

Section 5.1: Application Information

Sponsors are required to submit an application each year to participate in the CACFP. Based on the information submitted in the application, ADE/CNP creates a computer database for each child care center. The monthly claims for reimbursement submitted by the child care center are compared to the information in the database.

The sponsor shall notify ADE of changes regarding any information which could affect the claims for reimbursement or its participation in the CACFP (Refer to Section 3.4.). A delay in reimbursement may result for sponsors who fail to notify ADE of any changes.

Sponsors are required to maintain records for a period of five years to support monthly claims for reimbursement and compliance with Program requirements. If administrative review or audit findings have not been resolved, the records shall be retained beyond the end of the five-year period or as long as it may require until such issues raised are resolved.

All accounts and records pertaining to the CACFP shall be made available upon request to representatives of the ADE-CACFP, the USDA, or the U.S. General Accounting Office for audit or review, at a reasonable time and place. If records are unavailable to support claims for meals paid for reimbursement, all meals will be disallowed which will result in an overpayment for which the sponsor will be responsible. The sponsor will then be listed as seriously deficient.

Section 5.2: Attendance

Sign-In/Sign-Out Records

Attendance records must be maintained as part of the monthly CACFP recordkeeping. Standard sign-in/sign out records or an automated sign-in/sign-out system is acceptable. Prior to using automated sign in/sign out records, an ADE approved computer generated meal count agreement must be on file. Automated sign-in/sign-out records must be signed at least weekly by the parent/guardian if the sponsor is not utilizing a back-up attendance record.

Enrollment Records (Emergency/Enrollment Forms ‘Blue Cards’)

All children in care and claimed for reimbursement must be enrolled. Drop-ins must also have enrollment records on file. The number of children enrolled is the total number of children who attended the center during the claim month, regardless of whether or not they ate a meal. Enrollment Records must be updated at least annually.

Income Affidavits

An income affidavit or eligibility documentation (i.e. Head Start eligibility) must be on file for each child listed on the Free or Reduced Claiming Percentage Rosters. Income Affidavits completed, signed and dated on or after July 1 are valid for a period of one year, ending June 30. Affidavits may be distributed no sooner than 30 days prior to July 1st (June 1st). Staff may not complete any part of the income affidavit on behalf of the person who signs the document. For more information on maintaining income eligibility, please refer to the *CACFP Eligibility Guidance Manual for Center-based Programs*. The following list of items is required on all income affidavits approved in either the free or reduced categories.

- Part 1: Name, age, and date of birth for all children enrolled in center (if income eligible).
- Part 2: Name, age, date of birth, and case number for all children enrolled in center (if categorically eligible). The case number will be 8 digits (may have preceding zeros) and is applicable if the family receives Food Stamps, Cash Assistance (TANF), or Food Distribution Program on Indian Reservations (FDPIR). This is not to be confused with Child Care Subsidies obtained through the Child Care Administration.
- Part 3: Income of all household members (if not categorically eligible).
- Part 4: Name, age, date of birth, and any income received for foster care (for foster children only).
- Part 5: Contact information, signature and social security number (or the word “none” if no SSN) of person signing the income affidavit. This section should also be dated.

Income affidavits must include the parent letter on the back, be current for the fiscal year, and be signed and approved by the appropriate staff.

Claiming Percentage Rosters

Claiming Percentage Rosters are used to track the number of eligible participants in the free, reduced, and paid categories. These must be tracked on a monthly basis and attendance must be verified for each claim month. Below is a snapshot of a completed claiming roster.

List participants qualifying for _____ meals:

Name		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Last	First												
AAA,	Johnny	X	X	X		X	X	X	X	X	X	X	X
BBB,	Daisy	X	X				X	X	X				
CCC,	Chelsea	X	X	X	X	X	X	X	X	X	X	X	X
DDD,	Marc		X	X	X	X							

Best Practices

Names on sign-in/out sheets, income affidavits and claiming rosters must all match. Records should be kept in alphabetical order and children listed on claiming rosters should also be listed in alphabetical order.

