

CHILD AND ADULT CARE FOOD PROGRAM
• CHILD CARE CENTER •
SELF-EVALUATION

MONTH: _____

YEAR: _____

CE NAME: _____

SITE NAME: _____

The following checklist is intended to provide each Contracting Entity with suggestions for monthly recordkeeping that will assist in meeting program compliance. Completion of this list is optional.

Enrollment Records

1. Alphabetized list of participants that are enrolled
2. Current enrollment form for each participant for whom meals are claimed for reimbursement
3. Organization's enrollment policy/packet provided
 - Process to determine that only meals are being claimed for participants who are properly enrolled
 - Offers CACFP Meals to Infants including at least one creditable infant formula (§4112.1)
 - Enrollment records are completed by the parent/guardian and renewed annually
4. Each enrollment form contains the required information:
 - Child's full name
 - Child's date of birth
 - Meals/snacks normally served in care
 - Days/hours normally in care
 - Enrollment date/Withdrawal date
 - Parent/Guardian's signature
 - Date of Parent/Guardian's signature

**Reference: CCC Handbook, §4313,
Enrollment of Children**

Meal Benefit Income Eligibility Forms (MBIEF)

5. Documentation of distribution to all newly enrolled participants and annually thereafter:
 - MBIEF
 - MBIEF Letter to Households
 - Income Eligibility Guidelines (H1625-A)
6. Alphabetized MBIEF or document for categorical eligibility on file for each child that meals are being claimed for reimbursement at free or reduced price rates—must be current and not expired
 - MBIEF completed by the parent/guardian. Any changes made to the original form are initialed and dated by center official or parent/guardian
 - Title XX documentation (if applicable)
 - Consider filing expired MBIEF and those forms of children no longer in attendance separately from current participants
7. MBIEF are approved with required information
 - Categorically Eligible:
 - Name of all enrolled children and household members
 - SNAP, TANF, EDG or FDPIR case number (will be an 8 or 9 digit number) - **OR** -
Documentation of eligibility for free meals due to participation in Early Head Start, Head Start or Even Start
 - Signature of an adult household member
 - Income Eligible:
 - Names of all household members
 - Current income received by each household member
 - "No Income" is marked when applicable—for adults and children that do not have income
 - Source of income identified by the individual who received it
 - Last 4 digits of Social Security number for adult who signs the form or marked that person does not have one
 - Signature of adult household member and date

**Reference: CCC Handbook, §§4210-4212
Eligibility for Free or Reduced-Priced Meals,
Application & Income Standards**

**Reference: CCC Handbook, §4214,
Determining Eligibility**

Meal Benefit Income Eligibility Forms (MBIEF) - cont.

Foster Child:

- Name of Child
- Box marked indicating “Foster Child”
- Signature of adult household member and date

Determining Official:

- If family is over income or application is not complete, “Denied” is marked
 - If family qualifies for free or reduced price meals, the approved section is completed and benefit category is marked
 - Determining official has signed and dated the form with day of approval
8. MBIEF are approved with the correct benefit category designated according to the income eligibility guidelines current at the time of approval.
9. Shared Income Eligibility information from School Food Authority (if applicable)

Program Eligibility

10. For-Profit Contracting Entities:

- Monthly eligibility documentation that a minimum of 25% free or reduced price or Title XX funds

Reference: CCC Handbook, §2243
For-profit Sites

Attendance Records

- 11. Sign-in/Sign-out sheets
- 12. Daily attendance is taken on daily meal count form
- 13. Daily attendance is documented for all enrolled participants and can be compared to sign-in/sign-out sheets

