

This chart is intended for monitors to use during HVs. Findings must be identified as an occurrence of non-compliance.

Requirements	Findings	Disallowances	Follow-up
Provider's Advance Notice of Schedule Changes	<ul style="list-style-type: none"> Provider did not give sponsor advance notice that they will not be home during their approved meal service times. <p>The sponsor may cite as findings at their discretion--provider did not notify them in advance that:</p> <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 service times 	Disallow meals typically served during the attempted visit.	
Required Review Elements			
CACFP Meal Pattern			
<ul style="list-style-type: none"> Menu review (1-12 year-old children) 	<ul style="list-style-type: none"> Current month's menus: <ul style="list-style-type: none"> Missing components; Served non-creditable foods; and/or Not serving at least 1 WGR item each day 	<p>Disallow back to 1st of current month: Menus for 1-12 Year Olds:</p> <ul style="list-style-type: none"> Any meal missing required components and/or serving non-creditable foods Any day missing a WGR, disallow the least reimbursable meal serving a grain 	
<ul style="list-style-type: none"> Review of Foods On-hand <p>For foods that require review of packaging (for crediting) based on the menu review recorded on HV Review Log</p> <p>"Reviewing foods on-hand" means looking at crediting information on packaging of actual foods in provider's storage areas during HVs (pantries, refrigerator, freezer)</p> <p>Looking at saved packaging alone CANNOT REPLACE looking at actual foods in storage during the HV.</p>	<ul style="list-style-type: none"> Foods on-hand (<i>served to children in care</i>) for the following items do not meet crediting criteria: <ul style="list-style-type: none"> Cereals exceed the sugar limit Grains identified as WGR on menus do not meet WGR criteria At least 1 WGR item was not served each day due to grains identified as WGR on menus do not meet the requirement Yogurt exceeds sugar limit Processed meats with no CN label / PFS (if required) Store-bought combination foods with no CN label/PFS Tofu does not meet the required protein level Non-creditable cheese (labeled as "cheese product", imitation cheese, cheese sauce without CN label/PFS) 	<p>1st occurrence for serving a specific non-creditable food item:</p> <p>Only disallow meals serving the non-creditable food item on the HV day.</p> <p>UPDATE</p> <p>Repeat occurrences:</p> <p>Disallow meals that can be identified as serving the non-creditable food item back to the 1st of the current month.</p>	<p>UPDATE</p> <p>Items on reviewed menus not on-hand for consecutive HVs count as recurrences (or if intermittent among HVs per sponsor discretion)</p> <p>Recurrences are specific to menu item. If provider has food on-hand at next visit and/or submits a photo of packaging, sponsor may "reset" occurrences back to zero for that menu item.</p> <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 packaging (or photo) from next purchase of food not on-hand. 3rd Occurrence: Monitor should disallow meals serving items without foods or packaging saved from latest purchase on-hand back to 1st of current month.

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<p>Review of milk on-hand</p> <p>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>	<ul style="list-style-type: none"> Incorrect types of milk are being served based on the age of the children who are present Non-creditable milk is being served (i.e., 2% milk) 	<p>Disallow meals:</p> <ul style="list-style-type: none"> Served up to HV time if correct types of milk were not on-hand for that day's meals (not in refrigerator and no empty milk containers in garbage) 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>
<ul style="list-style-type: none"> Infants 	<ul style="list-style-type: none"> Is 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; <p>Based on review of infant menus and items on-hand for each infant (as determined when completing HV Infant Review Log):</p> <ul style="list-style-type: none"> Claims infant meals containing more than 1 family-supplied meal component; Claims infant meals serving non-creditable items; Claims infant meals not containing all required components according to the infant's developmental readiness (including when family serves part of the meals at home) Submitted infant menus do not reflect foods on-hand/served 	<p>Current Month's Infant Menus:</p> <ul style="list-style-type: none"> Any meal serving more than one family-supplied meal component Any meal serving non-creditable items Any meal not containing all required components according to the infant's developmental readiness (including when family serves part of the meals at home) 	<p>UPDATE</p> <ul style="list-style-type: none"> 1st occurrence: Do not disallow meals when submitted infant menus do not reflect foods on-hand/being served to each infant. 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.
<ul style="list-style-type: none"> Meal service (for meal service observed at HVs) 	<p>Children are:</p> <ul style="list-style-type: none"> Taking their meals with them when picked up by parents; Not eating their meals at the table with the other children (<i>not present & participating in meal</i>); Did not serve all meal components together at same time (<i>i.e., holding back milk, holding back fruit until end of meal</i>); Served meals containing deep fat fried foods. Did not serve required portion sizes for each component; and/or Did not correctly serve meals according to meal service method (<i>pre-plated versus family-style dining</i>) provider is using. 	<p>Disallow meals served during meal observations when:</p> <ul style="list-style-type: none"> Observed meal served non-creditable foods or were missing meal components (this includes not serving the correct type of milk by age group); Observed meal served foods that were deep-fat fried. All meal components are not served together at the same time Children left child care with their meals Children not present/participating at meal 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. 	
<ul style="list-style-type: none"> Special Dietary Needs 	<p>Provider:</p> <ul style="list-style-type: none"> Is not offering to accommodate meals for a child with a disability-related SDN; Claims meals served to children with disability-related SDN that do not follow instructions of valid medical statement; Has not submitted required documentation to sponsor for children being served meals differing from their menu (e.g., valid medical statement [disability-related], written request [non-disability-related], completed SDN Tracking Form); 	<ul style="list-style-type: none"> If during HV, the monitor finds a child having a SDN without required SDN documentation & whose meals have been reimbursed, they must contact admin office to put child in "pending" status in the claims system to immediately stop any further payment for child's meals until the required SDN doc is submitted & verified to be valid. 	<p>Provider must submit missing medical statements / SDN requests and completed SDN Tracking Forms</p>

