



A **Review Guide** for Child and Adult Care Food Programs



This review guide provides a self assessment in evaluating readiness to complete a Child and Adult Care Food Program (CACFP) Coordinated Review Effort

NH Department of Education
Bureau of Nutrition Programs & Services

www.education.nh.gov/program/nutrition

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**NH DEPARTMENT OF EDUCATION
SELF-ASSESSMENT
RECORDKEEPING TOOL
FOR CACFP INSTITUTIONS**

Fiscal Year _____ Review Month _____
Reviewer _____ Date _____

Instructions: This tool contains a detailed list of records, processes, and CACFP policies & procedures. The items were compiled from the federal regulations, the Management Improvement Guidance, USDA memos or guidance, and the NH-DOE Institution Toolkit. Read each item carefully and assess if your institution meets or does not meet the recordkeeping requirement. Confirm that the system/policy is actually being followed within your program. Use the comments section to write information that helps demonstrate your current policy or practice. This tool is intended to be used by CACFP institutions as a means to evaluate and strive for best practices as well as prepare for State or Federal reviews.

Record Retention: All CACFP records must be kept for three years, plus the current year (and for all years in which current or unresolved audit findings exist). In addition all records pertaining to terminations and serious deficiencies must be kept for a minimum of seven years.

RECORDKEEPING REQUIREMENT	YES	NO	COMMENTS
GENERAL PROGRAM DOCUMENTS			
POLICY: Does the institution have a copy of the NH-DOE Institution Toolkit policy & procedure manual? Has the Toolkit been updated to include new policies and revisions? www.education.nh.gov/program/nutrition/child_tool.htm			
Does the institution have a signed and dated permanent agreement on file?			
Non-profits: Does the institution have documentation of non-profit status on file (IRS Doc. 501 © 3)?			
For-Profits: Does the institution have verification and documentation on file that not less than 25% of program participants were eligible for Title XX (State Tuition Scholarship), Title XIX, or free/reduced benefits for each month claimed?			
Does the institution have a license or alternate approval application on file for each center and/or facility?			
Does the institution have a copy of the CACFP Application & Management Plan on file including applicable documents: <ul style="list-style-type: none"> • Site Summary Form • CACFP specific organizational chart • Principals Forms • Chairman/Ex. Dir/Owners Forms • Current Board of Directors Listing • OSHCC Application • At-risk Snack Application • Free & reduced priced policy statement www.education.nh.gov/program/nutrition/child_tool.htm			

Does the institution have a file for state agency (SA) correspondence, memos, guidance, and administrative reviews (including past corrective actions)?			
RECORDKEEPING REQUIREMENT	YES	NO	COMMENTS
Sponsors:			
POLICY: Does the sponsor have an outside employment policy on file?			
POLICY: Does the sponsor have written policies in place to address facility transfer and recruitment?			
POLICY: Has the sponsor created a policy and procedure manual for unaffiliated centers and/or FDCH providers?			
Is there an annually signed and dated "Unaffiliated Center Application & Agreement" on file for each unaffiliated center? Is there an annually signed and dated "Provider Application & Agreement" on file for each FDCH provider?			
CIVIL RIGHTS			
POLICY: Does the institution have a written policy in place to ensure the confidential use of income eligibility information?			
Are the "And Justice For All" and the "Building for the Future" posters on display in a conspicuous location and provided annually to Family Day Care Homes?			
Do materials used to publicize the CACFP to parents and the public contain the nondiscrimination statement and procedure for filing a complaint (i.e. program literature, brochures, and handbooks, Annual Reports)? www.education.nh.gov/program/nutrition/index.htm			
For Tier I Family Day Care Homes, is data on file to document the number of potential eligible participants for the geographic area served by the institution by ethnic/racial categories (i.e. census or school data)?			
Are ethnic/racial forms annually completed for each center/facility and kept on file for the required time period?			
Are copies of the institutions public release completed annually and kept on file for the required time period?			
INTERNAL CONTROLS, FISCAL RESPONSIBILITY & PROCEDURES			
POLICY: Is there a written policy and procedure to track actual CACFP expenditures against the approved CACFP budget? <i>Are all costs claimed approved budget items?</i> Is there a procedure to amend the institution's administrative budget if needed?			
POLICY: Is there a written policy to track the method used to document a non-profit food service?			
Are all expense receipts and invoices for the CACFP kept on file? <i>Are CACFP costs clearly separated and tracked from non-CACFP costs and/or personal purchases?</i>			
Are approved copies of food service management contracts and/or CACFP relevant lease or maintenance agreements on file?			
Are there correct copies of the NH-DOE's Internal Auditing Office's "Certification of Federal Funds Letter" on file?			
Is USDA CACFP income documented and reported separately from other income?			

