

This chart is intended for monitors to use during HVs.

- **Findings:** When identifying any of the non-compliance listed in the 'Findings' column during a home visit for each of the requirements, record it as a Finding on the Home Visit Review Form, even if it is the 1st Occurrence (*unless otherwise specified below*).
 - **Occurrences:** The 1st Occurrence is the first time identifying the Finding during a home visit (with [one exception](#)). Reoccurrences are Findings of the same non-compliance identified during subsequent home visits. **The sponsor must have a tracking method of occurrences for each Finding.**
- **Disallowances:** Meal disallowances are always the result of a Finding. Record meal disallowances (specific to the dates, meal types, and children) along with their associated Findings. Ensure the provider is not paid for the recorded meal disallowances.
- **Follow-up:** Follow-up identifies areas requiring action after a home visit by the provider and/or the monitor.

Requirements	Findings	Disallowances	Follow-up
Provider's Advance Notice of Schedule Changes	1) Provider did not give sponsor advance notice they will not be home during their approved meal times. <ul style="list-style-type: none"> ▪ The sponsor may cite as findings at their discretion—when provider did not notify them in advance that: <ul style="list-style-type: none"> ▪ No children will be in attendance during provider's approved meal service times ▪ They have made changes to their regular meal times 	Disallow meals typically served during the attempted visit.	
Required Review Elements			
CACFP Meal Pattern			
(1-12-year-old children) Review of current month's entered menus (menus completed up to the home visit date)	When current month's menu shows following: <ol style="list-style-type: none"> 1) Missing components 2) Served non-creditable foods 3) Served juice more than twice a day 4) Not serving at least 1 WGR item each day 	Disallow to 1st of current month <ul style="list-style-type: none"> ▪ Any meal missing required components and/or serving non-creditable foods ▪ The least reimbursable meal serving a grain on days missing a WGR item ▪ The least reimbursable meal serving juice on days when juice is served >1X 	
Review of Foods On-hand For foods that require review of packaging (for crediting) based on menu review (for current & previous month) recorded on HV Review Log "Reviewing foods on-hand" means looking at crediting information on packaging of actual foods in provider's storage areas during HVs (pantries, refrigerator, freezer) → Looking at saved labels alone CANNOT REPLACE looking at actual foods during HV.	1) Foods On-hand Not Meet Crediting Criteria: Foods on-hand (<i>served to children in care</i>) for items on reviewed menus do not meet crediting criteria: → Cite as Finding for 1st occurrence & recurrences of serving same food not meeting crediting criteria. (regardless of consecutive or intermittent recurrences) → Follow the 'Disallowances' column for initial & recurring findings <ol style="list-style-type: none"> a) Cereals exceed the sugar limit b) Yogurt exceeds sugar limit c) Processed meats-not creditable or no CN label / PFS d) Store-bought combination foods-no CN label/PFS e) Tofu does not meet the required protein level f) Non-creditable cheese (labeled as "cheese product", imitation cheese, cheese sauce-no CN label/PFS) g) Serving grains that do not meet WGR criteria 	Foods On-hand Not Meet Crediting Criteria: <ul style="list-style-type: none"> ▪ Recurrences are specific to same non-creditable food being served ▪ The sequence of consequences for each occurrence applies regardless of consecutive or intermittent recurrences Disallow meals according to the number of Occurrences below: <ul style="list-style-type: none"> ▪ Meals that served non-creditable foods ▪ The lowest reimbursable meal or snack at which a grain was served if no foods on-hand met WGR criteria 1st Occurrence Disallow meals only served on HV day, even if meals not observed	

