

**Child and Adult Care Food Program (CACFP)  
Training Packet and Handbook  
At-Risk Afterschool Meals (Non-Schools)**



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To file a program complaint of discrimination, complete the [USDA Program Discrimination Complaint Form](#), (AD-3027) found online at: [http://www.ascr.usda.gov/complaint\\_filing\\_cust.html](http://www.ascr.usda.gov/complaint_filing_cust.html), and at any USDA office, or write a letter addressed to USDA and provide in the letter all of the information requested in the form. To request a copy of the complaint form, call (866) 632-9992. Submit your completed form or letter to USDA by:

- (1) mail: U.S. Department of Agriculture  
Office of the Assistant Secretary for Civil Rights  
1400 Independence Avenue, SW  
Washington, D.C. 20250-9410;
- (2) fax: (202) 690-7442; or
- (3) email: [program.intake@usda.gov](mailto:program.intake@usda.gov).

This institution is an equal opportunity provider.”

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## At-Risk Afterschool Meals Program

The At-Risk Afterschool Meals component of the Child and Adult Care Food Program (CACFP) offers Federal funding to Afterschool Programs that serve a meal or snack to children in low-income areas. All At-Risk Afterschool meals are reimbursed at the “Free” reimbursement rate.

### Site Eligibility

To be eligible to operate the At-Risk Afterschool Meals component of CACFP, an Afterschool Site must:

- Be organized primarily to provide care for children after school or on the weekends, holidays, or school vacations during the regular school year
- Provide organized regularly scheduled education or enrichment activities (i.e., in a structured and supervised environment)
- Be located in an attendance area of school where at least 50 percent or more of the children are eligible for free or reduced price meals (See Part 1, Section C) [7 CFR 226.2; 7 CFR 226.17a(b)]. CEP (Community Eligibility Provision) data cannot be used for school district eligibility. October Qualifying data must be used to report actual free and reduced percentages.
- Have a child care license or be exempt from licensure
- Meet state/local health and safety standards
- Operate only during the regular school year

### Participant Eligibility

At-Risk Afterschool Programs may claim reimbursement only for meals and snacks served to children who participate in an approved Afterschool Program and who are age 18 or under at the start of the school year. Programs may be either drop-in or enrolled. There is no requirement that all children receiving meals participate in the scheduled activities, but children should remain onsite while consuming the meal. Reimbursement also may be claimed for participants who turn age 19 during the school year [7 CFR 226.17a (c)]. There is no age limit for persons with disabilities [7 CFR 226.2 Definitions].

Federal law has no minimum age for At-Risk participants. Meals and snacks served to children who are enrolled in preschool, Head Start, Even Start, etc., and who are participating in an eligible Afterschool Program are eligible for reimbursement.

### Educational or Enrichment Activities

Programs must provide educational or enrichment activities that are open to all children in an organized, structured, and supervised environment. Although there are no specific requirements for the types of educational and enrichment activities that a program can offer, examples include, but are not limited to, arts and crafts, homework assistance, life skills, remedial education, organized fitness activities, etc. Organizations should contact their State agency for assistance in determining if an activity is eligible.

**NOTE:** There is no requirement that all children receiving meals participate in the scheduled activities; the activities just need to be available to all children.

Institutions may contract with other organizations, including a for-profit entity, to provide enrichment or educational activities required for the Afterschool Program. However, the sponsor or independent center must

retain administrative and fiscal responsibility for the meal service. Furthermore, the sponsor or independent center must be the party that enters into the agreement with the State agency and must assume responsibility for meeting all meal service requirements, including ensuring that meals are served at eligible sites (CACFP 08-2012: *At-Risk Afterschool Meals Component of the CACFP, Questions and Answers*, February 17, 2012).

### **Athletic Programs**

Students who are part of school sports teams and clubs can receive Afterschool Snacks or Meals as part of a broad, overarching educational or enrichment program, but the Program cannot be limited to a sports team (*Athletic Programs and Afterschool Meals*, October 2, 2012).

Organized athletic programs that only participate in interscholastic or community level competitive sports (for example, youth sports leagues such as “Babe Ruth” and “Pop Warner” baseball leagues, community soccer and football leagues, area swim teams, etc.) may not be approved as sponsors or independent centers in the Program.

Additionally, Afterschool Programs that include supervised athletic activity may participate as long as they are “open to all” and do not limit membership for reasons other than space, security, or licensing requirements. For example, an afterschool police athletic league program that uses sports and recreational activities to provide constructive opportunities for community youth could be approved to participate [7 CFR 226.17a(b)].

### **Special Needs Programs**

At-Risk Afterschool Programs that are designed to meet the special needs of enrolled children or that have other limiting factors may be eligible to participate. These could include programs for children who have learning disabilities or for those who are academically gifted. Other targeted programs may be eligible as well.

### **Weekends, Holidays, and Vacations**

Under the CACFP At-Risk Afterschool Meals component, meals and snacks may be reimbursed if they are served on weekends or holidays, including vacation periods (for example, spring break), during the regular school year only. Meals and snacks served through CACFP on weekends or holidays during the school year may be served at any time of day as approved by the State agency (CACFP 08-2012: *At-Risk Afterschool Meals Component of the CACFP, Questions and Answers*, February 17, 2012).

In areas where schools operate on a year-round basis (i.e., the regularly scheduled school year is year-round), At-Risk Afterschool Programs set up to serve children attending the year-round schools may receive reimbursement for meals and snacks through the CACFP all year [7 CFR 226.17a(b)(i)].

### **Resources:**

USDA CACFP At-Risk Handbook:

<https://www.fns.usda.gov/sites/default/files/cacfp/cacfpatriiskdesigned.pdf>

USDA CACFP At-Risk website: <http://www.fns.usda.gov/cacfp/afterschool-programs>

USDA’s nutrition standards: <http://www.fns.usda.gov/cacfp/meals-and-snacks>

FREE materials from USDA: <http://www.fns.usda.gov/cacfp/nutrition-and-nutrition-education>

### **Federal Requirements**

The Child and Adult Care Food Program Federal regulations at **7 CFR Part 226** require participating institutions to maintain supporting documentation for submitted claims. These regulations can be found at:

<https://www.fns.usda.gov/part-226%E2%80%9494child-and-adult-care-food-program>

## Compliance Review Requirements and Process

The compliance review is performed in order to ensure an institution's compliance with federal requirements.

- Once trained in the federal requirements, an institution is given a first month visit to assist the new institution in achieving compliance.
- Sponsors initially enrolling in the program with 5 or more sites will receive an official compliance review within 90 days.
- Sponsors initially enrolling in the program with fewer than 5 sites will receive an official compliance review the following year.
- If the institution is found to be in compliance they will receive the next review within the next three years.
- If the institution is found to be deficient, they will be reviewed the following year.
- If the same deficiencies are discovered in the follow up review, the institution may be moved to intent to terminate.
- Once terminated, the institution and responsible parties will be added to the National Disqualified list (NDL) and may not participate with the CACFP for 7 years.
- Institutions will be notified of any deficits via email through a findings report.
- These findings must be addressed by the institutions through the submittal of a Corrective Action Plan.
- The Corrective Action Plan is due 30 days from the date of the email.
- The Corrective Action Plan must include the following information:
  - What are the findings and the procedures that will be implemented to address the findings?
  - Who will address the findings? List Personnel responsible for this task.
  - When will the problem be addressed? Provide a time line for implementing the procedure (i.e., will the procedure be done daily, weekly, monthly, or annually, and when will it begin.)
  - Where will the corrective action plan documentation be retained within the facility?
  - How will the staff be informed of the new policies?
- Additional supporting documentation (i.e., policies and procedures that have been modified or implemented to ensure that findings are fully and permanently corrected) must be submitted with the corrective action plan.
- Information regarding the appeal process is located at the end of this handbook.

## Institution and Sponsoring Organizations Responsibilities

Sponsoring Organizations must disperse reimbursements to participating sites within 5 days of receiving payment.

## Record Keeping Responsibilities of Institutions and Sponsoring Organizations

Institutions that participate in the Child and Adult Care Food Program (CACFP) must maintain records at the sponsor/center location. Sponsors must ensure that each center or site maintains copies for both current month and the previous twelve months records. These records must accurately reflect program operations. Failure to maintain such records will result in the recovery of reimbursement and/or termination from the Program.

An organized system for filing and maintaining records will save time when completing the monthly Report and Claim for Reimbursement. **All monthly records and supporting documentation must be assembled to justify the monthly claim for reimbursement in the institutions or sponsoring organization's main office.** Institutions should assign responsibility for maintaining daily records to specific staff.

## Required Records

Institutions are required to keep the following records relating to participation in the CACFP:

1. Records relating to attendance and the number of meals served:
  - Daily attendance rosters or sign in sheets, or other methods with State approval, which result in accurate recording of daily attendance.
  - Number of At-Risk Afterschool Snacks and/or Meals prepared or delivered for each meal service.
  - Daily record of the number of At-Risk Afterschool Snacks and/or Meals served at each snack and/or meal service.
  - Daily records indicating the number of meals, by type, served to adults performing labor necessary to the food service.
  - Any additional records required by the State agency.
2. Records establishing that the meal patterns were met:
  - Menus for each At-Risk Afterschool Snack and/or Meal service.
3. Records establishing eligibility:
  - Copies of all applications and supporting documents submitted to the State.
  - If applicable, information about the location and dates of child care center reviews, any problems noted, and the corrective action prescribed and effected.
  - Documentation of nonprofit food service, to ensure that all Program reimbursement funds are only used for the food service operations.
4. Records pertaining to fiscal management:
  - Copies of invoices, receipts, or other records required by the State agency financial management instruction to document:
    - Administrative costs claimed by the institution,
    - Operating costs claimed by the institution
    - Income to the Program
  - Copies of all claims for reimbursement submitted to the State agency.
  - Receipts from all Program payments received from State agency.
  - If applicable, information concerning the dates, and amounts of disbursement to sponsored centers.
5. Records documenting training:
  - Information on training session dates, locations, topics presented, and names of participants.
  - For sponsors, records documenting attendance at training of each staff member with monitoring responsibilities.

**Failure to maintain any of these records may result in the recovery of meal reimbursement.**

**[7 CFR 226.10(d)]**

***All CACFP records identified above are to be on site within an hour of being requested, whether announced or unannounced, to KDE and USDA officials, or any other appropriate officials determined by KDE.***

## **CACFP Folder System**

The State Agency folder system is an effective way to manage CACFP records necessary for meal reimbursement. All institutions which sponsor the At-Risk Afterschool Meals Program are encouraged to have the following labeled folders for each fiscal year:

1. Permanent Agreement (transferred from previous year to current year)
2. Folder 1
  - In-service Training
  - Monitor Reviews (if applicable)
  - Procurement/Catering Documents
  - Justification for Reimbursement: Receipts, Monthly Expense Reports
3. Folder 2
  - Medical Statements
4. Monthly folders (October – September) for each month of the federal fiscal year beginning with October. The following items are to be filed monthly in each folder:
  - Copy of the Claim for Reimbursement
  - Daily Attendance Records
  - CACFP Menu Records
  - Record of Meals Served (Meal counts)
  - Record of Food Program Expenditures for the Month
  - Food and non-food bills, receipts, invoices (must be original, dated and itemized, and include the store and/or vendor name) and Catering Delivery Tickets.
  - Personnel Activity Reports and/or Paycheck Stubs of full time CACFP staff, including full-time cook. Nursery staff can claim 50% of wages as labor expense.

## **Civil Rights Compliance**

<https://www.fns.usda.gov/civil-rights>

The goal of Civil Rights Assurance and Compliance is to ensure that Child Nutrition Program benefits are made available and provided to all eligible individuals without discrimination.

### **Customer Service**

- Excellent customer service is one way to comply with civil rights laws and ensure that everyone is treated equally.
- Providing good customer service is key to avoiding the appearance or perception by anyone of unlawful discriminatory statements or actions.
- Professionalism, listening skills, availability, responsiveness, reliability, and conflict resolution are all factors that contribute to customer satisfaction. These skills can turn an unacceptable or disappointing experience into a success story.

### **Conflict Resolution**

- Conflict resolution is key to preventing a situation from potentially getting out of hand and is one component of quality customer service.
- Conflict resolution skills can help in everyday life as well as in professional life.
- For more information on Conflict Resolution, visit the Conflict Resolution Network.  
<http://www.crnhq.org/>

**Discrimination** is defined as intentionally distinguishing a person, or group of people, either in favor of or against others and doing so by neglect or by actions or by lack of actions based on the six protected classes. **The six protected classes** associated with the Child and Adult Care Food Program are race, color, national origin, sex, age and disability.

**USDA regulations outline the following areas of Civil Rights compliance in CACFP:**

## **1. Public Notification System (PNS)**

### **a. News Release:**

- Effective October 1, 2019 the State Agency will publish the News Release on behalf of all sponsors.

### **b. “And Justice For All” poster**

- The poster contains the non-discrimination statement and contact information for filing a civil rights complaint.
- The poster must be displayed in a prominent place in every site and every sponsoring organization office. The main entrance is ideal for placement.
- The poster should be displayed on 11x17 paper if possible. If not, 11x14 is acceptable or 8 1/2x11 as a last resort.
- Additional posters may be obtained by contacting the State Agency

### **c. Non-Discrimination Statement**

- The statement in its entirety is required on all materials where the CACFP is referenced. Such as, but not limited to, promotional literature, parent handbooks and websites.
- On a website, the statement can be listed in its entirety or the following hyperlink can be referenced: <http://education.ky.gov/federal/SCN/Pages/USDANondiscriminationStatement.aspx>
- Institutions and sponsoring organizations must convey the message of equal opportunity in all photographic and other graphics used to provide program information.

### **d. Language Barriers/Limited English Proficiency (LEP)**

- All institutions must have the capability of providing informational materials concerning the availability and nutritional benefits of the Child and Adult Care Food Program in the appropriate translation, as well as the procedures for filing a discrimination complaint. This link provides translations for CACFP materials: <https://www.fns.usda.gov/documents-available-other-languages>

## **2. Data Collection**

- Independent institutions must obtain and document ethnic and racial data for each site annually as part of the initial and annual application renewal process.
- Sponsoring Organizations must obtain and document ethnic and racial data for each site during the first monitor review visit of the year.
- Institutions must maintain the data documentation for 3 years plus current year.
- The collection of racial and ethnic data allows institutions and sponsoring organizations and the state agency to determine how effectively the program is reaching the diversity of a population and if outreach is needed.



### 3. Civil Rights Training

- Institutions and sponsoring organizations must provide Civil Rights training to all Staff involved with the CACFP
- Training is required **prior** to the start of any program duties; training is ongoing as staff, volunteers and contractors enter throughout the fiscal year
- The In-Service Training form on the State Agency website is a helpful tool to document training.

### 4. Civil Rights Grievance Procedure

- Accept either written or verbal complaints
- Never impede participant's ability to file
- Forward grievance forms to USDA in a timely manner

### 5. Participant Rights

- Knowledge of all non-discrimination information
- How to file a claim if they believe their civil rights have been violated
- May file a claim up to 180 days following an alleged action or incident

Grievance forms are accessed at the link below.

<https://www.ascr.usda.gov/filing-program-discrimination-complaint-usda-customer>

### In-Service Training Documentation

Institutions and Sponsoring Organizations must conduct training with key staff regarding Child and Adult Care Food Program requirements prior to new fiscal year and as new staff are hired. Sponsoring organizations *must conduct training with key staff within the first four weeks of program participation as new sites are added*. Documentation of the training must be recorded on the In-Service Training form.

