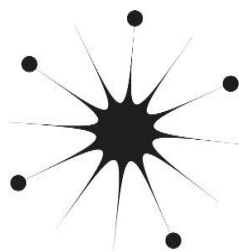


CACFP  
PROVIDER  
POLICIES  
&  
PROCEDURES



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## **SUBJECT: ENROLLMENT OF CHILDREN IN CACFP**

**POLICY:** All children claimed for CACFP meal reimbursement must have an enrollment form on file with SACCN; these will be updated yearly. SACCN will pay a claim for a particular child, only if that child has a valid enrollment form printed out and in our office for the month that it is needed. Children's enrollment forms can be processed using KidKare database or can be completed on hard copy forms and submitted to the office via email, postal mail or fax.

**PURPOSE:** To meet federal enrollment regulations.

### **PROCEDURES:**

- Enrollment forms will be supplied to the provider by SACCN.
- Provider will have each child's **parent** or **guardian** complete and sign the enrollment form. The provider will then submit completed forms to our office. As enrollment forms are received in our office, they will be reviewed for completeness. If any information is missing or inaccurate, the form will be returned to the provider to complete. When information is changed, the parent will date and initial the change
- The date that the enrollment begins is based on the parent's signature date on the enrollment form. This is the enrollment begin date to be entered in CIPS. The date must reflect the current claiming month in order for the child to be claimed in that month. For example if a parent signs enrollment for March 27, the enrollment will be in effect for the March claim- with an entry date March 1 (always date back to the first day of the month for all enrollments). In the event that an enrollment form is signed by the parent in the month prior to the current claim month, the enrollment form is still valid retroactively to the beginning of the month that it is signed in. For example if a provider submits an enrollment form for the March claim that has been signed by a parent in February, the child can be claimed during the month in which the enrollment form was signed; in that case an adjusted claim will be processed. The enrollment form is valid from the first day of the month that it was signed by the parent and can be processed as an adjusted claim during the 60 day claiming period.
- Meals for each child can be claimed once the enrollment forms have been received and are found to be completed fully and accurately.
- Prior to the pre-enrollment visit and each year thereafter, enrollment forms will be sent from our office to the provider with a return mailer. Participant reports will be run at the end of each month to track enrollments that are due to expire at the end of that month. Expiring enrollments will then be sent to providers, who will be responsible for having parents complete the enrollment forms and then submitting them to SACCN prior to the last day of the month in which the enrollments are expiring. (For example, a participant enrollment expiring 2/28 is sent to the provider on 3/1 with a deadline of 3/25 to be returned to our office).
- Providers are strongly urged to have parent complete enrollments as soon as they have been received, in order to ensure that the enrolled child(ren) are included for the current claim.

- Extra copies of the enrollment form can be left with the provider in the event that a child enrolls during the enrollment year.
- When a child is newly enrolled during current claim month, the provider will enter the child's name on the meal count/attendance summary sheet in the section labeled "Newly Enrolled Children".
- Children less than one year of age are required to have an enrollment form on file, even if the provider does not claim meals for that child. This facilitates the claim process once the infant turns one year of age, ensuring that all meals can be reimbursed. The names of infants not claimed needs to be written on the meal count/attendance sheet and included in your attendance total.

*Revised 6/09, 3/2014, 4/17,5/19, 9/22*

## **SUBJECT: ENROLLMENT OF CHILDREN IN CACFP**

**POLICY:** Meals served to the provider's own children may be claimed for reimbursement when certain conditions exist.

**The three conditions required in order for a provider to claim her own children are:**

- 1) The provider's own children must be **enrolled** and participating in the child care program **during the time of the meal service**
- 2) Other **enrolled nonresident children** must be **present** and **participating** in the same meal service, and
- 3) The sponsoring organization must have an income eligibility statement on file for the provider's household showing that the provider's household is **income eligible** or **categorically eligible**.
  - The term **“provider's own children”** refers to any children who reside in the household, such as the provider's own children by birth or adoption, grandchildren, or housemates' children, who are part of the economic unit.
  - *An economic unit is a group of related or unrelated people who share housing and/or all significant income and expenses of its members. Generally individuals residing in the same house are an economic unit. However, more than one economic unit may reside together in the same house. Separate income units in the same house are characterized by prorating expenses and economic independence from one another\**
  - Residential children living in the dwelling where care is given are reimbursable only if they are **tier one eligible** and **can be considered the provider's own**. (see **tiering determination process within tab 4 of this manual-for specific information related to eligibility requirements and procedures for provider's own children and foster children**).
  - If the provider has been determined to be eligible for Tier I rates-- due to area information (school or census data), the provider's own children will be eligible if the provider has been determined to be eligible by income or participates in a categorically eligible program.

*\*Eligibility Guidance for Family Day Care Homes, USDA Memo #119-97 (6/12/97)*

**SUBJECT: ENROLLMENT OF CHILDREN IN CACFP cont.**

**POLICY: Enrolled children** may be claimed for reimbursement until their 13<sup>th</sup> birthday. When they turn 13, they are no longer eligible for CACFP participation, unless they have a disability or require supervised care.

**PROCEDURE:**

In the case of a disability or special need of a child who is 13 years of age or older, SACCN requires a letter from a medical doctor, psychologist, social worker, or other professional who can attest to the child's need for child care. This supporting documentation is maintained in the provider's file and a tracking form will be maintained as well to ensure the annual updating of the professional's attestation letter at the time of the enrollment renewal. We recommend that providers contact SACCN for guidance with the documentation required

In order to "red flag" children who are turning 13, SACCN will run a CIPS report at the beginning of each month of all participants who are turning 13 during that month. At their birthdate, these children are inactivated and the provider notified of the enrollment changes.

*New policy 2008, rev. 2014, 6/17,5/18*

## **ENROLLMENT OF CHILDREN IN CACFP cont.**

**POLICY:** An employee's child of a family child care provider is eligible to be claimed in CACFP as a non-resident child, but the child must be enrolled and participating in the child care program.

### **PROCEDURE:**

A FDCH employee's child can be claimed as a non-resident child when the child is enrolled in care at the same day care site:

- The child is treated the same as any other non-resident child in the FDCH: therefore, the parent or guardian must complete the Day Care Home Enrollment Form (DOH-4419).
- The child is claimed according to the Tier determination status of the home if the FDCH is Tier II, an income eligibility application (DOH-4160) would need to be completed for the employee's child and submitted to the sponsor who will determine if the household income qualifies for Tier I.

When the FDCH is licensed to the owner but is actually located at the employee's home, the resident children are considered non-residential and would be claimed according to the Tier status of the FDCH.

- The employee's child is never considered provider's own or a resident child for CACFP purposes.
- However, at least one other non-resident child must be present for any resident child to be claimed.

