

# Required Records and Due Dates—Table of Contents

<b>Summary of Required Records</b>	3.1
<i>Daily Records to be Completed</i>	
<i>Monthly Records to be Completed</i>	
<i>Once-a-Year Records to be Completed</i>	
<i>Records to be Completed When Changes Occur -</i>	
<i>Due to TDA Prior to Approved Update</i>	
<i>Due Dates by Month</i>	
<b>Reimbursement Claims</b>	3.4
<i>Reimbursement Claim Procedure -</i>	
<i>Public and Charter Schools Only</i>	
<i>Reimbursement Claim Procedure -</i>	
<i>Private Schools and RCCIs Only</i>	
<i>Late Claims</i>	
<i>Amended Claims</i>	
<i>Upward Claim Adjustments</i>	
<i>Downward Claim Adjustments</i>	
<i>Overclaims and Refunds - Public and Charter Schools Only</i>	
<i>Important Point</i>	
<i>CNPIMS Phone Number - Public and Charter Schools Only</i>	
<i>SNAPS Phone Numbers - Private Schools and RCCIs Only</i>	
<b>Listing of Forms and Required Records</b>	3.8

(This page intentionally left blank)

# Required Records and Due Dates

## Summary of Required Records

Full and accurate records are required to serve as a basis for the reimbursement claim under the terms of the Food and Nutrition Division (FND) Agreement. All records must be kept for a period of five years (public and charter schools only) or three years (private schools and residential child care institutions) to satisfy both federal and state requirements. These records must be available for audit purposes or review by the United States Department of Agriculture (USDA) or the Texas Department of Agriculture (TDA).

To be useful, records must be accurately kept on a current basis and routinely analyzed. Sample prototypes and instructions for preparing each required record are provided. The school food authority (SFA) is strongly encouraged to use the template forms and letters provided by TDA. The SFA may elect to develop other forms and letters more suitable to the individual needs of the SFA as long as all required information is included and collected.

## Daily Records to be Completed

- The Daily Record of Participation
- The Daily Record of Income
- Food Production Records
- Accuclaim Edit Check

## Monthly Records to be Completed

- Claim for Reimbursement
- Record of Program Expenditures

## Once-A-Year Records to be Completed

Verification Summary Sheet	November 15
On-Site Review	February 1
Verification Summary Report to TDA	March 1
Food Service Management Companies (FSMC), Request for RFP due to TDA	March 15
Application for Seamless Summer Option (SSO)	May 1
Seamless Summer Option (SSO) Schedule A	May 1
Provision 2 Application, if applicable	May 15
Food Service Management Companies Contracts due to TDA	May 31

Provision 2 (Base Year SFAs) Percentage Calculation Form	June 30
Agreement/Application/Renewal	July 1
Schedule A	July1

## **Records to be Completed When Changes Occur – Due to TDA Prior to Approved Update**

Attachment A: Designation of Hearing, Reviewing and Verification Official

Attachment B: Meal Count/Collection Procedures

Attachment K: Menu Planning System

## **Due Dates By Month**

### **July 1**

The following items must be updated on the Child Nutrition Programs Information Management System (CNPIMS) (public and chartered schools only) or submitted to TDA (private schools and RCCIs only) prior to submitting any reimbursement claims for the upcoming school year:

- Agreement/Application/Renewal
- Schedule A
- Severe Need Breakfast Application (if applicable).

### **August 1**

All Provision 2 SFAs that add new campuses or re-structure grades must notify TDA in writing.

### **August Through Early September**

Prior to or during the first week of school, the Attachment C: Media Release, must be made available to the local news media, the unemployment office and any major employers who are contemplating layoffs in the attendance area of the school.

The Notice/Letter of Predetermined Eligibility should be sent to households of directly certified students as early as possible and preferably before the distribution of applications for free and reduced-price school meals. TDA FND provides information on directly certified students via CNPIMS (public and charter schools only) by July 1, with quarterly updates provided in October, January and April.

