



POLICIES & PROCEDURES

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PROVIDER APPROVALS & PROVIDER REVISIONS POLICY

1. Request for new provider approvals

- a. Complete sign-ups will be entered on the ESE web portal upon approval and then sent to the Mass Department of Elementary & Secondary Education Nutrition Program & Services twice a month, approximately on the 15th and the last day of every month
- b. All sign-ups will be reviewed by the Office Manager to ensure all information has been filled out correctly and that the license is valid.
- c. Census data will be checked on each sign up to see if they qualify for Tier 1. If they do not qualify, their address will be checked for school area qualification. If the provider does not qualify for either census or school, she will be given the meal benefits form with instructions as part of the sign-up packet. Any provider that submits their meal benefit form with the required documentation will be given to the Office Manager in charge of Tiering. (see Tier Status Determination)

2. Organization Management

- a. Provider records such as site sheet, permanent agreement and current license will be placed in the License & Permanent Agreement Binder alphabetically.
- b. Provider records such as Annual Enrollment Update, CACFP Program Sign Up Verification, new enrollments, trainings, termination letters and any notes from the provider will be placed in their office file. At the end of the year files will be boxed and placed in storage for a total of 3 years plus the year we are currently in.
- c. Provider's scanned menus will be placed in a box each month and placed in storage for a period of 3 years plus the year we are currently in.

3. Provider Standard Administration and Operations

- a. Providers will be given a manual and this Policies & Procedures manual upon joining the program
- b. Any new regulations or changes to the program will be given out as an addendum to the manual or Policies & Procedures. These will be handed out and reviewed with the provider during their home visit and any questions will be answered.

4. Instructions Guidance

- a. All information submitted on the letters to Mass Department of Elementary & Secondary Education Nutrition Program & Services monthly will be reviewed at the end of the month to verify that the information in our computer system matches.

EXTENDED HOURS OF CARE POLICY

1. Providers can apply for double sessions, evening snack, or weekend care by filling out the Extended Hours form and showing a need for the request if they are extending their child care hours. A copy of the new license must be submitted showing approval for “Non-Traditional Hours”.
2. The Office Manager will be assigned to review their request. He/she will check that there are enrollments to verify that the provider has children enrolled during the time frame of extended care.
3. The Office Manager will send a letter to the provider verifying that they have been approved with the names of the children approved for the extended meal.
4. If the Office Manager cannot prove a need, a letter of denial will be mailed to the provider.
5. All extended-hours request forms, approval and denial letters will all be kept in the Extended Care Approval Binder.
6. Providers that are approved for extended hours will receive an additional unannounced monitoring review, totaling 4 during the fiscal year.
7. Two of the unannounced visits must be during the extended hours.
8. A Provider working more than 12 hours is required to have an assistant and a copy of the assistant’s license must be on file in the main office.



PROVIDER AGREEMENTS & PRE-APPROVAL TRAINING POLICY

1. New sign-ups

- a. Any provider that contacts the office or is contacted by us from the EEC list, and is not on any other food program, who wishes to join the program will be asked if she /he currently have non-residential children enrolled (signed up to start) in his/her program.
- b. If a provider has non-residential children enrolled an appointment will be made.
- c. If a provider does not have children enrolled then his/her name will be placed on a waiting list and will be called on a monthly basis.
- d. At the set appointed time, a staff member will meet with the provider and review and explain the program including but not limited to these details:
 - i. What is the CACFP
 - ii. Food requirements that meet the meal patterns for reimbursement.
 - iii. How to record their attendance daily
 - iv. How to enroll a child including what information is required if the child is an infant or school age.
 - v. How to fill out menus.
 - vi. How to submit your menus.
 - vii. Deadlines for submitting your menus.
 - viii. When you receive your error report and you believe the office has made a mistake on your reimbursement, what do you do?
 - ix. Tiering options.
 - x. Extended hours of care.
 - xi. What we expect from the provider when we do a home review.
 - xii. The minimum number of reviews required
 - xiii. Annual Training requirements.
 - xiv. Reviewing the Permanent Agreement and Rights and Responsibilities line by line with the provider and answering any concerns or questions he/she might have.
- e. The home monitor will fill out all the required paperwork with the provider if he/she decides to join the food program, including asking the provider for a copy of their childcare license.

