CHILD CARE CACFP COMPLIANCE
SELF-EVALUATION CHECKLIST
(Revised 11/15)

Month of: _____ Year: _____

Contracting Entity: _____ Facility: _____

Completion of this checklist is optional. It is to your advantage to regularly complete a checklist to ensure program compliance and reduce or eliminate findings and/or adverse action as the result of an Administrative Review. *****Items marked with an asterisk are best practice suggestions; they are not required.

Enrollment Records

1. ☐ There is a current and/or updated enrollment form for each child whose meals are claimed for reimbursement.
2. ☐ Enrollment records are completed by the parent and renewed yearly.
3. ☐ Each enrollment form contains the required information:
   - ☐ Full name of child
   - ☐ Date of birth
   - ☐ Enrollment date/Withdrawal date
   - ☐ Days/hours in care
   - ☐ Meals/snacks in care
   - ☐ Parent's signature

Attendance Records

4. ☐ Daily attendance is documented for all children in the center and can be compared to sign-in sign-out records.
5. ☐ Daily attendance is taken on daily meal count form.
6. ☐ *A master list of enrolled children is on file (preferably alphabetized by last name).

Civil Rights

7. ☐ This site provides access to its programs to all children regardless of race, color, national origin, age, sex, or disability.
8. ☐ 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 them.
9. ☐ Children have not been discriminated for meals by race, color, national origin, age, sex, or disability.
10. ☐ Civil rights procedure is written and ensures complaints received have been written down and forwarded to the Texas Department of Agriculture, Food & Nutrition Department.
11. ☐ Ethnic and racial data is collected with source and kept on file to meet the annual requirement.
12. ☐ The "Building for the Future" and "And Justice for All" posters are posted in a location visible to parents and the public.
13. ☐ Food program materials distributed to parents or the public includes the correct civil rights statement.
14. ☐ Translation is provided of MBIEF, parent letters, and other information to all non-English reading parents of enrolled children and the public when requested.
15. ☐ If site has 15 or more employees have a grievance procedure and a 504 coordinator.

Meal Benefit Income Eligibility Forms (MBIEF)

16. ☐ A MBIEF, parent letter and H1625-A are distributed to all new enrollees and renewed yearly.
17. ☐ There is a current MBIEF or direct certification document on file for each child whose meals are being claimed for reimbursement at free and reduced price rates.
18. ☐ MBIEF are completed by parent or guardian. Any changes made to the original form are initialed and dated by center official or parent/guardian.
19. ☐ MBIEF on file are current and none are expired.
20. ☐ Meal Benefit Income Eligibility Forms are approved with required information.

Categorically Eligible:

- ☐ Name of child/children
- ☐ Food stamp or SNAP, EDG or FDPIR case number.
- ☐ Signature of an adult household member.

Income Eligible:

- ☐ Names of all household members.
- ☐ Current income received by each household member *(last full month).
- ☐ "Zero" income is marked when applicable.
- ☐ Source of income identified by individual who received it.
- ☐ Last 4 numbers of Social Security number for adult who signs the form OR marked that person does not have one.
- ☐ Signature of adult household member.

Foster Child:

- ☐ Name of child
- ☐ Child's personal income (funds provided by welfare agency or other sources).
- ☐ Signature of adult household member.

Approving official:

- ☐ If family is over income or application is not complete, the denied section is completed and checked.
- ☐ If family qualifies for free or reduced price meals, the approved section is completed and the appropriate benefit category is checked.
- ☐ Approving official has signed and dated form with the day of approval.

21. ☐ MBIEF are approved with the correct benefit category designated according to the income eligibility guidelines current at the time of approval.
22. ☐ *Current MBIEF are filed in alphabetical order by child's last name.
23. ☐ *Expired MBIEF and of those of children no longer in attendance are filed separately from those that are current.

Program Eligibility (For Profit Institutions/Facilities Only):

24. ☐ Monthly documentation that minimum of 25% free or reduced price or Title XX funds is correct.
25. ☐ Documentation is available to prove eligibility to claim.

