

TO: CACFP Sponsoring Organizations of Day Care Homes

FROM: Sandra J Rhoades, Director, Homes Administration Unit
Child and Adult Care Food Program

DATE: November 29, 2013

SUBJECT: Procedural Changes with CIPS Implementation - Part 2

In March 2013, CACFP issued memorandum 2013-01, Procedural Changes with CIPS Implementation to formalize changes to CACFP procedures precipitated by the CACFP Information and Payment System (CIPS). This memorandum clarifies and formalizes additional procedural changes that were previously communicated to Sponsors through Adobe Connect Training, email and conversations with State staff. All procedures are effective immediately.

I. Approval of New Provider Applications

New provider applications must be data entered into CIPS and sent to CACFP immediately upon completion.

- A. Tardy Submission of New Provider Applications: CACFP must approve the Continuous Application and Agreement (CACFP-3705) within the 60-day deadline of the claim month in which a provider begins to participate. Complete CACFP -3705, and if needed, Provider Transfer Form (DOH-4219), and/or On-Site Provider Addendum (CACFP-160), must be submitted within this time frame.

CACFP will no longer honor requests to approve new providers for back claims when the CACFP -3705, and other forms when required, are received by CACFP more than 60 days past the month of the pre-approval date. For example:

The CACFP -3705 for a provider with a pre-approval date of 8/12/2013 is received by CACFP on 11/04/2013, which is beyond the 60-day deadline to claim for the month of August 2013. In this scenario, the provider will be approved to claim beginning September 1, 2013.

- B. Failure to Enter New Providers into CIPS: CACFP cannot approve a new provider until that provider is entered into CIPS, approved by the Sponsoring Organization, and a CACFP -3705 is received. Further, CACFP will no longer honor requests to approve new providers for back claims if the DCH Provider Application in CIPS is not submitted within the 60-day deadline. For example:

A new provider's pre-approval date is 8/12/2013, but was not entered into CIPS until 11/04/2013, which is beyond the 60 day deadline for an August 2013 claim. In this scenario, the provider will be approved to claim beginning September 2013.

II. CCFS Changes

CIPS receives daily updates from the Child Care Facility System (CCFS) on the registration, licensing and enrollment status for participating DCH providers. It is the Sponsors' responsibility to monitor and process CCFS changes for their providers. Sponsors should review CIPS daily in order to monitor the status of their providers.

- A. Failure to Approve CCFS Changes for Closed Providers: CIPS automatically sets a provider to a closed status when the facility ID changes to a non-payable status, such as Closed, Inactive or Suspended. The CIPS closed effective date is set to the effective date of the CCFS status change. Information on a facility-related closure is only retained by CCFS, and by proxy CIPS, for 30 days past the closure date. A provider can be claimed up to the closure date, but the Sponsor must approve the CCFS change before the 30-days lapse. Failure to do so means the Sponsor cannot process a final claim for the closed provider.

CACFP can no longer honor requests to pay closed providers when the Sponsor neglects to approve a provider closure within the 30-day period.

- B. Facility ID Changes for Moved Providers: Facility ID changes occur when a provider moves to a new location. When CIPS receives information from CCFS that a provider's previous registration or license is closed due to a move, it will mark the provider's application as Closed/Pending Validation.
1. Sponsors do not need to obtain a new, signed CACFP -3705 for providers who move, but must conduct a pre-approval visit before the provider can continue to participate. The date of the pre-approval visit is used to determine the date that the provider can begin to claim again. Therefore, the pre-approval date must be conducted as soon as the new registration or license is issued.
 2. When a provider moves, the old location license will be closed in CIPS. Sponsors will make changes or updates to the provider's application and leave the application in the "Submitted" status.
 3. Only CACFP staff can remove the closure; therefore, Sponsors must call or email CACFP to have the CIPS closure removed. CACFP will then set the Submission of First Claim Date and Application Effective Date, and approve the application.

CACFP can no longer honor requests to pay moved providers prior to the pre-approval visit date for the new location.

4. On-Site Provider Changes: A new version of a provider's application is created in CIPS when CCFS changes the on-site provider. CIPS will put the provider's application in a Submitted status, which needs to be approved by the Sponsor. Before approving the on-site provider change, Sponsors must obtain and submit an updated CACFP-160 to CACFP.

Remember to update the Application Effective Date (E1) under the Sponsor Use Only tab in CIPS to reflect the effective date of the on-site provider change. This will

ensure that the correct provider's name is reflected on the claims, when the fix is installed.