Income affidavits contain confidential information and therefore should be kept secured; preferably locked up. Access to the affidavits should be restricted to supervisory staff only.

Section 5.3: Title XXTitle XX Records (applicable to for-profit centers)

For each month a claim is filed for reimbursement, the center must verify that at least 25% of the total enrolled children or license capacity, whichever is less, are Title XX beneficiaries (DES Subsidized Child Care Participants). **If the 25% Title XX criteria is not met for any given month, that center cannot file a claim for that month.** To be counted as a Title XX beneficiary, a child must be claimed for at least one day on the monthly DES assist billing form.

Section 5.4: Infants

Child care centers must offer program meals to ALL eligible children, including infants. The CACFP does not discriminate in any aspect of the delivery of program benefits. This includes the “inequitable allocation of Program (CACFP) benefits or services to eligible children on the basis of race, color, national origin, sex, **age** or handicap [disability]” - (FNS Instruction 113-4 XII A 2). For more information regarding infant requirements, refer to Chapter 7.

Infant Feeding Records

- Complete Daily Meal Production Record for Infants by:
 1. Check food items offered, not consumed.
 2. Specify food items (where applicable).
 3. Adding up meals to be claimed and transfer to Meal Count Summary. Below is a sample Daily Meal Production Record for Infants:

INSTRUCTIONS:

- Record the names of the infant(s) being served the meal
 - Use a (√) where indicated
 - Record the kind of fruit/vegetable or meat served
 - Indicate by circling specific meals/snacks that will be claimed for reimbursement
 - All formula and infant cereal served must be iron fortified
 - Record infant totals each day and transfer to Daily Meal Count Summary Sheet
 - IFC = Infant Cereal
- *Adopted from New Mexico CACFP form

NAMES 0-3 months	<u>Breakfast</u>	<u>AM</u>	<u>Lunch</u>	<u>PM</u>	<u>Supper</u>
	Formula or Breast Milk 4-6 oz (√)				
Sarah H.	√	√	√		
John B.	√		√	√	

NAMES 4-7 months	<u>Breakfast</u>		<u>AM</u>	<u>Lunch</u>			<u>PM</u>	<u>Supper</u>		
	Formula or Breast Milk 4-8 oz (√)	IFC 0-3 T (√)	Formula or Breast Milk 4-6 oz (√)	Formula or Breast Milk 4-8 oz (√)	Veg./Fruit 0-3 T <u>Specify</u>	IFC 0-3 T (√)	Formula or Breast Milk 4-6 oz (√)	Formula or Breast Milk 4-8 oz (√)	Veg./Fruit 0-3 T <u>Specify</u>	IFC 0-3 T (√)
Jason L.	√		√	√						
Adam S.	√	√	√	√	Green beans	√				

NAMES 8-11 months	<u>Breakfast</u>			<u>AM</u>		<u>Lunch</u>			<u>PM</u>		<u>Supper</u>		
	Formula or Breast Milk 6-8 oz (√)	IFC 2-4 T (√)	Veg./Fr 1-4 T <u>Specify</u>	Formula, Breast Milk, fruit juice 2-4 oz (√)	0-1/2 slice bread or 0-2 crackers (√)	Formula or Breast Milk 6-8 oz (√)	Veg./Fruit 1-4 T <u>Specify</u>	IFC 2-4 T OR Meat/Alt 1-4 T ½ - 2 oz <u>Specify</u>	Formula, Breast Milk, fruit juice 2-4 oz (√)	0-1/2 slice bread or 0-2 crackers (√)	Formula or Breast Milk 6-8 oz (√)	Veg./Fruit 1-4 T <u>Specify</u>	IFC 2-4 T OR Meat/Alt 1-4 T ½ - 2 oz <u>Specify</u>
David T.				√	√	√	Corn	IFC	√	√			
Mark C.	√	√	Pears	√		√	Peas	Chicken					

Daily Infant Totals:

Breakfast: 5 AM: 5 Lunch: 6 PM: 2 Supper: 0

Section 5.5: Meal Counts

The CACFP *requires* that meal counts be taken at point of service. Point of service may be conducted under any of the following guidelines:

- At the very beginning of the meal where participants are seated around the table or as they come through a tray line.
- During meal time where participants are concurrently partaking of the meal.
- Towards the end of the meal before the participant gets up from and leaves the table.
- “Point of Service” must be recorded on the “Point of Service Meal Count Sheet.”
 - Must be summarized on the Meal Count Summary.