Menus

26. ☐ All menu items used to meet CACFP component requirements are creditable according to CACFP Resources (i.e. Food Buying Guide, Crediting Foods
27. ☐ *Posted menus match meal production record as to items served.
28. ☐ Menus served meet CACFP meal pattern requirements.
29. ☐ Substitutions that were made are noted on menu and meal production records.
30. ☐ There are medical statements on file for all children needing substitutions that do not meet the meal pattern or crediting food requirements.

Meal Production Records for Meals Served to Children One Year of Age and Older

31. ☐ There is a meal production record completed for each meal type served, claimed for reimbursement or not.
32. ☐ Meal production records are completed daily prior to service (with exception of actual participation).
33. ☐ All meal production records contain required information:
    - ☐ Date meal was served
    - ☐ Meal type & menu recorded
    - ☐ Descriptive food items used
    - ☐ Substitutions noted correctly
    - ☐ Components used in menu identified
    - ☐ Quantity used recorded in measurable amounts
    - ☐ Planned numbers by age group
    - ☐ Actual participation numbers by age group
    - ☐ "Quantity Used" shows sufficient amount was prepared for actual served counts.
34. ☐ CN labels or product formulation statements are on file for commercially prepared meat/meat alternates or other commercially prepared components.
35. ☐ Medical or special diet statement(s) are on file for any meal substitutions made.
36. ☐ Menu changes or diet substitutions are noted on meal production records.
37. ☐ Completed meal production records are filed.
38. ☐ If contracting for meal service, contract and daily transport sheets indicating food components and serving sizes for contracted meal service are filed.

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

39. ☐ N/A Center is not licensed for infants.
40. ☐ There is a daily, dated infant meal record completed for infants in attendance.
41. ☐ Each infant has an Infant Feeding Preference documentation on file.
42. ☐ All food items served to meet CACFP component requirements are creditable.
43. ☐ Foods served meet CACFP infant meal pattern requirements.

Point of Service Meal Counts

44. ☐ Meal counts are recorded for each child at "the point of service." (received a meal/snack)
45. ☐ Meal service style (family style or cafeteria) is correctly implemented and are served at CACFP approved service times.
46. ☐ Counts contain all requirements, full name (matches enrollment), age, attendance, signature, date etc.
47. ☐ The same child/children are not counted in two different classrooms.
48. ☐ Meals for absent children are not claimed for reimbursement.
49. ☐ Manual point of service meal counts are filed.
50. ☐ **Sponsors only:** Maximum number of meals and meal type edit check completed and correct.

CACFP Food Service Records

51. ☐ Food receipts and/or invoices of purchases made match menus served.
52. ☐ Food receipts and/or invoices are dated, itemized and printed with the name of the store/vendor.
53. ☐ Food receipts and/or invoices of purchases are allowable and have non program items identified.
54. ☐ 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.
55. ☐ There are records available of labor expenses incurred which are directly attributed to the Program (e.g., cook, hours that teachers assist during the meal service, administrative labor for paperwork, etc.).
56. ☐ Program expenses are tracked with a ledger.
57. ☐ Expense ledger is filed.
58. ☐ Non-profit food service status is maintained.

Claim Consolidation

59. ☐ Daily meal count totals do not exceed license capacity (unless providing shift care).
60. ☐ Total number of meals claimed do not exceed total enrollment X operating days X approved meal types.
61. ☐ Meals claimed for reimbursement do not exceed 2 meals and 1 snack or 2 snacks and one meal per child, each day. (At Risk- 1 meal and 1 snack) (Emergency Shelter 3 meals)
62. ☐ Edit checks and internal controls are in place to ensure daily meal counts are accurate.
63. ☐ **Sponsor Only:** Approved sites are claimed for reimbursement.
64. ☐ Claim for reimbursement is completed correctly and submitted within 60 day window.
65. ☐ Copy of monthly claim for reimbursement is filed.

License Compliance

66. ☐ Facility has not gone over license capacity, at any time.
67. ☐ License is current, posted.
68. ☐ If license exempt, site is approved by TDA.