- f. Prior to completing and signing a permanent agreement with the Sponsor, a new family child care provider must receive a pre-approval monitoring review and pre-approval training, for not less than 90 minutes, covering all aspects of CACFP participation requirements.
- g. The provider will be given a binder with Provider Resources, Inc. manual, PRI's Policy and Procedures and the blue "Building for the Future Poster" to display. Also "Building for the Future" fliers, WIC, and CACFP meal pattern packets for the provider to give to her child care parents.
- h. If a new provider does not submit her menus for 3 months in a row, the home monitor will do another 90 minute training visit.
- i. If a provider has only 1 non-residential child enrolled at the time of the sign up that terminates shortly after starting, Provider Resources, Inc. will do a 90 minute training with the provider if he/she goes 3 months without claiming or the provider will be terminated.
- j. A provider who re-contracts with us after 12 months of termination will receive a 90-minute pre-approval training.
- k. All new sign-ups will receive a monitoring review within the first 4 weeks of CACFP participation.

2. Organization Management

- a. Provider Resources Inc. will submit the following to the Mass Department of Elementary & Secondary Education Nutrition Program & Services:
 - i. The white and yellow copy of the site sheet,
 - ii. The Permanent Agreement
 - iii. The CACFP sign up verification form for any provider signed up during that month.
- b. Once the provider has been issued a site agreement number, Provider Resources, Inc. will place its copy of the provider's site sheet and permanent agreement in the License & Permanent Agreement Binder with their current license or voucher for Informal Care
- c. Prior to signing up the provider, Provider Resources, Inc. will provide a 90 minute training (with handouts) and conduct a pre-approval home review.

LICENSING AND INFORMAL CHILD CARE POLICY

1. All child care licenses are kept in a plastic sleeve in the License & Permanent Agreement Binder.
2. Any provider required to have an assistant must send a copy of all their assistants' licenses and certificates. These will be entered in the computer and filed with the provider's license.
3. Any of ICC providers whose voucher is expiring needs to submit a copy of their new voucher in order to keep claiming.
4. All providers with changes in their license have 5 days from receipt of their new license to submit a copy to the main office.
5. All licenses that have been renewed or changed for capacity, name, or address will have that information submitted to Mass Department of Elementary & Secondary Education Nutrition Program & Services.
6. A provider with a capacity increase will not go into effect unless that license is received and the info sent to Mass Department of Elementary & Secondary Education Nutrition Program & Services during the present month.
7. Any provider that cannot show he/she is in the process of renewal (or if he/she cannot provide a new voucher in the case of an ICC provider) will be placed on hold and a claim will not be processed past the expiration date. After 3 months the provider will be terminated if a license, EEC letter or voucher has not been received.
8. When out on visits, Home reviewers are to make sure the licenses are posted, including those for any assistants, and that the information matches what is in our computer.
9. A copy of the assistant's license needs to be submitted to the office every time a change is made to the license. During the home review any home licensed for 10 will require recording the license information for all assistants.

TIER STATUS DETERMINATION POLICY

1. All new and transferring providers to the Program.
 - a. When a staff person is doing a pre-training and sign up, they are to explain the three ways a provider may qualify for Tier 1. The staff person will leave with the provider the meal benefit form and directions along with the contact person's name and number at the main office if they may have any question.
 - b. When a new provider signs up with Provider Resources, Inc. it is the responsibility of the staff person in charge of compiling the letter to the Mass Department of Elementary & Secondary Education Nutrition Program & Services to check the census data website to see if he/she qualifies for Tier 1 by census data.
 - c. If a provider's address shows it is at 50% or higher (185% Poverty under 13) for the tier section for Tier 1 census on the site agreement will be completed. A copy of the census map for the provider will be made and put into the Tiering file cabinet.
 - d. If a provider does not qualify for Tier 1 by census data, they will proceed with the School listing to see if they qualify by School area.
 - e. If they do, they will complete the tier section on the sign up for Tier 1 School and will make a copy of the school listing for the provider's file in the Tiering file cabinet.
 - f.
 - g.
 - h. If the provider does not qualify for census or school, the office will check with the office manager assigned to handle Tier 1 income eligibilities to see if this provider has sent in any paperwork for income qualification. If the provider has not, the office manager will classify the provider as Tier 2 on the sign up. If he/she does qualify for Tier 1 based on income that will be checked off on her site agreement form. If the provider is Tier 2, he/she may then request Income Eligibility packets for all enrolled children. The provider will then distribute the packets to the families in her care.
 - i. All new providers will receive notification of their Tier status through the mail.
2. Existing provider
 - a. Once a year in March, or when the new information is released for Tier 1 school, Provider Resources Inc. will check each provider living in any town or city where new schools have been added as Tier 1 against the provider's street listing.
 - b. Tier status is valid for 5 years. Any existing provider whose Tier status is expiring will be re-qualified if they live within an updated Tier 1 school area. Any provider

who no longer qualifies will be reclassified as Tier 2. A letter will be sent to the provider informing her of the change in Tier status. The provider then has the option of applying for Tier 1 based on income or means testing of their child care parents.

