

Sample Copy

This example is intended only as an example of how to write a corrective action response to a Compliance Review. It is intended to demonstrate a method for the sponsor to communicate information about actions taken to correct the issues identified in the Compliance Review Report. The actions noted below are not intended to be all inclusive, but rather suggestions with edit checks that might apply to the issues cited. In addition, we have also included some common responses we have received that do not communicate adequate actions to take to correct the issues identified in the Compliance Review Report. The corrective action response must:

- Include the name of your center or write the response on your letterhead
 - Include your agreement number
 - Indicate why you are writing us-in response to a review
 - Specify what problem/area you are addressing, by first stating the problem as it's written in the report and then your corrective action to that specific problem
 - Include enough detail so that we can determine if your response adequately addresses the issues. We need to know that you understand that there is a problem and that you understand how to correct the problem, permanently.
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May 5, 2003

Judy Foster
Illinois State Board of Education
100 N. First Street
Springfield, Illinois 62777

Dear Ms. Foster:

This letter is intended to provide a response to problems cited during the February 2, 2003 review of our Child and Adult Care Food Program (CACFP). The agreement number for my CACFP is 14-016-111P-00.

Area Cited: HOUSEHOLD INCOME ELIGIBILITY APPLICATIONS

Current household income eligibility applications were not on file for four children for whom free meals were claimed:

I have reviewed the criteria for approving a Household Income Eligibility Application found in the FY 03 Household Income Eligibility Information book. Using this information, including the FY 03 Income Eligibility Guidelines, I re-evaluated all applications I currently have on file and made necessary corrections. In addition, as I process new applications I will refer to these criteria. If I do not have an application on file for a child, I will claim their meals in the paid category.

Three household income eligibility applications were approved in the wrong category. These applications had been approved free instead of reduced:

The three applications have been corrected and changes have been made on the roster. In the future, I will ensure that all applications are approved in the correct category according to the information provided on the applications and the current income eligibility guidelines.

Current income guidelines were not used to evaluate applications.

I have reviewed the criteria for approving a Household Income Eligibility Application found in the FY 03 Household Income Eligibility Information book, including the FY 03 Income Eligibility Guidelines. In the future, the most recent income guidelines will be used to approve applications.

Approval or denial of applications was not adequately documented:

I realize that I must approve or deny each application. This includes dating and signing each applications. The effective dates will also be written on each application

Common ways NOT to respond:

1. "All of our applications are renewed each year"
2. "We have hired a Quality Assurance person who is trained on all the required CACFP regulations".

Area Cited: REIMBURSEMENT CLAIM/MEALS CLAIMED

The number of meals claimed for reimbursement was not accurate. Meal counts contained math errors because meals were counted incorrectly on the meal participation records:

We will begin to sequentially number meals each day, as they are served so that obtaining an accurate count will be easier. They will also begin to cross check the addition of meals served each day to double check the totals for accuracy.

The site claimed more than two meals and one snack per child per day:

As I review the Meal Participation Records, I will check to see that no more than two meals and one snack per child per day or two snacks and one meal per day are claimed for reimbursement. If I find a child who has more than three meals services marked, I will circle the one that I am not claiming for reimbursement. No more than two meals and one snack or two snacks and one meal per day can be claimed for reimbursement for children in attendance.

Suppers were claimed for reimbursement. This meal service is not approved on the application:

I have contacted the state office to request that supper be added to my meal service periods effective 5/1/03. In the future, reimbursement will only be claimed for approved meal services.

Meals served to children in excess of licensed capacity were claimed for reimbursement:

I will check the total number of meals claimed each day and determine if the number exceeds my licensed capacity. If so, any excess meals recorded will not be claimed. I will also ensure that I never have children over my licensed capacity at any time.

The private for-profit site has claimed meals for reimbursement when documentation indicates the site was not eligible to submit a claim.

I will take more time when I calculate my private, for-profit percent eligibility. A co-worker will check my work. I realize now that I was not using the correct number as a divisor. If I do not obtain the 25 percent threshold receiving subsidized child care or eligible for free or reduced-price meals, I will not request reimbursement for that month.

The site claimed reimbursement for more meals than the number of eligible children in each category:

I will check my master list to determine the number of eligible children in each category so that meals claimed do not exceed these numbers.

The site consistently claims the same number of meals for each meal service for the month of January:

If I find a classroom who consistently records the same number of meals at each meal service period, I will investigate further to determine if the count is accurate. If problems are found as I review individual meal participation records, I can provide additional instruction to the classroom record-keeper. In addition, with correct counting procedures in place, we should not have this problem again.

Common Ways NOT to respond:

1. "We have gone to the workshop and changed our current procedures."
2. "I told the reviewer I had enough DHS/DCFS enrollment, I just left it all at home".

