

FY 2017 CACFP Summit

Family Day Care Home Sponsors

Arizona Department of Education





Common Findings/Observations



Provider Applications

- Provider applications need to be submitted to the ADE in a reasonable timeframe. Let's decide as a group what that means...
- If they are incomplete, they will be returned for correction.



Enrollment Forms

- Parents/guardians must date the form when it is completed to validate they are updated on an annual basis
 - If a form is not dated, it is incomplete
 - This includes electronic forms



Over-Ratio Providers

- If you find a provider is over-ratio during a monitoring visit, all meals for that meal service must be disallowed
- If the provider will continue to be over-ratio for the day of the visit, additional meals/snacks may also need to be disallowed
- If a provider is over-ratio during the review of menus/meal counts, any meals during the over-ratio timeframe must be disallowed
- Corrective action is always required for being over-ratio
- Repeat offenses are considered serious deficiencies



Call-Off Reports for Prior Notification

- Call off reports must indicate the exact time notification was received, the method of delivery (i.e. email, note, text, phone call), and contain enough information for the reviewer to understand what the providers intentions are (i.e. no care all day or just a portion, all dates inactive, etc.).
- Sponsors must maintain supporting documentation to validate prior notifications (i.e. copy of email, phone bills showing when call was received, etc.). If provider is taking children on field trip (movie, library, park, etc.), monitors should obtain the start and end time that the provider will be out of the home.



Dropping Providers for Convenience

- Permanent Agreements require providers to notify the sponsor in writing when they are terminating their contract for convenience
 - This must be enforced
 - Providers can no longer be dropped due to inactivity. It is the provider's responsibility to notify the sponsor when they are not providing care.
 - If sponsor is unable to make contact with the provider, serious deficiency process should be followed
 - Sponsors are welcome to attempt visits as well
 - No prior notification can also be used to assist the sponsor
- ADE may ask for this documentation during reviews or when drop reports are received



Budgets & Financial Management



Budget Revisions

- Revisions: a new budget is required if ANY line item increases or decreases by 10% or more
 - Anything less than 10% can be adjusted without a revised budget, but ADE must be notified in writing of the specific changes being made
 - ADE will notify the sponsor if there are any conflicts with the request or if additional documentation is needed to justify the request
 - All FNS Instruction Requirements still apply (i.e. disclosures of less-than-arms-length transactions, items requiring specific prior written approval, etc.)

Non-CACFP Income

- All Non-CACFP Income must be reported in the CNP Web
 - Maintain all source documentation for reviews/audits

Monthly Income	
Non-CACFP Income:	<input type="text"/>
CACFP Income:	<input type="text"/>
Value of Cash/Non-Cash Donations:	<input type="text"/>



- CACFP Income – reimbursements received the previous month
- Value of Cash/Non-Cash Donations – report donations that are earmarked specifically for CACFP



Licensing Assistance

- Federal regulations currently allow sponsors to use up to \$300 to help a provider with their licensing costs
 - Only allowable for new providers, one time. Sponsors cannot spend the remaining funds at a later time
 - Must have required documentation to support eligibility
 - Meal benefit form showing provider is income eligible
 - A written agreement between the sponsor and provider, including the provider's full name, mailing address, and date of birth



Serious Deficiency Process



Serious Deficiency Process – 6 Steps

1. Identify the serious deficiencies;
2. Issue a notice of serious deficiency; (Send notice to the ADE)
3. Receive and **assess** the DCH's written CAP;
4. Issue a notice of temporary deferral of the serious deficiency if the CAP is adequate, or issue a notice of proposed termination and disqualification, including appeal procedures, if the CAP is not adequate (or if no CAP is received);
5. If requested, hold an appeal, of the proposed termination and disqualification; and
6. If termination is upheld, issue a notice of final termination and disqualification or if termination is overturned, issue a notice of temporary deferral.



