|  |
| --- |
| **SCHOOL FOOD AUTHORITY:****School Year:** |
| **Module: Certification and Benefit Issuance** |
| 100. | Does the SFA meet one of the following criteria: 🞏 SFA-wide Special Provision Non-Base Year (Provision 2/3)  🞏 RCCI, **without** day students 🞏 SFA-wide Community Eligibility ProvisionNote: If one of the above is checked, skip questions 101 – 205 and proceed to question 300. If the SFA does not meet one of the above criteria answer the following questions (101-205). | **YES** | **NO** |
|  |  |
| 🞏 N/A |
| 101. | Who is the determining official for certifying household applications?  |  |
| (Names and/or position titles):  |
| 102. | a. Does the SFA use an electronic applications approval system or a manual **application approval system**? If a combination of electronic and manual is used check both boxes.b. Does the SFA use an electronic benefit issuance system or a manual **benefit issuance system**? If a combination of electronic and manual check both boxes. | **Electronic** | **Manual**  |
| 1. 🞏
2. 🞏
 | 1. 🞏
2. 🞏
 |
| *Electronic application system* means household applications are submitted by the household through a web-based or scanned application system. The system has limited to virtually no manual data entry by the SFA. Records are kept at the SFA electronically. All direct certification matches at the SFA level are completed with a computer match.*Manual application system* means household applications are submitted by the household to the SFA. SFA completes eligibility determination and direct certification matches and enters data manually into a system and/or keeps written records. Hard copy records are kept on file at the SFA.If the SFA has implemented an electronic system, but one or more aspect of the application processing is conducted manually (e.g., applications are submitted online, and also on paper – SFA staff processes paper applications) the reviewer will consider it a manual/combination system. This would include instances where SFA staff are entering paper applications into the online electronic system for determinations.  |
| *Electronic benefit issuance system* means that the transfer of a student’s benefits to the Point of Service document is completed through a computerized system. The system has limited to virtually no manual data entry by the SFA; however, updates to benefits may be made manually in the electronic system. Benefit issuance identification and rosters are kept electronically.*Manual benefit issuance system* means that the transfer of a student’s benefits to the POS document is completed manually by the SFA. All updates to benefits are made manually by the SFA. Benefit issuance identification and rosters are manually developed. Hard copy records are kept on file at the SFA.If the SFA has implemented an electronic system, but one or more aspect of the benefit issuance process is conducted manually (i.e., the SFA has an electronic benefit issuance system at most sites, but utilizes rosters/ tickets/tokens or any other benefit issuance method at some sites and SFA staff must manually make updates to those alternate systems), the reviewer will consider it a manual/combination system.  |
| 103. | At the beginning of the school year, how is benefit status handled for children who have not submitted an application for the current school year? |
| Comments: |
| 104. | **If the SFA has an electronic application approval system**, answer the below questions, if not proceed to the next question. * 1. How are records maintained and for how long?
	2. Describe the backup to the electronic-based approval system.
	3. List the method used to obtain household signature.
 |
| Comments:a.b.c. |
| 105. | How long does the applications approval take from the date the SFA receives the application from the household? |
| Comments: |
| 106. | Within the SFA, who has access to the applications within the system?  |
| (Names and/or position titles): |
| 107. | a. When and how are households notified of students’ certified eligibility? b. How are denied households notified? Review copy of the application approval/denial notification letter. |
| Comments:a.b. |
| 108. | Who is the hearing official? |
| (Name and/or position title): |
| 109. | Who at the SFA receives the direct certification documents from the state or local agency, and who is responsible for issuing and updating the benefit list? |
|

|  |  |  |
| --- | --- | --- |
| **Program** | **Name/title of person receiving direct certification documents from SA** | **Name/title of person issuing direct certification benefits to students** |
| **SNAP** |  |  |
| **TANF**  |  |  |
| **FDPIR** |  |  |
| **Homeless** |  |  |
| **Migrant** |  |  |
| **Foster Children** |  |  |
| **Head Start** |  |  |

 |
| 110. | Does the SFA use the direct certification notification letter provided by the State agency?If no, does the letter contain all required information, and is it approved by the State agency? (**Obtain a copy of the letter used**.) | **YES** | **NO** |
|  |  |
| **YES** | **NO** | **N/A** |
|  |  |  |
| Comments: |