*Policy written 6/09  
Based on DOH-CACFP number 127*

**SUBJECT: ENROLLMENT OF CHILDREN IN CACFP cont.**

**POLICY:** Family Day Care Providers will provide information regarding the benefits and importance of the WIC program to families with children under the age of six years.

**PURPOSE:** To meet USDA requirements for the distribution of program information.

**PROCEDURE:**

The CACFP staff of SACCN will give all providers a supply of the WIC pamphlet entitled “Find Out More About WIC” during the first training visit.

Providers will give one to each current family enrolled in his/her day care program, and to families who enroll at a later date.

Each year at the renewal visit, staff will provide pamphlets for the upcoming year.

Pamphlets can be provided to families who speak a first language other than English. Requests for specific languages can be made through the CACFP staff.

**POLICY:** Family day care providers are required to notify parents or guardians that their home participates in CACFP and about the benefits of this program.

**PURPOSE:** To meet USDA requirements for the distribution of program information.

**PROCEDURE:**

The CACFP staff of SACCN will give all new providers a supply of the flyer entitled “Building for the Future” for distribution to the families of their currently enrolled children.

When new children enroll in participating family day care homes, the provider will give the new families this flyer.



**SUBJECT: ENROLLMENT of CHILDREN cont.**

**POLICY:** Providers will have parents put in writing, any changes to the hours and meals claimed. These changes will be attached to the original enrollment form(s) for each family.

**PURPOSE:** To ensure that enrollment records are accurate and up-to-date.

**PROCEDURE:**

Parents will inform CACFP of any changes to the schedule that children are in care- including those meals that children will be in attendance for. A mini-version of the DAY CARE HOME ENROLLMENT FORM is available for this purpose, although a hand written note, email or phone call will be accepted as well.

**ENROLLMENT FORM CHANGE**

CHILD CARE HOME PROVIDER'S NAME \_\_\_\_\_

CHILD(REN'S) NAME(S) \_\_\_\_\_

MEALS Child(ren) normally receive while in care:

Breakfast  AM Snack  Lunch  PM Snack  Supper  LN Snack

Expected Days of Care	Drop-off time	Pick-up time	Check if attends on Non-School Days
Monday			
Tuesday			
Wednesday			
Thursday			
Friday			
Saturday			
Sunday			

Parent/Guardian Name \_\_\_\_\_ Date \_\_\_\_\_

2011, Rev. 9/22

**Subject: Enrollment of Children in CACFP- Legally Exempt specific**

**POLICY:** Legally Exempt Providers will inform the Food Program of their relationship to the children who are in their care (relative or non-relative).

OCFS regulation stipulate that child care provider is considered legally exempt as long as he/she has no more than 2 non-related children in care for more than 3 hours per day. The maximum number of children who can be enrolled at one time is 8 for any period of time greater than 3 hours.

**PURPOSE:** To ensure that Legally Exempt providers are following the New York State Child care capacity regulations.

**PROCEDURE:** On the children's enrollment form, place an "x" in the box for "child is related to provider" and/or for provider's resident child.

More than 2 non-related children may meet capacity requirements if they are in care for less than 3 hours at the same time; therefore, these children can be claimed for food reimbursements.

**SUBJECT: Legally Exempt Providers Who No Longer Have Subsidized Children In Care.**

**POLICY:** A CACFP enrolled provider whose subsidized child(ren) have left care is permitted to claim children in care through the remaining period of Legally Exempt enrollment as long as at least one child other than the provider's own child remains in care.

**PROCEDURE:** When Food Program Staff become aware that a child whose family receives child care assistance is no longer in care, the provider will be informed that he/she can remain in the program through the remainder of the Legally Exempt enrollment year, in accordance with NYS DOH Regulations.

In some cases, when the children to be claimed have irregular schedules, the provider and staff will work out an arrangement to ensure that unannounced visits happen when child are in care. This arrangement may vary according to the situation, but in most cases, the provider will contact the office at set time intervals to inform staff of the child care schedule.

Additional unannounced monitoring visits may be made as determined necessary to ensure compliance with this regulation.

For a CACFP enrolled provider to continue to claim when there are no longer any children whose family's receive child care assistance, he/she will need to agree to the conditions indicated above in writing. Sample agreement form is attached.

*3/1/09, Revised 9/22*

# CACFP

## Legally- Exempt Provider Agreement

### **Children no longer in care (whose families received child care assistance)**

**Provider's name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

I am not caring for any children currently whose families receive child care assistance. My legally Exempt enrollment status is valid through \_\_\_\_\_ (enrollment expiration).

If I do not have any subsidized children in my care by the above date, I understand that my enrollment in the CACFP will be closed. I also understand that to claim for meals, I need to be caring for at least one child other than my own.

In some cases, a visit plan is necessary to ensure that unannounced monitoring visits can be made during times when children are in care. The most frequent reason for this plan is that the provider's schedule is irregular.

Visit Plan (if needed):

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Provider's Signature \_\_\_\_\_ Date \_\_\_\_\_

Staff Signature \_\_\_\_\_ Date \_\_\_\_\_

Rev. 9/22

## **SUBJECT: HEALTHY CHILD MEAL PATTERN**

**POLICY:** In accordance with DOH-CACFP policy # 190H and 190C, and #196, all of which supercede policy # 132 H, providers will be required to meet Healthy Child Meal Pattern Requirements in child care settings. Child care programs will promote healthier eating by serving a variety of nutritious foods and by reducing the amount of fat and sugars served.

**PURPOSE:** Obesity is an epidemic in New York State, one that begins in the early childhood years. Serving healthy foods to children may reduce the prevalence of overweight children by promoting healthier life patterns that they will carry into adulthood.

### **1. Milk**

- Children ages 1-5 will be served only unflavored milk.
- For children 1-2 years of age, the milk will be whole.
- For children 2 years and older, the milk will be fat free or low fat (1%).

### **2. Vegetables and Fruits**

- Breakfast must include a serving of vegetable or fruit.
- Lunch and Supper must include a serving of a vegetable and fruit OR two servings of different vegetables.
- At snack, two different components must be served. Offering a vegetable and fruit counts as two different components. However, offering two different items from the same component does not count as a reimbursable snack. For example, sliced apples and celery sticks would count as a reimbursable snack, but orange juice and apple slices would not.
- A snack cannot consist of only two beverages. (Example: juice and milk)
- Only one serving of 100% juice may be served per day to children 1 year and older.
- The minimum creditable amount for vegetables and fruits is 1/8 cup. Small amounts (less than 1/8cup) used as garnishes or in soups, stews, sandwiches and salads may not be counted to meet the vegetable or fruit requirement.
- Beans may be counted as a vegetable or meat alternate. However, one serving of dried peas or beans cannot be counted as a vegetable and meat alternate in the same meal.
- Home-canned products are not allowed because of food safety concerns.

