

## Summary and Self Evaluation Checklist Administrative Review 2018-2019

### **Certification and Benefit Issuance**

Benefit issuance document (also known as the eligibility roster) is a list of all students eligible for free or reduced price meals at your school district/agency (not to include paid students) from your point of service system. The list should contain the student's name, school name, benefit status (eligibility), method of certification (application, direct certification, etc.), date of certification, and total number of eligible students in the school. There should be no duplication of names on the list.

### **Meal Benefit Applications and Direct Certification**

Free, reduced price, and denied applications will be checked. Direct certification will be reviewed and checked. These documents will be checked against the benefit issuance document (eligibility roster) to ensure accuracy. Either all applications and certifications or a statistically valid sample of applications and certifications will be reviewed at the School Food Authority (SFA) level.

### **Verification**

Verification procedures begin October 1 (or the next business day if October 1 falls on a weekend) and completion is required by November 15 of each year. The "Verification Summary Report 742" will be reviewed to ensure proper verification procedures were followed. Any changes in meal status eligibility as a result of verification will be checked. Copies of verification documents submitted to and by households should be available during this review.

### **Meal Counting and Claiming Procedures – Participation Records**

Methods of collection and meal counting used by the school will be observed and compared to the procedure described to the State Agency on the annual agreement with CANS. Appropriate source documentation, for example, daily meal counts and actual point of service meal count sheets per district sites will be reviewed with monthly claims. Documentation of monthly claim edit checks made before claim submission to the State Agency/CANS will also be examined.

### **Nutritional Quality and Meal Pattern**

Meal components and quantities, offer vs. serve, production records, menus, documentation of food crediting – such as CN labels, product formulation statements, recipes, and food receipts will be evaluated. Meal service lines will be observed on the day of review for breakfast (if applicable) and lunch. Other programs may also be observed on the day of review.

### **Civil Rights**

Proper location of Civil Rights Poster (in view of program participants) will be noted. Use of current nondiscrimination statement on program materials will be verified. Civil Rights Training is required annually and will be reviewed. Training materials and certificates are available on the CANS website: <http://doe.sd.gov/cans/index.aspx> under the Civil Rights heading.

## **Local School Wellness Policy**

The following items will be reviewed and discussed:

- The Local School Wellness Policy
- Documentation demonstrating the Local School Wellness Policy has been made available to the public
- Documentation of the SFA's efforts to review and update the Local School Wellness Policy, including an indication of who is involved in the update and methods the SFA uses to make stakeholders aware of their ability to participate
- Solicitation of the Local School Wellness Policy to stakeholders (Parents, Students, PE Teachers, SFA Representatives, School Health Professionals, School Administration, School Board members, and General Public)
- The SFA's most recent assessment on the implementation of the Local School Wellness Policy and its availability to the public

More information, templates, and checklists related to the Local School Wellness Policy requirements can be found on the CANS/NSLP webpage: <http://doe.sd.gov/cans/nslp.aspx> under the School Meal Programs Requirements section/Wellness Policy heading.

## **Smart Snacks**

Breakfast and Lunch periods will be observed to ensure that foods of minimal nutritional value are not being sold during the school day (midnight thru 30 minutes after end-of-day bell). An assessment will be made to ensure that Smart Snack rules are being properly implemented and the State policy on exempt fundraiser standards is met. Documentation of foods sold will be requested.

## **Food Safety**

The written food safety plan for compliance with Hazard Analysis Critical Control Point (HACCP) will be reviewed. The two most recent food safety inspections will be reviewed and the most recent report should be in a visible location to the public. Temperature logs and food storage areas will be observed.

## **Resource Management**

Maintenance of nonprofit school food service account, paid lunch equity (PLE) tool, revenue from non-program foods, and indirect costs will be evaluated.

## **Professional Standards**

Documentation demonstrating hiring and annual training requirements will be evaluated, including tracking of training hours of employees.

## **Other Federal Programs**

When applicable, the review will include an assessment of Afterschool Snacks, Fresh Fruit and Vegetable Program (FFVP) and Special Milk Program.