During the first week of school, applications for free and reduced-price meal benefits and the letter to households must be provided to the parents and/or guardians of all children in attendance at the school.

Certificate of Authority must be completed if authorized representatives for the SFA have changed.

Collection Procedures and the selection of the SFA's menu planning system should be submitted to TDA when there is a change.

**Start of School + 30 Days**

Free and reduced-price meals may be claimed for students based on the prior year's approved applications for a period of no longer than 30 operating days from the first day of school.

On-site monitoring of Afterschool Care Program (ASCP) should occur during the first four (4) weeks of program operation.

**October**

A count of the number of applications for free and reduced-price meals should be taken on October 1 of each school year. This is the count used to determine the number of applications to be verified.

**November**

Verification of applications must be completed by November 15 of each school year. A summary of the SFA's verification effort must be completed and maintained on file.

**January**

Accuclaim on-site school reviews must be completed and on file in the SFA by February 1 of each school year.

A second on-site monitoring review should be scheduled and conducted for all sites operating an ASCP.

**March 1**

Verification Summary Report sent to TDA.

**May 1**

Application for SSO completed.

**May 15**

Provision 2 Applications must be postmarked to TDA.

**May 31**

FSMC contracts due to TDA.

**June 30**

Provision 2 (Base Year) % Calculation Form due to TDA.

On-site monitoring of the SSO should occur during the first three weeks of program operation.

## Reimbursement Claims

Meal counts, by category, are submitted by each school to the SFA on a daily, weekly or monthly basis. The particular recording method used must ensure that correct counts by category are reported in a way that can be easily read, edited and consolidated into an accurate monthly claim for reimbursement. The counts from all schools are combined to generate a monthly claim for reimbursement. This is called consolidating the claim. After the claims are consolidated, they are submitted by the SFA to TDA. TDA is responsible for paying the federal reimbursement for the reimbursable meals claimed as served by category during the claiming period. Public and charter schools submit their claim for reimbursement via CNPIMS. Private schools and RCCIs submit their claim for reimbursement via Special Nutrition Automated Processing System (SNAPS).

The reimbursement claim should be received by TDA on or before the 10<sup>th</sup> of each month but no later than 60 days following the completion of the claim month. By filing the basic claim within 10 operating days after the last day of the claim month, the likelihood of receiving the reimbursement promptly is greater. For public and charter schools, Accuclaim errors are generated on basic claims when the number of free or reduced price lunches served exceeds the attendance factor for that SFA. When an Accuclaim error is displayed on the basic claim, a letter or e-mail will be sent to the SFA requesting an explanation for the excessive free and/or reduced price lunches.

Month	Last Day for Claim Submission
January	April 1 (Leap Year – March 31)
February	April 29
March	May 30
April	June 29
May	July 30
June	August 29
July	September 29
August	October 30
September	November 29
October	December 30
November	January 29
December	March 1 (Leap Year – February 29)

Ensure that claims for reimbursement are received by TDA within 60 days of the last day of the claim month. If the 60<sup>th</sup> day is on a weekend or holiday, the claim must be received no later than midnight on the following workday.

We recommend that you always have a back-up person designated to submit claims. Doing so could lessen your chance of submitting a late claim that may be denied for payment. The absence of the regularly assigned staff person to submit claims on the 60<sup>th</sup> day after the end of the claim month is **not** automatically an acceptable reason for submitting a late claim.

If the first or last month of NSLP and SBP operations for any year contains 10 operating days or fewer, you may add that month's claim to the appropriate adjacent month's claim for reimbursement. However, you **may not** combine the claims for June and July.

TDA may make upward adjustments on claims filed within the 60-day limit if the adjustments are:

- Completed within 90 days of the last day of the claim month; or
- The result of an administrative review or audit.

Downward adjustments may be made whenever TDA determines that they are necessary.

