

Preparing for a Review



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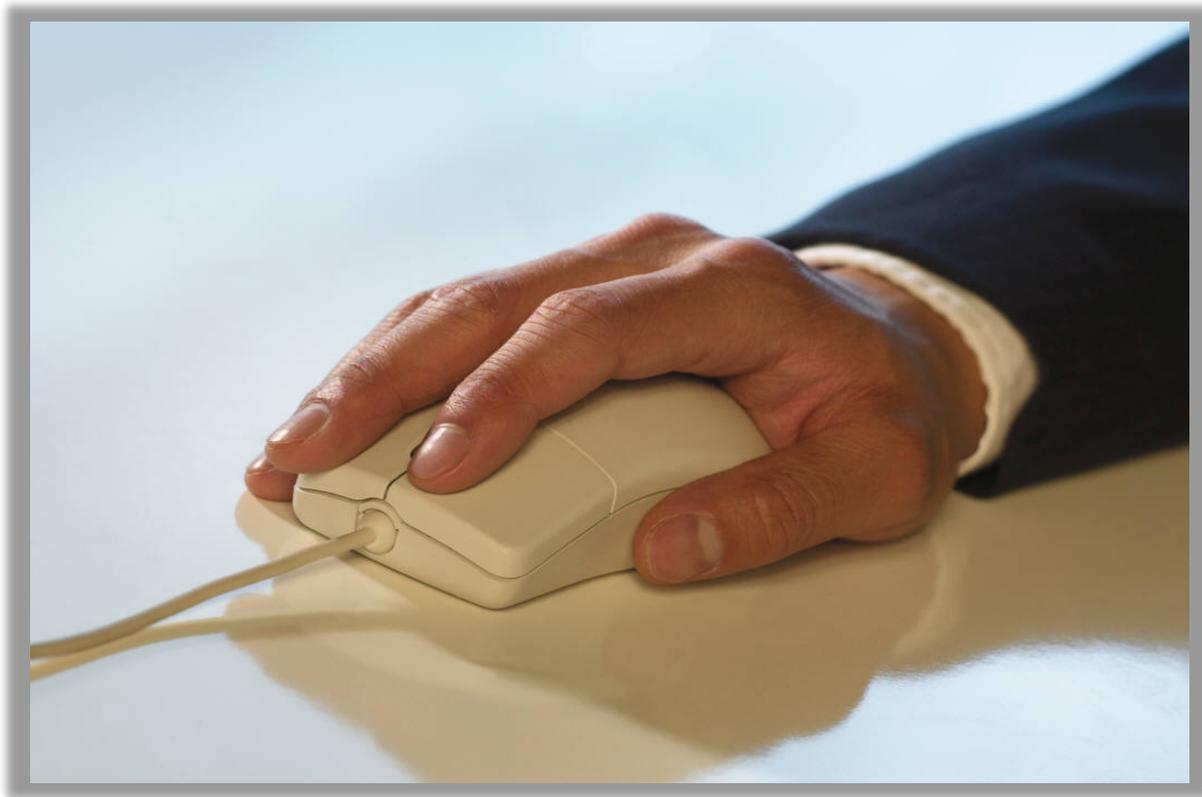
Are You Ready for a Review?



We think you are...



... when you submit a claim.



Types of Reviews

Pre-approval Visit

Program Review

State Agency

Unannounced/
Focused Review

Technical Assistance

Process for Typical Review



Schedule of Review



Usually once every three years

Schedule in advance via phone

Validate last claim submitted at time review is scheduled

Written notice emailed

Documents Requested

Specialist may request specific documents to be submitted prior to onsite review
(attendance, meal counts, menus, master list)



Typical Review Day

- Introductions and entrance interview
- Quick tour of facility
- Review of document organization
- Review of documents
- Meal observation
- Continue review of documents
- Exit interview: findings/corrective action

What Not to Do During a Review

Deny facility access to a program specialist

Take children/participants on an unplanned fieldtrip

Not being available to answer questions

Not having records pulled and organized

Serve a non-creditable meal

Leave early or not attend the review

How to Prepare for a Review

Inform others

Schedule time and room for the review

Check pantry and menus

Review claim

Gather and organize documents

Get enough sleep prior to review

What Records to Gather

Monthly records to support claim

Annual records to support program participation

Civil Rights records

Miscellaneous records



Monthly File

Meal counts

Daily attendance sheets

Menus served for all age groups

Fiscal documentation: receipts and time logs of costs claimed. Proof of deposit for monthly reimbursement



