



FDCH 2023 Training – Administrative Staff

August 30, 2023



Administrative Staff Training

(9 - 11:30 AM)

- **GM A - Provider Eligibility - *Reminders/Clarifications***
 - Recruitment
 - Effective Date of Agreement
 - Provider List (formerly known as *Schedule A*)
- **Monitoring Oversight**
- **Training Requirements**
- **Serious Deficiency Requirements**
- **Civil Rights Training**

Guidance Memo A: Provider Eligibility



Guidance Memorandum A | Provider Eligibility (FDCH Sponsors)

Table of Contents

ENROLLMENT PROCESS.....	2
USDA CACFP National Disqualified List (NDL).....	2
NDL Access.....	2
Provider Numbers.....	2
Private Residence.....	3
Nonresidential Family Child Care.....	3
Provider's Regulation.....	3
Provider's Name on License/Certificate.....	3
Provider's Address on License/Certificate.....	3
Multiple Providers at Same Residence.....	4
Orientation and Pre-visit.....	4
Returning Providers < 1 Year Participation Lapse.....	4
Effective Date of Agreement.....	4
DPI's Approved Effective Date of Agreement.....	4
Electronic PDF-Fillable Versions.....	5
Returning Providers < 1 Year Participation Lapse.....	5
CACFP Home Provider Application (formerly PI-1472).....	5
CACFP Sponsor - Home Provider Agreement (formerly PI-1425).....	6

MEALS.....	6
Effective Date of Meal Change Requests.....	6
MEAL REIMBURSEMENT RATES (TIER 1 AND TIER 2).....	7
PROVIDER TRANSFERS.....	7
TERMINATIONS.....	8
Termination For Convenience Policy.....	8
Closed Regulation.....	8
DCF CLOSED FACILITIES REPORT.....	9
CFR Procedures.....	9
DCF WISCCRS.....	9
PROVIDER OUTREACH/RECRUITMENT.....	10
SPONSOR'S PROVIDER LIST (Previously known as Schedule A).....	10
Requesting Provider List Reports.....	10

Recruitment

GM A under *Provider Outreach/ Recruitment*

Other programs within your organization (*i.e., child care resource and referral, provider certification, pre-certification or licensing, YoungStar etc.*) may offer services to providers not related to the CACFP that give potential CACFP recruitment leverage over other sponsors.

- If having such programs, please take measures to ensure staff working with providers in the context of these programs equally promote all of WI's CACFP sponsors serving the same area or clientele or DO NOT unequally promote only their sponsorship.

The following resources provide information on all CACFP programs for prospective centers and FDCH providers:

- [DPI's CACFP Overview Brochure](#)
- [CACFP Wisconsin Sponsors Forum Webpage](#)
 - [Wisconsin Sponsors Forum CACFP Brochure](#)

Guidance Memo A: Provider Eligibility

GMA

Provider Eligibility and Enrollment Process

- ✓ Verify provider not on the USDA NDL
- ✓ Verify provider not participating under different sponsor or operating another family child care already on the program
- ✓ Verify provider regulated for nonresidential family child care
- ✓ Verify family child care in private residence (not commercial building)
- ✓ Assign unique provider number
- ✓ Complete orientation and a preapproval visit with provider
- ✓ Complete [CACFP Home Provider Application Form](#)
- ✓ Complete [CACFP Sponsor-Home Provider Agreement](#)
- ✓ Submit provider file through sponsor's Provider List for DPI approval
- ✓ Finalize Effective Date of Agreement upon receiving DPI's approval

[CACFP Home Provider Application](#)

[CACFP Sponsor-Home Provider Agreement](#)

[CACFP Home Provider-Sponsor Transfer Request Form](#)

[Provider Manual](#)

Private Residence

GMA under *Enrollment Process*

Reminder...

Certification / Licensing (DCF) allows FDCHs to provide child care within storefronts or buildings not zoned as residential

- To participate in the CACFP, FDCHs must operate in their own residence, private residence of another individual, or rented/unoccupied private residence (*including apartment complexes*)
 - Cannot operate in commercial properties, including churches and schools

FDCH Sponsor Input During 8/30/23 Training session:

- Look at zoning of building where FDCH is providing child care & how the zone is defined (i.e., residential)
- Some storefronts become residential instead of commercial buildings

CACFP Home Provider Application

Wisconsin Department of Public Instruction
Child and Adult Care Food Program (CACFP)
CACFP HOME PROVIDER APPLICATION
(Rev. 1/22)

Provider Number _____

Instructions: This form must be completed by the sponsor and signed by both the new provider and sponsor. Once the sponsor has completed the provider's previsit and orientation, received the provider's regulation, and CACFP Sponsor-Home Provider Agreement has been signed, the sponsor must enter the provider's information online into their Provider List for DPI approval.