- c. Any existing provider found to be Tier 1 school qualified will receive a letter stating that she is now Tier 1 for school and will be put on the current letter to Mass Department of Elementary & Secondary Education Nutrition Program & Services.
 - d. A copy of the Street listing and Approved School Tier List will be placed in the providers file in the locked file cabinet for Tiering.
 - e. Their Tiering status will be changed in the computer on the providers screen allowing her to be reimbursed as Tier 1
 - f. An updated census list is compiled annually. However, a provider approval for Tier 1 by census is good for 5 years unless the provider moves. If the provider moves then the Tiering level must be re-determined.
 - g. Every provider that is Tier 2 or a provider that is expiring will be checked against the new map.
 - h. Any provider to be found Tier 1 census classified will be sent a letter stating that they are Tier 1 for census and then put on the ESE letter.
 - i. A copy of the census map (showing their address and percentage of 50% or more) will be placed in her folder in the locked file cabinet specifically for Tiering.
 - j. Any provider that is Tier 1 based on Census or School and will be expiring will be notified in writing if they no longer qualify based on census or school. They will be told of the option to qualify based on income or the option means test their child care parents.
- 3. When a provider is seeking approval for Tier 1 based on income they are required to return their meal benefit form, completely filled out, and tax form 1040 and Schedule C as well as any other paperwork such as pay stubs to show all others household income when applicable.
 - 4. When a provider is denied Tier 1 because of income they are sent a letter of denial and a written Appeal Procedure.
 - 5. Any MEDICAID/SC HIP forms that are returned are kept in the provider's tier file.
 - 6. Any provider that is currently Tier 2 that wishes to have their homes means tested will have parents packets sent to them. They are to be distributed to the parents of all the

child care children in their care. These packets will include a self addressed stamped envelope to be mailed back to the office directly.

PROVIDER TRANSFER POLICY

1. Providers can only be with one food program during a month.
2. If a provider contracts simultaneously with two programs, both contracts are null and void.
3. Providers must give a 30-day written notice to terminate.
4. Provider Resources, Inc. will take a transferring provider when they have terminated with their previous program and have not been on any another program within the current fiscal year.
5. The provider must supply a copy of their letter of termination from their previous sponsor showing the date they terminated and the training name and hours they have completed.
6. The provider's termination letter will accompany their sign up and is sent to the Mass Department of Elementary & Secondary Education Nutrition Program & Services.
7. All transfers will be reassessed for their Tier Status based on school or census.
8. Prior to completing and signing a permanent agreement with the Sponsor, a transferring family child care provider must receive a pre-approval monitoring review and pre-approval training, for not less than 90 minutes, covering all aspects of CACFP participation requirements and will receive a monitoring review within the first 4 weeks of CACFP participations.
9. Providers transferring are required to complete the training hours for that fiscal year.

PROVIDER TERMINATION POLICY

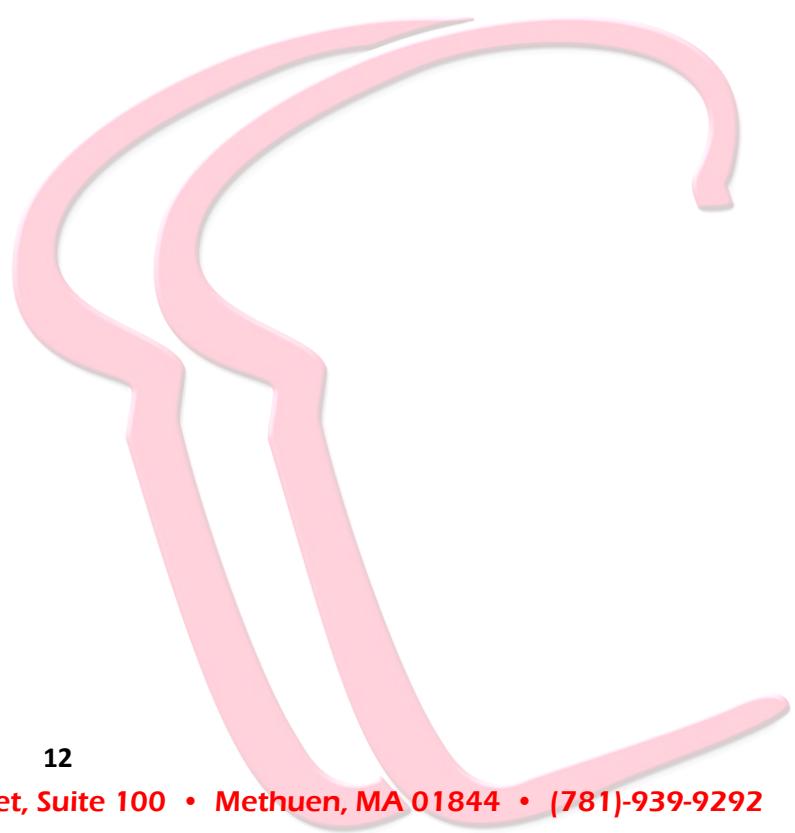
1. When a provider joins Provider Resources, Inc. they will receive in writing the procedures for terminating and annually thereafter.
2. A provider may be terminated as long as they are not being reviewed as part of the parent contact or serious deficiency process.
3. Providers must give a 30-day written notice requesting to terminate. Within 5 working days of receipt of the provider's request for termination we will issue a termination letter that states the date the letter was received by the sponsor and the date the agency is officially terminating the provider from the CACFP. It shall also explain that the provider may claim with that agency through the established termination date. It must also provide a record of the provider's training hours and training topics completed since the start of the fiscal year.
4. If a provider has not claimed for 3 months we will send them a letter with the last month they claimed listed. The letter will explain that the provider will be terminated by the specific date listed unless we hear back from the provider.
5. All terminations will be sent each month to the Mass Department of Elementary & Secondary Education Nutrition Program & Services.

