

Appendix F: Estimates of the Hour Burden of the Collection of Information - Narrative

Reporting Requirements—7 CFR Part 226 Child and Adult Food Care Program (CACFP)

State Agencies (SA)

1. Section 226.6(b) requires SAs to notify institution of approval or disapproval of application within 30 days of receipt of a complete application.

FNS estimates 56 SAs will each file 15 reports annually for a total of 840 responses ($56 \times 15 = 840$). The estimated average number of burden hours per response is 0.25 hours resulting in estimated total burden hours of 210 (840×0.25).

2. Section 226.6(c) states that, if the SA determines that a new or renewing institution has committed one or more serious deficiencies, the SA must provide the institution and the responsible principals and responsible individuals with notice of the serious deficiencies.

FNS estimates 56 SAs will each file 5 reports annually for a total of 280 responses ($56 \times 5 = 280$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 70 ($280 \times 0.25 = 70$).

3. Section 226.6(c) also requires that, if the SA determines that a participating institution has committed one or more serious deficiency (ies), the SA must provide the institution and the responsible principals and responsible individuals with notice of the serious deficiency(ies).

FNS estimates 56 SAs will each file 10 reports annually for a total of 560 responses ($56 \times 10 = 560$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 140 ($560 \times 0.25 = 140$).

4. Section 226.6(c) requires SAs to submit a copy of each serious deficiency notice to the FNSRO.

FNS estimates 56 SAs will each file 10 (5 for new or renewing institutions plus 5 for participating institutions) reports annually for a total of 560 responses ($56 \times 10 = 560$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 140 ($560 \times 0.25 = 140$).

5. Section 226.6(c) requires SAs to submit a copy of disqualification notice and supportive documentation to the FNSRO.

FNS estimates 56 SAs will each file 5 reports annually for a total of 280 responses ($56 \times 5 = 280$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 70 ($280 \times 0.25 = 70$).

6. Section 226.6(c)(8) (C)(ii) states that, within 10 days of receiving a notice of termination and disqualification from a sponsoring organization, the SA must provide the appropriate FNSRO the name, mailing address, and date of birth of each day care home provider whose agreement is terminated for cause.

FNS estimates 56 SAs will each file 12 reports annually for a total of 672 responses ($56 \times 12 = 672$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 168 ($672 \times 0.25 = 168$).

7. Section 226.6(d)(1) & (e) requires SAs to establish licensing/compliance review procedures for child care centers, day care homes, outside-school hours care centers and adult day centers. Since SAs currently administer the Program in accordance with licensing/compliance review procedures, the burden associated with this requirement is now to revise/update the established procedures as necessary.

FNS estimates 10 SAs will each file 1 report annually for a total of 10 responses ($10 \times 1 = 10$). The estimated average number of burden hours per response is 1.0 resulting in estimated total burden hours of 10 ($10 \times 1 = 10$).

8. Section 226.6(d)(3) requires SAs to establish alternate procedures for review of institutions for which licensing or approval is not available.

FNS estimates 10 SAs will each file 1 report annually for a total of 10 responses ($10 \times 1 = 10$). The estimated average number of burden hours per response is 3.0 resulting in estimated total burden hours of 30 ($10 \times 3 = 30$).

9. Section 226.6(f)(1)(vii)(D) requires SAs to provide day care home sponsors a listing of State-funded programs, participation in which by a parent or child will qualify a meal served to a child in a tier II home for the tier I rate of reimbursement.

FNS estimates 56 SAs will each provide **15** reports annually for a total of **840** responses ($56 \times 15 = 840$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of **210** ($840 \times 0.25 = 210$). **Change in burden is related to change in number of day care home sponsors.**

10. Section 226.6(f)(1)(ii) requires SAs to provide all institutions a copy of the income standards to be used by institutions for determining the eligibility of participants for free and reduced-price meals under the Program.

