

Name and Address of Center:	 Child Adult Care Food Program Sponsor Monitoring Form (Affiliated and Unaffiliated Centers)	Name of Sponsoring Organization:
Required Visit: (circle one) 1 2 3 F/U		Reviewer/Monitors's Name:

License # and/or Certification:	Eff. Date	Capacity	Enrollment	Date of Review	Arrival Time	Departure Time
---------------------------------	-----------	----------	------------	----------------	--------------	----------------

Meals Approved to Claim: B MS L AS S ES	Meal Observed: B MS L AS S ES <input type="checkbox"/> Non-Meal Review (Unaffiliated only)	Date of Last Site Review: _____ Date of Last F/U Review: _____ CAP Required Yes No Failed 5-Day Test Yes No
--	---	--

1. The center has a current license and operates within its licensed capacity, age limits, and staff/participant ratios.					
2. The center has a current license/permit/certificate, which allows for operation of food service.					Date of last inspection: _____
3. The center has an up-to-date enrollment roster for current year.					
4. Copies of completed EIEA's are on file at the center for every participant.					
5. Institution is using parent/guardian signature or institution's representation consistently and have identified which is used.					
6. Copies of complete and accurate Infant Feeding Forms are on file at the center for each child under the age of 12 months, if applicable.					
7. If for-profit, the center has the required number of low-income participants enrolled to be eligible for the CACFP.					
8. The center is taking daily attendance on an approved form and copies of attendance records are accurately maintained at the center for all enrolled participants.					
9. The center retains program records for the current fiscal year plus the prior three years (or number of years on program if less than three years).					
10. If the center has a contracted meal service, a current contract is on file and implemented accurately.					
11. The institution only claims meals served to participants that meet program eligibility requirements.					
12. The institution has written policies and procedures that assign program responsibilities and duties pertaining to CACFP.					
13. Program staff, volunteers, substitutes and participants are free from communicable disease.					
14. Program staff, volunteers, substitutes and participants wash hands properly before and during meal service.					
15. Food is obtained from approved sources that meet federal and state health standards.					
16. Refrigeration units are maintained at 41° F or below and freezers are maintained at 0° F or below.					
17. Cleaning supplies are stored separately from food.					
18. There is no evidence of rodent or insect infestation.					
19. Potentially hazardous foods are maintained, and (if contracted), delivered and served at the proper temperatures.					
20. Prepared food is stored in clean, covered containers that are clearly labeled and marked with date of preparation.					
21. Proper procedures are followed for washing, rinsing, sanitizing utensils, food preparation equipment, and food contact surfaces.					

When observing a meal, answer all questions in the following section. If this is a non-meal review (Sponsors of Unaffiliated Centers only), answer questions marked with an asterisk (*) and mark all others "N/A".

MEAL OBSERVATION	YES	NO	N/A	COMMENTS
22. Posted Menu:	Observed Meal: <input type="checkbox"/> Same as posted menu			
23. The observed meal was served at the proper time.				
24. The observed meal corresponds to the posted menu.				
25. The observed meal contains all required components, served in the required quantities. If no, list any missing and/or inadequate components:				
26. If contracted, the observed meal meets all requirements of the contract, including delivery, receipt and service.				
27. All the meals on the posted menu meet minimum CACFP meal pattern requirements.				
28. If using commercially processed/main dish combination foods, the center is following regulatory guidelines.				
29. Ready-to-eat cereal products served contain no more than 6 grams of sugar, per dry ounce				
30. One grain serving per day, across all eating occasions, is 100% whole grain or whole grain-rich. This is also clearly identified on posted menu.				
31. Grain based desserts are not served as part of a reimbursable meal.				
32. Juice is served no more than once a day.				
33. Flavored milk is not served to participants under 6 years of age.				
34. If served, flavored milk is fat-free (skim) or low-fat (1%) milk and is served only to participants 6 years and older.				
35. Low-fat (1%) and/or fat-free (skim) unflavored milk is being served to participants age 2 and older and unflavored whole milk is served to participants age 1.				
36. Yogurt contains no more than 23g of total sugars per 6 oz.				
37. The center follows regulatory requirements for feeding infants.				
38. If applicable, parent notes and/or medical statements are maintained on file authorizing menu substitutions.				
39. An accurate meal count is taken at the point of service and consolidated by the end of the day.				
40. If required, the center records meal counts by name.				
41. If taking meal counts by name, or by individual classrooms, the site consolidates them on a monthly meal count record form.				
TRAINING AND MONITORING	YES	NO	N/A	COMMENTS
42. Program staff have attended required sponsor training.				
43. Issues of non-compliance noted on previous reviews have been completely and permanently corrected.				
CIVIL RIGHTS	YES	NO	N/A	COMMENTS
44. The organization allows equal access to its site and provides meals regardless of race, color, national origin, sex (including gender identity and sexual orientation, disability, age, or reprisal or retaliation for prior civil rights activity in any program or activity conducted or funded by USDA.				
45. The "And Justice for All" poster is posted in a conspicuous place.				
46. The WIC flyer and Building for the Future letter are posted in a conspicuous place or distributed to parents.				
47. Race and ethnicity data is collected.				
48. If any civil rights problems are identified in questions #44-47 above, please provide an explanation. If none are identified, leave this section blank or write "N/A".				