### **3. Grains/Breads**

- All grains/breads must be whole grain OR enriched.
- At least one serving of the bread/grain component per day must be whole grain rich. Menus must specify when the grain is whole grain rich. (WGR)
- The grain/bread must be recognizable as part of the dish (such as a dinner roll, spaghetti, rice or taco shells). Items such as breadcrumbs in meatloaf do not qualify as meeting the Grains/Bread requirement.
- Grain/Bread requirement at Breakfast may be replaced with a meat/meat alternate up to 3 times per week.

- Cereal cannot contain more than 6 grams of sugar per dry ounce.
- Grain-based deserts including cookies, pies, doughnuts, cereal and granola bars, sweet rolls, toaster pastries, cakes, and brownies are not creditable.

#### 4. Meat/Meat Alternative

- A serving of meat/meat alternate must be served at lunch and supper.
- A meat/ meat alternate may also be served as one of the two components at snack.
- Meat and meat alternates may be substituted for grains at breakfast up to three times per week.
- Meat includes lean red meat, poultry or fish that has been inspected and approved by the appropriate State or Federal agency. Some examples of meat alternates that are creditable include: cheese, yogurt, cottage cheese, eggs, commercially prepared tofu, cooked dried beans, legumes, nuts and seeds and their butter.
- Tofu that is incorporated into drinks (such as smoothies) or added to dishes to improve texture may not be credited toward the meal pattern requirement.
- Yogurt can be plain, flavored, sweetened or unsweetened; but it cannot contain more than 23 grams of sugar per 6 ounces.
- Nuts and Seeds may fulfill no more than one-half of the meat alternate requirement for lunch and supper. Nuts and seeds may fulfill the entire meat alternate requirement for snack.
- Frankfurters, bologna, knockwurst or Vienna sausage must be 100% meat or contain alternate protein products (APP) as the only binder or extender. However, due to the high salt and fat content, these meats are not recommended.
- Processed meats with binders and extenders such as starchy vegetable flour, dried milk, calcium-reduced skim milk and cereal are not allowed.
- Cheese items labeled 'cheese products' or 'imitation cheese' may not be counted as the meat alternate.

#### 5. Other

- All CACFP-participating programs must offer and make drinking water available to children throughout the day.

### **IS THAT FOOD CREDITABLE?**

To determine if a food is creditable, follow these guidelines:

- Check the CACFP Crediting Food Guide
- Look at the ingredient list
- Ask provider about the recipe

## **SUBJECT: HEALTHY INFANT MEAL PATTERN**

### **Policy:**

In accordance with DOH-CACFP regulations, child care providers are required to offer CACFP approved meals to each enrolled child in care during the meal services period. This applies to children of all ages including infants.

For the purposes of CACFP, an infant refers to a child from birth to his/her first birthday.

The CACFP Healthy infant meal pattern requires infant formula or breast milk. Family child care homes must **offer** age-appropriate solid foods, and at least one iron-fortified formula that would satisfy the needs of one or more infants in care. The infant's parent or guardian may decline the formula and/or food being offered and supply all or part of the infant's meal.

### **Procedures:**

Each provider is required to select at least one iron-fortified formula to offer to the parents/guardians of infants in care. For example, a provider might choose Target's store brand as the formula he/she is offering.

As part of the Child Enrollment Form (DOH-4419), parents complete the Infant Feeding Statement. This statement documents who (parent or provider) will be supplying the formula/breast milk, and who (parent or provider) will supply the solid foods for the infant while in care. Providers will revisit this form with the parent/guardian at 6 months and as the infant ages, and will notify SACCN to any changes in the infant feeding statement.

### **What infant meals are eligible for reimbursement?**

**1. Infants birth through 5 months:** ( Infant Menu Not Required) Meals and snacks consumed by an infant in care may be claimed for reimbursement whether the infant is fed breast milk, formula or a combination of both. **This applies even if the parent or guardian has chosen to supply the formula or breast milk for the infant.** If a breastfeeding mother comes to the family child care home to nurse her own child, the meal can be reimbursed. Meals may also be claimed if the provider's assistant or employee nurses her infant during working hours.

**2. Infants 6 months through 1<sup>st</sup> Birthday:** (Infant Menu Required) Once the parent or guardian has requested the provider start solid foods for his/her infant, **the meal is reimbursable only if**

- The meal contains all components as required by the meal pattern, once the infant is developmentally ready to consume them.
- The meal contains creditable foods.
- At least the minimum quantity of each component is served.

#### **AND**

- The provider is supplying either all of the formula and/or all of the solid food.

\*If the parent or guardian is supplying formula or breast milk and all solid foods for his/her infant age 6 months and older, the meal **cannot** be claimed for reimbursement.

**3. Claiming resident/own children:** A provider may claim a resident infant when non-resident children are present and the provider's household is income eligible based upon the completion of the Income Eligibility form (DOH-4161). If a provider nurses her own infant from birth to 6 months, she may claim the infant's meals and snacks.

#### **More information regarding feeding infants in the CACFP**

- Providers may choose any brand of infant formula as long as it is iron-fortified.
- Bottles and nipples need to be sanitized between uses.
- As with other items needed for a meal service, parents cannot be asked to supply bottles for feeding.
- The NYS OCFS prohibits the heating of any food for infants in a microwave oven because some spots in the food or liquid may become superheated and burn the infant's mouth.
- Providers do not need to buy commercial baby food. It is acceptable to serve foods that have been mashed or pureed to the appropriate texture for infants.
- When the formula offered by the provider is declined by the parent, the parent will supply their own formula. If the infant requires a special formula and the infant meets the definition of a person with a disability, the provider must supply and pay for the formula if the parent or guardian requests this. In this case, a medical professional will need to document the infant's disability and indicate the type of formula needed.
- Infants, who receive benefits through the WIC Program, must be offered infant meals as with any other child in care.
- NYS DOH encourages new mothers to breastfeed their infants. CACFP encourage sponsors and family child care home providers to support breastfeeding families.

*Revised 5/18, 9/22*

## **SUBJECT: MAINTAINING MONTHLY MENUS**

**POLICY:** Menus will be completed on a daily basis, as meals are served.

**PURPOSE:** To represent an accurate picture of meals served.

**PROCEDURES:** If menus are ever done in advance, providers are reminded to correct the menu, if the actual day's menu doesn't match. Cycle or rotating menus are not encouraged.