**7 CFR 226.16 (d)(2-3) states:** *“Training on Program duties and responsibilities to key staff from all sponsored facilities prior to the beginning of Program operations. At a minimum, such training must include instruction, appropriate to the level of staff experience and duties, on the program’s meal patterns, meals counts, claim submission and review procedures, record keeping requirements, and the reimbursement system. Attendance by the key staff as defined by the State agency is mandatory.*

*Additional mandatory training sessions for key staff from all sponsored child care and adult care facilities not less frequently than annually. At a minimum, such training must include instruction, appropriate to the level of staff experience and duties on the programs meal patterns, meal counts, claim submission and review procedures, record keeping requirements, and reimbursement system. Attendance by key staff, as defined by the state agency, is mandatory.”*

The Kentucky CACFP State Agency defines “Key Staff” as any staff member with primary responsibility for the operation of the CACFP and/or maintenance of the records that support the monthly claim for reimbursement and compliance with any CACFP requirement. This includes staff members who have monitoring responsibilities along with staff, volunteers or contractors.

**In addition to mandatory Civil Rights Training, the State Agency recommends the following training topics:**

1. Meal pattern requirements (necessary food components and proper portion sizes to be served at each meal as illustrated on the Food Chart)
2. Meal counts (staff must conduct the meal count at the time of each meal service and document the number of meals served on Record of Meals Served Form)
3. Attendance records
4. Menus
5. Other records required by the Child and Adult Care Food Program (CACFP), the United States Department of Agriculture (USDA) and the State Agency

**Reminders:**

- Ongoing training should be conducted and documented as the institution hires new staff throughout the fiscal year
- New staff must be trained within the 1<sup>st</sup> week of employment
- New staff must complete the In-Service Training form upon receiving training and the trainer must also sign and date the form
- Any staff conducting in-service training must have completed training on CACFP policies and procedures

**CACFP Instructions for Completing the In-Service Training Registration Form**

1. Fill in the Name of Institution, Location of training and Training Conducted by.
2. Mark the boxes next to the topics covered at the training (*Civil Rights is mandatory*). Mark the boxes and list any additional topics covered.
3. Have participants print name, sign name, list their title and write the name of the center they are associated with under the Site Name column.
4. Attach additional pages if needed.
5. The trainer must sign and date the form.
6. File the In-Service Training form in the CACFP folder labeled "In-Service Training".

**Kentucky Department of Education  
Division of School and Community Nutrition  
Sponsor In-Service Training Documentation  
REGISTRATION FORM**

**Name of Institution:** \_\_\_\_\_

**Location:** \_\_\_\_\_

**Training Conducted by:** \_\_\_\_\_

- Topics Covered:**       **Civil Rights (Mandatory)**  
 (Check all that apply)    **Meal Patterns**  
                                    **Meal Counts**  
                                    **Claim Submission**  
                                    **Review Procedures**  
                                    **Record Keeping Requirements**  
                                    **Reimbursement System**  
                                    **Updates from Annual Training**  
 \_\_\_\_\_  
 \_\_\_\_\_

Printed Name	Signature	Title	Site Name
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

*\*Please add an additional page for more Training Participants*

I certify that the above topics have been discussed with the personnel listed on the date indicated.

**Trainer's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

*\*7 CFR 226.15(e), 7 CFR 226.16(d)(2-3) and FNS 113-1*

## MENUS 7 CFR 226.15 (e) 10

Institutions are responsible for purchasing and preparing adequate amounts of each meal component for the number of children claimed during the meal service. **All institutions are required to keep Menu Records.** Menu Record templates are available on the State Agency website.

- Menus must be Dated
- Posted for parents/guardians/caretakers and participants
- All required creditable components listed in the appropriate component category
- Nutritious, quality foods
- Foods participants will like
- Detailed: Milk type, Whole Grain, Fresh, Frozen, Canned, Homemade, CN label, Baked, Steamed, Grilled, etc.
- Substitutions noted at the bottom of the daily menu
- Modifications made due to a special dietary need noted at the bottom of the menu (List the modification, not the name of the participant associated with it).

### The USDA Food Buying Guide

Helps Child Nutrition Program operators purchase the right amount and appropriate type of food as well as determine the specific contribution each food makes toward the meal pattern requirements.

Is available as:

- Hardcopy
- Interactive Web-Based Tool (Calculator)
- Mobile App

Food Buying Guide resources:

- <https://www.fns.usda.gov/tn/food-buying-guide-for-child-nutrition-programs>
- [https://www.youtube.com/watch?v=UP\\_t3D7AYAM](https://www.youtube.com/watch?v=UP_t3D7AYAM)

***To access all features of the Food Buying Guide, users should create an account instead of signing in as a Guest User.***

### Crediting Handbook for the CACFP

- New Version anticipated arrival date-Fall 2019

### Meal Pattern Requirements

**No food items are allowed to be deep-fat fried on-site.**

### Breastmilk for Children

- May be served as a fluid milk to children of any age
- Is reimbursable:
  - If parent/guardian provides expressed breastmilk
  - If mother breastfeeds child on site

- May be served in combination with other milk types for a reimbursable meal
  - For example, a mother brings ¼ cup breastmilk for 1 year old, provider would supply ¼ cup whole unflavored milk for a total of ½ cup serving.
  - The two milks do not have to be combined to be creditable, they can be served separately.

## Milk

The appropriate type of milk is listed for each age group:

- Age 1 year: Unflavored whole milk;
- Ages 2-5 years: Unflavored low-fat or fat-free milk; and
- Ages 6-18 years and Adults: Unflavored low-fat, unflavored fat-free, or flavored fat-free milk.

## Meat/Meat Alternate Substitution during the Breakfast Meal

CACFP allows a meat/meat alternate to be substituted for the entire grain component up to 3 times per week. However, licensed facilities must ensure licensure menu requirements are followed.

**Tofu and Soy Yogurt** may be served as a meat alternate for ages 1 year and older.

- Does not credit toward reimbursable meals for infants
- Must be commercially prepared
- Must meet protein requirement: 5 grams of protein per 2.2 ounces (1/4 cup) by weight to equal 1 ounce of meat/meat alternative
- Must be easily recognized as a meat substitute:
  - Creditable – Tofu sausage
  - **Not Creditable** – Tofu noodles

## Creditable Cheese

Natural Cheese and Pasteurized Process Cheese

- 1 ounce serving = 1 ounce Meat/Meat Alternate
- American cheese is creditable if the label states “Pasteurized processed cheese”, “Cheese food” or “Natural Cheese.”

Cottage Cheese, Ricotta Cheese, Cheese Food, Cheese Spread

- 2 ounce serving = 1 ounce Meat/Meat Alternate
- Cheese Food & Cheese Spread are not creditable for Infants

## Non-Creditable Cheese

- Imitation Cheese and Cheese Products
- Cheese Sauces: Require a Child Nutrition (CN) Label

**Yogurt** cannot contain more than 23 grams of sugar per 6 ounces. (Retain Nutrition Facts Label)

## Vegetables and Fruits

- During lunch and supper, either one vegetable and one fruit or two vegetables must be served.
- Serving two fruits with no vegetable is not allowed.
- When two vegetables are served, they must be two different types of vegetables.

**Juice** is limited to one meal service per day for ages 1 year and older.

### **Juice Blends & Purees**

Credit as a fruit component or a vegetable component depending on the ingredients:

- Credits as the fruit component if it has more fruits than vegetables
- Credits as the vegetable component if it has more vegetables than fruits
- Refer to the Smoothie Memo for more information:

[https://www.fns.usda.gov/sites/default/files/cn/SP10\\_CACFP05\\_SFSP10-2014v3os.pdf](https://www.fns.usda.gov/sites/default/files/cn/SP10_CACFP05_SFSP10-2014v3os.pdf)

**If fruit or vegetable juice is served at more than one meal, including the snack meal, the meal containing juice with the lowest reimbursement rate will be disallowed**

### **Indicating Substitutions**

All menu substitutions should be indicated on the Weekly Menu at the beginning of the day or as soon as possible.

### **Whole Grain-rich**

At least one serving of grains per day must be whole grain-rich. *CACFP09-2018*.

Any **one** of the following six options may be used to determine if a grain product meets the whole grain-rich criteria. Use of these methods is intended to be flexible so that individual operators, who may use different methods to purchase food (such as wholesale or retail), can easily identify creditable whole grain-rich foods. The operator must only ensure that a food meets at least **one** of the following to be considered whole grain-rich:

1. The product is found on any State agency's Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)-approved whole grain food list.
2. The product is labeled as "whole wheat" and has a Standard of Identity issued by the U.S. Food and Drug Administration (FDA).
3. The product includes one of the following Food and Drug Administration approved whole-grain health claims on its packaging, exactly as written.
4. The food meets the whole grain-rich criteria under the NSLP.
5. The food meets the FNS *Rule of Three*, a three-step process for identifying whole grain-rich products in the CACFP.
6. Proper documentation from a manufacturer or a standardized recipe demonstrates that whole grains are the primary grain ingredient by weight.

### **Whole grain-rich foods & menu planning:**

- The person planning the menu decides which meal will include the whole grain-rich food
- Must be identified on the menu: "Whole grain", "WG", "Whole wheat", "WW", "Whole grain-rich", or "WGR"
- If a site only claims reimbursement for one meal per day, the grain must be whole grain-rich
- If a site only claims reimbursement for one snack per day and serves a grain as one of the components, the grain must be whole grain-rich

- Documentation (labels) for all whole grain-rich products served must be kept on file
- If a whole grain-rich food is not served during at least one of the meal services, the meal service with the lowest reimbursement rate will be disallowed.

**Breakfast cereals** cannot contain more than 6 grams of sugar per dry ounce.

- Includes all types: Ready-to-eat, Instant, & Regular Hot Cereals
- Choose breakfast cereals from any WIC-Approved Foods list
  - WIC-approved food lists can be found at:
  - <http://www.fns.usda.gov/wic/wic-contacts>
  - **Documentation (product labels or WIC food list) for each cereal served must be kept on file**
  - Not every WIC cereal is whole grain-rich

**Grain-based desserts and sweet grains** are not creditable components.

Some examples of items that are **not creditable**:

- Breakfast bars
- Brownies
- Cakes
- Cereal bars
- Cookies
- Doughnuts
- Granola bars
- Sweet pie crust
- Sweet rolls
- Toaster pastries
- **Animal Crackers and Graham Crackers** are creditable
- **Grain based desserts and sweet grains may be served as additional items only.**
- **They cannot be purchased with CACFP funds or counted as a component.**
- These costs must be deducted from the receipt and not listed on the Record of Expenditures.
- For example, if your food cost was \$100.00 and it included \$10.00 worth of sweet grains, only \$90.00 would be recorded on the Record of Expenditures.

### **Product Labels: Whole Grains, Cereals and Yogurt**

Maintain product labels as source documentation to ensure requirements for these food items meet the meal pattern requirements. Hard copies, photocopies and electronic copies of labels are acceptable.

**Combination dishes** (products or recipes containing foods from more than one food group)

- Cannot be credited for more than two meal pattern components to ensure that participants do not go hungry when a combination dish is disliked or not eaten.  
*Example: Taco Salad. If all ingredients are combined, only two components may be claimed for a reimbursable meal. If the ingredients are served separately in their correct portion sizes, then all components may be claimed for a reimbursable meal.*

## Processed Combination Dinners

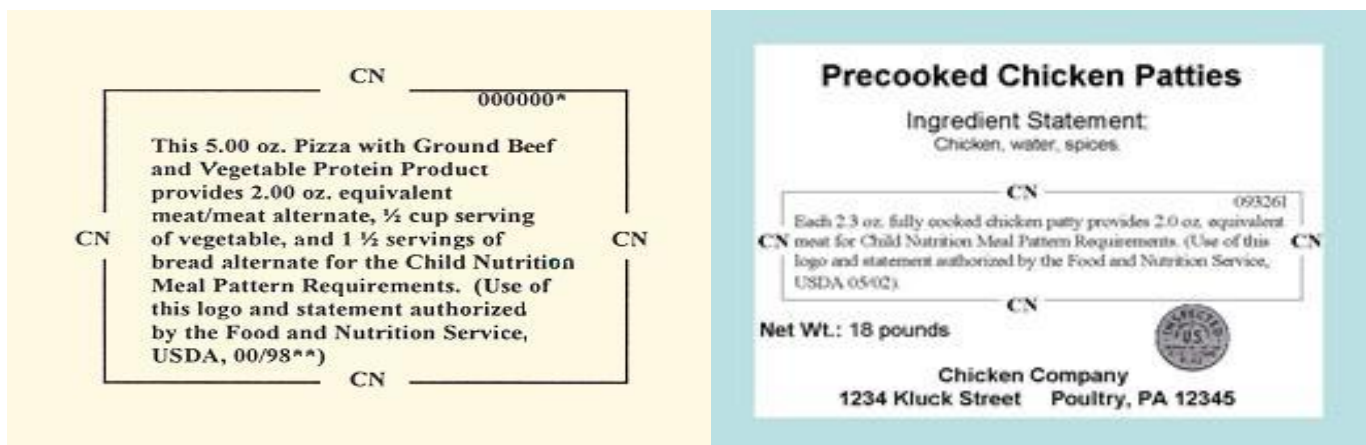
- Child Nutrition (CN) and Product Formulation Statements (PFS) ensure that all commercially processed combination dishes (i.e., those dishes containing more than one meal pattern component) meet the meal pattern requirements.
- Commercially processed combination foods must have a **CN label** or a **Product Formulation Statement** from the manufacturer stating the food component contribution to the meal pattern.  
*Example: Chicken Nuggets. A CN Label or PFS is needed to confirm how many nuggets are needed in order to meet the portion requirements for the Meat/Meat Alternate and/or Grain component.*
- If a CN label/PFS is not available, verify that another creditable food is added in sufficient quantity to meet the meal pattern requirements. For example, adding extra creditable cheese to a commercially prepared pizza.
- Meals containing a processed food without a CN label or Product Formulation Statement may be **disallowed**.

## Documenting Child Nutrition (CN) Labeled Products

The CN Label is the gold standard for verifying the crediting of menu items and provides a warranty against audit claims when the product is used according to the manufacturer's instructions. Valid and acceptable documentation for the CN Label is:

1. The original CN Label from the product carton; or
2. A photocopy of the CN Label shown attached to the original product carton; or
3. A photograph of the CN Label shown attached to the original product carton. (CN Labels that are photocopied or photographed must be visible and legible.)
4. If the original CN Label from the product carton, or the valid photograph or photocopy of the original CN label is not available, the Bill of Lading (invoice) containing the product name and:
5. A hard copy of the CN Label copied with a watermark displaying the product name and CN number provided by the vendor; or
6. An electronic copy of the CN Label with a watermark displaying the product name and CN number provided by the vendor.

USDA Policy Memo-CACFP09-2015



The CN Label clearly specifies what food components and serving sizes are provided by the product.