CHILD ENROLLMENT FORM POLICY

1. Providers must submit a completed enrollment form signed by the parent for each child in their child care.
2. Providers must keep a copy of the signed enrollment form in their Provider Resources, Inc. Folder. It must be available at home reviews.
3. Every April each provider will be sent two re-enrollment packets. The child care parents are to review all the information, make any changes, corrections or additions in both packets. They are to also sign both packets. One packet is to be returned to the main office, the other packet will be placed in the Provider Food Program folder.
4. For Infants, enrollments must show the type of iron-fortified formula the provider offers.
5. All enrollments are required to have the days of care, the hours of care for the child, meals served while in care and school attendance information.
6. The main office will make any changes on the re-enrollments into the computer.
7. If an enrollment is not returned or is not signed, the child will be withdrawn and the provider will not be able to claim the child for reimbursement until a new enrollment is received.
8. Anytime a provider passes out an enrollment form for a new child care child or at the time of annual renewal, the parent must be handed a copy of the USDA's "Building for the Future" flyer, WIC and CACFP meal pattern.
9. Any provider supplying substitute care must supply an enrollment form within 24 hours. If the provider is providing substitute care for a provider within our agency, we can make a copy of the child's enrollment to send to the substitute provider and place another copy in her file.
10. A temporary change in days/meals served to a child requires a written notice from the parent. This notice must be mailed to the Provider Resources office before the end of the month.

INFANT MEAL POLICY

1. Family childcare providers participating in CACFP must offer program meals to all eligible children enrolled in their child care home. Infants must have access to the CACFP.
2. All providers must offer a brand of infant iron fortified formula approved by USDA.
3. Parents can accept the provider's formula or choose to supply their own. They must record their choice on the infant menus. The provider can claim the child either way, however once the child is developmentally ready the provider must supply all solid food, when developmentally ready.
4. Providers can claim for infants (0-12 months) that are on breast milk when the mother expresses breast milk and leaves it at the child care home.
5. Separate and individualized menus for all infants in care will be recorded on the menus with the food served and amount offered.
6. Infant menus must meet the CACFP requirements including, but not limited to, any adult cereal including cheerios, meat sticks and no combination meals
7. All children under the age of 1 must be maintained on the Infant menu. The child must be placed on the Regular menu on the date of their first birthday.



FOOD SAFETY AND SANITATION POLICY

1. During home reviews, the monitor will validate that the provider's compliance with the safety and sanitation requirements related to the CACFP.
2. The reviewer will make sure the provider practices appropriate sanitation practices while preparing and serving food.
3. The reviewer will observe that the children have washed their hands prior to helping with any food preparation and eating.
4. The reviewer will check the refrigerator and freezer for thermometers and cleanliness, and will check to make sure food is properly stored and covered.
5. All refrigerated medicine will be kept out of the reach of children.
6. The reviewer will check dry food storage.
7. The reviewer will make sure that chemicals and medicine are stored out of the reach of children and away from any food.
8. The reviewer will make sure no pets or pet dishes are allowed in the food service area.
9. Childcare equipment is to be cleaned and sanitized on a regular basis.
10. The reviewer is to observe that there are no obvious health, fire or safety issues.
11. The reviewer is to look to make sure there is no sign of rodent or insect infestation.
12. If the reviewer observes any food safety or sanitation problems, they are to be written on the home review form and a corrective action plan will be discussed. Immediately after finishing the visit the monitor will contact the Field Supervisor to determine the next step.
 - i) If the finding is of a serious nature then the Field Supervisor may direct immediate action to occur to resolve the problem.
 - ii) If the finding is of a less serious nature a follow up visit will be required within 10 days to see that the corrective action was implemented. If the problem is not resolved on the follow-up, the provider will be found serious deficient.
13. Any problems that are not corrected on the follow up the provider will be found serious deficient.

