

What to Expect:

Family Day Care Home Administrative Review



Health and Nutrition Services
Arizona Department of Education





Disclaimer

This training was developed by the Arizona Department of Education (ADE) Health and Nutrition Services Division (HNS). The content in this training is intended for professionals operating one or more USDA Child Nutrition Programs in Arizona under the direction of ADE. The information in this training is subject to change. Attendees are encouraged to access professional development materials directly from the training library to prevent use of outdated content.

Intended Audience

This training is intended for all Family Day Care Home (FDCH) sponsors operating the Child and Adult Care Food Program (CACFP) receiving an Administrative Review (AR). All regulations are specific to operating the CACFP under the direction of ADE.

Objectives

At the end of this training, attendees will:

- understand the State agency monitoring requirements for entities operating the Child and Adult Care Food Program;
- increase awareness of the review process;
- identify documents to be submitted during the review; and
- understand potential review outcomes and what to expect after the review.

TRAINING HOURS

A training certificate will be available at the end of this course.

Training Title: What to Expect:
Family Day Care Home
Administrative Review

Key Area: N/A

Learning Code: N/A

Length: 30 Minutes

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WHAT TO EXPECT:
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Section One: State Agency Monitoring Requirements



Intent of the Administrative Review

The administrative review is set in place to ensure program compliance and for State agencies to provide technical assistance.

The intent of the administrative review is to:

- determine if program requirements are being met;
- provide technical assistance specific to the sponsoring entity;
- help sponsoring 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).



Administrative Review

The administrative review is an assessment of compliance with Federal and state regulations. ADE must conduct administrative reviews once every three years for sponsoring organizations with 1–100 providers and once every two years for sponsoring organizations with more than 100 providers.

Minimum Number of Providers to Review

The administrative review must include a percentage of provider reviews. The State agency will conduct both an off-site documentation review as well as an on-site meal observation for selected providers. Sponsoring organizations with more than 100 providers will receive a review for 5% of their current active providers. sponsoring organizations with less than 100 providers will receive a review for 10% of their current active providers.

NUMBER OF ACTIVE PROVIDERS	% TO BE REVIEWED	MINIMUM NIMBER OF PROVIDERS REVIEWED
90	10%	9
306	5%	16
87	10%	9
103	5%	6

Scheduling the Administrative Review

The CACFP operates under the Program Year (PY), October- September. ADE will schedule in-person administrative reviews during the months of January through September for organizations that are up for review for the PY.

Typical months of CACFP reviews during the PY.

October
November
December

January
February
March
April
May
June
July
August
September

Review Correspondence



Initial Announcement:

Organizations scheduled to receive an administrative review will receive an email from their reviewer notifying them of the upcoming review. The email will provide the Confirmation Memo & Checklists and include the date(s) of the on-site visit(s).



Administrative Review Summary and Report:

Within 30 days of the exit conference, the State agency will issue a written notification of review findings, known as the Administrative Review Summary and Report, to the Sponsor Representative (as reported in CNPWeb).



Close-Out Memorandum:

Once sufficient corrective action is received by the reviewer, a notification indicating the review is complete will be emailed to the Sponsor Representative.

Quiz Time

True or False: All sponsoring organizations receiving an administrative review will be notified of the date their review will be conducted.

A True

B False



Quiz Time

True or False: All sponsoring organizations receiving an administrative review will be notified of the date their review will be conducted.

A True

B False

Sponsoring organizations receiving an administrative review will be notified of their upcoming administrative review for the current program year. The notification will include the date of when the administrative review will be conducted.



Scope of the Administrative Review

The administrative review will focus on the accountability requirements in the areas of:

- Provider Files
- Enrollment and Attendance
- Meal Counting and Claiming
- Menus and Supporting Documentation
- Safety and Sanitation
- Sponsor Budget
- Home Monitoring and Provider Training
- Civil Rights
- Procurement
- Serious Deficiency Process



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Section Two: The Administrative Review Process



Requirements of the Review

TO CONDUCT AN ADMINISTRATIVE REVIEW, THE STATE AGENCY MUST:

- gather and review off-site documentation and/or on-site; and
- observe meal service on-site at selected providers' homes.



Assigned Reviewer

HNS has a team of reviewers that conduct all Child Nutrition Program reviews. Sponsoring organizations will be assigned one HNS Reviewer to conduct the entirety of the review.

Sponsoring organizations can expect to be in constant contact with their assigned HNS Reviewer throughout the entire review process.



Notification of the Scheduled Review

At least four weeks prior to the on-site review, the HNS Reviewer will notify the organization via email that the review has been scheduled. At this time, the HNS Reviewer will provide the Confirmation Memo & Checklists.

- The Confirmation Memo & Checklists outlines the details of the administrative review and lists documentation required to be submitted to the HNS Reviewer by the communicated deadlines, as well as documentation required to be provided to the HNS Reviewer on the day of the review.



