

## **INSTRUCTIONS – PROVIDER REVIEW**

### ***REVIEW PREPARATION/REQUIREMENTS***

The Sponsoring Organization should schedule a sufficient amount of time to witness a meal service as well as to review records. Please note that sponsoring organizations are required to conduct a minimum of two unannounced reviews and observe at least one meal service. For guidance on the number of reviews to be conducted, refer to the Monitoring Requirement memorandum dated March 18, 2005. If the day care home provider is not home or open for business when the sponsoring organization's monitor arrives for the review, the form should be filled out to note that the provider was closed or not at home and the review must be rescheduled. Sponsoring organizations cannot consider this attempt a review. The sponsoring organization must note in the file that the home was not open for business and that meals cannot be claimed for the meal service of the review. The sponsoring organization should make Household Contacts to verify enrollment of children that are normally claimed for meal reimbursement.

### ***FORM INSTRUCTIONS***

The monitor will be required to indicate the following information at the beginning of the provider review:

- A. Date of Review
- B. Check if the review is unannounced
- C. Arrival and Departure Time
- D. Indicate the Tier of the Provider
- E. Name of Sponsoring Organization and Agreement Number
- F. Name of the Provider and phone number
- G. Provider's address
- H. Sponsor official conducting review

The monitor must request the following records and indicate if the records are available and if the facility is in meets the requirements:

**Item #4:** Indicate if the provider is a Family Day Care Home or Group Day Care Home, the license/registration capacity, license number, and last date of Inspection (group homes only). All current year licenses and registration certificates expire December 31<sup>st</sup> of each year. Payment for next year's annual license fee is due by December 1<sup>st</sup> of each year. Proof of a current license/registration should be on file. If it is after December 31<sup>st</sup> and the provider does not have verification of a current license/registration, it must be noted as a finding and the provider must immediately pay the license fee or be terminated for convenience. All meals claimed for any month after the license/registration expiration must be reclaimed.

In addition, the monitor will be required to indicate if the Provider is an "Informal" provider, the number of children in care and if CAPS documentation is available for review.

**Item #5:** Normal Hours/Days of Care

The monitor will be required to complete the following:

- A. Hours of Organized Care
- B. Circle days of operation
- C. Indicate if holiday care is provided
- D. Check the approved meal types
- E. Indicate the Meal Service observed and the time of the service

### **Attendance and Eligibility Data**

The monitor will be required to complete the chart provided which will capture all children in attendance on the day of the review and participated in the meal service. This section requires the monitor to indicate the following:

- A. Full name of all children listed on the Provider's Roster
- B. Indicate if the child is in attendance
- C. Indicate the age of each child
- D. Indicate if the Provider has an Enrollment Form on file for all children listed on the Roster
- E. Indicate the relationship of the child to the Provider
- F. Indicate if the Provider receives payment for each child listed on the Roster (Please note that Providers caring for children for no compensation must have documentation on file. Sponsoring organizations should periodically follow up to ensure that Parents are not paying for childcare by making Household Contacts).
- G. Indicate if the child participated in the meal service
- H. Indicate if the Provider conducted a Point of Service or Daily Meal Count and if the child will be claimed for reimbursement

## **Licensing Requirements**

**Item 6:** Indicate whether the provider meets the licensing capacity and provider/child ratio requirements.

**Item # 7:** Indicate whether the provider is maintaining information on file for children that are in care for no pay. Please note that Providers/Sponsors must maintain non-compensation forms on file for each child enrolled in the CACFP for no pay. If the Provider does not have non-compensation forms on file, the child in question is considered to be enrolled for pay, which may affect the Provider's license capacity. If the Provider exceeds the license capacity, note as a finding and record on the Findings and Corrective Action Sheet that all meals claimed in excess of the approved capacity will be reclaimed. Sponsoring organization must report all providers that exceed the licensing capacity to the Childcare Licensing Division of DECAL.