Area Cited: MEAL SERVICE

Meal counts were not recorded for program and non-program adults:

Starting in February, after the review, we started recording adult meals by program and non-program on the form provided by your agency.

Meal counts were based on attendance:

We have started to use the meal participation records on a daily basis at meal service to record meals served. We understand that we can only claim a meal if the child was observed taking it. We will no longer reconcile our counts to our attendance.

Meal counts were not done accurately for the day of review at meal service time.

Meals were recorded for children who were not present:

Again, using the correct method for counting on a daily basis, with the meal participation record, we have instructed all staff who take counts, on the correct way of doing so. We think this problem will be corrected by using the MPR correctly at each meal service for each child in attendance who receives a reimbursable meal.

Family-style meal service has not been implemented correctly. The amount of food placed on each table was not sufficient to provide the minimum portions of all the required components for all children at the table:

We now realize that separate bowls/platters of food must be placed on each table with an adequate amount of each food item placed on the table based on the number of children being served at each table. We have increased the amounts of food we are preparing to cover this. In addition, the cups are 2 ounces larger than the required serving size which ensures that the cup is large enough to provide the required amount of milk based on the age.

The number of meals served on the day of review is not consistent with the average daily participation for the same meal service for the previous month:

We were basing our meal counts on attendance in the previous month and that is why the count on the day of review was less than for the month of review. We now know that this is incorrect.

Common ways NOT to respond:

1. "Meal counts are not recorded for adults because we don't get reimbursement for adults".
2. Children do not take a full serving of milk and if they did they would spill it, therefore we give all children a 4 ounce cup".

Area Cited: *MENUS*

Menus for the month of January were not maintained for lunches, menus did not have all the required components and menus were not maintained for infants:

I will create menus for each meal service I claim. I will keep these menus on file for a period of four years. I will double check my planned menus to make sure they contain all of the required components. I have developed menus for meals served to my infants.

Common ways NOT to respond:

1. "The January menu was faxed to us after the monitor left and it is attached".
2. "On January 13 we served toast for breakfast".

Area Cited: *EXPENDITURES*

Food purchase records indicate that the amount of milk purchased was insufficient to serve the number of breakfasts and lunches claimed:

The Monthly Milk Purchase Summary is now being used to determine how much milk we should purchase before it is served. I will also monitor the serving sizes of milk in the classrooms to ensure adequate portions are provided to the children based on their ages.

Documentation of expenditures was not adequate to support the number of meals claimed for reimbursement:

I now realize that I have not kept track of food purchases in the manner that I should have. I will take extra efforts to file these receipts as I get them. I intend to log them on the Cash Disbursements Ledger weekly. All invoices or receipts will indicate the food purchased. I will indicate if items purchased are food, non-food or not allowable program costs.

Federal reimbursement received for the review month exceeded the expenditures for that same period:

I will complete the Monthly Profit or Loss Summary and document that I operate a not-for-profit foodservice.

Common ways NOT to respond:

1. "We found the milk bills after the monitor left and they were all there".
2. "Children do not take a full portion size of the food provided, therefore we purchase less".
3. "I know I buy enough food" You ought to see what we throw out"

Area Cited: *RECORDKEEPING*

The program announcement was not maintained on file and available for review:

I have begun a notebook to assemble required records. I use the Monthly and Annual Document checklist as a guide. I have now submitted the Program Announcement to our local newspaper and have a copy on file. I will maintain records for three years plus the current year.

Common Ways NOT to respond:

1. "Our Public Relations Department handles this".

Area Cited: *PROGRAM OPERATIONS*

Information on training sessions, including dates, locations and names of participants, was not available for review:

I have provided the required training on CACFP expectations to my staff. Information on training sessions, including dates, locations, and names of participants was recorded on the training record supplied in the pink Recordkeeping Manual. This is something I will continue to complete annually as indicated on my program application.

Common Ways NOT to Respond:

1. "All of our staff is regularly trained on the CACFP".
2. "We have attended all the CACFP workshops presented by ISBE".

Area Cited: *SANITATION*

The freezer temperature was not maintained at 0 degrees or below:

The freezer thermometer was replaced 4/25/03. The cook will take temperatures and record both refrigerator and freezer temperatures daily to assure that foods are maintained at the proper temperature.

Common Ways NOT to respond

1. "The thermometer was in the freezer, the monitor just didn't see it".

Area Cited: *CIVIL RIGHTS*

Program information was not made available to public by letter, brochure or program announcement:

I have sent my Program Announcement to the local newspaper and kept a copy for my files. I will continue to do so each year.

Common Ways NOT to Respond:

1. "As I stated before, the public relations department handles this".

If you need more information or anything clarified, please call me at 773-987-9872.

Sincerely

Loretta Young