FNS records 56 SAs will each file 1 report annually for a total of 56 responses ($56 \times 1 = 56$). The estimated average number of burden hours per response is 0.5 resulting in estimated total burden hours of 28 ($56 \times 0.5 = 28$).

11. Section 226.6(f)(1)(vii) requires SAs to provide day home sponsoring organizations a list of elementary schools in which at least one-half of the children enrolled receive free/reduced price (f/rp) meals.

FNS estimates 56 SAs will each provide **15** reports annually for a total of **840** responses ($56 \times 15 = 840$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of **210** ($840 \times 0.25 = 210$). **Change in burden is related to change in number of day care home sponsors.**

12. Section 226.6(f)(1)(vii)(E) requires SAs to submit to the SNAP SA list of providers receiving Tier I benefits based on SNAP participation.

FNS estimates 56 SAs will each provide 1 report annually for a total of 56 responses ($56 \times 1 = 56$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 14 ($56 \times 0.25 = 14$).

13. Section 226.6(f)(1) (ix)(A) SAs to provide at-risk-afterschool care centers and sponsoring organizations the list of schools in which one-half of children enrolled are eligible for free or reduced-price meals.

FNS estimates 56 SAs will each provide 1 report annually for a total of 56 responses ($56 \times 1 = 56$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 14 ($56 \times 0.25 = 14$).

14. Section 226.6(f)(3)(iii) requires SAs to provide census data to day care home sponsoring organizations.

FNS estimates 56 SAs will each provide 15 reports annually for a total of 840 responses ($56 \times 15 = 840$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 210 ($840 \times 0.25 = 210$).

15. Section 226.6 (h) requires the SA, by June 1 each year, to submit to the State commodity distribution agency a list of institutions receiving commodities.

FNS estimates 15 SAs will each provide 1 report annually for a total of 15 responses ($15 \times 1 = 15$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 3.75 ($15 \times 0.25 = 3.75$).

16. Section 226.6 (i) requires SAs to develop standard contract for use between institutions and food service management companies.

FNS estimates 56 SAs will each provide 1 report annually for a total of 56 responses ($56 \times 1 = 56$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 14 ($56 \times 0.25 = 14$).

17. Section 226.6(k)(4)(i) requires SAs to annually submit admin review (appeal) procedures to all institutions.

FNS estimates 56 SAs will each provide **376** reports annually for a total of **21,056** responses ($56 \times 376 = 21,056$). The estimated average number of burden hours per response is .0167 resulting in estimated total burden hours of **351.64** ($21,056 \times .0167 = 351.64$). **Change in burden is related to change in the number of sponsors.**

18. Section 226.6(k)(4)(ii) requires each SA to submit admin review procedures to institutions when applicable action taken.

FNS estimates 56 SAs will each provide 5 reports annually for a total of 280 responses ($56 \times 5 = 280$). The estimated average number of burden hours per response is .25 resulting in estimated total burden hours of 70 ($280 \times .25 = 70$).

19. Section 226.6(l) mandates that the SA must ensure that, when a sponsoring organization proposes to terminate its Program agreement with a day care home for cause, the day care home is provided an opportunity for an administrative review of the proposed termination. The State agency may do this either by electing to offer a State-level administrative review, or by electing to require the sponsoring organization to offer an administrative review. This requirement had to be enacted by September 25, 2002. The SA must notify the appropriate FNSRO of any change it later makes within 30 days of any subsequent change.

FNS estimates 18 SAs will each provide 1 report annually for a total of 18 responses ($18 \times 1 = 18$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 4.5 ($18 \times 0.25 = 4.5$).

20. Section 226.6(m)(5) states that, as part of their monitoring of institutions, SAs must establish systems for making household contacts to verify the enrollment and attendance of participating children. Annually, SA must revise/edit household contact policies as necessary.

FNS estimates 15 SAs will each provide 1 report annually for a total of 15 responses ($15 \times 1 = 15$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 3.75 ($15 \times 0.25 = 3.75$).