## Self-Evaluation Checklist

The following checklist can be used as a self-review for compliance with USDA program regulations prior to the Administrative Review.

<b>A. FREE and REDUCED PRICE MEAL APPLICATIONS have been correctly approved when:</b>	<b>YES</b>	<b>NO</b>
1. The current household application for free and reduced price meals is used.	_____	_____
<b>For Income Applications:</b>		
2. Each participating child’s name, plus any other children in the household are listed at the top of the application.	_____	_____
3. All household members are listed on the application with income and frequency of income reported for each wage earner. For those without income, 0 is entered into the income boxes.	_____	_____
4. An adult household member signed the application. They reported the last four digits of their Social Security Number or marked the box stating they don’t have one. If applying for a foster child only, the last four digits of a Social Security Number are not required.	_____	_____
<b>For SNAP, TANF, or FDPIR Applications:</b>		
5. Each participating child’s name is listed at the top of the application.	_____	_____
6. Household has reported their case number. SNAP and TANF case numbers are 9 digits starting with zeros (000123456 or 000001234). <i>SNAP card numbers are not acceptable for SNAP documentation.</i> FDPIR case number format is a Social Security Number (123-45-6789).	_____	_____
7. An adult household member signed and dated the application.	_____	_____
<b>Other Application Information:</b>		
8. Missing information on an application is obtained and documented before eligibility is determined.	_____	_____
9. Before determining eligibility, household applications reporting multiple frequencies of income (weekly, monthly) are converted to annual income using the conversion formulas listed on the Income Eligibility Guideline chart (applications reporting the same or only one frequency do not need any conversions).	_____	_____
10. To determine eligibility on an income application, the school’s determining official calculates the household’s current income and compares the amount to the current Income Eligibility Guideline chart.	_____	_____
11. The determining official completed, signed, and dated each application indicating the benefit level for each approved child.	_____	_____
12. Applications reporting zero income are approved for free meal benefits for the remainder of the school year. Temporary approval is <u>not</u> granted.	_____	_____

YES NO

- 13. A change in a student’s eligibility is made within 3 calendar days if benefits increase or within 10 calendar days if benefits are reduced or terminated. \_\_\_\_\_
- 14. Households are notified in writing of their eligibility determination within 10 working days of receipt of the application. \_\_\_\_\_
- 15. Household applications are maintained at a central location rather than by feeding site. \_\_\_\_\_
- 16. For purposes of the review, household applications are separated by category: Free, Reduced, and Denied. \_\_\_\_\_
- 17. Applications for households that have withdrawn from the district have the withdrawal date recorded and are filed separately. \_\_\_\_\_
- 18. Households on carryover from the previous school year have the same meal benefit for the first 30 school days OR until a new application is processed, whichever occurs first. \_\_\_\_\_
- 19. Alphabetized list(s) of students automatically eligible for free meals: migrant, homeless, runaway, or a Direct Certification List from CANS/iMATCH are on file. \_\_\_\_\_
- 20. For districts with multiple feeding sites, the list of directly certified students is available by feeding site. \_\_\_\_\_
- 21. For households in which all children’s names did not appear on the Direct Certification List from CANS/iMATCH, the district documented this by adding their names to the list. \_\_\_\_\_
- 22. Direct Certification benefits supersede all other methods of application, and SNAP Direct Certification supersedes all other methods of Direct Certification. \_\_\_\_\_
- 23. If a student appears on the Direct Certification List and the school also received an application for the child(ren), the application has been pulled and filed separately. \_\_\_\_\_
- Verification – Process and Report must be Complete by November 15:**
- 24. The correct verification method was used. \_\_\_\_\_
- 25. The correct number of household applications to verify was selected. \_\_\_\_\_
- 26. The confirming official reviewed and signed each household application selected for verification. \_\_\_\_\_
- 27. Only self-employed income (not regular wages) was verified using the IRS 1040 form from the previous school year. \_\_\_\_\_
- 28. Households were notified in writing they were selected for verification; selected households were also notified in writing of the results. \_\_\_\_\_

29. A tracker form was completed for each selected household. Copies of all required documents are on file for each household selected. \_\_\_\_\_