Confirmation Memo

The intent of the Confirmation Memo is to indicate which provider(s) will be reviewed and the timeframe in which the review will occur. Included with 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 & Checklists to the Sponsor Representative 4 weeks prior to the on-site review.



Health & Nutrition Services Division

[DATE]

[SPONSOR REPRESENTATIVE NAME & TITLE]
[RECORD KEEPER NAME & TITLE]
[SPONSOR NAME]
[SPONSOR MAILING ADDRESS]
[CITY, STATE, ZIP]

Dear [SPONSOR REPRESENTATIVE & RECORD KEEPER NAMES]:

Per our previous communication, [SPONSOR NAME] is required to partake in an Administrative Review of the Child and Adult Care Food Program (CACFP) and At-Risk Afterschool Meals during the 2022 program year. This review is announced and will be conducted on [DATE SELECTED FOR REVIEW] for the month of [MONTH OF REVIEW]. The site(s) selected for the Administrative Review is/are: [SITE(S) SELECTED FOR REVIEW].

The Administrative Review assesses compliance with Federal and state regulations in areas such as meal counting and claiming, meal pattern, purchasing, and civil rights in order to confirm that the Federal funding received is being used effectively. Additionally, the Administrative Review provides an environment for the State agency to provide Sponsor-specific technical assistance.

Please review all enclosed documents:

- **Required Phase 1 Documentation** checklist outlines the materials that should be organized and sent by [DATE WITHIN MONTH PRIOR TO ON-SITE].
- **Required Phase 2 Documentation** checklist outlines the materials that should be organized and readily available on [DATE OF REVIEW].
- **Previous CA Letter** from Program Year [PROGRAM YEAR OF PREVIOUS AR].

As a reminder, the Arizona Department of Education, Health and Nutrition Services Division offers training opportunities throughout the year. A web-based training overviewing what to expect of your administrative review will be made available on ADE's website at <https://www.azed.gov/hns/covid19>, under the accordion Reviews Conducted by the State Agency.

If you have any questions regarding the review, please contact me at [REVIEWER'S PHONE #] and/or [REVIEWER'S EMAIL ADDRESS].

Sincerely,

[REVIEWER'S NAME AND TITLE]
Health and Nutrition Services Division

Confirmation
Memo

Administrative Review Checklist

Administrative Review Overview

ONCE THE HNS REVIEWER HAS PROVIDED THE CONFIRMATION MEMO & CHECKLISTS TO THE SPONSORING ORGANIZATION, THE FOLLOWING WILL OCCUR:

- The logistics of the visit will be discussed, including when selected providers will receive an on-site meal observation
- The sponsoring organization will compile and provide documentation by the communicated deadlines
- The HNS Reviewer will notify the Sponsor Representative if additional documentation will be needed at the time of the on-site review

On the day(s) of the on-site administrative review, an entrance conference and an exit conference will be conducted.

Within 30 days of the exit conference, the sponsoring organization will receive an Administrative Review Summary and Report.

Off-Site Documentation Review

ADE will evaluate FDCH records from one selected month*. All requested records must be submitted to ADE by the stated deadline through email, physical mail, or ADE's Secure File Transfer System (Biscom). The absence of records will result in findings and, if applicable, the disallowance of meals.

PLEASE NOTE...

An additional month of documentation will be required if noncompliance is observed in the areas of meal counting and claiming, meal pattern compliance, and/or sponsoring organization budget.

Compile and Send Review Documents

Sponsoring organizations are required to submit the items listed on the Off-Site Provider Documentation and Off-Site Sponsor Documentation checklists by the communicated deadlines.

- It is recommended that documentation be separated by provider.

Once documentation is submitted, the HNS Reviewer will begin the off-site portion of the review and will contact the sponsoring organization if any additional documentation or clarifications are needed prior to the day of review.



On-Site Review

Prior to the on-site administrative review, the HNS Reviewer will discuss specific timeframes for the on-site portion of the review.

The HNS Reviewer will work with the Sponsor Representative to confirm the location and time for conducting the entrance and exit conferences.



Entrance Conference

Typically, an entrance conference will occur prior to the on-site provider visits. The entrance conference gives the organization and HNS Reviewer the opportunity for introductions, an overview of the on-site review agenda, and a discussion of documents that must be gathered.

At a minimum, a representative of the organization is required to participate in the entrance conference; however, it is encouraged to include the Program Director and any individuals who are directly involved with the sponsoring organization's operation.



On-Site Meal Observation(s)

HNS Reviewer(s) will be conducting on-site provider home visits that include a meal observation. Providers are required to have the On-Site Provider Documentation checklist items available at the time of the on-site observation.



Provider Attestation Form

Each provider selected for an on-site observation will be given an attestation form. The form will be filled out by the HNS administrative reviewer and a carbon copy will be left with the provider.

