



AGREEMENT NUMBER	

## Child and Adult Care Food Program MANAGEMENT PLAN

Instructions: All new institutions must complete and sign the management plan. Attach required supporting documentation. Return one copy to the state agency and make one copy for your files. Renewing institutions should complete this on-line.

### PART I: FINANCIAL VIABILITY

#### Fiscal Resources and Financial History

- How long has your organization been in operation?
- What funds will be used to pay an overclaim?
- How does the institution assure that money is spent appropriately and only for CACFP expenses?

**YES**    **NO**

- |                          |                          |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Does your organization currently participate in other federally funded programs? If yes, please specify: _____   |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. Has your organization ever been terminated from participation in any USDA Child Nutrition Program? If yes, explain (program, dates, circumstances, etc.).  |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. Has your organization ever been disqualified from participation in any other publicly-funded program for violating that program's requirements within the last seven years? (Publicly-funded means any program or grant funded by federal, state, or local government.)  |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. Is the organization, board president, director, or other persons responsible for the management of the program on the CACFP National Disqualified List? If yes, list who.  |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. Has the institution or any of its principals been convicted of any crime during the past seven years that indicated a lack of business integrity? If yes, list who and explain. A principal means any individual who holds a management position within, or is an officer of, an institution or a sponsored center, including all members of the institution's or sponsored center's board of directors. A lack of business integrity includes but is not limited to fraud, antitrust violations, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, making false claims, obstruction of justice, or any other activity indicating a lack of business integrity as defined by the state agency. |
- List the publicly funded programs (i.e., DSHS, Head Start, county grants) in which your organization and its principals have participated in the last seven years.
  - If you are a nonprofit organization, attach a copy of the most recent IRS Form 990 filed by your organization. If not available, explain. (Does not apply to proprietary centers, federal and public institutions such as schools, universities, local government, and churches.)

**PART II: ORGANIZATIONAL CAPABILITY**

**Staffing Plan**

1. In the chart below, list the position that will perform required duties in the operation of the CACFP.

CACFP Duties	Position Responsible for Duty
Approve income applications:	
Ensure enrollment forms are updated annually:	
Verify accuracy of income application approval:	
Develop enrollment roster:	
Verify accuracy of enrollment roster:	
Train staff concerning CACFP:	
Train new staff concerning CACFP:	
Plan menus:	
Check menus for meal component compliance:	
Cooks meals:	
Serves meals:	
Cleans up after meal preparation:	
Orders or shops for food:	
Takes point of service meal count:	
Keeps food and labor costs on file:	
Compiles claim for reimbursement:	
Follow-up on block claims:	
Train site monitors: (sponsors of multiple sites)	
Monitor sites: (sponsors of multiple sites)	
Follow up on required corrective action at sites: (sponsors of multiple sites)	

2. How many hours a month will be spent on administrative labor? (Administrative labor refers to staff responsible for planning, monitoring, training, and record keeping.) \_\_\_\_\_

3. How many hours a month will be spent on operating labor? (Operating labor refers to staff members who spend time with meal preparation, serving, and cleanup.) \_\_\_\_\_

**YES**

**NO**



4. Are CACFP duties included in employee job descriptions, as applicable?  
If no, indicate date the applicable employee job descriptions will be revised to include CACFP duties: \_\_\_\_\_



5. Our organization will have a medical statement on file for each child/adult who has a milk allergy/intolerance or if not, we will not claim the meal.

YES

NO

6. Our organization maintains the confidentiality of eligibility information concerning individual households.
7. Describe the meal planning procedures to ensure adequate amounts of food items are purchased, prepared, and served to participants to meet or exceed the USDA minimum portion requirements.

### PART III: INTERNAL CONTROLS

#### A. Governing Board

YES

NO

**Does your organization have a governing board? If no, or if military or government you can skip this section and go to next page.**

In the chart below, list board member names, title, area of expertise brought to the board, mailing address, phone number, and familial and/or business relationship to other board members.

Name of Board Member and Title	Area of Expertise	Mailing Address	Phone Number	Relationship

YES

NO

1. Does your organization's governing board have policies and procedures that are available to the state agency upon request?
2. Describe the board's roles in approving fiscal actions, policy decisions, and other administrative actions.

3. How often does the board meet? \_\_\_\_\_

**B. Operations**

I. Training

All sites must receive training a minimum of one time per year. Organizations must keep records from each training session that include the agenda, date, location, and sign-in form with all participants' signatures. It is recommended that training sessions be conducted by an experienced trainer or staff member who recently attended a CACFP workshop or training session provided by the state agency.

Complete the chart below:

Topics to be Discussed	Trainer	Date
General program policies/requirements		
Meal pattern		
Meal planning		
Meal counting		
Income eligibility applications except for at-risk/homeless		
Purchasing of food and non-food items		
Record keeping		
Reimbursement process		
Sanitation and safety requirements		
Civil rights compliance		
Review procedures		
Nutrition		
Food Allergies		
Other:		

**YES NO**

- 1. Our organization will ensure all appropriate staff attends state agency training.
- 2. Our organization will address on-going staff training needs, and communicate CACFP changes and organization policies and procedures to all staff at all sites.
- 3. Prior to CACFP approval of a new site, our organization will train the new staff.

II. Monitoring (Applies only to sponsors of multiple sites.)

Sponsoring organizations must adhere to annual monitoring requirements. Each site must be visited unannounced. Additionally, each site should have two visits per year during a meal service and no more than six months can elapse between each review. Each sponsor must have an "appropriate number" of monitoring staff. Sponsors of centers are required to have one FTE monitor for each 25–150 centers.