### **Reimbursement Claim Procedure – Public and Charter Schools Only**

Federal regulations governing the NSLP and SBP require that claims for reimbursement be submitted to TDA within a 60-day time limit. This means claims for reimbursement submitted electronically via CNPIMS must be received by FND no later than 60 days following the last day of the month covered by the claim. The 60-day time limit is applicable to all 12 months of the year, so be sure that any claims for the summer months are submitted within the 60-day time limit.

### **Reimbursement Claim Procedure – Private Schools and RCCIs Only**

To receive reimbursement for meals served, the SFA must submit the claim electronically each month through SNAPS. All contractors are given a SNAPS Users Guide when their FND Agreement is approved. The Guide explains in detail the process for submitting claims electronically.

All contractors are also given a user name and password to access the electronic claims system. Entering your user name and password serves the same purpose and has the same legal effect as signing your name on your claim for reimbursement. It is important that the SFA restrict access to your user name and password only to those individuals to whom they have delegated authority to sign claims on their behalf, for example, the authorized representative(s).

TDA does not reimburse claims submitted after 60 days following the last day of the claim month.

SNAPS is an electronic claim submittal system that provides a quick and efficient way to submit claims for reimbursement. Claims must be submitted electronically through the SNAPS rather than faxing or mailing them to TDA. There may be limited circumstances under which the SFA will not submit claims for reimbursement through SNAPS. Review the SNAPS Users Guide available on the TDA website at [www.snptexas.org](http://www.snptexas.org). An official email address must be provided by the SFA or authorized representative when transmitting a claim for reimbursement through SNAPS. If they do not provide an email address when submitting a claim for reimbursement, SNAPS will not process the claim.

SNAPS will not accept claims from 5:59 p.m. to 6:02 p.m. Central Standard Time (CST) while it is compiling the day's submitted claims for payment processing. If the SFA tries to submit a claim during this short time period, you will receive a pop-up window stating you cannot submit a claim during this period. SFA information will remain in the system until SNAPS is finished processing. After 6:02 p.m., the SFA may click the submit button and submit your claim. Once a claim is successfully entered, click the "X" at the top right corner to exit/close SNAPS. A confirmation email will be sent after 6:00 p.m. CST, Monday through Friday, when nightly processing of the claim occurs. If the SFA wants to resubmit a claim or amend the claim, they must first return to the home page and retrieve the submitted claim.

SNAPS provides a selection for users to check if they want to print a copy of their claim after a successful claim submittal. Before the SFA submits the claim, click the "I want to print after I submit successfully" box at the bottom of the screen. The system will remain on the claim screen and the user can then print.

**Late Claims**

A late claim is one received by FND later than 60 days after the last day of the claim month. A late claim constitutes a program noncompliance; therefore, the SFA must submit an approvable corrective action plan (CAP) that includes the:

- Reason for submitting the late claim;
- Actions to be taken to avoid repetition of the situation linked to the late claim submission;
- Actions to be taken to avoid any future late claim submission from the same or other causes; and
- Signature of an Authorized Representative designated to act on the SFA's behalf

Once the SFA has submitted an approvable CAP, TDA will determine if they are eligible for the one-time exception payment provision.

A one-time exception may only be used once within a 36-month time period for each USDA Child Nutrition Program that you administer. If the SFA submits late claims for several months at the same time, the SFA may choose the claim month for which the one-time exception may be used.

<b>If you have...</b>	<b>Then you may...</b>
Not used your one-time exception provision within the last 36-months	Choose or request to use the one-time exception payment or receive no payment for the late claim.
Already used your one-time exception provision within the last 36-months	Request a good cause exception.

If the SFA has not used its one-time exception provision for the NSLP or SBP within the previous 36-month period, TDA will pay the late claim as soon as you have submitted an approvable CAP and funds are available from USDA. If the SFA have already used their one-

time exception provision for a late claim within the previous 36 months, FND will deny payment of the claim, but the SFA may request in writing an exception for “good cause.”

