

CACFP ESSENTIALS SERIES

Administration Essentials: Part 6

Monitoring Requirements for Multi-Site CACFP Sponsors



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are encouraged to access professional development materials directly from the training library to prevent use of outdated content.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 **organizations operating the Child and Adult Care Food Program (CACFP)**.



This training is required for all new organizations operating more than one site who will be applying to participate in the CACFP.

Objectives

At the end of this training, attendees should be able to:

- identify what qualifies as a multi-site institution and successfully comply with monitoring requirements; and,
- locate online resources to efficiently administer and operate the CACFP at multiple sites.

TRAINING HOURS

Information to include when documenting this training for Continuing Education and Training Credit:

Training Title: Monitoring Requirements for Multi-Site CACFP Sponsors

Hours of Instruction: 0.25 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.

Quiz Time



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.

The question mark icon below will indicate a comprehension quiz question.



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Defining a Multi-Site Institution

SECTION 1



Multi-Site Institution

REQUIREMENTS FOR MULTI-SITE INSTITUTIONS

To ensure adherence to monitoring requirements, multi-site operations must uphold the following:

- A monitoring schedule
- A 5-day reconciliation process
- A monitoring policy

Furthermore, it is essential to establish a recordkeeping policy that clearly outlines the locations where records from each site are stored.

By adopting these practices, multi-site operations can foster a streamlined approach that promotes transparency, accountability, and compliance throughout all locations.

Multi-Site Monitoring Requirements



SECTION 2

Monitoring Requirements

MONITORING SCHEDULE

When developing a monitoring schedule, you'll want to consider the following:

- All multi-site operations must complete three monitoring visits per program year (October 1 - September 30) at each site.
- If a site participates under both At-Risk and the Summer Food Service Program (SFSP), only three visits are required (ex., two visits at the At-Risk site and one visit at the SFSP site).
- Two of the three visits must be unannounced (at least one must include a meal observation; however, best practice is to review meal service at all visits).
 - If a serious deficiency is identified, the next visit must be unannounced.

Monitoring Requirements

ADDING A NEW SITE

When adding a new site, a pre-approval visit must be conducted to ensure the site can adequately operate CACFP.

- A 5-day reconciliation is not required at this visit.

New sites are required to conduct at least one site visit during the first four weeks of Program operations to correct any findings identified during the pre-approval.

- Must conduct a 5-day reconciliation



Date of Visit:
Date of Previous Visit:

Monitoring Visit Form

Sponsoring Organization Name/Address:		Site Name/Address:	
CTD#:	Site Telephone #:		
Monitor Name:	Job Title:		
Person Interviewed at Site:	Job Title:		
Type of Monitoring Visit			
Multi-Site Sponsors are required to conduct at least three visits every year at each site, with no more than six months elapsing between monitoring visits. At least two of the three visits must be unannounced and one of the unannounced visits must include a meal observation.			
☐ Announced ☐ Unannounced ☐ Pre-approval/New Site ☐ First Week/28-day/Initial Review			
☐ First Visit ☐ Second Visit ☐ Third Visit ☐ Fourth Visit (if using averaging)			
Required Postings			
☐ Facility License Capacity: _____ Exp: _____	☐ Current WIC Information N/A for at-risk, emergency shelters & adult day centers	☐ Building for the Future with Current CACFP Official Contact Information	☐ And Justice for All Must be 11X17 inches ☐ Menu ☐ Kitchen Permit Exp: _____ ☐ N/A
Enrollment			
Emergency Shelters: Is a list of participants maintained and does it contain the name, date of birth, and dates of residency confirming free eligibility?			
Head Starts: Is a list of participants maintained to confirm free eligibility, based on Head Start or Early Head Start qualifications and does it contain a Head Start official's signature?			
Centers: Based on 10% of enrolled participants, are income applications complete and current for participants claimed in the Free or Reduced-Price categories?			
Centers: Are participants without income eligibility forms or with incomplete income eligibility forms on the paid roster?			
Centers and Head Starts: Based on 10% of enrolled participants, are enrollment forms on file updated at least annually?			
Observed Meal Service			
Meal Observed: ☐ Breakfast ☐ AM Snack ☐ Lunch ☐ PM Snack ☐ Supper ☐ Evening Snack			
Meal Service Start Time: _____ End Time: _____			
Does the time of the meal or snack correspond with the approved mealtime listed on the CACFP Site Application? ☐ Yes ☐ No			
If observing lunch or supper, is the institution following at least one of the family style meal DHS requirements? ☐ Yes ☐ No ☐ N/A			
If yes, which one(s)? ☐ Food served from a serving container on table ☐ Children serve themselves or with help of a staff member			
☐ Children pass serving containers ☐ Staff member sits and eats lunch and/or dinner with the children			
Food Items Served to Participants			
	12-23 Months	24 Months and Up	Posted Menu
Milk (Indicate Type)			
Meat/Meat Alternate			
Grain			
Vegetable			
Fruit/Vegetable			
Extras(s)			