The form will note compliance or non-compliance observed on site. (This may include a finding on required postings, enrollment and attendance, 5-day reconciliation, meal pattern, infants, safety and sanitation, recordkeeping, etc.).

The form will be signed and dated by both the HNS Reviewer and the provider.

Observed Meal Service

Requirement	Compliant	Non-Compliant	Not Applicable
Meal components			
Minimum quantities			
Milk type			
Reimbursable meals			
Menu modifications			
Water availability			
Deep-fat fried foods			
Grain-based desserts			
Sugar limits			
Vegetable-for-fruit substitution			
Labels & recipes			

Infants

Requirement
Infant meal pattern
Infant milk type

Day of Review Meal Counts

Requirement	Compliant	Non-Compliant	Not Applicable
Meal counts			
Infant counts			
Meals claimed			
Approved mealtimes			

Observed Menu

Meat/Meat Alternate
Grain
Vegetable
Fruit/Vegetable
Fluid Milk
Extra

Day Care Home Provider Attestation Form

Provider Name: _____

Date/Time: _____ Observed Meal Service: _____

Required Postings/Distribution

Requirement	Compliant	Non-Compliant	Not Applicable
WIC flyer			
Building for the Future flyer			
Menu availability			

Day of Review Enrollment & Attendance

Requirement	Compliant	Non-Compliant	Not Applicable
Adult-to-child ratio			
Sign-in/out sheets			
Enrollment forms			
Meal Income Eligibility Forms (for Provider's Own)			

5-Day Reconciliation

Requirement	Compliant	Non-Compliant	Not Applicable
5-Day Reconciliation			

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Exit Conference

The exit conference will occur at the conclusion of the on-site provider visit(s). It will be more comprehensive 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, a representative of the organization is required to participate in the exit conference; however, it is encouraged to include Program Director, Chief Financial Officer, and/or any individuals who are directly involved with the FDCH sponsoring operation.



Administrative Review Summary Report

The Administrative Review Summary and Report is a written summary and report of any review findings, technical assistance, required corrective action, and fiscal action (if applicable) provided to the Sponsor Representative by the HNS Reviewer.

Within 30 days of the exit conference, the reviewer will send the Administrative Review Summary and Report to the Sponsor Representative via email.



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Section Three: Responding to Review Findings



Responding to the Administrative Review Summary and Report

The Designated Official must review the Administrative Review Summary and 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.



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 and 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.



Fiscal Action

Some areas of the administrative review are tied to reimbursement funds and, therefore, will result in fiscal action calculations. Specifically, findings in the areas of meal counting and claiming and meal pattern will contribute toward fiscal action calculations.



Assessing Fiscal Action

Fiscal action is calculated for the entire administrative review by combining the fiscal action of all the review findings. If fiscal action during the administrative review exceeded \$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 administrative review, this means ADE would recover a total of \$700 from the organization.

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

Fiscal Action Disregard

If the total sum of CACFP fiscal action is less than \$600, it is disregarded, and the funds are not recovered.

FOR EXAMPLE...

If if \$100 of fiscal action was calculated for a missing component and \$300 of fiscal action was assessed for incomplete eligibility, ADE will disregard the total \$400 fiscal action.

Quiz Time

Is the administrative review closed the day of the on-site visit?

- A** Yes, you will never discuss the administrative review 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 actions are received and the Close-Out Memo is issued by the HNS Reviewer.



Quiz Time

Is the administrative review closed the day of the on-site visit?

- A** Yes, you will never discuss the administrative review 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 actions 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 once the review is complete. The review is not considered “closed” until the Close-Out Memo is issued.



Quiz Time

Failure to comply with program requirements or failure to implement required corrective action assigned after the administrative review will result in the sponsoring organization being declared Seriously Deficient (SD).

A True

B False



Quiz Time

Failure to comply with program requirements or failure to implement required corrective action assigned after the administrative review will result in the sponsoring organization being declared Seriously Deficient (SD).

A True

B False

Any findings violating compliance with program requirements must be resolved and sufficient corrective action must be submitted by the due date provided by the HNS Reviewer, or the sponsoring organization will be declared SD.





Congratulations

**You have completed the Online Course:
What to Expect: Family Day Care Home
Administrative Review**

**To request a certificate, please go to the next
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**Training Title: What to Expect: Family Day Care
Home Administrative Review
Length: 30 minutes**

Please note, attendees must document the amount of training hours indicated on the training despite the amount of time it takes to complete it.

Certificate

Requesting a training certificate:
Please click the button to
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The information below is for your reference when completing the survey:

- **Training Title: What to Expect: Family Day Care Home Administrative Review**
- **Length: 30 minutes**

Please note, attendees must document the amount of training hours indicated on the training despite the amount of time it takes to complete it.





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