Annual Records to Support Claim

Master list for fiscal year

Documentation to support each participant's claiming category



Income Eligibility Applications



Head Start Certification List



Certified List of Collaborative Head Start children



Limited Disclosure Agreement with school

Annual Records

Enrollment forms (not applicable for After School At Risk, Emergency Shelters, Youth Development and Outside School Hours)

Special diet forms

Annual staff training

Annual Inventory (record at end of September)

Current vending contract (if applicable)



Annual Records

Monitoring Reviews for
current and past fiscal year

Multi-Site
Sponsors

Edit Check #1
(approved meal types)
and Edit #2
(maximum number of
meals) documentation

Household Contact
documentation
(if applicable)

Civil Rights Records

- Parent Handbook
- Enrollment Packet
- USDA poster appropriately displayed
- Pamphlets distributed (if applicable)
- Distribution of WIC information
- Parent Preference Letter for infant meals
- Media Release

Miscellaneous Records

Permanent
Agreement

Child Care
License

Food Service
License

Current Health
Inspection
Report

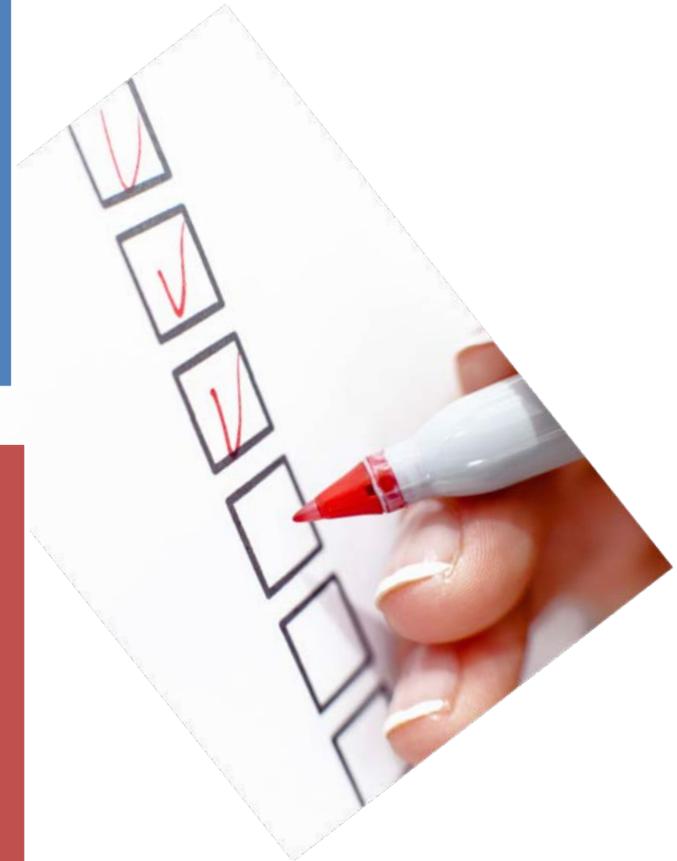
Current Fire
Inspection
Report
(if applicable)

Audit Reports
(if applicable)