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Monitoring Visit Form

Monitoring Requirements

TIMING OF MONITORING VISITS

When planning the schedule for the three monitoring visits throughout the program year, keep these two important points in mind:

- No more than six months should pass between visits.
- Visits need to be diverse and unexpected.

Quiz Time

A third and final monitoring visit for the previous Program Year took place in April. We are planning to conduct visits for the current Program Year in December, April, and July. Is this permissible?

A Yes

B No



Quiz Time

A third and final monitoring visit for the previous Program Year took place in April. We are planning to conduct visits for the current Program Year in December, April, and July. Is this permissible?

A Yes

B No

No, this would not be permissible. No more than six months should pass between visits. A total of eight months will have passed from April of last year to December of this year. To stay within six months of the April visit, an initial visit during this program year must take place in October.



Quiz Time

A final monitoring visit for the previous Program Year was conducted in August. We are scheduled to carry out visits for the current Program Year in October, January, and March. Is this allowed?

A Yes

B No



Quiz Time

A final monitoring visit for the previous Program Year was conducted in August. We are scheduled to carry out visits for the current Program Year in October, January, and March. Is this allowed?

A Yes

B No

No. Over six months will elapse between the last visit in March and the earliest possible visit in October of the following Program Year. Shifting the March visit to May will allow visits in both October and November and remain in compliance.



Quiz Time

I regularly carry out my monitoring visits every four months; does this keep me in compliance?

A Yes

B No



Quiz Time

I regularly carry out my monitoring visits every four months; does this keep me in compliance?

A Yes

B No

No. Visits need to be diverse and unexpected. The schedule lacks variety and is overly predictable.



5-Day Reconciliation

PROCESS

The 5-Day Reconciliation Process involves reviewing five consecutive operating days and comparing meal counts to attendance figures to verify that attendance sheets support the meals recorded. Meals should only be recorded for present participants, meaning the total number of meals served must not exceed the attendance figures or the licensed capacity.

Each monitoring visit must include a 5-Day Reconciliation. A designated table has been incorporated into the form to minimize the chance of oversight.

For all site types, except for at-risk programs, you may conduct a 10% sample of the total enrolled participants. It's essential to select participants from each room to ensure that all teachers accurately record meal counts only when participants are present.