**Item 8:** Indicate whether the provider meets the licensing capacity and provider/child ratio requirements. If the Provider exceeds the license capacity, note as a finding and record on the Findings and Corrective Action Sheet that all meals claimed in excess of the approved capacity will be reclaimed. Sponsoring organizations must report all providers that exceed the licensing capacity to the Childcare Licensing Division of DECAL.

## **Participant Eligibility/Meal Counts**

**Item 9:** Determine that the meals claimed are served to eligible children, as defined by regulations. Children ages 12 and under, children of migrant workers ages 15 or under and disabled children of any age (if the majority of enrollees are ages 18 or under) are eligible to participate in the CACFP.

**Item 10:** Sponsoring organizations must determine if meals served to a provider's own child or if foster children are eligible for reimbursement. These meals are eligible if the child is enrolled; the child is determined to be eligible by the sponsoring organization based on free/reduced-price household application submitted by the provider, and if at least one other non residential child, who is not the provider's own child, is participating in the meal service.

**Item #11:** The monitor must verify that meal counts are recorded correctly on the Meal Count and Attendance Form and are consistent with the number of children enrolled and listed on the Roster as required. Please note that Providers with less than 12 enrolled children are allowed to indicate daily meal counts. Providers with more than 12 enrolled children and/or Serious Deficiencies are required to make Point of Service Meal Counts.

The monitor must reconcile the provider's attendance, meal counts, and enrollment to ensure that the accurate meal counts were submitted to the sponsor for reimbursement. The Sponsoring Organization will conduct the reconciliation using the Meal Reconciliation form. Sponsoring

Organizations must reconcile each approved meal service that is claimed and submitted for reimbursement.

## **Civil Rights**

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**Items 12-13:** The monitor must determine if the provider is in compliance with current Civil Rights regulations and policies by assessing if the provider is allowing all children equal access to the facility and services, and serving the same meals to all children equally.

## **Health/Safety/Sanitation**

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**Items 14-22:** The monitor determines if reasonable health, safety, and sanitary conditions exist in the home. Any findings should be noted and technical assistance provided. Any serious health and/or sanitary and/or safety problems should be discussed with the provider and immediately brought to the attention of the Childcare Licensing Division of DECAL. Please note that imminent threat to health or safety is a Serious Deficiency and sponsoring organizations must implement the Serious Deficient Process.

The monitor must determine the following:

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- A. If the refrigeration unit is clean and the temperature for the refrigerator and freezer are maintained at 40 degrees and 0 degrees respectively.
  - B. If food is thawed properly and indicate the method used to thaw food.
  - C. If food is properly stored in refrigeration units and in dry areas; if storage areas are clean; if food is maintained off the floor, and if food is stored separately from cleaning items and toxic items.
  - D. Determine if the trash containers are kept covered.
  - E. If wiping cloths are clean and their use is limited
  - F. If the home is free of rodent or insect infestation
  - G. If the home is free of obvious fire, health, and safety hazards
  - H. Is food service conducted in compliance with general health and sanitation practices
  - I. Did the provider wash their and the children's hands prior to handling the food.
- Any discrepancies or findings must be noted as a finding and corrective action required.

## **Sponsor Training**

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The following series of questions related to training are designed to obtain information on the effectiveness of sponsor training and to provide the sponsor with provider feedback to effect improvements to their training program. Sponsoring organizations are required to train all key staff on all CACFP policies, procedures and practices.

**Items 23-25:** The monitor must verify that the provider has attended all required CACFP training given by the Sponsor and ensure that all applicable procedures/policies were implemented. Informal Providers are required to attend 8 hours of training given by the Childcare and Parent Services Division of the Department of Human Resources.

Any discrepancies in this section must be noted as a finding and corrective action required. Please note that failure for providers to attend the required annual training is a Serious Deficiency and sponsoring organizations must implement the Serious Deficiency Process.

## **Record Keeping**

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**Item 26-30:** The monitor must determine that the provider is consistently maintaining the required records for CACFP participation.