Point of Service Meal Count Sheet

All Sponsors are required to maintain the point of service meal count sheet. As a reminder, sponsors can claim up to two meals and one snack, one meal and two snacks, or three snacks per child per day. Emergency shelters may claim three meals per child per day. Below is a snapshot of a completed point of service meal count sheet.

POINT OF SERVICE MEAL COUNT SHEET

Week of _____

1. Check off all meals served to a participant (✓)
2. A participant may be claimed for a maximum of two meals and one snack *or* two snacks and one meal per day.
3. Indicate by use of a colored slash mark specific meals/snacks that will be claimed for reimbursement. (↗)

NAME	1 st						2 nd						3 rd					
	MONDAY						TUESDAY						WEDNESDAY					
	BREAKFAST	AM SNACK	LUNCH	PM SNACK	DINNER	NITE SNACK	BREAKFAST	AM SNACK	LUNCH	PM SNACK	DINNER	NITE SNACK	BREAKFAST	AM SNACK	LUNCH	PM SNACK	DINNER	NITE SNACK
Johnny, AAA	✓	↗	↗	↗			✓	↗	↗	↗				✓	↗	↗	↗	
Daisy, BBB	✓	✓	↗	↗	↗		✓	✓	↗	↗	↗		✓	✓	↗	↗	↗	
Chelsea, CCC	↗	↗	↗				↗	↗	↗	↗	↗		↗		↗	↗	↗	
Marc, DDD		↗	↗	↗				↗	↗	↗			↗	↗	↗	✓	✓	
TOTALS	1	3	4	3	1		1	3	4	3	1		2	1	4	3	2	

Meal Count Summary

Meal count records for each meal served during the month must support each claim for reimbursement. The meal count summary must indicate the daily number of meals served to enrolled children by type of meal: breakfast, lunch, supper or snack. Meal counts must be taken at *point of service*, (i.e. while children are seated and eating) and recorded accurately. Below is a snapshot of a completed Meal Count Summary.

MEAL COUNT SUMMARY

No. of Meals Claimed for Enrolled Children

Date	Breakfast	A.M. Snack	Lunch	P.M. Snack	At-Risk Snack	Supper	Night Snack
1 st	1	3	4	3		1	
2 nd	1	3	4	3		1	
3 rd	2	1	4	3		2	
Subtotal	4	7	12	9		4	
Infant Total from reverse side*							
Total	4	7	12	9		4	

Edit-Check Meal Counts

Meal Counts should be edit-checked at least monthly. A position should be assigned to conduct Meal Counts and another position should be assigned to edit-check calculated Meal Counts to avoid errors in claims for reimbursement. An “Edit-Checking Policy” should be created that ensures meal counts will be edit-checked prior to claim submissions. The policy should include what position will be responsible for meal counts and how they will be edit-checked to prevent errors.

Computer-Generated Meal Count System

Sponsors who utilize a computer-generated meal count system must obtain prior approval from ADE. Sponsors must complete, and submit to ADE, the “Child and Adult Care Food Program Computer Generated Meal Count Agreement.” Documentation of approval must be maintained on file. Sponsors may claim meals using a computer-generated meal count system effective the day approval was obtained from ADE. Meals will be disallowed if prior approval was not obtained or documentation of approval is not available. Daily attendance records alone cannot be used in lieu of a meal count summary or point of service meal count sheet.

Value of Excess Personnel Meals

Although staff or volunteer meals are not reimbursable under the CACFP, those meals consumed must be recorded in the space provided on the Meal Count Summary. If those meals exceed the 1:5 ratio, meaning more than one staff member consumes a meal per five participants, the cost of those meals must be reported on the monthly sponsor claim. A monetary value must be assigned to each meal served above the 1:5 ratio. Sponsors may assign a fair value that represents cost of meal or may use the USDA Reimbursement rate for Free Meals. To determine the ratio divide total number of each meal type served to participants by 5.