**NOTE: Most providers now will be using the KidKare database to enter food claim information. The following procedures, related to completing the paper menu forms, are intended for those providers who do not have access to the internet and are using paper forms and submitting them via postal, email or fax. KidKare procedures are contained within the KidKare manual.**

### **Completing the paper menu forms...**

- **Month, Provider's Name:** Fill-in current month and year. Use provider name as it appears on the NYS registration, license or approval notice (for legally exempt).
- **Day and Date:** Fill in the day of the week and the date at the top of the column for each day meals are served and claimed. Begin the month on the first day children are present in the first space; it is not necessary to skip spaces for days not claimed, holidays or weekends. Be sure that the day of the week and the date match. Complete menu to the last day of the month children are in care and meals are claimed. The CACFP month does not end on the last weekend of the month, but rather on the last calendar date that meals are served.
- **Meal Times:** The time meals are served must be recorded. There is a place for time/times on the menu sheet. If meals are served in shifts, times must be recorded for each shift.
- **Completing the Daily Menu:** List **all** required foods served at each meal. (Refer to *The Child Meal Pattern* form in the provider manual). Only complete menus with creditable, required components can be reimbursed. (Refer to *Crediting Foods in CACFP*, also found in the provider manual.) It is not necessary to list non-creditable foods that are served as "extras", or to complete menus for meals that are not claimed for reimbursement. Please indicate that water has been made available throughout the day, with a check mark on the "water" line each day. At least one serving of grain each day must be a whole grain and indicated on your menu as WGR.



- **Required components for each meal/snack:**

**Breakfast**—Fill in the three required components on designated lines. Juice, fruits and cereals will be listed by name (i.e. the type of juice = Apple Juice, the type of cereal = Cheerios, the type of fruit = banana). Note that milk is required at breakfast. A meat/meat alternate can be offered in place of a grain up to three times per week.

**Snacks**—Two **different** components must be served for snack. These can be selected from the five components listed on the menu. Milk **and** juice may not be served together as **the two** components of snacks.

**Lunch or Dinner**—Five components are required for these meals, and are to be recorded in the designated lines. Combination foods may only be claimed as three of the components. Note that milk is required at lunch and dinner.

4/14 Rev. 5/18, 9/22

## **SUBJECT: MAINTAINING CACFP MEAL COUNT/ATTENDANCE**

**POLICY:** Daily meal count sheets will be filled out each day, as meals are served; the numbers recorded will reflect the number of children present for each meal.

**PURPOSE:** To present an accurate picture of the number of meals claimed.

**PROCEDURE:** Providers may claim a maximum of three meals/snacks per day **per child**. This could be **two meals** and one snack or **two snacks** and one meal. It is not necessary to claim all three in order to participate. Some children may not be in care at meal times, such as a school aged child who is only present for PM snack.

**NOTE: Most providers now will be using the KidKare database to enter food claim information. The following procedures, related to completing the paper menu forms, are intended for those providers who do not have access to the internet and are using paper forms and submitting them via postal, email or fax. KidKare procedures are contained within the KidKare manual.**

### **Completing the meal count/attendance sheet...**

- **Name and Age Column:** Fill in the **first and last name of each child** enrolled in care that will be present and claimed for meals. Be sure to **enter the child's Date of Birth** next to his/her name.
- **Time Column:** Record the **time** the child **arrives** and **leaves** each day. It is important that there is a record of the time the child is present and claimed for meals. Since the provider may only be reimbursed for numbers within their registered/licensed capacity, it is necessary to be able to show that meals are served in shifts. When some children have left and others have arrived, this needs to be documented. At the end of the day, the total number of children in attendance and claimed for meals will be recorded in the space at the bottom of the **Time Column**.
- **Meal Count/Attendance Column:** Check off each meal claimed for each child. At the end of the day, total the number of meals in each column and record that number in the total box. Be sure no more than three meals have been claimed per child.

**Infants** less than one year old must be included on the meal count/attendance sheets, even if they are not claimed for meals. This is because they are included in your capacity determination.

- **Provider's Own Children (non-school age)** who are present during day care hours must be listed on the meal count attendance sheet, even if they are not claimed for meals. Record their names and place an "F" for family by the name. Provider's own children are not included in daily total attendance, unless they are claimed for meals. Conditions for claiming meals for provider's own children are included in the Enrollment Section of this manual.

*1/08, 05/18, 9/22*

## **SUBJECT: CACFP MONTHLY SUMMARY SHEET**

**POLICY:** A monthly summary will accompany all claims submitted

**PURPOSE:** To represent the provider's tally of the months claim in accordance with State CACFP regulatory guidelines.

**NOTE: Most providers now will be using the KidKare database to enter food claim information. The following procedures relate to completing the summary sheet, which is intended for those providers who do not have access to the internet and are using paper forms and submitting them via postal, email or fax. KidKare procedures are contained within the KidKare manual.**

### **PROCEDURE:**

**Name and Phone Number:** Enter the provider's name (**not** the Day Care name) as it appears on the NYS registration/license. List a phone number where you can be reached during day care hours.

**Claim month and year:** This is the month just completed.

**Total number of children present for care:** This is the number of children who actually were in the provider's care for the month. You might have children who are enrolled in your care but did not come at all during the month; these children would not be counted.

**Total attendance for the month:** Add the total number of children present each day. This number is found in the "**totals**" at the bottom of the "**time (in/out)**" column on the meal count/attendance sheet. This will likely be a fairly large number.

**Total meals claimed for reimbursement:** This is the total by meal or snack of all meals claimed for the month. Each day's totals are added together at the end of the month and recorded in the space for each meal. Snacks will be recorded as AM, PM, or EVE.

**Children new to your care and children who left your care:** Any child new in the provider's care must have an enrollment form signed by the parent –and on file in our SACCN office in order for payment to be made. The name of any child who has permanently left the provider's care, will be removed from the enrollment. If a child will return at any time, even a day or two, the names will be left on the enrollment in order that he/she can continue to be claimed.

**List the dates that school age children are present:** At any time during the school year when school age children are present during regular school hours, indicate the date and the reason (school conference day, snow day, school holiday, etc.) for their attendance. It is not necessary to list the names of the children.

*1/08, 9/22*

## **SUBJECT: FOOD CLAIM PROCESSING/REIMBURSEMENT**

**POLICY:** The Provider will complete menus and meal count/attendance sheets daily, as meals are served.

**PURPOSE:** To ensure accuracy and effectiveness in required record keeping.

**PROCEDURE:** Providers will complete menus and meal counts each day that children are in care. During monitoring visits, meals that are not recorded will be disallowed for the current claim.

**POLICY:** At the end of each month (the last day of the month that children are in care) the provider will total meals and attendance, submitting these records to the local CACFP office (SACCN) by the predetermined deadline date.

**PURPOSE:** To ensure that the provider's monthly claim is processed and submitted to the state office for reimbursement within the established timeframe.

**PROCEDURE:** Once the provider has tallied meal counts and attendance sheets, and has completed the summary sheet, this information is submitted in its' entirety, to the local CACFP office (SACCN). The deadlines for submission of claims are distributed to providers at the beginning of each new calendar year.

The completed claims are reviewed by the SACCN office and then forwarded to the state CACFP office at the NYS Department of Health in Albany. This process takes a few days. Once we have the reimbursement check from the state office, SACCN mails individual checks within 5 business days to the providers in the program. Note that holidays and vacation schedules may occasionally delay the issuing of checks.