Most Common Serious Deficiencies from FY16

- Provider being over ratio
- Recordkeeping
- Provider not notifying the sponsor when they are:
 - Not going to be home
 - Not going to have kids in care
- DES/DHS infractions



Serious Deficiency (Scenario 1)

- You have a provider who was declared SD for not being home. You send out a certified SD letter, but you do not receive CA by the appropriate deadline. You then send out a *Intent/Propose to Terminate* letter. Before the deadline to appeal, the provider submits acceptable CA.

What do you do next?



Serious Deficiency

- The issuance of the notice of intent to terminate does not mean that the DCH should stop working on corrective action. In fact, the sponsoring organization can accept corrective action at any point up until the appeal deadline has passed or the DCH's agreement is terminated. If the DCH submits documented evidence which **convinces the sponsoring organization that the DCH has fully and permanently corrected the serious deficiency, the sponsoring organization may accept the DCH's corrective action and temporarily defer the proposed termination.** If the DCH later fails to maintain this corrective action, the sponsoring organization must immediately re-issue a notice of proposed termination and disqualification [7 CFR 226.16(l)(3)].



Serious Deficiency, Suspension and Proposed Termination Procedures

“If State or local health or licensing officials cite a DCH for serious health or safety violations, the sponsoring organization must take action when it learns of the concerns, **even though the licensing agency has not yet taken formal action** to revoke the DCH’s licensure or approval. In some States, the CACFP State receives citation or revocation alerts from the licensing agency; in these cases, it must provide the information to the sponsoring organization.

Even if the proper authorities indicate that it is safe for the monitor to leave a DCH while they conduct further investigation or inquiry, the monitor and sponsoring organization should still initiate a suspension and the serious deficiency process. FNS expects sponsoring organizations to take immediate action to stop payments and suspend the DCH’s CACFP participation and declare the DCH seriously deficient, regardless of any formal procedures pending or underway by the licensing authorities to revoke the DCH’s license or approval [CACFP 13-2013, *Health and Safety in the Child and Adult Care Food Program*, July 26, 2013].”



Serious Deficiency, Suspension and Proposed Termination Procedures

The notice must state:

- The serious deficiencies found;
- **That the DCH may only appeal the proposed termination;**
- That participation, including all Program payments, is suspended until the appeal is concluded;
- That if the hearing official overturns the proposed termination and disqualification, the DCH may claim reimbursement for eligible meals served during the suspension;
- That termination from the Program will result in the DCH being placed on the NDL;
- That the DCH's voluntary termination of its agreement with the sponsoring organization after receiving the notification will still result in the DCH's formal termination by the sponsoring organization and placement on the NDL; and
- The sponsoring organization's appeals procedures.



Serious Deficiency, Suspension and Proposed Termination Procedures (Scenario 2)

- A provider is remodeling the entryway of the DCH and there are exposed wires in areas where the children play. The area is not sufficiently blocked off from the children for the days the area is being remodeled. The licensing official reviews the DCH during this time and notices that the children are playing with the builder's tools near the exposed wires while relatively unsupervised since the provider is preparing lunch. The licensing official immediately revokes the license pending correction, citing imminent threat to the health and safety of the children.
- Upon learning of the license being revoked, the sponsoring organization would immediately suspend the DCH's participation, declare it seriously deficient and (imminent threat to the health and safety) propose termination and disqualification.
- **If the provider either completes the remodeling of that area or establishes a non-movable barrier that children cannot get through and licensing activates the provider's license, the sponsoring organization must continue with the proposed termination and disqualification.** The provider may appeal and present documentation that the problem has been resolved and the license has been reinstated. If the provider prevails, the proposed termination and disqualification would be vacated and the provider would be allowed to resume participation in the Program. However, the provider will be reimbursed for any meals served during the time of the suspension [226.26(k)(4)(iv)].
- The sponsoring organization shall require the provider to state how he/she will prevent this from recurring.