|  |  |
| --- | --- |
| 111. | What is the SFA’s procedure for extending free school meal eligibility to all children who are members of a household in which one person in that household is receiving SNAP, TANF, or FDPIR benefits? |
| Comments: |
| 112. | Does the benefit issuance system identify how eligibility was determined? (e.g., through application, direct certification, etc.) | **YES** | **NO** |
|  |  |
| Comments: |
| 113. | a. Who has access to the benefit issuance system and/or documentation? b. What safeguards are in place to ensure that only authorized individuals have access to the benefit issuance system and/or documentation? |
| 1. (Names and/or position titles):

 b.  |
| 114. | How are benefits issued and distributed to students? (e.g., via electronic system with code numbers for students, ticket system) |
| Comments: |
| 115. | How are eligibility determinations transferred to the benefit issuance document? |
| Comments: |
| 116. | How are benefit issuance document(s) transferred to the point of service system? |
| Comments: |
| 117. | How are eligibility status updates made to the point of service and to the benefit issuance document(s)? |
| Comments: |
| 118. | How frequently are updates made to the point of service and benefit issuance document(s)? |
| Comments: |
| 119. | Does the benefit issuance document indicate the date the eligibility status changes were made? | **YES** | **NO** |
|  |  |
| Comments: |
| 120. | How and when are the following changes made to the point of service and benefit issuance document:a. new studentsb.transfer studentsc. withdrawn studentsd. 30 day carryover of prior eligibility |
| Comments:a.b.c.d. |

|  |  |  |  |
| --- | --- | --- | --- |
| 121. | 1. Is there a backup system for updating benefit issuance document(s)?
2. If yes, describe the backup system for updating benefit issuance document(s).
 | **YES** | **NO** |
|  |  |
| Comments: |

|  |
| --- |
| **Module: Verification** |
| 200. | Obtain a copy of the SFA’s most recently submitted FNS-742 (Verification Collection Report). | **YES** | **NO** |
| 1. Did the SFA choose the correct verification sample size?
 |  |  |
| 1. Did the SFA verify the correct number of applications based on their verification sample size?
 |  |  |
| 1. Was the most recent report timely and accurate?
 |  |  |
| If no, is this a recurring problem? |  |  |
| Comments: |
| 201. | Who serves as the SFA’s verifying official?  |
| (Name and/or position title): |
| 202. | Who serves as the confirming official?  |
| (Name and/or position title or software used is acceptable): |

|  |  |
| --- | --- |
| 203. | Describe the SFA’s verification process (including SFA’s verification for cause process, deadlines, due dates, selection procedures, etc). |
| Comments: |
| 204. | Does the SFA use an electronic system to identify error-prone applications? If yes, explain in the comments what software the SFA uses?  | **YES** | **NO** |
|  |  |
| Comments: |

|  |
| --- |
| **Module: Meal Counting and Claiming** |
| 300. | Does the SFA use an electronic or manual system to count and consolidate reimbursable meals? If a combination of electronic and manual is used check both boxes. | **Electronic** | **Manual**  |
| 🞏 | 🞏 |
| *Electronic System* means meal counts are generated by an automated Point of Service (POS) system that may connect to the claim for reimbursement. Electronic systems have the ability to identify a student’s benefit category, tally daily meal counts, transfer daily meal counts to the SFA, consolidate meal counts for the SFA, and/or submit the claim for reimbursement. The system is limited to virtually NO MANUAL data entry at the POS. Meal counts are kept electronically.*Manual System* means meal counts are generated by a manual Point of Service system. Meal counts are manually tallied, consolidated, and transferred to the SFA. Consolidation of meal counts by the SFA is completed manually. Hard copy records are kept on file.If the SFA has implemented an electronic system, but one or more aspect of the benefit issuance process is conducted manually (e.g., the SFA has an electronic POS, but utilizes a roster at an alternate service location and SFA staff manually enters meal counts from the alternate service location), the reviewer will consider it a manual/combination system.  |

