

What to Expect: Child and Adult Care Food Program Administrative Review Program Year 2022 ONLINE COURSE

Released January 2022
Training Hours: 0.5 Hour





Arizona Department of Education (ADE)

This training was developed by the Arizona Department of Education (ADE) Health and Nutrition Services Division (HNS).

Intended Audience

This training is intended for **organizations operating the Child and Adult Care Food Program (CACFP)** receiving an **Administrative Review**. All regulations are specific to operating the CACFP under the direction of ADE. This training does not apply to Family Day Care Home (FDCH) Sponsors.

Training Hours

This training counts toward Empower Program training requirements. It is listed on the Arizona Early Childhood Workforce Registry. If you want this training to appear on your Registry transcript, please provide your ID in the completion survey.

Training Hours: 0.5 hour

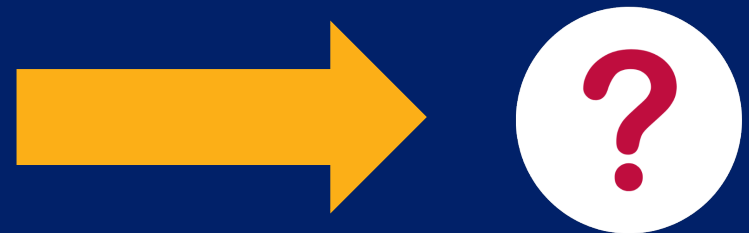
Objectives

At the end of this training, attendees will:

- understand the State agency monitoring requirements for organizations undergoing a CACFP Administrative Review (AR);
- know what to expect of the review process;
- be familiar with all formal correspondence that will be initiated by the HNS Reviewer; and
- understand potential review outcomes and actions to be taken after the review.



- Throughout this guide there will be comprehension quiz questions to test your knowledge and help you apply what you're learning.
- Be sure to review these quiz questions and answers available within the guide.
- This icon will indicate a comprehension quiz question and the background of the slides will be blue like you see on this slide.



**What to Expect:
Child and Adult
Care Food
Program
Administrative
Review
Program Year
2022**

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Section 1

State Agency Monitoring Requirements



State Agency Monitoring Requirements

Intent of the Administrative Review

The Administrative Review (AR) is set in place to ensure program compliance and for State agencies to provide technical assistance. The intent of the AR is to:

- determine if program requirements are being met;
- provide technical assistance specific to the organization;
- help organizations determine how corrective action will be implemented into their operation to assure technical assistance is understood and impactful; and
- assess fiscal action (if applicable).

State Agency Monitoring Requirements

Administrative Review

ADE is required to conduct ARs of all organizations operating the CACFP **at least once during each 3-year review cycle**. During the AR, ADE will review all Child Nutrition Programs (CNPs) the organization is operating during the year of review.

State Agency Monitoring Requirements

Minimum Number of Sites to Review

At minimum, State agencies must review a minimum number of sites depending on the size of the organization. Single-site organizations receive a site assessment during every review. Multi-site organizations receive site assessment(s) for at least 10% of their approved sites. The HNS Reviewer will use the chart below to determine the number of site(s) to review.

Number of Sites	Minimum Number of Sites to Review for CACFP
1 to 10	1
11 to 20	2
21 to 30	3
31 to 40	4

State Agency Monitoring Requirements

Scheduling the Administrative Review

ADE will schedule in-person ARs during the months of October 2021 through September 2022 for organizations that are up for review in Program Year (PY) 2022.

State Agency Monitoring Requirements

Review Correspondence

Notification of the Administrative Review – Organizations scheduled to receive an AR in PY 2022 were provided a certified letter in January 2022.

- This letter does not provide specific dates for when the review will be conducted.

Findings of the Administrative Review Summary – The State agency will provide written notification of the review findings to the Sponsor Representative (or equivalent position) no later than 30 days after the Exit Conference occurs.