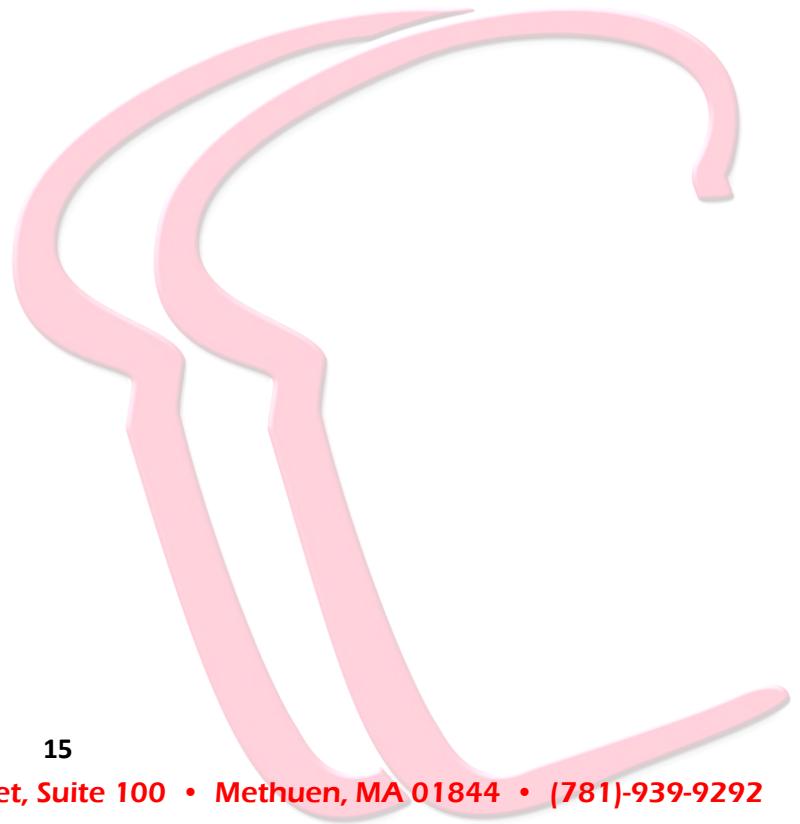
CREDITABLE FOOD AND NUTRITION POLICY

1. Provider Resources, Inc. will ensure that the provider implements nutritional standards when planning menus by serving foods that offer a variety of vitamins, minerals, whole grains, colors, and textures at each meal.
2. Providers are to incorporate low fat, low sodium, and low sugar foods throughout the menu cycles.
3. Commercially purchased processed foods such as ravioli, chili, spaghetti with meat sauce, beef stew, chicken entrée (nuggets, patties, stick, fingers and popcorn), fish sticks, pocket sandwiches, and pizza rolls may not count as meat/meat alternative, unless one of the following is available: extra cheese or meat is added, the product is CN labeled, a product analysis sheet is available stating the amount of cooked lean meat/meat alternative or documentation stating the required amount of lean meat.
4. Vegetables and fruits used for flavoring or as optional ingredients, such as garnishes, may not be counted to meet the vegetable/fruit component, such as pickles, onions, peppers and lettuce. These amounts are generally not controlled, and it is hard to determine the contribution to the meal.
5. Vegetables and fruits served as a combination item (such as fruit cocktail, succotash, peas and carrots, lettuce/tomato in a taco, mushroom/green peppers on pizza) may be credited to meet only one of the two required components.
6. Breading on items such as processed chicken and processed fish is insufficient to meet the grain requirement.
7. Although some meat/meat alternates are creditable foods, the protein percentage in the product is difficult to determine. The composition of the processed meats must be known to properly credit the meat/meat alternate. Therefore, in order to provide a creditable portion only all meat or all poultry processed products may be served.
8. For combination dishes such as soups, stews, pot-pies, casseroles, lasagna, or pizza – no matter how many food groups are in the dish, they may only count as 2 components. The reason for this is due to the unpredictable nature of the serving as to what food and what quantities are on the plate.
9. No home canned food can be used in the CACFP. This requirement stems from the concern over the safety of all children being served in the program. Home canned food that is not properly processed can spoil. This includes homemade jams and jellies.
10. If an allergy or condition is severe and life threatening a signed doctor's note must be given stating the condition and the food that may be substituted.