Monitoring requirements are as follows:

Type of Center	Mandatory Review During	No. of Reviews Per Year
Adult Care Center/Day Care Centers/Emergency Shelters/Head Start, At-Risk Snack Sites, Outside-School-Hours Programs (school sites and non-school sites)	First 4 weeks of operation	3 times/year

YES  NO

Do you have multiple sites? If no, continue to next page.

- Complete a proposed schedule of reviews for each site on the following CACFP Site Monitoring Schedule and Log. You must keep completed monitor review forms on file at the central office for review by the state agency and/or the USDA.

CACFP Site Monitoring Schedule and Log		
Fiscal Year 20____ October 1 – September 30 (Start date _____ to _____ Closing date)		
Reviewer	Site Name	Scheduled Dates for Review

YES NO

2. Our organization has 25–150 facilities. If yes, complete the monitor staffing requirements below.

**Monitoring Staffing Requirements for Sponsoring Organizations with 25–150 More Facilities**

**Instructions:** Sponsoring organizations with 25–150 facilities must document and meet the required staffing ratios. Complete the table below, providing all the specified information. (A full time employee works a total of 2,080 hours per year.) Child Nutrition Services will analyze the data to ensure the required monitor staffing ratio has been met. Detailed employee position descriptions that include the percentage of time devoted to each job activity/duty, including monitoring-related activities, must be maintained. Documentation that substantiates all submitted information must be maintained on file.

Name	Position	Hours Per Day	Days Per Year	Total Hours Per Year	Minus Non-CACFP Hours per Year	Minus CACFP Non-Monitoring Hours per Year	Net Yearly Hours Spent on CACFP Monitoring

**Monitoring Related Activities**

Employee activities that may be counted as monitoring duties include:

- a. Monitoring—All activities related to conducting on-site reviews, including planning and scheduling; pre-review preparation; travel; supervisory oversight of monitors and the monitoring functions; time spent in the facility during the review; writing review reports; conducting follow-up reviews; and activities relating to the serious deficiency process (issuance of notice, evaluation of corrective actions, appeal, and termination).
- b. Household contacts—Conducting parent contacts/surveys to help determine the validity of a facility’s claims.
- c. On-site and other training—All on-site training that occurs during a facility review, initial or subsequent training of sponsor staff that relates to the monitoring function.
- d. Technical assistance—if provided during a review.

YES NO

3. Our organization will use review averaging. If yes, describe your plan. (New institutions may not use review averaging.)

4. Our organization will do preoperational visits to each proposed facility.

5. Our organization will verify menus and menu records, daily attendance, and meal counts observed during the monitoring visit with the claim.

6. Our organization will ensure that facilities have a valid license.

7. Our organization will review the facilities records pertaining to block claiming.

8. Our organization will ensure each staff member with monitoring responsibilities is trained.

YES NO

9. Our organization will train staff in all facilities on the following areas each fiscal year: CACFP meal pattern, meal counts, claim submission and review procedures, recordkeeping requirements, reimbursement system, and civil rights training. Training must be appropriate to the level of staff experience and duties.

10. Our organization has a written Outside Employment Policy. This policy restricts employees with responsibilities and duties for the CACFP from obtaining outside employment within or outside of this institution that interferes with the completion of those CACFP responsibilities. In addition, any employment outside of the CACFP responsibilities and duties may not constitute a real or apparent conflict of interest with the CACFP.

11. How is information for disallowances based on observations made during visits transferred to claims processing?

12. If corrective action is necessary at a facility, how will you follow-up to ensure compliance?

III. Record Keeping

1. Location of CACFP records:

Type of Record	Central Office	Site	Not Applicable
Enrollment/Income eligibility statements			
Enrollment forms			
Records of meals and supplements served			
Monthly claim for reimbursement worksheets			
Claims for reimbursement			
Receipts/invoices of expenditures			
Menus and menu production records			
Time-in and time-out records/roster/Sign-in sheets			
Completed site review forms			
Time certification documentation for labor			

2. Your organization must retain CACFP records for at least three years, plus the current year. Indicate where prior years documents will be housed.

Records Location (home, office, garage, rental unit, etc.)	Records Address (address, city, state, zip, etc.)

YES NO N/A

3. Our organization understands that if we no longer participate in the CACFP we must still maintain records for three years plus the current year. If an audit is being conducted, we will maintain the records as necessary.

YES NO N/A

4. Do you store records off site? If yes, you must provide the names and phone numbers of two individuals with immediate access to the CACFP records.

Name	Phone Number
1.	
2.	

5. **For At-Risk Snack Programs only:** Do you take a meal count to ensure no more than one snack per day is claimed for each participant in your at-risk snack program?  
If no, please explain.

6. **For Homeless Shelters only:** Do you take meal count by name to ensure no more than three meals or two meals and one snack or two snacks and one meal per day are claimed for each participant in your shelter?  
If no, please explain.

#### IV. Eligibility

YES NO N/A

**For Head Start and ECEAP Sponsors/Grantees Operating CACFP only:**

Head Start/ECEAP participants from households not income eligible (at or below 100 percent of the federal poverty guidelines or receive public assistance) for Head Start and ECEAP must have properly completed and approved income eligibility applications on file to be categorized as free or reduced-price. Does your program consider income eligible Head Start/ECEAP children free without collecting IEAs? If yes, how does your program identify which children are over-income and collect income applications from those families?