

APPENDIX O5. SFA FOLLOW UP CONTACT GUIDE (STUDY NOTIFICATION AND SCHOOL DATA VERIFICATION)

NOTE TO REVIEWER:

This SFA Follow Up Contact Guide (Study Notification and School Data Verification) will be used as needed, as a follow up to Appendix O4, SFA Study Notification and School Data Verification E-Letter.

The estimated burden for Appendix O5 to discuss questions and/or review the Excel template file via phone is 15 minutes.

The primary (and preferred) method is for the SFA Director to use the Web Portal introduced in Appendix O4. If the SFA is not willing or able to use the Web Portal, the option to send an excel spreadsheet will be offered during this follow up contact.

The SFA Director would choose one or the other, but not both options. Thus, the single estimated burden is 15 minutes to either complete the information using the Web Portal (captured in Appendix O4) or using an

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OMB Number: 0584-0530
 Expiration Date:
 XX/XX/XXXX



Third Access, Participation,
 Eligibility and Certification
 Study Series



This call guide is to be used by APEC III study team members when discussing the school data verification process with School Food Authorities (SFAs). All calls should be made within one week of the mailing of packages. This guide is organized as follows:

Step 1: Introduction and purpose of the call

Step 2: Confirm receipt of mailing

Step 3: Discuss SFA review of State data (school list) and answer SFA questions

Checklist of Key Items to Complete During the Call:

Item	Guide Page #	Completed			Comments
Step 1: Introduction and Purpose of Call					
Scenario A: Schedule a Time to Talk with Primary Contact	3	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Scenario B: Need to Email Letter Before Speaking with Anyone	3	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Scenario C: Contact Updates	4	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Scenario D: Voicemail	4	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Scenario E: Re-mail Request	4-5	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Make EROC Entries for Each Contact	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Step 2: Confirm Receipt of Mailing					
Confirm Receipt of Mailing with Primary Contact	5	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Re-mail Request	5	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Make EROC Entries for Each Contact	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Step 3: Discuss SFA Review of State Data					
Obtain SFA Systems Contact (for Review of School Data)	7-8	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	
Make EROC Entries for Each	N/A	<input type="checkbox"/> Yes	<input type="checkbox"/> No		

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Contact			
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Note: EROC = electronic record of contact

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0584-0530. The time required for the SFA Director to complete this information collection is estimated to average 15 minutes per response, including the time to review instructions, search existing data sources,

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Important Notes for Recruiters:

1. The outcome/findings from every call must be documented in an EROC in the Study Management System (SMS).
2. Any text that should be read to the contact is presented in sentences case.
3. All instructions or notes to the Caller are in ALL CAPS. These are not read to the contact.
4. Callers may use a hardcopy version of this guide to complete the interaction. However, the results of a call must be logged into the SMS to update contact information and create an EROC immediately following the call.

Helpful Hints:

1. This information may take several contacts to convey. Don't overwhelm the respondent with details until you need to.
2. Emphasize the fact you are working on a study for the USDA and FNS.
3. Emphasize that this is not an audit.
4. Stress the low-burden nature of this study, the fact you are not asking for anything new, and that you are asking for information that is readily available.
5. For large school districts let them know that they can provide the information in an excel spreadsheet and we will update the data on the Web Portal.
6. Characterize the study as low intensity, collecting data from households not students, and abstracting records from SFAs or schools.
7. Secretaries/administrative assistants can be gatekeepers, be nice to them!
8. Focus on developing relationships.
9. Make sure you obtain and note the names of all who you talk to on the phone before you get off the phone with them. When you are having difficulty, it's very helpful to address him/her personally in subsequent calls.

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10. Use Outlook to schedule appointments. This gets it on their calendar.
11. If you can't get through to the person you're calling, ask the secretary/administrative assistant who you can talk to.
12. Try to avoid getting stuck with the "they'll call you back" response. It's better to talk to someone, if you can.
13. Use emails as much as possible. It can be more effective than letters or phone calls.
14. Emails should be professional, but avoid strict or formal language that may put people off or seem too demanding.
15. If you can't get through, call every other day until you are able to speak with someone.

STEP 1: INTRODUCTION AND PURPOSE OF THE CALL

Hello, my name is <INSERT NAME> and I am calling from Westat regarding the APEC III study for the USDA. Is <SFA PRIMARY CONTACT NAME> available?