Date of Visit: _____
Date of Previous Visit: _____

Monitoring Visit Form

Sponsoring Organization Name/Address:		Site Name/Address:									
CTD#:		Site Telephone #:									
Monitor Name:		Job Title:									
Person Interviewed at Site:		Job Title:									
Type of Monitoring Visit											
Multi-Site Sponsors are required to conduct at least three visits every year at each site, with no more than six months elapsing between monitoring visits. At least two of the three visits must be unannounced and one of the unannounced visits must include a meal observation.											
☐ Announced ☐ Unannounced ☐ Pre-approval/New Site ☐ First Week/28-day/Initial Review											
☐ First Visit ☐ Second Visit ☐ Third Visit ☐ Fourth Visit (if using averaging)											
Required Postings											
☐ Facility License Capacity: _____ Exp: _____	☐ Current WIC Information N/A for at-risk, emergency shelters & adult day centers	☐ Building for the Future with Current CACFP Official Contact Information	☐ And Justice for All Must be 11X17 inches Exp: _____ ☐ N/A								
Enrollment											
Emergency Shelters: Is a list of participants maintained and does it contain the name, date of birth, and dates of residency confirming free eligibility?											
Head Starts: Is a list of participants maintained to confirm free eligibility, based on Head Start or Early Head Start qualifications and does it contain a Head Start official's signature?											
Centers: Based on 10% of enrolled participants, are income applications complete and current for participants claimed in the Free or Reduced-Price categories?											
Centers: Are participants without income eligibility forms or with incomplete income eligibility forms on the paid roster?											
Centers and Head Starts: Based on 10% of enrolled participants, are enrollment forms on file updated at least annually?											
Observed Meal Service											
5-Day Reconciliation											
Instructions: To conduct a 5-day reconciliation, you will compare meal counts to attendance to verify are meals are only being claimed for based on 10% of total enrolled participants.											
1. Collect Point of Service Meal Count Sheets for five consecutive operating days during the current month.											
2. Select 10% of total enrolled participants from varying classrooms (i.e. 100 total enrolled, 10% of 100 is 10, select 10 participants).											
3. Collect sign-in and out sheets for the selected participants.											
4. Input the dates being evaluated and approved meal service times in the chart below.											
5. Then, based on participants selected, complete the chart by inputting the total number of participants claimed, or marked on the POS meal count sheet, and the total number of participants signed-in during the approved meal service times each day.											
Meals should only be claimed for participants that were present during the approved meal time. Meals should not be claimed if the participant was not signed in during or was signed out less than 10 minutes after the approved meal service start time.											
Total Enrolled (based on most recent site claim):		10% of Total Enrolled:									
		1 Day Before		2 Days Before		3 Days Before		4 Days Before		5 Days Before	
Date:		Date:		Date:		Date:		Date:		Date:	
Claimed Signed-In		Claimed Signed-In		Claimed Signed-In		Claimed Signed-In		Claimed Signed-In		Claimed Signed-In	
October 2023	Approved Meal Service Time										
	Breakfast										
	AM Snack										
	Lunch										
	PM Snack										
	Dinner										
	Eve Snack										
Are there any discrepancies between the numbers claimed and the numbers in attendance? ☐ Yes ☐ No											
If yes, assess sign-in/out and point of service meal count processes. Assign corrective action to resolve the issue.											

[Monitoring Visit Form](#)

[At-Risk Monitoring Form](#)

5-Day Reconciliation

AT-RISK SITES

At-risk afterschool meals are typically tracked using a daily meal count sheet whenever a participant takes a reimbursable meal. However, since these counts are not always recorded by individual participants, it becomes challenging to correlate specific counts with participant attendance.

In this scenario, examining just 10% of the data would not provide sufficient insight to identify any issues.



5-Day Reconciliation

AT-RISK SITES

- To review a site, pull meal count sheets for 5 consecutive days (e.g., from 6/4 to 6/10).
- Track attendance using logs or sign-in sheets; for instance, 115 children attended on 6/10 and 6/9. Compare attendance with meal counts to identify discrepancies.
- If meals exceed attendance, for example June 8, investigate with site staff to determine the cause and implement corrective action, which should be followed up on during the next visit.