CACFP cannot pay new on-site providers until a signed CACFP-160 is received.

III. Transferring Providers

- A. CIPS is designed to track transfers of providers from one sponsor to another to ensure adherence to the rule limiting transfers to no more than once per 12 month period. Please refer to Policy Memo DOH-CACFP Number 165 (03/13), Policy for Provider Transfers, available on CACFP's website.
- B. The actual transfer of a provider in CIPS can only be completed by CACFP staff. Sponsors are asked to call CACFP when they wish to transfer a provider so the process can be initiated. A faxed copy of the provider's CACFP-3705 and DOH-4219 will need to be submitted for CACFP to initiate the transfer. Once initiated, CACFP will notify the Sponsor to finish entering data for the provider and submit it for final approval. It is not necessary for the transferring Sponsor to close the provider as CACFP will complete this as part of the official transfer process.

IV. General Instructions for Effective Use of CIPS

There are steps Sponsors should take when revising and approving a provider's application that will allow CIPS to function more smoothly and eliminate the need for CACFP to intervene. Please make sure your staff knows the following:

- A. Application Effective Date: The Application Effective Date (E1) under the Sponsor Use Only tab should be set *every* time a new version of the application is created and approved. There are certain edits within CIPS that use the Application Effective Date to determine eligibility to claim.

Summary	License/Reg. ✓	Tiering ✓	Hours/Meals ✓	Ethnic/Racial ✓	Sponsor Use Only ✓
Sponsor Use Only					
E1. Application Effective Date:	08/01/2013 ▾				
E2. Preapproval Visit Date:	07/29/2013				
E3. Provider signed DOH-3705 Date:	12/14/2006				
E4. Sponsor signed DOH-3705 Date:	12/14/2006				
E5. Monitor:	mn				
E6. Facility ID Change:					
E7. Application Status:	Pending Validation ▾				

- B. Preapproval Visit Date: The Preapproval Visit Date (E2) should only be changed when a provider has moved or is reactivating after a six month lapse in participation.

Summary	License/Reg. ✓	Tiering ✓	Hours/Meals ✓	Ethnic/Racial ✓	Sponsor Use Only ✓
Sponsor Use Only					
E1. Application Effective Date:	08/01/2013 ▼				
E2. Preapproval Visit Date:	07/29/2013				
E3. Provider signed DOH-3705 Date:	12/14/2006				
E4. Sponsor signed DOH-3705 Date:	12/14/2006				
E5. Monitor:	mn				
E6. Facility ID Change:	<input type="text"/>				
E7. Application Status:	Pending Validation ▼				

- C. CACFP-3705 Dates: The original Provider signed and Sponsor signed dates (E3 and E4) should *never* be changed. A new CACFP -3705 is not required for CCFS changes to an existing on-site provider or owner/operator. A CACFP -3705 is only required for a new on-site provider or owner/operator and would result in a new CIPS ID.

Summary	License/Reg. ✓	Tiering ✓	Hours/Meals ✓	Ethnic/Racial ✓	Sponsor Use Only ✓
Sponsor Use Only					
E1. Application Effective Date:	08/01/2013 ▼				
E2. Preapproval Visit Date:	07/29/2013				
E3. Provider signed DOH-3705 Date:	12/14/2006				
E4. Sponsor signed DOH-3705 Date:	12/14/2006				
E5. Monitor:	mn				
E6. Facility ID Change:	<input type="text"/>				
E7. Application Status:	Pending Validation ▼				

- D. Multiple Versions: Avoid creating unnecessary versions of a provider's application by making sure all the tabs are current and up-to-date. Versions can be left in a Pending Validation or Submitted status until all the information is available and ready to be approved. When in doubt, contact CACFP staff before approving a revision. Don't end up with one of these:

Provider Applications

Action	Effective Claim Period	Version	Tier	Status	Approved Date
View Modify Admin	Aug 2013	13	Tier I	Error	
View	Aug 2013	12	Tier I	Approved	10/8/2013
View	Aug 2013	11	Tier I	Approved	9/25/2013
View	Aug 2013	10	Tier I	Approved	9/25/2013
View	Aug 2013	9	Tier I	Approved	9/13/2013
View	Jul 2013	8	Tier I	Approved	8/12/2013
View	Jul 2013	7	Tier I	Approved	8/12/2013
View	Jul 2013	6	Tier I	Approved	8/12/2013
View	Jul 2013	5	Tier I	Approved	8/1/2013
View	Jul 2013	4	Tier I	Approved	8/1/2013
View	Jul 2013	3	Tier I	Approved	7/30/2013
View	Oct 2011	2	Tier I	Approved	1/16/2013
View	Oct 2011	1	Tier I	Approved	10/1/2011

As a reminder, CIPS training materials are always available on the CACFP Adobe® Connect™ Training Website at: <http://nydontraining.health.state.ny.us>

Please contact a Homes Unit Nutritionist at 1-800-942-3858, select Option 3, if you have any questions.

