

INSTRUCTIONS – PROVIDER REVIEW

REVIEW PREPARATION/REQUIREMENTS

The Monitor should schedule and allow sufficient time to observe a meal service, tour the home, review records and speak with the Provider. In accordance with CACFP federal regulations and monitoring requirements, sponsors are required to conduct a minimum of three visits per fiscal year; two visits must be unannounced and at least one of the unannounced visits must include the observation of a meal/snack service.

For guidance on meeting monitoring requirements, review USDA's Day Care Homes Monitoring Handbook available at https://fns-prod.azureedge.net/sites/default/files/Monitoring_Homes.pdf, and DECAL's policy guidance on *Monitoring Requirements*, dated March 18, 2005.

If the Family Child Care Learning Home provider is not home or open for business when the Monitor arrives for the review, items 1-4 on the review form should be completed and a note provided indicating the provider was closed or not at home on the date of the review. Sponsors cannot consider this attempt a required review. Sponsors must note in the file that the home was not open for business and that meals/snacks cannot be claimed for the meal service for the date of the review. The Monitor must follow up to determine if appropriate notice was submitted regarding home closure or field trip. If notice was not submitted in accordance with the organization's procedures, the Monitor must follow up with the provider to determine what happened. If a valid explanation for being closed/not home is provided, the Monitor is encouraged to make Household Contacts to verify enrollment and attendance for preceding days of the review of children that are normally in care and claimed for meal/snack reimbursement.

REVIEW INSTRUCTIONS

The Review form must be completed in its entirety. All items/sections that requires a response, must be complete, including indicating "not applicable/NA".

Complete preliminary information:

- Date of Review
- Check if the review is unannounced
- Arrival and Departure Time

Sponsor/Provider Information:

Items 1-3: Complete the fields below.

- Name of Sponsoring Organization and Agreement Number
- Name of the Provider and phone number
- Provider's address
- Monitor's Name/Sponsor official conducting review
- Indicate the Tier of the Provider

Request a copy of the records/files below and complete items 4-5.

- Current DECAL license
- Most recent Licensing Study or Monitoring Visit completed by DECAL's Child Care Services Unit
- Approval as CAPs provider and CAPs certificate for children in care (Informal Provider's only)
- Current Roster
- Current Enrollment files for children in care
- Attendance records for the month in question

- Menu and Meal Count Records for the month in question

Item #4: Provider Approval to Operate:

Indicate if the provider is licensed as a Family Child Care Learning Home (FCCLH) or Child Care Learning Center (CCLC), the license/registration capacity from the most recent licensing study or monitoring visit report, license number, and date of last Inspection. All current year licenses expire December 31st of each year. Payment for next year's annual license fee is due by December 1st of each year. Proof of a current license should be on file. If it is after December 31st 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. The provider remains eligible to participate in the CACFP and can continue to seek reimbursement for creditable meals/snacks, unless there is evidence that a new, valid license will not be issued by DECAL's CCS Unit. If a new annual license is not issued by March of the fiscal year, the provider must be terminated due to ineligibility.

Item #5: Home Operations, Attendance and Eligibility

Complete the following:

- Normal hours of operation
- Days of operation
- Indicate if holiday care is provided, or if there are multiple shifts
- Approved meal types based on the current agreement and provider application info

Using the current roster and enrollment records provided by the Provider, complete the items in the table. Attach additional sheets if necessary.

- Full name of all children listed on the Provider's Roster
- Indicate if the child is in attendance
- Indicate the age of each child
- Indicate if the Provider has an Enrollment Form on file for all children listed on the Roster
- Indicate the relationship of the child to the Provider
- 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).
- Indicate if the child participated in the meal service
- Indicate if the Provider conducted a Point of Service or Daily Meal Count and if the child will be claimed for reimbursement

Items 6-13: Licensing Requirements:

DECAL Policy Reference: CACFP Policy # 12- Claiming Meals by Family Child Care Learning Homes (DCH).

Item 6: Verify the license is current/valid and that the expiration date of the license has not passed. If at the time of the review, the license has expired, the provider is not eligible to participate in CACFP. Meals/snacks served from the expiration date forward are unallowable and must be reclaimed. Indicate a finding in the review report. Disallow meals/snacks. Consider termination of the Provider/Sponsor Agreement.