TDA will consider each “good-cause” exception request on a case-by-case basis. You must demonstrate that the late-claim noncompliance occurred due to circumstances beyond your control.

Examples of good-cause beyond the SFA’s control include, but are not limited, to:

- a catastrophic incident such as a tornado, flood, or fire; or
- a life-threatening injury or illness to the person responsible for submitting the claim.

**Note:** Catastrophic incidences, life-threatening injuries or illnesses **do not** automatically entitle the contractor to be granted a good-cause exception. The responsibility is upon the SFA to demonstrate how the catastrophic incident, life-threatening injury or illness caused a situation that made submitting the claim within 60 days unreasonable or impossible.

Examples of reasons that would **not** be considered good cause beyond the control of the SFA because an alternative would be available include:

- absence of personnel on the 60th day, for reasons other than a life-threatening injury or illness;
- SNAPS is unavailable for electronic filing;
- a malfunction of power or equipment at your facility; or
- failure to get the claim in the mail in time to get it postmarked on the 60th day.

If TDA agrees that good cause exists, the claim will be forwarded to USDA. USDA will determine if the claim will be paid. If TDA does not agree that good cause exists, the claim will be denied and not be forward the claim to USDA. SFAs cannot appeal either the non-payment of a claim by USDA or TDA’s ruling that good cause does not exist and refusal to forward the claim to USDA.

### **Amended Claims**

TDA will suspend payments or place the FND Agreement on hold status if repeated amended claims are submitted. The suspension or hold remains in effect until the SFA demonstrates that they have procedures in place to produce a final claim on time each month. If TDA processes an amended claim for a month in the current program year, TDA will reconcile any overpayment or underpayment against any outstanding claims for the current program year. If the outstanding claims are not sufficient to reconcile the amended claim, TDA will process payment for any underpayment and require the SFA to submit any remaining overpayment.

If TDA processes an amended claim for a month that is not in the current program year, TDA will process payment to the SFA for any underpayment and require the SFA to submit the amount of the overpayment.

### **Upward Claim Adjustments**

Upward revisions of previously submitted claims must be made within the 60-day time limit (60 days following the last day of the month covered by the claim). Upward revisions that are not received within the 60-day time limit are not eligible for reimbursement in either CNPIMS or SNAPS. If an upward adjustment is discovered after 60 days, contact TDA at (877) TEX-MEAL for instructions.

### **Downward Claim Adjustments**

Downward adjustments may be made at any time during the school year but not earlier than the most recent October. Adjustments must be made to the correct month for which the change occurs (i.e., if a change occurred in the month of October, the change in the claim must be made to the October claim.) Downward claim adjustments should be submitted electronically via CNPIMS or SNAPS, or contact TDA at (877) TEX-MEAL for further instructions.

### **Overclaims and Refunds – Public and Charter Schools Only**

When an overclaim of Child Nutrition Program funds is discovered by an SFA, please submit a revised reimbursement claim electronically via CNPIMS or contact TDA for further instructions. When an overclaim of Child Nutrition Program funds is discovered during the course of an administrative review, the SFA should not adjust their claim. The adjustment will be deducted from a future monthly reimbursement claim by TDA.

### **Important Point**

Do not send unsolicited refund checks to the TDA state office.

### **CNPIMS Phone Number – Public and Charter Schools Only**

If problems are encountered while using CNPIMS, contact TDA at (877) TEX-MEAL or call your Education Service Center (ESC) Child Nutrition Program (CNP) Specialist.

### **SNAPS Phone Numbers – Private Schools and RCCIs Only**

If you encounter problems while working in SNAPS, contact TDA at (888) 221-4339 or call your ESC CNP Specialist.

To inquire on the receipt of claims submitted, status of claim payments or other financial information, contact TDA at (800) 264-5732.