5-DAY TEST

49. Meal count on day of review _____ Do not complete for a non-meal review (Unaffiliated only)

Record meal counts for the same meal type observed on the day of the visit for each of the previous 5 consecutive meal service days. Use the 5 previous weekend day meal counts for weekend reviews.

$$\boxed{} + \boxed{} + \boxed{} + \boxed{} + \boxed{} = \boxed{} \text{ Meal Count Total} \text{ Divided by } 5 = \boxed{} \text{ Average} \times .85 = \boxed{}$$

Dates: _____

50. Is the number of meals served on the day of the review equal to or greater than 85% of the average? Yes _____ No _____
If "Yes", the center "passed" the 5-Day test. If "No", obtain an explanation.

51. If #50 was answered "No," was the explanation provided adequate? Yes _____ (Center "passed" 5-Day Test)
No _____ (Center "failed" 5-Day Test; CAP and follow-up are required)

5-DAY RECONCILIATION

52.

Date	Enrollment Total	Attendance Total	Total Meal Counts					
			Breakfast	Morning Snack	Lunch	Afternoon Snack	Supper	Evening Snack

53. Do any meal counts for the five consecutive days reviewed exceed the documented enrollment or attendance for those days? Yes _____ No _____

Note: If meal counts, enrollment records and attendance records cannot be reconciled, monitor should expand review to include specific children. A meal disallowance may be necessary.

REVIEW AND SUMMARY	YES	NO	N/A	COMMENTS
54. Is a disallowance required?				
55. Is a Corrective Action Plan (CAP) required?				
56. Is a Follow-Up review required?				
57. If administering waivers, applied accurately.				

<u>ITEM #</u>	<u>REVIEW SUMMARY</u>

A corrective action plan (CAP) addressing the issues of noncompliance identified above must be received by the sponsor by close of business on _____. **The CAP must describe those actions being taken to correct each issue of noncompliance and the date by which each issue of noncompliance will be corrected.**

TRAINING MATERIALS PROVIDED: _____

Center Representative: _____ Date _____

Sponsor Representative: _____ Date _____

Sponsor's Second Party Check: _____ Date _____

INSTRUCTIONS FOR COMPLETING Sponsor Monitoring Form

(For Sponsors of Affiliated and Unaffiliated Centers)

HEADING: Complete each block with the appropriate data.

When doing reviews where a meal service is not observed (Sponsors of Unaffiliated Centers only), reviewers should mark “Non-Meal Review” and indicate “N/A” for those portions of the review form related to meal service. Also, for planned non-meal reviews, the 5-Day Test should be marked “N/A” but the 5-Day Reconciliation must still be completed. If using the form to conduct a Follow-Up Review, complete the portions of the review form related to the deficiencies noted on the previous review; for all other questions, reviewers should mark through and indicate “N/A.”

RECORD KEEPING/ELIGIBILITY REQUIREMENTS:

1. A center must have a current license posted in the facility. Observe the number and age range of children and the number of teachers present. Compare your observations to the site’s licensed capacity. Report any violations to the licensing authority and disallow any meals served over capacity.
2.
 - a. A valid licensing inspection report issued by the Department of Children, Youth and Families (DCYF) must show compliance under the categories for *Physical Environment/Food and Nutrition*.
 - b. Sites under local county licensing authority must have a valid satisfactory food service inspection report, permit, or certificate.
 - c. Note the date of the last inspection on the review form.
 - d. If the inspection report does not indicate compliance, note whether or not a Follow-Up inspection has been conducted indicating that the violations have been corrected. If there is no evidence of compliance on the report, it would be a finding and a Corrective Action Plan (CAP) and Follow-Up must be completed.
3. Review the enrollment roster and verify that participants are enrolled and withdrawn on a continuous basis. Compare the enrollment roster total to the daily attendance totals. It must be at least as high as the highest daily attendance figure. If completed by the sponsor check N/A.
4. EIEA's must be on file for each participant who is claimed as free or reduced and reviewed for accuracy and completeness. Review 10% of files. If completed by the sponsor check N/A.
5. Self Explanatory.
6. Ensure that there is a complete and accurate Infant Feeding Form on file for all enrolled infants.
7. Verify that the center meets the 25% requirement for the prior month by comparing Title XIX attendance records or Free and Reduced applications to center’s total enrollment or capacity, whichever is less. This documentation should be reviewed at the sponsor’s office prior to the on-site review.
8. The center must use the OPSI attendance form or an approved alternate form or system.
9. Program records must be maintained for 3 years plus the current fiscal year. It is recommended that the center keep at least the current month plus the previous 12 months of records on-site. The rest of the records may be kept at an off-site but must be made available for review upon request.

***** NOTE: For questions 10-12, mark N/A if center is not under a contracted meal service**

10. Request copy of Vended Contract or FSMC to determine that current meal service is reflected as determined.

11. Only participants that meet the age requirements and eligibility determination are served CACFP Meal Service.
12. Essential CACFP duties are clearly assigned in a written document highlighting the responsibilities (example: Point of Meal service assigned to classroom staff and procedure to complete correctly including when to report and consolidation).

***PHYSICAL ENVIRONMENT/FOOD AND NUTRITION:**

13. Verify through observation that employees maintain a high degree of personal cleanliness in the food preparation and storage areas, and when serving food to participants.
14. Observe whether staff preparing meals are washing hands prior to food preparation. Observe whether participants are washing their hands before the meal service. Verify that hand washing sinks in the kitchen and the bathrooms are supplied with hand soap, disposable towels, or hand drying devices.
15. Ensure that food is obtained from approved sources that meet federal and state health standards. Foods used in CACFP reimbursable meals must not be obtained from private homes, or unlicensed/non-permitted sources. Food must not be adulterated, temperature abused, misbranded, or spoiled.
16. Verify that the center has thermometers in refrigerators and freezers and that the correct temperature is maintained; refrigerators must be maintained at 41° F or below and freezers must be maintained at 0° F or below.
17. Self-explanatory.
18. Self-explanatory.
19. Hot foods must be maintained at 135° F or higher; cold foods must be maintained at 41° F or lower. Frozen foods must be thawed in the refrigerator, under cold running water, in the microwave, or as part of the cooking process. For contracted meals, verify the process by which a site ensures the food is delivered at the proper temperatures by the vendor. Hot foods must be delivered at 135° F or above and cold foods must be delivered at 41° F or below. If temperatures are not at the approved levels the food must be refused and sent back to the vendor.
20. Observe the handling of food. Any unused foods must be discarded or stored properly:
 - ▲ Potentially hazardous vended food must be discarded after meal service with the exception of refrigerated milk.
 - ▲ Self-prep foods may be refrigerated and stored for up to seven days in properly, covered containers or bags that are clearly labeled and marked with date of preparation.
21. Ware washing and sanitation may be accomplished by use of a dishwasher with sanitizing cycle, installed three compartment sink, or an installed two compartment sink and non-stationary or portable compartment receptacle used to sanitize. Sites must have a means to measure a sanitizing method (heat strips for dishwashers or test kit to confirm concentration of sanitizing solution).

*If any findings are of a serious safety concern to participants, notify the local licensing authority(i.e., fire, health, and/or safety hazards).

MEAL OBSERVATION:

Note: When observing a meal, answer all questions in the following section. For a non-meal review, answer questions marked with an asterisk (*) and mark all others "N/A".

22. **Posted Menu:** List all foods planned to be served to the participants during the meal service.