- The CN label is not the Nutrition Facts label or the Ingredients List
- A Child Nutrition Label Verification Report is available on the USDA website. This report may be used to search for Child Nutrition Labels or companies that have Child Nutrition Labels:  
[https://fns-prod.azureedge.net/sites/default/files/cn/cnl\\_verificationreport.pdf](https://fns-prod.azureedge.net/sites/default/files/cn/cnl_verificationreport.pdf)

**Product Formulation Statement (For items which have no CN label available)**

The PFS should only be requested when reviewing a processed product *without* a CN Label. *USDA Policy Memo-CACFP09-2015*

A PFS is a signed statement on manufacturer’s letterhead that demonstrates how the product contributes to meal pattern requirements. Requirements:

- Product name
- Product code
- Serving or portion size
- Creditable ingredient(s)
- Information explaining how the product contributes towards meal pattern requirements
- Signed by person of authority (e.g. Quality Control manager, sales manager, nutritionist, research and development)
- Listed on company letterhead or received via email directly from the manufacturer

**USDA link to CN Labeling & Product Formulation Statements:**

<https://www.fns.usda.gov/cn/labeling/usdausdc-authorized-labels-and-manufacturers>

The product’s *Nutrition Facts* label cannot be used. The information must come from the manufacturer’s Product Formulation Statement

<b>Nutrition Facts</b>		(-) Information is currently not available for this nutrient.	
Serving Size	84 G		
Servings Per Container	7		
<b>Amount Per Serving</b>			
<b>Calories</b>			
Calories From Fat			
	<b>% Daily Value</b>		
<b>Total Fat</b> 9 G	18	<b>Calories:</b>	<b>2,000 2,500</b>
Saturated Fat 1.5 G	3	Less than	65g 80g
Trans Fat 0 G	0	Less than	20g 25g
<b>Cholesterol</b> 10 Mg	2	Less than	300mg 300mg
<b>Sodium</b> 540.0 Mg	27	Less than	2400mg 2400mg
<b>Total Carbohydrate</b> 24 G	48	Potassium	3500mg 3500mg
Dietary Fiber 2 G	4	<b>Total Carbohydrate</b>	300g 375g
Sugars 2 G	4	<b>Dietary Fiber</b>	25g 30g
<b>Protein</b> 9 G	18	Calories per gram:	
Vitamin A	0	Fat 9 • Carbohydrate 4 • Protein 4	
Vitamin C	0		
Calcium	2		
Iron	8		

## Example of a Product Formulation Statement:

### Commercially processed Fish Sticks

Fish - 0.5 oz stick  $\times$  0.25 (25% Fish)  $\times$  0.75 (USDA yield factor) = 0.0975 oz/stick  
Soy Protein concentrate - 0.5 oz stick  $\times$  0.066 (6.6% SPC)  $\times$  3.6 Hydration factor  $\times$  1.00 (USDA yield factor) = 0.1188 oz/stick  
0.0975 oz + 0.1188 oz = 0.2163 oz meat/meat alternate per stick

7 Sticks  $\times$  0.2163 oz meat/meat alternate per stick = 1.51 oz meat/meat alternate

Seven 0.5 oz sticks would provide 1.50 oz equivalent meat for Child Nutrition.

**DISCLAIMER: This product contains grains that are not creditable in school meal programs. Additional grains must be served to meet meal pattern requirements.**

**Please note this item is not currently produced to CN standards, nor is CN approved.**

Per this PFS example, the CACFP serving sizes required for this product would be:

- 1-2 year olds: 4.5 -5 sticks for lunch/supper
- 3-5 year olds: 7 sticks for lunch/supper
- 6 years-Adult: 9.5-10 sticks for lunch/supper.

Since the amount required for ages 3 years and older is greater than the serving size stated by the manufacturer, the number of servings per container will be less than the nutrition label states. This is not cost effective because more boxes will need to be purchased in order to meet the meat/meat alternative portion requirement per child. Purchasing non-processed foods is more cost effective.

### Labels

- Maintain a file of labels from whole grain-rich items, yogurt and cereals.
- Maintain a file of Child Nutrition (CN) labels or Product Formulation Statements for all processed items such as pizza, lasagna, fish sticks and ravioli.
- Actual labels, hard copies, electronic copies or printed photos of labels are acceptable.
- The documentation must be available during an administrative review to ensure that meal pattern requirements are met.

### **Labels are not required for:**

- Every single item on menu
- Items that do not contribute to the meal pattern (i.e. condiments, herbs, seasonings)
- Unprocessed items with a standard meal pattern contribution (i.e. fresh fruits, vegetables, milk and whole cuts of meat)

### Procedure for Handling Leftovers

CACFP Institutions should utilize proper menu planning and production practices to reduce leftovers.

If the CACFP Institution has a significant amount of leftovers the Institution should consider the following options:

- Using the leftovers in a subsequent meal
- Offer seconds to all CACFP participants

Where it is not feasible to reuse leftovers, excess food may be donated to a non-profit organization, such as a community food bank, homeless shelter, or other nonprofit charitable organizations.

The charitable organization must be tax exempt under section 501(c)(3) of the Internal Revenue Code of 1986. All State Food Codes must be followed.

### **Internal procedure for Donated Food –USDA Policy Memo, CACFP 05-2012**

#### ***Institutions and Sponsors Accepting Donated Food***

Institutions may accept donations of food.

Documentation must include the date of the donation along with an itemized list of what was donated and how much.

The value of the donated items cannot be used as part of the monthly food cost justification.

#### ***Institution and Sponsor Donating Leftover Food***

Institutions may donate leftover food to local food banks or other charitable organizations with 501(c)(3) tax exempt status.

### **Water**

In accordance with FNS Policy Memo CACFP 20-2016, child care centers must make water available to children upon request throughout the day, including meal times. Water does not have to be available for children to self-serve. As of October 1, 2017, in addition to making water available, child care centers must also offer water to children throughout the day.

### **Taking Meal Components Off-Site**

Refer to the August 10, 2016 USDA Memo CACFP 22-2016: *Taking Food Components Off-site in the At-Risk Afterschool Component of the Child and Adult Care Food Program*

[https://fns-prod.azureedge.net/sites/default/files/cacfp/CACFP22\\_2016os.pdf](https://fns-prod.azureedge.net/sites/default/files/cacfp/CACFP22_2016os.pdf)

### **Field Trips**

- Check with the local health department and Licensure to ensure approval of the planned field trip
- Notify the Sponsoring Organization or the State Agency (whichever is appropriate) in writing (email) of the dates/times the children will be out of the center
- Update the menu to reflect any changes in the meal being served on the field trip
- Keep required documentation, such as meals counts

### **Offer vs. Serve (OVS)**

OVS is an approach to menu planning and meal service that allows participants to decline some of the food offered in a reimbursable breakfast, lunch or supper.

OVS is only allowed in CACFP at-risk afterschool settings for breakfast, lunch and supper meals. OVS is not allowed at snack.

Using OVS is optional. At-risk afterschool programs are not required to implement OVS.

All sponsors and independent centers electing to use OVS in the at-risk afterschool setting of the CACFP are required to follow the CACFP OVS requirements. Due to the distinguishing nature of the CACFP from the NSLP, SBP and SFSP, including variations in settings and resources, the OVS requirements in the at-risk afterschool setting of the CACFP are slightly different from the OVS requirements in NSLP, SBP and SFSP. The OVS requirements in the CACFP are as follows:

### **OVS at Breakfast**

The CACFP breakfast meal pattern requires three food components to be offered: milk, fruits and vegetables, and grains. As a reminder, fruit and vegetables are one combined component in the breakfast meal patterns.

When using OVS at breakfast, at least the following four food items, in the required minimum serving sizes, must be offered:

1. A serving of milk;
2. A food item from the fruit and vegetable component;
3. A food item from the grains component; and
4. A food item from the meat/meat alternate component **or** one additional item from the fruit and vegetable component **or** grains component.

All of the food items offered must be different from each other. For example, while a flake cereal, such as bran flakes with raisins, and a puff cereal, such as a puffed rice cereal, are two types of cereals that are not identical, they are the same food item.

A child or adult must take at least three different food items from any of the food items offered. The food items selected may be from any of the required components and must be in the required minimum serving sizes. Here is an example of a reimbursable OVS breakfast menu:

- ½ cup berries;
- ½ cup grapefruit;
- 1 serving pancakes; and
- 1 cup (8 oz.) of fluid milk

Under this menu, a child may take the berries, grapefruit and milk, OR, berries, pancakes and milk, and many other combinations. If the child takes two servings of pancakes and the milk, it is not a reimbursable meal because two of the food items are the same and all three items selected must be different from each other.

### **OVS at Lunch or Supper**

The CACFP lunch and supper meal patterns requires all five food components to be offered: milk, meat/meat alternates, vegetables, fruits, and grains.

When using OVS at lunch or supper, at least one food item from each of the five food components, in the required minimum serving sizes, required at lunch and supper must be offered:

1. A serving of milk;
2. A food item from the meat/meat alternate component;
3. A food item from the vegetable component;
4. A food item from the fruit component; and
5. A food item from the grains component

Similar to OVS at breakfast, all of the food items offered at lunch and supper must be different from each other. For example, while apple slices and apple sauce are two types of apples that are not identical, they are the same food item.

Unlike OVS at breakfast, at lunch or supper meals using OVS, a child or adult must take at least three food components, rather than three items, to ensure the child or adult takes an adequately nutritious meal. A child or adult must select at least the minimum required serving size of the components for them to be counted.

Here is an example of a reimbursable OVS lunch menu:

- 2 ounces Parmesan Chicken;
- ½ cup spinach salad;
- ¼ cup broccoli;
- 1 cup pasta; and
- 1 cup (8 oz.) of fluid milk

When serving OVS meals:

- Meal components can be served pre-portioned or directly by a provider.
- Each child or adult may decline some food components or items, based on the meal being served. However, each child or adult must take the minimum serving size of the food item or component in order for the meal to be reimbursable.
- At-risk afterschool programs may not specify what food items a child or adult must select.

### **Share Tables**

Share tables are an innovative way to encourage the consumption of nutritious foods and to reduce waste. Share tables are tables or stations where children may return whole food or beverage items they choose to not eat. This must be done in compliance with local and state health and food safety codes. These items then are available to other children who may want additional servings.

Refer to the June 22, 2016 USDA Memo CACFP 13-2016: *The Use of Share Tables in Child Nutrition Programs*  
<http://www.fns.usda.gov/use-share-tables-child-nutrition-programs>

### **Meal Pattern**

The 13 through 18-year-old age group is an addition to the meal pattern requirements. This age group was added to better reflect the characteristics of the populations served in the CACFP, specifically those in the at-risk afterschool programs and emergency shelters. Therefore, this age group is used specifically for individuals operating at-risk afterschool programs and emergency shelters only.

## Child and Adult Care Food Program Meal Patterns for Children

This chart lists the amounts and types of food to be served to children one year and older.

<b>Breakfast</b> (Select all three components for a reimbursable meal)				
<b>Food Components and Food Items<sup>1</sup></b>	<b>Ages 1-2</b>	<b>Ages 3-5</b>	<b>Ages 6-12</b>	<b>Ages 13-18<sup>2</sup></b> (at-risk afterschool programs and emergency shelters)
<b>Fluid Milk<sup>3</sup></b>	4 fluid ounces	6 fluid ounces	8 fluid ounces	8 fluid ounces
<b>Vegetables, fruits, or portions of both<sup>4</sup></b>	¼ cup	½ cup	½ cup	½ cup
<b>Grains<sup>5,6,7</sup></b>				
Whole grain-rich or enriched bread	½ slice	½ slice	1 slice	1 slice
Whole grain-rich or enriched bread product, such as biscuit, roll or muffin	½ serving	½ serving	1 serving	1 serving
Whole grain-rich, enriched or fortified cooked breakfast cereal <sup>8</sup> , cereal grain, and/or pasta	¼ cup	¼ cup	½ cup	½ cup
Whole grain-rich, enriched or fortified ready-to-eat breakfast cereal (dry, cold) <sup>8,9</sup>				
Flakes or rounds	½ cup	½ cup	1 cup	1 cup
Puffed cereal	¾ cup	¾ cup	1 ¼ cup	1 ¼ cup
Granola	⅛ cup	⅛ cup	¼ cup	¼ cup

1 Must serve all three components for a reimbursable meal.

2 Larger portion sizes than specified may need to be served to children 13 through 18 years old to meet their nutritional needs.

3 Must be unflavored whole milk for children age one. Must be unflavored low-fat (1 percent) or unflavored fat-free (skim) milk for children two through five years old. Must be unflavored low-fat (1 percent), unflavored fat-free (skim), or flavored fat-free (skim) milk for children six years old and older and adults.

4 Pasteurized full-strength juice may only be used to meet the vegetable or fruit requirement at one meal, including snack, per day. Juice served to infants is not creditable.

5 At least one serving per day, across all eating occasions, must be whole grain-rich. Grain-based desserts do not count towards meeting the grains requirement.

6 Meat and meat alternates may be used to meet the entire grains requirement a maximum of three times a week. One ounce of meat and meat alternates is equal to one ounce equivalent of grains.

8 Breakfast cereals must contain no more than 6 grams of sugar per dry ounce (no more than 21 grams sucrose and other sugars per 100 grams of dry cereal).

9 Beginning October 1, 2019, the minimum serving size specified in this section for ready-to-eat breakfast cereals must be served. Until October 1, 2019, the minimum serving size for any type of ready-to-eat breakfast cereals is ¼ cup for children ages 1-2; 1/3 cup for children ages 3-5; ¾ cup for children 6-12; and 1 ½ cups for adults.

7 CFR 226.20

<b>Lunch and Supper</b> (Select all five components for a reimbursable meal)				
<b>Food Components and Food Items<sup>1</sup></b>	<b>Ages 1-2</b>	<b>Ages 3-5</b>	<b>Ages 6-12</b>	<b>Ages 13-18<sup>2</sup></b> (at-risk afterschool programs and emergency shelters)
<b>Fluid Milk<sup>3</sup></b>	4 fluid ounces	6 fluid ounces	8 fluid ounces	8 fluid ounces
<b>Meat/meat alternates</b>				
Lean meat, poultry, or fish	1 ounce	1 ½ ounce	2 ounces	2 ounces
Tofu, soy product, or alternate protein products <sup>4</sup>	1 ounce	1 ½ ounce	2 ounces	2 ounces
Cheese	1 ounce	1 ½ ounce	2 ounces	2 ounces
Large egg	½	¾	1	1
Cooked dry beans or peas	¼ cup	⅜ cup	½ cup	½ cup
Peanut butter or soy nut butter or other nut or seed butters	2 tbsp.	3 tbsp.	4 tbsp.	4 tbsp.
Yogurt, plain or flavored unsweetened or sweetened <sup>5</sup>	4 ounces or ½ cup	6 ounces or ¾ cup	8 ounces or 1 cup	8 ounces or 1 cup
The following may be used to meet no more than 50% of the requirement: Peanuts, soy nuts, tree nuts, or seeds, as listed in program guidance, or an equivalent quantity of any combination of the above meat/meat alternates (1 ounces of nuts/seeds = 1 ounce of cooked lean meat, poultry, or fish)	½ ounce = 50%	¾ ounce = 50%	1 ounce = 50%	1 ounce = 50%
<b>Vegetables<sup>6</sup></b>	⅛ cup	¼ cup	½ cup	½ cup
<b>Fruits<sup>6,7</sup></b>	⅛ cup	¼ cup	¼ cup	¼ cup
<b>Grains<sup>8,9</sup></b>				
Whole grain-rich or enriched bread	½ slice	½ slice	1 slice	1 slice
Whole grain-rich or enriched bread product, such as biscuit, roll or muffin	½ serving	½ serving	1 serving	1 serving
Whole grain-rich, enriched or fortified cooked breakfast cereal <sup>10</sup> , cereal grain, and/or pasta	¼ cup	¼ cup	½ cup	½ cup

1. Must serve all five components for a reimbursable meal. Larger portion sizes than specified may need to be served to children 13 through 18 years old to meet their nutritional needs.
2. Must be unflavored whole milk for children age one. Must be unflavored low-fat (1 percent) or unflavored fat-free (skim) milk for children two through five years old. Must be unflavored low-fat (1 percent), unflavored fat-free (skim), or flavored fat-free (skim) milk for children six years old and older and adults.
3. Alternate protein products must meet the requirements in Appendix A to Part 226.
4. Yogurt must contain no more than 23 grams of total sugars per 6 ounces.
5. Pasteurized full-strength juice may only be used to meet the vegetable or fruit requirement at one meal, including snack, per day.
6. A vegetable may be used to meet the entire fruit requirement. When two vegetables are served at lunch or supper, two different kinds of vegetables must be served.
7. At least one serving per day, across all eating occasions, must be whole grain-rich. Grain-based desserts do not count towards the grains requirement.
8. Breakfast cereals must contain no more than 6 grams of sugar per dry ounce (no more than 21 grams sucrose and other sugars per 100 grams of dry cereal).