True or False: All organizations receiving an AR during PY 2022 will be notified of the date their review will be conducted.

- A) True
- B) False



True or False: All organizations receiving an AR during PY 2022 will be notified of the date their review will be conducted.

- A) True
- B) False**

Organizations receiving an AR during PY 2022 will be notified of their upcoming Administrative Review for the current program year. The notification will not include the date of when the Administrative Review will be conducted.

State Agency Monitoring Requirements

Scope of the Administrative Review

The AR will focus on the accountability requirements, which may include:

- **Enrollment**– DHS Emergency Information and Immunization Cards (Blue Cards), Meal Benefit Income Eligibility Forms, Claiming Rosters (for review month), DES Billing Records (for review month), and Sign-in/out Sheets (for the review month)
- **Meal Counting**– Child, Infant, and/or Adult Point of Service Meal Count Sheets and Meal Count Summary Sheet (for evaluation month)
- **Menu and Supporting Documentation** – Menu (for review month), Participant Menu Modification Forms, Supporting Documentation for all whole grain-rich items, commercially prepared entrees, cereals, and yogurt being served
- **Safety and Sanitation**– Kitchen Permit, Food Handler Certificates and Food Safety Manager Card (according to county)

State Agency Monitoring Requirements

Scope of the Administrative Review

The AR will focus on the accountability requirements in the areas of:

- **Administrative and Operational Costs**– Receipts and invoices to support purchased food, Food Service Vendor/Provider receipts (for evaluation month, if applicable), Time Distribution Reports, and lease payment receipt
- **Monitoring**– Site monitoring for organizations with multiple operating sites
- **Procurement**– Procurement Documentation (if small purchasing)

State Agency Monitoring Requirements

COVID-19 Relief Efforts Impacting Scope of AR

- **Child Nutrition Program Emergency Operational Costs Reimbursement Program** – ADE will monitor how emergency operational costs have been utilized during the AR. Organizations will be required to provide information on the use of funds that were provided through the Emergency Operational Costs Reimbursement Program.
- **Pandemic-Electronic Benefit Transfer (P-EBT)** – The AR will not monitor P-EBT issuance.

Section 2

The Administrative Review Process



The Administrative Review Process

Requirements of the Review

To conduct an AR, the State agency must gather and assess information off-site and/or on-site and observe the site's food service operation during the on-site portion of the review.

The following slides will review the process ADE has established to conduct an AR.

The Administrative Review Process

Assigned Reviewer

HNS has a team of reviewers that conduct all Child Nutrition Program Reviews. Organizations will be assigned one HNS Reviewer to conduct the entirety of the review. Organizations can expect to be in constant contact with their assigned HNS Reviewer throughout the entire review process.

The Administrative Review Process

Type of Administrative Review

ADE is required to review 33.3% of all the organizations participating in the CACFP. At least 15% of the reviews must be unannounced.

- **Unannounced Review:** An on-site review for which no prior notification is given to the organization.
- **Announced Review:** An on-site review for which prior notification is given to the organization of when the on-site portion of the AR will be conducted and what month will be reviewed.

The Administrative Review Process: Unannounced Review

What to Expect of the Administrative Review PY 2022

The **unannounced** AR occurs in the following order:

- The HNS Reviewer will visit the organization's site(s) that is up for an AR without notifying the organization.
- The HNS Reviewer will conduct an Entrance Conference at the time of arrival and will provide the organization's representative with a checklist of all the documentation that will be reviewed as well as the month being reviewed.
- The organization's representative will compile all the requested documentation.
- The HNS Reviewer will conduct a meal observation.
- The HNS Reviewer will conduct an Exit Conference at the end of the Administrative Review and will provide the organization's representative with a summary of all the findings identified during the review.

Within 30 days of the Exit Conference, the organization will receive an *Administrative Review Summary Report*.

