

FY 2015 MANAGEMENT PLAN UPDATE OUTLINE

1. INTRODUCTION

- A. Name and address of sponsoring organization
- B. Organizational activities other than CACFP
 - 1. Description of all non-CACFP organizational activities (including other business-related activities that principal employees of CACFP are involved in).
 - 2. Total non-CACFP revenue broken out by source, frequency, type (earned income, grants, donations), function or purpose, and amount.
 - a. Indicate whether level, function, or nature of funding expected to change in coming fiscal year, and if so, what impact it will have on the organization.
 - 3. Listing of all non-CACFP resources available to the organization (fixed assets such as office space, desks, equipment, etc., human resources, professional services, board of directors, etc.).
- C. CACFP statistics
 - 1. Number of homes currently under sponsorship
 - a. Tier I homes
 - b. Tier II homes
 - c. Tier II mixed homes
 - 2. Number of homes projected at year end (9/30/14)
 - a. Tier I homes
 - b. Tier II homes
 - c. Tier II mixed homes
 - d. Methodology/explanation of how projections were determined.
 - 3. Number of tier I providers eligible by Food Stamp participation.
(Note: A list of each provider's name, address, food stamp case number and county is to be submitted along with the Plan.)
 - 4. Number of providers claiming own children.
 - 5. List of counties served
 - a. Explanation/justification for changes from last approved list.

- D. Copy of organization's:
 - 1. Mission Statement
 - 2. By Laws
 - 3. Governing board policies/procedures

- E. Board of Directors
 - 1. List names, addresses, and occupations of all Board members and designate which members have voting rights. The Board of Directors must consist of a chairperson and members who are neither related to one another nor the institution director, nor have a personal financial interest in the institution. Explain the sponsoring organization's Board of Directors structure that will guarantee these requirements are met.
 - 2. Copies of minutes from Board of Director's meetings from last year.

2. PROGRAM OBJECTIVES

All Objectives should be SMART objectives and individually written in sufficient detail to demonstrate they are:

Specific
Measurable
Appropriate
Realistic
Time bound

- A. Evaluation of progress made on all Objectives submitted with the FY14 Management Plan Update.

- B. Long Term Objectives (2-5 years)

- C. FY 2015 Objectives
 - 1. Food Program Administration
 - 2. Program Integrity or Accountability
 - 3. Nutrition Education
 - 4. Staff Training

3. EMPLOYEE INFORMATION

- A. Organizational Chart

- B. Names of persons in each position
- C. Number of hours each employee works per month with CACFP, expressed in both hours and percentage of a Full Time Equivalent (FTE)
[1 Full Time Equivalent = 173.3 hours/month]
 - 1. Plus, percent of time with CACFP spent on monitoring-related duties (as defined in Monitoring Staffing Standards policy), expressed in both hours per week and percentage of FTE

NOTE: These figures must also be reported in the Budget and do not have to be repeated here if reader is referred to that section for the information.

- D. Description of method used to determine and verify percent of staff time spent on CACFP monitoring-related duties.
- E. Job description for each job category or class (i.e., Directors, Fiscal Staff, Claims Processors, Monitors, etc.)
 - 1. Must be current and accurately describe the duties of the position. If an individual's time is allocated between the CACFP and tasks funded from other sources, the job description must be consistent with the allocation percentages.
 - 2. Must include any qualifications, credentials, skills and/or experience required of the position.
 - 3. Must include statement as to approximate percentage of time position devotes to monitoring related duties (as defined in Monitoring Staffing Standards policy) and a description of what those duties are.
- F. Resumes of persons in administrative/managerial positions.
- G. Equal Employment Opportunity policy statement.
- H. Copies of personnel policies – such as hiring, compensation, leave and benefit policies; expectations of employee conduct; etc.
- I. Copy of Outside Employment policy.
- J. Copies of staff performance appraisal procedures.
- K. Description of initial and annual training provided to monitoring staff, including a description on how the monitoring staff is updated on new policies and procedures and how is training documented.
- L. Indication as to whether any staff has had previous association with any organization on the CACFP National Disqualified List.

4. FISCAL ACCOUNTABILITY

- A. Description of organization's accounting system, back-up system, and number of accounts used to track CACFP reimbursement.
1. Specify if cash, accrual or a modified accrual system used.
 2. Specify how year end adjustments are made.
 3. Specify how many bank accounts are used for CACFP funds.
 4. If a single account, describe how food reimbursements are tracked separately from administrative funds.
- B. Copy of organization's policies and procedures for financial management, which include:
1. Purchasing, including bid process.
 2. Income and expense accounting.
 3. Processing invoices, including payments from petty cash.
 4. Reconciliation of administrative expenses, provider reimbursement and organization's bank accounts.
 5. Payment authorization process, including approval of CACFP expenditures and person authorized to approve expenditures.
- C. Description of organization's procedures for regularly tracking and comparing actual costs and administrative earnings with the approved budget, including frequency of tracking and comparisons.
1. Include procedure to follow in the event expenses deviate from budgeted line items.
- D. Description of the claims processing procedures, including:
1. How provider meal counts are tallied.
 2. How menus are reviewed for compliance.
 3. How eligibility of providers, children, and meal types are verified before claims are processed for payment.
 4. Which edit checks are conducted and how, including block claiming. Include a copy of the sponsoring organization Block-claim Policy.
 5. How providers are notified of any adjustments made to claims.
 6. How claims are submitted to CDPHE-CACFP, including procedure for

submitting claims within the 60/90 day requirements.

