Staffing cuts..... 3
 - Insufficient number of trained staff..... 4
 - Change in state policy or federal policy..... 5
 - Result of program audit..... 6
 - Other 7
- (SPECIFY)_____

E5. Were any new training topics offered this year?

- YES..... 1
- NO..... 2 (GO TO E6)

E5a. What new training topics did your state agency offer this year that was not provided previously?

	<u>Yes</u>	<u>No</u>
Food Safety Plans based on HACCP Principles.....	1	
.....2		
Other food sanitation and safety.....	1	
.....2		
Food purchasing.....	1	
.....2		
Menu planning.....	1	
.....2		
Food preparation.....	1	
.....2		
Contracting procedures.....	1	
.....2		
Recordkeeping.....	1	
.....2		
Merchandising.....	1	
.....2		
Program regulations and procedures.....	1	
.....2		
Use of commodities.....	1	
.....2		
Other	1	
.....2		
(SPECIFY)_____		

E6. Were any training topics eliminated this year?

YES.....	1	
NO.....	2	(GO TO E7)

E6a. What training topics did your state agency eliminate this year that was offered in previous years?

	<u>Yes</u>	<u>No</u>
Food Safety Plans based on HACCP Principles.....	1	
.....2		

Other food sanitation and safety.....	1
.....	2
Food purchasing.....	1
.....	2
Menu planning.....	1
.....	2
Food preparation.....	1
.....	2
Contracting procedures.....	1
.....	2
Recordkeeping.....	1
.....	2
Merchandising.....	1
.....	2
Program regulations and procedures.....	1
.....	2
Use of commodities.....	1
.....	2
Other	1
.....	2
(SPECIFY)_____	

E7. Who within the state agency is responsible for providing training and technical assistance to SFA personnel?

State Child Nutrition Director.....	1
Child Nutrition Office staff.....	2
Other.....	3
(SPECIFY)_____	

SECTION F. CN Director Background

F1. How long have you been the Child Nutrition Director?

YEARS MONTHS

F2. Prior to your position as the Child Nutrition Director, how much experience did you have in food service?

YEARS MONTHS

F3. What is the minimum education requirement for the state Child Nutrition Director?

- High school..... 1
- Some college, no degree 2
- Associates degree..... 3
- Bachelor’s degree 4
- Graduate degree 5

**Thank You for your participation
in this very important survey.**

[Do you want a question on the CN Director’s education? There is one for the SFA Director’s questionnaire.](#)