Example: Lunch served 1000 participants
 $1000 \div 5 = 200$

You may serve 200 staff meals without reporting a value. If you served 250 staff meals, then you must report the cost of the 50 excess meals.

Section 5.6: Food Service Costs

Costs associated with the CACFP are not reimbursable but are maintained to ensure that sponsors are operating a non-profit food service. Documentation must be available to demonstrate that sponsors are spending more to operate their food service than they are receiving in reimbursement from the Program. Sponsors must also demonstrate that they are spending at least 50% of their reimbursement on food purchases. The following documentation must be maintained to demonstrate a non-profit food service operation:

Non-Profit Food Service

All participating organizations must operate a nonprofit food service principally for the benefit of enrolled children. Nonprofit food service status is determined by deducting allowable net expenses from the food service revenue. Food service revenue includes:

- Reimbursement from CACFP.
- Income to the Program earned from activities supported by the food service (i.e., Bake Sale event).
- Any other funds used or restricted for use in the nonprofit food service (i.e., Head Start funds, donations, DES funds, parent tuition, etc.).
- Funds in the nonprofit food service account are restricted and can be used only for allowable nonprofit food service costs.
- CACFP reimbursement must be spent on CACFP only. Sponsors must be able to demonstrate (paper-trail) that to ADE.

Sponsoring organizations shall also ensure centers under their sponsorship maintain a nonprofit food service. This requirement applies to sponsors of affiliated centers (those centers that are of the same legal entity as the sponsor) and unaffiliated centers (those centers that are not part of the same legal entity as the sponsor).

Food Service Cost Report

The Food Service Cost Report is used to record the amount of money spent on CACFP food and supplies. Food expenses may include food, milk, and other food items used to prepare a creditable meal. Expenses for supplies used in the food service may include paper products such as plates, plastic spoons/forks, and table napkins, cleaning supplies such as dishwashing detergent and bleach to sanitize dishes, and kitchen equipment. Copies of supporting documentation, including receipts and invoices, must be maintained on file to support all monthly claims. Below is a snapshot of a completed Food Service Cost Report.

FOOD SERVICE COST REPORT

Itemized Costs	Operational – Direct Meal Service (preparation and service of meals to participants)
Food	Net food used/delivered
Supplies and Equipment	Bleach, paper plates/cups, cooking pans, etc.

Date	Supplier	Total Invoice	Food/ Milk	CACFP Operational Supplies	Non CACFP Supplies	Tax
January 1st	Wal-Mart	\$87.31	\$43.97	\$6.56 (cups)	\$25.86	\$5.93
January 10th	Safeway	\$101.77	\$82.69	\$4.97(dish soap)	\$6.58	\$7.53
TOTAL			<u>\$ 126.66</u>	<u>\$ 11.53</u>		

Section 5.7: Facility Costs

Time Distribution Reports

Time Distribution Reports document the amount of time spent performing Food Service and Non-Food Service tasks for each day of the month. This information is used to establish the portion of costs that may be claimed as Food Service labor and benefits. Any staff member who performs a CACFP related task must complete the Time Distribution Report to support all salaries and benefits claimed. For information on how to complete, please refer to the instructions on the back of the Time Distribution Report. Below is a snapshot of a completed Time Distribution Report.

TIME DISTRIBUTION REPORT

Employee Name: Sherri Coldwell	Position: Director	Month/Year: January 20XX
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Day	Work Hours		CACFP Administrative Tasks	Food Service Operational Tasks	Totals
	Start	End	A. e.g., Managing, planning, organizing, training, monitoring	B. e.g., meal prep, serving, clean- up, supervising, meal counts	C. Total Hours Worked for the day
1	6:00 am	4:00 pm	4		10
2	6:00 am	4:00 pm	4		10
3	6:00 am	4:00 pm	4		10
4	6:00 am	4:00 pm	2	2	10
5	6:00 am	4:00 pm	4		10

Total Administrative Hours Worked 18 Total Operational Hours Worked 2 Total Monthly Hours Worked 50

Alternate Certificate Statement: I certify that I am on a fixed work schedule.