The monitor must verify the following:

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- A. That separate, daily, dated menus are available and up-to-date at the time of the review.
- B. That enrollment forms are updated annually and current at the time of the review.
- C. Verify that the Provider have copies of the monitoring reports completed for the current fiscal year.

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D. Verify that the Provider was fully informed of the two-tiered reimbursement rate structure and the criteria used to classify the home as either a Tier I or Tier II. If the home is classified as a Tier II, ensure that the provider is aware of the option to request that the sponsor identify income-eligible children in the home. In addition, verify that the provider has maintained written notification of the reimbursement rate received. Verify that the Provider has a current copy or permanent Sponsor/Provider agreement on file.

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## **Participant Information**

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### **Items #31-32**

The monitor must ensure that current WIC information and the Building for the Future Flyer is being distributed by each provider to the parents of the enrolled children.

### **Other Requirements**

**Item#33:** The monitor must require that adequate corrective action is taken when program violations are found during CACFP reviews. Sponsoring Organizations must ensure Providers have made the required corrective actions that were outlined in the previous reviews.

## **Observation of Meal Service**

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**Item #34:** Monitors are encouraged to conduct Provider reviews so that the meal service can be observed. In the applicable chart, monitors are required to record food items prepared and served to meet the CACFP meal pattern requirements for the appropriate age groups. In addition, the Sponsoring Organization must determine the following:

### **Meal Count Reconciliation Form**

Sponsors are required to conduct a meal count reconciliation to ensure that all meals claimed for reimbursement are valid. The reconciliation consists of verifying meal counts with attendance and enrollment documentation for each child enrolled and participating in each approved and claimed meal service. Monitors must verify each child claimed could have potentially participated in the meal service by reviewing the attendance and enrollment information. Providers are required to maintain daily attendance for each enrolled child and the enrollment information must be current and consist of the normal hours and days of care.

Upon review of the attendance and enrollment information, monitors must determine if the meals claimed are valid. Any discrepancies and/or program violations must be noted on the findings page. Monitors are encouraged to review current month's meal counts and attendance to prevent any past reclaims.

### **Items #35-42:**

35. Was the meal served at the approved/scheduled time? If not, does the provider have documentation that the Sponsor was notified of the change?

36. Does the menu record worksheet correspond to the meal served and observed?  
Compare food items served on day of review to the written menu prepared by provider. Daily menu records are the single source of information that documents the eligibility of meals for CACFP reimbursement. It is essential that the menu record accurately reflects foods items that were served that meet the meal pattern requirements. Menu substitutions should be appropriate and recorded on the menu.

37. Observe and determine that the meal contains all the required components. If the provider is not serving the required meal components, record the number of meals with missing components to be disallowed and describe the technical assistance provided. For further Guidance on meal pattern requirements, refer to CFR Part 226.20 and other appropriate Federal and State agency Guidance.

38. Observe and determine the required components were prepared and served in sufficient quantities to the appropriate age groups. DECAL encourages all Institutions to use the family-style meal service.

39. Do the meals served to children incorporate a combination of colors, temperatures, textures, shapes, and sizes? If not, provide technical assistance to the provider to encourage variety and eye-appeal of meals.

40. Is the provider's home a positive and pleasant meal environment that promotes good eating habits for children? If not, provide technical assistance to encourage the provider to create a more pleasant meal environment.

41. Determine if the required medical statements are on file for all substitutions related to medical special dietary needs. If not, indicate the number of meals to be reclaimed, record as a finding, and specify the corrective action.

42. Determine that at least one component is supplied by the provider for infant meals of children over the age of 3 months.

For further Guidance, see USDA-FNS-CND handbook "Nutrition Guidance for Child Care Homes

### ***Summary of Findings***

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This section encompasses a summary of all findings. The monitor should ensure that the summary corresponds to all findings noted in the body of the report. Findings should be discussed with the provider at the end of the visit. The monitor and the provider should sign the form. The sponsoring organization is responsible ensuring that the provider corrects all findings listed on the Findings and Corrective Action Form. Sponsoring organizations are required to conduct an unannounced follow up visit for any serious deficiency findings.