<b>Snack</b> (Select two of the five components for a reimbursable snack)				
<b>Food Components and Food Items<sup>1</sup></b>	<b>Ages 1-2</b>	<b>Ages 3-5</b>	<b>Ages 6-12</b>	<b>Ages 13-18<sup>2</sup></b> (at-risk afterschool programs and emergency shelters)
<b>Fluid Milk<sup>2</sup></b>	4 fluid ounces	4 fluid ounces	8 fluid ounces	8 fluid ounces
<b>Meat/meat alternates</b>				
Lean meat, poultry, or fish	½ ounce	½ ounce	1 ounce	1 ounce
Tofu, soy product, or alternate protein products <sup>1</sup>	½ ounce	½ ounce	1 ounce	1 ounce
Cheese	½ ounce	½ ounce	1 ounce	1 ounce
Large egg	½	½	½	½
Cooked dry beans or peas	⅛ cup	⅛ cup	¼ cup	¼ cup
Peanut butter or soy nut butter or other nut or seed butters	1 tbsp.	1 tbsp.	2 tbsp.	2 tbsp.
Yogurt, plain or flavored unsweetened or sweetened <sup>5</sup>	2 ounces or ¼ cup	2 ounces or ¼ cup	4 ounces or ½ cup	4 ounces or ½ cup
Peanuts, soy nuts, tree nuts, or seeds	½ ounce	½ ounce	1 ounce	1 ounce
<b>Vegetables<sup>6</sup></b>	½ cup	½ cup	¾ cup	¾ cup
<b>Fruits<sup>6</sup></b>	½ cup	½ cup	¾ cup	¾ cup
<b>Grains<sup>7,8</sup></b>				
Whole grain-rich or enriched bread	½ slice	½ slice	1 slice	1 slice
Whole grain-rich or enriched bread product, such as biscuit, roll or muffin	½ serving	½ serving	1 serving	1 serving
Whole grain-rich, enriched or fortified cooked breakfast cereal <sup>9</sup> , cereal grain, and/or pasta	¼ cup	¼ cup	½ cup	½ cup
Whole grain-rich, enriched or fortified ready-to-eat breakfast cereal (dry, cold) <sup>9,10</sup>				
Flakes or rounds	½ cup	½ cup	1 cup	1 cup
Puffed cereal	¾ cup	¾ cup	1 ¼ cup	1 ¼ cup
Granola	⅛ cup	⅛ cup	¼ cup	¼ cup

1. Select two of the five components for a reimbursable snack. Only one of the two components may be a beverage.
2. Larger portion sizes than specified may need to be served to children 13 through 18 years old to meet their nutritional needs.
3. Must be unflavored whole milk for children age one. Must be unflavored low-fat (1 percent) or unflavored fat-free (skim) milk for children two through five years old. Must be unflavored low-fat (1 percent), unflavored fat-free (skim), or flavored fat-free (skim) milk for children six years old and older and adults.
4. Alternate protein products must meet the requirements in Appendix A to Part 226.
5. Yogurt must contain no more than 23 grams of total sugars per 6 ounces.
6. Pasteurized full-strength juice may only be used to meet the vegetable or fruit requirement at one meal, including snack, per day.
7. At least one serving per day, across all eating occasions, must be whole grain-rich. Grain-based desserts do not count towards meeting the grains requirement.
8. Breakfast cereals must contain no more than 6 grams of sugar per dry ounce (no more than 21 grams sucrose and other sugars per 100 grams of dry cereal).
9. Beginning October 1, 2019, the minimum serving sizes specified in this section for ready-to-eat breakfast cereals must be served. Until October 1, 2019, the minimum serving size for any type of ready-to-eat breakfast cereals is  $\frac{1}{4}$  cup for children ages 1-2;  $\frac{1}{3}$  cup for children ages 3-5;  $\frac{3}{4}$  cup for children 6-12; and 1  $\frac{1}{2}$  cups for adults.

Month/Year: \_\_\_\_\_

Site: \_\_\_\_\_

### AT-RISK WEEKLY MENU RECORD

Week: \_\_\_\_\_

	Menu		Menu		Menu		Menu		Menu	
Breakfast	Monday	Date:	Tuesday	Date:	Wednesday	Date:	Thursday	Date:	Friday	Date:
Milk										
Vegetable/Fruit										
Grains		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG
Meat/Meat Alternate: can substitute for grains 3 x week										
<i>(Must serve 3 Breakfast Components)</i>										
Lunch										
Milk										
Meat/Meat Alternate										
Vegetable										
Vegetable or Fruit										
Grains		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG
<i>(Must serve 5 Lunch Components)</i>										
Snack										
Milk										
Meat/Meat Alternate										
Vegetable										
Fruit										
Grains		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG
<i>(Must serve 2 Snack Components)</i>										
Supper										
Milk										
Meat/Meat Alternate										
Vegetable										
Vegetable or Fruit										
Grains		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG		<input type="checkbox"/> WG
<i>(Must serve 5 Supper Components)</i>										

\*7 CFR 226.15 (e)

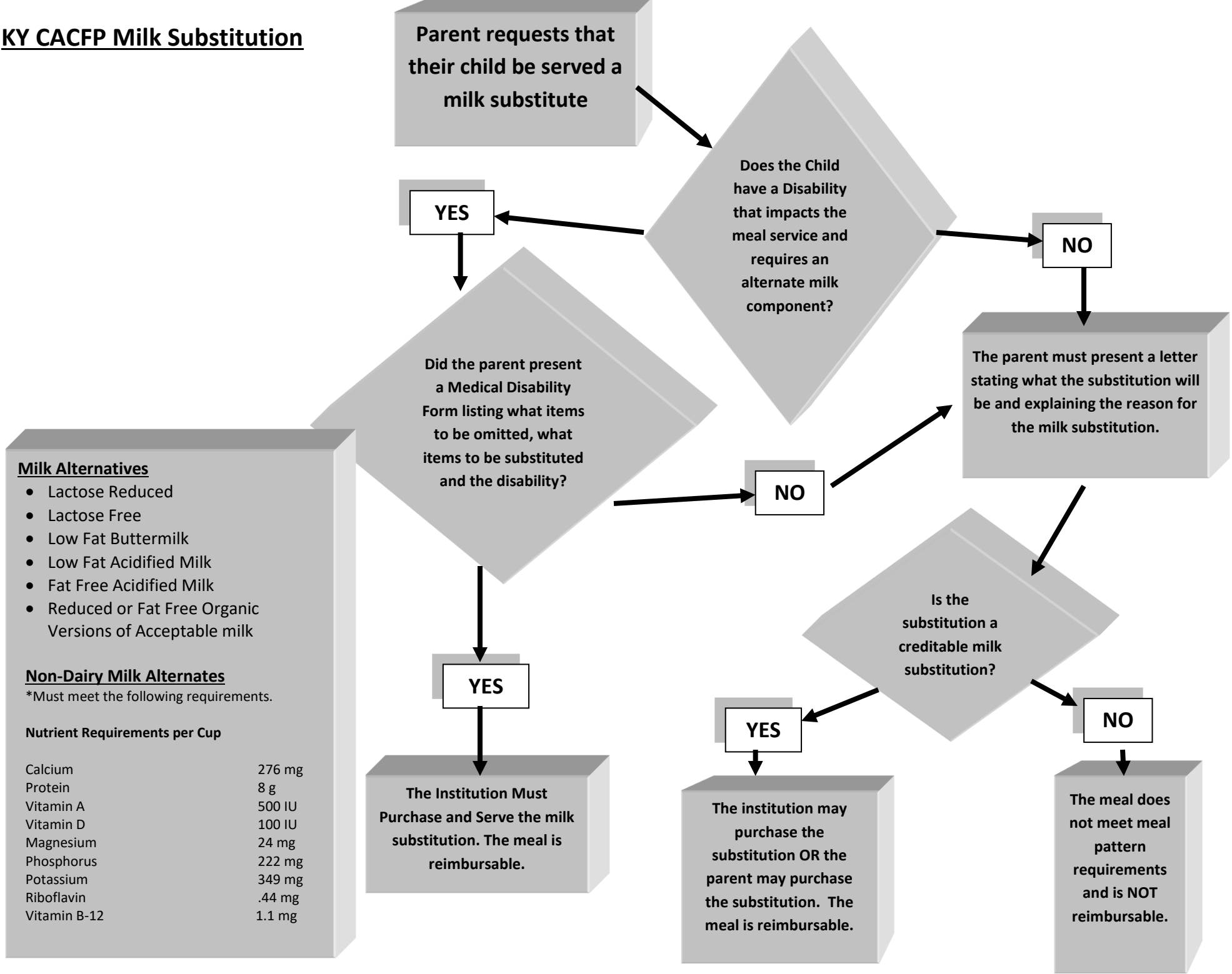
WG: Whole Grain

Sponsor: Site:			Month: _____		Year: 20__	
	Monday Date _____	Tuesday Date _____	Wednesday Date _____	Thursday Date _____	Friday Date _____	
Components	<b>At-Risk Snack Menu Record: Serve 2 of 5 Components</b>					
Milk						
Meat or Meat Alternate						
Vegetable						
Fruit						
Grains	<input type="checkbox"/> WG	<input type="checkbox"/> WG	<input type="checkbox"/> WG	<input type="checkbox"/> WG	<input type="checkbox"/> WG	<input type="checkbox"/> WG
Components	<b>At-Risk Supper Menu Record: Serve 5 Components</b>					
Milk						
Meat or Meat Alternate						
Vegetable						
Vegetable or Fruit						
Grains	<input type="checkbox"/> WG	<input type="checkbox"/> WG	<input type="checkbox"/> WG	<input type="checkbox"/> WG	<input type="checkbox"/> WG	<input type="checkbox"/> WG

\*7 CFR 226.15 (e)

WG: Whole Grain

**KY CACFP Milk Substitution**



**Milk Alternatives**

- Lactose Reduced
- Lactose Free
- Low Fat Buttermilk
- Low Fat Acidified Milk
- Fat Free Acidified Milk
- Reduced or Fat Free Organic Versions of Acceptable milk

**Non-Dairy Milk Alternates**

\*Must meet the following requirements.

**Nutrient Requirements per Cup**

Calcium	276 mg
Protein	8 g
Vitamin A	500 IU
Vitamin D	100 IU
Magnesium	24 mg
Phosphorus	222 mg
Potassium	349 mg
Riboflavin	.44 mg
Vitamin B-12	1.1 mg

## Special Dietary Needs

### Medical Statement

- Participants whose disabilities restrict their diet
- Participants who have severe, life-threatening allergic reactions to foods
- The medical statement must include:
  - Description of participants Physical or Mental Impairment.
  - Food or foods to omit
  - Food or foods to substitute
  - Signature of a medical authority

### CACFP Instructions for Completing the Medical Statement for Participants with Special Dietary Needs

#### Parent/Guardian Section:

1. Fill in information located in the first section. "To be completed by a Parent, Guardian, or Authorized Representative".
2. If the participant has an identified disability, a Medical Authority\* must sign and date.
3. The Medical Authority must list the items to be omitted along with the items to be substituted along with any other texture modifications or information relating to the disability. Any substitutions dictated by the Medical Authority overrides any component requirements required by the CACFP.
4. The Medical Authority must print their name, title, and give the telephone number where they may be contacted.

***\*A recognized medical authority is anyone medically deemed certified to write prescriptions.***

#### Sponsor Information:

1. The statement must be completed in its entirety and on file prior to substituting any meals.
2. If any changes are needed to the original request, a new form will need to be submitted.
3. Parents or guardians may request in writing that a non-dairy beverage be substituted for fluid milk without providing a statement from a recognized medical authority. Fluid milk substitutions requested are at the option and expense of the facility/center.
4. Non-dairy beverage products must at a minimum contain the following nutrient levels per cup to qualify as an acceptable milk substitution.

a. Calcium 276 mg	d. Vitamin D 100 IU	g. Potassium 349 mg
b. Protein 8 g	e. Magnesium 24 mg	h. Riboflavin .44 mg
c. Vitamin A 500 IU	f. Phosphorus 222 mg	i. Vitamin B-12 1.1 mcg

5. All substitutions must be listed at the bottom of the weekly menu. Only document what was omitted and substituted. Participant's names must not be listed.

## MEDICAL STATEMENT FOR PARTICIPANTS WITH DISABILITIES OR MEDICAL CONDITIONS

<b>This section is to be completed by a Parent, Guardian, or Authorized Representative</b>		
Participant's Name:	Birthday:	
Parent/Guardian/Authorized Representative name:		
Home Phone: (    )	Work Phone: (    )	
Address:		
City:	State:	Zip:

<b>This section is to be completed by a State licensed healthcare professional such as a physician or nurse practitioner.</b>	
Description of the participant's Physical or Mental Impairment:	
_____	
_____	
_____	
_____	
Foods to be omitted:	Recommended Alternatives:
_____	_____
_____	_____
_____	_____
Please list foods and information regarding any needed texture changes (chopped, ground, pureed, etc.):	
_____	
_____	
_____	
Please provide any other information regarding the diet:	
_____	
_____	
_____	

*\*Recognized Medical Authority: Anyone who can prescribe medication.*

Physician/Nurse Practitioner's Signature	Date
Printed Name and Title	Telephone

\*7 CFR 226.20 (h) & Policy Memo: CACFP 14-2017

## **Parent Request for Modified Meals**

- A parent or guardian can submit a written request for a fluid milk or meal component substitution
- A fluid milk substitute must be nutritionally equivalent to cow's milk
- A meal component substitute must be a creditable component which meets the CACFP meal pattern requirements
- The Parent Request for Modified Meals form should be used
- If substitutions are related to religious reasons or personal beliefs, the expense of the substitutions are at the option and discretion of the center.
- If a participant does not have a disability, and is requesting special accommodation for a fluid milk substitute, the form may be completed by the Parent/Guardian. All milk substitutes must be nutritionally equivalent to cow's milk.

### **Instructions for completing the Parent/Guardian request for modified meals form.**

1. Complete Parent, Guardian or Authorized Representative section.
2. If the request involves a milk substitute, indicate the request by placing a checkmark in the box. Please be advised that all requested milk substitutes must be nutritionally equivalent to cows' milk.
3. Complete the Foods to be omitted section along with what foods are requested to be substituted in their place.
4. List any modifications needed for food texture changes.
5. List any additional information regarding the diet.
6. Sign and date
7. Print Name and telephone number.

**All request for substitutions are at the discretion of the center.**



# PARENT/GUARDIAN REQUEST FOR MODIFIED MEALS

*Substitutions are made at the discretion of the center.*

*If the parent/guardian provides more than one component per meal, the meal is not reimbursable.*

To be completed by a Parent, Guardian, or Authorized Representative

Participant's Name:

Birthday:

Parent/Guardian/Authorized Representative name:

Home Phone: ( )

Work Phone: ( )

Address:

City:

State:

Zip:

Reason for Request:

- Participant is requesting a special accommodation for a fluid milk substitute that meets the nutrient standards for non-dairy beverages offered as milk substitutes.