21. Section 226.6 (p) requires SAs to develop/revise and provide sponsoring organization agreement between sponsor and facilities.

FNS estimates 15 SAs will each provide 1 report annually for a total of 15 responses ($15 \times 1 = 15$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of 3.75 ($15 \times 0.25 = 3.75$).

22. Section 226.7(c) requires that each SA submit to the FNS regional office a written plan for correcting serious deficiencies noted in management evaluations/audits.

FNS estimates that 28 SAs will each provide 1 report annually for a total of 28 responses ($28 \times 1 = 28$). The estimated average number of burden hours per response is 5.0 resulting in estimated total burden hours of 140 ($28 \times 5 = 140$).

23. Section 226.7(d) requires that each SA submit to FNS the final Report of the Child and Adult Care Food Program (FNS-44) for each month which shall be limited to claims submitted in accordance with Program regulations and which shall be postmarked and/or submitted no later than 90 days following the last day of the month covered by the report. Upward adjustments to a State agency's report shall not be made after 90 days from the month covered by the report unless authorized by FNS.

FNS-44 is collected through the Food Program and Reporting System (FPRS). This form and its associated reporting burden is now covered and approved under 0584-0594 Food Program and Reporting System (FPRS), expiration date June 30, 2019. Therefore, FNS is removing the form and its associated reporting burden from this collection at this time because it is duplicative burden. **This removes 1,344 burden hours from this collection.**

24. Sections 226.7 (h), (i) & (j) requires SAs to establish procedures for start-ups, advances, and recovery of over-payments. Annually, SA must revise/edit these policies as necessary.

FNS estimates 10 SAs will each provide 1 report annually for a total of 10 responses ($10 \times 1 = 10$). The estimated average number of burden hours per response is 2.0 resulting in estimated total burden hours of 20 ($10 \times 2 = 20$).

25. Section 226.7 (k) requires each State agency to establish procedures for institutions to properly submit claims for reimbursement. Annually, SA must revise/edit these policies as necessary.

FNS estimates 56 SAs will each provide 12 reports (number of reports were corrected with this renewal) annually for a total of 672 responses ($56 \times 12 = 672$). The estimated average number of burden hours per response is 1.0 resulting in estimated total burden hours of 672 ($672 \times 1 = 672$).

26. Section 226.9 (a) requires each SA to assign rates of reimbursement, not less frequently than annually, on the basis of family-size and income information reported by each institution. Assigned rates of reimbursement may be changed more frequently than annually if warranted by changes in family-size and income information. Assigned rates of reimbursement shall be adjusted annually to reflect changes in the national average payment rates.

FNS estimates 56 SAs will each provide 1 report annually for a total of 56 responses ($56 \times 1 = 56$). The estimated average number of burden hours per response is .25 resulting in estimated total burden hours of 14 ($56 \times .25 = 14$).

27. Section 226.10(e) requires that a final Claim for Reimbursement be postmarked and/or submitted to the State agency not later than 60 days following the last day of the full month covered by the claim.

FNS estimates 56 SAs will each provide 12 reports annually for a total of 672 responses ($56 \times 12 = 672$). The estimated average number of burden hours per response is 2 resulting in estimated total burden hours of 1,344 ($672 \times 2 = 1,344$).

28. Section 226.14 mandates that SAs disallow any portion of a claim for reimbursement and recover any payment to an institution not properly payable under Program regulations. Annually SAs revise/edit procedures to comply with this requirement.

FNS estimates 56 SAs will each provide **38** reports annually for a total of **2,128** responses ($56 \times 38 = 2,128$). The estimated average number of burden hours per response is 0.0167 resulting in estimated total burden hours of **35.54** ($2,128 \times 0.0167 = 35.54$). **Change in burden is due to change in number of respondents (institutions).**

Removed from Burden – Not a Reporting Requirement:

29. Section 226.6(n) mandates that each SA shall promptly investigate complaints received or irregularities noted in connection with the operation of the Program, and shall take appropriate action to correct any irregularities. The average number of irregularities reported annually has increased to 21. The annual responses per respondent have been increased accordingly. FNS estimates 56 SAs will each provide 21 reports annually for a total of 1,176 responses ($56 \times 21 = 1,176$). The estimated average number of burden hours per response is 1.5 resulting in estimated total burden hours of $1,176 \times 1.5 = 1,764$. Reduction in response time is related to improved SA processes and technology.