*** The Effective Date of Agreement is listed on the CACFP Sponsor-Home Provider Agreement and is the approved date the provider may start claiming meals. It is subject to DPI's approval in the sponsor's Provider List, which must be received prior to the sponsor submitting their claim to DPI.**

SPONSOR'S INFORMATION				MEAL SERVICE APPROVAL			
Sponsoring Organization's Name		Agency Code		<ul style="list-style-type: none"> Sponsors may only approve meal types served to enrolled children within the provider's regulation limits. Breakfast must be served during morning hours Shift Meals: Providers must be approved by the sponsor and submit current meal shift information with each approval. 			
Address (Street address/City/Zip)		Phone No.		Approved Meal Types		First or Only Shift Serving Times	
		Email:		<input type="checkbox"/> Breakfast <input type="checkbox"/> AM Snack <input type="checkbox"/> Lunch <input type="checkbox"/> PM Snack <input type="checkbox"/> Dinner <input type="checkbox"/> Additional Snack		From To From To _____ _____ _____ _____	
PROVIDER'S INFORMATION				Meals served to provider's own children may be reimbursable if the sponsor has determined the provider's current Household Size-Income Statement as eligible.			
Provider's Name		Date of Birth (M/D/Y)		Provider's own children? <input type="checkbox"/> Yes <input type="checkbox"/> No		Are children currently enrolled? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Address (Street address/City/Zip)		Phone No.		Are children currently enrolled? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		• If no, anticipated start date of care?	
		Email:		Orientation (M/D/Y): _____		Previsit (M/D/Y): _____	
		County:		*Effective Date of Agreement (M/D/Y): _____			
REGULATION INFORMATION							
DWD Provider No.		Regulation Type		Capacity		Effective Date	
		License <input type="checkbox"/> Certificate <input type="checkbox"/>				Expiration Date	
Days of Operation:		Sunday <input type="checkbox"/> Monday <input type="checkbox"/> Tuesday <input type="checkbox"/> Wednesday <input type="checkbox"/> Thursday <input type="checkbox"/> Friday <input type="checkbox"/> Saturday <input type="checkbox"/>		Orientation (M/D/Y): _____		Previsit (M/D/Y): _____	
Hours of Operation		Age Range of Children					
From _____ To _____ <input type="checkbox"/> AM <input type="checkbox"/> PM		From _____ To _____ <input type="checkbox"/> AM <input type="checkbox"/> PM					
CERTIFICATION							
I HEREBY CERTIFY that the information on this application is true and correct, and that I am not currently participating in the CACFP under any other sponsoring organization. I agree to only claim meals that meet the CACFP requirements for reimbursement and to offer the Program to all children regardless of age, sex, disability, race, color, or national origin. I understand that information on this application is being given in connection with the receipt of federal funds and deliberate misrepresentation may subject me to prosecution under applicable state and federal statutes.							
Provider's Signature		Signature date M/D/Y		Sponsor Representative's Signature		Signature date M/D/Y	

This institution is an equal opportunity provider Both the sponsor and provider must retain a copy of this form. If using NCR (carbon) form: White--Sponsor Canary-Provider

Effective Date of Agreement -
→ It is not the sponsor/
provider's signature date

*** The Effective Date of Agreement is listed on the CACFP Sponsor-Home Provider Agreement and is the approved date the provider may start claiming meals. It is subject to DPI's approval in the sponsor's Provider List, which must be received prior to the sponsor submitting their claim to DPI.**

Are children currently enrolled? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
• If no, anticipated start date of care?	
Orientation (M/D/Y): _____	Previsit (M/D/Y): _____
*Effective Date of Agreement (M/D/Y): _____	

Reminders:

- Fully Complete!
- Must be signed by both Provider & Sponsor (Authorized Rep or designated staff person)

CACFP Sponsor-Home Provider Agreement

Wisconsin Department of Public Instruction
Child and Adult Care Food Program (CACFP)

Instructions: Complete all information in the provided spaces.

CACFP SPONSOR-HOME PROVIDER AGREEMENT (Rev. 01/22)

Provider Number: _____

Sponsoring Organization's Name: _____
Sponsoring Organization's Address: _____

Home Provider's Name: _____
Home Provider's Address: _____
Provider's Birth Date: _____

EFFECTIVE DATE OF AGREEMENT Mo./Day/Yr: _____

RIGHTS AND RESPONSIBILITIES OF THE PROVIDER

In accordance with 7 CFR Part 226 regulations, the Provider agrees to:

1. Provide licensed or certified family child care in a private residence, not commercial property.
2. Submit to the Sponsor, the family child care license or certificate (referred to as regulation) issued in the Provider's name. Promptly submit updates and notify the Sponsor of any change (address, name, hours or days of operation, ages, capacity, closure).
3. Enroll in the CACFP, at no charge, all enrolled children through 12 years old, infants, and of any age when having disabilities.
4. Annually update and maintain accurate enrollment information for each child (current address; phone number; normal days or hours in care and meals served). Promptly submit new children's CACFP enrollment forms and notify the Sponsor when no longer in care.
5. Submit Sponsor-specific documents required by the Sponsor (infant feeding agreements, special diet forms, special needs, etc.).
6. Serve meals to enrolled children without regard to protected classes.
7. Prepare and serve meals that meet the CACFP meal pattern requirements and accurately record menus reflecting foods served.
8. Keep accurate daily records of attendance, menus, and meal counts of served meals by meal type and child's name or designation.
9. By the end of each operating day, record menus and meal counts of served meals by meal type and child's name or designation. Meals are non-reimbursable if both menus and meal counts are not recorded by the end of each respective day.
10. Notify the Sponsor in advance when planning to not be at home during the approved meal service times. If failing to do so and a review is conducted when nobody is home, the Sponsor must disallow reimbursement for meals typically served during that time.
11. Claim for reimbursement only Sponsor-approved meals served to children enrolled in and attending child care.
12. Claim for a meal served to a Provider's own child only when meeting the following criteria: Provider has a current Household Size-Income Statement correctly determined as eligible and approved by the Sponsor; the Provider's own child is enrolled in their child care; and at least one nonresidential enrolled child is present and participating in the same meal.
13. Claim meals within the Provider's regulation limits (capacity, hours or days of operation, ages served).
14. Post or distribute both of the following pieces of information to enrolled children: the Future Flier; and Women, Infants, & Children (WIC) program.
15. Complete required annual training no later than the date specified.
16. Retain and have ready-access to all records for the current fiscal year. Current and previous records must be kept onsite; prior records may be stored offsite.
17. Assume full administrative and financial responsibility for the operation of the CACFP in the day care home.
18. Allow the Sponsor, USDA, DPI, and other State/Federal officials to complete announced and unannounced reviews with access to meal services and all required CACFP records onsite for review any time during hours of operation and household contacts.
19. Submit monthly reimbursement claims (meal counts, menu records, etc.) to the Sponsor by the following day of each month:

