

Document Request Packet (DRP)

Records To Be Uploaded to TX-UNPS

Upload legible copies of the following records to TX-UNPS. **Records must be received no later than Date [25 calendar days from the sent date of the AR Engagement letter].**

Reference (**Select correct reference**):

Section 4530 –Types of Records, of the CACFP ADC/CCC/DCH Handbook

Section 4430 – Types of Records, of the CACFP At-Risk Afterschool Handbook

Section 340 –Review of Records, of the CACFP – CCC/ADC/At-Risk Afterschool Handbook

Section 5330 –Review of Records, of the CACFP –DCH Handbook

PROGRAM INCOME & EXPENSES

- Completed CACFP Financial Sampling Tool.
- Financial Statements and/or record management system to include:
 - Detailed General Ledger (GL) for PY2018 (October 1, 2017 – September 30, 2018), and Year to Date PY2019 (October 1, 2018 – Date of Review).
 - Balance Sheets for September 30, 2017; September 30, 2018; and the most current month available for PY2019.
 - Income Statement for PY2018 (October 1, 2017 – September 30, 2018), and Year to Date PY2019 (October 1, 2018 – Date of Review).
 - Detailed list of any year-end close out adjustments impacting the non-profit food service account(s).
 - Chart of accounts describing each GL account.
- Reconciled bank statements and credit card statements that support the CACFP Financial Sampling Tool expenses.
- Copies of the front and back of all canceled checks used for CACFP expenses.
- Copy of lease agreement(s) for buildings used for CACFP activities.
- Invoices, receipts, purchase orders, receiving reports and other supporting documentation for all CACFP expenses for PY2018 and PY2019.
- Depreciation schedules for equipment used in CACFP.
- Inventory records for CACFP food and supplies indicating costs.
- Contracts for any organization costs not provided under the **Procurement** section of this document.
- Most current approved CACFP budget.
- Compensation Policy for positions paid in whole or part with food service funds.
- List of all employees paid with program funds at any time during PY2018 or PY2019. Include full name, title/position, period of employment and pay rate.
- Time and attendance reports for all labor costs (salaries, wages & benefits) charged to the program for hourly or salaried employees, for part-time, full-time or piece work.
- Time Distribution records for all employees paid with program funds.
- Payroll report records on all employees paid with program funds that contain the following information: full name, Employee Identification Number (EIN), rate of pay, hours worked, benefits earned, overtime/incentive pay, gross pay, net pay, date of payment, method of payment and proof of payment via electronic deposit confirmation or processed payroll check.
- U.S. IRS Forms 941, Employer's Quarterly Federal Tax Return and/or Texas Workforce Commission documentation, for employees' withholding and social security paid in whole or in part with program funds.

- Detailed list of any bonuses paid with program funds during PY2018 and PY2019, along with date of payment.
- Copy of travel/transportation policy that describes allowable travel and transportation expense for program purposes, as well as method and rate of reimbursement for these expenses.
- Transportation mileage log or record that reflects at a minimum: personnel traveling, date of travel, beginning and ending mileage, destination and address, purpose of travel and any associated expenses.
- Documentation to identify all program income including claim advances, claim reimbursements, donations, interest earned on program funds, adult meal sales and any other sources of income.
- **Additional documentation for Sponsors:**
 - Sponsoring Organization Disbursement Record for the test month
 - Records to show payments made to sponsored centers for the test month.
 - **UNAFFILIATED SITE DOCUMENTATION (IF APPLICABLE)**
 - Articles of Incorporation, Assumed Name Certificate or Certificate of Formation
 - IRS 501 (c)(3) tax-exemption, if applicable
 - Organizational chart
 - Governing Body Awareness
 - Permanent Agreement Between Contracting Organization and Child Care/Adult Day Care/At-Risk Afterschool Site
 - Review Documentation to support that each site maintains:
 - A financial system that enables the review and monitoring of the non-profit food service
 - Written compensation policies for any operational personnel paid with CACFP funds
 - Time distribution records
 - Payroll records
 - Inventory, at least once a year, to calculate the cost of food used
 - Supporting records for all expenses paid with CACFP funds (e.g., receipts, invoices, rental agreements, etc.), including proof of payment