|  |  |
| --- | --- |
| 301. | How does the SFA’s point of service system identify a student’s eligibility? Include all types of distinct counting methods (e.g., check-off list for grades 1-3, tickets for grades 4-8). |
| Comments: |
| 302. | Does the SFA have a backup system to their primary meal counting and claiming system should the primary system fail/not operate?If YES, describe backup system in the comments. | **YES** | **NO** |
|  |  |
| Comments: |
| 303. | How often are cashiers and substitute cashiers trained on the meal counting and claiming system (including the backup system)? |
| Comments: |
| 304. | At the end of meal service, how does the SFA obtain the daily meal counts by category from each school’s point(s) of service? |
| Comments: |
| 305. | What are the SFA’s meal counting and claiming policies and procedures for the following situations: |
| 1. Offer vs. Serve?
 |  | **N/A** |
|  |
| 1. Incomplete/Non-Reimbursable Meals?
 |  | **N/A** |
|  |
| 1. Second Meals?
 |  | **N/A** |
|  |
| 1. Visiting student meals?
 |  | **N/A** |
|  |
| 1. Adult and non-student meals?
 |  | **N/A** |
|  |
| 1. Student worker meals?
 |  | **N/A** |
|  |
| 1. A la carte?
 |  | **N/A** |
|  |
| 1. Field trips?
 |  | **N/A** |
|  |
| 1. Lost, stolen, misused, forgotten or destroyed tickets, tokens, IDs, and PINS?
 |  | **N/A** |
|  |
| 1. Charged and/or pre-billed/prepaid meals?
 |  | **N/A** |
|  |
| 1. Students without funds to pay for meals?
 |  | **N/A** |
|  |

|  |  |  |
| --- | --- | --- |
| 1. New students without approved certification of free or reduced-price benefits?
 |  | **N/A** |
|  |
| 1. Local Charge Policy and Unpaid Meal Policy Procedures?
 |  |
| 306. | What procedures are used as internal controls to ensure the meal counts do not exceed enrollment or attendance adjusted enrollment? |
| Comments: |
| 307. | **Electronic Systems Only**: Are meal counts automatically consolidated? If YES, does the software program contain edits and internal controls?If NO, when and how are edit checks and internal controls completed? | **YES** | **NO** | **N/A** |
|  |  |  |
| Comments: |
| 308. | Have alternate points of service been approved by the SA?If there are alternative points of service, describe in the comments the number and types of alternate points of service operating during each meal service (e.g., meals in classrooms, bus). | **YES** | **NO** | **N/A** |
|  |  |  |
| Comments: |
| 309. | If a school has more than one meal service line, how does the point of service system prevent duplicate or second meals from being claimed? |
| Comments: |

|  |  |
| --- | --- |
| 310. | At the site level, how are the total daily meal counts by category submitted to the SFA for consolidation? |
| Comments: |
| 311. | Describe the SFA’s procedures for consolidating daily meal counts by category for each site to process the claim for reimbursement, if applicable. |
| Comments: |

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| **Module: Dietary Specifications and Nutrition Analysis** |
| 600. | Based on the results of the *Meal Compliance Risk Assessment Tool*, what site has been selected for the targeted menu review? |
| School selected for targeted menu review: |

|  |  |
| --- | --- |
| 601. | How will the SA proceed with the targeted menu review? |
| * ***Option 1: Complete the Dietary Specifications Assessment Tool***
* ***Option 2: Validate Existing Nutrient Analysis***
* ***Option 3: Conduct Nutrient Analysis***
* ***Option 4: Use FNS-approved Process Utilizing FNS-Approved Menu Planning Tools***
 |
| 602. | If Option 1 is selected, what initial risk level has been assigned for the targeted menu review site based on the results of the *Dietary Specifications Assessment Tool*? |
| * N/A

Risk Level: |

|  |
| --- |
| **Module: Maintenance of Nonprofit School Food Service Account** |
| 700. | Did the SFA have the ability to accurately track all revenues and expenses transferred in and out of the nonprofit school food service account? | **YES** | **NO** |
|  |  |
| Comments:  |
| 701. | Did the SFA have a fund balance in excess of three months average expenditures? If yes, but the excess funds balance was approved by the State agency list this in the comments.  | **YES** | **NO** |
|  |  |
| Comments: |
| 702. | Did the SFA transfer funds other than approved indirect costs out of the nonprofit school food service account to support the General Fund or for other non food service-related expenses?  | **YES** | **NO** |
|  |  |
| Comments: |
| 703. |  If the SFA purchased equipment costing $5,000 or more during the previous school year, did it receive prior approval from the State agency either directly or via the State’s pre-approved equipment list? | **YES** | **NO** |
|  |  |
| Comments: |
| 704. | Did the SFA have any financial findings related to the child nutrition programs on previous administrative reviews, A-133, OIG, or other state audits within the past three years?  | **YES**  | **NO** |
|  |  |
| Comments: |
| 705. | Did the SFA have internal control procedures in place to ensure that only allowable costs were charged to the nonprofit school food service account? | **YES** | **NO** |
|  |  |
| Comments: |