Submit claims by the: _____ of each month.

SIGNATURES

WE HEREBY CERTIFY that the information on this form is true and correct to the best of our knowledge, and that we will comply with the rights and responsibilities outlined in this Agreement. The Provider also certifies that they are not participating in the CACFP under any other Sponsor. We understand that the state agency and USDA officials may, for cause, verify information. We also understand that this information is being given in connection with the receipt of federal funds, and that deliberate misrepresentation may be subject to prosecution under applicable state and federal criminal statutes.

Signature of Sponsor's Authorized Representative	Signature Date
Provider's Signature	Signature Date

Reminder - Fully Complete!

- Effective Date of Agreement:

EFFECTIVE DATE OF AGREEMENT Mo./Day/Yr: _____

*The Effective Date of Agreement is the first date on which the Provider may claim meals. It must be the latest of the effective date of the Provider's license / certificate, pre-approval visit, or orientation unless otherwise approved by DPI.

- Deadline for provider's to submit claims:

19. Submit monthly reimbursement claims (meal counts, menu records, etc.) to the Sponsor by the following day of each month:

Submit claims by the: _____ of each month.

- Signatures & Signature Dates

Signature of Sponsor's Authorized Representative

Signature Date

Provider's Signature

Signature Date

Provider Application & Agreement

Effective Date of Agreement

by the DPI. Program payments to both the sponsor and the Provider are contingent upon the availability of federal funds.

*EFFECTIVE DATE OF AGREEMENT Mo./Day/Yr

*The Effective Date of Agreement is the first date on which the Provider may claim meals. It must be the latest of the effective date of the Provider's license / certificate, pre-approval visit, or orientation unless otherwise approved by DPI.

Subject to DPI's approval, the *Effective Date of Agreement* is the date when a new provider may begin claiming meals for CACFP reimbursement.

Must be the latest of the three (3) following dates:

- Effective date printed on the provider's regulation
- Pre-visit date
- Orientation date

Are children currently enrolled? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
• If no, anticipated start date of care?	
Orientation (M/D/Y):	Previsit (M/D/Y):
*Effective Date of Agreement (M/D/Y):	

It is subject to DPI's approval in the sponsor's Provider List

DPI approval must be received prior to submitting the new provider within your claim to DPI.

DPI's Approved Effective Date of Agreement

May vary from sponsor's intended *Effective Date of Agreement*

→ Depends on sponsor's online submission date of new provider file

- Must submit no later than end of next calendar month
- If submitted **after end of next calendar month**, cannot be approved any earlier than 1st day of calendar month preceding submission date
 - If late, sponsor must record **DPI's approved *Effective Date of Agreement* on signed CACFP Sponsor-Home Provider Agreement & CACFP Home Provider Application Form** –for copies given to provider/retained on file

The start date of receiving meal reimbursement in sponsor's claim system must be no earlier than *Effective Date of Agreement* approved by DPI

Example 1 -Sponsor's *Effective Date of Agreement* is December 15th
-Sponsor submits new provider file on January 10th
-DPI approves December 15th as the *Effective Date of Agreement*

Example 2 -Sponsor's *Effective Date of Agreement* is December 15th
-Sponsor submits new provider file on February 5th
-DPI approves January 1st as the *Effective Date of Agreement*

Provider List (*formally known as Schedule A*)

The *Provider Application Manual* is now “The Provider Manual”



Provider Manual
Family Day Care Home Sponsoring Organizations

Rev. 8/23

→ Posted under *GM A-Provider Eligibility* and on *Contracts* webpage

The Provider List *(formally known as Schedule A)*

The Provider Application Manual is now “The Provider Manual”

Provider List

The Provider List, formerly known as “Schedule A”, is the sponsor's list of providers with whom the agency has active CACFP Sponsor-Home Provider Agreements and are approved by DPI for CACFP participation under their sponsorship. It is part of the sponsor's CACFP contract with DPI. Providers must be approved on the sponsor's Provider List to claim them for reimbursement. Sponsors must keep information current in each Provider Application by submitting updates for DPI approval.







DPI uses the Provider List information to complete monitoring ratio analyses for determining the sponsor's compliance with the monitoring ratio requirements. Infrequent removal of terminated providers from the sponsor's Provider List may inflate the required number of monitoring hours.

