CACFP TRAINING
Spotlight

DPI COMMUNITY NUTRITION TEAM

IN THIS HANDOUT:
ORGANIZING CACFP RECORDS

Maintaining accurate and organized records is necessary to support CACFP claims and show that CACFP requirements are met. This handout provides strategies for organizing records.

This handout is not applicable to family daycare home providers. Family daycare home providers must maintain records as specified by their sponsoring organization.

What Records Must Be Completed and Maintained?

Refer to the Required Documents List for a table of CACFP records each program type must complete.

CACFP records must be:
- Maintained on site, accessible during normal business hours, and available for review by DPI, USDA, or other state officials within one hour of arrival, announced or unannounced.
- Retained on file for the current plus three Federal Fiscal Years (FFY) (October 1 – September 30).

Notify your CACFP Consultant immediately if any records being maintained for the required retention period are lost, stolen, or damaged (i.e., flood or fire)!

Recordkeeping System

Participating in the CACFP means maintaining a large volume of records. It is important to have an organized recordkeeping system to ensure all required records are maintained, achieve CACFP compliance, and provide quick access to records when needed and during a CACFP review.

Consider the following when determining how to organize records:

Frequency of when records are completed: Records completed annually can be filed together in one folder or binder. Records completed monthly can be filed together in separate folders for each month.

Record type: File records in their own file or folder by category. For example, file monthly menus together in one folder. File all receipts/invoices together in a different folder. Consider using subfolders, for example, file receipts/invoices by store/vendor. At the end of the FFY, file all folders together in a storage box by FFY.

Use chronological and/or alphabetical order: File monthly claim support documents by month for the FFY (October through September). Organize Household Size Income Statements in alphabetical order, last name first. Sponsoring Organizations organize site monitoring forms by date, oldest to newest.

Provided below and on the next page is one way CACFP records can be organized. This system of organization uses all three methods from page 1.
This list is not all-inclusive of records that may need to be maintained.

Enrollment Records

Not Applicable to At-Risk Programs or Emergency Shelters. Head Start only programs only complete the CACFP Enrollment Form

File the following records together in a binder by FFY:
- ❑ Household Size Income Record
- ❑ Household Size Income Statements *(in alphabetical order by last name)*
- ❑ CACFP Enrollment Forms *(if applicable)*

Monthly Claim Records

File the following records together in a binder or file folder by month:
- ❑ Online Claim Summary Sheet *(printed from Online Services)*
- ❑ Claim Worksheet *(from GM 3)*
- ❑ Meal Count Records
- ❑ Infant Meal Forms
- ❑ Menus *(including meal substitutions)*
- ❑ Production Records *(not applicable to Emergency Shelters)*
- ❑ Delivery Records from Vendor *(applicable to agencies that purchase meals from vendor)*
- ❑ Claim Edit Checks (*Sponsoring Organizations only*)

File monthly folders by FFY (October – September)

Meal Support Documentation: Product Information

File product information (product package information or Child Nutrition Labels/Product Formulation Statements) for the below listed items in separate file folders or in a binder by product type (if using a binder, place labels in page protectors or three-hole punch).*
- ❑ Breakfast Cereal**
- ❑ Yogurt**
- ❑ Tofu**
- ❑ Whole Grain-Rich Foods *(More specifically, organize by item, i.e., Breads, Crackers)*
- ❑ Store-bought Combination Foods and Processed Meats

Refer to the following for information on product labels:
- • CACFP Training Spotlight: Product Labels for Cereal and Yogurt Sugar Limits
- • CACFP Training Spotlight: Documentation for Whole Grain Rich (WGR) Foods
- • Crediting Store-Bought combination Foods and Processed Meat/Meat Alternates

Best practice: Each month, keep a copy of labels of each item served with monthly claim records, i.e., attached to the menu.

*Labels for products no longer purchased and served can be moved to another file.

**School Food Authorities (SFA) operating At-Risk Afterschool Meals following the NSLP meal pattern do not need to maintain labels for breakfast cereal, yogurt, or tofu.

Financial Records

File the following records together in a binder or file folder by month:
- [ ] Record of monthly expenses *(i.e., DPI General ledger, report from accounting software)*
- [ ] Receipts/invoices for CACFP food and nonfood/kitchen supplies, other approved expenses
- [ ] Record of food donations / farmers market purchases
- [ ] Labor Time Sheets for CACFP Staff and Payroll Records

File monthly folders by FFY (October – September)

File the following records together in a binder or file folder by FFY:
- [ ] Copy of submitted CACFP Financial Report(s)
- [ ] Support documentation for CACFP Financial Report(s) *(i.e., General ledger; Profit and loss; other financial records)*
  - [ ] School Food Authority (SFA) Only: Report showing the use of Fund 50, Project Code 551 to track all CACFP revenue and expenses

Civil Rights Records

File the following records together in a folder by FFY:
- [ ] Race and Ethnicity Data Form(s) *(completed for each site)*
- [ ] Civil Rights Training Documentation *(attendance records, copy of training resource(s) used)*

Other Records

- [ ] File Special Dietary Needs documents (CACFP Special Dietary Needs Tracking Form* and corresponding attachments; i.e., medical statement or written statement from the family) on an ongoing basis. Keep records for current participants in one file. Records for participants no longer enrolled can be moved to another file.

School Food Authorities (SFA) operating At-Risk Afterschool Meals do not need to complete the CACFP Special Dietary Needs Tracking Form.

The following records can be filed in their own folder for the current year plus three years, or can be filed separately by FFY:
- [ ] Vendor Agreement(s) *(if contracting for meals from an outside source)*
- [ ] Board Meeting Minutes *(non-profit agencies & for-profit agencies with a governing board)*

Sponsoring Organization Records

File the following records together in a folder by FFY:
- [ ] Pre-approval Visit Forms (if applicable) and Monitoring Visit Forms *(completed for each site)*
- [ ] CACFP Annual Training Documentation *(dated training agenda, attendance records, copy of training resource(s) used)*

Storing Records Electronically

Agencies choosing to store documents electronically must ensure their electronic storage systems sufficiently preserve and maintain these records so they are legible and accessible for the required retention period. The agency must be able to print these records for DPI or USDA when requested. Programs that store records electronically should have written policies and procedures that include the 11 points listed on page 2 of DPI's resource: Electronic Storage of CACFP Records and Data.

Final Tips for Organizing Records

- How records are organized may be different depending on the size of your agency.
- Best practice is to keep all CACFP records together in one location. Sponsoring Organizations need to determine which records to keep at sites and which records to keep in the administrative office.
- Implement a system that works best and be consistent.
- Organize your filing space to help make it easy to find records.
- Color code your system: Use colored folders for different categories of records and subtypes of documents. For example, use blue folders for monthly claim records, green folders for civil rights documents, and orange folders for financial records.
- Label your filing system: Labeling folders and binders can help you quickly identify documents.
- Dispose of unnecessary documents after four years (three years plus the current year). This will help reduce the amount of paperwork.
- Store files electronically on a computer. Refer to *Storing Records Electronically* above.
- Use methods that work best for your agency. Consider using one or more of the following when filing records.

Binders

Storage Boxes

File Folders

Electronic System

Envelopes

Accordion Folders