7. Procedures followed for Internet-claiming providers.
- E. Description of organization's system for disbursing accurate and timely payments to providers.
 - F. Copy of procedures as issued to all providers regarding the preparation and submission of monthly claims for reimbursement.
 - G. Procedures for maintaining inventory of equipment and furniture, including procedures for disposing of old equipment and for depreciating equipment over \$5,000.
 1. Include copy of current equipment inventory.
 - H. Description of organization's plan for repayment of fiscal over claims, should they occur.
 - I. Copy of organizations outstanding check policy.
 - J. Copy of organization's most recent independent audit or audited financial statements as prepared by a certified accountant – or confirmation that such reports were previously provided.
 - K. Copy of organization's most recent IRS 990 EZ form, if non-profit.
 - L. Description of organization's security plan and procedures, including:
 1. How access to parts of the computer system and/or sensitive records is limited based on employees positions.
 2. How individual users computer access is maintained, including how often passwords are changed.
 3. How adequate separation of duties is maintained to ensure program integrity.
 4. Contingency plan for continued operations in the event of an emergency or disaster.
 5. Operational procedures to be followed in the event of a computer security incident.
 6. Procedures for backing up electronic data, including how frequently backups are conducted, where backup data is stored and how long backup data is retained.

5. OPERATING PROCEDURES

- A. Policy for ensuring program availability for all eligible children and that sponsor and homes are in compliance with civil rights requirements.
 - 1. Use of civil rights posters, flyers and non-discrimination statements and the plans to revise the non-discrimination policy statement in all program forms, training materials and guidance books with the latest guidance provided by CDPHE-CACFP in CDPHE-CACFP Procedure Memo #13-04.
 - 2. Method of annual data collection for eligible and served children by racial/ethnic category. Include a description of the processes used to gather the Civil Rights Data Collection and Reporting Requirements.
 - 3. How does the sponsoring organization assure Limited English Proficiency persons have meaningful access to CACFP information and related services provided by the sponsoring organization. In addition, indicate how materials and instruction are provided for non-English speaking participants.
 - 4. How would the sponsoring organization conduct the required annual civil rights training for the Sponsor staff and providers *and the content of the training?*
- B. Procedures followed to implement and ensure compliance with the Healthier Meals Initiative Policies CDPHE-CACFP Procedure Memo FDCH #14-01 and the Implementation of the Healthier Meal Initiatives Policies CDPHE-CACFP Procedure Memo FDCH #14-04.
- C. Policies and procedures related to recruitment of new providers
 - 1. Procedures followed for provider's transfer to another sponsoring organization.
- D. Tiering Procedures
 - 1. Procedure for determining tier I eligible homes
 - 2. Tier II home claiming method to be used in FY 2014 (percentage or actual).
 - a. If the percentage method is used, specify how often the percentage will be calculated.
 - 3. Procedures for making Tiering determinations based on school, census, or income eligibility data. Procedures should include timeframes for making tier I determinations, and notifying providers of their status.
Revise this section of the Management Plan to indicate the procedures followed to make tier I determination by using:
 - a. The revised Guidance on Income Eligibility Determinations and

Durations on the CDPHE-CACFP Procedure Memo FDCH #14-03 and indicate the method of preference used by the sponsoring organization to make annual eligibility determinations:

- The date the provider, or parent/guardian (for the CHIEF) sign the income eligibility form; or
- The date on which the Sponsor's official makes the determination, and signs and dates the income eligibility form.

b. The procedure followed for the use of the most recent Census Data Release and the USDA-FNS Area Eligibility and/or Food Research and Action Center Maps outlined in the CDPHE-CACFP Procedure Memo FDCH #14-05.

Note: The circumstances followed when a Sponsor choose to use Census data must be clearly outlined in the Sponsor's current management plan (see Operating Procedures) and be updated annually to reflect current USDA and CDPHE-CACFP policies and guidance. When Census data is used to determine a FDCH's eligibility for tier I benefits, the determination will remain in effect for five years.

4. Description of system use for tracking provider eligibility.
5. Procedures for informing tier II providers of their options for reimbursement, including time frames for notification and documentation of provider's option.
6. Copies of applicable forms/letters to be used in provider notification.
7. Procedures for distributing and collecting children household income eligibility statements (CHIEFs) from families of children enrolled for care in a tier II home. Procedures should include a description of the steps that must be followed to collect and transmit household income information and the process for making income eligibility determinations, including timeframes.