→ Keep it current on an ongoing basis, including terminated providers

Provider File

Each provider has a “Provider File”

Some may have more than 1 file if they were licensed and certified at some point

Day Care Home Provider Information Provider Application(s) Based on Search						
List of Application Based on:						
Provider Number	Modify-Print	First Name	Last Name	Regulation Type	Contract Effective Date	Application Status
1922	 	Judy	Garland	Certified	10/01/1998	Filed
1908	 	Jimmy	Stewart	Licensed	10/01/1998	Filed
1907	 	Katharine	Hepburn	Licensed	03/01/2003	Open

NOTE: *In the near future, we will be making enhancements – the wording will change.*

- For example, the provider files will no longer be referred to as an “application”

Provider File

It has 3 sections:

- Provider Information section
- Regulation Information section
- Approved Participation Period

Provider Information:

Provider Number	<input type="text" value="1922"/>	DWD Provider Number	<input type="text" value="3000061022001"/>
First Name	<input type="text" value="Judy"/>	Last Name	<input type="text" value="Garland"/>
Date of Birth	<input type="text" value="06"/> / <input type="text" value="10"/> / <input type="text" value="1922"/>	[MM/DD/YYYY]	
Street Address	<input type="text" value="200 Wizard of Oz Way"/>		
<input type="text"/>			
City	<input type="text" value="Over the Rainbow"/>	County	<input type="text" value="Buffalo"/>
		Zip	<input type="text" value="51111"/>

Regulation Information:

Regulation Type	<input type="text" value="Licensed"/>	▼
Effective Date of Regulation	<input type="text" value="08"/> / <input type="text" value="15"/> / <input type="text" value="1990"/>	[MM/DD/YYYY]
Expiration Date of Regulation	<input type="text"/> / <input type="text"/> / <input type="text"/>	[MM/DD/YYYY]
<i>(Certs & Probationary licenses)</i>		

Approved CACFP Participation Period :

Effective Date of Agreement	<input type="text" value="09"/> / <input type="text" value="01"/> / <input type="text" value="1990"/>	[MM/DD/YYYY]
Sponsors Termination Date	<input type="text"/> / <input type="text"/> / <input type="text"/>	[MM/DD/YYYY]

Regulation Information

Effective Date of Regulation

Effective Date of Regulation

This date is the Original License Date printed on a license and the start date of the validity period printed on a certificate.

The diagram illustrates how to determine the effective date of regulation based on either a license or a certificate. On the left is a 'Regulation Information' form with the following fields: 'Regulation Type' (set to 'Licensed'), 'Effective Date of Regulation' (08/15/1990), and 'Expiration Date of Regulation' (blank). On the right, two boxes represent a 'License' and a 'Certificate'. The 'License' box contains 'ORIGINAL LICENSE DATE: 08/15/1990' and 'PRINTED DATE: 06/03/2020'. The 'Certificate' box contains 'Valid From: 6/19/2020 to 6/18/2022'. Dashed arrows point from the 'ORIGINAL LICENSE DATE' and the 'Valid From' date in the certificate box to the 'Effective Date of Regulation' field in the form. A red box highlights the 'Effective Date of Regulation' field in the form.

When to Update the Effective Date of Regulation Field:

- o DO NOT CHANGE the Effective Date of Regulation unless the provider is issued a completely new regulation.

Regulation Lapses → Do Not Change the Effective Date of Regulation

Lapse in Regulation

Sometimes an existing provider's regulation may lapse between renewals, when the provider moves, or they temporarily close.

- o DO NOT CHANGE the *Effective Date of Regulation* in the provider's file. Leave it as is unless the provider is issued a completely new regulation.

Regulation Information


Expiration Date of Regulation

Regulation Information:

Regulation Type

Effective Date of Regulation / / [MM/DD/YYYY]

Expiration Date of Regulation / / [MM/DD/YYYY]
(Certs & Probationary licenses)



Only enter an expiration date for
certificates & probationary licenses.

Leave the field blank for regular licenses
(no expiration date printed on the regulation)

Approved Participation Period

Effective Date of Agreement

EFFECTIVE DATE OF AGREEMENT Mo./Day/Yr

*The Effective Date of Agreement is the first date on which the Provider may claim meals. It must be the latest of the effective date of the Provider's license / certificate, pre-approval visit, or orientation unless otherwise approved by DPI.

Enter the Effective Date of Agreement approved on the CACFP Sponsor - Home Provider Agreement

Approved CACFP Participation Period :

Effective Date of Agreement 09 / 01 / 1990 [MM/DD/YYYY]
Sponsors Termination Date / / [MM/DD/YYYY]

→ **DO NOT CHANGE THE EFFECTIVE DATE OF AGREEMENT** once DPI approves them to begin participation as a new provider

It must remain unchanged for the duration of the provider's participation under your sponsorship, regardless of updates to their regulation.

Again... this is the date the provider is approved to begin claiming meals for CACFP reimbursement

Approved Participation Period

Sponsor's Termination Date

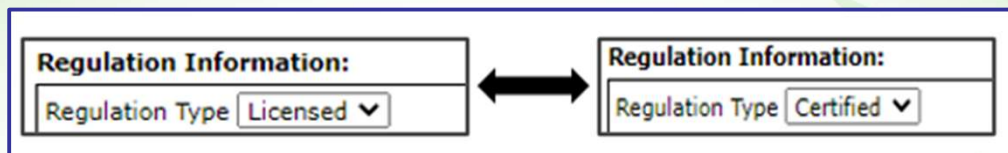
Remove the date from this field (*if there is one*) when updating the provider file if you are not terminating the provider

ify

Approved CACFP Participation Period :			
Effective Date of Agreement	09	/	01 / 1990 [MM/DD/YYYY]
Sponsors Termination Date	12	/	31 / 2021 [MM/DD/YYYY]

If terminating a provider, enter the last date provider was paid for meals.