My workdays are _____ through _____. My work hours are _____ a.m. to _____ p.m. I did not work outside the hours of my fixed schedule, and all my work hours were spent performing Food Service duties.

I certify that all information is true and correct.

Sherri Coldwell
Signature – Employee

1-31-08
Date

CACFP Monthly Expense Worksheet

The CACFP Monthly Expense Worksheet is used to record labor and facility costs associated with the Program. Labor costs include wages and benefits paid by the sponsor to employees directly involved in the operation and administration of the CACFP. Labor may include time allocated to food preparation and service, food purchasing, cleaning of the food preparation and service areas, supervision of meals, menu planning, or recordkeeping, and other administrative duties. Use the completed time distribution reports as your tool to determine all labor and benefit costs. Below is a snapshot of a completed Monthly Expense Worksheet used to determine labor and benefits costs:

CACFP MONTHLY EXPENSE WORKSHEET

Itemized Costs	Administrative Costs – Overseeing Compliance (planning, organizing and managing CACFP)	Operational Costs – Direct Meal Service (preparation and service of meals to participants)
Salaries	Owner, Director, Monitor	Teachers, Cook
Benefits	Owner, Director, Monitor	Teachers, Cook

ADMINISTRATIVE SALARIES/BENEFITS

LABOR EXPENSES

Benefits[†]

A	B	C	D	E	F
POSITION, EMPLOYEE NAME	TOTAL ADMINISTRATIVE HOURS PER MONTH (FROM TIME DISTRIBUTION REPORT)*	SALARY PER HOUR	GROSS PAY (B X C)	PERCENT OF TIME SPENT ON CACFP TASKS THIS MONTH B ÷ TOTAL MONTHLY HOURS	CACFP PORTION OF BENEFITS E × TOTAL BENEFITS PAID TO EMPLOYEE
DIRECTOR, Sherri Coldwell	18	\$15.00	\$270.00		

Total: \$270.00

Salaries

Benefits

OPERATIONAL SALARIES/BENEFITS

LABOR EXPENSES

Benefits[†]

A	B	C	D	E	F
POSITION, EMPLOYEE NAME	TOTAL OPERATIONAL HOURS PER MONTH (FROM TIME DISTRIBUTION REPORT)*	SALARY PER HOUR	GROSS PAY (B X C)	PERCENT OF TIME SPENT ON CACFP TASKS THIS MONTH B ÷ TOTAL MONTHLY HOURS	CACFP PORTION OF BENEFITS E × TOTAL BENEFITS PAID TO EMPLOYEE
DIRECTOR, Sherri Coldwell	2	\$15.00	\$30.00		

Total: \$30.00

Salaries

Benefits

Section 5.8: Menus and Food Production Worksheets

Menus

Menus must be maintained for all meals claimed for reimbursement and must indicate all food components that meet the meal pattern requirements. All food menu substitutions must be documented on the menu, and menus are required to be posted in public view (for additional Menu/Food requirements refer to Chapter 7).

Production Worksheets

Production worksheets may be used to ensure that sufficient amounts of food were prepared for the number of children claimed and adults served. Production worksheets should be completed in advance prior to meal preparation and used as a tool to:

1. Plan for the amount of food needed.
2. Be used as a food purchase list.
3. Record actual amounts of food used.

New sponsors are required to maintain production worksheets for every meal claimed for CACFP reimbursement. When production records are waived by an ADE representative, written documentation identifying the waiver must be permanently maintained on site. After such a determination is made, production records may be maintained on a voluntary basis. If at any time ADE, or a representative thereof, determines that there is not adequate documentation to support fulfillment of the meal pattern requirements, production records will again be required for all meals.

To obtain and print a copy of both the Creditable Foods Guide and the Simplified Buying Guide, go to <http://www.ade.az.gov/health-safety/cnp/cacfp/child/Interest.asp>.