Item 7: Indicate whether the provider meets the licensing capacity and provider/child ratio requirements, and has no more than 12 total children in care at one time, under the age of 13. More than 12 children in care at one time, or any child age 13 or older are ineligible for participation in CACFP. Meals/snacks served to children in excess of the approved license capacity, or to children age 13 or older (age 15 for children of migrant workers), are disallowed and must be reclaimed. Indicate a finding in the review report. Make adjustments to the previous or current month's claim for reimbursement.

Item # 8: Identify all children in care for pay and their relationship to the provider. Meals served to more than six unrelated children for pay are unallowable and cannot be claimed for reimbursement. Indicate a finding in the review report. Make adjustments to the previous or current month's claim for reimbursement. Exception: more than six unrelated children may be in care at one time when the Provider is licensed as a Child Care Learning Center (CCLC), but participates in CACFP as a Group Day Care Home.

Item #9: Identify all children in care for no pay (non-compensation). Confirm that documentation is on file.

Note: Providers/Sponsors must maintain non-compensation forms (written statement from parent/guardian) 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. Consider the Providers' multiple shifts. Meals/snacks served and claimed in excess of the approved license capacity are disallowed and must be reclaimed. Sponsoring organizations must report all providers that exceed the licensing capacity to DECAL's Child Care Services. Indicate a finding in the review report. Make adjustments to the previous or current month's claim for reimbursement.

Item 10: In addition to caring for six unrelated children for pay, determine if the provider is caring for two additional unrelated children for pay or not for pay, for no more than two hours per day. Consider the Providers' multiple shifts. Request a copy of the approval from DECAL's Child Care Services Unit. If verification is unavailable, the Provider may exceed the license approved capacity. If the Provider exceeds the license capacity, indicate a finding in the review report. Meals/snacks served and claimed in excess of the approved license capacity are disallowed and must be reclaimed. Make adjustments to the previous or current month's claim for reimbursement. Sponsoring organizations must report all providers that exceed the licensing capacity to DECAL's Child Care Services.

Items 11: If an Informal Provider, verify that no more than 12 children are in care, and that no more than six children are related for pay or not for pay. If there are more than three unrelated children in care for pay, the Informal Provider must be licensed to participate in CACFP. The provider is not eligible for reimbursement for meals/snacks served until a license is issued. Indicate a finding in the review report. Make adjustments to the previous or current month's claim for reimbursement. Notify DECAL's Child Care Services.

Item 12: If an Informal provider, verify that all health and safety requirements are met. With the exception of CPR certification, all requirements must be met and documentation to support made available prior to enrollment in CACFP or receipt of reimbursement. If any of the requirements are not met, the Informal Provider is not eligible for CACFP participation or reimbursement for meals/snacks served. Indicate a finding in the review report. Disallow meals/snacks. Make adjustments to the previous or current month's claim for reimbursement. Notify DECAL's Child Care Services, and consider termination of the Sponsor/Provider Agreement.

Items 13-16: Participant Eligibility/Meal Counts

Item 13: Refer to item 5 on the Review form and records obtained from the Provider. Verify that the meals/snacks claimed for reimbursement 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). Children in excess of the age requirements are ineligible to participate in CACFP, and meals/snacks served are ineligible for reimbursement. Indicate a finding in the review report. Disallow meals/snacks, and make adjustments to the previous or current month's claims for reimbursement.

Item 14: Refer to item 5 on the Review form and records obtained from the Provider. Are Provider's own children or foster children in the care of the Provider enrolled and participating in CACFP meal services? If yes, then verify all eligibility requirements are met and meals/snacks served 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 15: Review the meal count forms obtained from the Provider. Are meal counts documented on the DECAL form, or an alternate form approved by the sponsor? If meal counts are recorded on an alternate form not approved by the Sponsor, provide the correct form and adequate technical assistance on completing DECAL's form.

Meal Count Reconciliation Form

Item 16: Using the Meal Count Reconciliation Form, conduct a reconciliation for each approved meal type by reviewing annual enrollment records and daily attendance records for the current month or the prior month. Verify attendance is consistent to enrollment records. Verify that meal counts are accurately documented and maintained daily, and consistent with attendance records. Note: Providers with less than 12 enrolled children are allowed to document meal counts on a daily basis (by the end of the day's final meal service). Providers with more than 12 enrolled children and/or currently seriously deficient are required to document meal counts at the point of service.