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<p>Review of Foods On-hand Cont'd</p>	<p>2) At least 1 WGR item not served each day Based on foods on-hand for meals served on previous & current month's menus reviewed for completing HV Menu & Product Review log</p> <p>For both Findings 1) and 2) - Record on HV Form:</p> <ul style="list-style-type: none"> i. Identify as a Finding for 1st & subsequent occurrences ii. Specific non-creditable foods & any grains on-hand not meeting WGR criteria for items on reviewed menus iii. Days missing a WGR (if any) due to Finding 2 above 	<p>2nd Occurrence Disallow back to 1st of the prior month</p> <p>3rd Occurrence Disallow back to previous HV date</p> <p>4th Occurrence Disallow back to previous HV date again; potential Serious Deficiency</p>	
	<p>3) Items on reviewed menus not on-hand:</p> <p>The 1st time: Must count as 1st occurrence but not as a Finding (See Follow-up column)</p> <p>Record the following on the HV Form:</p> <ul style="list-style-type: none"> i. The menu items for which the provider did not have any foods on-hand; and ii. Identify as a 1st occurrence on HV Form and then on the sponsor's tracking system of occurrences <p>When not on-hand for consecutive HVs – The 2nd Occurrence and subsequent Occurrences must count as Findings</p> <p>Record the following on the HV Form:</p> <ul style="list-style-type: none"> i. The menu items for which the provider did not have foods on-hand; ii. Identify as a Finding & Occurrence # (or at sponsor's discretion if sporadic among HVs) iii. Update sponsor's tracking system of occurrences for these menu items; Escalate consequences for each recurrence as specified in the 'Follow-up' column iv. Disallow meals as specified in the 'Disallowances' column for the 3rd and 4th occurrence <p>Occurrences are specific to menu item If foods are on-hand at next visit or provider sends photo of packaging, sponsor may "reset" occurrences to 0 for that item.</p>	<p>Items on menus not on-hand: Not being on-hand for consecutive HVs counts as recurrences (or at sponsor's discretion if sporadic among HVs)</p> <p>If foods are on-hand at next visit or provider sends photo of packaging, sponsor may "reset" occurrences to 0 for that item.</p> <p>Occurrences are specific to menu item:</p> <p>1st Occurrence (1st HV not on-hand) Do not disallow meals</p> <p>2nd Occurrence Not required to disallow meals</p> <p>3rd Occurrence Disallow meals serving items without foods or packaging (saved from latest purchase) on-hand back to 1st of the prior month</p> <p>4th Occurrence Disallow meals serving same food item without foods or packaging (saved from latest purchase) on-hand to the previous HV date</p>	<p>Items on reviewed menus not on-hand at the 1st HV and consecutive HVs must count as occurrences (or at sponsor's discretion if sporadic among HVs)</p> <p>1st Occurrence (1st HV not on-hand)</p> <ul style="list-style-type: none"> ▪ Record as 1st occurrence on HV Form, do not cite as Finding ▪ Follow up at next HV to check foods or packaging (saved from latest purchase) on-hand for those items if still on menus <p>2nd Occurrence</p> <ul style="list-style-type: none"> ▪ Cite as a Finding; and ▪ Require provider to submit packaging (or photo) from next purchase of foods not on-hand <p>3rd Occurrence</p> <ul style="list-style-type: none"> ▪ Cite as a Finding; ▪ Disallow meals (see 'Disallowances' column); and ▪ Require provider to submit packaging (or photo) from next purchase of foods not on-hand <p>4th Occurrence</p> <ul style="list-style-type: none"> ▪ Cite as a Finding; ▪ Disallow meals (see 'Disallowances' column) ▪ Require provider to submit packaging (or photo) from next purchase of foods not on-hand; potential Serious Deficiency