**Certification of claim documentation : *Providers will read this statement carefully, as it is their certification that they have followed the guidelines of the State CACFP office, and that the claim submitted is truthful and honest in the meals served and numbers claimed. Falsification of information with the claim may result in the provider's termination from the program.***

**SUBJECT: FOOD CLAIM PROCESSING/REIMBURSEMENT**

**SAMPLE REIMBURSEMENT TIME LINE**

Jan. 1-31	Provider records menus and attendance on a daily basis throughout the month.
By Feb. 5	Provider sends January claim (menu, meal count, and summary sheet) to SACCN.
By Feb.15	SACCN staff review and process claim, and send to state CACFP.
By Late Feb.	Provider reimbursement checks for the January claim, are mailed out.

\*In the case that this is a provider's first claim submission, the above process will likely be delayed due to initial enrollment procedures.

**SUBJECT: FOOD CLAIM PROCESSING/REIMBURSEMENT cont.**

**POLICY:** In order to claim meals, providers' licenses, and in the case of legally exempt providers-- enrollment approvals, must be up to date.

**PROCEDURE:** CACFP will coordinate with state agencies to ensure that required licenses/enrollments are current.

**POLICY:** When a submitted food claim indicates more children than the agency is aware of (has enrollment forms for), in accordance with CACFP regulations, extra meals due to the overcapacity and/or absence of enrollment forms, will be disallowed.

**PROCEDURE:** The provider will be notified of this in writing.

**POLICY:** When claims submitted indicate that the number of children listed exceeds the capacity allowance, the provider will be contacted by the local CACFP staff and in some cases the licensing office. Because over capacity is a violation of OCFS licensing regulations, the local CACFP office (SACCN) is mandated to inform the licensing office of the suspected violation.

**POLICY:** In the event that a claim is received with missing information or documentation and time does not allow the collection of this information before the claim's deadline, the sponsoring agency reserves the right to process this claim as an adjusted claim.

**PROCEDURE:** With FAXED claims, occasionally portions of the paperwork do not come through. To ensure that the entire claim has been received, the provider is requested to alert the agency just before the paperwork is faxed. If you have scanned and EMAILED your claim and have not received a confirmation, please follow up with a phone call to SACCN to ensure that it has been received.

**SUBJECT: FOOD CLAIMS PROCESSING/REIMBURSEMENT when claim received after the deadline for submission.**

**POLICY:** Food claims received after the monthly submission deadline will be processed as an adjusted claim.

**PROCEDURE: Adjusted claims** will be sent to the state CACFP within the 60 day submission deadline set forth by the NYS CACFP office.

**POLICY:** All food claims (original and upward adjustments) must be submitted by the local CACFP to the state CACFP no later than 60 days following the last day of the claim month.

**PROCEDURE:** Claims received after the 60 day submission deadline are not payable and will be rejected. (Claims need to reach local CACFP with enough time to allow for processing at the local level prior to submission to the state by the 60 day deadline).

**Claim Submission Deadline 60-Day\***

LAST DAY OF CLAIM MONTH	POSTMARK OR RECEIPT DEADLINE FOR CLAIM
October 31, 2023	January 2, 2024
November 30, 2023	January 29, 2024
December 31, 2023	February 29, 2024
January 31, 2024	April 1, 2024
February 29, 2024	April 29, 2024
March 31, 2024	May 30, 2024
April 30, 2024	July 1, 2024
May 31, 2024	July 30, 2024
June 30, 2024	August 29, 2024
July 31, 2024	September 30, 2024
August 31, 2024	October 30, 2024
September 30, 2024	November 29, 2024

**SUBJECT: Record Maintenance Requirements for Family Day Care Home Providers**

**POLICY:** According to Federal regulation CFR 226.18(e) Family Child Care Providers are required to store certain CACFP records for specified periods of time.

**PROCEDURES:**

Required FDCH Records to be stored:

- Child enrollment forms, updated annually
- Daily attendance records
- Daily meal count records(the number of meals served to enrolled children by the type of meal
- Daily menu records

Required retention period for records is three years after the submission of the last claim for the current Federal Fiscal year (October 1 through September 30). For FDC providers, this means:

- The format for record retention can include either hard copy of forms or electronic copy- as long as easily retrievable.
- All records must be kept to support the current month, and the previous 12 months of operation at FDC site.
- FDC providers may store the remaining 2 years of records offsite, but they must be accessible within a reasonable amount of time.
- If no off-site storage is used, the FDC home must keep all 3 years of records at the child care site.

10/1/10



## **SUBJECT: CACFP MEAL VISITS**

**POLICY:** SACCN will conduct a minimum of **three visits** per year to each child care provider enrolled in the CACFP.

Note: Since March of 2020, the beginning of COVID-19, some procedures have been implemented to minimize transmission of the virus. These modified procedures are attached.

**PURPOSE:** To meet the CACFP federal and state monitoring requirements of ensuring that information submitted for reimbursement is accurate.

### **PROCEDURES:**

- Visits will take place during normal hours of child care operations to review **meal service** and **program records**.
- A minimum of two visits will be **unannounced** per year.
- **Monitor Checklist for Day Care Homes** will be completed at each visit
- **Records of menus and meal count/attendance are expected to be up to date.** CACFP regulations require that the last meal claimed for reimbursement be recorded up to the day before the visit.; meal counts also are to be complete to this date.
- Failure to maintain records as required, may result in the loss of the meal for the month reviewed, and could affect your continued participation in the CACFP.
- **A new provider** will actually have **five visits** the first year—the preoperational training visit, the 28 day follow-up visit and three additional monitoring visits (at least two of which will be unannounced).

**POLICY: Provider records** are required to match/correspond to the meal observed during the visit.

**PURPOSE:** To meet the CACFP federal and state monitoring requirements

### **PROCEDURES:**

- At the completion of each visit, providers will sign the monitor form. **Providers are urged to check the form carefully for accuracy before signing** (i.e. meals served, children present), in order to avoid having meals disallowed because information is later found not to match the information submitted with claim.
- When the monthly menu is submitted for the month in which a visit is conducted, SACCN will review what was recorded for the date of that visit. If there is a difference between what the monitor observed and recorded on the checklist during the visit, and what the provider recorded on the menus for that date, meals will be disallowed accordingly. A claim review sheet will be sent following review of monthly claims—if the visit and the submitted claim do not match. This review sheet will explain any action taken by SACCN as a result of this discrepancy.

**SUBJECT: CACFP MEAL VISITS cont.**

**POLICY:** Enrollment in the food program requires that providers agree to allow each and every representative of SACCN and/or the New York State Department of Health and/or the United States Department of Agriculture to come into their home during normal hours of operation for the purpose of reviewing the CACFP operations and records.