**A non-dairy beverage product must at a minimum contain the following nutrient levels per cup to qualify as an acceptable milk substitution.**

- a. Calcium 276 mg
- b. Protein 8 g
- c. Vitamin A 500 IU

- d. Vitamin D 100 IU
- e. Magnesium 24 mg
- f. Phosphorus 222 mg

- g. Potassium 349 mg
- h. Riboflavin .44 mg
- i. Vitamin B-12 1.1 mcg

Feeds to be omitted:

Substitutions:

Please list feeds and information regarding any needed texture changes (chopped, ground, pureed, etc.):

Please provide any other information regarding the diet:

Parent/Guardian's Signature

Date

Printed Name

Telephone

## Daily Meal Counts and Attendance Records

At each meal service, the following must be documented:

- attendance
- the number of meals prepared or delivered
- the number of meals served to participants
- the number of meals served to program adults

Schools may use a computer-generated (POS) attendance record such as the ***Student Participant Report*** which lists all students by name and the ***Daily Sales Report*** to record meal counts. Schools using these reports must also document the number of meals prepared or delivered and the number of meals served to program adults. Schools which do not use the POS system may use the ***At-Risk Daily Meal Count and Attendance Record*** form to record the required information.

### Instructions: At-Risk Daily Meal Count and Attendance Record form

1. Record the site name and date.
2. Record the number of meals prepared or delivered.
3. Record the full name of each participant. Participant names can be pre-filled as a roster or each participant can sign their own full name. Use additional sheets if needed.
4. Place a check mark (✓) in the Attendance column if the participant is in attendance at the site on the day for which attendance and meal counts are being recorded. Mark the participant in attendance if they are at the site for any amount of time, even if the participant does not participate in the meal service.
5. If the participant receives a complete meal or snack, place a check mark (✓) in the appropriate meal service column beside the participant's name. If the participant is not in attendance, does not take a meal, or takes an incomplete meal, do not place a check mark in the meal service column.
6. After every participant has had an opportunity to receive a meal or snack, leftover (second) meals and snacks may be served per the second meals guidelines. If a participant takes a second complete meal or snack, place a second check mark (✓✓) in the appropriate meal service column beside the participant's name. *Incomplete second meals and meals/foods from share tables cannot be counted.*
7. At the end of the meal service, record the total attendance and total number of meals and snacks served (both first & second) at the bottom of each column.
8. Record the number of meals and snacks served to Program Adults. Do not include these meals in the total number of meals served. Meals served to Program Adults must be documented but cannot be claimed for reimbursement.
9. The person completing the form must sign and date.
10. Keep the form on file with the CACFP At-Risk program records.

**At-Risk Meals  
Daily Meal Count and Attendance Record**

<b>Site:</b>		<b>Date:</b>			
<b>Number of Meals Prepared or Delivered:</b>					
<b>Participant's Full Name</b>		<b>✓ If in Attendance</b>	Check once ✓ for each Snack or Meal participant receives. Check twice ✓✓ if participant receives a second Snack or Meal		
			<b>Snack</b>	<b>Lunch/Supper</b>	<b>Breakfast</b>
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
15.					
16.					
17.					
18.					
19.					
20.					
<b>Totals</b>					
<b>Meals Served to Program Adults</b>		<b>#</b>	<b>#</b>	<b>#</b>	<b>#</b>
I certify that the information on this form is true and correct to the best of my knowledge and only <u>eligible</u> meals served to <u>eligible</u> Program participants will be claimed for reimbursement.					
<b>Signature</b>			<b>Date</b>		

## Second Meals during One Meal Service

At-Risk sites must plan and prepare meals and snacks with the intent of serving no more than one meal and/or snack per participant per day.

Second meals and/or snacks may be claimed only if the second meals are served due to an unanticipated fluctuation in participation resulting from conditions beyond the site's control; and

- The meals are served pre-plated/unitized style/offer vs. serve. Sites may not claim second meals under any condition when the meals are served family style.
- The second meals are complete and comply with USDA meal patterns.
- If Offer vs. Serve is utilized, all components in the required minimum portion sizes which were available for the first meal must be available for the second meal as well.
- The second meals are not served from Share Tables.
- The second meals are served to eligible Program participants.
- The site submits documentation justifying the second meals.
- The State Agency approves the justification for serving second meals due to reasons beyond the site's control.

**EXAMPLE:** Based on historical participation data the cook prepares suppers for 30 children. Threatening weather conditions caused only 15 children to attend the afterschool program. In this situation, weather caused a fluctuation in attendance, which in turn resulted in sufficient food being prepared to serve the remaining 15 children seconds. Therefore, if all the above requirements are met, the site may claim second meals and/or snacks served to the 15 children that attended the afterschool program.

## Daily Meal Count Tally

Sites which prefer to record attendance separately from meal counts may use the ***At-Risk Daily Meal Count Tally*** form to record the number of meals served to participants at the point of service, the number of meals prepared or delivered and the number of meals served to program adults. **However, if this form is used, a separate record of attendance (by full name of participant) must also be completed.**

### Instructions: Daily Meal Count Tally form

1. Record the Site Name and Date.
2. Circle the type of meal being served.
3. Record the number of meals or snacks prepared or delivered.
4. As each participant receives a complete first meal, cross off a number. Do not cross off a number if the participant does not take a complete meal. Use the continuation page if needed.
5. After every participant has had an opportunity to receive a meal or snack, leftover (second) meals may be served per the second meals guidelines. If a participant takes a second complete meal or snack, cross off a number in the "Second Meals Served to Participants" section. *Incomplete second meals and meals/foods from share tables cannot be counted.*
6. Total the number of first and second meals served. Include meal counts from continuation pages if needed.
7. Record the number of meals served to Program Adults. Do not include these meals in the total number of meals served. Meals served to Program Adults cannot be claimed for reimbursement.
8. The person taking the meal count must sign and date the form.
9. Keep the form on file with the CACFP At-Risk program records.
10. Collect the attendance records for the afterschool program and keep on file with the CACFP At-Risk program records.

**At- Risk Meals: Daily Meal Count Tally**

**Site Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_ **[1]**

**Meal Type (circle) :** Breakfast    Lunch    Supper    Snack 1    Snack 2 **[2]**

**# of Meals prepared or delivered** \_\_\_\_\_ **[3]**

**First Meals or Snacks Served to Participants (cross off number as meal or snack is served):**

- 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21
- 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42
- 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63
- 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84
- 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104
- 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124
- 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144
- 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164
- 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180

**Total First Meals:** \_\_\_\_\_ **[4]**

**Second Meals or Snacks Served to Participants (cross off number as meal or snack is served):**

- 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25

**Total Second Meals:** \_\_\_\_\_ **[5]**

**Total of First & Second Meals Served:** \_\_\_\_\_ **[6]**

**Meals or Snacks served to Program Adults:**

- 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 **[7]**

**I certify that the information on this form is true and correct to the best of my knowledge and only eligible meals served to eligible Program participants will be claimed for reimbursement.**

\_\_\_\_\_  
**Signature** \_\_\_\_\_ **Date** **[8]**

### **Instructions: Daily Attendance Record**

1. Fill in the Month/Year and Sponsor/Site information.
2. Record the first and last names of the participants.
3. Record attendance and total the columns daily.

***Daily Attendance Record totals cannot be used as meal counts because every participant in attendance may not have taken a reimbursable meal.***





## At-Risk Site Application and Pre-Approval Visit Form

### Instructions: Applying for additional At-Risk Afterschool Meals sites

The **At-Risk Afterschool Meals Site Application and Pre-Approval Visit Form** must be completed for all **afterschool meal sites**.

At-risk afterschool meals sponsors who have already been approved for an initial afterschool meals site and would like to add additional sites should email their CACFP consultant with a request that the new site(s) be added to the site application list in CNIPS.

The **Pre-Approval Site Request/Visit form** must be completed for all additional **Child Care** and **Head Start** sites.

1. Verify the site is **not on the National Disqualified List**. This is accomplished by either contacting the state agency or by obtaining a Level I access to the National Disqualified List.  
(<https://www.eauth.usda.gov/mainPages/index.aspx>)
2. Submit the pre-approval site request form and childcare license (if applicable) to the sponsor's CACFP Consultant who will review the site request and inform the sponsor of the results.
3. If the site request is approved, the CACFP Consultant will create the new Site Application in CNIPS.
4. The Sponsor must then complete the Site Application in CNIPS, ensure the Management Plan and Sponsor Budget Detail are updated and submit the application packet via CNIPS for approval.
5. Upon approval by the CACFP Consultant, meals served at the new site can be claimed for the month in which the site application was approved.
6. The sponsor must complete **In-Service Training** with the new site (remember to include Civil Rights).
7. **The sponsor must complete a** monitor review for the new site within the first four weeks of program operation and two additional monitor reviews within the fiscal year.
8. **For Non-Profit Organizations Only:** The USDA Monitoring Handbook states, "Audits are required of all **non-profit** institutions that receive **more than \$750,000** in total Federal funds for the entire institution during a fiscal year. Audit requirements for institutions that participate in the CACFP are outlined in 7 CFR 3052 and Office of Management and Budget (OMB) Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations."

\*A video to assist with becoming a Sponsoring Organization can be found on the State agency's website.

**At-Risk Afterschool Meals  
Site Application and Pre-Approval Visit Form  
Kentucky Department of Education CACFP**

**Sponsor:** \_\_\_\_\_ **CNIPS #:** \_\_\_\_\_

Site Information							
<b>Site Name</b>							
<b>Street Address</b>							
<b>City</b>		<b>State</b>		<b>Zip</b>		<b>County</b>	
<b>Phone Number</b>	( )	<b>Extension</b>		<b>Fax Number</b>	( )		
<b>Program Contact</b>			<b>Email</b>				

**Site Eligibility**

- At-Risk Site Qualifying Data: \_\_\_\_\_ % Free/Reduced  
(The site must be located in the attendance area of a public school where at least 50 percent of the enrolled students are certified as eligible for free or reduced-price meals. **CEP data cannot be used**).
- Name of school used for Qualifying Data: \_\_\_\_\_
- License Information: \_\_\_ Exempt from State or Local Licensure (Is an At-Risk only site)  
Capacity: \_\_\_\_\_ License ID: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

**Site Operational Information:**

- a. Site/School Hours      Begin: \_\_\_\_\_ End: \_\_\_\_\_
- b. At-Risk Program Hours      Begin: \_\_\_\_\_ End: \_\_\_\_\_
- c. Days of the week At-Risk meals will be claimed:  
\_\_\_ Monday \_\_\_ Tuesday \_\_\_ Wednesday \_\_\_ Thursday \_\_\_ Friday \_\_\_ Saturday \_\_\_ Sunday
- d. At-Risk Meals Claimed: \_\_\_ Breakfast \_\_\_ Lunch \_\_\_ Snack \_\_\_ Supper
- e. At-Risk Meal Times: Start: \_\_\_\_\_ End: \_\_\_\_\_  
Start: \_\_\_\_\_ End: \_\_\_\_\_
- f. Method of Meal Service:
  - Site prepares meals on site (contract not required)
  - Site receives meals from another site or central preparation owned by the sponsor (contract not required)
  - Site contracts with a local public school system (Agreement to furnish food required)
  - Site contracts with another approved CACFP site with which it is not affiliated
  - Site contracts with a registered caterer

Personnel responsible for CACFP administration and food service	
Name	Program Labor or Administrative Duties

Enrichment and Educational Activities					
Only list Enrichment Activities which are open to all participants such as; Homework Assistance, Remedial Education, ESS, Computer Skills, Life Skills, Organized Fitness, Arts/Crafts, Clubs, etc. <i>Sports teams cannot be a stand-alone enrichment.</i>	Supervisor/Leader/ Instructor Name	Location (Library, Gym, Classroom, etc.)	Day(s) of the Week	Time Begin/End	Age Range: Infant, Pre-K, Elem., Middle, High

\_\_\_\_\_  
*Signature of Site Instructor for Enrichment Activities*

\_\_\_\_\_  
 Date

**I certify that all information on this Site Application and Pre-Approval Visit (if applicable) Form is true and correct.**

\_\_\_\_\_  
*Signature of Sponsoring Organization Authorized Representative*

\_\_\_\_\_  
 Title

\_\_\_\_\_  
 Printed Name

\_\_\_\_\_  
 Date

\_\_\_\_\_  
*Signature of Site Program Contact*

\_\_\_\_\_  
 Title

\_\_\_\_\_  
 Printed Name

\_\_\_\_\_  
 Date

**Submit a copy of the School District Calendar, Site License (if applicable) and this form to:**

- FAX: 502-564-5519
- Or
- Email: [scncacfpgeneral@education.ky.gov](mailto:scncacfpgeneral@education.ky.gov)

**\*\*Sponsors of Unaffiliated Sites must also complete and submit this page\*\*  
 (“Unaffiliated” means the site is not a part of the sponsor)**

- Has the site ever participated in the Kentucky CACFP? Yes \_\_\_\_ No \_\_\_\_
- Does the site participate in any other child nutrition programs? Yes \_\_\_\_ No \_\_\_\_  
 If yes, list the programs: \_\_\_\_\_
- Has any person directly working with the CACFP/At-Risk program at the site ever been terminated from participation in the CACFP? Yes \_\_\_\_ No \_\_\_\_  
 If yes, list the date: \_\_\_\_\_
- List the site program contact and the date they were trained on USDA meal pattern requirements, civil rights compliance, and recordkeeping requirements: \_\_\_\_\_
- Does the site store cleaning supplies/pesticides separately from food items? \_\_\_\_ yes \_\_\_\_ no  
 If no, provide explanation: \_\_\_\_\_
- Does the site follow proper hand washing procedures? \_\_\_\_ yes \_\_\_\_ no  
 If no, provide explanation: \_\_\_\_\_
- Is the site’s dining area clean and sanitary? \_\_\_\_ yes \_\_\_\_ no  
 If no, provide explanation: \_\_\_\_\_

**Unaffiliated Site: Required forms (Hard Copies to be kept at the Sponsoring Organization office)**

- License to Operate or Proof of Occupancy
- Food Service Inspection Report (If Applicable)
- Catering Contract (If Applicable)
- Agreement to Supply Meals (If Applicable)
- Agreement between Sponsoring Organization and Unaffiliated At-Risk Site

**Unaffiliated Site: Reporting of Ethnic/Racial Data**

- (1) Record the ethnicity and race percentages for the school nearest the site. To obtain the ethnic/racial data for the geographic area, access the following link:  
[http://education.ky.gov/federal/SCN/Documents/Public%20School\\_Ethnicity%20Report.pdf](http://education.ky.gov/federal/SCN/Documents/Public%20School_Ethnicity%20Report.pdf)
- (2) Record the number of CACFP afterschool program participants at the site by their ethnicity and race.

	Ethnicity		Race				
	Hispanic or Latino	Non-Hispanic, Non-Latino	Black or African American	White	American Indian or Alaskan Native	Asian	Native Hawaiian or Other Pacific Islander
(1)	%	%	%	%	%	%	%
(2)	#	#	#	#	#	#	#

Identify the source (school) of the ethnic/racial data for the geographic area.

Describe the procedure to collect and maintain ethnic/racial data of site participants.

\_\_\_\_\_  
 Signature of Sponsoring Organization Authorized Representative

\_\_\_\_\_  
 Date

## Procurement

*Remember to complete the appropriate procurement annually*

There are 3 methods of procurement:

**Micro-Purchase:** Used when single purchase transactions are equal to or less than \$10,000 and the annual aggregate total of all transactions does not exceed \$250,000. The following requirements must be met:

- Micro-purchases may be made without soliciting competitive quotes if the sponsor considers the price to be reasonable
- To the extent practicable, the sponsor must distribute micro-purchases equitably among suppliers
- The sponsor must maintain all receipts/invoices

**Small Purchase/Informal:** Used when single purchase transactions are between \$10,001 and \$249,999. The following requirements must be met:

- Price quotations must be obtained from at least three qualified suppliers
- The sponsor must maintain written documentation of the quotes
- The sponsor must maintain all receipts/invoices

**Formal Bid:** Used when single purchase transactions or the annual aggregate total of all transactions or contracts are equal to or greater than \$250,000. The following requirements must be met:

- Invitation for Bid (IFB) or Request for Proposal (RFP)
- Contact the State Agency for assistance

### Catered Meals

**The Catering Guidance Handbook is available on the State Agency website.**

## Documenting quotes from qualified suppliers

To meet the requirements for small purchase/informal procurement, such as those items purchased from a grocery, retail store or vendor, the State Agency requires annual quotes from at least 3 qualified suppliers. Sponsors will document in writing at least three separate, but similar, quotes on the cost of at least 6 items and compare the costs of these items from each supplier. Sponsors are required to select the supplier that has the lowest price unless other circumstances, such as proximity of the store or consistency of quality, impact their decision. This information must be documented on the Small Purchase/Informal Procurement form.