11. Young children can choke on numerous foods that are creditable in the CACFP. Developmental consideration omits the serving of frankfurters, grapes, nuts, nut butters and dried fruit for children under the age of three (3).

MEAL SERVICE DOCUMENTATION

1. Menus must be recorded prior to the meal service.
2. Providers must document their meal counts by the close of the business day being claimed. Meal counts not documented on the actual day of the service cannot be claimed.
3. The actual meal service times must correspond to the actual meal service times on file with Provider Resources, Inc.
4. Providers must notify the agency or home monitor when there is change in their mealtimes.
5. Providers that will not be home during the scheduled mealtimes are to call the main office.
6. If at the time of a home review no children are present, the reviewer will conduct a paper review as long as the home is open for business that day.



CLAIM PROCESSING POLICY

1. All menus must be received or submitted into the main office of each month.
2. Every morning a data transfer will be taken to retrieve any Internet menus and to update all Internet providers to provide them with their most recent information.
3. Menus will be stamped in when received in the office.
4. Menus will be read by Provider Resources, Inc. staff for accuracy in food documentation. Any mistakes will be deducted. The staff member will initial the back of the menu.
5. Scanned menus will go through the scanner and 4 reports will be printed out
 - a. Office error report
 - b. Provider error report
 - c. Meal counts
 - d. Child Information Form “CIF” forms which lists all the children currently enrolled and the providers training information to date.
6. A staff member will review every error report for accuracy and initial next to each error.
7. If the scanner did not read the menu accurately, it will be rescanned.
8. Within 2 days of completion of the claim, all error reports are sent out to the provider along with their CIF form.
9. They have 5 days to contact the office if they believe an error has been made.
10. Menus received by the 5th will be reviewed and processed for payment on the first bill. Providers will be paid when funds become available from the state.
11. Menus received by the 3rd will qualify for guaranteed reimbursement by the 20th of the month even if the state reimbursement is late.
12. The Claims Manager will produce an outstanding claims report weekly.
13. Providers that miss the first billing will be called every week by the office staff. Their menus need to be received no later than the 22nd of the following month when Provider Resources, Inc. submits the final bill. These providers will experience a significant delay in payment.
14. The staff assigned to make the calls for the late claims are to return the list back to the Claims Manager for monitoring. The Claims Manager will report each Monday to the Director the total number of outstanding menus.
15. Menus that had a review during that month will be matched to their home review form and checked for accuracy. The remaining menus will be placed in alphabetical order.

SPONSOR TRAINING POLICY

1. Provider Resources, Inc. is required to monitor and ensure that their personnel and each provider obtain a minimum of six CACFP related training hours annually. Personnel training shall include topic areas related to the administration and operation of the CACFP and as outlined the current management plan.
2. The staff is trained as follows:
 - a. Full time staff has a meeting each month. During that time, policies and procedures are reviewed.
 - b. Part time employees have 2 area meetings a year each lasting 3 hours. During that time we review policy and procedures on all monitoring duties including sign ups, home reviews, health and safety, food safety, record keeping, tiering, and review the trainings that will be given to the providers.
 - c. Once a year a 6-hour annual meeting is held for the entire staff where a review is given on all areas of the program.
 - d. Staff must sign in for all meetings.
3. Child Care Providers are required to receive the following training:
 - a. 2 hours of training in record keeping including meal counts and menus
 - b. 2 hour of training in food safety and sanitation
 - c. 2 hour of training in nutrition education and physical Activity.
4. If a provider joins mid-year the training will be pro-rated.
 - a. Providers that join between October and January need 6 hours of CACFP training. See section 3 for the details.
 - b. Providers that join between February and May need 4 hours of CACFP training as follows
 - i. 2 hours in record keeping
 - ii. 1 hour of nutrition
 - iii. 1 hour of food safety and sanitation
 - c. Providers that join June through September need 2 hours of CACFP training:
 - i. 1 hour of CACFP record keeping training and
 - ii. 1 hour of food safety and sanitation
5. In addition, the providers receive a monthly newsletter covering topics from issues we have seen. Some of topics discussed include Tiering, Over-claiming meals, health and safety, license issues, claim procedure for receiving your reimbursement in a timely

- manner, creditable foods. These are sent to the provider and staff as well as posted monthly on our web site.
6. In order to renew their CACFP participation, the provider must have completed all the required training as of September 30, of the current fiscal year. If a provider does not complete the required training before Sept 30, she will be considered Non-Compliant with the contract and will be Seriously Deficient. The provider will not be able to submit any claims until completing the Serious Deficiency process.
 7. Training materials will be made available to the providers each October. During the first round of home reviews, monitors will check the number of completed trainings. Any paper answer sheets should have been mailed to the office. Unfinished trainings will then need to be completed before the second round of reviews and any paper answer sheets mailed in before the 2nd review. Any remaining uncompleted training hours will be noted by the monitor at the time of the second review and should be completed and submitted before June 1st.
 8. Providers with access to the Internet will be able to log into the website and take trainings directly on-line. Upon successful completion of the on-line exam, the training hours will be logged on the provider's account and will be reflected in the June 1st Training Status letter.
 9. Providers will receive a training letter on June 1st telling them how many hours they currently have completed. This information is also noted each month on their CIF form.