Change in Provider's Regulation



→ The regulation type selected within the provider file cannot be changed
The terminated regulation must be removed from the Provider List & a new Provider File for the new or re-instated regulation type must be submitted for DPI approval.

Terminate the old regulation

→ But first make note of the date of birth & Effective Date of Agreement

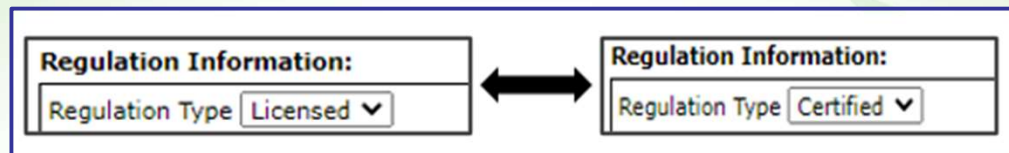
C. On the *Modify Application* page:

(1) Make note of the following information to enter in the Provider File for the new or re-instated regulation type:

- Date of Birth
- Effective Date of Agreement

(2) Enter the last date of claimed meals for which CACFP reimbursement was paid to the provider under this regulation.

Change in Provider's Regulation



2. Add a new Provider File if it is a new regulation type or update the reactivated regulation type if it is a previously existing, re-instated regulation.
 - In either case, the Provider File must have the same provider number, the provider's date of birth, and the Effective Date of Agreement listed in the Provider File for the terminated regulation.
 - To submit a new Provider File for a new regulation, follow the steps in the [Adding a New Provider](#) section.
 - To submit an updated Provider File for a previously existing, re-instated regulation, follow the steps in the [Returning Providers and Re-instated Regulation Types](#) section.

Either add a new Provider File if it is a new regulation type **OR** update the reactivated regulation type if it is a previously existing, reinstated regulation

→ The new or updated file must have the same provider number, date of birth, and Effective Date of Agreement

Returning Providers

To re-activate a provider within the sponsor's Provider List for DPI approval to resume participation, the sponsor must:

1. Assign the same [Provider Number](#) in the sponsor's system as was used for their previous participation;
2. Contact their [DPI consultant](#) to request the provider number be reactivated;
3. Once DPI removes the termination date, it will then be an existing Provider File. Access, modify, and submit the now existing Provider File for DPI approval.

Submitting Updates & New Providers to DPI

Once the Provider File is submitted online:

Email your [DPI consultant](#) a copy of the new provider's regulation

Before emailing the copy:

- Write the provider number on the regulation before scanning it.
- Save the regulation with file name in the following format:
'Firstname Lastname provider number.pdf'

Questions: Submitting Updates to the Provider List

Question: If the pre-visit date and orientation date are the same and subsequent to the effective date of the regulation, and the file is submitted to DPI within a few days of the pre-visit and orientation, is that chain of events meeting this requirement?

Answer: Yes, if the file is submitted online in a timely manner. Meaning, the *Effective Date of Agreement* would be the pre-visit/orientation date unless you submitted the new provider's file **after end of next calendar month**. Then, DPI would only be able to approve the provider's *Effective Month of Agreement* no earlier than the 1st day of calendar month preceding submission date.

Question: If I did change the *Effective Date of Agreement* in the online Provider File, should I go back in and change the date back to the originally approved *Effective Date of Agreement*?

Answer: No, just moving forward.

This question pertains to the slide explaining to not change the *Effective date of Agreement* within the *Approved Participation Period* section in the Provider File once DPI approves them to begin participation as a new provider - that it must remain unchanged for the duration of the provider's participation regardless of updates to their regulation.

Monitoring Oversight

UPDATES

GM D - Monitoring Requirements

→ Now includes *Monitoring Oversight* section

Monitoring Oversight

Sponsor Monitoring Policies & Procedures

UPDATE - Effective October 1, 2023

Added to GMD

Repeat Occurrences of Noncompliance (*Findings*)

- All sponsors must hold providers accountable for findings specific to the cited noncompliance for **no less than a 24-month period**

Monitoring Oversight

Sponsor's Provider Policies & Procedures

Include discretionary clause

Added to GM D

→ Allowing sponsor flexibility on escalating consequences for providers with repeat findings depending on severity & circumstances - -

Examples of sponsor discretion:

- Extend accountability period beyond 24-months
- Modify # of repeats permitted before escalating consequences, e.g., requiring formal improvement plan, declaring SD etc.

Monitoring Oversight

Sponsor Monitoring Policies & Procedures

→ **Consistently & effectively address reoccurring noncompliance**

Include:

- (1) Definition of Terms
- (2) Chain in Staff Communication
- (3) Tracking System of Re-occurrences

Added to GMD

Monitoring Oversight

Sponsor Monitoring Policies & Procedures

(1) Definition of Terms

Added to GM D

Specify what each occurrence entails:

- Actions staff must take for each finding incident-Examples:
 - 1st occurrence - Provide TA
 - 2nd occurrence - Issue Formal Warning
 - 3rd occurrence - Put on Probation/Corrective Action Plan
- Meaning of these terms (i.e., TA, formal warning, corrective action plan, probation etc.) - Examples
 - What do they mean?
 - What are the conditions?
 - How are they communicated to provider?
 - Which staff issues them?