SCENARIO A - SCHEDULE A CALL BACK: IF ANOTHER PERSON ANSWERS THE PHONE OR IF ASKED ABOUT THE PURPOSE OF THE CALL, SAY

My name is < INSERT NAME> and I work for Westat, a research company based in Rockville, MD. I am calling on behalf of USDA's Food and Nutrition Service about the APEC III study. Westat has a contract with FNS to conduct this study. We would like to speak with <SFA PRIMARY CONTACT NAME> about the (letter/email) we recently sent about this important study.

WHEN SPEAKING TO PRIMARY CONTACT CONTINUE TO STEP 2:

IF PRIMARY CONTACT IS NOT AVAILABLE OR BUSY:

When would be a good time to call back to reach (you/<PRIMARY CONTACT NAME>)?

--RECORD CALLBACK DATE AND TIME IN EROC--

I have made a note to call back at that time. (Can you please let <PRIMARY CONTACT NAME> know that I called today?

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In the meantime, if (you have/<PRIMARY CONTACT NAME> has) any questions, (he/she/you) can call me at 1-855-820-6138 or send an email to schoolmealstudy@westat.com. Again, my name is <INSERT NAME>. Thank you for your help today. Goodbye.

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SCENARIO B - SEND LETTER TO GATEKEEPER: IF ANOTHER PERSON OR SECRETARY DOES NOT KNOW ABOUT THE LETTER AND DOES NOT WANT TO TALK TO YOU OR PASS YOU THROUGH UNTIL THEY SEE THE LETTER, SAY

Can you please give me your email address? I'll send it to you shortly and call again. And your name again? Thank you for your help.

SCENARIO C - CONTACT UPDATES: IF CHANGES ARE NEEDED TO PRIMARY CONTACT'S NAME, ADDRESS, EMAIL OR PHONE NUMBER

>IF THERE IS A BETTER
PRIMARY CONTACT..... SAY THE FOLLOWING:

What is the name of the best person to discuss this important study?
COLLECT FIRST AND LAST NAME.

What is the best phone number to reach (him/her)? Email address?

>IF PRIMARY CONTACT
NEEDS UPDATED CONTACT INFORMATION..... SAY THE FOLLOWING:

Can you tell me how to best reach (him/her)?

--NOTE ANY APPROPRIATE CHANGES IN PRIMARY CONTACT NAME,
WRONG NUMBER AND BETTER PHONE NUMBER OR ADDRESS OBTAINED
IN EROC—

You can also ask <PRIMARY CONTACT NAME> to call the study's toll free number, 1-855-820-6138 or send an email to schoolmealstudy@westat.com providing (his/her) name and best contact information. Thanks you for your time today. Goodbye.

SCENARIO D -VOICEMAIL: IF ALL CALLS GO TO VOICEMAIL

- ON FIRST ATTEMPT LEAVE VOICE MAIL
- DO NOT LEAVE VOICE MAIL ON CALLS 2 THROUGH 4
- ON FIFTH ATTEMPT LEAVE A SECOND VOICEMAIL MESSAGE

VOICE MAIL MESSAGE: My name is <INSERT NAME>. I work for Westat a research company based in Rockville, MD. I am calling on behalf of USDA's Food and Nutrition Service about the APEC III Study. Westat has a contract

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with FNS to conduct this study. Information was recently sent you about this important study and I would like to speak with you about it.

You can also call the toll-free number, 1-855-820-6138 and ask to speak to <INSERT NAME> or send an email to schoolmealstudy@westat.com for more information. Again, my name is <INSERT NAME> and that toll-free number is: 1-855-820-6138. Goodbye.

NOTE: DO NOT LEAVE ADDITIONAL VOICE MAIL MESSAGES AFTER FIFTH CALL WITHOUT AN ANSWER. DISCUSS STRATEGIES FOR FOLLOW-UP WITH YOUR WESTAT SUPERVISOR.

SCENARIO E RESEND PACKET: IF INDIVIDUAL/PRIMARY CONTACT YOU SPEAK WITH STATES THAT THEY DID NOT RECEIVE THE INFORMATION, SAY THE FOLLOWING:

Okay, I will be sure to re-send the materials to you. Let me confirm your email address. <READ ADDRESS FROM SMS>. Is this address correct?

YES..... GO TO **[END CALL]**

NO..... GO TO **[UPDATE ADDRESS]**

[UPDATE ADDRESS] What is your email address?

--UPDATE EMAIL ADDRESS IN THE EROC --

[END CALL] I will send that information to you shortly. I will call you back in a few days after you have had an opportunity to review the information. We can discuss your support for the APEC III Study at that time. Thank you. Goodbye.

STEP 2: CONFIRMING RECEIPT OF THE ELECTRONIC MAILING

IF PRIMARY CONTACT IS SPEAKING, SAY THE FOLLOWING:

I am calling to confirm you have received the electronic letter from Westat with information about the study, along with a Resource Guide on how to access a list of schools in your SFA, and a template letter you may share with your schools.