The Administrative Review Process: Announced Review

What to Expect of the Administrative Review PY 2022

The **announced** AR occurs in the following order:

- **At least five weeks prior to the day of the on-site review**, the organization will be notified of the AR and the assigned HNS Reviewer will provide the *Confirmation Memo & Checklists*.
 - The organization will compile and have documentation ready by the communicated deadlines.
 - The HNS Reviewer will notify the organization representative if additional documentation will be needed at the time of the on-site review.
- **Prior to the day of the on-site review**, logistics of the visit will be discussed.
- **On the Day(s) of the on-site review**, an Entrance Conference, meal observation(s) for all site(s) selected and an Exit Conference will be conducted.
- **Within 30 days of the Exit Conference**, the organization will receive an *Administrative Review Summary Report*.

The Administrative Review Process: Announced Review

Notification of the Scheduled Review

At least five weeks prior to the on-site review, the HNS Reviewer will notify the organization that the review has been scheduled. This notification will include the **Confirmation Memo & Checklists**.

The following slides will review the contents of the Confirmation Memo & Checklists.

The Administrative Review Process: Announced Review

Confirmation Memo

The intent of the **Confirmation Memo** is to indicate which site(s) will be reviewed and the timeframe in which the review will occur. Included in the Confirmation Memo are checklists of documents that will need to be sent to the reviewer by the given deadlines. All requested documents will have a deadline prior to or on the day of the on-site review.

The HNS Reviewer will provide the Confirmation Memo via email to the organization's representative a month prior to the on-site review.

Note: The Confirmation Memo mentioned above applies to **announced** reviews only. **Unannounced** reviews will not receive a Confirmation Memo with the specific date of their review.

The image shows a template for a Confirmation Memo. At the top center is the Arizona Department of Education logo, with the text "Arizona Department of Education Health & Nutrition Services Division" below it. The template contains several placeholder fields in brackets: [DATE], [SPONSOR REPRESENTATIVE NAME & TITLE], [RECORD KEEPER NAME & TITLE], [SPONSOR NAME], [SPONSOR MAILING ADDRESS], [CITY, STATE, ZIP], [SPONSOR REPRESENTATIVE & RECORD KEEPER NAMES], [DATE WITHIN MONTH PRIOR TO ON-SITE], [DATE OF REVIEW], [DATE SELECTED FOR REVIEW], [MONTH OF REVIEW], [SITE(S) SELECTED FOR REVIEW], [PROGRAM YEAR OF PREVIOUS AYR], [REVIEWER'S PHONE #], and [REVIEWER'S EMAIL ADDRESS]. The body text explains the purpose of the review, lists required documentation, and provides contact information for the reviewer. At the bottom, there is a signature line for the reviewer and a footer stating "This institution is an equal opportunity provider."

*PY 2022
Confirmation Memo*

The Administrative Review Process: Announced Review

Checklists

The pages following the Confirmation Memo include checklists containing lists of required documents grouped in two phases. Each phase will have a unique deadline for the organization to submit incrementally rather than all at once.

Phase 1: Enrollment, Meal Counts, Safety and Sanitation, Admin and Operational Costs, 5-Day Reconciliation (if applicable), At-Risk Records (if applicable), Procurement and Menu Documentation for Review Month.

Phase 2: Enrollment Emergency Forms and Menu Documentation for Day of Review

Note: The checklists mentioned above apply to **announced** reviews only. **Unannounced** reviews will receive one checklist upon reviewer's arrival.