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| --- |
| **Module: Paid Lunch Equity** |
| 706. | Did the SFA use the USDA Paid Lunch Equity Tool or a comparable mechanism to evaluate the need to raise its paid lunch prices?  | **YES** | **NO** | **N/A\*** |
|  |  |  |
| Comments:\*N/A selection is only allowable if all sites at the SFA are nonpricing |
| 707. | Did the SFA use non-Federal funds to support its paid lunch prices?  | **YES** | **NO** | **N/A\*** |
|  |  |  |
| Comments:\*N/A selection is only allowable if all sites at the SFA are nonpricing |
| 708. | Did the SFA increase its paid lunch prices at the level required by the USDA Paid Lunch Equity tool or comparable mechanism? | **YES** | **NO** | **N/A\*** |
|  |  |  |
| Comments:\*N/A selection is only allowable if all sites at the SFA are nonpricing |
| **Module: Revenue from Nonprogram Foods** |
| 709. | Did the SFA sell second meals, Smart Snacks, and/or catering (e.g., foods/beverages for school board meetings; foods for outside entities and programs)?  | **YES** | **NO** | **NA** |
|  |  |  |
| Comments: |
| 710. | If the SFA provided adult meals for teachers and/or parents, did it charge and collect reimbursement from the adults receiving the meals or from the General Fund to cover the costs of the meals? | **YES** | **NO** | **NA** |
|  |  |  |
| Comments: |
| 711. | If the SFA charged for adult meals, were the meal prices charged in compliance with FNS Instruction 782-5, Rev. 1? | **YES** | **NO** | **NA** |
|  |  |  |
| Comments: |

|  |
| --- |
| **Module: Indirect Costs** |
| 712. | Were indirect costs charged to the SFA’s nonprofit school food service account? | **YES** | **NO** |
|  |  |
| Comments: |

|  |
| --- |
| **Module: Civil Rights** |
| 800. | What non-discrimination statement is used for Program materials? Please provide exact language. |
| Comments: |
| 801. | Did the School Food Authority publish a public release as required for the School Year being reviewed? Provide a copy.RCCIs are not required to submit a public release unless their enrollment includes day students. | Yes | No |
|  |  |
| 802. | What services does the SFA provide to households comprised of persons with Limited English Proficiency (LEP)? |
| Comments: |
| 803. | What is the SFA’s procedure for receiving and processing complaints alleging civil rights discrimination within FNS school meal programs? Provide a copy. |
| Comments: |
| 804. | Has the School Food Authority received any written or verbal complaints alleging discrimination in FNS Programs in the current or prior school year? **If yes, obtain the following information: date, nature of complaint, and agency complaint was reported to.** | **YES** | **NO** |
|  |  |
| Comments: |
| 805. | What procedures are in place for accommodating students with disabilities?  |
| Comments: |
| 806. | When was the SFA’s most recent civil rights training for staff who interact with program applicants or participants (e.g., cafeteria staff, determining officials) and their supervisors? Provide supporting documentation demonstrating topics covered and attendance of staff.  |
| Comments: |
| 807. | a. How does the SFA collect racial/ethnic data? b. How often is this information collected? c. Provide documentation to support the response. |
| Comments:a.b.c. |