Observed Meal: List all foods served to the participants during the meal service, on the day of review. Check the box if the observed meal is the same as the posted menu. Items served should match the posted menu. (See instruction in #24)

23. The center should be serving meals during the times indicated in WINS.
24. Compare the meal served with the posted menu; the menu must reflect the actual meal served. If more than one item has been substituted, discuss the importance of menu planning. If vended, substitutions must be agreed to by both parties prior to delivery.
25. Observe the meal served and determine if all required components and required quantities are served. List any missing and/or inadequate components in the comments section.
26. Complete Catering Contract Review accordingly and attach copy to the Sponsor Site Review Form. Identify all deficiencies in the review summary section of the Sponsor Site Review Form
27. Disallow all meals on the posted menu that do not meet the minimum meal pattern requirements (for all meals that have already been served and recorded). For future meals, provide technical assistance and allow the menus to be corrected.
28. Ensure that all processed/main dish combination products have a CN label or Product Formulation Statement. If supplemental items are used, ensure that they meet the CCFP policy. If corrections are made during the meal service, a disallowance is not required. If the meal does not meet the requirements, a disallowance should be issued.
29. Ensure that the menu lists cereals by name; ready-to-eat cereals (cold and hot) must contain no more than 6 grams of sugar per dry ounce (see WIC-Approved Cereal List).
30. Ensure that one serving of 100% whole grain or whole grain-rich is served a minimum of once per day. The menu must clearly identify the whole grain or whole grain-rich item such as "WG bread" or "WGR crackers."
31. Ensure that grain-based desserts (e.g., granola bars, cookies) are not served as part of a reimbursable meal. Grain based desserts may be served as an "extra". Graham crackers and animal crackers are creditable.
32. Juice must not be served more than once a day.
33. Ensure that flavored milk is not served to children under 6 years of age. Flavored powder/liquid may not be added to milk (cow or soy) for children ages 1-5.
34. Ensure that flavored milk is fat-free (skim) or low-fat (1%) milk and served only to children 6 years and older.
35. Between a child's first and second birthday, unflavored whole milk is required. After the child's second birthday, low fat (1%) or fat-free (skim) unflavored milk is required. If this requirement is not met, the sponsor must disallow any meals for children on the Monthly Meal Count Record in the categories of 3-5 years and 6-12 years old. (Meals for 2-year olds will not be disallowed since the Monthly Meal Count Record combines ages 1-2 years old). Flavored milk may only be served to children ages 6 and older. If flavored milk is served, it must be fat-free (skim) or low-fat (1%). Reminder: A parent's note must be provided for non-dairy milk substitutions (i.e., soy milk). The note must state the medical or special dietary condition that restricts the diet of the child and whether the provider or parent will supply.
36. Observe the meal served for "eye appeal."
37. If the provider is claiming infant meals, observe the meal to determine if the infant meal pattern is being followed. Infant meals containing foods provided by the parent and served to infants, birth through 11 months, may include no more than one component provided by parent. Meals containing only breastmilk (expressed by mother and fed by provider or fed directly by mother), may be claimed for reimbursement. Refer to the Feeding Infants handbook for additional guidance. Check to ensure that Infant Feeding Forms are completed by the parents and are on file.
38. If you identify any children with special diet restrictions, and exceptions to the meal pattern are being made, check the enrollment files to see if there is signed statement from a recognized medical authority. If a milk substitute is provided, ensure it is an approved brand. Modifications to the meal pattern for religious reasons or food preferences that still meet the minimum meal pattern requirements may be made by parent request. Meals with substitutions that meet all meal pattern requirements are reimbursable. However, when a substitution is made and the meal pattern is not met, a medical statement is required and must contain the following three elements: a description of the child's physical or mental impairment that restricts the diet; what must be done to accommodate the child (foods to be omitted and foods to be substituted), and signature of a licensed physician, physician's assistant, or nurse practitioner. For children with a documented disability, parents may supply one or more components of the reimbursable meal as long as the provider provides at least one component. For non-disability meals (preferences), parents may supply no more than one component of the reimbursable meal.

39. Observe staff at mealtime and question them as to how meal counts are recorded. Meal counts must be taken at the point of service, i.e., while children are actually eating or as they are being served; attendance records are not allowed to be used to determine the number of meals served. Record your own count of the observed meal and compare it to the meal count taken by the center staff. Remember to include all infants that will be included in the meal count although they may be eating at another time.

Also, meal counts must be recorded within one hour of the meal service. They may be recorded on a form other than the Meal Count Record as long as they are posted to the Record at least daily. Check to see that all meals prior to the observed meal have been recorded. Disallow all meals not recorded prior to your visit.

40. If any meal counts exceed the licensed capacity of the center or if four or more meal types are claimed, meal counts must be taken by name of child. Disallowances may be issued, if necessary.
41. If meal counts are taken by name, or by individual classrooms, a standard Meal Count Record form must also be completed and totaled at least daily (by the end of the day).