Sponsors/Institutions

1. Sections 226.6 (d)-(e) and 226.6(f)(1)(vi) require that sponsors and institutions submit documentation to demonstrate that child care centers, outside-school-hours care centers, at-risk afterschool care centers, day care homes, and adult day care centers are in compliance with licensing/approval criteria.

FNS estimates **21,052** sponsors/institutions will each provide 1 report annually for a total of **21,052** responses ($21,052 \times 1 = 21,052$). The estimated average number of burden hours per response is 0.0835 resulting in estimated total burden hours of **1,757.84** ($21,052 \times 0.0835 = 1,757.84$). **Change in burden is related to change in number of sponsors.**

2. Section 226.6(f)(1)(iii) requires sponsors/institutions to submit current eligibility information on enrolled participants to be used to calculate reimbursement rates.

FNS estimates **21,052** sponsors/institutions will each provide 12 reports annually for a total of **252,642** responses ($21,052 \times 12 = 252,642$). The estimated average number of burden hours per response is 0.5 resulting in estimated total burden hours of **126,312** ($252,642 \times 0.5 = 126,312$). **Change in burden is related to change in number of sponsors.**

3. Section 226.6(f)(1) (viii)(E) requires sponsoring organizations of day care homes to submit a list of family day care home providers receiving Tier I benefits based on SNAP participation.

FNS estimates **819** sponsors will each provide report 1 annually for a total of **819** responses ($819 \times 1 = 819$). The estimated average number of burden hours per response is 0.02 hours resulting in estimated total burden hours of **13.68** ($819 \times 0.02 = 13.68$). **The previous ICR incorrectly estimated the number of sponsors. The decrease in burden is due to correcting the number of sponsors.**

4. Sections 226.10 and 226.15(i) require sponsors/institutions to report to SA number of meals claimed for reimbursement.

FNS estimates **21,052** sponsors/institutions will each provide 12 reports annually for a total of **252,624** responses ($21,052 \times 12 = 252,624$). The estimated average number of burden hours per response is 1.90 resulting in estimated total burden hours of **479,985** ($252,624 \times 1.90 = 479,985$). **Change in burden due to change in number of sponsors.**

5. Sections 226.13 (d)(3)(i) thru (iii) requires sponsoring organizations of family day care homes to establish reimbursement rates for Tier 2 providers with income-eligible children.

FNS estimates **819** sponsors will each provide 5 reports annually for a total of **4,095** responses ($819 \times 5 = 4,095$). The estimated average number of burden hours per response is 0.3 resulting in estimated total burden hours of **1,228** ($4,095 \times 0.3 = 1,228$). **Change in burden is due to a decrease in the number of family day care home sponsors.**

6. Section 226.15(b) requires new institutions to submit an application for participation.

FNS estimates 250 new institutions will each provide 1 report annually for a total of 250 responses ($250 \times 1 = 250$). The estimated average number of burden hours per response is 8.0 resulting in estimated total burden hours of 2,000 ($250 \times 8 = 2,000$).

7. Section 226.15(b) also requires participating institutions to submit documentation required for renewal.

FNS estimates **21,052** participating institutions will each provide 1 report annually for a total of **21,052** responses ($21,052 \times 1 = 21,052$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of **5,263** ($21,052 \times .25 = 5,263$). **Change in burden due to change in number of institutions.**

8. Section 226.23 states that independent centers and sponsoring organizations of centers shall develop a policy statement for determining eligibility for free and reduced price meals.