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| **Module: SFA On-site Monitoring** |
| 900. |  | **YES** | **NO** |
| 1. Was the on-site monitoring of breakfast completed prior to February 1st?
 |  |  |
| 1. Was the on-site monitoring of lunch completed prior to February 1st?
 |  |  |
| 1. How does the SFA ensure that all schools are meeting program requirements? For example, list in the comments, how and when the monitoring is conducted?
 |  |
| Comments:c. |

|  |
| --- |
| **Module: Local School Wellness Policy** |
| 1000. |  | Yes | **No** |
|  | Provide a copy or appropriate web address of the current local school wellness Policy.Are the minimum required elements written into the Local School Wellness Policy? In comments, explain how required elements are being met. |  |  |
| Comments: |
| 1001. | How does the public know about the local school wellness policy? Provide documentation to support the response (or appropriate web address(es)). |
| Comments: |
| 1002. | When and how does the review and update of the local school wellness policy occur? Provide documentation to support the response (or appropriate web address(es)). |
| Comments: |
| 1003. | a. Who is involved in reviewing and updating the local school wellness policy? b. What is their relationship with the SFA? |
| Comments:a.b. |
| 1004. | How are potential stakeholders made aware of their ability to participate in the development, review, update, and implementation of the local school wellness policy? Provide documentation to support the response (or appropriate web address(es)). |
| Comments: |
| 1005. | Provide a copy of the most recent assessment on the implementation of the local school wellness policy. |
| 1006. | How does the public know about the results of the most recent assessment on the implementation of the local school wellness policy? Provide documentation to support the response (or appropriate web address(es)). |
| Comments: |

|  |
| --- |
| **Module: Smart Snacks** |
| 1100. | What are the SFA’s food sale policies? List all types of food/beverage sales to include the selling of non-food items in combination with food items.  |
| Comments: |
| 1101. | What is the SFA’s process for determining compliance with non-packaged or recipe food items (combination foods that do not have a label)?  |
| Comments: |
| 1102. | How does the SFA account for accompaniments when determining whether food items meet the Smart Snack standards?  |
| Comments: |

|  |  |
| --- | --- |
| 1103. | Who is responsible for tracking Smart Snacks compliance at the:1. SFA level:
2. School level:
3. For foodservice:
 |
| Comments:a.b.c. |

|  |
| --- |
| **Module: Professional Standards** |
| 1200. | What is the LEA student enrollment? (select one) |
| 1. 2,499 or less
 |  |  |
| 1. 2,500 – 9,999
 |  |
| 1. 10,000 or more
 |  |
| 1201. | List the employee count for each of the following: |
| Directors |  |  |
| Managers |  |
| Other Full-Time Nutrition Staff >20 hours/week |  |
| Part-TimeNutrition Staff<20 hours/week |  |
| Staff hired after January 1 of the School Year being reviewed |  |
| Non-school nutrition staff that have responsibilities that include duties related to the program |  |
| 1202. | a) Has the SFA hired any new directors on or after July 1, 2015? If no, proceed to Question 1204.b) If a new School Nutrition Program Director has been hired, did they meet the hiring standards requirements? | YES | **NO**  | **N/A** |
|  |  |  |
| Comments: |
| 1203. | a. If a new School Nutrition Program Director has been hired, did they complete food safety training within 30 days of being hired?b. If yes, proceed to question 1204. If no, was previous food safety certification obtained in the last 5 years? If yes, list the date of certification in comments. | **YES** | **NO** |
|  |  |
|  |  |
| Comments: |
| 1204. | Did School Nutrition Program Directors meet the training requirement? If no, after review of the scheduled/planned trainings for the remainder of the school year is the School Nutrition Program Director expected to meet annual training requirements? List completed training hours and expected/planned training hours in the comments. | **YES** | **NO** |
|  |  |
|  |  |
| Comments: |
| 1205. | Did School Nutrition Program Managers, if applicable, meet the training requirements?If not, after review of scheduled/planned trainings, trainings for the remainder of the school year is the School Nutrition Program Manager expected to meet the annual training requirements?List completed training hours and expected/planned training hours in the comments. | **YES**  | **NO** |
|  |  |
| Comments: |
| 1206. | Have the school nutrition staff met the annual training requirements for the current school year including part-time, full-time and any staff hired after January 1, if applicable? For staff hired after January 1, employees must meet at least half of the annual training requirements.If not, review the scheduled/planned trainings for the remainder of the school year. List completed training hours and expected/planned training hours in the comments. | **YES** | **NO** |
|  |  |
|  |  |
| Comments: |
| 1207. | Has the State Agency allowed the SFA flexibility to complete annual training requirements over a 2 year period?If yes, list in the comments section, the first school year to which the flexibility was applied. | **YES** | **NO** |
|  |  |
| Comments: |
| 1208. | Is the SFA tracking training hours on an annual basis? Please describe how the SFA tracks and monitors annual training including frequency and tracking mechanism. | **YES** | **NO** |
|  |  |
| Comments: |