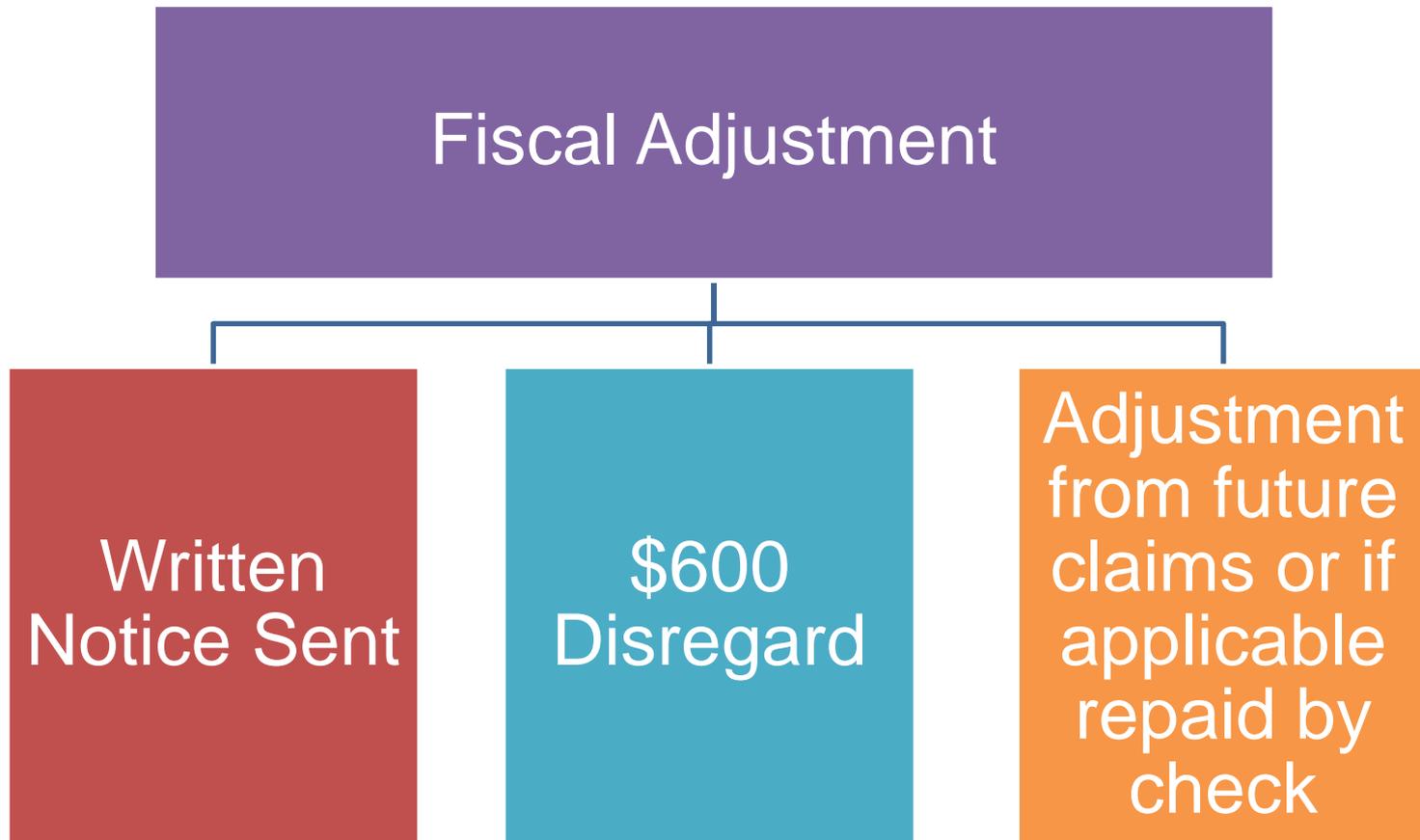
Review Results

Any findings are noted and corrective action requested

Serious Deficiency Determination:
a violation of program regulations
that bring into questions the
sponsor's ability to operate the
Child and Adult Care Food
Program



Review Results



Online Compliance Module

Child and Adult Care Food Program

Ohio | Department
of Education

Applications | Claims | **Compliance** | Reports | Security | Search

 Programs | Year | Help | Log Out

Child and Adult Care Food Program

Ohio | Department
of Education

Applications | Claims | Compliance | Reports | Security | Search

 Programs | Year | Help | Log Out

Compliance >

Item

Description

[Review Tracking](#)

Functions for tracking reviews.

Online Compliance Module

Expand

Actions	Review ID	Review Year	Review Type	Lead Reviewer	Scheduled Date	Closed Date	Nbr of Sites	Status
Details	10101	2017 - 2018	3 Year	Blair, Charity	7/16/2018		1	Open

Review Tools	
Action	Description
View Modify	Review Information
View Modify	Sponsor Contact Information
Detail	Site Dashboard (1)
Detail	Review Forms
View Modify	Corrective Action Documents (4)
View Modify	Commendations (1)
View Modify	Technical Assistance (1)
Detail	Review Attachments (10)
Detail	Correspondence Tracking (0)

Online Compliance Module

View Modify	300 - Menus	1313 - Is documentation on file (CN label or other manufacturer specifications) to support creditability of applicable food items?	Y	Pending Action	11/19/2018
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Required Corrective Action:

Add Standard Comment:

Rich text editor toolbar with icons for print, undo, redo, bold, italic, underline, bulleted list, numbered list, link, unlink, text color, background color, font face (Normal), font size (13px), and zoom.

Menu contained items that require CN label documentation. Items included ravioli, turkey bologna, pizza, macaroni and cheese, hot dogs, meatballs, tortellini and chicken nuggets. Provide documentation indicating the procedures that will be used and person responsible to ensure documentation is on file to support creditability of applicable food items. Upload CN labels for the items listed above. If the CN label is not available upload a new menu with those items removed.

Design Preview

Online Submission of Corrective Action

Sponsor Corrective Action Response:

Document Attachments

A Sponsor may submit supplemental information related to their Corrective Action by selecting the 'Add an attachment' link.