FNS estimates 840 sponsors/institutions will each provide 1 report annually for a total of 840 responses ($840 \times 1 = 840$). The estimated average number of burden hours per response is 0.2 resulting in estimated total burden hours of 14.028 ($840 \times 0.2 = 14.028$).

9. Section 226.23(l) states child care institutions that plan to use or disclose information about children eligible for free and reduced price meals in ways not specified in the regulations

must obtain written consent from children’s parents or guardians prior to the use or disclosure.

FNS estimates 196 institutions will each provide 1 report annually for a total of 196 responses ($196 \times 1 = 196$). The estimated average number of burden hours per response is 0.08 resulting in estimated total burden hours of 16.268 ($196 \times 0.08 = 16.268$).

10. Section 226.23(m) states that a child care institution should have a written agreement or MOU with programs or individuals receiving eligibility information, prior to disclosing children’s free and reduced price meal eligibility information.

FNS estimates 196 institutions will each provide 1 report annually for a total of 196 responses ($196 \times 1 = 196$). The estimated average number of burden hours per response is 0.08 resulting in estimated total burden hours of 16.268 ($196 \times 0.08 = 16.268$).

11. Section 226.6(n) - CACFP Tiering Assessment: FNS prepares an annual national estimate of the share of CACFP-participating family day care homes that are approved for an incorrect level of per meal reimbursement, or reimbursement "tier," for their circumstances. Tiering errors result in improper payments because misclassified family day care homes do not receive the appropriate level of reimbursement for the meals and snacks provided to the children. The assessment also estimates the dollar amount of improper payments attributable to family day care home tiering errors.

While most of the data for the assessment is drawn from previously-collected administrative records and publicly-available Census Group Block eligibility data, in a small number of cases in which accuracy cannot be verified through these data, additional documentation must be requested from family day care home sponsors. FNS authority to collect such data is found in 7 CFR Section 226.6(n) Program irregularities, which states that “FNS and OIG may make investigations at the request of the State agency, or whenever FNS or OIG determines that investigations are appropriate.”

FNS estimates 60 institutions will each provide 1 report annually for a total of 60 responses ($60 \times 1 = 60$). The estimated average number of burden hours per response is 1.5 resulting in estimated total burden hours of 90 ($60 \times 1.5 = 90$).

Facilities

1. Sections 226.11(2), 226.17(b)(9) and 226.17a(p) requires facilities to submit daily meal count records to sponsoring organizations monthly.

FNS estimates **66,893** facilities will each provide 12 reports annually for a total of **802,716** responses ($66,893 \times 12 = 802,716$). The estimated average number of burden hours per response is 0.25 resulting in estimated total burden hours of **200,679** ($802,716 \times 0.25 = 200,679$). **Change in burden due to change in number of facilities.**

2. Sections 226.13 (d)(1) thru (3) & 226.18 (e) requires day care home providers to submit daily meal counts to sponsors monthly.

FNS estimates **113,847** facilities will each provide 12 reports annually for a total of **1,366,164** responses ($113,847 \times 12 = 1,366,164$). The estimated average number of burden hours per response is 0.5 resulting in estimated total burden hours of **683,082** ($1,366,164 \times 0.5 = 683,082$). **Change in burden due to change in number of day care homes.**

Households

1. Sections 226.15(e)(2), 226.17(8), & 226.18(e) require households to annually update enrollment documentation, signed by a parent or legal guardian, and include information on child's normal days and hours of care and the meals normally received while in care.

FNS estimates **2,626,310** households will each provide **1.59** enrollment documents annually for a total of **4,180,025** responses ($2,626,310 \times 1.59 = 4,180,025$). The estimated average number of burden hours per response is 0.083 resulting in estimated total burden hours of **346,942** ($4,180,025 \times 0.083 = 346,942$). **Change in burden is related to change in number of households and an increase in the number of responses per respondent. The previous burden estimated 1 response per household; this was corrected as parents are required to complete documentation for each child, and some parents have more than 1 child.**

2. Section 226.20(g)(3) requires written requests from parents or guardians for substitutions to milk and food requirements.