*7/08, Rev. 9/22*

## **SUBJECT: TRAININGS**

**POLICY:** Southern Adirondack Child Care Network, in accordance with the CACFP regulations, will follow a specific procedure to ensure that Family Child Care Providers, both regulated and Legally-Exempt, will participate in at least one nutrition/food training each program year of enrollment. For registered/licensed providers this training may also be able to be applied toward their OCFS training requirements (although approval is at the discretion of OCFS). All providers, both regulated and Legally-Exempt, will complete a Civil Rights training annually.

Note: some training procedures have been modified throughout the course of COVID-19 in order to minimize transmission of the virus.

**PURPOSE:** To meet CACFP's yearly training requirement for enrolled providers.

**PROCEDURE:** During the first year of enrollment, an initial training will take place (usually at the provider's home). This training is for the purpose of learning about the program's policies and procedures, and **does** serve as the first calendar year training. For each year thereafter, we will advise providers of various trainings offered by our agency throughout the year. For new providers, the initial Civil Rights Training will be completed at the 28 day visit either using a printed version to review with the provider, or through the on-line link. [http://nydontraining.health.state.ny.us/frontline\\_civil\\_rights](http://nydontraining.health.state.ny.us/frontline_civil_rights).

CACFP Educators will remind providers and supply the link to access the online training at the start of each program year. Providers will send a copy of completed certificates of training to SACCN where they will be placed in the providers file. Staff will record the training as being completed in the Provider Visit/Training log. As an alternative to completing the training online, CACFP staff will offer a printed version as well as offering it at each quarterly CACFP training.

Training workshops will be offered by the local CACFP staff quarterly, and will be announced in SACCN'S quarterly newsletter mailed in December, March, June and September. CACFP training workshops will be offered at no charge to enrolled providers.

Certificates of participation are given to providers as documentation of attendance at the required training. These certificates will be kept by the provider for the duration of his/her participation in the food program. A pocket is provided at the back of this provider manual for storage of training certificates.

The local CACFP staff strongly recommends that providers utilize the quarterly trainings offered by our program in order to keep current with nutritional information and safety, but also to meet the requirements of the program in a timely manner. Providers are encouraged to contact the SACCN (local CACFP office) if other nutrition trainings have been attended that the provider believes may count toward the CACFP yearly training requirement; sometimes allowable trainings are offered by programs such as Cornell Cooperative Extension and at other

SACCN training events such as the yearly early childhood conference and the guest lecture series. Some on-line trainings may also count toward the yearly training requirement.

Although the local CACFP staff will keep track of provider training history/dates, it is ultimately the responsibility of the provider to ensure that one training workshop is completed each program year. Providers will be notified 90 days prior to the expiration of their training requirement, to have the opportunity to attend a training before the end of the program year and/or to have an alternative training approved by the CACFP staff. For any allowable training that is not CACFP sponsored, providers need to submit a copy of the training certificate to the CACFP office.

Additional training option:

- Small group trainings hosted by a provider at her/his home, and lead by the local CACFP staff (minimum of 6 participants required). Providers are encouraged to contact the SACCN office if they would like to host a training event in your area.

The location of trainings generally alternate between our training sites in Glens Falls and Fort Edward.

Trainings are typically held on weeknights from 7:00pm-8:00pm.

In the event that the training requirement has not been met within a 2 year period, the provider will be determined seriously deficient.

*1/08, Rev 03/16*

## **Subject: Serious Deficiency Process for Providers**

**Policy:** The Southern Adirondack Child Care Network (SACCN), in accordance with the CACFP federal regulations, will follow a specific procedure when a problem of non-compliance has been identified. The procedure protects both the provider and the sponsor (SACCN).

### **Procedure:**

- 1.** After identifying a problem of non-compliance, SACCN will send a written Serious Deficiency Notice, by certified mail/return receipt, to the provider that:
  - Identifies all serious deficiencies identified (see Attachment A for a list of possible serious deficiencies)
  - Informs the home of specific corrective actions that must be taken as of a specified date
  - If corrective actions are not taken, SACCN will propose to terminate the home's agreement for cause and disqualify the home and the provider.
- 2:** Based upon the provider's response to the Serious Deficiency Notice, SACCN will do one of the following:
  - (a) **If the provider adequately corrects the deficiencies**, SACCN will inform the provider in writing, by certified mail that the corrective actions taken are acceptable and the notice of serious deficiency will be removed. No further action is needed.
  - (b) **If the provider fails to document or permanently correct the serious deficiencies**, SACCN will propose to terminate the provider's agreement and disqualify the home and the provider. The provider will be given the right to appeal.
  - (c) If the provider voluntarily terminates their agreement with the program, after receiving the serious deficiency notice, SACCN will propose to disqualify the provider from future CACFP participation.
- 3.** The provider may continue to participate in the CACFP during the corrective action period. SACCN will pay any valid claims for reimbursement submitted during this period. Claims must be submitted by the normal deadline.

## **Attachment A – Serious Deficiencies for Providers (termination for cause)**

Termination for cause occurs when the sponsoring organization (SACCN) determines that the day care home has committed one or more of the following serious deficiencies. The serious deficiencies are cited in the regulations governing CACFP at 7 CFR 226.16(l)(2)(i-viii).

- (i) submission of false information on CACFP applications and forms (DOH-3705, DOH-4161)
- (ii) submission of false claims for reimbursement
- (iii) simultaneous participation under more than one sponsoring organization
- (iv) non-compliance with the CACFP meal pattern
- (v) failure to keep required records
- (vi) conduct or conditions that threaten the safety of a child(ren) in care, or the public health or safety (imminent threat to health and safety)
- (vii) day care provider has been convicted of activity that indicated a lack of business integrity
- (viii) any other circumstance related to non-performance under the agreement (DOH-3821), as specified by the sponsor or NYS CACFP (e.g., policies related to CACFP)

11113, Rev.11119

## **Subject: Termination for Cause from CACFP**

**Policy:** As required by CACFP federal regulations, SACCN will propose to terminate the provider's agreement with the program and disqualify the home and the provider if the provider fails to document or adequately correct identified serious deficiencies by the specified date (see Policy #).

### **Procedure:**

1. SACCN will send written notice of proposed termination and disqualification by certified mail/return receipt. This notice will include the following:

- A list of the serious deficiencies found
- Reasons why the corrective actions were inadequate
- The Provider's right to appeal
- A copy of the appeals procedure.

2. The agreement between the provider and SACCN can be terminated for cause only under the following conditions:

- The provider fails to appeal
- The provider does appeal and the hearing official rules in favor of SACCN.

3. If one of the two above mentioned conditions applies, SACCN will issue a written notice of termination/disqualification by certified mail/return receipt.