TRAINING

- Training records indicating the dates, topics, name and signature of attendees, location of training, and person conducting training for the last 12-month period.
- Documentation to support that new staff with CACFP duties are trained on the CACFP duties PRIOR to assuming those duties.
- Documentation to support that Civil Rights training was given to all staff within the past 12 months.
- **Additional documentation for Sponsors:**
 - Training Records indicating the dates, topics, names of participants, signature of participants, location of training, and person conducting training for the last 12-month period, prepared in the following manner:
 - New center's training.
 - Participating center's training, inclusive of all staff that perform CACFP duties.
 - CE's and sponsored center's new staff training – this applies to all staff that performs key CACFP activities PRIOR to beginning key CACFP activities.
 - CE's annual staff training.
 - Sample of the written documentation presented to sponsored centers to acknowledge their completion of training.

MONITORING

- Facility Pre-Approval Visit(s) for new centers added to your organization for the past 18 months.
- Monitor Review(s) for all centers for the past 18 months, along with all documentation supporting information recorded on form(s).
- Documentation for any household contacts conducted within the past 18 months.
- Food Service Management Company (FSMC)/Vendor Monitor Review for FSMC and/or vendors that you have/had contracts with within the last 12 months.
- **MONITORING FOR DAY CARE HOME SPONSORS**
 - Completed Forms H1607-P, Day Care Home Provider Pre-Approval Visit, for each provider who began participation within the 12 months preceding the test month.
 - Completed Forms H1607, Monitor Review, documenting the reviews conducted, for each provider along with documentation which support the information recorded on forms.

PROCUREMENT

- Copy of your written procurement policy and procedures.
- Copy of your written Code of Standards of Conduct; this may be part of your procurement procedures.
- Conflict of Interest Policy.
- Documentation of disclosure of any related party/less-than-arms-length transactions.

For purchases requiring formal competitive procurement process:

- A copy of bid specification package(s) that was given to all potential bidder(s); copy of bid selection and evaluation process and any other documentation to support purchasing decisions.
- Copy of Bid protest procedures.
- A copy of the final contract(s) for all competitive procured goods and services.

ADMINISTRATIVE RESPONSIBILITIES

- The most current TDA-approved Management Plan and all attachments to include program policies and procedures.
- Meal Edit Checks conducted for each center for the test month.
- An up to-date organizational chart that includes the names and functions for all current employees, board members officers, agents, consultants and employees involved in any aspect of the CACFP.
- Inventory records of food and non-food items that support your food program operation.
- Audit Reports and outstanding audit issues, if applicable.
- Documentation showing compliance with the requirement to distribute information regarding the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) annually to households with children enrolled for care.
- Documentation showing compliance with requirement to distribute the Parental Notification flier (Building for the Future) annually to households with children enrolled for care, including display of the English and Spanish versions of the flier where it can be easily seen.
- **ADMINISTRATIVE RESPONSIBILITIES FOR DAY CARE HOME SPONSORS**
 - Day Care Home Application Form, Agreement between Sponsor and Day Care Home Provider Form, and any amendments, with an attached copy of registration/license for all providers.
 - Written information for providers informing them of their appeal rights.
 - Copy of the most current appeal procedures.
 - All documentation relating to adverse actions that the CE has initiated/taken.
 - All provider appeal records and documentation regarding system for tracking appeals.

- Audit Report and outstanding audit issues, if applicable.

CIVIL RIGHTS

- Copies of brochures or materials developed for the public that discusses your participation in the CACFP and the non-discrimination policy.
- Documentation of potential beneficiaries by racial/ethnic categories and documentation of the source of the information.
- Documentation of current beneficiaries by racial/ethnic categories and eligibility categories.
- Name of the Section 504 Coordinator - (for CE's with 15 or more employees).
- Copy of your Grievance Procedure - (for CE's with 15 or more employees).
- Copy of your Complaint Procedure.
- Display of the required USDA Civil Rights Poster: This poster is required at the main office and center if they are in different locations. The poster must be displayed in a prominent area for the (general) public to see. (not for Day Care Home Providers)

SANITATION AND STORAGE

- Health Inspection Documentation.