FNS estimates that 225,726 households will provide 1 written request for substitutions annually for a total of 225,726 responses. The estimated average number of burden hours per response is 0.083, resulting in an estimated total burden hours of 18,811. **Addition of this burden is due to program changes.**

**Recordkeeping Requirements—7 CFR Part 226
Child and Adult Food Care Program (CACFP)**

State Agencies (SA)

1. Section 226.6 requires SAs to collect and maintain on file CACFP agreements, records received from applicant and participating institutions and documentation of administrative review and Program assistance activities, results, and corrective actions.

FNS estimates 56 SAs will each provide 5 reports annually for a total of 280 responses (56 X 5 = 280). The estimated average number of burden hours per response is 1 resulting in estimated total burden hours of 280 (280 X 1 = 280).

2. Section 226.6(c)(8)(ii) requires each SA to maintain a State agency list that includes a synopsis of information concerning seriously deficient institutions and providers terminated for cause in that State.

FNS estimates 56 SAs will each provide 1 report annually for a total of 56 responses (56 X 1 = 56). The estimated average number of burden hours per response is 0.5 resulting in estimated total burden hours of 28 (56 X 0.5 = 28).

3. Section 226.6 (n) requires each SA to maintain a record of findings of irregularities in investigations.

FNS estimates 56 SAs will each provide 21 reports annually for a total of 1,176 responses (56 X 21 = 1,176). The estimated average number of burden hours per response is 1.5 resulting in estimated total burden hours of 1,764 (1,176 X 1.5 = 1,764). **This burden is unchanged but was previously calculated under reporting requirements and is moved to recordkeeping.**

Sponsors/Institutions

1. Sections 226.10(d) and 226.15(e) state that sponsors/institutions collect and maintain for a period of 3 years and the current year Program applications, enrollment documents, income eligibility forms, attendance records, menus, meal counts, invoices and receipts, claims for reimbursement, licenses, administrative and operating costs records, training documentation, and any other records required by the SA.

FNS estimates **21,052** institutions will each provide 3 reports annually for a total of **63,156** responses (21,052X 3 = 63,156). The estimated average number of burden hours per response is 1.0 resulting in estimated total burden hours of **63,156** (63,156X 1 = 63,156). **Change in burden is due to change (increase) in number of respondents.**

2. Section 226.15(e)(3) requires sponsoring organizations to maintain documentation used to classify homes as Tier 1.

FNS estimates **819** institutions will each provide **120** reports annually for a total of **98,280** responses ($819 \times 120 = 98,280$). The estimated average number of burden hours per response is 0.025 resulting in estimated total burden hours of **2,457** ($98,280 \times 0.025 = 2,457$). **Change in burden is due to change in number of record keepers.**

3. Section 226.23(h)(6) requires sponsoring organizations to maintain information to verify homes that qualify as Tier 1 based on provider's income.

FNS estimates **819** institutions will each provide **40** reports annually for a total of **32,760** responses ($819 \times 40 = 32,760$). The estimated average number of burden hours per response is 0.025 resulting in estimated total burden hours of **819** ($32,760 \times 0.025 = 819$). **Change in burden is due to change in number of record keepers.**

Facilities

1. Sections 226.15(e), 226.17(c), 226.17a(o), 226.18(g), 226.19(c) and 226.19a(c) require facilities to collect and maintain for a period of 3 years and the current year Program applications, enrollment documents, income eligibility forms, attendance records, menus, meal counts, invoices and receipts, claims for reimbursement, licenses, administrative and operating costs records, training documentation, and any other records required by the SA.

FNS estimates **180,740** facilities will each provide 3 reports annually for a total of **542,220** responses ($180,740 \times 3 = 542,220$). The estimated average number of burden hours per response is 1.0 resulting in estimated total burden hours of **542,220** ($542,220 \times 1.0 = 542,220$). **Change in burden is due to change in number of respondents only.**