Reference: CCC Handbook, §4171
Meal Service Record

Civil Rights

- 14. Documentation on annual distribution to households:
 - “Building for the Future” flyer (Administration & Forms)
 - Updated WIC flyer (Administration & Forms) (§4312)
- 15. “Building for the Future” flyer and “And Justice for All” posters posted in a prominent location that can be easily viewed by the public (posted in English & Spanish at CEs, Sites, and the Administrative Offices of Sponsors) (§6120)
- 16. Annual documentation of current beneficiaries by ethnic/racial category and eligibility category (§6130)
- 17. Annual documentation of potential beneficiaries by racial/ethnic category with source (§6130)
- 18. Initial/Annual documentation that all staff who participate in CACFP Activities have received Civil Rights training (§§4322, 4336.1 & 6150)
- 19. Translation provided of MBIEF, parent letters, and other information to all non-English reading parents of enrolled children and the public when requested (§6120)
- 20. All information provided to current and potential households includes the updated non-discrimination statement (§6120)
- 21. Age appropriate meals that comply with CACFP meal pattern requirements are served to all children enrolled in the center, including infants, unless parents have declined (§4112.1)
- 22. CEs that have 15 or more employees: (§6250)
 - Documentation of employee designated as Section 504 Coordinator
 - Written Grievance/Complaint procedures (§6260)
- 23. Written Complaint procedure that is given to all current/potential beneficiaries and that all staff are able to explain and to provide written documentation (§§6160 & 6220)
 - Due Process Standards (§6260)
 - Prompt and equitable resolution of complaints (§6260)
 - Referral to higher levels until resolved

Reference: CCC Handbook, §§4311-4312, 6000
Parental Notifications, Distribution, & Civil Rights

Reference: CCC Handbook, §6260
Complaint/Grievance Procedures

License Compliance

- 24. Current and posted license issued by Federal, State, or Local authorities to provide child care (CCL)
- 25. If license is exempt, site is approved by TDA
- 26. Site has not exceeded licensed capacity at any time (§4170)
- 27. Site has not operated outside of licensed hours (§2241.2)
- 28. Site has followed all licensor's minimum standards (§2241.2)

Reference: CCC Handbook, §2241
Licensing

Health, Safety and Sanitation

- 29. Health inspection documentation (§§2241 & 4316)
- 30. Food service is conducted in compliance with generally accepted health and sanitation practices (CCL)
 - There are not any obvious fire, health, and/or safety hazards at the site
 - Cleaning supplies and other toxic materials are safely stored out of reach of children and away from food
 - Food is properly stored (raw foods below ready-to-eat foods, tightly covered, and dated) in refrigeration and dry storage areas
 - Refrigerator is clean and free of odors

Reference: CCC Handbook, §4339
Health & Safety

Training

- 31. Organizational chart that includes the names and functions for all current employees, board members, officers, agents, consultants and employees involved in any aspect of the CACFP (§§2220 & 4530)
- 32. Documentation that all staff performing key CACFP activities have been trained prior to beginning their function within the program and annually thereafter (§§4322, 4324, & 4336)
- 33. Written training policy is followed (§2222.3)
- 34. Sponsors:
 - Provide required training documentation to Sponsored Sites (§4336.4)
 - System for identifying and addressing problem areas in annual training
 - Policy and procedure to address site's failure to receive annual training

Reference: CCC Handbook, §§ 4320 & 4336
Training and Education

Monitoring (Sponsors Only)

- 35. Written monitoring procedures are followed (§2222.3)
- 36. Documentation of three annual monitoring reviews have been completed, documented and filed for each site and that there is not more than six months between reviews
- 37. Documentation that two of the three reviews were unannounced
- 38. Documentation that a different meal was observed at each review with not more than one observation consisting of a snack
- 39. Five day reconciliation procedures are followed (§4337.7)
- 40. Household contact procedures are followed and used in questionable circumstances (§4338.1)
- 41. If site findings are determined, follow-up and corrective action has been completed, documented and filed
- 42. Monitoring form is fully completed
- 43. Review Averaging (if applicable):
 - TDA approved averaging is implemented correctly and reviews are completed with not more than nine months between reviews (§4337.1)
- 44. CEs that receive vended meals or meals from a Food Service Management Company (if applicable):
 - Documentation of annual Food Service Management Company (FSMC)/Vendor Monitor Review (§4115.2)

