

INSTRUCTIONS FOR SAMPLE HOME REVIEW FORM (Attachment D1)

Findings and Required Corrective Action: If the answer is “NO” to any of the questions 6-45, unless specified otherwise, the associated problem must be documented as a Finding and Corrective Action (C.A.) must be required of the provider.

The Term “Finding”: This word is used by DPI and USDA when identifying non-compliant areas. Sponsors may use a different term in reference to a “finding”, so long as it is treated as non-compliance that requires some form of corrective action.

Technical Assistance (TA): The monitor should carefully document any TA given to the provider during the home review. Areas needing TA could potentially lead to a “finding” of non-compliance; it is important to document the training or TA given to the provider for identifying re-occurring problem areas.

Completing the Home Review Form:

Box: Record date of review. Circle UN if this is an unannounced visit. Indicate that the home has been determined by the sponsor as a Tier 1, Tier 2 or a Tier 2 with Income Eligibility Applications.

Items 1-3: Self-explanatory.

Item 4: If home is licensed record the expiration date and capacity.

Item 5: If home is certified, record the expiration date and capacity.

Tiering Method of Reimbursement

Item 6: Determine whether 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, verify the provider had the option to request that the sponsor identify income-eligible children in the home.

Civil Rights

Items 7-11: Determine if the home is in compliance with current Civil Rights regulations and policies.

Completion of Chart: Attendance and Eligibility Data and 5 Day Reconciliation Data; document discrepancies and any disallowances that resulted from the identified discrepancies.

Item 12:

The Attendance and Eligibility Data section: Indicate the meal observed or meal that is closest to the time of review if a meal is not observed. List the names of all children in attendance along with their assigned number and age. Mark the respective box if each child is Provider’s Own, has a current CACFP enrollment form on file, and has annually updated enrollment information. Then mark whether the child actually participates or participated in the meal service that you will be completing the 5 day reconciliation for.

The 5 Day Reconciliation Data section: Obtain a copy of the meal counts by type and the provider’s child care attendance records for five previous serving days. Mark under the “M” column if each child listed was claimed for meals and also mark under the “A” column if the child was present according to the provider’s child care attendance records for each of the 5 prior days you are reconciling.

If there are additional children recorded on meal counts and attendance records that are not present on the day of the review, list these children (names, assigned numbers, and ages) under the children you have listed as present on the day of review. Check under the “M” column if the additional children were recorded for a meal and under the “A” column if they were in attendance during the meal service for prior 5 days.

For each of the five prior days, compare whether each child who was counted for the meal on the day of review was also counted for that meal for the five prior days, whether the enrollment information supports each child's meal count for these days, and if the attendance information supports each child's meal count for these days.

Discrepancies/Disallowances: Document any discrepancies between the meal counts, attendance, and enrollment form information for each child, for each of the 5 days. If the discrepancies cannot be justified, the respective meals involved with these discrepancies must be disallowed.

Attendance and Eligibility Data

The following questions are answered using the Attendance and Eligibility Data information collected within the chart in item 12.

Item 13: Indicate whether the provider served the meal at the approved time. If "NO", indicate if the sponsor was informed of the change.

Item 14: Indicate whether the provider meets the licensing/certified capacity and provider/child ratio requirements.

Item 15: Determine that each child has a complete and current CACFP enrollment form, including annual updates w/ signature(s).

Item 16: 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 17: Meals served to a provider's own child may be claimed only if: 1) the child is enrolled, 2) the provider has been determined to be eligible by the sponsoring organization based on free/reduced-price household applications submitted by the provider and 3) at least one child who is not the provider's own is present and participating in the meal service.

Item 18: The provider cannot assess a separate charge for a meal.

Child Care Enrollment Forms

Item 19-20: Self-explanatory

Day of Review-Meal Counts

The following questions are answered using the 5 Day Reconciliation Data information collected within the chart in item 12.

Item 21: Evaluate and determine if unreasonable changes and/or discrepancies occurred in the day of review counts from the counts from the previous 5 days to the day of review count. If "NO" obtain and record an explanation. Indicate if the explanation is acceptable.

Item 22: Observe to determine whether an accurate count is taken by the end of each serving day. An accurate system is one based on recording the children who are actually present and participating in each meal. If "NO", determine and record the cause for the inaccurate count and disallow the meals for the children who were inaccurately recorded as present for the meal.

Health/Safety/Sanitation

Items 23-28: Determine if reasonable health, safety, and sanitary conditions exist in the home. Any imminent threat to health and safety should be immediately addressed with the provider and brought to the attention of the sponsoring organization and the appropriate local and/or State agency.

Day of Review-Observation of Meal Service

Item 29: Record the observed food items prepared and served to both the 1-12 year olds and infants.

Item 30: Observe and determine whether the meal contains all the required components. If "NO", record the number of meals with missing components which will be disallowed.

Item 31: Observe and determine whether the required components were prepared and served in sufficient quantities to the appropriate age groups and whether the meal service requirements, which may be served pre-plated or family-style, were properly followed.

Item 32: Observe and determine whether the proper type(s) of milk is served to each of the present children based on their age.

Item 33: Determine whether the requirement to have water available throughout the day, including meal times, has been properly implemented by the provider.

Item 34: Meals served to children should incorporate a combination of colors, temperatures, textures, shapes, and sizes. If "NO", provide technical assistance to the provider to encourage variety and eye-appeal of meals. (Corrective action is not required.)

Item 35: A positive and pleasant meal environment promotes good eating habits for children. If "NO", provide technical assistance to encourage the provider to create a more pleasant meal environment. (Corrective action is not required.)

Item 36: Determine if the required medical Statements are on file for all substitutions related to medical special dietary needs.

Item 37: Determine whether at least one component of the infant meal pattern is supplied by the provider for each infant as each infant becomes developmentally ready for semi-solid foods.

Item 38: Determine whether the menus and meal count records are up-to-date and have been recorded by the end of each day. If they are not, the respective meals must be disallowed.

Item 39: Compare the food items observed as served by the provider for the meal on the day of review to the recorded menu items for that meal once the Provider has submitted her/his records for claims processing. If the foods recorded are different from what the monitor observed during the meal service observation, the meal must be disallowed.

Recordkeeping

Item 40: Are all required records on file onsite in the home for the current and prior 12 months?

Item 41: Are all required records on file for the remaining months of the prior 3 Federal Fiscal Year period (October – September) from the current year?

Item 42: A copy of the current sponsor/provider agreement should be on file in the provider's home. If not, make arrangements to provide a copy of the current year's agreement to the provider.

Sponsor Training/Monitoring

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.

Item 43: Self-explanatory.

Item 44: Interview the provider to determine if training ideas and information are helpful and are in use. If "NO," determine if additional training is necessary or training methods need to be revised.

Item 45: Refer to the last review completed and list any "findings" identified and the corrective actions noted. "Effective corrective action" is achieved when the provider does not demonstrate similar "findings" on the current review. If similar "findings" appear on the current review, indicate "NO" and explain them. Note the corrective actions required on the Summary of "Findings".

Summary of “Findings”

The documentation within the summary of “findings” section must correspond to all “findings” noted in the body of the review form. The monitor must discuss these “findings”, the associated required corrective actions, and when the provider must implement this corrective action with the provider at the end of the home visit. Then, both the monitor and the provider should sign the home review form and a copy of the review form should be given to the provider.

At the next home review, the monitor must note if and when the provider implemented the required corrective action. If the corrective action has not been fully implemented, additional action must be taken by the sponsor (in accordance with its policies and procedures for addressing providers’ non-compliance).