<p>a. Food Service Cost Report i. Receipts and invoices to support reported food purchases b. Receipts and invoices to support payment to food vendor (FSMC or caterer) c. Expense Worksheet i. Receipts, invoices, and lease payments to support reported expenses d. Time Distribution Reports if claiming labor expenses e. Documentation to support any small purchases, including caterer procurement documentation</p>																																			
<p>15. Copies of Monitoring Visits a. If three monitoring visits are required, provide the Monitoring Worksheet b. This is only required if three monitoring visits are required</p>																																			
<p>19. Copies of production menu and THIRD FULL WEEK a. This is only required for the third full week of the month b. Menus for all A-R prepared entrees</p>																																			
<p>20. At-Risk Afterschool Meal a. Daily meal count b. Menus for all A-R prepared entrees</p>																																			
<p>1. Enrollment Emergency Form 2. A copy of the posted menu 3. Child Nutrition (CN) labels on EVERY DAY OF REVIEW 4. Supporting documentation 5. Supporting documentation 6. Supporting documentation 7. Copies of Menu Modification</p>	<p>Please send all requested documentation for each selected site to [Reviewer's Name] at [Reviewer's Email], or through ADE's Secure File Delivery System</p> <p>To be submitted by DATE WITHIN MONTH PRIOR TO ON-SITE:</p> <p>Phase 1 Documentation</p> <table border="1"> <tr> <td>1. Copies of Free, Reduced-Price, and Paid Claiming Rosters for (MONTH OF REVIEW) a. This is not a requirement for Head Start Centers or Emergency Shelters</td> <td><input type="checkbox"/></td> </tr> <tr> <td>2. Copies of Completed Meal Benefit Eligibility Forms for the current program year a. Head Start participants: A statement of income eligibility or a list of enrollment provided by a Head Start official b. Emergency Shelter residents: A list of participants including name, date of birth, and dates of residency</td> <td><input type="checkbox"/></td> </tr> <tr> <td>3. Copies of Sign-in/out Sheets for (MONTH OF REVIEW)</td> <td><input type="checkbox"/></td> </tr> <tr> <td>4. Enrollment for (MONTH OF REVIEW) categorized by age group • Under 1 year • Ages 1-2 years • Ages 3-5 years • Ages 6 years & up</td> <td><input type="checkbox"/></td> </tr> <tr> <td>5. Copies of DES billing records for (MONTH OF REVIEW) (if applicable)</td> <td><input type="checkbox"/></td> </tr> <tr> <td>6. Copies of Child Point of Service Meal Count Sheets for (MONTH OF REVIEW)</td> <td><input type="checkbox"/></td> </tr> <tr> <td>7. Copies of Infant Point of Service Meal Count Sheets for (MONTH OF REVIEW) (if applicable)</td> <td><input type="checkbox"/></td> </tr> <tr> <td>8. A copy of the Meal Count Summary for (MONTH OF REVIEW)</td> <td><input type="checkbox"/></td> </tr> <tr> <td>9. 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PY 2022
Checklists

The Administrative Review Process: Announced Review

Checklist Documentation Due Dates

Many items on the checklists will be tied to specific dates within the assigned review period. The organization's representative may have to wait for those dates to pass before making copies of the documents to provide to the HNS Reviewer.

- Phase 1 documentation will be required to be submitted on or before the specified date within the month prior to the on-site review.
- Phase 2 documentation will be required to be submitted on the day of the on-site review.

Note: The due dates mentioned above apply to **announced** reviews only. **Unannounced** reviews will receive one checklist upon reviewer's arrival.

The Administrative Review Process: Announced Review

Phase 1: Off-Site

Operational Documents:

- Enrollment
- Meal Counts
- Safety and Sanitation
- Administrative and Operational Costs
- 5-Day Reconciliation
- At-Risk Records
- Procurement
- Monitoring

Menu Documentation for the Month of Review:

- Menus; production records (if applicable); supporting documentation for all whole grain-rich items served; all low-sugar yogurt served, and low-sugar cereal served; and Product Formulation Statements and Child Nutrition labels (for commercially prepared products)

Note: The checklist phase mentioned above applies to **announced** reviews only. **Unannounced** reviews will receive one checklist upon reviewer's arrival.