Reference: CCC Handbook, §4337
Reviews – Sponsoring Organizations

Procurement

- 45. Written procurement procedures are followed for both the CE and Sites
- 46. Written Code of Standards of Conduct (§§3110 & 7200)
- 47. Written Conflict of Interest policy (§§3110, 7200, & 12000)
- 48. Written Protest procedures (§7310, #5)
- 49. Documentation of disclosure of any related party/less-than-arms length transactions (§§3110 & 7200)
- 50. Agreements for any purchased services or subcontractors and verification that services have been properly procured (§§7340.2, 7340.3, & 7420)
- 51. Documentation of verification that subcontracted services for CACFP have been evaluated and determined not to be on the National Disqualified List (NDL) and TEXSL (§7340.2)
- 52. Documentation of all procurement conducted (§7350)
- 53. Informal purchase (if applicable):
 - Documentation of quotes obtained
- 54. Formal Purchase (if applicable):
 - Ad, Bid Specification Package, Bid Selection & Evaluation Process, etc.

**Reference: CCC Handbook, §7310
Procurement Procedures**

Meal Production Records

- 55 Meal production records completed for each meal type served
- 56. Meal production records are completed daily prior to service
- 57. Meal production records contain required information (H1530A):
 - Where and When: CE Name and Number, Site Name and Number, Date
 - What: Meal Type, Required Food Components, Menu, Description of Food Items Used
 - Milk: Specify the type served, including fat content
 - Grains: Indicate Enriched, Whole Grain (WG), or Whole grain-rich (WGR)
 - CN Label Products: Include six-digit product identification number
 - Substitutions: Document under Menu, Food Items Used, & Quantity Prepared
 - How much:
 - Quantity Prepared recorded in measurable amounts sufficient for Actual Participation
 - Planned Participation by age group, including Program & Non-program Adults
- 58. Supporting Documents on file
 - CN Labels and Production Formulation Statements (§§4114.6 - 4114.7)
 - Standardized Recipes are on file for menu items prepared that meet more than one component requirement
 - Product Label including Nutrition Facts for Yogurt and RTE Cereals served
 - Record of Leftover/Recycle Foods (§4114.2) (MPR, H1568, or alternate documentation)
 - Record of Donated Food (§4114.3)
 - Medical Statements for Disabilities and/or Medical or Special Dietary Needs (§§4113.2 - 4113.3)
 - Parent - written requests for non-dairy, fluid milk substitutions (§4113.3)
 - Field Trip Documentation (§§4173 & 11142)
 - Completed meal production records (§4530)
- 59. If contracting for meal service, original meal production record (copy is kept at vendor location) and signed delivery slip (§§4115.2 & 7470)

**Reference: CCC Handbook, §4114
Meal Service Documentation**

Infant Meal Records for Meals Served to Infants Birth through 11 months

- 60. Current Infant Feeding Preference documentation for each infant (§4114.4)
- 61. Daily, dated Infant Meal Production Records, Infant Food Records, or Alternate Form completed for infants in attendance
- 62. Medical Statements for Substitutions must be updated for each Infant Age group
- 63. Infant Food Items served are creditable for required components (§4112.1)

Food Cost Records

- 64. Physical Inventory of food and non-food items with an assigned value- required for the Federal fiscal year end closeout of each institution's Program activities and must be conducted at least annually (§§4530 & 7470; 796-2 rev. 4, Exhibit B)
- 65. Food receipts and/or invoices of purchases made to support menu
- 66. Food receipts and/or invoices are dated, itemized, and printed with the name of the store/vendor
- 67. Food receipts and/or invoices of purchases are allowable, reasonable, necessary and non-program items have been identified
- 68. Receipts for program non-food items (food service paper products and cleaning supplies) are dated, itemized, and printed with the name of the store/vendor
- 69. Program expenses are tracked with a ledger and approved in the annual budget
- 70. Expense ledgers are complete and filed
- 71. Non-profit food service status is maintained (not more than 3 months of average expenditures) (§7400)