5-Day Meal Count Reconciliation: Choose 5 consecutive operating days from the current or previous month.		
Date	Meal/Snack Counts	Attendance Total
6/10	115	115
6/9	110	115
6/8	114	113
6/5	95	95
6/4	105	110
The number of meals served during the meal observation is reflective of the meal counts for the five preceding serving days. If no, document the reason:		☒ Y ☐ N
The meal counts for one or more of the days exceeds the number of children in attendance during one or more of the five preceding serving days.		☒ Y ☐ N ☐ N/A

On 6/8 meal counts were 1 extra. Said they served a second meal. Other days, not all kids took a meal

Monitoring Policy

UNANNOUNCED REVIEW

Your unannounced review policy, which provides written notification to all your sites, informs site staff of the right for you, ADE, USDA and other officials to conduct announced or unannounced reviews. It will also state that reviewers must show photo ID.

ADE has made this notification easy for you by providing a Sample Unannounced review policy for you to customize, but you may write your own as long as it contains the required language outlined in the template.



Unannounced Review Policy

Date

Sponsor Name
Address 1
Address 2
City, State, Zip Code

RE: CACFP Site Monitoring – Unannounced Reviews

Attention All Staff,

The sponsoring organization, the Arizona Department of Education (ADE), the United States Department of Agriculture (USDA), and other State and Federal officials have the right to make announced or unannounced reviews during normal business hours. Anyone making such reviews must show a photo ID that demonstrates that they are employees of one of these agencies.

ADE is required to conduct a percentage of unannounced reviews. Federal regulations do not require advance notification. The Sponsor, _____, is required to conduct at least three visits every year at each site, with not more than six months elapsing between monitoring visits. At least two of the three visits must be unannounced and one of the unannounced visits must include a meal observation. It is best practice to observe a meal during each review. CACFP's Monitor Evaluation Form must be used.

As a reminder, please retain the following additional items onsite in your CACFP files:

Current FY completed income affidavits	Production Worksheets
Attendance Records - Claiming Rosters & Sign In/Out Sheets	Detailed job descriptions for employees with CACFP duties
Title XX attendance/billing records	Policies for collection/maintenance of CACFP records
Food Service Cost Reports (starting with 1st claim month)	Annual Civil Rights Training Records
Monthly Expense Worksheet (starting with 1st claim month)	Procedures for Complaints of Discrimination
Time Distribution Reports	Administrative Review Procedures
Point of Service Meal Count Sheets	Computer Generated Meal Count Reports
Meal Count Summary Sheets	Monitoring Records, 5-day reconciliations
Daily Meal Production Record for Infants	Training Records for Annual CACFP Staff Training
Infant Feeding Preference Form	Policies on block claiming and household parental contacts
Menus - CN labels, product analysis, medical statements	Permanent Agreement signed by ADE

Thank you,
Name
Title
Phone
Email

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Sample Unannounced Review Policy

Monitoring Requirements

MONITOR: SITE RATIO

- Regulations stipulate that for every 25 to 150 facilities, there must be at least one full-time equivalent position dedicated to monitoring.
- Your monitor should examine the files prior to the visit to identify any previously flagged issues, ensuring that corrective actions have been effectively implemented. This information must be recorded on the monitoring form.
- The monitor will carry out the visit, compile the report, and offer technical assistance regarding any findings to ensure that site staff fully understand the issues and their solutions. Additionally, the monitor will need to follow up on any corrective action assigned during the current visit.

Monitoring Requirements

WHO SHOULD CONDUCT MONITORING VISITS?

- It is recommended that the person who conducts monitoring visits is not involved in the daily operations of the CACFP. If you manage only 2-3 sites, you may opt to conduct the monitoring yourself.
- Alternatively, you could assign the director from each site to perform monitoring visits at one of the other locations. For larger organizations, having a dedicated individual responsible for CACFP compliance, including monitoring, may be beneficial.
- Regardless of who conducts the monitoring, it's essential to identify a backup person who can step in to complete visits if the primary monitor is unable to do so as scheduled.

Recordkeeping Policy

SECTION 3



Recordkeeping Policy

WHO SHOULD CONDUCT MONITORING VISITS?

- Program records should be kept for a duration of five years, unless there are unresolved audit findings.
- These records must be made accessible upon request to ADE, USDA, and other authorized agencies.
- Not maintaining records may result in the denial of reimbursement for any meals and expenses related to those records during that period.