IF MORE INFORMATION IS NEEDED: As a reminder, the goal of the APEC III is to provide FNS with reliable, national estimates of erroneous payments in the National School Lunch Program and the School Breakfast Program in school

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year (SY) 2017-2018. We are also asking for you to review the school list provided in the web-based portal and share updates/corrections and encourage your schools to participate in the APEC III study.

1. Did you receive the materials we sent you?

IF NEEDED ADD: The materials request that you go to the study's web-based portal and confirm/update school data. Do you recall receiving this request?

YES..... CONTINUE TO **2**

NO..... GO TO **SECNARIO E RESEND PACKET**

2. As the materials outline, trained APEC III data collectors will be conducting data collection in States, SFAs, schools and households that participate in the National School Lunch Program and School Breakfast Program.

All information collected will be kept private to the extent provided by law and will not affect meal reimbursements or meal program benefits for any participating State agency, SFA, school, or household.

Do you have any questions about the study?

IF YES..... ANSWER QUESTIONS AND CONTINUE TO **STEP 3**

IF NO QUESTIONS..... GO TO **STEP 3.**

AS NEEDED USE THE FOLLOWING INFORMATION AND YOUR FAMILIARITY OF THE STUDY TO ANSWER THE QUESTIONS:

At the State-level, we will be asking for electronic meal claim data for the 2017-2018 school year submitted to USDA.

At the SFA/School/Household-level, data collection efforts will focus on school breakfast and lunch meal programs and will include the following:

1. Pre-visit interview with sampled SFAs and school personnel;
2. Review and abstraction of applications for meal benefits;
3. Observation of meal service at schools;
4. Brief interview with cafeteria managers to gather qualitative information about meal claiming procedures and process;

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5. Review and abstraction of school and SFA meal counting and claiming records;
6. Household survey (in person) with a sample of parents/guardians of students that applied for meal benefits. [Note that the household survey component of APEC III is entitled National School Meals Study];
7. An in-depth phone interview with a sub-set of parents/guardians that completed the Household survey to gather qualitative information about their application process and experience;
8. SFA Director survey (web-based) with questions regarding characteristics and processes; and
9. An in-depth phone interview with a sub-set of SFA Directors to gather qualitative information on the process for eligibility determination and potential sources of error.

STEP 3: DISCUSS SFA REVIEW OF SCHOOL DATA (SCHOOL LIST)

3. To help with the sampling of schools, we are asking for your assistance by going to our Web Portal where you will find a list of schools in your SFA. This list was compiled from the National Center for Education Statistics' Common Core of Data. For each school, we have provided the school's name, address, grade levels, enrollment, number of students certified for free and reduced-price meals, Community Eligibility Provision (CEP) status and Provision 1, 2 or 3 status. We would like you to confirm if the information is correct and if it is incorrect, provided update information. We have provided you with a web address and a unique PIN number to access your SFA.

We ask that you review the information and provide updates/corrections to the file using the study's web-portal.

(IF ASKED FOR MORE DETAIL:) When you and/or your staff review the file, we ask that you check for the following:

- If any of the schools listed are no longer operating?
- Are there any new schools that should be on the list (that may have been added recently)?
- Noting which schools are CEP schools. If they are, did they elect CEP as individual schools, groups of individual schools or as the entire district?

Do you have any questions about what we are requesting you to do?

IF YES..... ANSWER QUESTIONS, REFER TO SFA CONFIRMATION AND SCHOOL VERIFICATION LETTER AND CONTINUE TO **4**.

IF NO QUESTIONS..... GO TO **4**.

4. Will you be the person that will be reviewing this information or is there another staff member that will be reviewing the information?

IF PERSON ON PHONE..... GO TO **[NEXT STEPS]**

IF OTHER STAFF MEMBER..... GO TO **4A**

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4A. What is their name? The best phone number to reach (him/her)? Email address?

--RECORD THE OTHER PERSON'S CONTACT NAME, PHONE NUMBER OR ADDRESS OBTAINED IN EROC--

We will get in contact with <NAME PROVIDED>. I would appreciate it if you could let (him/her) know that I will be in touch. If (he/she) has any questions for us (he/she) can call the study's toll free number, 1-855-820-6138 or send an email to schoolmealstudy@westat.com.

ENTER CONTACT INFORMATION IN AN EROC AND GO TO NEXT STEPS.