ENROLLMENT

- An alphabetized list of children/adult participants enrolled in the center for the test month.
- CACFP enrollment forms (or other forms that are used to capture all the required CACFP enrollment information) alphabetized for all children/adult participants enrolled for the test month.
- Infant feeding preference forms, if applicable.
- Sign In / Sign Out sheets for the test month.
- Copy of your official Enrollment Policy.

ADULT DAY CARE

- Plan of Care records/Functional Impairment documentation for participants under age 60.

TIER DETERMINATIONS FOR DAY CARE HOME SPONSORS

- All documentation to support Tier determinations, including school data for the current and five preceding years.
- All Forms H1659, Notice to Providers of Tier Determination or alternate form.
- All approved and denied CACFP Meal Benefit Income Eligibility Forms.
- All CACFP Meal Benefit Income Eligibility Form Letters to Households.
- Documentation of eligibility for Tier I meals due to participation in an Early Head Start, Head Start or Even Start Program.

MEAL BENEFIT INCOME ELIGIBILITY FORMS

- Meal Benefit Income Eligibility Forms for children/adult participants claimed in the free or reduced-price category for the test month, prepared in the following manner:
 1. Pull only the eligibility forms for the children/adult participants claimed for the test month.
 2. Put the eligibility forms in alphabetical order for comparison to enrollment and attendance records.

NOTE: The Meal Benefit Income Eligibility Form is not required for children who only receive meals at an At-Risk afterschool care center.
- Meal Benefit Income Eligibility Form Letter to Households.

- Documentation of eligibility for free meals due to participation in an Early Head Start, Head Start or Even Start Program for all children claimed in the free category in the test month on the basis of Head Start or Even Start participation, if applicable.
- Documentation of area eligibility for at-risk afterschool care centers – if applicable.

DAILY MEAL COUNT AND ATTENDANCE RECORDS (ADC & CCC)

- Daily Meal Count & Attendance Records (Centers and Emergency Shelters), or alternate forms for the test month.
- Documentation to support field trip activities if they are being claimed for food program purposes.
- Documentation of Meals Served and claim consolidation records (including all sites) for the test month.
- Documentation to support second meals, if applicable.

DAILY MEAL PRODUCTION RECORDS (ADC & CCC)

- Daily Meal Production Records Child Care (H1530) or alternate forms for the test month. (CCC only)
- Daily Meal Production Records Infants (H1530-A) (CCC only)
- CACFP Infant Feeding Preference (CCC only)
- Daily Meal Production Records Adult Day Care (H1654) or alternate forms for the test month. (ADC only)
- Copies of Child Nutrition (CN) labels, Manufacturers Product Analysis/Product Formulation Statement or Manufacturer's Specification for processed combination foods.
 - Medical statements from licensed physicians for disabled children who require meal component substitutions. (CCC only)

MEAL SERVICE RECORDS (DCH)

- Forms H1539, Daily Meal Count, Attendance, and Meal Production Records, or alternate forms, for the test month and any month requested.
- Forms H1530-A, Daily Meal Production Record for Infants.
- Copies of Child Nutrition (CN) labels, Manufacturers Product Analysis/Product Formulation Statement or Manufacturer's Specification for processed combination foods.
- Documentation of special diets, if applicable.

TITLE XIX / TITLE XX ELIGIBILITY

- Documentation to support that at least 25% of the enrolled children or 25% of the licensed capacity (whichever is less) receive Title XX benefits or are eligible for free and reduced-price meals (for-profit centers only). CCC only
- Documentation to support that at least 25% of the enrolled adult participants received or are eligible for Title XIX or Title XX benefits.

PRICING PROGRAM, IF APPLICABLE

- Copy of form H4515-Free and Reduced Price Meal Policy Statement
- Copy of form H4515A- Collection Procedures
- Copy of Hearing Procedures

Be prepared to provide additional months of records, if requested.