Requirements	Findings	Disallowances	Follow-up
<p>Review of milk on-hand → At each HV (including non-meal observation HVs), monitors must check refrigerator for or request provider to show which milk(s) are served to each age group.</p>	<ol style="list-style-type: none"> 1) Incorrect types of milk are being served based on the age of the children who are present 2) Non-creditable milk is being served (i.e., 2% milk) 	<p>Disallow meals:</p> <ol style="list-style-type: none"> a) Served up to HV time if correct types of milk were not on-hand for that day's meals (not in refrigerator & no empty milk containers in garbage) b) Served after HV if evident provider will not be able to buy correct types of milk for meals not yet served that day. 	<p>May require provider to submit proof of purchased milk for the rest of the day's meals. (i.e., photo of receipt)</p>
<p>Infants (Under age 1 Year)</p>	<ol style="list-style-type: none"> 1) Not offering to supply at least one type of iron-fortified infant formula and foods for infant meals or is requiring families to supply them Based on review of infant menus & items on-hand for each infant (as shown on completed HV Infant Review Log): 2) Claimed infant meals containing more than 1 family-supplied meal component 3) Claimed infant meals serving non-creditable items 4) Claimed infant meals not containing all required components according to the infant's developmental readiness (includes when family serves part of meals at home) 5) Submitted infant menus do not reflect foods on-hand/served 	<p>Current Month's Infant Menus – Disallow:</p> <ol style="list-style-type: none"> a) Any meal serving more than one family-supplied meal component b) Any meal serving non-creditable items c) Any meal not containing all required components according to the infant's developmental readiness (including when family serves part of the meals at home) d) See the 'Follow-up' column (to the right) for Finding 5-disallowing infant meals when submitted infant menus do not reflect foods on-hand/served. 	<p>1st occurrence: Do not disallow meals when submitted infant menus do not reflect foods on-hand/being served to each infant</p> <p>Repeat occurrences: Disallow infant meals submitted on the infant menus back to the 1st day of the current month when they do not reflect foods on-hand/being served to each infant</p>
<p>Meal Service (When meal service is observed during HVs)</p>	<p>Children are:</p> <ol style="list-style-type: none"> 1) Taking their meals with them when picked up by parents 2) Not eating their meals at the table with the other children (not present & participating in meal) 3) Did not serve all meal components together at same time (i.e., holding back milk, holding back fruit until end of meal) 4) Served meals containing deep fat fried foods 5) Did not serve required portion sizes for each component <p>and/or</p> <ol style="list-style-type: none"> 6) Did not correctly serve meals according to meal service method provider is using (pre-plated versus family-style dining) 	<p>Disallow meals served during meal observations when:</p> <ol style="list-style-type: none"> a) Observed meal served non-creditable foods or were missing meal components (this includes not serving the correct type of milk by age group); b) Observed meal served foods that were deep fat fried; c) All meal components are not served together at the same time; d) Children left child care with their meals; e) Children not present/at table during meal; f) Insufficient portion sizes: Per sponsor's home visit policies/procedures, the monitor may, at discretion, disallow meals not serving required portion sizes and/or is a repeat noncompliance. 	

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<p>Special Dietary Needs</p> <p>UPDATED 8/24</p> <p>COMPLETION OF SDN TRACKING FORM:</p> <p>The provider is not required to submit the completed SDN Tracking Form as a condition of reimbursing the provider for the child's meals.</p> <p>The sponsor must work with the provider to complete the form and then forward them a completed copy.</p> <p>→ Follow updated GML - Special Dietary Needs</p> <ul style="list-style-type: none"> • Pages 7-8 Home Visit Monitoring Level 	<ol style="list-style-type: none"> 1) Has not submitted valid medical statement [<i>disability-related</i>] or written SDN request [<i>non-disability-related</i>] to sponsor for children being served meals differing from their menu 2) Claims non-reimbursable SDN meals as specified in the 'Disallowances' column 3) Is not offering to supply reasonable substitutions for meals served to children with disability-related SDN 	<p>Disallow the following SDN meals back to the 1st of the month and moving forward from the HV date:</p> <ol style="list-style-type: none"> 1) Disability-related SDN meals serving: <ol style="list-style-type: none"> a) No provider-supplied components OR b) Non-creditable foods/missing components or more than 1 family-supplied component unless have valid medical statement → If receive valid medical statement before processing that month's claim, do not disallow meals 2) Non-disability related SDN meals serving non-creditable foods/ missing components or more than 1 family-supplied component <p>UPDATED 8/24</p> <p>When to Not Disallow</p> <p>Do not disallow when meals served for SDNs are within CACFP meal pattern requirements (ex. accommodate disability by serving creditable foods) if required documentation is not yet on file.</p>	<p>UPDATED 8/24</p> <ol style="list-style-type: none"> 1) Children with SDNs accommodated WITHIN MEAL PATTERN: Providers must submit missing medical statements/ written SDN requests even when meals can be claimed without valid medical statements. 2) Children with SDNs NOT ACCOMMODATED WITHIN MEAL PATTERN: <ol style="list-style-type: none"> a) Promptly contact admin to stop any further payment for their meals b) The child can be taken out of pending status to re-enable their meal reimbursement once provider: <ul style="list-style-type: none"> • Submits valid medical statement for disability to serve meals with non-creditable foods, missing components, and/or more than 1 family-supplied component; OR • Begins to serve creditable foods, all components, & no more than 1-family supplied component
<p>Drinking Water</p>	<ol style="list-style-type: none"> 1) Provider is not making water available to children throughout the day (including during meal times) and/or directly offering water to young children unable to recognize thirst or know how to request it themselves (i.e., by asking, showing, giving them water etc.) 		
<p>Up-to-Date Menu and Meal Count Records</p>	<ol style="list-style-type: none"> 1) Menus and/or meal counts are not up to date for the month of the HV 2) Provider has recorded meal counts of children prior to meals being served → Require providers to erase/delete meal counts for meals not served before end of HV and/or 3) Provider is not recording (or entering on-line) each day's menus and/or meal counts by midnight. 	<p>Disallow meals:</p> <ol style="list-style-type: none"> 1) When menus are not fully complete for each meal type & day, from 1st of current month through day prior to HV 2) When meal counts are not up-to-date or complete from the 1st of the current month through the day prior to the HV 3) Recorded for children provider stated would not be attending the meal 	