Example below is now in GM D:

Example				
Occurrences of Findings	1 st occurrence	2 nd Occurrence	3 rd Occurrence	4 th Occurrence
Incident	1st time identified during HV (If severe, monitor informs manager; depending on level of severity, go to recourse for 2nd, 3 rd , or 4 th occurrence)	1 st repeat: Manager factors in substance level compared to 1 st time; if minimal, repeat 1 st occurrence's recourse	2 nd repeat: Manager factors in substance level/ severity for implementing recourse for 3 rd occurrence.	Repeat during probationary period
Escalating Recourse level (subject to discretion depending on severity)	<ul style="list-style-type: none"> • Monitor provides TA (TA - trains on meeting requirement, refer to resources etc.); • Records incident & TA on HV form; • Initiate tracking of finding 	<ul style="list-style-type: none"> • Monitor notes as repeat finding & repeated TA given on HV form; • Manager sends written notice of required corrective action (reiterates TA on requirement) 	Manager: <ul style="list-style-type: none"> • Places on probation (i.e., 6 month period of close monitoring / FU HVs) • Sends notice of additional required action & circumstances of repeat during prob. period 	Declares SD

Monitoring Oversight

Sponsor Monitoring Policies & Procedures

(2) Chain in Staff Communication

Added to GMD

Establish a “chain in communication” when many staff are involved (*monitors, managers, claims specialists etc.*) to ensure providers are held accountable

- Management staff must be able to oversee citations of noncompliance and escalate consequences
 - A new finding of noncompliance should trigger a “flag” to begin tracking the incident as a 1st occurrence
 - *Not doing so impedes the sponsor’s capability for tracking severity & frequency of future potential occurrences*

Monitoring Oversight

Sponsor Monitoring Policies & Procedures

(3) Tracking Systems of Findings

Added to GM D

→ **Have a clear system for tracking providers' findings**

- If managing non-compliance info in software system, must be capable of running reports that compile provider's compliance history for effective oversight / enforcement
 - If not capable, must have a system for tracking findings outside of software system, i.e., an Excel spreadsheet

Monitoring Oversight

Sponsor Monitoring Policies & Procedures

(3) (Cont'd) Findings/Noncompliance Tracking

Tool. Include (*at minimum*):

Added to GMD

- Provider's name;
- Home visit date when finding was identified;
- Description of the **specific** finding;
- Disallowances (*if any*);
- Required corrective action/action;
- Any follow-up required of the provider

- **Must be able to track across Federal Fiscal Years (FFY)**

What is a finding of noncompliance?

Updated in GM D

A finding identifies any requirement not being met (noncompliance)

→ Includes noncompliance with any requirements listed in the *Required Review Elements*

[GM D - Monitoring Requirements](#)

Required Review Elements	
CACFP Meal Pattern	
-Menu review -Foods On-hand -Infants	-Meal Service -Special Dietary Needs
Drinking Water	Licensing/Certification Rules
Menu & Meal Count Records	Civil Rights
5-Day Reconciliation	Distribution of WIC Information
Children's Enrollment Records	Record Retention

NEW RESOURCE

Required Home Visit Findings, Disallowances, & Follow-up Chart

(Attachment to GM D)

Organized by requirements

- Lists findings, required disallowances, & required documentation follow-up related to each area of requirements *(not all inclusive)*

Monitoring Oversight

Required Home Visit Findings, Disallowances, & Follow-up Chart

Requirements	Findings	Required Disallowances	Required Follow-up
Required Review Elements			
CACFP Meal Pattern			
<ul style="list-style-type: none"> Menu review (1-12 year-old children) 	Current month's menus: <ul style="list-style-type: none"> Show missing components; Served non-credible foods; and/or Not serving at least 1 WGR item each day 	Disallow back to 1 st of current month: Menus for 1-12 Year Olds: <ul style="list-style-type: none"> Any meal missing required components and/or serving non-creditable foods Any day missing at least 1 WGR / day - disallow the least reimbursable meal serving a grain 	
<ul style="list-style-type: none"> Review of Foods On-hand (Foods that require review of product packaging/doc (on completed HV Review Log) 	<ul style="list-style-type: none"> Foods on-hand (served to children in care) for the following items do not meet crediting criteria: <ul style="list-style-type: none"> Non-creditable cereal (exceeded sugar limit) Grains identified as WGR on menus (do not meet WGR criteria) At least one WGR item <u>not served</u> each day Yogurt (> sugar limit) Processed meats with no CN label / PFS (if required) Store-bought combination foods with no CN label/PFS Tofu (< required # of protein grams) Non-creditable cheese (labeled as "cheese product", imitation cheese, cheese sauce without CN label/PFS) 	1 st occurrence for serving a specific non-creditable food item: Only disallow meals serving the non-creditable food item on the HV day. UPDATE Repeat occurrences: Disallow meals that can be identified as serving the non-creditable food item back to the 1 st day of the current month.	UPDATE Items on the reviewed menus that did not have any foods on-hand: <ul style="list-style-type: none"> 1st Occurrence: Do not disallow meals; follow up at next HV to check for foods on-hand for those items if provider is still serving them 2nd Occurrence: Not required to disallow meals; require provider to submit product packaging (or photo) for foods not on-hand upon their next purchase 3rd Occurrence: Monitor should disallow meals serving the items without foods or

Questions: Monitoring Oversight - Assessing Re-occurrences

Question: To clarify, sponsors have discretion on assessing whether a finding is minor vs more serious?