### **List of Forms and Required Records**

A **bolded** item must be completed daily, monthly or annually to participate in the NSLP and/or SBP. Other forms listed may be required daily, monthly or annually if a SFA has implemented additional program features, such as Severe Need Breakfast, Afterschool Care Program, etc.

<b>Forms</b>	<b>Section Name (Number)</b>
Afterschool Care Program Monitoring Checklist	Afterschool Care Program (10)
Amending the Policy Statement	Application Agreement/Renewal (2)
Amendment to Policy Statement for Free and Reduced-Price Meals	Application Agreement/Renewal (2)
Attachment A – Designation of Hearing, Reviewing and Verifying Official	Application Agreement/Renewal (2)
Attachment B – Meal Count/Collection Procedures	Application Agreement/Renewal (2)
Attachment C – Prototype Media Release for Free and Reduced-Price Meals	Application Agreement/Renewal (2)
Attachment K – Menu Planning System	Application Agreement/Renewal (2)
Certificate of Authority/Request for External Access	Application Agreement/Renewal (2)
U.S. Department of Agriculture, Certificate Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion (if applicable)	Procurement (17)
Certification Regarding Lobbying (if applicable)	Procurement (17)
National School Lunch Program and School Breakfast Program On-site School Review (if applicable)	Counting and Claiming (7)
School Nutrition Program Self-Assessment Tool	Coordinated Review Effort (23)
Daily Participation Record	Counting and Claiming (7)
Daily Record of Income	Financial Information (14)
Disclosure of Lobbying Activities (if applicable)	Procurement (17)
Discrimination Complaint Form	Other Operational Issues (19)
Local Education Agency (LEA) Verification Summary Worksheet	Verification (6)
Eating and Feeding Evaluation: Children with Special Dietary Needs	Accommodating Children with Special Needs (13)
Exclusive Beverage Contract (if applicable)	TPSNP (20)
Focused Sampling Worksheet (if applicable)	Verification (6)
Food Production Records	Breakfast (8), Lunch (9)
Letter Households May Have Employer Complete – Statement of Earnings	Verification (6)
Letter Household May Have SNAP/TANF Office Complete – Statement of SNAP/TANF Benefits	Verification (6)

<b>Forms</b>	<b>Section Name (Number)</b>
Letter Household May Have Social Security Office Complete – Social Security and/or Supplement Income (SSI)	Verification (6)
Letter of Adverse Action for SNAP/TANF Households	Verification (6)
Letter of Verification Results and Adverse Action for Income Households	Verification (6)
Letter to Household of Approval/Denial of Benefits	Determining Eligibility (4)
Letter to Households of Selection for Verification of Eligibility	Verification (6)
Letter to the SNAP/TANF Office from the LEA	Verification (6)
Media Release for Free and Reduced-Price Meals	Application Agreement/Renewal (2)
Notification of Continuation of Benefits as a Result of Verification	Verification (6)
Notification of Predetermined Eligibility (Direct Certification)	Determining Eligibility (4)
Notification of Predetermined Eligibility (Head Start/Early Head Start)	Determining Eligibility (4)
Notification of Predetermined Eligibility (Migrant)	Determining Eligibility (4)
Plan for Reducing Excessive Operating Balance	Financial Information (14)
Product Analysis and Product Formulation Statement for Meat/Meat Alternates (M/MA)	Lunch (9)
Product Analysis (Product Formulation) Information to Provide for Grains/Breads Product	Lunch (9)
Random Sampling Worksheet (if applicable)	Verification (6)
Record of Program Expenditures	Financial Information (14)
Request for Child Nutrition Program Application/Agreement Package (New Applicants)	Application Agreement (2)
School Meals Initiative (SMI) Review	School Meals Initiative (24)
School Selection Worksheet	Coordinate Review Effort (23)
Student-Parent Involvement Activity Form	Other Operational Issues (19)
Seamless Summer Option On-Site Monitoring Form	Seamless Summer Option (12)
Temperature Recording Chart	USDA-Donated Foods (21)
Verification Record	Verification (6)