Serious Deficiency, Suspension and Proposed Termination Procedures (Scenario 3)

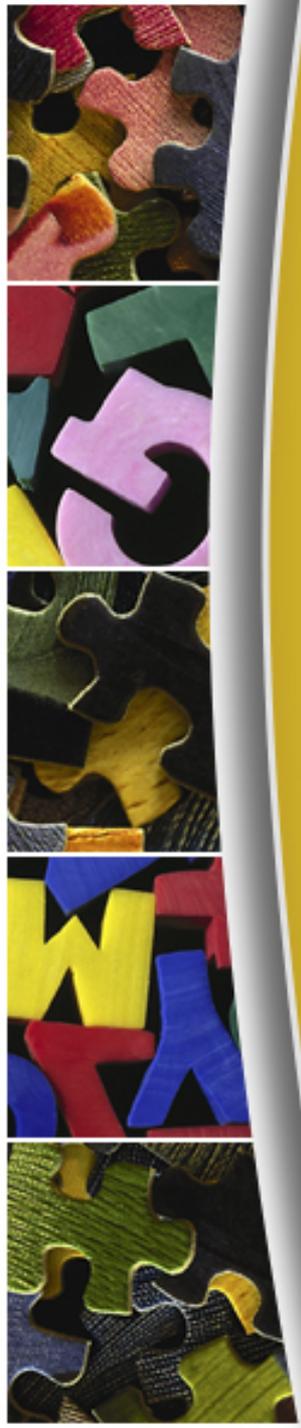
Role and Requirements of Administrative Review Officials

<http://www.azed.gov/health-nutrition/files/2014/02/cacfp-02-2015.pdf>



Serious Deficiency

- All SD prototype letters have been updated.
- Refer to the USDA Serious Deficiency Handbook for answers to your questions. – It is a GREAT resource, but when in doubt, contact your assigned specialist.



National Disqualified List (NDL)

Gaining Access

Sponsoring organizations need eAuth level one clearance

- An account with Level 1 access allows the user to enter USDA Web site portals and applications that have been determined to have minimum security requirements or restrictions

Note: Level 1 access is limited to certain areas of the USDA agency websites and does not allow you to conduct official electronic business transactions with the USDA via the internet



Link to the eAuthentication Page

eAuthentication



[Home](#) | [About eAuthentication](#) | [Help](#) | [Contact Us](#) | [Find an LRA](#)

Quick Links

- ▶ [What is an account?](#)
- ▶ [Create an account](#)
- ▶ [Update your account](#)

Administrator Links

- ▶ [Local Registration Authority Login](#)

You are here: [eAuthentication Home](#)

eAuthentication Home

Welcome

USDA eAuthentication is the system used by USDA agencies to enable customers to obtain accounts that will allow them to access USDA Web applications and services via the Internet. This includes things such as submitting forms electronically, completing surveys online, and checking the status of your USDA accounts.

Please note that USDA will only accept eAuthentication Accounts from individuals.

Currently USDA eAuthentication does not have the mechanism to issue accounts to businesses, corporations or other entities.

To apply for a USDA eAuthentication Account, please visit the [Create an Account](#) Page.



Create an Account

Quick Links

- ▶ [What is an account?](#)
- ▶ [Create an account](#)
- ▶ [Update your account](#)

Administrator Links

- ▶ [Local Registration Authority Login](#)

You are here: [eAuthentication](#) > Account Creation

Create an Account - Getting Started

USDA Federal Employees, Contractors, & Affiliates

If you are a USDA Federal Employee, Contractor, or Affiliate of the USDA, you must register for a USDA Internal Account.

[Register for an Internal Account](#)

USDA Customers - What Level of Access Do You Need?