Example, the weight of being 1 day behind in menus versus a provider who is behind by weeks can be factored in when assessing whether the finding warrants escalation in consequences?

Answer: Yes.

Sponsors are allowed to apply reason and flexibility when considering the next consequential steps to take for addressing non-compliance and repeat occurrences. Sponsors should consider history and the various context of each situation.

→ DPI needs to see the sponsor's process for making these decisions. Document why flexibility was applied to the sponsor's policies and procedures for escalating consequences to findings and reoccurrences. Retain detailed documentation.

Integrity Concerns

→ An integrity concern may be identified during home visits, claim reviews, from complaints, etc.

May be any one or more of the following (*not all inclusive*):

- Meal types (i.e., dinners, evening snacks), weekend days, holidays etc. not proportionately represented by HVs
- Meal count/attendance discrepancies found during HVs
- Dramatic changes in enrollment and meal counts claimed
- Discrepancies between foods served during meal observations and submitted menus
- Complaints (i.e., from a parent, licensing specialist, certifier, etc.)
- Discrepancies, duplicate claiming of children etc. detected through software claim edit check reports

Added to GM D

Integrity Concerns

Investigation Methods of Integrity Concerns (*not all inclusive*)

- Additional HVs (announced or unannounced);
- Expanded five-day reconciliation during HV;
- Comparison of foods to be served for meals less frequently observed, to foods on submitted menus (*request to see these foods during HV*)
(*This comparison does not count as a meal service observation, but may prompt the sponsor to complete one during the meal in question*)
- Verification of submitted claims by review of support documentation
- Detailed analysis of monthly claims;
- Completion of household contacts (now an attachment to GM D)

Added to GM D

Integrity Concerns

Documentation of Integrity Concern Investigations

Sponsors must maintain a record of the information:

Added to GMD

- How the integrity concern was detected or what prompted the investigation;
- The investigation method used to validate or invalidate the concern;
- The results of the investigation;
- Any further action taken to address a validated integrity concern; and
- Record of the timeline from detection to conclusion

Questions: Integrity Concerns

Question: Good Standing versus Not Good Standing

Can sponsors choose to not enroll someone who is not in good standing?

Answer: Yes. Sponsors must take into consideration the provider's compliance history and whether they would be able to monitor them effectively. The sponsor does not go through the serious deficiency (SD) process to deny participation of new providers under their sponsorship. Tread carefully in making this decision for it not be construed as discrimination; be aware the provider could potentially submit a civil rights discrimination complaint. Make sure to document, in detail, justification for not enrolling a provider.

Question: What if a provider not in good standing (but not SD) voluntarily terminates from a sponsor?
How should sponsors communicate with others or keep everyone in the loop about the provider's performance issues?

Answer: DPI suggests that sponsors (*WI CACFP Sponsors Forum*) establish an internal communication procedure to share information with other sponsors servicing the same area on providers who did not terminate in good standing.

Reminder: Sponsors must not terminate providers for convenience to circumvent the SD process.

GM E: Training Requirements - Updates

Self-Study Training Methods and Records

Provider's certification of their completion of self-study training alone is not sufficient

Sponsors must:

- Require providers to submit completed tests;
- Based on test results, give further TA as needed;
- Retain the following:
 - Self-study materials;
 - Copies (*electronic or paper*) of each provider's completed test;
 - Must include signature & signature date (*or electronic submission with provider name and date stamp*)
 - Notations of sponsor's TA (*as needed*)

GM E: Training Requirements

Imminent Threat to Health & Safety

Training Reminder:

Must train monitors to:

- **Recognize conditions** posing imminent threat to health/safety; and
- **Respond** to these conditions appropriately

For types of situations arising to imminent threat for health and safety, refer to:

- [GM D: Monitoring Day Care Homes](#), section *Imminent Threat to Health & Safety*
- [USDA's Serious Deficiency, Suspension, & Appeals for State Agencies & Sponsoring Organizations Handbook](#)

Administrative Review Officials - Reminders

Added to GME

Administrative Review Official Training is required

(Specifics in [GM M-Serious Deficiency Requirements](#))

Review officials must be equipped to:

1. Determine whether actions followed CACFP Federal regulations;
2. Base decision solely on information from sponsor, provider, Federal/State laws, & CACFP regulations

Authority does not include:

- Interpreting federal regulations;
- Validating SD determination;
- Verifying provider's submitted CAP fully resolved SD citation; and
- Establishing settlements

Must be trained using content in DPI's GMs and/or USDA's materials (including, not limited to):

- DPI's [GM M: Serious Deficiency Requirements](#)
- [USDA's Serious Deficiency, Suspension, & Appeals for State Agencies & Sponsoring Organizations Handbook](#)

GM M: Serious Deficiency Requirements

Reminders:

Home Provider Appeal Procedures

- Must be distributed annually to all providers
- Must be issued to providers when issuing NPTD and Suspension Letter

Serious Deficiency Requirements

- Written Correspondence
 - Reminder: DPI must be copied on all sponsor's written correspondence with the provider sent during the serious deficiency process.