- The Creditable Foods Guide is designed to provide information on credible and non-credible foods in Childcare Centers/Preschools, Head Start Centers, Outside School Hour Centers, Family Day Care Homes, At-Risk Centers, Emergency Shelters and Adult Day Care Centers.
- The Simplified Buying Guide is designed to assist participants in completing the production worksheets. If you cannot find an item in this guide, you may refer to the USDA Food Buying Guide at <http://www.fns.usda.gov/tn/Resources/foodbuyingguide.html>.

Steps to complete Production Worksheets (Breakfast):

Step 1: Write date that meals will be served in space provided

Step 2: List number of children or adults (including staff) who will be eating the meal

Number Planned For:

Age 1 up to 2	Age 3 up to 5	Age 6 up to 12 + Adult
4	8	10

Step 3: Plan menu to meet the meal pattern in spaces provided

Menu : VEGETABLE/ FRUIT **Bananas**
 GRAINS/BREADS **Wheaties**
 MILK **Whole/1% Milk**

Step 4: Calculate the total number of servings

- list number of people in each age group in the “Food Items” column
- multiply by the factor
- add up amounts and write total in “No. of Servings” column

Component Requirements	FOOD ITEMS		No. of Servings
	Age	Factor	
VEGETABLES AND/OR FRUITS	1-2	$\frac{4}{\quad} \times 1 = \frac{4}{\quad} +$	¼ c.
	3-5	$\frac{8}{\quad} \times 2 = \frac{16}{\quad} +$	
	6-Adt	$\frac{10}{\quad} \times 2 = \frac{20}{\quad} =$	
	Banana		40
GRAIN/BREADS	1-2	$\frac{4}{\quad} \times 1 = \frac{4}{\quad} +$	½ sl.
	3-5	$\frac{8}{\quad} \times 1 = \frac{8}{\quad} +$	
	6-Adt	$\frac{10}{\quad} \times 2 = \frac{20}{\quad} =$	
	Wheaties		32
FLUID MILK	1-2	$\frac{4}{\quad} \times 1 = \frac{4}{\quad} +$	½ c.
	3-5	$\frac{8}{\quad} \times 1.5 = \frac{12}{\quad} +$	
	6-Adt	$\frac{10}{\quad} \times 2 = \frac{20}{\quad} =$	
	Whole Milk		4
	1% Milk		32

Step 5: Use Buying Guide to determine “Market Unit” and “Amount Needed” for the total servings of each food

Component Requirements	FOOD ITEMS		No. of Servings	Market Unit	Amount Needed
	Age	Factor			
VEGETABLES AND/OR FRUITS	1-2 <u>4</u> x 1= <u>4</u> + 3-5 <u>8</u> x 2= <u>16</u> + 6-Adt <u>10</u> x 2= <u>20</u> =		¼ c.		
	Bananas		40	pound	4.94
GRAIN/BREADS	1-2 <u>4</u> x 1= <u>4</u> + 3-5 <u>8</u> x 1= <u>8</u> + 6-Adt <u>10</u> x 2= <u>20</u> =		½ sl.		
	Wheaties		32	pound	1.00
FLUID MILK	1-2 <u>4</u> x 1= <u>4</u> + 3-5 <u>8</u> x 1.5= <u>12</u> + 6-Adt <u>10</u> x 2= <u>20</u> =		½ c.		
	Whole Milk		4	½ gallon	0.25
	1% Milk		32	gallon	1.00

Step 6: List the “Amount to Purchase” (round up from amount needed)

Component Requirements	FOOD ITEMS		No. of Servings	Market Unit	Amount Needed	Amount to Purchase
	Age	Factor				
VEGETABLES AND/OR FRUITS	1-2 <u>4</u> x 1= <u>4</u> + 3-5 <u>8</u> x 2= <u>16</u> + 6-Adt <u>10</u> x 2= <u>20</u> =		¼ c.			
	Bananas		40	pound	4.94	5
GRAIN/BREADS	1-2 <u>4</u> x 1= <u>4</u> + 3-5 <u>8</u> x 1= <u>8</u> + 6-Adt <u>10</u> x 2= <u>20</u> =		½ sl.			
	Wheaties		32	pound	1.00	1
FLUID MILK	1-2 <u>4</u> x 1= <u>4</u> + 3-5 <u>8</u> x 1.5= <u>12</u> + 6-Adt <u>10</u> x 2= <u>20</u> =		½ c.			
	Whole Milk		4	½ gallon	0.25	1
	1% Milk		32	gallon	1.00	1

Section 5.9: Additional Documentation

Tax-Exempt Status (applicable to non-profit centers)

Non-profit centers must maintain documentation from the IRS of their tax-exempt status or the IRS 501 (c)(3).