Action	Comments	Uploaded By
Add an attachment		

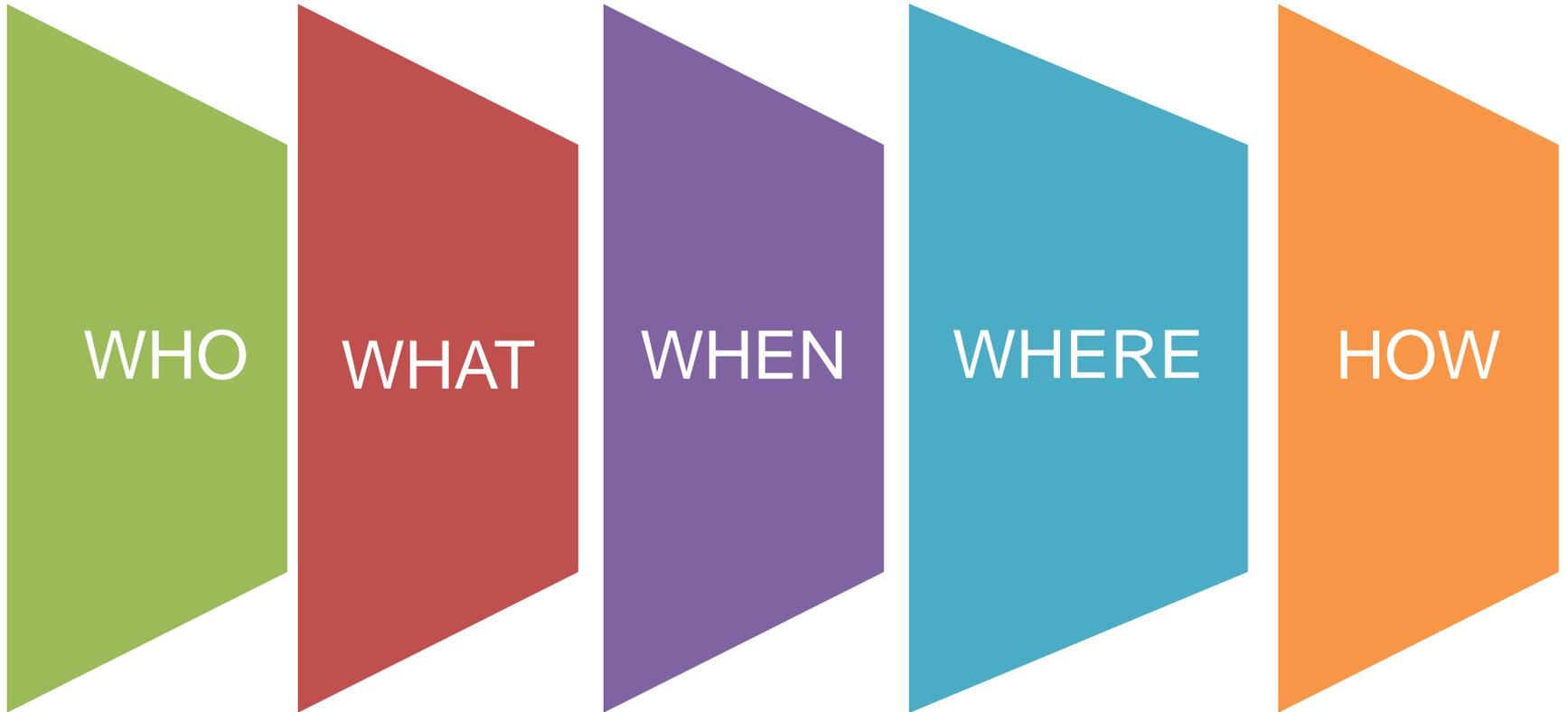
Save

Submit For Acceptance

Accept CAD

Cancel

Review of Corrective Action



Serious Deficiency Process

Corrective action
submitted and
accepted

Serious
Deficiency
determination is
temporarily
deferred

Sponsor
continues
program
participation

Serious Deficiency Process

Inadequate or
no corrective
action submitted

State sends
Proposed
Termination
Notice

Sponsor
submits
timely appeal

Serious Deficiency Termination



If sponsor wins appeal,
determination is deferred

If state wins appeal,
sponsor is terminated

Closure

Review Closure
Letter sent via
email



ACTIVITY



Inadequate Corrective Action Plan

FINDING: Sponsor did not accurately report meal counts on the monthly claim.

REQUIRED CORRECTIVE ACTION: Provide documentation indicating the procedures that will be used to ensure that meal counts will be accurately reported on monthly claim and supported by daily attendance records each month.