TRAINING MATERIALS POLICY

1. Prior to use or implementation, all training materials will be sent to Mass Department of Elementary & Secondary Education Nutrition Program & Services for approval.
2. All training developed with CACFP funds will be identified as such.
3. All training developed with private funding will be identified.

SPONSOR MONITORING REQUIREMENTS POLICY

Provider Resources, Inc., with or without prior notification, exercises the right to review the home either alone or with State agency and/or USDA personnel. As part of the review the provider records and meal services during the hours of program operation will be reviewed and parents of enrolled children may be contacted.

Scheduling:

1. All providers must receive a minimum of three visits per fiscal year of which two or all are unannounced and conducted during the approved meal service.
2. The state agency or Provider Resources, Inc. may determine that additional monitoring reviews are required for a provider.
3. Providers that have been approved for extended hours of care (double sessions, weekends, and/or evenings) must have 4 visits a year. Three of these visits must be unannounced and conducted during the approved meal service. Out of the 4 visits, two of the visits must be unannounced and completed during the extended hours during the approved meal service.
4. Any time a provider requires a follow-up visit, it must be unannounced. Necessary follow-up visits must be approved or assigned by a supervisor.

Review Requirements:

1. Provider Resources Inc. will train the provider to maintain their menus prior to the meal service and to have copies available at the time of the review.
2. At the first review of every year, the provider will be given a folder to keep all the paperwork in that is required to be viewed by the monitor at every review. During the first review, the monitor will move the permanent agreement, license and assistant license if applicable from the old folder to the new one. The monitor will make sure that the re-enrollments are signed and are in the new folder. The monitor will review the Annual Enrollment Status Update with the provider and both will sign both copies. The provider will verify the review sheet information and sign off on it.
3. The monitor will review all the menus for the month to ensure the provider is following the meal pattern and claiming creditable foods. The provider will be deducted for incomplete meals, meals missing, or non-creditable food.

4. Reviewers that visit providers using scannable forms will initial off on the meal observed and then record the number of children being claimed for that meal on the menu as well as the number claimed for the 5 previous days.
5. Reviewers will verify each child being claimed has a signed enrollment form.
6. Reviewers will record each child present on the review worksheet including those enrolled and those that are not. They will also list all absent enrolled children.
7. The reviewer will have the provider review the “review worksheet” for accuracy verifying in particular their phone number, meal service times, and children enrolled. The provider will sign off on any changes.
8. If a provider served a meal or snack prior to the reviewer’s arrival, that visit will not apply to the meal service review.
9. If a provider is not home when the monitor arrives, she must wait a minimum of 15 minutes but not longer than 30. If the provider does not arrive, she is deducted for that meal or snack. The monitor will contact the Field Supervisor before leaving the home.
10. Health and safety problems viewed at the home review will have a corrected action plan made at the visit. Within 10 days an unannounced follow up will occur to make sure the problems have been corrected. If the follow up does not see the corrected action implemented on any health and safety issue a serious deficiency notice with the corrective action will be mailed to the provider and they will have a minimum of one follow up.
11. Menus not up to date will be deducted and an unannounced follow up review to make sure the provider is keeping her menus up daily. If the follow up does not see the corrected action implemented on the menus being completed daily a serious deficiency notice with the corrective action will be mailed to the provider and they will have a minimum of one follow up.
12. Low attendance (without a logical reason) compared to the 5 previous days will require an unannounced follow-up visit within 10 days. If a low attendance has not been corrected at the 10-day follow up, a parent contact will be conducted.
13. Providers are to keep their records for 3 years plus the current year.
14. Throughout the year all new policies and procedures and any addendums made to the manual are passed out at the home visit and explained to the provider. They are also sent out monthly in the newsletter and posted on the website.
15. If no children are present but the Provider is open for business then a paper review will be conducted.