RECORDKEEPING REQUIREMENT	YES	NO	COMMENTS
Are all claims supporting worksheets/documentation on file for each claimed month?			
<i>Sponsors of Centers:</i> Is documentation available to verify that the dates and amounts of meal disbursements to each facility is maintained and reconciled on a regular basis?			
<i>Sponsors of FDCHs:</i> Is documentation on file to verify that payment is made to providers within five working days of receipt of provider CACFP reimbursement for the SA?			
<i>MENUS</i>			
POLICY: A written policy is in place that identifies who is responsible for writing menus, editing and revising menus before meals are served to ensure creditable meals, and end of month edit to ensure creditable meals were served throughout each claiming period?			
<i>Sponsors:</i> Documentation is on file to support technical and/or training assistance provided to facilities for errors on menus?			
Menus are available to support all meals claimed?			
Are center menus approved before served?			
Is documentation in place to show that meals with missing menu components are deducted?			
Are medical statements on file for all food substitutions related to medical, religious, and/or cultural special needs?			
Documentation is on file to verify that the institution offers CACFP meals to all enrolled children including infants in care (inclusive of all centers and FDCHs)? Documentation is on file that families can accept/reject the formula offered by the institution?			
<i>ENROLLMENT & INCOME ELIGIBILITY DOCUMENTATION</i>			
POLICY: A written policy is in place describing the positions responsible for determining income eligibility applications and for performing a second edit check of the forms?			
Child care centers & FDCHs: A current and complete CACFP Child Enrollment Form is on file for all children claimed? Is documentation in place to verify that enrollment forms have received a first and second edit check?			
Adult Day Care: An institution enrollment document is on file for all adult meal participants claimed?			
Sponsored Centers and Tier I Homes: A current Income Eligibility Application is on file and correctly approved for each child free and reduced meal claimed?			
A current and complete Master Roster is on file documenting all participants enrolled in the program and their correct eligibility status?			

RECORDKEEPING REQUIREMENT	YES	NO	COMMENTS
POLICY: Has a written policy and procedure been put into place which identifies a monthly edit check. Does the policy cross reference the master roster, enrollment forms, income eligibility applications, and point of service meal counts occur before the claim for reimbursement is consolidated?			
<i>SPONSORS OF TIERING FDCH's</i>			
POLICY: The sponsor has a written policy in place for making tiering determinations. The sponsor has a written policy in place to ensure that Tier I re-determinations are made: <ul style="list-style-type: none"> • Each year for income eligibility forms • Every 5 years for school data • When new census data is issued 			
A "Tier I Reimbursement Determination Notification" form or "Tier II Provider Notification and Election" form is on file for each provider?			
Documentation is maintained to support Tier I determinations based on school or census data.			
Documentation is maintained to support Tier I determinations based on provider income which includes at least a provider income eligibility application and written verification of income (i.e. pay stubs, tax forms)?			
A list of providers who have qualified for Tier I based on Food Stamp eligibility is annually maintained?			
<i>TRAINING</i>			
Does the institution have documentation (signature, agenda and date) on file to verify that CACFP training was conducted for each new key staff member upon orientation? Note: Sponsors – includes all facilities.			
Does the institution have documentation (signature and date) on file to verify that CACFP training was conducted for all key staff members on an annual basis? Note: Sponsors – includes all facilities.			
Does the institution have documentation on file that the CACFP training covered the six minimum training topics (meal patterns, meal counts, claims, monitoring and review procedures, recordkeeping, and reimbursement processes)? Note: Sponsors – include all facilities.			
Does the institution have documentation on file to verify that a key staff member annually attended a minimum, of one approved SA training?			
<i>Sponsors:</i>			
Documentation of first four week monitoring review is on file for each new center/provider?			
Documentation of pre-approval visits is on file for each new center/provider?			
The sponsor has documentation on file to track technical assistance materials that are given to centers/providers (brochures, handouts, resource manuals)?			
POLICY: The sponsor has a written policy for tracking training to assure that all key staff of centers/providers receives training as required?			