The Administrative Review Process: Announced Review

Phase 2: On-Site

Operational Documents:

- Enrollment Emergency Forms

Menu Documentation for Day of Review:

- Menus; production records (if applicable); supporting documentation for all whole grain-rich items served; all low-sugar yogurt served, and low-sugar cereal served; and Product Formulation Statements and Child Nutrition labels (for commercially prepared products)

Note: The checklist phase mentioned above applies to **announced** reviews only. **Unannounced** reviews will receive one checklist upon reviewer's arrival.

The Administrative Review Process: Announced Review

Compile and Send Review Documents to HNS Reviewer

Organizations are required to email the program documents listed on the checklist prior to the given deadlines.

The HNS Reviewer will acknowledge receipt of the documents and will contact the organization if the responses and/or documents are inadequate.

At this time, the HNS Reviewer will determine if additional documentation is required. These documents will be requested prior to the on-site review.

The HNS Reviewer will not disclose any findings until the on-site review.

Note: Emailing documents prior to the on-site visit applies to **announced** reviews only. **Unannounced** reviews will receive one checklist upon reviewer's arrival.

The Administrative Review Process

Day of On-Site Review

Prior to the on-site review, the HNS Reviewer will collect the organization's mealtimes from their approved CNPWeb site application(s). If the review has been announced, one week prior to the day of the on-site review, the HNS Reviewer will work with the organization representative to confirm the location and time of the review. The HNS Reviewer will review at least one of the following meals services:

- Breakfast and/or;
- AM Snack and/or;
- Lunch and/or;
- PM Snack and/or;
- Supper

The Administrative Review Process

HNS Reviewer Workspace

The HNS Reviewer will need a quiet and somewhat private workspace to review program documents. Please provide the following:

- Internet access
- Electrical outlets
- Typical location of where the main contact will be working throughout the day in case questions arise

The Administrative Review Process

Entrance Conference

Typically, the Entrance Conference will occur on the day of the on-site review. If the breakfast service is being observed, it may occur after meal service concludes. The Entrance Conference gives the organization and HNS Reviewer the opportunity for introductions, a review of the day's agenda, and a time to discuss documents that must be gathered.

At a minimum, the organization's representative is required to participate in the Entrance Conference, but it is encouraged to include an administrator and any individuals who are directly involved with the food service operation.

The Administrative Review Process

Exit Conference

The Exit Conference will occur at the conclusion of the on-site review. It will be more formal than the Entrance Conference because the entire review—including on-site observations, technical assistance, potential fiscal action, and next steps—will be discussed in detail.

At a minimum, the organization's representative is required to participate in the Exit Conference, but it is encouraged to include an administrator and any individuals who are directly involved with the food service operation.

The Administrative Review Process

Administrative Review Summary Report

The *Administrative Review Summary Report* is a written summary of any review findings, technical assistance, required corrective action, and fiscal action (if applicable).

Within 30 days of the Exit Conference, the HNS Reviewer will send the *Administrative Review Summary Report* to the CACFP Sponsor Representative via email and certified mail.

Section 3

Responding to Review Findings



Responding to Review Findings

Responding to the Administrative Review Summary

The Designated Official must review the *Administrative Review Summary Report* and is responsible for ensuring all corrective action and fiscal action are received by the given deadline.

Should these post-review actions not be completed by the deadline, **it could lead to being declared seriously deficient.**

Responding to Review Findings

Corrective Action

Corrective action may include written descriptions of changes made within the operation, documentation to demonstrate understanding of program regulations, and/or certificates showing training was completed.

A written response must be provided by the deadline indicated in the *Administrative Review Summary Report*. The response must be on the organization's letterhead, signed by an authorized representative listed on the Food Program Permanent Service Agreement (FPPSA), and must address all required corrective action items listed in the report. It is best practice to submit corrective action prior to the deadline in case any revisions are required.

The Sponsor Representative will receive a Close-Out Memo when sufficient corrective action is submitted.