Health, Safety and Sanitation

69. ☐ The refrigerator(s) are clean and free of odors.
70. ☐ Food is properly stored (raw foods stored below ready-to-eat foods, tightly covered and dated) in refrigeration and dry storage areas.
71. ☐ Cleaning supplies and other toxic materials are safely stored out of reach of children and away from food.
72. ☐ There are no obvious fire, health and/or safety hazards in the facility.
73. ☐ Food service is conducted in compliance with generally accepted health and sanitation practices.

Training

74. ☐ New employees (key staff) hired are trained in CACFP key topics before participating in food service and documentation is filed.
75. ☐ Dated agendas and sign-in sheets to document required annual Civil Rights training for all staff and training of key staff on key CACFP topics - at least annually for existing staff.
76. ☐ Training policy is being followed.
77. ☐ **Sponsor only:** System is in place to identify problem areas and that CE has or plans to address problem in annual training.
78. ☐ **Sponsor only:** Policy and procedure is in place to address site's failure to receive annual training.
79. ☐ **Sponsor only:** Provide training certificates for training offered.

Women, Infants and Children (WIC) and Building For The Future Notification

80. ☐ (child care only) Documentation is available to verify WIC information was distributed annually to parents.
81. ☐ The Building For The Future flyer is posted for parents and is distributed annually in the appropriate language.

CACFP Labor

82. ☐ Employees paid in full or part with CACFP funds are approved in annual budget.
83. ☐ Time distribution reports and payroll records are filed for each CACFP paid employee.
84. ☐ The National Disqualified List (NDL) has been checked for all new employees and is part of your policy and procedures.
85. ☐ No employee or individual working with CACFP is on the (NDL).

Monitoring (Sponsors only)

86. ☐ Monitoring reviews to meet the three required per year have been completed, documented and filed.
87. ☐ Two reviews within the last 12 month monitor period were unannounced.
88. ☐ At least two of the three monitoring reviews observed meals.
89. ☐ The same meal type is <u>not</u> observed for the same site for all three reviews.
90. ☐ The monitoring form is correctly completed.
91. ☐ Household contact procedures are used in questionable circumstances.
92. ☐ **If applicable**, TDA approved review averaging is implemented correctly and reviews are completed.
93. ☐ Five- day reconciliation policy and procedures are followed.
94. ☐ Follow-up and corrective action due has been completed, documented and filed.

Administrative

95. ☐ All alternate forms meet TDA requirements.
96. ☐ Written procurement procedures are on file.
97. ☐ Written code of standards of conduct are maintained and on file.
98. ☐ **If applicable**, less-than-arms-length transactions have been disclosed.
99. ☐ Procurement procedures are followed for all purchases.
100. ☐ Operating a non-profit food service program (Not greater than 3 months expenditures).
101. ☐ Food program costs are accurately allocated, approved and allowable.
102. ☐ Operating within the budget line item amount approved by TDA.
103. ☐ Sub contracted services for CACFP have been checked and do not appear on the National Disqualified List (NDL).
104. ☐ **If applicable,** Sub contract agreements are approved in the CACFP budget and on file.
105. ☐ **If applicable**, Annual audit has been completed and if necessary corrective action was implemented.
106. ☐ The following are available and kept on file:
    - ☐ TDA Permanent Agreement
    - ☐ Site application(s)
    - ☐ Institution Management Plan and Budget, including any updates or amendments
    - ☐ Compensation policy for those employees paid with CACFP funds.
    - ☐ If a non-profit organization, IRS 501© (3) and bylaws and/or Articles of Incorporation **(kept permanently)**
    - ☐ Food Service Contracts, if applicable (TDA Invitation to Bid Contract)
107. ☐ Field trip documentation is maintained.
108. ☐ Annual inventory is on file.
109. ☐ All CACFP Program documents are maintained for three years plus the current year.
110. ☐ **Sponsor only:** Retain no more than 15% for administrative costs.
111. ☐ **Sponsor only:** Allowable expenses are documented.
112. ☐ **Sponsor only:** Reimbursement was disbursed to sites or provider with 5 working days.

Comments:

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 **Date**
(Required only if completing as part of corrective action)

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.

This institution is an equal opportunity provider.