

**APPENDIX B1. (INSTRUMENT A5) SFA REQUEST FOR E-RECORDS PART A PRIOR SY  
(NON-CEP SCHOOLS FOR HOUSEHOLD SAMPLING)**

**FOR SFAS WITH AT LEAST ONE NON-CEP OR PROVISION 1, 2, OR 3  
SCHOOL**

OMB Number: 0584-0530

Expiration Date:  
XX/XX/XXXX



Dear <<SFA CONTACT NAME>>,

Thank you for agreeing to participate in the fourth Access, Participation, Eligibility and Certification Study (APEC IV) series.

As a reminder, the United States Department of Agriculture (USDA) Food and Nutrition Service (FNS) has contracted with Westat to conduct APEC IV. *APEC IV is a research study, not an audit of any type.* 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.

As mentioned in the study confirmation letter, we will conduct sampling for the household survey in two parts: 1) data file request of students enrolled in SY 2022-2023 and 2) data file request of students enrolled in SY 2023-2024 (used to supplement the sample from part 1). **This letter serves as the request for the first data file.** The second request will come later in the year.

**Next Steps**

Please submit a data file with **a complete list of students who applied for free or reduced-price meals or were directly certified for free meals in SY 2022-2023**, in the school(s) sampled from your SFA. [IF APPLICABLE: For the Provision schools, please provide the data file for the base year].

Your sampled schools are:

[SCHOOL 1 NAME], [SCHOOL 1 ADDRESS]  
[SCHOOL 2 NAME], [SCHOOL 2 ADDRESS]  
[SCHOOL 3 NAME], [SCHOOL 3 ADDRESS]

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[IF APPLICABLE] *Provision 1, 2, or 3 Schools\**

[PROVISION SCHOOL 1 NAME], [PROVISION SCHOOL 1 ADDRESS]

[PROVISION SCHOOL 2 NAME], [PROVISION SCHOOL 2 ADDRESS]

[PROVISION SCHOOL 3 NAME], [PROVISION SCHOOL 3 ADDRESS]

The data file(s) should contain the following information for **each student who applied for free or reduced-price meals or was directly certified for free meals**, by school:

1. Student name
2. Student date of birth
3. Student **certification status** for **SY 2022-2023 (free, reduced-priced, or paid)**. [IF APPLICABLE: For the Provision schools, please provide the student's certification status for the base year.]
4. Flag to indicate if an application for free or reduced-priced meals was submitted
  - a. If yes, include application date
5. Flag to indicate if the student was directly certified for free meals
  - a. If yes, include date of certification
6. Student's parent or caregiver contact information
  - a. Name, address, phone number, and email address

We request that you **submit this data file on/around [INSERT DATE]**.

You can upload the data file(s) directly to the APEC IV web portal using the URL and PIN number provided below:

URL: [INSERT URL]

SFA PIN: <<PIN NUMBER>>

We are here to assist if needed. If you have questions, need assistance, or foresee any issues with this request, please feel free to contact us at [INSERT NUMBER] or [INSERT EMAIL].

Thank you in advance for your help and cooperation.

Sincerely,  
APEC IV Research Team

\*Provision 1, 2, or 3 schools refers to three alternative provisions to the normal requirements for annual determinations of eligibility for free and reduced-price school meals and daily meal counts by type (free, reduced price and paid meals) at

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the point of service. More details can be found at <https://www.fns.usda.gov/school-meals/provisions-1-2-and-3>

**TEMPORARY NOTE TO REVIEWERS**

Following the creation of the web portal, the APEC IV study team will work with IT staff to develop a reference guide for SFAs and Schools to submit data electronically. The guide will include the following:

- A summary of the data being requested for the school data files that can be submitted electronically through the secure website.
- Detailed instructions (including screenshots) on using the APEC IV web portal to upload their data.

**Authority:** This information is being collected under the authority of the Healthy, Hunger-Free Kids Act of 2010 (P. L. 111-296), Section 305.

**Purpose:** The Food and Nutrition Service (FNS) is collecting this information to assess improper payments made in the National School Lunch Program (NSLP) and School Breakfast Program (SBP).

**Routine Use:** The records in this system may be disclosed to private firms that have contracted with FNS to collect, aggregate, analyze, or otherwise refine records for the purpose of research and reporting to Congress and appropriate oversight agencies, and/or departmental and FNS officials.

**Disclosure:** Disclosing the information is voluntary, and there are no consequences to you as an individual for not providing the information.

The System of Records Notice for this information collection is USDA/FNS-8, FNS Studies and Reports, which can be located at <https://www.govinfo.gov/content/pkg/FR-1991-04-25/pdf/FR-1991-04-25.pdf> (p. 19078).

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This information is being collected to provide the Food and Nutrition Service with key information on the annual error rates and improper payments for the school meal programs. This is a voluntary collection and FNS will use the information to examine school meal error rates and inform future APEC studies. This collection requests personally identifiable information under the Privacy Act of 1974. 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 to complete this information collection is estimated to average 1.00 hour (60 minutes) 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. Send comments regarding this burden estimate or any other aspect of this collection of