4. Once a provider's CACFP agreement has been terminated with SACCN, the provider and the day care home are placed on the National Disqualified List. While on the list, one cannot participate in the CACFP as a day care home provider. In addition, one cannot serve as a principal employee in any CACFP sponsor or child care facility. Once disqualified, the provider will remain on the list until such time as NYS CACFP determines that the serious deficiencies have been corrected or until 7 years after the date of disqualification. However, if any debt relating to the serious deficiencies has not been repaid, the provider will remain on the list until the debt has been repaid in full.

5. If the hearing official rules in favor of the provider, SACCN will inform the provider in writing by certified mail/return receipt that:

- The agreement between the provider and SACCN will not be terminated
- The provider will not be disqualified and can continue to claim for eligible meals served as long as claims are submitted by the normal deadline.

6. If the provider voluntarily terminates their agreement with the program, after receiving the proposed termination/disqualification notice, the provider and day care home will still be placed on the National Disqualified List.

7. The provider may continue to participate in the CACFP until the termination and disqualification effective date or if an appeal is submitted, until the hearing official issues a decision on the appeal. SACCN will pay any valid claims for reimbursement submitted during this period. Claims must be submitted by the normal deadline.

**Subject: The Suspension Process**

**Policy:** In accordance with CACFP federal regulations, provider's participation in CACFP will be suspended when there is an imminent threat to the health and safety of children, or the public at large.

**Procedure:**

**If on a monitor visit, SACCN discovers a health or safety threat to children or a serious violation of day care regulations:**

- The imminent threat or serious violation will immediately be reported to the licensing authority
- SACCN will take action that is consistent with the recommendations of the licensing authority, which could be immediate suspension of CACFP participation and payment or other action taken in lieu of suspension
- If suspension is consistent with the recommendations of licensing, SACCN will send written notice of immediate suspension of participation and payment to the provider by certified mail/return receipt that:
  - Identifies all serious deficiencies that constitute the imminent threat
  - Informs the provider that CACFP participation is suspended as of the date of the notice
  - Proposes to terminate the provider's agreement for cause
  - Proposes to disqualify the home and the provider
  - Outlines the procedures for appealing the suspension, the proposed termination and disqualification.

**If SACCN is informed of a serious threat to the health and safety of children by the licensing authority, SACCN will immediately send a written Suspension Notice to the provider by certified mail/return receipt that:**

- Identifies all serious deficiencies that constitute the imminent threat
- Informs the provider that CACFP participation is suspended as of the date of the notice
- Proposes to terminate the provider's agreement for cause
- Proposes to disqualify the home and the provider
- Outlines the procedures for appealing the suspension, the proposed termination and disqualification.

The provider has the right to appeal the suspension, the proposed termination and proposed disqualification.



The agreement between the provider and SACCN will be terminated if:

- The provider fails to appeal
- The provider does appeal and the hearing official rules in favor of SACCN.

If one of the two above mentioned conditions applies, SACCN will issue a written notice of termination/disqualification by certified mail/return receipt.

Once a provider's CACFP agreement has been terminated with SACCN, the provider and the day care home are placed on the National Disqualified List. While on the list, one can not participate in the CACFP as a day care home provider. In addition, one can not serve as a principal employee in any CACFP sponsor or child care facility. Once disqualified, the provider will remain on the list until such time as NYS CACFP determines that the serious deficiencies have been corrected or until 7 years after the date of disqualification. However, if any debt relating to the serious deficiencies has not been repaid, the provider will remain on the list until the debt has been repaid in full.

If the provider voluntarily terminates their agreement with the program, after receiving the proposed termination/disqualification notice, the provider and day care home will still be placed on the National Disqualified List.

If the hearing official rules in favor of the provider, SACCN will inform the provider in writing by certified mail/return receipt that:

- The agreement between the provider and SACCN will not be terminated
- The provider will not be disqualified and can continue to claim for eligible meals served as long as claims are submitted by the normal deadline.

## **Subject: Appeal Process**

### **Policy:**

In according fair treatment, providers will be given the opportunity to appeal suspension and proposed termination/disqualification for cause. A serious deficiency determination and termination for convenience cannot be appealed.

### **Procedures:**

A provider may request an appeal when the Southern Adirondack Child Care Network (SACCN) issues a notice of Proposed Termination for Cause and Proposed Disqualification or a Suspension Notice

A request for an appeal must be made to the SACCN CACFP Hearing Review Committee within **15 days** from the date of the Notice of Proposed Termination and Disqualification. **(As this notice is sent by certified mail, the expectation is that it will be received the following day).**

This request must:

- Include all documentation that the provider wishes to use to support their appeal
- Specify if the provider wants an in-person hearing and if they choose to be represented by another individual, who that individual will be

The Hearing Review Committee must be independent and impartial and make their decision based only on information provided by the Sponsor and the Provider and on Federal and State laws, regulations, policies, or procedures.

The Hearing Review Committee will render a final decision within the following timeframes:

--SACCN will notify the provider within 2 business days of its receipt, that an appeal request was received.

--If the appeal request is not for an in-person appeal hearing, the committee will notify the provider of its final decision via certified mail no more than 15 days after receipt of the request.

--If the appeal request is for an in-person hearing, a hearing date will be scheduled to take place no more than 15 days from the receipt of the appeal request; a final decision will be made by the committee, and the provider notified of the decision via certified mail within 5 business days of the in-person hearing.

In the case of termination and disqualification, if the provider wins the appeal, SACCN will send a Removal of Proposed Termination and Disqualification Notice. This will inform the Provider that:

- The provider's serious deficiency issues has been temporarily deferred
- The provider's agreement is not terminated
- The provider is not disqualified, and can continue to claim eligible meals

If the provider loses the appeal or fails to appeal, SACCN will send a Notice of Termination and Disqualification. This will inform the provider that:

- The provider's agreement to participate in CACFP is terminated
- The provider is disqualified from future participation effective the date of the hearing decision
- Provider's name will be placed on the National Disqualified List

### **Status of Program Payment**

All valid program payments will continue to be paid during the Serious Deficiency process. If the provider wins the appeal to a suspension, any eligible meals claimed during the suspension period will be paid. A provider must continue to maintain records of menus, meal counts, and attendance for a claim to be paid if an appeal is won.

### **Re-Activation**

CACFP regulations require that a disqualified provider remains on the National Disqualified List unless it is determined that the serious deficiencies have been corrected, for seven years or until any outstanding debts are repaid, whichever is longer. When both the seven years have elapsed and the debt repaid, the provider will be removed from the National Disqualified List.

*Rev. 4/19*

## **SUBJECT: CACFP CHANGE OF INFORMATION (PROVIDER)**

### **POLICY:**

SACCN (The local office of CACFP) will be notified immediately by the provider if any of the following enrollment information changes:

- Name of provider
- Address or location of care
- Change of registration/license status
- The days that care is provided
- Hours of operation
- Meals served/ meal time changes
- Registration/license capacity
- Phone number
- Income eligibility

### **PROCEDURE:**

Name changes on CACFP applications and agreements will only be made when a new NYS day care registration/license is received by SACCN. All paperwork, including checks will continue to be issued in the name that appears on the current registration/license.