|  |  |  |  |
| --- | --- | --- | --- |
| 1209. | Did the employees that work outside of the school nutrition program whose responsibilities include duties related to the operation of the school nutrition program receive training applicable to their duties related to the program?  If yes, list their names and job titles in the comments. | **YES** | **NO** |
|  |  |
| Comments: |

|  |
| --- |
| **Module: School Breakfast and Summer Food Service Program Outreach**  **Not applicable** |
| 1600. | How did the SFA inform households of the availability of the School Breakfast Program prior to (or at the beginning) of the school year and provide reminders about the availability of the School Breakfast Program throughout the school year? |
| Comments: |
| 1601. | How did the SFA inform eligible households about the availability and location of free meals for students via the Summer Food Service Program? |
| Comments: |
| **Indicate if any additional federal programs are operated by the SFA and will be examined during the review:** |
| * **Afterschool Snack Program**
* **Seamless Summer Option**
* **Fresh Fruit and Vegetable Program**
* **Special Milk Program**
 |

**\*\* For Provision 2 ONLY\*\***

  **Not applicable (if no schools in the SFA operate Provision 2, skip this page)**

|  |  |  |  |
| --- | --- | --- | --- |
| 2100. | Are non-federal funds being properly allocated to account for the difference of offering all meals to students at no charge and the Federal reimbursement? | **YES** | **NO** |
|  |  |
| Comments: |
| 2101. | What procedures are/were used to calculate the Base Year claiming percentages for each school implementing Provision 2? |
| Comments: |
| 2102. | What procedures are used to apply the Base Year claiming percentages to the Non-base Year’s claims for reimbursement? |
| Comments: |
| 2103. | If applicable, were adjustments made to the claiming percentages established during the Base Year? If yes, describe the procedure used for the adjustment. | **YES** | **NO** |
|  |  |
| Comments: |
| 2104. | Has the SFA ensured all meals are provided at no cost to all enrolled students during Provision 2 Base Year?If no, explain.  | **YES** | **NO** |
|  |  |
| Comments:  |

**\*\* For Provision 3 ONLY \*\***

  **Not applicable (if no schools in the SFA operate Provision 3, skip this page)**

|  |  |  |  |
| --- | --- | --- | --- |
| 2105. | Are non-federal funds being properly allocated to account for the difference of offering all meals to students at no charge and the Federal reimbursement? | **YES** | **NO** |
|  |  |
| Comments: |
| 2106. | What procedures are/were used to calculate the Base Year level of federal assistance for each school implementing Provision 3? |
| Comments: |
| 2107. | What procedures are used to apply the Base Year level of federal assistance to the Non-base Year’s claims for reimbursement? |
| Comments: |
| 2108. | If applicable, were adjustments made to the level of federal assistance established during the Base Year? If yes, describe the procedure used for the adjustment. | **YES** | **NO** |
|  |  |
| Comments: |

**\*\* For Community Eligibility Provision ONLY \*\***

  **Not applicable (if no schools in the SFA operate Community Eligibility Provision, skip this page)**

|  |  |  |  |
| --- | --- | --- | --- |
| 2109. | Are non-federal funds being properly allocated to account for the difference of offering all meals to students at no charge and the Federal reimbursement? | **YES** | **NO** |
|  |  |
| Comments: |
| 2110. | What procedures are used to apply the established ISPs to the current School Year’s claims for reimbursement? (Documentation supporting establishment of ISP and corresponding claiming percentages will be verified during completion of the On-site Review Assessment Tool)If applicable, were adjustments made to the ISP and corresponding claiming percentages in the current SY? If yes, describe the procedure used for the adjustment. |
| Comments: |

**\*\* For Provision 1 ONLY \*\***

  **Not applicable (if no schools in the SFA operate Provision 1, skip this page)**

|  |  |  |  |
| --- | --- | --- | --- |
| 2111. | Are all households provided meal applications and allowed to apply for meal benefits each school year? | **YES** | **NO** |
|  |  |
| Comments: |