



SECTION 5: Monitoring Reviews

Child Care Centers participating in CACFP will be reviewed to monitor compliance to program regulations.

- Types of Reviews
- Materials Needed for a CACFP Monitoring Review
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Monitoring Reviews

The United States Department of Agriculture (USDA) and the Department of Health and Senior Services-Community Food and Nutrition Assistance (DHSS-CFNA) require independent centers and Sponsoring Organizations (SOs) to maintain complete and accurate original Child and Adult Care Food Program (CACFP) records. DHSS-CFNA is required to ensure centers and the SOs are accountable for all reimbursement received in compliance with program regulations. Each center and SO will be reviewed by DHSS-CFNA at least once every three years in a CACFP monitoring review. A sponsor may be reviewed for compliance at any time.

Program monitoring reviews may or may not be announced in advance. If announced in advance, the sponsor will receive a letter and the review will be conducted within the week specified in the letter. For unannounced reviews, no advance notification will be given. The center may contact our office (800-733-6251) if there are days they know they will not be available. Although, according to the Office of Childhood, Child Care Compliance, “another responsible individual shall be designated to be in charge of the facility” in the absence of the director and records must be kept at the physical location for an independent center (during the hours of operation) or at the location noted on the Management Plan for multi-site SOs.

During monitoring reviews, **all original program records must be maintained on location and made available for review within one hour of arrival by state and/or federal officials.** *Failure to have CACFP records available will result in findings, corrective action and/or overclaims; DHSS-CFNA may disallow up to twelve months of claims for reimbursement the center or SO must repay.*

Centers must maintain all required original records, not copies, on file for a period of three full fiscal years after the final claim for reimbursement for the fiscal year was submitted, or longer if audit findings have not been resolved. The federal fiscal year begins October 1 and ends September 30.

The **Materials Needed for a CACFP Monitoring Review** checklist, on the next page, is provided to help organizations prepare for the review.

Technical Assistance Visit:

DHSS-CFNA wants you to be a success which is why Technical Assistance (TA) visits are offered for new CACFP organizations. After your center has been participating in the CACFP for a few months, it is highly encouraged for you to schedule a TA visit with your district nutritionist. In preparation for your TA visit, you must have submitted at least one claim. TA visits are similar to monitoring reviews, but are conducted as a courtesy to your organization. The purpose of the TA Visit is to review your records and procedures with you for program compliance, answer any program questions you might have, and provide you with the guidance needed to help you be successful with CACFP! A TA visit is not punitive in nature and is strictly meant to help facilitate your organization's success. This visit can help reduce findings and the need for corrective actions in the future during monitoring reviews.

Materials Needed for a CACFP Monitoring Review

All records must be retained for 3 full fiscal years.

All facilities must retain original records.

Download forms at: www.health.mo.gov/cacfp

- ☐ Daily attendance records (CACFP-213) **and** meal count sheets (CACFP-225 or CACFP-225A).
- ☐ Documentation of nonprofit foodservice includes verification of food service expenditures including: food purchase receipts or invoices; labor and indirect costs (CACFP-214), and income to your food program, if applicable.
- ☐ Daily dated menus that meet CACFP requirements.
- ☐ Documentation of ethnic and race data collected through self-identification and self-reporting method (For example, enrolled sites - IEF/Enrollment, non-enrolled sites-Outreach & Beneficiary Data Survey (CACFP/SFSP-650). Compile data on Beneficiary Data Report (CACFP-226) or Sponsored Centers Site Visit Report (CACFP 404) if a sponsoring organization. Other forms may be approved by DHSS-CFNA to collect ethnic and race data through self-identification and self-reporting methods.
- ☐ Recipes for homemade menu items.
- ☐ Processed food documentation: Child Nutrition (CN) label or manufacturer's Product Formulation Statement (PFS).
 - Frankfurters/hot dogs, bologna, and other similar products are creditable without a CN label when free of byproducts, cereals, or extenders. Product ingredient list from the original package for these items must be kept on file to document compliance.
 - Documentation to verify that commercial tofu served met protein requirements, such as the product's Nutrition Facts Label (NFL). A CN label or PFS is required for processed tofu products such as links and sausages made from tofu.
- ☐ Documentation to verify whole grain-rich requirements are met, such as a product ingredient list.
- ☐ Documentation to verify that grains served met the minimum grain oz. eq. required by age. Documentation may include the product's NFL, a CN label, a PFS, or a standardized recipe.
- ☐ Documentation to verify breakfast cereals (ready-to-eat, instant, or hot) and yogurt served are within the required sugar limits, such as the product's NFL.
- ☐ If meals are catered/vended, a copy of the food service contract, most recent sanitation inspection, **and** production records for all catered/vended meals.
- ☐ Medical food substitution forms (CACFP-227), if applicable.
- ☐ Documentation of CACFP training (CACFP-222) conducted by the center management staff, which includes dates, locations, topics, and names of staff participants.
- ☐ A copy of the most recent sanitation inspection report conducted by the state or local health department, if applicable.
- ☐ "And Justice for All" and "Building for the Future" posters posted in a location visible to the public.
- ☐ If a sponsoring organization, documentation of site monitoring visit reports (CACFP-404) for the current **and** past year.
- ☐ Copy of the original contract agreement, along with contract amendments for the sponsor agency, if needed contact central office at 800-733-6251.