TRAINING AND MONITORING:

42. Check to see if the director or other responsible individual(s) has attended required sponsor training. Check your records or speak with the director to obtain documentation – agendas and sign-in sheets. At a minimum, training must include the following topics: meal patterns, meal counts, claims submission and review procedures, record keeping requirements, and the reimbursement system.
43. Check previous reviews for issues of non-compliance. Also review submitted Corrective Action Plans (CAPs). Check to ensure that previously identified issues of noncompliance have been corrected according to the plan outlined in the Corrective Action Plan.

CIVIL RIGHTS:

- 44-47. Ask the director and staff what their enrollment policy is and the method used to collect race and ethnicity data. Self-identification and self-reporting are the preferred method to collect race and ethnicity data. The civil rights poster (“And Justice for All”), the Building for the Future letter and the WIC flier must all be displayed in conspicuous locations. Monitors should carry a supply of posters and provide them as necessary.
48. Discuss any possible civil right problems identified with the staff and include any explanations provided. If, in the opinion of the reviewer, any kind of discrimination is present, notify the sponsor’s office immediately.

5-DAY TEST:

- 49-51. The 5-Day Test is a screening tool to compare the prior days’ meal counts to the meal count observed on the day of review. Record the prior consecutive 5-day meal counts. **[Note: do not include days center was closed or days where no meal counts were recorded]**. Using the formula, calculate the 5-day meal count average and multiply it by 85% (.85). If the resulting number is a decimal, use normal rounding procedures to round to the nearest whole number (i.e., round up if the decimal is .5 or greater; round down if the decimal is less than .5). If the number of meals served on the day of the review is less than this number, center staff will need to provide a (documented) plausible explanation. If a plausible explanation is provided, the center is considered to have “passed” the 5-Day Test. If a plausible explanation is not provided, the center is considered to have “failed” the 5-Day Test. A Corrective Action Plan is required, a Follow-Up review must be conducted, and center staff should be informed of the consequences of program fraud and abuse. If the center fails the 5-Day Test on subsequent reviews, including Follow-Up reviews, the center is subject to household contacts and/or audits that could result in termination from the program and possible pay back of significant sums of money.

5-DAY RECONCILIATION:

52-53. Instructions for Five-Day Reconciliation:

- Complete the table for any five consecutive days. **[Note: These can be the same 5 days as the 5-Day Test]**
- Evaluate enrollment and attendance records to ensure that they are current and accurate.
- Compare the center’s total enrollment to its recorded daily attendance for the five days to ensure that the number of children in attendance does not exceed the number of children enrolled.
 - If attendance does exceed enrollment for any day, the monitor must determine the source of the error (e.g., inaccurate attendance records, missing enrollment forms) before a five-day reconciliation can be completed.
- Compare the center’s total daily attendance to its meal counts using five consecutive days of total meal counts for each approved meal type to ensure that meal counts do not exceed the number of participants in attendance on any day.

- If the facility review is early in the month, the monitor may need to look at meal counts from the prior month.

Note: If meal counts, enrollment records and attendance records cannot be reconciled, a meal disallowance or Warning Letter may be necessary.

REVIEW AND SUMMARY:

54-57. Refer to additional guidance materials provided in your sponsor oversight handbook.

Comment Section – Use this section to list and describe any issues of non-compliance noted. This section may also be used to identify any program areas that deserve commendation.

After the review is conducted and the monthly claim has been filed, the sponsor's designated Program Manager should perform a second party check of the review form. This is to ensure that it is completely and correctly filled out. The second party check should not be performed by the same person who has conducted the review.

A Corrective Action Plan (CAP) is required when significant issues of noncompliance are found during a monitoring review, including meal disallowances and failure of the 5-Day Test. The sponsor must receive a written Corrective Action Plan by the required date. Two weeks should generally be an adequate amount of time but, depending on circumstances, the reviewer may allow a slightly longer time or require a shorter time. Sponsors have the option of not requiring a CAP for deficiencies that are not systemic or process-related errors and that can be permanently fixed at the time of the review, or shortly thereafter. If a CAP is not required, the sponsor must provide technical assistance and must record all actions taken on the Site Review Form or Follow-Up Form.

Upon receipt of the CAP, the sponsor must compare the plan to the issues of noncompliance that were identified to ensure all noted issues of noncompliance were addressed. If any responses are inadequate the sponsor must Follow-Up with the center until an adequate response has been received.

A Follow-up Review must be conducted within 30 days of an approved CAP.