RECORDKEEPING REQUIREMENT	YES	NO	COMMENTS
The sponsor has documentation to verify that the sponsor's monitor(s) has received training appropriate to their position at least annually?			
<i>SPONSOR MONITORING</i>			
POLICY: The sponsor has a written policy in place outlining how monitoring staff will provide feedback for non-compliance issues; as well as to follow up and document required corrective actions?			
POLICY: The sponsor has a written policy in place for making announced and unannounced visits to include varying the timing of unannounced reviews making them unpredictable to sponsored facilities?			
Documentation is on file verifying that monitoring reviews are conducted within the required time periods for each sponsored center/provider: <ul style="list-style-type: none"> • Each facility has been reviewed a minimum of three times per year • A minimum of two unannounced visits were made to each facility during the past year; sponsors must vary the timing of unannounced reviews so they are unpredictable to sponsored facilities. • A minimum of one unannounced visit included the observation of a meal • A five-day reconciliation was performed during each monitoring visit 			
Is documentation to ensure that the sponsor has adequate monitoring staff to meet CACFP requirements? Note: Does the sponsor have an approved copy of the "Sponsoring Institution Budget Justification Worksheet"			
Does the institution have documentation to verify that the number of meals being reviewed is proportional to the total number of meals being served (i.e. Are the number of suppers being reviewed proportional to the number of suppers facilities are serving)?			
<i>COUNTING & CLAIMING PROCESSES</i>			
POLICY: Is there a written policy that describes a system to ensure accurate meal counts by type (breakfast, Lunch, supper, snack, Tier I, Tier II) accurate meal count consolidation process? Is there a meal count consolidation process?			
Are meal count records available for all meals claimed?			
Do meal count records include participants first and last names? Are staff meals recorded?			
<i>Sponsors:</i>			
POLICY: Is there a written policy that describes a system to perform monthly edit checks on the meal counts including: <ul style="list-style-type: none"> • Only approved meals are claimed • A maximum of 2 meals and 1 snack or 1 meal and 2 snacks are claimed per day • Number of meals claimed does not exceed enrollment calculation • Meals served to providers own children are reimbursable 			

RECORDKEEPING REQUIREMENT	YES	NO	COMMENTS
POLICY: Does a written policy exist outlining the procedure for denying reimbursement secondary to unapproved meals, meals with missing meal components, and meals claimed for missing enrollment forms and/or income eligibility applications?			
Documentation for claim adjustments are on file that show the reason for the adjustment, meal total changes and adjusted meal reimbursement amount?			
Is there documentation on file documenting household contacts?			
<i>SPONSOR SERIOUS DEFICIENCY & APPEALS</i>			
Does the sponsor have a written appeal procedure? Is there an annual "Provider Appeals Procedure" on file for each FDCH provider?			
Does the sponsor have a written serious deficiency policy that complies with program requirements? Note: See Toolkit. www.education.nh.gov/program/nutrition/child_tool.htm			
Does the sponsor maintain complete and accurate records of any serious deficiencies and the respective corrective action?			
<i>ADULT DAY CARES</i>			
Is documentation on file that meals are claimed only for participants who "remain in the community"?			
Is there an individual plan of care available for each participant?			
Is documentation available that each participant under 60 years old meets the functional impairment requirement?			