


<b>Name and Address of Center:</b>				<b>Name of Sponsoring Organization:</b>			
<b>Required Visit: (circle one)</b>		<b>Child Adult Care Food Program</b> <b>Sponsor Monitoring Form</b> <b>(Affiliated and Unaffiliated Centers)</b>			<b>Reviewer/Monitors' Name:</b>		
1	2	3	F/U				
<b>License # and/or Certification:</b>		<b>Eff. Date</b>	<b>Capacity</b>	<b>Enrollment</b>	<b>Date of Review</b>	<b>Arrival Time</b>	<b>Departure Time</b>
<b>Meals Approved to Claim:</b>		<b>Meal Observed:</b>			<b>Date of Last Site Review:</b> _____		
B MS L AS S ES		B AM L PM S ES			<b>Date of Last F/U Review:</b> _____		
		<b>Non-Meal Review (Unaffiliated only)</b>			<b>CAP Required</b>	Yes No	
					<b>Failed 5-Day Test</b>	Yes No	
<b>RECORD KEEPING/ELIGIBILITY REQUIREMENTS</b>				<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Comments</b>
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. At-Risk sites included verified enrichment activities.							
13. At-Risk sites are correctly qualified using area eligibility for the location.							
14. If applicable, for At-Risk sites, a share table is used correctly and in compliance with local requirements.							
15. If applicable, for At-Risk sites, Offer versus Serve is used and menu food items are different and OVS is implemented according to FNS requirements.							
16. The institution has written policies and procedures that assign program responsibilities and duties pertaining to CACFP.							
				<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Comments</b>
17. Program staff, volunteers, substitutes and participants are free from communicable disease.							
18. Program staff, volunteers, substitutes and participants wash hands properly before and during meal service.							
19. Food is obtained from approved sources that meet federal and state health standards.							

Physical Environment/Food and Nutrition (cont.)	YES	NO	N/A	Comments
20. Refrigeration units are maintained at 41° F or below and freezers are maintained at 0° F or below.				
21. Cleaning supplies are stored separately from food.				
22. There is no evidence of rodent or insect infestation.				
23. Potentially hazardous foods are maintained, and (if contracted), delivered and served at the proper temperatures.				
24. Prepared food is stored in clean, covered containers that are clearly labeled and marked with date of preparation.				
25. 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
26. Posted Menu:	Observed Meal: <input type="checkbox"/> Same as posted menu			
27. The observed meal was served at the proper time.				
The observed meal corresponds to the posted menu.				
28. The observed meal contains all required components, served in the required quantities. If no, list any missing and/or inadequate components:				
29. If contracted, the observed meal meets all requirements of the contract, including delivery, receipt and service.				
30. All the meals on the posted menu meet minimum CACFP meal pattern requirements.				
31. If using commercially processed/main dish combination foods, the center is following regulatory guidelines.				
32. Ready-to-eat cereal products served contain no more than 6 grams of sugar, per dry ounce				
33. 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.				
34. Grain based desserts are not served as part of a reimbursable meal.				
35. Juice is served no more than once a day.				
36. Flavored milk is not served to participants under 6 years of age.				
37. If served, flavored milk is fat-free (skim) or low-fat (1%) milk and is served only to participants 6 years and older.				
38. 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.				
39. Yogurt contains no more than 23g of total sugars per 6 oz.				
40. The center follows regulatory requirements for feeding infants.				
41. If applicable, parent notes and/or medical statements are maintained on file authorizing menu substitutions.				
42. An accurate meal count is taken at the point of service and consolidated by the end of the day.				
43. If required, the center records meal counts by name.				



52.

**5-DAY Reconciliation**

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?				Due Date for CAP:
56. Is a Follow-Up review required?				
57. If administering waivers, applied accurately.				

Item #	Review Summary

**If required, 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 \_\_\_\_\_











- 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.

Sponsor Name: \_\_\_\_\_

Center Name : \_\_\_\_\_

Center Contact: \_\_\_\_\_

# Child Adult Care Food Program **CORRECTIVE ACTION PLAN** for Sponsored Centers

Site WINS ID #

Review Date:

CAP Due Date:

Item #	Corrective Action	Individual Responsible	Implementation Date	Approved by Sponsor	
				(√) Yes	(√) No

**Note: CAP must be signed by Center Point of Contact/Center Director \* If additional signatures are needed, please add another page.**

\_\_\_\_\_  
Center Representative Signature

\_\_\_\_\_  
Center Representative Signature

\_\_\_\_\_  
Center Representative Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**Sponsoring Organization Use Only**

\_\_\_\_\_  
CACFP Responsible Party

\_\_\_\_\_  
DATE

Approved

Denied

# CORRECTIVE ACTION PLAN (CAP) GUIDELINES

## 1) Why are CAPs needed?

- A. To ensure that Center responsible principals and individuals understand what they are doing wrong and what they need to do to make improvements.
- B. To document the center's plan for improvement and to provide an opportunity for the plan to be accepted by the sponsoring organization.
- C. To provide sufficient detail so that during future reviews a determination can be made about whether the center staff made and maintained the corrective action(s).

## 2) When are CAPs required?

Any time issues of non-compliance are found.

## 3) What information must be included in my corrective action documentation?

- A. The plan must *specifically* address *each* issue of non-compliance noted on the review form or the Notice of Serious Deficiency.
- B. The plan must clearly state **how** the issue(s) of non-compliance will be corrected, **who** will correct them, and **when** they will be corrected (within the specified time-frame). **Note:** The plan should not merely restate the issue(s) with vague assurances, e.g., "we will correctly complete the meal count worksheet" or "management will take greater care to..." It is best to number the items on the CAP with the corresponding finding on the review form or Notice of Serious Deficiency. **Analyze** the error to determine how and why error were made; **develop** a process to remedy the error; **develop and deliver training**, if necessary to ensure individuals understand the new process, **develop a quality check process** to identify of errors occur again, **document the timeline** for implementing the changes needed to improve.
- C. Generally, CAPs should be submitted within ten (10) days of the review.

## 4) What will happen once I have submitted the CAP to my sponsoring organization?

- A. Your response will be reviewed, issue by issue, to ensure that you have provided a clear statement of How, Who, and When the issue(s) of non-compliance will be corrected.
- B. If the CAP is approved, the sponsoring organization monitor will verify that the CAP has been implemented. The CAP is only approved if all of the item(s) in the CAP are acceptable. For example, if only 4 out of 5 items are approved and
- C. acceptable, then the entire CAP must be denied. However, only the item(s) that was not approved and accepted must be resubmitted for approval.
- C. If the CAP is denied, you will be notified and if time remains before the CAP due date you may resubmit the CAP. If no time remains you could receive a Notice of Serious Deficiency and/or inability to renew sponsor application.
- D. If the follow-up review reveals that the CAP was not fully and permanently corrected and implemented, then a Notice of Serious Deficiency can be issued which could result in additional corrective action and monitoring.