SPONSOR CORRECTIVE ACTION PLAN: After the review, the center has a better understanding on how to correctly do the meal counts.

Corrective Action Activity

Finding

- All income eligibility applications were not complete or valid and were inaccurately claimed as free or reduced.

Corrective Action Activity

Required Corrective Action

- Provide documentation indicating procedures that will be used to ensure that all income eligibility applications will be complete and valid. Send to the State Agency a copy of income forms for any child claimed in October as free or reduced. Submit copy of completed Master List for October 2019.

Corrective Action Activity

Sponsor Corrective Action Plan

- On Sept. 16, the administrator trained the director on procedures to complete and categorize income forms. Beginning with the October claim, the director examines each income form to verify they are complete and valid. An income guideline chart is used to categorize income. The director will complete the master list. Administrator will double check forms and master list for accuracy. All forms are kept in a locked office file cabinet. Requested forms and master list submitted on October 8.

Questions?



education.ohio.gov

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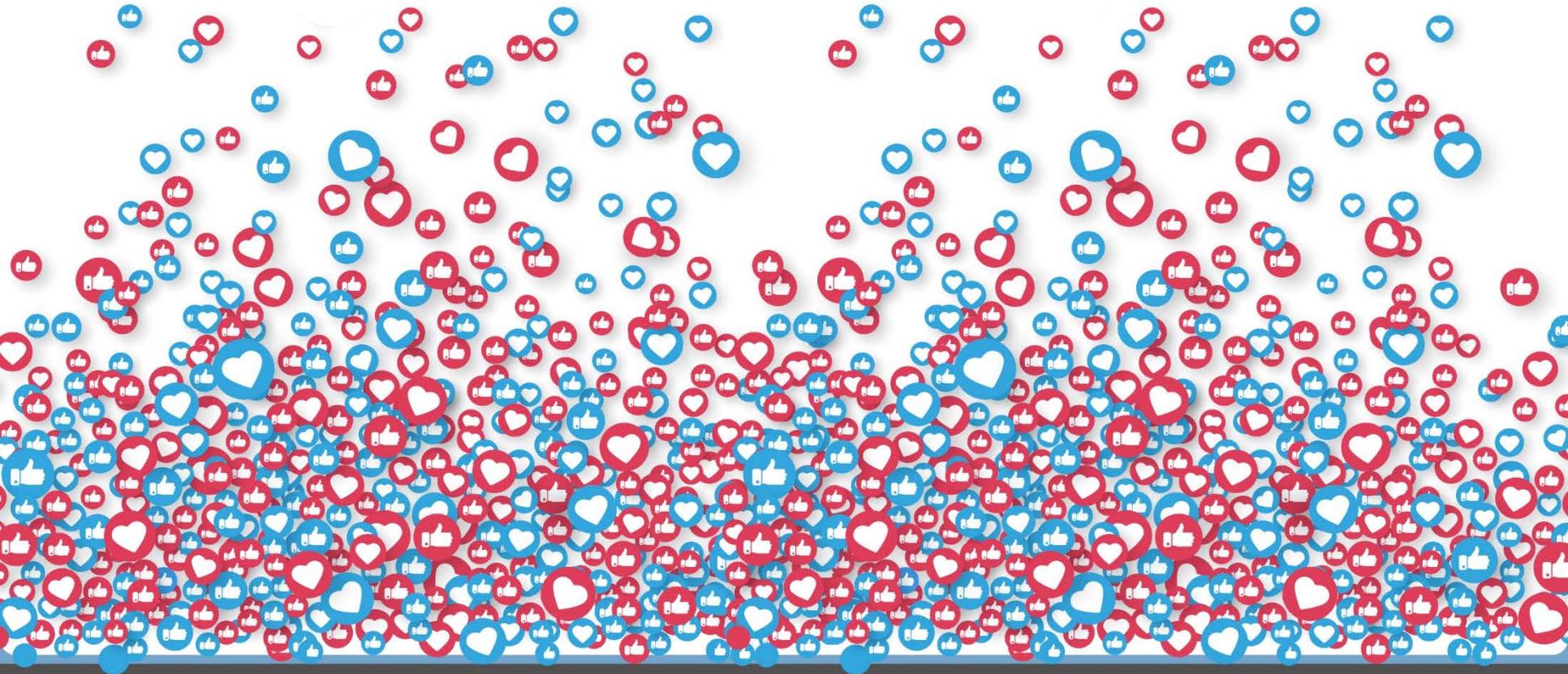
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