

Montana Department of Public Health & Human Services	Policy
	MT CACFP 2009-1 Rev 2
	Section: All Institutions
Child and Adult Care Food Program	Subject: Records Maintenance
	Effective Date: 11/8/13

## RECORDS MAINTENANCE

Centers and sponsoring organizations must maintain records for the current federal fiscal year (FFY) in addition to the most recent three FFY; Day care homes must maintain on-site records for the current FFY and the previous FFY. The FFY begins the first day of October and ends the last day in September of each year. Records must be on-site and available to reviewers. Reviewers may be CACFP monitors, child care resource and referral agency staff, and state and local government health, safety or law enforcement representatives. Each institution must retain permanent documents on file indefinitely. If records are not available at the time of the review, the records do not exist and reviewers must use methods such as corrective action, serious deficiency, and/or loss or denial of reimbursement to assist institutions to meet recordkeeping requirements. Hard copies of the records must be readily available to reviewers. Electronic documents can replace hard copies when appropriate. All records must be kept in a confidential manner, and in accordance with HIPAA requirements. Records outside of the record retention timeframe must be disposed of in a confidential manner, shredding and/ or burning.

### Child Care Centers

Center records include but are not limited to the CACFP Monthly Attendance Records, sign in/sign out records, enrollment forms, Income Eligibility Forms, food service labor documentation, program administration labor documentation, food receipts, milk receipts, food service receipts, training records, food service operation documentation (menus, food production records, meal participation records), special dietary statements, HIPAA documents, sanitarian's report of most recent inspection, parent handbooks, payroll documents for cook and CACFP director, payment documentation and pink worksheets, current licensing information or self-certification information. Child care centers with multiple facilities must retain documentation of supervisory visits in addition to records stated above. Non-profit institutions also need records of the board chair's name, home address and date of birth. Permanent documents include contracts, agreements, initial Civil Rights Compliance paperwork and applications.

### Day Care Homes

Day care home records include but are not limited to attendance, documentation of current registration issued by QAD/DPHHS, the CACFP pre-approval visit form, the permanent signed agreement to operate the CACFP, Sponsor/Provider Agreement, tiering letter, the 4-week monitoring visit form, monitoring visit forms, menus, special diet statements, meal counts, original signed enrollment forms, renewal enrollment forms, daily records of the number of children in attendance and the number of meals, by type, served to enrolled children. These records must be maintained at the day care home for the current fiscal year plus the previous three federal fiscal years. Providers must retain the current month and current fiscal year records on site and immediately accessible by their sponsoring organization or other CACFP Program authorities. Providers may store the remaining two years of records offsite; however, these records must still be in the control of the provider and accessible to reviewers within forty-eight [48] hours after a request by their sponsoring organization or other CACFP program authority. Permanent documents include the current Sponsor Provider Agreements and applicable addendums including Change in Information forms and Pre-Approval visit forms.

### Sponsoring Organizations

Sponsoring organization records include but are not limited to: documentation to demonstrate that the current management plan has been and is being followed, documentation of claims processing, and fiscal activity. Previously completed Sponsor/Provider Application and Agreements, Notification of Reasons and Procedures for Termination forms, and Pre-enrollment forms are not permanent documents. Permanent documents include the initial Civil Rights Compliance paperwork, current Sponsor/Provider Agreements and applicable addendums, including Change in Information forms, the Pre-Approval Visit monitoring review form, and four week monitoring review form.

[References: 7CFR 226.10(d); 226.18(d), (e), and (g)], USDA FNS Memo CACFP 03-2009  
USDA 226.15 (e)