8. Revise this section of the Management Plan to incorporate the procedures for the revised Guidance on Income Eligibility Determinations and Durations on the CDPHE-CACFP Procedure Memo FDCH #14-03 and indicate the method of preference used by the Sponsor to make annual eligibility determinations:

a. The date the provider, or parent/guardian (for the CHIEF) sign the income eligibility form; or

b. The date on which the Sponsor's official makes the determination, and signs and dates the income eligibility form.

9. Procedures for following up on incomplete or incorrect (CHIEFs).
10. Procedures for informing tier II providers of the steps that must be followed to collect and transmit household income information.

E. Monitoring

1. General procedures

- a. Number of monitors and a description of caseload assignments for each (ex: geographic areas).
- b. Frequency and types of visits conducted: announced or unannounced, meal visit, variety of meal types and visit times, etc. If review averaging used, include description of how the process was implemented and how reviews are tracked.
- c. Procedures use to ensure the varied timing of the unannounced visits.
- d. Description of how reviews are conducted and all elements assessed during home visits.
 - Include a full description of the procedures followed to conduct the five-day reconciliation during monitoring visits capturing the guidance provided by CDPHE-CACFP and the USDA Family Day Care Home Monitor Handbook published in February 2012.
 - Include a copy of monitoring (home visit) form including the revisions made to properly conduct the five-day reconciliation according to guidance provided.

2. Procedures for oversight and quality assurance of monitoring process

- a. Supervision of the monitoring staff;
- b. Documentation of the monitoring process;
- c. Submit a copy of the organization's Prior Notice Policy.

3. Meal disallowance policy

4. System to track meal findings during monitoring visits.

5. Procedure to communicate to claims processor and how deductions are made.

6. Procedure for determining compliance by providers who are using cycle menus.
 7. Procedures for determining compliance of Internet-claiming providers.
 8. Procedures followed to assess providers' compliance with the requirements of the Healthier Meals Initiatives polices during monitoring visits.
- F Procedures for referral to licensing or Child Protective Services when providers' violations of licensing are detected during claims processing or during home visits; or when child abuse or neglect is suspected.
- G Procedures for investigation of possible provider non-compliance, including household contact procedures.
- H Procedures for follow-up or corrective action when less than seriously deficient errors or deficiencies are found during monitoring or record review, including description of how determination is made as to whether an error or deficiency in serious or less than serious.
- I. Revised serious deficiency procedures based on the most recent policy from USDA-CACFP14-2012, and guidance from CDPHE-CACAFP on FDCH #13-02 to include the required follow-up and corrective action procedures used in those instances when providers are found seriously deficient in their operation of the CACFP.
- J Name of the sponsoring organization signing authority for the serious deficiency, proposed termination, and termination letters.
- K. Provider termination and disqualification procedures.
- L. Provider suspension procedures.
- M. Provider appeal procedures, including annual notification. Revise the Appeal Procedures to ensure:
- The results of the board actions are be label as Decisions, not as Recommendations.
 - If the Appeal Procedures refer to the "Appeal Officer," or any other related title, change that title to "**Hearing Official**."
 - **All members of the Appeal Board/Appeal Committee must sign the finals decision**. Please ensure the Appeal Procedures reflect this change in wording.
 - Submit a copy of the revised Appeal Procedures to the CDPHE-CACFP office in the CHEAR System.

- N. Description of system for record retention and storage
 - 1. Assures adequate retention and maintenance of CACFP records -even if no longer a CACFP sponsor.
 - 2. Includes financial documents, monitoring reports, board of directors minutes, tiering information, menus and meal counts, providers' agreements.
- O. Organization's confidentiality policy as related to participant and provider eligibility records.

6. PROVIDER TRAINING

A. CACFP Sponsor Training Plan

- 1. Description of system for scheduling, conducting, and documenting provider training and technical assistance.
- 2. Description of methods used to evaluate training.
- 3. Description of plan for training all new homes before they begin program operations.
- 4. Description of systems used for scheduling, conducting, and documenting key staff training (substitutes and helpers).
- 5. Description of the training plans followed in 2014 to ensure providers are trained on the Colorado CACFP Healthier Meals Initiative policies.

B. Modules used or Workshops Conducted/Planned in FY 2014

- 1. Date and location of workshops.
- 2. Subjects covered.
 - a. Include copies of modules, agendas and handout materials.
- 3. Number of providers attending/trained by each method.

C. Workshops Planned for FY 2015

- 1. Approximate dates and locations
- 2. Method used for developing curriculum/agendas; choosing topics
- 3. Subjects to be covered (by topic or broad category, if exact topics not yet chosen).

D. Modules Planned for use in **FY 2015**

1. Method used for developing modules; choosing topics.
2. Subjects to be covered.
3. Method to be used for implementation, evaluation and tracking (if not addressed under Training Plan).

F. Organization's pre-licensing training plans.

7. CODE OF CONDUCT

- A. Organizational
- B. Procurement

8. PROGRAM OUTREACH - EXPANSION

- A. Target groups or areas
- B. Planned Activities

Note: Application for expansion funds, if desired, must be submitted separately.

9. ADMINISTRATIVE BUDGET

- A. See **FY 2015** Administrative Budget Spreadsheet.