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<ul style="list-style-type: none"> Special Dietary Needs (Cont'd) 	<ul style="list-style-type: none"> Claims meals serving non-creditable foods to children with non-disability-related SDN; and/or Claims meals serving more than one family-supplied component to children with non-disability-related SDN. 	<p>Back to the 1st of the month:</p> <ul style="list-style-type: none"> Disallow SDN meals served to children if they are not in-line with their medical statement (disability-related) Disallow SDN meals serving non-creditable foods or that include more than one family-supplied component (non-disability related) 	
<p>Drinking Water</p>	<ul style="list-style-type: none"> Provider is not making water available to children throughout the day (including during meal times) and/or directly offering water to young children not able to recognize their thirst or know how to request it themselves (i.e., by asking, showing, giving them water etc.) 		
<p>Menu and Meal Count Records</p>	<ul style="list-style-type: none"> Menus and/or meal counts are not up-to-date for the month of the HV; Provider has recorded meal counts of children prior to meals being served <ul style="list-style-type: none"> → Require providers to erase/delete meal counts for meals not served before end of HV Provider is not recording (or entering on-line) each day's menus and/or meal counts by midnight. 	<p>Disallow meals:</p> <ul style="list-style-type: none"> When menus are not fully complete for each meal type & day, from the 1st of the current month through the day prior to HV When meal counts are not up-to-date or complete from the 1st of the current month through the day prior to the HV Recorded in advance for children whom provider stated would not be attending the meal 	
<p>5-Day Reconciliation</p>	<ul style="list-style-type: none"> Children recorded in meal counts or claimed were not in attendance during the meal(s); Provider's 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]); and/or Attendance records are missing. 	<p>Disallow:</p> <ul style="list-style-type: none"> The difference between the meal counts and children in attendance when the meal counts for any meal type are higher than enrollment or attendance for any of the 5 days being reconciled; Meals for children who were not present for the meals according to the attendance records; Meals served on days missing attendance records. (See note for exception within the Five-Day Reconciliation Procedures) 	
<p>Children's Enrollment Records</p>	<ul style="list-style-type: none"> Children enrolled in child care but not enrolled in CACFP; and/or 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 be cited as noncompliance). <p>NOTE: Incomplete CACFP Enrollment Forms, children without enrollment forms who are claimed, and/or expired enrollment forms should be caught at the administrative level.</p>		<p>Provider must submit missing enrollment forms.</p>

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Licensing /Certification Rules	<ul style="list-style-type: none"> ▪ Posted regulation in provider’s home is not current; ▪ Provider has not submitted a copy of their updated regulation to the sponsor; ▪ Provider is exceeding DCF’s group-size limits (over-capacity or over staff to child ratio); ▪ 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 ▪ 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>Exceeding group-size limits: Disallow the difference between the number of meals served and the authorized capacity if provider exceeded DCF’s group-size limits (over-capacity or over staff to child ratio)</p>	<p>If finding the regulation on file with the sponsor is not the most current, provider must submit a copy of their most current regulation to sponsor or provide a copy to the monitor during the HV.</p>
Civil Rights	<ul style="list-style-type: none"> ▪ 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; ▪ Is not offering to provide meals to infants (age discrimination) or children with special dietary needs (disability discrimination); ▪ Is separating children by gender (<i>unless under exception granted by the Department of Education and/or USDA</i>); ▪ Is not posting/distributing Building for the Future flier; and/or ▪ 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. 		
Distribution of WIC Information	<ul style="list-style-type: none"> ▪ Provider is not distributing copies to families or posting WIC information with its most current Income Eligibility Guidelines in visible location. 		
Record Retention	<ul style="list-style-type: none"> ▪ 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 ▪ 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. 		