License or Approval

Sponsors are required to have a current DHS license or license approval if DHS licensing isn't available.

Centers complying with applicable procedures to renew their DHS licensing, Military Base Certification or Tribal Health Services Certification may participate in the CACFP during the renewal process unless ADE has information which indicates that renewal will be denied.

Child Care Centers on Military Bases are eligible for CACFP participation. Centers operated by any branch of the military must submit a "Department of Defense Certificate To Operate License" from their Headquarters in place of the DHS licensing.

Child Care Centers on Indian Reservations are eligible for CACFP participation. Centers operating on Tribal Land must submit a "Tribal Environmental Health Service Certification Report" issued by Indian Health Services in place of DHS licensing.

Records To Be Kept On File

The following is a list of recordkeeping items that should be kept on file.

- Copy of all Application (New/Renewal) Materials
- Complete Income Affidavits
- Attendance Records (Claiming Rosters and Sign-in/Sign-out Sheets)
- Food Service Cost Reports (including all supporting documentation such as receipts/invoices)
- CACFP Monthly Expense Worksheet (including all supporting documentation such as bills/invoices)
- Time Distribution Reports
- Meal Count Summaries and Point of Service Meal Count Sheets
- Daily Meal Production Record for Infants and Infant Feeding Preference form (if applicable)
- Computer Generated Meal Count Reports (if applicable)
- Policy and Procedures for collection and maintenance of CACFP records
- Policies on addressing block claiming and using household parental contacts (if applicable)
- Job Descriptions for all employees with detailed CACFP Duties
- Title XX attendance/billing records (if applicable)
- Administrative Review Procedures
- Procedures for Complaints of Discrimination
- Production Worksheets (as required)
- Menus (including any applicable CN Labels/Product Analysis Data and medical statements)
- Monitoring Records, including 5-day reconciliations (if applicable)
- Training Records (if applicable)
- A copy of the permanent agreement that has been signed by ADE

CACFP Record Keeping Forms are also available on-line at <http://www.ade.az.gov/health-safety/cnp/cacfp/child/>.

Items To Be Posted

The following is a list of items that should be posted or made available to the public:

- “And Justice For All...” poster (must be posted).
- “Building for the Future” poster (must be posted).
- “Women, Infant, and Children Program” information (must be made available or posted).
- “KidsCare Program” information (optional).

Required Written Policies and Procedures

All organizations participating in the CACFP program are required to have a written policy on record maintenance. This policy should address where specific records are kept (i.e. income affidavits are stored in the top drawer of the filing cabinet in the office next to the desk), how long they are kept on site, where archived records are stored, and who has access to all records. All organizations must also have written job descriptions on file that include all CACFP duties or tasks.

Organizations with more than one site participating in the program must have written block claim and parental contact policies.

Section 5.10: Recordkeeping Requirements for Head Starts

Head Starts serve primarily children from families with household incomes at or below the Federal poverty level. However a small proportion of children in families with household incomes above the poverty level may be served. Public Law 110-134 makes any child enrolled in Head Start automatically eligible for free meals without further application or eligibility determination. This means that income affidavits, as discussed in section 5.4, are not required for Head Start or Early Head Start participants. The following is a list of acceptable documentation that may be used in lieu of the income affidavits.

1. An approved Head Start or Early Head Start application.
2. A statement of Head Start or Early Head Start enrollment.
3. A list of participants that qualify for Head Start or Early Head Start that is signed by a Head Start official.