Instructions for Completing the Small Purchase/Informal Procurement Form:

1. Record the date of procurement.
2. List 6 most commonly purchased items.
3. List 3 qualified suppliers.
4. List the prices of the 6 items at each of the suppliers.
5. Choose the supplier from which the items will be purchased.
6. If the supplier chosen doesn't offer the lowest price, explain why the supplier was chosen (location, options, etc.).
7. File the form in the CACFP folder labeled "Procurement".

**Documentation for Small Purchase/Informal Procurement**  
 (Used if single purchase transaction is \$10,001 and \$249,999)

**DATE:** \_\_\_\_\_

Item	Name of Supplier 1:	Name of Supplier 2:	Name of Supplier 3:	Reason for selection if not the lowest price
1.	\$	\$	\$	
2.	\$	\$	\$	
3.	\$	\$	\$	
4.	\$	\$	\$	
5.	\$	\$	\$	
6.	\$	\$	\$	

\*7 CFR 226.22

## PROGRAM COSTS DOCUMENTATION

Every institution that participates in the CACFP must demonstrate the operation of a non-profit food service program. **As provided by USDA's Financial Management-Child and Adult Care Food Program Food and Nutrition Service (FNS) Instruction 796-2, Revision 4, all institutions must operate a non-profit food service in which all CACFP meal payments are expended for allowable costs. This means that ALL of the money you receive in CACFP reimbursement MUST be used ONLY in the food service operation.**

**All CACFP records must be maintained on file for three years plus the current year.**

The following are examples only and are not intended to be a complete guide as to how CACFP funds may or may not be spent. Refer to the FNS Instruction 796-2, Rev. 3 or contact the State Agency if you have questions about allowable expenses.

### Food and Milk Documentation

**Allowable Costs:** price of purchased foods referenced to menus, invoices, a food service management company or caterer.

**Not Allowable:** value of donated foods; cost of food lost as a result of fire, water, spoilage or other contamination in excess of \$100; fast food, personal groceries or items such as cigarettes, soda, pet food, etc.

### Minimum Records that Support Cost of Food & Milk Used

- a. Invoices, bills, receipts (all food receipts used to document costs to the CACFP must be original, dated, itemized, and include the name of the store where the food was purchased);
- b. Food inventory records;
- c. Records of cash discounts and other credits when they are not shown on purchase orders and/or invoices;
- d. Menus (Participant and Infant);
- e. Invoices from the food management company, caterer or school (reported as cost of food used);
- f. Daily delivery tickets that include components served, as well as the name of the catering source, date, number of meals ordered and number of meals delivered. These also must be signed and dated by vendor staff delivering meals and sponsor staff receiving meals.

The daily delivery tickets should be compared to the monthly invoice received from the vendor to ensure that the sponsor was charged for the correct number of meals ordered.

### Increasing Food Costs

- Serve self-prepared entrees instead of low grade processed foods.
- Serve more fresh fruits and vegetables, especially during snack.
- Serve whole meats such as chicken, roasts, hams etc.
- Serve individual ½ pint cartons of milk instead of purchasing gallons.



## Non Food Cost Documentation

**Allowable Costs:** Examples are: paper goods (napkins, straws, cups, etc.), cleaning supplies for kitchen and dining room.

**Not Allowable:** Examples are: general day care supplies or arts/crafts projects, toys, games, videos, laundry and general cleaning supplies not used in the food service area.

### Minimum Records that Support Nonfood Supplies and Expendable Equipment

- a. Invoices, bills, receipts, (all receipts used to document costs to the CACFP must be original, dated, itemized, and include the name of the store where the non-food was purchased);
- b. Bank statements.

Note: Bank statements will be used only to verify payment of original receipts, and cannot be used as the only source of documentation.

If non-food items are used as part of the meal service (i.e. paper products, plastic silverware, kitchen cleaning supplies, eating area cleaning supplies, etc.) the total amount can be claimed. If only a portion of the product purchased is used for the food program (i.e. trash bags, paper towels), then only half of the cost and tax can be claimed. Non-food items purchased for day care use only (i.e. toilet paper, Kleenex) cannot be included in program costs.

Tax may be claimed for non-food items under "Non-Food" on the Record of Expenditures.

### Receipts Must:

- Be originals
- Be dated
- Be itemized
- Include store name
- Include method of payment: Cash, Check, Credit, Debit (cannot use SNAP EBT card)
- Verify allowable CACFP costs
- Reflect menu items:
  - Meal Compliance will be evaluated by comparing menus, receipts and/or meal observations.
- Receipts will serve as supporting documentation for the menu.
- Meals may be disallowed if food items on the receipts are not reflected on the menus or if foods items on the menu are not reflected on the receipts.

### Deducting Costs of Non-Creditable Food and Non-food Items

- Some examples include: breakfast bars, cereal bars & granola bars, cookies, donuts, brownies, sweet rolls, toaster pastries and sweet pie crusts **are not creditable**
- If a non-creditable item(s) is/are found on the receipt this cost should be subtracted out of the total cost.
- Non program items must also be subtracted. Some examples are toilet paper, facial tissue and air fresheners.

## **Program Labor Costs**

Program Labor Costs for Food Service are limited to wages and fringe benefits paid by the sponsor to employees directly involved with the food service program. If the sponsor is reimbursed for an employee's wages from some other source, it cannot be claimed as a cost to the Program.

**Allowable Direct Costs:** wages paid for preparing and serving food; wages paid to personnel who assist participants at mealtime; wages paid for on-site preparation of records required for the food program. Program Labor duties include cooking, serving, menu planning, grocery shopping and cleaning of kitchen and dining room.

**Not allowable:** volunteer labor, salaries of staff who do not perform CACFP duties; wages paid from sources other than the sponsoring organization.

## **Minimum Records that Support Program Labor Costs**

- a. Staff who work full-time on CACFP duties will document their wages and benefits by copies of their pay stubs in the monthly folder.
- b. Personnel Activity Reports (PAR) – are maintained by employees to establish the amount of time per day spent on the food program when the employee has other duties. These must be signed and dated by employee at the end of the month. The PAR must be signed and dated by the employee's supervisor. The PAR must be maintained in the monthly folders.

## **Program Administrative Costs**

Program Administrative Costs include expenditures incurred by a sponsoring organization that relate to planning, organizing, and managing the food service program.

**Allowable Direct Costs:** wages paid for completing the application packet, approving income applications, conducting monitor reviews, training center personnel regarding CACFP requirements, time spent compiling the monthly Claim for Reimbursement, cost of computer equipment used to administer CACFP and attending State Agency training (training time may only be claimed for the month in which it occurs).

**Not Allowable:** volunteer labor, wages paid from sources other than sponsoring organization, costs incurred to comply with licensing standards.

## **Minimum Records that Support Administrative Costs**

- a. Payroll records (bank statements, pay stubs, etc.).
- b. Personnel Activity Reports - daily time sheet that establishes the amount of time each employee spends on food program responsibilities when the employee has other duties. They must be signed and dated by the employee.
- c. Mileage documentation.
- d. Rental agreements and invoices for office equipment or office space.
- e. Invoices for any costs claimed as an administrative expense.

## CACFP Instructions for Completing the Personnel Activity Report (PAR)

### Employee Section: (To be completed daily by the employee)

1. Print Name, Title and Month/Year at the top of the PAR.
2. On the appropriate date, record the number of hours worked for CACFP Administrative Labor\* and/or CACFP Program Labor in the appropriate column.

*\*Administrative hours should only be used if the expense is approved in the CNIPS budget*

3. Record the number of non CACFP hours worked under the, "Non CACFP Hours Worked" column.
4. Total the columns for each row and record the total under "Total Hours Worked" for each day claimed.
5. At the end of the month, sign and date the form to verify the information provided is correct.

### Sponsor Section: (To be completed by Director/Authorized Representative at the end of the month)

#### A. Hourly Paid Staff

1. Using the total of Administrative Labor\* hours worked on CACFP from the table; insert the administrative hours and multiply them by the hourly wage of the employee. Record the total in the blank provided (Total administrative CACFP Salary).

*\*Administrative hours should only be used if the expense is approved in the CNIPS budget*

2. Using the total of Program Labor hours worked on CACFP from the table; insert the program labor hours and multiply them by the hourly wage of the employee. Record the total in the blank provided (Total program labor CACFP salary).

#### B. Salaried Staff

1. Using the total of Administrative Labor\* hours worked on CACFP from the table; insert the administrative hours worked and divide by the total hours worked. Multiply the total by 100 and place the percentage in the blank provided (%). Then, multiply the total salary for the month by the percentage found above. Record the total in the blank provided (Total administrative CACFP salary).

*\*Administrative hours should only be used if the expense is approved in the CNIPS budget*

2. Using the total of program labor hours worked on CACFP from the table; insert the program labor hours worked and divide by the total hours worked. Multiply total by 100 and place percentage in blank provided (%) Then, multiply the total salary for the month by the percentage found above. Record the total in the blank provided (Total program labor CACFP salary).
3. Verify totals, sign and date form.

**Record the employee's name and amount of labor expense claimed on the  
*Record of Food Program Expenditures for the Month* form.**

## PERSONNEL ACTIVITY REPORT

Employee Name: \_\_\_\_\_ Title: \_\_\_\_\_ Month/Year: \_\_\_\_\_

**INSTRUCTIONS:** This form is for employees who spend part of their day working on Child and Adult Care Food Program (CACFP) activities. Each month, employees will record the number of hours per day spent on program labor activities related to the CACFP. Administrative labor may only be claimed if indicated and approved on the CNIPS application. Administrative Labor includes, but is not limited to: monitoring, record keeping, compiling data and completing the Claim for Reimbursement. Program Labor includes, but is not limited to: menu planning, grocery shopping, cooking, serving meals and clean up after meals. This form will be used in documenting a nonprofit food service operation.

TO BE COMPLETED BY THE EMPLOYEE									
Date	CACFP Administrative Labor	CACFP Program Labor	Non CACFP Hours Worked	Total Hours Worked	Date	CACFP Administrative Labor	CACFP Program Labor	Non CACFP Hours Worked	Total Hours Worked
1					17				
2					18				
3					19				
4					20				
5					21				
6					22				
7					23				
8					24				
9					25				
10					26				
11					27				
12					28				
13					29				
14					30				
15					31				
16					TOTAL				

I certify that this is an accurate record of the number of hours worked on the CACFP.

\_\_\_\_\_  
Employee Signature \_\_\_\_\_ Date

**TO BE COMPLETED BY CENTER DIRECTOR/AUTHORIZED REPRESENTATIVE**

**A. (HOURLY PAID STAFF)**

- 1. Total administrative hours worked on CACFP \_\_\_\_\_ x \_\_\_\_\_ (hourly wage) = \$ \_\_\_\_\_ (Total administrative CACFP salary)
- 2. Total program labor hours worked on CACFP \_\_\_\_\_ x \_\_\_\_\_ (hourly wage) = \$ \_\_\_\_\_ (Total program labor CACFP salary)

**B. (SALARIED STAFF)**

- 3. Total administrative hours worked on CACFP \_\_\_\_\_ ÷ \_\_\_\_\_ (Total hours worked) = \_\_\_\_\_ %  
Total Salary for month \$ \_\_\_\_\_ x \_\_\_\_\_ % = \$ \_\_\_\_\_ (Total administrative CACFP salary)
- 4. Total program labor hours worked on CACFP \_\_\_\_\_ ÷ \_\_\_\_\_ (Total hours worked) = \_\_\_\_\_ %  
Total Salary for month \$ \_\_\_\_\_ x \_\_\_\_\_ % = \$ \_\_\_\_\_ (Total program labor CACFP salary)

I certify that payroll records are on file that verify the total wages as listed above.

5. Signature of Center Director/Authorized Representative \_\_\_\_\_ Date \_\_\_\_\_

CFR 226.15(e)

## **RECORD OF FOOD PROGRAM EXPENDITURES FOR THE MONTH**

The Record of Food Program Expenditures for the Month form is used to record all CACFP costs. In order to justify the CACFP reimbursement received, institutions will keep this form, all receipts and the menu record, in the corresponding monthly folder. Each month, institutions will report their program costs on the claim for reimbursement.

The Record of Food Program Expenditures Form may be completed throughout the month or at the end of the month, as long as the form is complete before the claim is submitted.

### **CACFP Instruction for Completing the Record of Expenditures**

1. List the month, Sponsoring Organization, center and CNIPS Number.
2. Record the date, name of store/Food Management Company, food, quantity of milk purchased (in gallons) and any non-food Expenses (chronological order) as purchases are made.
3. At the end of the month, place information from all Personnel Activity Reports at the bottom of the form. The employee's name should be listed above the totals row under the "Name of Store, Vendor, Food Management Company or Program Labor" column and expenses for payroll under the Program Labor column.
4. If Program Administrative Costs are claimed, place information from all Personnel Activity Reports at the bottom of the form. The employee's name should be listed above the totals row under the "Name of Store, Vendor, Food Management Company or Program Labor" column and expenses for payroll under the Program Administrative Costs column.
5. File completed form in the monthly CACFP folder.

Available as an electronic form

Month

**RECORD OF FOOD PROGRAM EXPENDITURES FOR THE MONTH**

SPONSORING ORGANIZATION				CENTER		
CNIPS NUMBER						
Date	Name of Store, Vendor, Food Management Company or Program Labor	Food	Quantity of Milk; Gallons and/or Pints	Non Food	Program Labor	Program Admin. Cost
<b>Totals</b>						

\*FNS 796-2(IV) and 7 CFR 226.15 (e)(6)

## Reporting Expenses on the Monthly Claim for Reimbursement in CNIPS

### Options:

- **ALL Sponsors of a single childcare site:**
  - Report CACFP operating expenses on the site claim.
- **ALL Sponsors of multiple childcare sites:**
  - Report each site's CACFP operating expenses on the site claim, or
  - Combine CACFP operating expenses of all sites and report the total on one site claim. The number "1" must be reported on the remaining sites.
- **Non-school sponsor of both childcare and At-Risk site(s):**
  - Report each site's CACFP operating expenses on the site claim, or
  - Combine CACFP operating expenses of all sites and report the total on one site claim. The number "1" must be reported on the remaining sites.
- **Non-school sponsor of At-Risk only site(s):**
  - Report each site's CACFP operating expenses on each site claim, or
  - Combine CACFP operating expenses of all sites and report the total on one site claim. The number "1" must be reported on the remaining sites.
- **School sponsor of At-Risk only site(s):**
  - Enter "1" in each field of the Operating Expenses section of each site claim.

## **Monitor Reviews**

### **(For Sponsoring Organizations with more than one site)**

Monitoring sponsored centers for compliance with CACFP regulations is an important responsibility of Sponsoring Organizations. Sponsoring Organizations can also use monitor reviews to provide technical assistance when needed.