Address changes will be made if the address is a change made for 911 or mail delivery.

Address changes made as the result of a move to a new location require additional processes. A pre-approval visit must be conducted at the relocated DCH. A new CACFP-3705 (Continuous Application and Agreement) is not required. The Provider's application will be revised in CIPS by entering both the new Facility ID and the new pre-approval visit date into CIPS.

Note that this move also requires that the provider submit a new application for a registration or license through NYS OCFS. As soon as SACCN receives the new license, an appointment can be scheduled to complete a pre-approval visit. If the Provider fails to notify SACCN that the DCH has moved, the Provider forfeits reimbursement from the effective date of the move until the pre-approval visit is completed.

As an interim measure, a provider may apply for enrollment as a Legally Exempt Child Care Provider. This application process goes through the Legally Exempt Department at SACCN. In accordance with legally exempt child care regulations, a provider can provide care for no more than two unrelated children at any given time. A legally exempt provider is allowed to claim all related children and/or his/her own children if income qualified. In order to begin participation in CACFP, however, **at least one child must be enrolled who is receiving DSS child care subsidy**. Upon temporary enrollment approval, an appointment will be scheduled to complete the pre-approval visit.

A pre-approval visit must be conducted at the relocated DCH. A new CACFP-3705 (Continuous Application and Agreement) is not required. The Provider's application will be revised in CIPS by entering both the new Facility ID and the new pre-approval visit date into CIPS.

Contact NYS OCFS immediately if you are planning to move in order to get the registration process started. Contact SACCN (local CACFP office) so a new application and agreement can be completed as soon the new license has been issued. Failure to reapply after a change of address will result in the **provider's claim being suspended** until the new application is completed.

10/18, Rev. 10/22

**SUBJECT: Medical Authorization of Allergies, Food Intolerances etc.**

**POLICY:** Medical documentation is required for children with food allergies, food intolerances and special needs.

**PROCEDURE:** Providers will inform CACFP staff of known allergies, food intolerances and special needs of children in their care; in addition, medical documentation will be required and will be maintained in the provider's file at SACCN.

The following form may be used to facilitate the process of obtaining medical documentation.

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**MEDICAL AUTHORIZATION OF ALLERGIES, FOOD INTOLERANCES AND OTHER SPECIAL NEEDS**

**CHILD'S NAME** \_\_\_\_\_

**ADDRESS** \_\_\_\_\_

**DATE OF BIRTH** \_\_\_\_\_

**ALLERGY (S)/FOOD INTOLERANCES/SPECIAL NEEDS** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PARENT OR GUARDIAN SIGNATURE** \_\_\_\_\_ **DATE** \_\_\_\_\_

**PHYSICIAN'S SIGNATURE** \_\_\_\_\_ **DATE** \_\_\_\_\_

**Please deliver or mail this form to the attention of :**

**CACFP**  
**Southern Adirondack Child Care Network**  
**37 Everts Avenue**  
**Queensbury, NY 12804**

**Our fax number is: 812-0799**  
**Thank you for your attention to this matter.**

## **Subject: Tier Determination Process**

### **Policy:**

CACFP staff of SACCN will determine if day care homes are eligible for Tier 1 rates either because the provider lives in a low income area (determined via census or school area data), or because the provider's household meets income guidelines. Providers who are determined to be Tier 2 day care homes can still be eligible to receive Tier 1 rates for children in care.

### **Purpose:**

To ensure that Tiering determinations are made thoroughly and accurately, and are in keeping with NYS DOH guidelines.

### **Procedures:**

#### **Determination of Eligibility: Providers (form DOH 4161)**

##### **Income eligibility**

There are two levels of reimbursement, Tier 1 and Tier 2. All providers are entitled to Tier 2 rates. Tier 1 is a higher level of reimbursement and requires an income eligibility application (DOH 4161) or eligibility via area school or census data (see below).

The DOH 4161 Tiering form needs to be completed also for Tier 2 homes seeking to receive Tier 1 rates for children in care.

New provider's eligibility is determined at the time they first enroll in CACFP.

Eligibility for Tier 1 rates must be updated annually. Providers will be sent eligibility applications on the 1<sup>st</sup> of the month in which their Tiering is expired; completed applications must be returned to the SACCN office by the 15<sup>th</sup> of that month. Reimbursement will be at the Tier 2 rate until all Tiering documentation has been received. Once the determination has been made, it is retroactive to the first of the month.

Providers may submit an application at any time during the year if income changes, or for any other reason the provider believes he/she is now eligible.

Income eligibility applications and supporting documentation are maintained in the provider's file and treated confidentially.

#### **Other Tier 1 eligibility determinants**

There are two exceptions to the yearly income eligibility determination- Area School and Area Census data.

#### **SCHOOL AREA**

A provider's Tiering is first determined by checking area school data which is provided yearly by DOH-CACFP. If a provider lives in a designated school zone, in which there are more than 50% free or reduced lunches, he/she automatically qualifies for Tier 1. Because of the school area determination, no documentation of income is required. Eligibility for this tier 1 determination is updated every 5 years.

## **AREA CENSUS DATA**

If it is determined that a provider does **not** reside in a designated school area, SACCN staff will then determine if the provider's address is eligible for tier I rates based on Census data. Because of the area census determination, no documentation of income is required. Eligibility for this tier I determination is updated every 5 years.

## **Determination of Eligibility: Participants (form DOH 4160)**

A provider who is not eligible for Tier I, may have children in care who do qualify based on income. In this case, form DOH 4160 is filled out by parents. The SACCN office will include a self-addressed, stamped envelope with the application in order that parents can return the information directly to the office. If a parent/guardian participates in any of the categorical programs (i.e. food stamps, TANF), this automatically make their children eligible for tier I rates. A parent may also choose to list household income on the application. If income qualifies for Tier I reimbursement rates, verification of income from the parent is not required. The DOH 4160 will be completed every year.

## **Foster Children**

Foster children are considered a household of one and therefore need to have a separate **DOH 4161 form** completed. (Multiple foster siblings can use same form). The income for the children would indicated at zero. Note that when a provider is claiming his/her own children as well as foster children, the provider's own children will be listed on a DOH-4161 separate from the DOH-4161 used for the foster children.

## **Provider's Own Children**

All Tier I providers who wish to claim their own children must complete the **DOH 4161** eligibility form. If the Tier I provider is income qualified, his/her children are eligible by definition. Tier 2 home providers can not claim their own children.

In Summary, the conditions necessary for a provider to claim his/her own children are as follows:

- Provider must be income eligible
- Provider's children must be enrolled
- Non-resident enrolled children must be eating the same meal.
- The DOH 4161 must be completed by the provider.

*Policy written: 02/10, rev.11/14*