Request Level 1 Access to:

- Visit a USDA web page that indicates a Level 1 account is necessary
- Obtain general information about the USDA or its agencies
- Participate in public surveys for a USDA agency

[Register for a Level 1 Account](#)

Request Level 2 Access to:

- Submit official business transactions via the Internet
- Enter into a contract with the USDA
- Submit forms or applications for the USDA via the Internet

[Register for a Level 2 Account](#)

Changing from Level 1 Access to Level 2 Access

If you already have a Level 1 account and require Level 2 access:

1. Log into your profile
2. Fill in and submit the required information
3. Visit your Local Registration Authority (LRA)

[Log into Your Profile](#)



Create an Account

Quick Links

- What is an account?
- Create an account
- Update your account

Administrator Links

- Local Registration Authority Login

You are here: eAuthentication > Account Creation > Account Request Form

Register for Your Account - Level 1

Form Approved OMB No. 0503-0014

Step 1 of 4 - Level 1 Access Account Registration

USDA customers should complete the information below to create a USDA eAuthentication account. Please read the eAuthentication [Privacy Act Statement](#) and [Public Burden Statement](#) for more information on how your personal information will be protected.

All required fields are red and marked by an asterisk (i.e. *). Enter your first and last name exactly as it appears on your Government issued photo ID (e.g. state driver's license).

Note: The characters < > ^ | are not allowed on this form.

User Information ?

Required Field*

First Name*

Middle Initial

Last Name*

Contact Information ?

Email*

Confirm Email*

Login Information ?

User ID*

Password*

Confirm Password*

Security Questions ?

Please select and answer four distinct questions from the selections below. This information will be used to validate your identity if you forget your password. Each question may only be used once. For additional assistance, click the ? above.

1*

2*

3*

4*

Be sure to provide all the required information and complete all 4 steps



Confirm Account

Confirmation

Within seven (7) days, you will then receive a confirmation email from the USDA asking you to respond to the email to confirm your account. If you do not respond to the email asking you to confirm your account within seven (7) days, you will have to restart the registration process by creating another profile and will need to select a new User ID. Once you have confirmed your online registration, you will have immediate access to USDA portals and applications that accept accounts with Level 1 access.

National Disqualified List

- Enter the username and password you created when requesting level one access
- Link to the NDL login:

**CLICK
HERE** 

Welcome Screen



Welcome To The National Disqualified List Application

Today's Date: Mon Feb 01, 2016 08:29:49 CST

Please select the desired feature from the menu on the left.

Welcome Sponsoring Organization user.

Current Disqualifications

▸ Disqualified Individuals List

▸ Disqualified Institutions List

Search

▸ Search Individual

▸ Search Institution

▸ Bulk Search Individual

▸ Bulk Search Institution

Introduction

Section 243(c) of Public Law 106-224, the Agricultural Risk Protection Act of 2000, amended § 17(d)(5) of the Richard B. Russell National School Lunch Act (42 U.S.C. 1766 (d)(5)(E)(i) and (ii)) by requiring the Department of Agriculture to maintain a list of institutions, family day care home providers, and individuals that have been terminated or otherwise disqualified from Child and Adult Care Food Program (CACFP) participation. The law also required the Department to make the list available to State agencies for their use in reviewing applications to participate and to sponsoring organizations to ensure that they do not employ as principals any persons who are disqualified from the Program. This statutory mandate has been incorporated into § 226.6(c)(7) of the CACFP regulations.

Functions



Current Disqualifications	
▶ Disqualified Individuals List	
▶ Disqualified Institutions List	←
Search	
▶ Search Individual	←
▶ Search Institution	
▶ Bulk Search Individual	
▶ Bulk Search Institution	←

Six Options are available:

The first two options allow the user to view the disqualified individual list and the disqualified institution list.

The second two options allow the user to conduct a search of a specific individual or institution using specific criteria.

The third two options allow the user to conduct bulk searches for disqualified individuals and institutions.





New Meal Pattern

- Providers **MUST** continue following the current meal pattern
- The USDA has not authorized early implementation of any of the new requirements that would defer from the current meal pattern
- USDA will issue guidance as to when and what pieces of the new meal pattern can be implemented



2017 Renewal Process

- May 2016 bank statements are required with all supporting documentation (receipts, invoices, cancelled checks, etc.)
- Everything is due August 15, 2016
 - Applications will be processed on a first come, first serve basis
 - Recommend submitting as early as possible