#### **Monitor Review Checklist:**

- ✓ **3 reviews conducted each fiscal year (Between October-September)**
- ✓ **2 reviews must be unannounced**
- ✓ **Time between reviews must not be more than 6 months (i.e. Oct., Feb., June)**
- ✓ **A meal service must be observed for at least 1 review**
- ✓ **Must ensure that review time is varied**

*A meal service must be observed during at least one of the monitor reviews conducted during the year. In accordance with USDA FNS Policy Memo CACFP 16-2011, sponsoring organizations must ensure that the timing of unannounced reviews is unpredictable. For example, unannounced reviews that always occur during the third week of January, third week of May, and third week of September are predictable. The review schedule should be varied enough that facilities staff are unable to anticipate the date/timing of the review.*

Sponsors operating both SFSP and CACFP At-Risk Meals are not required to monitor sites following the SFSP requirements during the summer and then monitor those same sites again following the CACFP requirements during the school year. Instead, such sponsors may follow the CACFP monitoring schedule year-round.

If sponsors choose to follow the CACFP monitoring schedule year-round, one of the three annual reviews must occur during the summer, review for SFSP requirements, include the review of a meal service, and be unannounced; two reviews must occur during the school year, review for CACFP requirements, at least one must include the review of a meal service, and at least one must be unannounced.

**The Monitor Review Form must be complete and have any/all Technical Assistance listed on the form. Serious problems indicating imminent health and safety issues must have a follow-up within 24 hours and reported to the proper licensing agency and/or health department immediately.**

**A copy of the At-Risk Meals Monitor Review form is available on the State Agency website:**



## Serious Deficiency (SD) Determination

### A. Serious Deficiency Process

CACFP regulations define seriously deficient as the status of an institution or a day care home that has been determined to be non-compliant in one or more aspects in its operation of the Program [7 CFR 226.2]. The serious deficiency process offers a systematic way for State agencies to take actions allowing institutions to correct serious Program problems and ensures due process. If institutions are unwilling or incapable of correcting serious problems, the serious deficiency process protects Program integrity by removing the institution from the Program and preventing the institution and RP/Is from returning to the Program until the approval to reapply for participation is granted by FNS.

The serious deficiency process has six steps that start when a State agency identifies a serious deficiency. The resolution will be either the correction of the problem and the issuance of a temporary deferment of the serious deficiency, or the institution's termination and disqualification from the Program.

The six steps in the serious deficiency process are:

1. Identify the serious deficiencies;
2. Issue a notice of serious deficiency;
3. Receive and assess the institution's written corrective action plan (CAP) for adequacy;
4. Issue a notice of temporary deferral of the serious deficiency if the CAP is approved, or issue a notice of proposed termination and disqualification, including appeal procedures, if the CAP is not adequate (or if no CAP plan is received);
5. Provide an appeal review (appeal hearing, administrative review), if requested, of the proposed termination and disqualification; and
6. Issue a notice of final termination and disqualification if the appeal is upheld or if the timeframe for requesting an appeal has passed, or issue a notice of temporary deferral if the appeal is overturned.

For more information, please refer to:

[https://fns-prod.azureedge.net/sites/default/files/CACFP\\_Serious\\_Deficiency\\_Handbook.pdf](https://fns-prod.azureedge.net/sites/default/files/CACFP_Serious_Deficiency_Handbook.pdf)

## Child and Adult Care Food Program (CACFP)

### National Disqualified List (NDL)

- **FOR NEW SPONSORING ORGANIZATIONS:** A compliance review may be performed in order to ensure an institution's compliance with federal requirements.
- Once trained in the federal requirements, an institution is given a first month visit to assist the new institution in achieving compliance.
- The institution will then receive an actual compliance review the following year.
- If the institution is found to be in compliance they will receive the next review within the next three years.
- If the institution is found to be deficient, they may be reviewed the following year.
- If the same deficiencies are discovered in any follow up review, the institution may be moved to intent to terminate.  
If terminated, the institution and responsible parties will be added to the National Disqualified list (NDL) and may not participate with the CACFP for 7 years.

Institutions will be notified of any deficits via email through a findings report.

- These findings must be addressed by the institutions through the submittal of a Corrective Action Plan. The Corrective Action Plan is due 30 days from the date of the email.
- The Corrective Action Plan must include the following information: What are the findings and the procedures that will be implemented to address the findings? Who will address the findings? List Personnel responsible for this task. When will the problem be addressed? Provide a time line for implementing the procedure (i.e., will the procedure be done daily, weekly, monthly, or annually, and when will it begin.) Where will the corrective action plan documentation be retained within the facility? How will the staff be informed of the new policies? Additional supporting documentation (i.e., policies and procedures that have been modified or implemented to ensure that findings are fully and permanently corrected) must be submitted with the corrective action plan.

*National disqualified list* means the list, maintained by the Department, of institutions, responsible principals and responsible individuals, and day care homes disqualified from participation in the Program.

*Presence on the National disqualified list.* If an institution or one of its principals is on the National disqualified list and submits an application, the State agency may not approve the application.

*Effect on institutions.* No organization on the National disqualified list may participate in the Program as an institution.

*Effect on individuals.* No individual on the National disqualified list may serve as a principal in any institution or facility or as a day care home provider.

*Removal of institutions, principals, and individuals from the list.* Once included on the National disqualified list, an institution and responsible principals and responsible individuals remain on the list until such time as FNS, in consultation with the appropriate State agency, determines that the serious deficiency(ies) that led to their placement on the list has(ve) been corrected, or until seven years have elapsed since they were disqualified from participation. However, if the institution, principal or individual has failed to repay debts owed under the Program, they will remain on the list until the debt has been repaid.

**AGREEMENT BETWEEN SPONSORING ORGANIZATION  
AND CHILD AND ADULT CARE CENTER  
FOR THE CHILD AND ADULT CARE FOOD PROGRAM (CACFP)**

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**INSTRUCTIONS:** Complete this form for each center in which the Sponsoring Organization administers the CACFP. (One copy of this agreement should be maintained on file by the Sponsoring Organization and one copy of this form should be given to the center.)

This Agreement is entered into this \_\_\_ **day of** \_\_\_\_\_, \_\_\_\_\_, by and between

---

(Name of Sponsoring Organization, CNIPS #)

(Address)

And \_\_\_\_\_ of \_\_\_\_\_

(Name of Center and FEIN Number)

(Address)

---

Phone Number

Cell Phone

E-mail Address

This Agreement specifies the rights and responsibilities of the Sponsor and the Center as participants in the U.S. Department of Agriculture's Child and Adult Care Food Program as administered by the Kentucky Department of Education.

**RIGHTS AND RESPONSIBILITIES OF THE SPONSORING ORGANIZATION**

In accordance with CACFP regulations, the Sponsoring Organization agrees to:

1. Maintain documentation that the Center is eligible to participate in the CACFP under one of the following conditions:
  - The Center is recognized in writing by the Internal Revenue Service as being exempt from the payment of federal income tax-501(c)(3)
  - The Center is a for-profit center, 25% of the Center's enrollment or license capacity, whichever is less, is comprised of low-income beneficiaries for each month in which meals are to be claimed for CACFP reimbursement.
2. All Centers that receive funds from the Child and Adult Care Food Program (CACFP) must have a current license/approval issued by the Kentucky Cabinet for Health and Family Services. If required, the sponsor, its employees, and all centers under its sponsorship shall be licensed pursuant to all applicable federal, state, and local laws, ordinances, rules and regulations. Proof of all licenses shall be provided to the Sponsoring Organization upon request.
3. Train the appropriate Center staff in program requirements and civil rights compliance before participation in the CACFP begins.
4. Offer at least one training session on the Child and Adult Care Food Program (CACFP) regulations per year. This training shall be conducted after the Sponsoring Organization's attendance at State Agency training.
5. Respond to the Center's request(s) for technical assistance or to correct program deficiencies identified during monitor review(s).

6. The Sponsoring Organization shall maintain and verify family size and income eligibility applications on the Center's participants who are enrolled for care.
7. Monitor Center operations to assess compliance with the meal pattern, record keeping and other program requirements. Monitor reviews will be conducted at least three (3) times within a twelve (12) month period. The monitoring schedule prepared by the Sponsoring Organization shall be varied and unpredictable. At least two of the three monitor reviews shall be unannounced, with not more than six months between reviews. At least one unannounced review must include observation of a meal service. At least one review must be made during each new Center's first four (4) weeks of Program operations. Should deficiency (ies) be identified during a monitor review, the follow-up review must be unannounced.
8. Maintain monitoring records concerning the location and dates of all compliance reviews conducted and scheduled, problems noted, and corrective action taken.
9. The Sponsoring Organization has the right and responsibility to visit the Center to review the meal service and any required records during the Center's hours of child care operations.
10. Notify KDE and the Cabinet for Health and Family Services of licensing violations observed.
11. Notify the Center in writing of the date to begin claiming reimbursement.
12. Provide current meal reimbursement rates to the Center. The reimbursement rates will be identified in separate correspondence from the Sponsoring Organization to the Center. The rates of reimbursement are adjusted each July by the US Department of Agriculture.
13. Submit initial monthly Claims for Reimbursement to the Kentucky Department of Education within 15 days of the close of each reporting month.
14. Notify the Center with a written explanation when reimbursement is deducted or delayed.
15. Distribute to the Center meal reimbursement payment(s) within five (5) working days after receiving payment(s) from the Kentucky Department of Education.
16. Assure that each private for-profit Center that participates under its sponsorship meets the 25% low-income eligibility each month. The Sponsoring Organization shall not claim reimbursement for the Center in any month in which the Center cannot document the 25% low income eligibility.
17. Not withhold reimbursement for administrative costs in excess of actual incurred administrative expenses or 15% of the total monthly reimbursement earned by the Center.
18. Ensure that Centers use all of the income solely for the operation or improvement of the Program and only for those administrative-related expenses permitted by the state and federal rules and regulations.
19. Maintain full and accurate administrative records at the Sponsoring Organizations main office, as indicated on the Sponsoring Organization's application. Upon request, fully cooperate to make all records pertaining to the Program available to State Agency, FNS, and the General Accounting Office for review and/or audit purposes. In addition to the current fiscal year, records shall be retained for a period of three years after the end of the fiscal year to which they pertain, except that if audit findings have not been resolved, the records shall be retained beyond the three-year period for as long as required for the resolution of the issues raised by the review and/or audit.
20. Provide CACFP record keeping forms to the Center and offer technical assistance in maintenance of these records.
21. Review all supporting documentation provided by the Center and ensure that all meals meet meal pattern requirements before the claim is submitted.
22. Ensure that the Center is in compliance with civil rights requirements.
23. The Sponsoring Organization has the right to terminate this Agreement for cause if the Center has failed, in a timely manner, to correct deficiency(ies) in its operation of the CACFP after the deficiency(ies) are identified in writing by the Sponsoring Organization. If a termination action is warranted, the Sponsoring Organization shall issue an Intent to Terminate Letter to the Center and to the State Agency at least thirty (30) days prior to the effective date of the termination. The grounds for Termination of the Center for cause include, but are not limited to, any of the following:
  - a. Noncompliance with Federal and/or State regulations established for the program;
  - b. The submission of false information to the Sponsoring Organization;

- c. Failure to maintain adequate records including, but not limited to;
    - i. Daily attendance records;
    - ii. Daily dated menus;
    - iii. Daily dated meal counts
  - d. The claiming of program payments for meals not served to eligible participants;
  - e. The claiming of program payments for meals not served to participants;
  - f. Service of a significant number of meals which did not include required quantities of all meal components.
  - g. Failure to allow access to the Center to conduct required monitoring and/or training and technical assistance;
  - h. A history of mismanagement in the CACFP; and
  - i. Violations of any responsibilities as defined in this Agreement.
24. The Sponsoring Organization may also immediately suspend this Agreement (including Program payments) after consultation with the KDE, if the health and safety of the CACFP participants or the public are imminently threatened by the Center.
25. The Sponsoring Organization may also terminate this Agreement for convenience. A termination of the Center for convenience may occur if the Sponsoring Organization determines that it is not administratively feasible to continue to sponsor the Center. The Sponsoring Organization must notify the Center and the State Agency in writing of such termination prior to the effective date. Notification must occur at least thirty (30) days prior to the effective date of the termination.
26. Maintain a financial management system in accordance with 7 CFR Part 226 and FNS 796-2, Rev.3.
27. Secure and submit an audit in accordance with OMB Circular A-128 (Public) of OMB A-110 (Private-nonprofit\_ which were issued pursuant to the Single Audit Act of 1984 (Public Law 98-502).
28. Ensure that the Center maintains a not for profit food service operation.
29. Maintain original Center records/documentation for three years, plus the current year.
30. Comply with civil rights requirements, In accordance with Federal law and U.S. Department of Agriculture policy, the facility is prohibited from discriminating on the basis of race, color, national origin, sex, age or disability.

### **RIGHTS AND RESPONSIBILITIES OF THE CENTER**

1. Submit documentation to the Sponsoring Organization that the Center is eligible to participate in the CACFP under one of the following conditions:
  - The Center is recognized in writing by the Internal Revenue Service as being exempt from the payment of federal income tax -501(c)(3)
  - The Center is a for-profit center, 25% of the Center's enrollment or license capacity, whichever is less, is comprised of low-income beneficiaries for each month in which meals are to be claimed for CACFP reimbursement.
2. Submit documentation to the Sponsoring Organization that the Center has a current license issued by the Cabinet for Health and Family Services.
3. Participate in pre-approval training of CACFP requirements conducted by the Sponsoring Organization.
4. Provide adequate staffing for efficient management of the CACFP.
5. Attend an annual training session on CACFP requirements. Owner(s) of for-profit centers and program contacts for all centers must attend annual training.
6. Provide and document training of all Center staff involved with the meal service and/or the CACFP regarding the Child and Adult Care Program (CACFP) regulations. The Center shall submit documentation of training to the Sponsoring Organization.
7. The Center must allow the authorized representative of the Sponsoring Organization, Kentucky Department of Education, FNS, and the General Accounting Office to come into the Center for the purpose of reviewing Child and Adult Care Food Program operations during normal hours of child

- care operation. These reviews shall be conducted with or without prior notification, and all authorized staff making such reviews must show photo identification.
8. Notify the Sponsoring Organization immediately of any changes in the Center's license or approved status, emergencies, interruptions of services, time of meal service, and personnel changes.
  9. The Center is required to maintain records in accordance with USDA, the Kentucky Department of Education, and Sponsoring Organization rules and regulations. These records shall include, but not be limited to:
    - a. Enrollment documentation, including current CACFP Enrollment Forms, for each participant enrolled in the Center.
    - b. Gather income applications for Free and Reduced Price Meals for each participant upon enrollment and classify eligibility.
    - c. Membership Roster that includes the names of all participants enrolled in the Center, their eligibility classification (Free, Reduced, Paid), that reflects the months each participant attends the Center for care.
    - d. Monthly Attendance Records for all participants in attendance.
    - e. Dated Menu Records
    - f. Record of Meals Served (17-9) completed after each meal service.
    - g. Record of food program expenditures for the month with invoices or itemized receipts.
    - h. Completion of Personnel Activity Reports on a daily basis for those Center staff that have duties other than the CACFP and are being claimed in program labor.
    - i. Copies of pay stubs for Center staff who are being claimed in labor and have no other duties besides CACFP responsibilities.
    - j. Conduct the appropriate procurement method yearly.
  10. The Center must certify and compile the following original documentation to the Sponsoring Organization by the \_\_\_\_\_ day of each month for the preceding month of operation. Failure to do so may result in the loss of payment for that month.
    - Any new income applications and CACFP enrollment forms;
    - A copy of the Monthly Membership Roster;
    - Attendance records;
    - Record of Meals Served (17-9);
    - Record of Expenditures(17-8);
    - Food/Non-food receipts;
    - Personnel Activity Reports
    - If the center is approved for more than two meals and one supplement or two supplements and one meal per participant per day; a Daily Meal Count Form must be submitted. This form must meet the following criteria: 1) must include the first and last names of all children in attendance, and 2) must identify, per child, each meal eaten for each day of the month.
  11. The Center shall operate a nonprofit food service program for the benefit of participants using all of the reimbursement accruing to the program solely for the operation or improvement of such a program and only for those food service-related purchases permitted by state and federal rules and regulations.
  12. The Center must claim for reimbursement only those meals which meet the Child and Adult Care Food Program requirements for age of participants being served, and for which they are approved.
  13. Claim for reimbursement only those meals that are served at locations approved by the Sponsoring Organization.
  14. Claim reimbursement only for those meals served to enrolled participants in membership.
  15. Claim for reimbursement only those meals that are served to eligible participants who are present at the meal service.
  16. The Center must comply with civil rights requirements.
  17. The Center must serve meals at no separate charge to enrolled children.
  18. The Center may not claim reimbursement for more than two meals and one supplement or two supplements and one meal per participant per day.

