

Compliance Review Checklist

The following checklist summarizes the types of records that must be available when your center is scheduled for a compliance review or audit. Please have all of these records readily available on the day of the review.

- Income Eligibility Forms (IEFs) for the current fiscal year (or prior fiscal year, in the case of an audit).
- Enrollment forms that are current within the past 12 months for all participants.
- Record of Meals and Supplements Served for the test month. If you are using a computer software program, have available the worksheets or attendance sheets that are used to do point of service meal counts.
- Menu and Daily Production Records for every meal claimed during the test month; provide copies of recipes if production record specifies "see recipe."
- Copy of your currently approved CACFP application and supporting documents that have been approved by the Nebraska Department of Education. Supporting documents may include amendments, copies of contracts with food service vendors, etc.
- Invoices, grocery receipts and records that document administrative costs and income to your program for the test month. Payroll records for food service staff; payroll records and time certification documentation for CACFP administrative and clerical staff. Receipts must be equal to or exceed the amount of CACFP reimbursement received for the claim month. If receiving vended food or commodities, documentation that payment is current.
- Copies of claims submitted to the Nebraska Department of Education.
- Copies of worksheets to support claims.
- Check stubs for CACFP payments you have received from the Nebraska Department of Education UNLESS you are on direct deposit. Bank statements may be used to document direct deposits.
- A training log or certificates that document training workshops your staff has attended, preferably on CACFP related topics. Documentation that the sponsor has provided training on the CACFP to its staff according to its agreement and management plan.
- A copy of your current license issued by the Nebraska Health and Human Services System or other licensing agency.
- The "And Justice For All Poster" must be displayed.

- Time-in/time-out sheets for the test month.
- Procurement file if CACFP purchases exceeded \$10,000 for single items.
- Procurement/bidding documentation.

For Profit Centers only:

- Title XIX/XX billing documents and receipts for payment for the test month – OR – documentation of 25% Free/Reduced eligibility.
- A copy of your most current audit if your center receives more than \$40,000 in CACFP funds.

If you contract with a vendor (school, hospital, food service vendor, etc.):

- Menus for the test month – menus must indicate ALL CACFP components, not descriptions such as "Chef's choice," "Cowboy stew," etc. It is highly recommended that you obtain photocopies of the food production records from your vendor for the test month.
- Daily delivery slips provided by the vendor.
- Documentation that payment is current.

Sponsors of multiple sites only:

- Copies of preapproval visits to each site.
- Copies of sponsor's monitoring reviews and training schedules of each site.
- Documentation of five-day reconciliation of meal counts with time in/out records

Sponsors that claim meals served to infants:

- Copies of parent form to accept/decline formula provided by center.
- Infant Meal Records for the test month.
- Documentation (such as an enrollment form or IEF) that indicates the date of birth for each infant less than one year of age for whom meals are claimed.

Adult Day Care Centers

- Individual Care Plans
- Documentation that meals are claimed only for participants who "remain in the community," who are not residential or institutionalized (e.g., documentation of home address).