**Reference: CCC Handbook, §7470
Documentation Requirements**

Point of Service Meal Counts

- 72. Meal counts are recorded in ink for each child at the “point of service” (observed reimbursable meal/snack) and include:
 - Date of Food Service
 - Day of the Week
 - Participants’ full names (matches enrollment)
 - Participants’ ages
 - Attendance
 - Meal counts, by meal type, for each participant.
 - Total participant meals, program staff meals and non-program meals served
 - Certification Statement with Signature and Date
- 73. Meal service style (family style or cafeteria) is correctly implemented and served at CACFP approved meal service times
- 74. Verify that counts for the same child/children are not duplicated in other classrooms
- 75. Verify that meals for absent children are not counted
- 76. Original point of service meal counts are filed
- 77. Field trip documentation (if applicable—for meals served on field trips) (§§4173 & 11142)
- 78. Sponsors:
 - Maximum number of meals and meal type edit check completed and correct (§4338)

**Reference: CCC Handbook, §4170, §4171
Counting Meals & Snacks, Meal Service Record
TDA Form H1535**

Claims for Reimbursement

- 79. Daily meal count totals do not exceed license capacity
- 80. Total number of meals claimed do not exceed total enrollment X operating days X approved meal types
- 81. Meals claimed for reimbursement do not exceed 2 meals and 1 snack or 2 snacks and 1 meal per child per day
 - At-Risk (if applicable): 1 meal and 1 snack
 - Emergency Shelter (if applicable): 3 meals
- 82. Edit checks and internal controls are in place to ensure daily meal counts are accurate
- 83. Claim for reimbursement is completed correctly and submitted within 60 days (§4341)
- 84. Copy of monthly claim for reimbursement is filed
- 85. Sponsors:
 - Approved sites are claimed for reimbursement
 - Monthly consolidation of meal counts (H1540, §4340)

**Reference: CCC Handbook, §4340
Claims for Reimbursement**

CACFP Labor

- 86. Written Compensation policy for employees paid with CACFP funds (§2222.2)
- 87. It has been verified and determined that all new and current employees, as well as subcontractors, are not found on the National Disqualified List (NDL) or the TEXSL (§2410)
- 88. Review of the National Disqualified List & TEXSL for each new employee is part of the institution’s hiring policy and procedures
- 89. Employees paid in part or fully with CACFP funds are approved in annual budget
- 90. Time distribution reports and payroll records are filed for each CACFP paid employee (§§7470, 11141)
- 91. IRS 941, Employers Quarterly Reports are documented and on file
- 92. Subcontract agreements are approved on the annual budget and are kept on file (if applicable)

Administrative

- 93. Verify that alternate forms to capture required information meet TDA requirements (§4540)
- 94. Annual Audit has been completed (if applicable) (§§2270, 5400)
- 95. Documentation of TDA approved Specific Prior Written Approval (if applicable) (§§2222.1, 7000)
- 96. Monthly documentation of costs/revenue on CACFP Financial Tool
- 97. Depreciation schedule for equipment used in CACFP (if applicable) (§7440)
- 98. The following are available and kept on file:
 - TDA Permanent Agreement
 - Site application(s)
 - Management Plan and Budget (including any updates or amendments)
 - Non-profit organizations: IRS 501(c)(3) and Bylaws or Articles of Incorporation
 - COVID—19 Waivers utilized March 2020—present
- 99. Sponsor:
 - Retain no more than 15% of reimbursement for administrative costs (§4354)

Suggested Electronic Filing for CACFP Accounts & Expenses

Monthly

- Reconciled Bank Statements
- Reconciled Credit Card Statements
- Front and back of all canceled checks
- Receipts, invoices, purchase orders receiving reports
- Inventory Record (suggested monthly; required annually)
- Time and attendance reports for all labor costs
- Time distribution reports
- Payroll Report with payment confirmation & list of bonuses

Update

- List of employees paid with program funds

Quarterly

US IRS Form 941 or Texas Workforce Documents

Annually

- Chart of Accounts
- Balance Sheet
- Income Statements
- Year-end close-out adjustments (accrual of accounts) as of September 30
- Lease Agreement(s)

For more detailed information on individual checklist items, refer to the TDA Policy Handbook at www.squaremeals.org or contact your Region Education Service Center.

Signature and Title of Person Completing Checklist

(Required only if completing as part of corrective action)

Date

Completion of this general management tool does not guarantee that a subsequent TDA Administrative Review will result in no findings and/or adverse action, nor does it guarantee that the checklist is comprehensive. Revisions to this tool may be necessary as regulations change.

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