Responding to Review Findings

Fiscal Action

Some areas of the AR are tied to reimbursement funds. Findings within these areas will result in fiscal action; specifically, findings in the areas of meal counting and claiming and meal pattern. A few examples include:

- Claiming meals for a participant not enrolled in the Program
- Meals served with missing components
- Serving high sugar cereal and/or yogurt
- Participants miscategorized on the claiming rosters

The *Administrative Review Summary Report* will provide the total amount of fiscal action that was assessed due to review findings.

Responding to Review Findings

Assessing Fiscal Action

Fiscal action is assessed for the entire AR by combining the fiscal action of all the review findings. If fiscal action exceeds \$600, funds for fiscal action will be recovered by direct payment or through future claims.

- *For example, if \$700 of fiscal action was assessed during the AR, ADE will take a total of \$700 back from the organization after all CNPs being operated have been reviewed.*

Responding to Review Findings

Fiscal Action Disregard

If the combined fiscal action is less than \$600, it is disregarded, and the funds are not recovered.

- *For example, if \$100 of fiscal action was assessed for a missing component and \$300 of fiscal action was assessed for incorrect eligibility, ADE will disregard the total \$400 fiscal action.*

Is the AR closed the day of the on-site review?

- A) Yes, you will never discuss the AR again.
- B) Yes, the HNS Reviewer will provide the Close-Out Memo once all findings are discussed.
- C) No, the review is not considered closed until adequate responses for all corrective action are received and the Close-Out Memo is issued by the HNS Reviewer.



Is the AR closed the day of the on-site review?

- A) Yes, you will never discuss the AR again.
- B) Yes, the HNS Reviewer will provide the Close-Out Memo once all findings are discussed.
- C) No, the review is not considered closed until adequate responses for all corrective action are received and the Close-Out Memo is issued by the HNS Reviewer.**

A written summary of the review findings, technical assistance provided during the review, and the required corrective action will be sent via email and certified mail once the review is complete. The review is not considered “closed” until the Close-Out Memo is issued.

True or False: Serving yogurt and cereal that does not meet the sugar requirement will result in fiscal action.

- A) True
- B) False



True or False: Serving yogurt and cereal that does not meet the sugar requirement will result in fiscal action.

- A) True
- B) False

Findings in areas tied to reimbursements, such as meal pattern requirements, will result in fiscal action. Fiscal action will be assessed and recovered from future claims if fiscal action totals exceed the \$600 threshold.



True or False: Failure to comply with program requirements or failure to implement required corrective action assigned after the AR will result in the organization being declared seriously deficient.

- A) True
- B) False



True or False: Failure to comply with program requirements or failure to implement required corrective action assigned after the AR will result in the organization being declared seriously deficient.

A) True

B) False

Any findings in violation of program requirements must be resolved and sufficient corrective action must be submitted by the due date provided by the HNS Reviewer, or the organization will be declared seriously deficient.

Congratulations!

You have completed *What to Expect: Child and Adult Care Food Program Administrative Review Program Year 2022*

To request a certificate, please go to the next slide.

In order to count this training toward your Empower Program training requirements, please provide your ID in the completion survey.

- **Training Title:** What to Expect: Child and Adult Care Food Program Administrative Review Program Year 2022
- **Training Hours:** 0.5 hour

Please Note: Attendees must document the amount of training hours indicated regardless of the amount of time it takes to complete it.



Congratulations!

Requesting a training certificate

Please click on the link below to complete a brief survey about this online training. Once the survey is complete, you will be able to print your certificate of completion from Survey Monkey.

**This will not appear in your Event Management System (EMS) Account.*

<https://www.surveymonkey.com/r/CACFPOnlineTraining>

The information below is for your reference when completing the survey:

- **Training Title:** What to Expect: Child and Adult Care Food Program Administrative Review Program Year 2022
- **Training Hours:** 0.5 hour





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, audiotape, 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/USDA-OASCR%20P-Complaint-Form-0508-0002-508-11-28-17Fax2Mail.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.