Head Starts must follow all other recordkeeping requirements as stated in this compliance manual. Refer to Chapter 2 for eligibility requirements for Head Starts.

Section 5.11: Recordkeeping Requirements for Emergency Shelters

Emergency Shelters must ensure that only meals served to resident children 18 years of age or younger are claimed for reimbursement. Meals served to adults and non-resident children are not reimbursable. Residential children who participate in the shelter's food service will be automatically eligible for free meals and snacks, without further application. Although a shelter may collect cash, food stamps, or other in-kind payments from some residents for their meal services, it may not charge or collect payments for CACFP meals and snacks served to eligible children.

Emergency shelters may be approved to serve up to three reimbursable meals—breakfast, lunch, and supper—or two meals and one snack, to each child, each day, on weekdays and weekends.

Meals which are consumed in private family quarters in an emergency shelter are not reimbursable. Generally, only meals served in congregate meal settings are eligible for reimbursement. An exception may be made for meals served in private family quarters that are part of an emergency shelter to infants from birth through age 11 months. Those meals may be claimed for reimbursement if the shelter provides all of the required components to the infant's parent or guardian, and maintains records documenting that sufficient food has been served to meet the meal pattern requirements (Refer to section 5.4).

As with all CACFP institutions, shelters must keep records that are adequate to determine the nonprofit status of the food service and proper utilization of CACFP funds. This includes requirements that the shelter maintain a daily roster of children receiving meals, total meal counts by type, and menus for infant meals and meals served to children. In addition to these items, emergency shelters must follow the recordkeeping requirements described in sections 5.4-5.6, 5.8, and the applicable parts of 5.9. All other chapters apply.

Refer to Chapter 2 for eligibility requirements for Emergency Shelters.

Section 5.12: Recordkeeping Requirements for At-Risk After School Snack Programs

After school sites participating in the After School Snack Program are required to maintain the following records:

- Daily meal counts
- Documentation of each child's daily attendance
- Menus (refer to section 5.8)
- Production Worksheets (refer to section 5.8)

Current records should be maintained on site, and all records must be maintained for a minimum of five (5) years.

****Note:** Child care centers that participate in both the traditional CACFP and the At-Risk After School Snack Program must keep their records separate. This means that children, who only participate in the At-Risk Program, should not be included on the claiming percentage rosters, nor should those children be claimed for any other meal or snack. The only time these children must be included on the claiming percentage rosters is when they attend the center during breakfast, school holidays, or school breaks for more than just the At-Risk snack (i.e. they attend and participate in breakfast, lunch, dinner, or AM snack). Additionally, At-Risk snacks may not be claimed during summer breaks unless the school district operates on a year round basis. Those children must be included in the traditional program and must follow all recordkeeping requirements as stated in this compliance manual. The After School Snack Program may follow the recordkeeping requirements listed in this section.

- Example #1: Brandon is enrolled at a child care center and participates only in the At-Risk Program. He never attends the center during any other meals and does not attend during school holidays or school breaks. Brandon's records should be maintained separately from the rest of the center and he should not be included in the meal counts of any other meal or snack, except for the At-Risk snack. He should also be excluded from the claiming percentage rosters.
- Example #2: Amber is enrolled at a child care center and participates in the At-Risk Program, but she also participates in the breakfast meal service daily and attends the center for a full day during school holidays and school breaks. Amber should be included on the claiming percentage rosters and should also be included for any meal she participates in as long as it does not exceed the allowable two meals and one snack or two snacks and one meal per day.
- Example #3: Johnny is enrolled at a child care center and participates in the At-Risk Program, but he also attends the center for a full day during school holidays and school breaks. Johnny should be included on the claiming percentage rosters only during months when there is a school holiday or school break and should also be included for any meal he participates in during those times as long as it does not exceed the allowable two meals and one snack or two snacks and one meal per day. He should not be included on the claiming roster on any month when there is no school holiday or school break.

All other participants that are solely part of the traditional CACFP portion of centers must follow all recordkeeping requirements as stated in this compliance manual.

Refer to Chapter 2 for eligibility requirements for At-Risk After School Snack Programs.