Attachment: CACFP-104, Provider Updates/Changes (11/13)

TYPE OF CHANGE:	WHAT TO DO:	SUBMIT TO CACFP:	POTENTIAL PENALTIES:
Provider has changed hours of operation, days of operation, meals served or time of meal service	Go into CIPS: <ul style="list-style-type: none"> Click Revise Application Update changes in the Hours/Meals tab Go to Sponsor Use Only tab and update E1. Application Effective Date (this will be 1st day of the month that this change was effective). 	Nothing.	Meals will be disallowed if the time of meal service or day of meal service is not accurately entered in CIPS.
Provider has Moved	Sponsors are no longer required to submit a new CACFP-3705. Sponsor must: <ul style="list-style-type: none"> Conduct a preapproval visit at the Provider's new location. A Provider is NOT eligible to start claiming at their new location until a preapproval visit has been conducted. Revise Provider's application in CIPS. Re-determine and update Provider's tier status on Tiering tab in CIPS. Update any changes in the Hours/Meals tab in CIPS. Next, go to Sponsor Use Only tab and update the following fields: <ul style="list-style-type: none"> E1. Application Effective Date (this will be 1st day of the month that this change was effective") E2. Preapproval Visit Date E6. Facility ID Change. Enter the Provider's new Facility ID number (for Legally Exempt Providers this may not change) DO NOT approve this updated version of the Provider's application. Leave application in a <i>Submitted</i> status. Contact CACFP to remove closure and approve the application.	Nothing is required to be submitted to CACFP. Contact CACFP to remove closure information.	A Provider cannot begin claiming at a new address until the Sponsor has conducted a preapproval visit at the new location. The CACFP organization will also lose any administrative reimbursement for Providers that are NOT eligible to be claiming.
Provider is Re-Activating (after 6 month lapse)	Sponsors are no longer required to submit a new CACFP-3705. Sponsor must: <ul style="list-style-type: none"> Conduct a preapproval visit to the Provider. A Provider is NOT eligible to start claiming again until a preapproval visit has been conducted. Revise Provider's application in CIPS. Verify Provider's tier status has not expired. If necessary, re-determine and update Provider's tier status on Tiering tab in CIPS. Update any changes in the Hours/Meals tab in CIPS. Next, go to Sponsor Use Only tab and update the following fields: <ul style="list-style-type: none"> E1. Application Effective Date (this will be 1st day of the month that the Provider will begin claiming again) E2. Preapproval Visit Date DO NOT approve this updated version of the Provider's application. Leave application in a <i>Submitted</i> status. Contact CACFP to remove closure and approve the application.	Nothing is required to be submitted to CACFP. Contact CACFP to remove closure information.	A Provider will not be able to start claiming again unless closure information is removed.
Transferring Providers	The actual transfer of a Provider in CIPS can only be completed by CACFP staff. In order to have the ability to "Add" a Provider who is transferring in, Sponsors are asked to call CACFP so the process can be initiated. In addition: <ul style="list-style-type: none"> Fax to CACFP a copy of the Provider's completed Continuous Application and Agreement (CACFP-3705) and the Provider Transfer Form (DOH-4219) – this allows CACFP staff to open the Provider so they can be added into CIPS Sponsor staff must then Add Provider and finish entering all data for this Provider Submit the CACFP-3705 and the DOH-4219 to CACFP for approval DO NOT submit any documentation to CACFP for approval unless the Provider's application is in a <i>Submitted</i> status in CIPS 	<ul style="list-style-type: none"> Continuous Application and Agreement (CACFP-3705) Provider Transfer Form (DOH-4219) 	If the Provider information has not been entered into CIPS prior to submission, documentation will be returned to the Sponsor unapproved.
A change in authorized capacity or Provider receives a renewed day care registration or license	CCFS provides CIPS with nightly updates as to the status of a Provider's license, registration and/or notice of enrollment. Once logged into CIPS, Sponsors must look under the heading Provider Totals and click on Applications Pending Approval . This is where all applications with any CCFS updates are placed for approval. <ul style="list-style-type: none"> Sponsors must <i>Approve</i> CCFS updates within 30 days of being notified Click Modify on the latest version of the Provider's application Click Show Changes in the upper right hand corner to review updates Go to the Sponsor Use Only tab and set the new Application Effective Date Go to E7. Application Status and change from <i>Submitted</i> to <i>Approved</i> The Provider must be licensed, registered or enrolled at the new address to continue participation.	Nothing. Sponsors should check for CCFS updates daily.	A Provider may not be claimed as long as their application is in a <i>Submitted</i> status.