Child Care Centers also need original documentation of:

- ☐ CACFP enrollment records (CACFP-229) or Office of Child Care/CACFP (MO 500-3317) combined form with original date of enrollment for all children.
- ☐ Income Eligibility Form (CACFP-205) signed and dated by parent or guardian and center representative.
- ☐ CACFP Parent letter and any additional CACFP information provided to parents.
- ☐ "WIC Works" poster posted in a location visible to the public.
- ☐ If licensed for infants, individual Infant and Toddler Feeding and Care Plan form (MO 500-3306) **and** individual infant meal records.
- ☐ If contracted to provide care for children enrolled in Early Head Start or Head Start Programs, an official roster from the Head Start Administrative office must be provided to verify eligibility for free meals.
- ☐ For profit centers must provide billing invoices for participants who are beneficiaries of Title XX.

Adult Day Care Centers also need original documentation of:

- ☐ Income Eligibility Form (CACFP-501) signed and dated by participant or guardian and center representative.
- ☐ CACFP enrollment records (CACFP- 635) for all participants.
- ☐ An individual plan of care for each functionally impaired participant under 60 years of age.
- ☐ For profit centers must provide billing invoices for participants who are beneficiaries of Title XX or XIX.
- ☐ CACFP Participant letter and any additional CACFP information provided to participants.

At-Risk Afterschool programs also need original documentation of:

- ☐ Enrichment program plans.
- ☐ Outreach & Beneficiary Data Survey (CACFP/SFSP-650).
- ☐ The most recent fire **and** sanitation inspection report.

Emergency/Homeless Shelters also need original documentation of:

- ☐ Daily resident roster documenting the participant's date of birth, the date the participant entered and left the shelter, and the dates the participant was claimed for meal reimbursement.
- ☐ Copy of most recent fire **and** sanitation inspection report.
- ☐ Monthly donated food log.
- ☐ Outreach & Beneficiary Data Survey (CACFP/SFSP-650).

Appeal Procedure

The request for administrative review (appeal) of adverse action taken by Department of Health and Senior Services-Community Food and Nutrition Assistance (DHSS-CFNA) must be submitted in writing no later than **15 calendar days** after the date the notice of action is received. Actions which may be appealed are those that affect your participation or claim for reimbursement including, but not limited to:

- Denial of anew or renewing sponsor's application for participation;
- Denial of an application submitted by a sponsoring organization on behalf of a facility;
- Notice of proposed termination of a sponsor's agreement;
- Notice of proposed disqualification of a responsible principal or responsible individual;
- Suspension of a sponsor's participation in the program;
- Denial of all or part of a claim for reimbursement;
- Demand for the remittance of an overpayment;
- Denial by DHSS-CFNA to forward to the Food and Nutrition Service an exception request by the institution or sponsoring organization for payment of a late claim or a request for an upward adjustment to a claim, or demand for remittance of an overclaim; and
- Any other action of the state agency affecting an institution's participation or its claim for reimbursement.

There are two types of appeals which are conducted before a duly appointed administrative hearing officer:

- Hearing (in person); and
- Abbreviated administrative (written) review.

Instructions on how to appeal are included in all correspondence concerning any actions taken by the Child and Adult Care Food Program (CACFP). The appeal request must state whether the sponsor/center is requesting a hearing or an abbreviated (written) administrative review and must be submitted in writing to the following address:

Missouri Department of Health & Senior Services
Community Food & Nutrition Assistance
P.O. Box 570
Jefferson City, MO 65102
Fax 573-526-3679

Appeals submitted according to policy are then held by the administrative review official. The official must inform DHSS-CFNA, the organization's executive director, the chairman of the board of directors and the responsible principals or responsible individuals of the administrative review's outcome within 60 days of CFNA's receipt of the request for an administrative review [7CFR 22.6(k)].