

Required Records and Due Dates—Table of Contents

Summary of Required Records	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>	
Reimbursement Claims	3.4
<i>Reimbursement Claim Procedure</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>	
Listing of Forms and Required Records	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 (F&N) 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 contracting entity (CE) is strongly encouraged to use the template forms and letters provided by TDA. The CE may elect to develop other forms and letters more suitable to the individual needs of the CE 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
- Download and/or Direct Certification (DC) List

Once-A-Year Records to be Completed

The table on the next page indicates the records that must be complete annually.

Record	Completion Date
Verification Summary Sheet (Completed in TX-UNPS)	November 15
On-Site Review	February 1
Verification Summary Report to TDA (completed in TX-UNPS)	February 1
Food Service Management Companies (FSMC), Request for RFP due to TDA	March 15
Application for Seamless Summer Option (SSO) (Completed in TX-UNPS)	May 1
Seamless Summer Option (SSO) Site Application (Completed in TX-UNPS)	May 1
Provision 2 Application, if applicable (Completed in TX-UNPS)	May 15
Food Service Management Company (FSMC) Contracts due to TDA (Completed in TX-UNPS)	May 31
Provision 2 (Base Year SFAs) Percentage Calculation Form	June 30
Application/Renewal (Completed in TX-UNPS)	July 1
Site Application (Completed in TX-UNPS)	July 1

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

Designation of Hearing, Reviewing and Verification Official (Attachment A)
Attachment B: Meal Count/Collection Procedures
Menu Planning System (Attachment K)

Due Dates by Month

July 1

The following items must be updated in TX-UNPS prior to submitting any reimbursement claims for the upcoming school year:

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

August 1

All Provision 2 CEs 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 Media Release (Attachment C), 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 children as early as possible and preferably before the distribution of applications for free and reduced-price school meals. TDA F&N provides information on directly certified students via TX-UNPS by July 1, with monthly updates.

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.

Form FND 101, *Certificate of Authority for External Users* must be completed if authorized representatives for the CE have changed.

Attachment B: Meal Count/Collection Procedures and the selection of the CE'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 CE'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.

February 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 CE 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 CE to TDA. TDA is responsible for paying the federal reimbursement for the reimbursable meals claimed as served by category during the claiming period. CEs submit their claim for reimbursement via TX-UNPS.

The reimbursement claim should be received by TDA on or before the 10th 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. Accuclaim errors are generated on basic claims when the number of free or reduced price lunches served exceeds the attendance factor for that CE. When an Accuclaim error is displayed on the basic claim, a letter or e-mail will be sent to the CE 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 60th 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 60th 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

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 TX-UNPS must be received by F&N 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. TDA does not reimburse claims submitted after 60 days following the last day of the claim month.

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 CE 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).

Late Claims

A late claim is one received by F&N later than 60 days after the last day of the claim month. A late claim constitutes a program noncompliance; therefore, the CE 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 CE's behalf

Once the CE 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 (not each SNP you administer). If the CE submits late claims for several months at the same time, the CE may choose the claim month for which the one-time exception may be used.

If you have...	Then you may...
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 CE 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 CE has already used their one-time exception provision for a late claim within the previous 36 months, F&N 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 CE’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 CE 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 CE because an alternative would be available include:

- absence of personnel on the 60th day, for reasons other than a life-threatening injury or illness;
- TX-UNPS 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. CEs 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 Food and Nutrition Division (FND) Agreement on hold status if repeated amended claims are submitted. The suspension or hold remains in effect until the CE 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 CE 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 CE for any underpayment and require the CE 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 TX-UNPS. 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 TX-UNPS, or contact TDA at (877) TEX-MEAL for further instructions.

Overclaims and Refunds

When an overclaim of SNP funds is discovered by a CE, please submit a revised reimbursement claim electronically via TX-UNPS or contact TDA for further instructions. When an overclaim of SNP funds is discovered during the course of an administrative review, the CE 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.

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

Please refer to the list of forms and required records below. An item may be completed daily, monthly or annually to participate in the NSLP and/or SBP.

Forms	Section Name (Number) or Location
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)
Designation of Hearing, Reviewing and Verifying Official (Attachment A)	TX-UNPS or <i>School Nutrition Programs Application for Participation</i>
Attachment B – Meal Count/Collection Procedures	Application Agreement/Renewal (2)
Prototype Media Release for Free and Reduced-Price Meals (Attachment C)	Application Agreement/Renewal (2)
Menu Planning System (Attachment K)	TX-UNPS or <i>School Nutrition Programs Site Application</i>
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)

Forms	Section Name (Number) or Location
Letter Household May Have SNAP/TANF Office Complete – Statement of SNAP/TANF Benefits	Verification (6)
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	Verification (6)
Prototype 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)
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 Foods (21)
Verification Record	Verification (6)