HOUSEHOLD CONTACT POLICY

1. Provider Resources, Inc. will make household contact when a discrepancy (without a logical reason) of 2 more children are absent at the home review comparing it to the past 5 days attendance for the same meal unless a follow up is completed within 10 days and found no attendance discrepancies.
2. Provider Resources, Inc. will request an updated enrollment for that child from the provider in order to claim that meal or day.
3. We will make household contact when we declare a provider Seriously Deficient for discrepancies with meal counting and claiming and/or with child enrollment documentation.
4. Household contact will be made to validate the following:
 - a. Child's or children's enrollment in a provider's family child care or
 - b. Claim submitted by a provider.
5. We will pay the valid portion of the provider's claim during the household contact process.
6. We will make parent contact by phone or letter. If a parent fails to respond to the parent contact letter or phone call, a 2nd letter will be sent.
7. If the parent fails to respond to all attempts the child will be withdrawn and we will assess a fiscal disallowance against the provider's claim for the reimbursement.
8. The child will be reinstated when a new enrollment is received.
9. We will assess a fiscal disallowance when the household contact documentation received does not support the provider's claim submitted.
10. We will give written notification to the provider on the fiscal disallowance based on the outcomes of the household contacts.
11. Parent contacts are made when a claim is in question of its accuracy.

HOUSEHOLD CONTACT WILL CONTAIN:

1. A phone call or letter will be sent to every child enrolled in the provider's home.
2. Parents will be requested to verify enrollment or withdrawn date, attendance, regular hours of care and meals the child received each day of the review/claim month.
3. A request for the parent/guardian to return documentation within 5 days. A self-addressed stamped envelope will be included. A 2nd letter if necessary will be mailed to verify the information.
4. Our phone number for parents to call if they have any questions or concerns.

SERIOUS DEFICIENCY POLICY

The CACFP regulations at 226.6(c) as defined by the USDA states the following serious deficiency for family child care homes that, if not corrected, would result in a provider's termination for cause:

- Misrepresentation of information submitted on your application.
- Submission of false claims for reimbursement.
- Submitting claims to more than one sponsor.
- Failure to keep required records.
- Noncompliance with the program meal pattern
- EEC license revoked for health and safety of the children.
- Completion of required training each year

If any of the above situations occurs, a serious deficiency notification will be mailed out to the child care provider and also notification to the State Agency. The sponsor will at that point create a corrective action plan for the provider. The provider will respond to the sponsor, on how he/she will implement the corrective action plan. A response is required to be in writing and received by the sponsor within five business days.

The sponsor will conduct an unannounced follow-up review, to verify that the corrective action plan has been implemented. The sponsor will also conduct another unannounced review, to make sure that the corrective action is permanently corrected, the provider will then receive a rescind letter. If at any time, the provider receives a second serious deficiency notice the provider will then be terminated and put on the national disqualifying lists.

If the sponsor conducts an unannounced review and finds that the corrective action has not been implemented, the sponsor will then send the provider a notice of proposed termination and also send notification to the state agency.

With the proposed termination notice the provider will receive an appeals procedure; the provider will **then** have the opportunity to request a hearing in writing within the timeframe that the appeals procedure has stated. The provider can have her record and documentation reviewed by a Hearing Officer either in person or a review of the record. If the provider wins the appeal the provider will be mailed a rescind letter on the serious deficiency determination and notification sent to the state agency. If the sponsor wins the appeal then a termination notice will be mailed to both the state agency and the provider. The provider will then be put

on the national disqualifying list, which will not allow him/her to participate in a Child and Adult Care Food Program for the next seven years or until all debts are clear.

MEDICAL EXCEPTION POLICY

1. A child that is unable to consume a food item because of medical or other dietary needs must have supporting documentation on file signed by a recognized medical authority which includes:
 - a. An identification of the medical or other special dietary needs and restrictions of the participant's diet
 - b. The food or foods to be omitted from the participant's diet, and the food or foods that may be substituted.
2. A provider may not claim for meals that a food or foods were substituted without a Doctor's medical note.

CIVIL RIGHTS POLICY

1. We will make sure the civil rights statement is on all printed materials and public statements pertaining to the Child and Adult Care Food Program. The full statement will read: "In accordance with Federal law and U.S. Department of Agriculture policy. This institution is prohibited from discriminating on the basis of race, color, national origin, sex, age or disability. To file a complaint of discrimination, write USDA, Director, Office of Civil Rights 1400 Independence Ave. S.W., Washington D.C. 20250-9410 Or call (800) 795-3272 (voice) or (202) 720 6382 (TTY). USDA is an equal opportunity provider and employer
2. If the material is too small to permit the full statement to be included, the material will at minimum include the statement, in print size no smaller than the text, that "This institution is an equal opportunity provider"
3. Providers will be given "Building for the Future" fliers to pass out to the parents of all their child care children.
4. Providers will display the blue "Building for the Future" poster.