Monitoring Ratios / Time Studies

Reminder:

→ Time studies must be completed for FFY 2024 FDCH Contract

- USDA Regulations require sponsors with 50 or more FDCH to work a minimum number of hours annually on monitoring responsibilities
- **CACFP Monitoring Ratio Requirements-FDCH Sponsors**
(Posted under GM K: Recordkeeping Requirements)

Monitoring Ratios / Time Studies

Sponsors must track hours spent by each staff responsible for CACFP monitoring tasks separated by the following categories:

- Monitoring Tasks
- Non-Monitoring Tasks
- Non-CACFP Tasks

Monitoring and Non-Monitoring tasks are outlined in:

- [CACFP Monitoring Ratio Requirements - FDCH Sponsors](#)
- Monitoring Ratios page of FDCH CACFP Contract

Monitoring Ratios Page in Contract

Monitoring Ratios Page in CACFP Contract

Title	First Name	Last Name	Total Hours Per Year	Minus Non CACFP Hours Per Year	Minus CACFP Non Monitoring Hours Per Year	Net Yearly Hours spent on CACFP Monitoring
Administrator	Soren	Sanchez	2080.0	1420.0	540.0	120.0
CACFP Manager	Roxi	Rebel	2080.0	520.0	519.0	1041.0
Monitor	Suzy	Sunshine	2080.0	522.0	375.0	1183.0
Monitor	Genevieve	Geneva	2080.0	1046.0	433.0	601.0
Monitor	Lucy	Luigi	1530.0	600.0	400.0	530.0



Must match time study documentation
completed in FFY 2023

Monitoring Ratios Requirements / Time Studies - Questions

Question: Do job descriptions need to list percentages of time devoted to each responsibility?

Answer: No, sponsors are not required to list the percentage of time devoted to responsibilities within their job descriptions for monitoring ratio documentation purposes. (*DPI required this in the past.*)

Question: What if the sponsor had staff change-over or other anomalies resulting in their completed time studies not representing their normal amount of time spent on monitoring?

Answer: See [CACFP Monitoring Ratio Requirements - FDCH Sponsors](#) resource (posted under *GM K: Recordkeeping*):

- If staff positions that completed time studies are now vacant, enter “Vacant” in either the ‘First Name’ or ‘Last Name’ field when completing the contract renewal. Still list yearly hours information from the time study completed by that staff.
- If time studies could not be completed because of staff change-over, resulting in a substantial deficit in total hours spent on monitoring tasks, use the staff’s time sheets as a source to extrapolate the amount they spent on each category of tasks.

Question: What if the sponsor’s completed time studies show different work hours than those that will be reflected in the contract renewal?

Answer: The work hour information can differ because the *Monitoring Ratios* page must reflect the preceding year’s time study information and the budget must reflect projections for the upcoming contract renewal year.

CACFP FDCH Contract

FFY 2023 Contract Changes

- Submit by **September 5, 2023**

FFY 2024 Contract Renewal

- Opens up Thursday **September 7, 2023**
- Due Friday **September 29, 2023**

Changes During the Year

- Submit updates throughout the year
 - Do not wait to make updates until contract renewal time

Civil Rights Training

All Civil Rights resources can be found under [GM H: Civil Rights](#)

Reminder:

- Use the annual Civil Rights training materials and attendance form when training staff

Civil Rights Training

[Civil Rights Training PowerPoint for FDCH Sponsor Staff](#) 

[Civil Rights Training Hand-out for FDCH Sponsor Staff](#) 

[Civil Rights Training Attendance Form for Sponsor Staff](#) 

Civil Rights Training

Reminders

- [Nondiscrimination Statement](#) was updated in May 2022
 - Use the most current version on all materials referencing CACFP
 - Include on webpages (or link to it)
 - Other places like electronic signature on emails (or link to it)

Nutrition Program Consultant – Community Nutrition Team
WI Department of Public Instruction
(608) 266-5763

<https://dpi.wi.gov/community-nutrition>

[This institution is an equal opportunity provider.](#)



**Thank you for joining us for DPI's administrative staff training
and asking great questions!**

Non-discrimination Statement

In accordance with federal civil rights law and U.S. Department of Agriculture (USDA) civil rights regulations and policies, this institution is prohibited from discriminating on the basis of race, color, national origin, sex (including gender identity and sexual orientation), disability, age, or reprisal or retaliation for prior civil rights activity.

Program information may be made available in languages other than English. Persons with disabilities who require alternative means of communication to obtain program information (e.g., Braille, large print, audiotope, American Sign Language), should contact the responsible state or local agency that administers the program or USDA's TARGET Center at (202) 720-2600 (voice and TTY) or contact USDA through the Federal Relay Service at (800) 877-8339.

To file a program discrimination complaint, a Complainant should complete a Form AD-3027, USDA Program Discrimination Complaint Form which can be obtained online at: <https://www.usda.gov/sites/default/files/documents/ad-3027.pdf>, from any USDA office, by calling (866) 632-9992, or by writing a letter addressed to USDA. The letter must contain the complainant's name, address, telephone number, and a written description of the alleged discriminatory action in sufficient detail to inform the Assistant Secretary for Civil Rights (ASCR) about the nature and date of an alleged civil rights violation. The completed AD-3027 form or letter must be submitted to USDA by:

1. **mail:**
U.S. Department of Agriculture
Office of the Assistant Secretary for Civil Rights
1400 Independence Avenue, SW
Washington, D.C. 20250-9410; or
2. **fax:**
(833) 256-1665 or (202) 690-7442; or
3. **email:**
program.intake@usda.gov

This institution is an equal opportunity provider.