[NEXT STEPS] As a reminder, we would appreciate review of the School Data by <<INSERT DATE>> using the web portal provided. Once we receive your SFAs updates and corrections, we will be able to finalize the sample of schools within your SFA. At any point, please feel free to contact us if you have any questions or issues with the updates/corrections.

4B. When do you think you will be able to go to the Web Portal and review this information?

RECORD DATE IN EROC.

IF THE RESPONDENT INDICATES THAT THE SCHOOL DISTRICT IS TOO LARGE OR THIS IS TOO MUCH EFFORT SAY:

As an alternative, you can send us the information that we are asking for in an Excel file. The Excel file must contain the following information for each school:

DESCRIBE THE INFORMATION REQUESTED IN THE EXCEL FILE TEMPLATE.

	A	B	C	D	E	F	G	H
1	SFA NAME:							
2	School Name	# of Students Enrolled	# of Students Eligible for Free/Reduced Price Meals	Lowest Grade	Highest Grade	Is this a CEP School? (Yes/No)	Provision 1, 2, 3 school (Yes/No)	Remove School?
3								
4								
5								
6								
7								

I can email you this Excel template and you can return it to us. Would you like me to send you this Excel template?

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- IF YES..... GO TO **5**
- IF HESITANT..... GO TO 5
- IF NO/REFUSED..... GO TO 5

5. In the data collection phase of this study in 2017 our data collectors will be visiting your SFA and the sampled schools. All of our visits will be scheduled in advance. To prepare for these visits are there any requirements for data collectors visiting the SFA office or a school?

IF NEEDED REMIND THEM THAT DATA COLLECTORS WILL HAVE NO INTERACTION WITH STUDENTS. THEY WILL BE IN ADMINISTRATIVE OFFICES AND SCHOOL CAFETERIAS.

- IF YES..... GO TO **5A**
- IF NO..... GO TO 6

5A. Please describe these requirements.

RECORD DETAILS OF THE REQUIREMENTS IN AN EROC

6. One final question. One of the criteria as to how your SFA was selected as part of the representative nationwide sample is that you have elected to participate in CEP for (all/some) of your schools. As part of the study, for CEP schools, we will review the source documentation used in calculating the ISP rate. Does your SFA maintain the source documentation for every student to calculate the current ISP?

(IF NEEDS CLARIFICATION:) For example, the ISP was last calculated in 2014 based on participation in SNAP, TANF and other programs. Does your SFA have the records or source documentation available for every student that was used when calculating the ISP?

(IF ASKED WHEN WILL THIS HAPPEN:) We are just in the confirmation phase right now. We would be asking to view this information in the fall of 2017 and will be in touch with you prior to that time to discuss a convenient time to review this information.

(IF CONCERNED WE ARE EVALUATING THE SFA): We would only be reviewing this information to help generate a national estimate of the annual amount of erroneous payments. We are not conducting a review or audit.

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YES, HAVE DOCUMENTATION..... GO TO **6A**

NO..... GO TO **6B**

6A. In the fall of 2017 we will review the source documentation from a sample of enrolled students at the time the ISP was calculated. Who would be the best person to contact at that time to review this information?

GATHER AS MUCH INFORMATION AS POSSIBLE ABOUT WHOM AND WHERE THE RECORDS ARE HELD.

6B. Do you know where this information might be held?

DOCUMENT WHO MIGHT HAVE THE INFORMATION AND THE CIRCUMSTANCES AS TO WHY THE INFORMATION IS NOT AVAILABLE AT THE SFA.

END CALL SCRIPTS: USE THE APPROPRIATE END CALL SCRIPT BASED ON WILLINGNESS TO HELP

END CALL SCRIPT #1 - AGREED TO PARTICIPATE

Thank you for your time today. I greatly appreciate your help and support for this important project. If you have any questions, before the next step(s), please contact us at 1-855-820-6138 or email us at schoolmealstudy@westat.com. Thank you again. Goodbye.

END CALL SCRIPT #2 - HESITANT TO PARTICIPATE

Thank you for your time today. I hope you decide to participate. You are "the voice" of many districts and schools like yours - you represent hundreds like yours across the country. The information we will gather can improve the National School Lunch and School Breakfast programs. If you have any questions, please contact us at 1-855-820-6138 or email us at schoolmealstudy@westat.com. Thank you again. Goodbye.

END CALL SCRIPT #3 - DID NOT AGREE TO PARTICIPATE

I am sorry to hear about your concerns with participating in the APEC III study, we believe the information we will gather can improve the National School Lunch and School Breakfast Programs. If you reconsider, please do not hesitate to contact us at 1-855-820-6138 or email us at schoolmealstudy@westat.com Thank you for your time today. Goodbye.