19. The Center agrees not to claim reimbursement for meals served to children who are over 12 years of age, unless the participant is a migrant under the age of 15 or handicapped persons under the age of 18.
20. The Center agrees to pay a monthly administrative fee to the Sponsoring Organization for managerial services of the CACFP. The Center agrees that the administrative fee shall not exceed 15% of the Center's monthly CACFP reimbursement. The administrative fee shall be deducted from the Center's total monthly reimbursement before reimbursement is issued to the Center.
21. The Center shall maintain necessary facilities for the storage, preparation and service of food and milk and ensure that sanitation health standards are in compliance with all applicable state and local laws and rules.
22. The Center has a right to submit a written complaint to the Kentucky Department of Education, Division of School and Community Nutrition, 2 Hudson Hollow, Suite B, Frankfort, KY 40601, should the Sponsoring Organization fail to comply with the terms of this Agreement.
23. The Center has the right to immediately terminate this Agreement for cause. A termination for cause must be presented in writing to the Sponsoring Organization when the Sponsoring Organization is deficient in its operation of the CACFP. A copy of this written notification is to be provided by the Center to KDE at least thirty (30) days prior to the effective date of termination. The grounds for termination for cause are exclusively limited to the following deficiencies of the Sponsoring Organization:
  - a. Noncompliance with the requirement to disburse meal program payments to the Center within five (5) working days of receipt of payment from KDE;
  - b. Noncompliance with the requirements to submit initial monthly claims to KDE within thirty (30) days of the close of each reporting month, which results in the untimely disbursement of program payments to the Center; and
  - c. Violation of any other responsibilities as defined in this Agreement.
24. The Center may also terminate this Agreement for convenience. A termination of the Agreement for convenience may occur if the Center determines that it is not administratively feasible to continue under the sponsorship of the Sponsoring Organization. The Center must notify the Sponsoring Organization and KDE in writing of such termination prior to the effective date. Notification must occur at least thirty (30) days prior to the effective date of the termination.
25. The Center agrees not to participate in the CACFP under another Sponsoring Organization or the State Agency while this Agreement is in effect.
26. The Center agrees to operate the CACFP in compliance with all information contained on the Center's site sheet approved by the Sponsoring Organization.
27. The Center must notify the Division of School and Community Nutrition if the Sponsoring Organization requires a donation, additional fee or administrative payment for services that exceeds 15% of the Center's monthly CACFP reimbursement.
28. The Agreement is subject to appropriation and availability of State and/or Federal funds. In the event that the funds are not appropriated or are otherwise unavailable, the Sponsoring Organization reserves the right to terminate the Agreement upon written notice to the Center. Termination shall not be deemed a breach of contract by the Sponsoring Organization. Upon receipt, of written notice, the Center shall cease all work associated with the Agreement. Should such an event occur, the Center shall be entitled to compensation for all satisfactory and authorized services complete as of the termination date. Upon such termination, the Center shall have no right to recover from the Sponsoring Organization any actual, general, special, incidental, consequential, or any other damages whatsoever of any description or amount.
29. Strict standards of confidentiality of records shall be maintained in accordance with the law. All materials and information provided to the Center by the Sponsoring Organization or acquired by the Center on behalf of the Sponsoring Organization, whether verbal or written, shall be regarded as confidential information in accordance with the provisions of the State law and ethical standards and shall not be disclosed. All necessary steps shall be taken by the Center to safeguard the confidentiality of such material or information in conformation with State law and ethical standards.



The Agreement is not valid until approved and signed by both parties.

We certify that the Center is not participating in the CACFP under another Sponsoring Organization or the Stage Agency. We agree to comply with the right and responsibilities outlined in this Agreement, and understand that this information is being given in connection with the receipt of federal funds. We agree that KDE may, for cause, verify the information in this Agreement, and that deliberate misrepresentation of the information in this Agreement may subject us to prosecution under applicable state and criminal statutes.

**NON PROFIT CENTER:**

\_\_\_\_\_  
Pastor, Chairman of Board, President or      Owner(s)      \_\_\_\_\_  
Date of Birth      Date

**FOR PROFIT CENTER:**

\_\_\_\_\_  
Owner/Director(s) Signature      \_\_\_\_\_  
Date of Birth      Date

**SPONSORING ORGANIZATION:**

\_\_\_\_\_  
Sponsor Representative Signature      \_\_\_\_\_  
Date of Birth      Date

## CACFP APPEALS PROCEDURE

### Section 1. Actions that May be Appealed (Child and Adult Food Care Program) (7 CFR § 226.6(k)).

- (1) An institution including an independent center or sponsoring organization on behalf of a facility under its jurisdiction, and responsible principals and responsible individuals, may appeal the following adverse actions pursuant to 7 CFR § 226.6(k)(2):
  - (a) Denial of a new or renewing institution's application for participation;
  - (b) Denial of an application submitted by a sponsoring organization on behalf of a facility;
  - (c) Notice of proposed termination of an institution;
  - (d) Suspension of an institution's participation;
  - (e) Denial of an institution's application for start-up payments or expansion payments;
  - (f) Denial of an advance payment;
  - (g) Denial of all or part of a claim for reimbursement;
  - (h) Notice of proposed disqualification of a responsible principal or a responsible individual;
  - (i) Recovery of all or part of an advance in excess of the claim for the applicable period;
  - (j) Decision by the Kentucky Department of Education, Division of School and Community Nutrition (division) not to forward to Food and Nutrition Service (FNS) an exception request by an institution for payment of a late claim, or a request for an upward adjustment to a claim;
  - (k) Demand for the remittance of an overpayment; or
  - (l) Any other action of the division affecting the participation of an institution in the program or the institution's claim for reimbursement.
- (2) Adverse actions not subject to appeal include the following adverse actions pursuant to 7 CFR § 226.6(k) (3):
  - (a) FNS decisions on claim deadline exceptions and requests for upward adjustments to a claim;
  - (b) Determination of serious deficiency;
  - (c) Division's determination that corrective action is inadequate;
  - (d) Disqualification and placement on the division's list and National disqualified list;
  - (e) Termination;
  - (f) Decision regarding removal from National disqualified list by the division or FNS;
  - (g) Division's refusal to consider an application submitted by an institution or facility on the National disqualified list.

### Section 2. Notice of Action. ((7 CFR § 226.6(k)(5))

- (1) The division must provide written Notice of Action to an institution's executive director and chairman of the board of directors, and the responsible principals and responsible individuals.
- (2) The Notice of Action shall give notice of the adverse action being taken or proposed, the basis for the action, and the procedures under which the institution and the responsible parties or responsible individuals may request an administrative review of the action.
- (3) The Notice of Action may be sent by certified mail, return receipt requested, e-mail or by facsimile.
- (4) The Notice of Action shall state that the appeal shall be made within the timeframe set forth in Section 4 of this policy and the appeal shall meet the requirements set forth in Section 3 of this policy.

### Section 3. Filing an Appeal.

- (1) A program institution, responsible principal, or responsible individual aggrieved by an adverse action of the division may appeal the adverse action by filing a timely request for an appeal. The request shall be filed with the Office of Legal, Legislative, and Communication Services, Department of Education, 300 Sower Blvd. 5th. Floor Frankfort, KY 40601

- (2) If the institution or responsible principals and responsible individuals want a hearing the institution of responsible principals and/or individuals must specifically request it in the written request for appeal otherwise the administrative review official will consider the appeal based on written information only.

#### Section 4. Appeal Timelines.

- (1) The request for appeal shall be written and shall be postmarked or received no later than 15 days after the date the notice of adverse action is received.
- (2) The division shall acknowledge receipt of the request for an appeal within ten (10) days of its receipt of the request.
- (3) Any information on which the division's action was based shall be available for inspection by the institution and the responsible principal and responsible individual from the date of receipt of the request for an appeal.

#### Section 5. Appeal Procedures.

- (1) The division shall forward any request for appeal to the Director of Administrative Hearings Branch, Office of the Attorney General for the Commonwealth of Kentucky to designate an administrative review official. The request for appeal shall be accompanied by a copy of the notice of adverse action sent by the division.
- (2) The administrative review official must be independent and impartial. This means that he/ she must not have been involved in the action that is the subject of the administrative review, or have a direct personal or financial interest in the outcome of the administrative review.
- (3) During the appeal process, the institution, responsible principal, or responsible individual shall:
  - (a) Self-represent;
  - (b) Be represented by legal counsel; or
  - (c) Be represented by another person.
- (4) The division's action shall remain in effect during the appeal process. However, participating institutions and sites may continue to operate the Program during an appeal, and if the appeal results in overturning the division's decision, reimbursement shall be paid for eligible meals served during the appeal process. However, such continued operation shall not be allowed during the pendency of the appeal if the division's action is based on imminent danger to the health or safety of children.
- (5) The institution and the responsible principals and responsible individuals may refute the findings contained in the Notice of Action in person or by submitting written documentation to the administrative review official. In order to be considered, written documentation must be submitted to the administrative review official not later than 30 days after receipt of the Notice of Action.
- (6) If a hearing is requested:
  - (a) The administrative hearing procedures of Kentucky Revised Statutes, Chapter 13B shall apply, except as provided in subsection (10) below.
  - (b) Except as provided in subsection (8) of this section, the institution, the responsible principal and responsible individual, and the division shall be provided with at least ten (10) days advance notice of the time and place of the hearing;
  - (c) If the institution's representative or the responsible principal and responsible individual or their representative fail to appear at the scheduled hearing, the right to a personal appearance before the designated hearing officer shall be waived unless the designated hearing officer agrees to reschedule the hearing; and
  - (d) A representative of the state agency shall be allowed to attend the hearing to respond to the testimony of the institution and the responsible principal and responsible individual and to answer questions posed by the designated hearing officer.

- (7) he designated administrative review official shall be make a determination based solely on the information provided by the state agency, the institution, and the responsible principal and responsible individual and based on federal and state laws, administrative regulations, and policies and procedures governing the program.
- (8) Within sixty (60) days of the division's receipt of the request for an appeal, or ten (10) days if the matter under appeal is a suspension of participation based on false or fraudulent claims, the designated administrative review official shall inform the division, the institution's executive director and chairman of the board of directors, and the responsible principal and responsible individual of the outcome of the appeal.
- (9) The determination by the administrative review official is the final administrative determination to be afforded to the appellant.
- (10) The final order of the administrative review official shall be subject to judicial review in accordance with Kentucky Revised Statutes Chapter 13B.140, except that:
  - (a) All appeals of a final order shall be filed in Franklin Circuit Court.

## TO DO LIST FOR NEW/RENEWING INSTITUTIONS

After attending State agency training, the sponsor must:

- Complete the online CNIPS application and submit to the State Agency.
- Conduct In-Service Training:
  - New Institutions- Prior to claiming meals.
  - Renewing Institutions- Prior to the new fiscal year and as new staff are hired.
- Complete Catering Procurement immediately following New Sponsor Training (if applicable).
- Complete the appropriate procurement prior to the new fiscal year.
- Display the “And Justice for All” poster in a prominent place.

Maintain the following records beginning the first day of participation:

- Daily Attendance Records
- Record of Meals Served
- Menu Records
- Receipts, Invoices, any documentation of food and non-food costs
- Personnel Activity Reports (if applicable)

**Please note that this list is not inclusive of all documentation that must be maintained.**

# CACFP At-Risk Meals Reference Sheet

Information Needed for Claim		
<p><b>Menus</b></p> <ul style="list-style-type: none"> <li>• Dated</li> <li>• Must meet meal pattern guidelines</li> <li>• Current month posted</li> <li>• Food must be creditable</li> <li>• Copies placed in monthly folder</li> <li>• All menus must be maintained</li> <li>• Substitutions must be noted at the beginning of the day.</li> </ul>	<p><b>Total Daily Attendance</b></p> <ul style="list-style-type: none"> <li>• Recorded daily</li> <li>• Participant’s full name</li> <li>• Meals served cannot be greater than the number of participants in attendance</li> </ul> <p>Total Daily Attendance for the month is reported on the monthly claim.</p>	<p><b>Record of Meals Served</b></p> <ul style="list-style-type: none"> <li>• Take meal counts during the meal service</li> <li>• Record on the Daily Meal Count form or Tally Sheet</li> <li>• Number of meals served must be totaled daily and monthly</li> </ul> <p>Total meals for the month are reported on the monthly claim</p>
Civil Rights		
<p><b>Public Notification System</b></p> <ul style="list-style-type: none"> <li>• And Justice for All</li> <li>• Non Discrimination Statement</li> </ul>	<p><b>Training</b></p> <ul style="list-style-type: none"> <li>• Must include Civil Rights training for all persons involved with CACFP food service</li> <li>• Required prior to start of any program duties</li> <li>• Performed annually and as needed for new staff</li> <li>• Documented and filed in appropriate folder</li> </ul>	<p><b>Grievance Procedures</b></p> <ul style="list-style-type: none"> <li>• Documents kept in accessible location</li> </ul>
Program Expenditures/Procurement		
<p><b>Food and Non-Food</b></p> <ul style="list-style-type: none"> <li>• Receipts                             <ul style="list-style-type: none"> <li>• Originals only</li> <li>• Program related items only</li> <li>• Purchases related to menu items</li> </ul> </li> <li>• Invoices from caterers, if applicable</li> <li>• Delivery Tickets, if applicable</li> </ul>	<p><b>Program Labor</b></p> <p>Personnel Activity Report</p> <ul style="list-style-type: none"> <li>• Completed daily by employee</li> <li>• Signed by employee</li> <li>• Pay Stubs are used for full time food service staff (i.e. full time cook)</li> </ul>	<p><b>Procurement</b></p> <p><b>Micro-Purchase Procurement</b></p> <ul style="list-style-type: none"> <li>• Keep receipts</li> </ul> <p><b>Small Purchase/Informal</b> Completed yearly; within first 4 weeks of fiscal year</p> <ul style="list-style-type: none"> <li>• 6 most commonly used items</li> <li>• 3 price comparisons</li> </ul> <p><b>Formal Bid Procurement</b></p> <ul style="list-style-type: none"> <li>• Completed yearly; within first 4 weeks of fiscal year</li> <li>• All vendor purchased items</li> <li>• 3 vendor comparisons</li> <li>• Contact State Agency for assistance</li> </ul> <p><b>Catering Procurement</b></p> <ul style="list-style-type: none"> <li>• See Catering Guidance</li> </ul>
Monitor Reviews		
<ul style="list-style-type: none"> <li>• Only necessary for sponsors with multiple sites</li> <li>• Completed within first 4 weeks of participation in the program</li> <li>• Must complete at least 3 per year per site</li> <li>• No more than a 6 month lapse between reviews (i.e. Oct., Feb., June)</li> <li>• Timing of visits should be varied</li> </ul>		