Provider has closed or withdrawn from your CACFP Sponsorship	Click on Close Provider button. <ul style="list-style-type: none"> Enter Closed/Terminated Date (this field is automatically completed when CCFS closes, suspends or terminates a Provider) Select a Closed/Terminated Code from the drop down list 	Nothing	No penalty for Providers who have withdrawn from the program.
Provider is terminated for cause	Click on Close Provider button. <ul style="list-style-type: none"> Enter Closed/Terminated Date (this field is automatically completed when CCFS terminates a Provider) Select a Closed/Terminated Code from the drop down list Click on SD Info tab and complete Serious Deficiency information, if applicable. 	Refer to Seriously Deficient guidance or call CACFP.	No penalty for Sponsors who have terminated a Provider. However, Sponsors must follow the Seriously Deficient process and keep CACFP informed of all actions taken.
A change in Provider's name	The Provider must be licensed, registered or hold a Notice of Enrollment under the new name. CCFS will automatically trigger a revision to the Provider's application with the name change. <ul style="list-style-type: none"> Sponsors must approve CCFS updates within 30 days of being notified Click Modify on the latest version of the Provider's application Click Show Changes in the upper right hand corner to review updates Go to Sponsor Use Only tab and set the new Application Effective Date Go to E7. Application Status and change from <i>Submitted</i> to <i>Approved</i> 	Nothing. Sponsors should check for CCFS updates daily.	Provider will not be paid under their new name. There is no way of changing a Provider's name without receiving an update from CCFS.
A change in On-Site Provider	CCFS will automatically trigger a revision to the Provider's application with the change. <ul style="list-style-type: none"> Sponsors must approve CCFS updates within 30 days of being notified Immediately obtain a new CACFP-160 with the owner and new on-site Provider's signature, and submit to CACFP for approval Click Modify on the latest version of the Provider's application Click Show Changes in the upper right hand corner to review updates Go to Sponsor Use Only tab and set the new Application Effective Date Go to E7. Application Status and change from <i>Submitted</i> to <i>Approved</i> 	A new CACFP 160 with owner and new on-site Provider signatures. Sponsors should check for CCFS updates daily.	<ul style="list-style-type: none"> CACFP will not pay any claims unless a new CACFP-160 has been received with the correct signatures. CACFP will continue to pay the on-site Provider listed in CIPS
A change in Provider's Tier status	<ul style="list-style-type: none"> Click Revise Application Click on the Tiering tab and update all applicable information Make sure copies of all required documentation are placed in the Provider's folder Go to Sponsor Use Only tab and set the new Application Effective Date 	Nothing	If the Provider's tiering information is not current in CIPS, the Provider will be <i>Not Eligible</i> to claim.
A change in Provider's enrollment	<ul style="list-style-type: none"> It is extremely important to keep Child Enrollment information current at all times. CIPS should only reflect any information for which there is a paper copy to support it. Whenever there is a revision to the child's enrollment information, you must be sure to set the Form Effective Date to the effective date of the change. Inactivate children that are no longer in care: <ul style="list-style-type: none"> In the Hours/Days/Meals section of the enrollment form be sure to enter Date Care Ends In the Sponsor's Internal Use Only section – change: <ul style="list-style-type: none"> Child Eligibility from <i>Eligible</i> to <i>Ineligible</i> Child Enrollment from <i>Active</i> to <i>Inactive</i> Set the Form Effective Date to the 1st day of the month that the child will no longer be in care. For example, if the Date Care Ends is 9/25/13, the Form Effective Date should be 10/1/13 	Nothing.	<ul style="list-style-type: none"> If the enrollment information in CIPS is not current and correct, a Provider's claim will not be payable. Claiming a child after the Date Care Ends will result in a recovery of funds.