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Office of Information and Regulatory Affairs (OIRA)
Office of Management and Budget (OMB)

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SUBJECT: Request for Non-Substantive Change to Health Profession Opportunity Grants (HPOG)
Second Generation National and Tribal Evaluation (OMB Control Number 0970-0462)

This memo requests approval for revisions to the welcome letter, contact update letter, and the contact update forms for the evaluation of the Second Generation Health Profession Opportunity Grants (HPOG 2.0). These materials (Instrument 5a and 5b) were previously approved under OMB Control Number 0970-0462, on June 27, 2017. The revisions have been made as a result of change in incentive format. The changes have been reviewed and approved by the Abt Associates Institutional Review Board. The remainder of this memo provides information about the revisions made to the materials.

OMB previously approved baseline data collection and informed consent forms for the HPOG 2.0 evaluation under OMB Control Number 0970-0462. OMB recently approved a welcome letter, a contact update letter, and a contact update form for use as part of the HPOG 2.0 National Evaluation impact study (see Instruments 5a and 5b). These materials are intended to help maintain updated participant contact information for the HPOG 2.0 National Evaluation impact study participants. Accurate contact data will be critical to ensure the study team can reach participants for two rounds of follow-up surveys later in the study.¹ A welcome packet will be sent to all sample members within the first month of enrollment and quarterly contact updates will be sent thereafter. The welcome packet provides comprehensive information about the study requirements, the contact update efforts, and survey data collection activities. Instrument 5a shows the welcome packet.

The contact update form will capture updates to the respondent's name, address, telephone and email information, and preferred method of contact. It will also collect new or updated contact data for up to

¹ The study team will develop the follow-up surveys and submit for OMB review in a subsequent request for clearance.



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three people who do not live with the participant, but who will likely know how to reach him or her. Contact update forms will be sent to study participants every three months between random assignment and the second follow-up survey. Instrument 5b shows a copy of the contact update form.

As approved by OMB, the HPOG 2.0 National Evaluation team plans to offer study participants a token of appreciation to thank them for their cooperation with the study and to help offset the costs of participation in the data collection efforts. The National Evaluation team initially planned to offer a token of appreciation valued at \$5, as described in Exhibit 1 below.

Exhibit 1: HPOG2 National Evaluation Planned Incentive Structure
Welcome Packet: Study participants receive a branded portable cell phone charger
Contact update forms: Study participants who respond to contact update request would receive a token of appreciation valued at \$5 for each form returned

Reason for the Non-Substantive Change Request

This change request impacts the format in which respondents receive the incentive for the contact update forms, only. HPOG funding regulations state that funds cannot be used for the provision of cash payments or to purchase alcohol, tobacco, firearms, or anything entertainment related (such as movie passes, travel, etc.). In an effort to ensure that study participants cannot use their token of appreciation to purchase these items, the National Evaluation team identified an alternative form of incentive. The National Evaluation team will offer gift certificates through an online vendor. Participants who respond to the contact update requests will receive an email with a link to a study-specific redemption site. The participants will enter their unique redemption code and then select their choice of incentive from an approved merchant. Once participants download or print their gift code, they can shop online or in stores. The study team has built in provisions for participants who are not able to download or print their gift, and those without email access. These study participants can indicate in their contact update form that they cannot redeem their incentive electronically. A study team member will call those participants and walk through the redemption with them and then mail them a printed gift certificate for them to use.



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The decision to use an online vendor was reached after the welcome letter, contact update letter and contact update form were all submitted to OMB for review. There are minor modifications required to Instruments 5a and 5b to explain the process for providing tokens of appreciation and to ensure that study participants can redeem online. This change request includes three parts:

1. Revisions to Instrument 5a;
2. Revisions to Instrument 5b; and
3. Attachment K: Incentive Communications – Email and Letter

The revisions to both instrument 5a and 5b are shown in Exhibit 2 on page 5. The revisions replace references to sending the participants a token of appreciation valued at \$5 with references to emailing them a link to download a \$5 gift card. The edits also contain new language in the participant verification form reinforcing that the email address provided on this form is the one we will use to provide the incentive to them. The form also allows them to indicate that they are not able to redeem the gift online.

This non-substantive change request also includes new language to be included in an email to those who have an email address and internet access. The team also drafted a written letter to be mailed to study participants that do not have an email address or internet access. (See Attachment K: Incentive Communications Email and Letter.doc.)

Expected Benefits

We expect these requested changes will clarify the process for redeeming incentives for participants and highlight the importance of updated contact information. The shift in incentive format also ensures that all tokens of appreciation are redeemed for an acceptable use. Further, the online redemption option also expedites the incentive process for participants. Participants will receive their virtual incentive within one to two weeks, rather than waiting to receive it by mail. The virtual option also allows participants to redeem their incentive immediately rather than having to take time to cash a check or money order. Participants who cannot redeem their code online will be able to call the HPOG 2.0 study hotline (toll-free) and a staff member will help them with their redemption.

Exhibit 2: Section by Section Comparison of Instruments 5a and 5b

Section of Consent Form	Text as previously approved by OMB	As revised
Instrument 5a, page 2 column 1	We will send you a token of appreciation valued at \$5 for each contact update response we receive back from you	We will email you a code to redeem online for a \$5 gift certificate as a token of appreciation for each contact update response we receive from you. If you do not have email or internet access, please indicate that on the form and we will help you redeem the gift certificate.
Instrument 5a, page 3 Participant Records Verification Form	Not applicable	<p>This is the email address we will use to email you a link to redeem your \$5 gift certificate.</p> <p>If you do not have an email address or internet access, please check this box and a staff member will contact you. <input type="checkbox"/></p>
Instrument 5b, Page 1	When we have heard from you, we will send you a token of appreciation valued at \$5 to thank you for responding.	When we have heard from you, we will email you a code to redeem online for a \$5 gift certificate as a token of our appreciation. If you do not have email or internet access, please indicate that on the form and a member of the study team will help you redeem the gift certificate.
Instrument 5b, page 2 Participant Records Verification Form	Not applicable	<p>This is the email address we will use to email you a link to redeem your \$5 gift certificate.</p> <p>If you do not have an email address or internet access, please check this box and a staff member will contact you. <input type="checkbox"/></p>