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

Items 17-19: The monitor must determine if the provider is in compliance with current Civil Rights regulations and policies by assessing through observation if the provider is allowing all children equal access to the facility and childcare services, and serving the same meals to all children equally, unless there is a medical/dietary restriction on file. Request a copy of the Beneficiary Data Form. Verify that racial/ethnic data for children in care is being collected and reported annually.

Health/Safety/Sanitation

Items 20-28: The monitor **must** determine if reasonable health, safety, and sanitary conditions exist in the home. Any findings should be noted and technical assistance provided. Any serious health, sanitation and/or safety problems should be discussed with the provider and immediately brought to the attention of the Principal/Program Contact of the sponsoring organization and Child Care Services Division of DECAL. Please note that imminent threat to health or safety is a Serious Deficiency and sponsoring organizations must implement the Serious Deficiency and Suspension Process.

The monitor must determine/confirm the following:

20. Verify the refrigeration unit is clean and the temperature for the refrigerator and freezer are maintained at 40 degrees and 0 degrees respectively.
21. Verify that food is thawed properly. Indicate the method used in the home. Food items should be thawed in a pan in the refrigerator. Thawing food in water in the sink is unsanitary and unacceptable.

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22. Verify 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.
 23. Confirm that the trash containers are kept covered.
 24. Confirm that wiping cloths are clean and replaced often.
 25. Is the home is free of rodent or insect infestation
 26. Is the home is free of obvious fire, health, and safety hazards
 27. Is food service conducted in compliance with general health and sanitation practices?
 28. Did the provider use appropriate hand-washing techniques prior to handling food? Did the provider ensure children use appropriate hand-washing techniques prior to handling the food?

Indicate findings or TA in the review report. Recommend additional training as corrective action if necessary.

Sponsor Training

Sponsoring organizations are required to train all key staff on all CACFP policies, procedures and practices prior to enrollment/approval to participate in CACFP, annually thereafter.

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 as a means to improve training program.

Items 30-31: 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 DECAL's Childcare and Parent Services Division.

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

Item 32-37: The monitor must determine that the provider is consistently maintaining the required records for CACFP participation.

The monitor must verify the following:

32. That at a minimum, daily, weekly or monthly menus are available and up-to-date at the time of the review. Ensure a menu is posted and visible to general public.
33. Review the posted menu and determine if all meals/snacks are creditable. Non-creditable meals/snacks are ineligible for reimbursement. If non-creditable meals/snacks are on the menu and were previously served, disallow the meal/snack for the date in question and make adjustments to the claim for reimbursement.
34. That enrollment forms are available, updated annually, with parental signature and date, and current at the time of the review.
35. Verify that the Provider has copies of the monitoring reports completed for the current fiscal year.
36. 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.
37. Verify that the Provider has a current copy of the permanent Sponsor/Provider agreement on file.

Participant Information

Items #38-39

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#40: 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

Item #41: 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:

Items #42-53:

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

43. Is the posted menu consistent with the items served? Compare food items served on day of review to the written menu prepared by provider and to the posted menu made available for the public. At a minimum, daily menu records should be consistent with meal/snacks served. It is essential that the menu record accurately reflects foods items that were served and that items are creditable. Menu substitutions should be creditable and appropriately recorded on the menu.

44. 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. Allow the provider to add to/substitute non-creditable items at the time of the meals/snack service. For further Guidance on meal pattern requirements, refer to 7 CFR Part 226.20, the Guide to Crediting Foods and other appropriate Federal and State agency Guidance.

For items 45-47, meals or snacks that include milk are ineligible for reimbursement when milk requirements are not followed. Provide TA and allow the provider to make changes to the meal/snack service. If the correct milk cannot be provided, disallow the meal/snack for the day of the review and indicate a finding on the review report.

45. Verify that unflavored whole milk was served to children age 2 or younger but not less than 1 year of age.

46. Verify that unflavored low-fat or fat-free milk was served to children ages 2 -5 years old.

47. Verify that unflavored low-fat or flavored or unflavored fat-free milk was served to children ages 6 or older.

48. Observe and determine that 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.

49. 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.

50. 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.

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

52. Determine that at least one component is supplied by the provider for infant meals.

53. Review meal count records for the previous five operating days and determine if the number of meals/snacks claims for reimbursement during that period is consistent with attendance on the date of the review. Investigate unexplained red flags further. Take the appropriate action, including initiating the Serious Deficiency process.

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

Summary of Findings

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.