

Section 7: Monitoring

1. The Sponsor complies with the Federal and State agency monitoring policies and monitor staffing standards. The Sponsor uses the Minute Menu System (MMS) monitoring form to record the results of monitoring reviews. Monitors document children in attendance on the MMS monitoring form at each monitoring review. Monitoring visits may not be used to conduct or replace annual training requirements. [USDA Memo CACFP-690]
2. Each participating Provider is monitored a minimum of three (3) times per FY with no more than 6 months elapsing between monitoring reviews. The State agency does not allow averaging of required monitoring reviews as described in 226.16(d)(4)(iv).
3. Two (2) monitoring reviews each FY must be unannounced and one (1) monitoring review may be announced per year.
4. A meal service is observed during at least one (1) unannounced monitoring review per FY. To count as an observation of a meal service, the monitor must be present at the start of the CACFP meal to see the meal service from beginning to end. The monitor will assure that the menu offered is the same as is posted and the minimum quantities of all of the required meal components are provided. The total amount of food served for the meal must be sufficient to meet the children's appetite and energy needs. Documentation is made of the number of children attending the meal. If two shifts of a meal are scheduled, observation of one shift of a meal service is sufficient to count as a meal observation completed for purpose a monitoring review.
5. Providers who regularly claim meals during evenings, weekends and holidays will have one (1) monitoring reviews performed at least annually during evenings, weekends and/or holidays.
6. All Providers must notify their Sponsor when the Provider will not be at the DCH providing CACFP meals during their normal hours of business.
7. When a Sponsor attempts a monitoring review during a normal business day and hours and the monitor is denied entry to the DCH or it is unsafe for the Sponsor to enter the DCH, then all CACFP meals that day must be disallowed by the Sponsor.
8. The Sponsor's Monitoring Plan is Attachment II. The monitoring plan includes:
 - a) The names of staff persons who perform monitoring reviews.
 - b) A method of providing information for a supervisor of the approximate travel route and destinations of the monitor who is performing reviews.
 - c) A method of scheduling reviews that assures the reviews cannot be predicted by the Providers.
 - d) Geographical areas assigned (if applicable), and how assignments are made.
 - e) A tentative monitoring schedule for the FY must be submitted with this plan.
11. The Sponsor's Monitoring Plan includes description and priority of reviews and actions taken if entry into the facility (and including all of the facility) is unsafe or prevented or not otherwise possible or allowed during the scheduled hours of

business operation. Information is available on file about the criteria in use to ensure that reviews are conducted at appropriate times. Standard procedures are in place for monitoring staff conducting any follow-up that is required. Monitors using their own vehicles for monitoring will use travel logs/mileage sheets or time sheets to document all travel for purpose of monitoring on all days that monitoring work occurs. Mileage will be documented by writing odometer or trip-meter readings for each trip and a list of homes visited to be monitored per day is maintained.

and/or,

Monitors record time in accordance with the Sponsor's written Travel and Personnel policies, and monitoring is verified by the Sponsor as indicated in the Sponsor's monitoring plan.

12. The Sponsor ensures that the MMS computerized monitoring list of all monitoring reviews is kept current and is readily available for review during the Sponsor's normal hours of operation.

13. Monitoring/Staffing Guidance:

The Sponsor employs sufficient monitoring staff: (7 CFR 226.16(b)(1):

1. to meet both Federal Staffing Standards and State Staffing Factors;
2. to ensure effective oversight; and
3. to monitor in accordance with federal regulations.

The Monitoring Plan includes:

1. the monitoring-related duties of each employee;
2. the estimated hours (FTE) spent on monitoring-related duties for each employee;
3. job descriptions;
4. amount of funds allocated to monitoring functions;
5. % of the Sponsor's administrative funding devoted to monitoring functions.

14. The Sponsor's Monitor Training plan is Attachment JJ. The Sponsor's plan for training their monitor(s) is according to CACFP Policy SH CACFP 2001-4, Rev. 4. The plan includes a review of:

- a. Sponsor's current CACFP Management Plan
- b. Sponsor's CACFP policies and procedures
- c. State agency CACFP website
- d. State agency CACFP policies
- e. Minute Menu software operations
- f. Monitoring review forms
- g. Monitoring procedures
- h. 7 CFR 226 federal rules for the CACFP
- i. *Family Day Care Home Monitor Handbook, A CACFP Handbook*, USDA FNS Feb. 2012.
- j. *Nutrition and Wellness Tips for Young Children, Provider Handbook for the CACFP*, June 2013.
- k. *CACFP Management Manual for Day Care Homes*
- l. *Serious Deficiency, Suspension & Appeals for State Agencies and Sponsoring Organizations, A CACFP Handbook*, USDA FNS Feb. 2015.
- m. Attendance at State agency annual training for Sponsors is required, normally occurring in February of each year. This annual training is web-based unless otherwise stated.

15. Acceptable MMS documentation of meals served and attendance includes completed MMS scanned forms, printed and dated menus generated from the MMS & current attendance records.
16. A Provider must have daily sign-in and sign-out records to document children's attendance. These records must contain the child's full name (or an alternate name if required) and must be signed or initialed by the parent or guardian daily. If that is not possible, the Provider must sign the child in and out on the record and in addition, the parent or guardian must sign or initial the record the next day of service or at their next available opportunity.
17. The Sponsor ensures that claim disallowances by monitors are recorded on the review form and are reflected in the Provider's claims. (See Minute Menu Section) Providers are notified of disallowances and documentation of the disallowances is verifiable in file.
18. The Sponsor conducts complete Household Contact/Parent Surveys on 10% of enrolled Providers annually. These surveys may be random or criteria based. Surveys will be documented as well as corrective action plans and disallowances resulting from these surveys. Documentation will be retained on file and available for review during the Sponsor's normal hours of operation.
19. Where an imminent threat to the health and/or safety of the children in care or the general public exists, the Sponsor immediately notifies the DPHHS/QAD Child Care Licensing unit and follows their recommended course of action. The Sponsor also contacts the State agency for guidance prior to suspending the Provider's participation in the CACFP.
20. The Sponsor's:
 - a. 5-Day meal Reconciliation Procedures are included as Attachment EE.
 - b. Monitor Staffing Standards are Attachment FF.
 - c. Household Contact/Parent Survey Procedures are Attachment GG.
 - d. Meal Disallowance Policy is Attachment HH.
 - e. Monitoring Plan is Attachment II.
 - f. Monitor Training Plan is Attachment JJ.

[end]