Multi-Site Recordkeeping Policy

ADE TEMPLATE

ADE provides a recordkeeping policy template for single-site and multi-site institutions. If your recordkeeping practices differ by site, this form enables you to specify which sites the policy pertains to. Additionally, it encourages you to complete as many forms as needed to address the unique practices of each location.



Recordkeeping Policy

Recordkeeping: 7 CFR 226.10 (d), 7 CFR 226.15 (e), 7 CFR 226.16 (e); ARS §35-214, 35-215
Operators of the Child and Adult Care Food Program (CACFP) must comply with retention requirements outlined in the Code of Federal Regulation (CFR) and Arizona Revised Statutes (ARS). Furthermore, operators must have a written recordkeeping policy that describes where specific records are stored, how long records are stored, and who has access. CACFP operators are encouraged to utilize this Recordkeeping Policy template to satisfy these requirements. Please note, the information provided in this policy may be used by a State or Federal CACFP auditor.

Sponsoring Organization Name:	Sponsoring Organization Physical Address:
Sponsor Contact Name:	Sponsor Phone Number:

Certification of Understanding:
☐ By checking this box, the Sponsoring Organization named above certifies an understanding that all records must be immediately available to the Arizona Department of Education (ADE), the United States Department of Agriculture (USDA), and other State and Federal officials immediately upon request. All CACFP records must be kept for at least five years and made immediately available upon request.

Location of Forms (Multi-Site Sponsors must complete this section for each operating site):

Site Name and Address:	Primary Site Contact Name and Phone Number:
Site Representative(s) with Access to CACFP Records: If a key or password is needed to access any CACFP records, please specify who has access.	
Address of Secondary Storage Location(s) for CACFP Records: If CACFP records are removed from the site address listed above, please disclose the physical address of the location(s) in which these records will be found. This may include a storage unit, home office, administrative office, etc.	
Description of the Recordkeeping Maintenance at this Site: Briefly describe where CACFP records are stored. For example, "Enrollment records are maintained in the director's office. Records supporting meal pattern and menu compliance are maintained by kitchen staff and stored in the office area by the kitchen." If you are unsure what records are required, please connect with your assigned specialist or revisit CACFP training(s) .	

Recordkeeping Policy
Sponsors must complete one table for each operating site.

Primary Site Contact Name and Phone Number:
If a key or password is needed to access any CACFP
Records: If CACFP records are removed from the site if the location(s) in which these records will be found, office, etc.
Site: Briefly describe where CACFP records are stored, director's office. Records supporting meal pattern and menu office area by the kitchen." If you are unsure what specialist or revisit CACFP training(s) .

Primary Site Contact Name and Phone Number:
If a key or password is needed to access any CACFP
Records: If CACFP records are removed from the site if the location(s) in which these records will be found, office, etc.
Site: Briefly describe where CACFP records are stored, director's office. Records supporting meal pattern and menu office area by the kitchen." If you are unsure what specialist or revisit CACFP training(s) .

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CONTACT US

If you have a question or require additional assistance, please contact your assigned specialist or contact HNS.



602-542-8700



ContactHNS@azed.gov



www.azed.gov/hns





Congratulations

You have completed the training: Monitoring Requirements for Multi-Site CACFP Sponsors

ADHS Empower Program

This training counts toward Empower Program training requirements.

Arizona Early Childhood Workforce Registry

This training is listed on the Arizona Early Childhood Workforce Registry. If you want this training to appear on your registry transcript, please provide your Workforce Registry ID when completing the survey.

Certificate

Requesting a training certificate

Please click the button 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.



Training Title: Monitoring Requirements for Multi-Site CACFP Sponsors

Length: 0.25 Hour

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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1. **Mail:** U.S. Department of Agriculture, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, SW, Mail Stop 9410, Washington, D.C. 20250-9410;
2. **Fax:** (202) 690-7442; or
3. **Email:** program.intake@usda.gov.

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