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<p>5-Day Reconciliation</p>	<ol style="list-style-type: none"> 1) Children recorded in meal counts or claimed were not in attendance during the meal(s) 2) Attendance records are incomplete (children not signed in/out or not recorded on attendance records at all [except Provider’s Own children 7 years or older]); 3) Attendance records are missing and/or 4) Attendance records/meal counts show provider was overcapacity 	<p>Disallow for the 5-day rec period only:</p> <ol style="list-style-type: none"> 1) Difference between meal counts & attendance for any meal type with higher meal counts than attendance or total enrollment 2) Meal counts for children not in attendance during meal services 3) Meal counts for days missing attendance records (See note for exception within the Five-Day Reconciliation Procedures) 4) Meal counts for children when overcapacity 	
<p>Children’s Enrollment Records</p>	<ol style="list-style-type: none"> 1) Children are enrolled in child care but not enrolled in CACFP; and/or 2) Newly enrolled children do not yet have a completed CACFP Enrollment Form (should be noted for follow-up, not a finding for that HV; if provider never submits form for that new child by next HV, must cite finding). <p>NOTE: Incomplete Enrollment Forms, children without enrollment forms who are claimed, and/or expired enrollment forms should be caught at administrative level.</p>		<p>If by the next home visit, the provider has not submitted enrollment forms for children who were enrolled in child care/ in attendance or newly enrolled at time of the previous home visit: → Cite as a Finding (1st occurrence)</p>
<p>Licensing /Certification Rules</p>	<ol style="list-style-type: none"> 1) Posted regulation in home is not current; 2) Has not submitted updated regulation to sponsor; 3) Is exceeding DCF’s group-size limits (over-capacity or over staff to child ratio); 4) Provider is not meeting DCF’s sanitation/safety requirements (i.e., refrigerator/freezer above required temperatures, refrigerator/freezer/dry food storage areas not clean, food not stored correctly, frozen food defrosted incorrectly, food preparation/meal service surfaces not clean/sanitary; evidence of rodent/insect infestation; provider/children not washing hands before touching food/eating meals etc.); and/or 5) The monitor recognizes conditions posing an imminent threat to the health and safety of the children, child care staff, and/or the public. → The monitor must take immediate action. Go to the Imminent Threat to Health/Safety section in this GM for information on conditions considered to be imminent threat and subsequent required action. 	<p>For #3 in ‘Findings’ column - Exceeding group-size limits: → Disallow the difference between the number of meals served and the authorized capacity when exceeding DCF’s group-size limits (over-capacity or over staff to child ratio)</p>	<p>If finding the regulation on file with sponsor is not the most current, provider must submit a copy of their most current regulation to sponsor or give a copy to monitor during the HV.</p>

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<p>Civil Rights</p>	<ol style="list-style-type: none"> 1) Is not enrolling all children in the CACFP; disparagingly treating children for reasons related to race, color, national origin, sex (including gender identity/sexual orientation), age, disability, or receiving government financial assistance; 2) Is not offering to provide meals to infants (age discrimination) or children with special dietary needs (disability discrimination); 3) Is separating children by gender (<i>unless under exception granted by the Department of Education and/or USDA</i>); 4) Is not posting/distributing <i>Building for the Future</i> flier; and/or 5) Has printed materials/webpages referring to provider’s CACFP participation that does not include USDA Child Nutrition Program’s most current nondiscrimination statement/complaint filing procedures 		
<p>Distribution of WIC Information</p>	<ol style="list-style-type: none"> 1) Provider is not distributing copies to families or posting WIC information with its most current Income Eligibility Guidelines in visible location. 		
<p>Record Retention</p>	<ol style="list-style-type: none"> 1) Is not keeping the last 12 months of CACFP records on-site and/or online records readily accessible anytime during their child care business’s hours for USDA, DPI, and/or sponsor’s officials to review them during an unannounced HV; and/or 2) Is not able to make their CACFP records for remaining months of record retention period available within a reasonable time/effort for USDA, DPI, and/or sponsor’s officials’ review. 		