**B. A Current BENEFIT ISSUANCE DOCUMENT (also known as a Master List or Roster of Free and Reduced Price Eligible Students) must:**

30. Be alphabetized by household name and separated by category; a list of free students and a list of reduced price students. \_\_\_\_\_

31. Be available by feeding site. \_\_\_\_\_

32. Be maintained in the office where applications are kept and updated as student eligibility changes. \_\_\_\_\_

33. Be used to issue benefits to students eligible for free or reduced price meals. \_\_\_\_\_

34. Match the approval reported on the application or Direct Certification List. \_\_\_\_\_

**C. The MEAL COUNTING PROCEDURE must:**

1. Match what the district reported on their current agreement approved by CANS. \_\_\_\_\_

2. Protect students receiving free and reduced price meals from being overtly identified:  
 a. Rosters/computer screens are not coded in such a way that it is obvious to others which students are receiving free, reduced price, or paid meals. \_\_\_\_\_

b. Color coding by category and single-symbol codes using obvious identifiers such as F, R, and P are NOT used on tickets or cash register/computer screens. \_\_\_\_\_

c. Tickets issued to students receiving free, reduced, or paid meals are identical except for the coding. \_\_\_\_\_

d. The same procedures for collecting money apply to all students receiving free, reduced or paid meals. \_\_\_\_\_

3. Provide a Point of Service meal count by category:  
 a. The meal count is taken at the end of all serving lines/self-serve food bars where it can be accurately determined that a reimbursable meal has been served. \_\_\_\_\_

b. If the meal count is taken at the beginning of the line, a written waiver is approved and on file with your current agreement with CANS. \_\_\_\_\_

c. Meal counts are NOT based on tray counts, classroom counts, or back-out counts where the number of paid meals is obtained by subtracting the free and reduced price count from the total meal count. \_\_\_\_\_

d. Allow a maximum of one breakfast and one lunch per student per day to be claimed for reimbursement.

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4. If meal count is combination manual/electronic (count taken on sheet and later entered in computer system, ensure that original meal count sheets are kept for 3 years plus the current year.

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5. School districts with more than one feeding site must complete the On-Site Review form (CANS NSLP memo #52.1) for each site by February 1 each year.

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**D. The DAILY RECORD OF MEALS SERVED and EDIT CHECK WORKSHEET must:**

1. Be completed for each feeding site that includes student name, type of meal, meal date, and eligibility. It will later be linked to this paper worksheet, or a computer-generated report that provides the same information.

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2. Record correct meal counts by category on a daily basis.

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3. Reflect meal counts that are based on actual Point of Service meal counts.

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4. Report the highest number of students eligible for free, reduced price, and paid meals each month.

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5. Compare the attendance adjusted eligible figures by category to daily meal counts for each feeding site before submitting the monthly claim.

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6. Provide a valid explanation for any days in which the number of meals claimed exceeds the attendance adjusted eligible figures before submitting the monthly claim.

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7. Be kept on file, along with other school food service records, for three years plus the current school year.

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**E. CIVIL RIGHTS REQUIREMENTS are met when:**

1. USDA's current nondiscrimination poster is displayed in the kitchen/dining area where it is visible to all students.

\_\_\_\_\_

2. There is no separation of students by race, color, national origin, gender, age, or disability during meal service.

\_\_\_\_\_

3. Special diets, with correct medical documentation on file, are provided at no extra charge to disabled students as prescribed by regulation.

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4. Foreign language translations of program materials are made available as needed.

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- 5. USDA’s current nondiscrimination statement is included in appropriate program materials, such as the student handbook in the section that addresses the School Meals Program. \_\_\_\_\_
- 6. The school has a process for accepting and filing complaints alleging discrimination with the School Meals Program. \_\_\_\_\_
- 7. The Civil Rights Training is completed annually. A summary of training date and topics is on file along with a signed training certificate with all attendee names. \_\_\_\_\_

**F. Schools are in Compliance with USDA’s SMART SNACKS Rule when:**

- 1. Vending machines are off during meal service times unless sale times comply with Smart Snack guidelines and if machines are located in the meal service area funds accrue to the foodservice account. \_\_\_\_\_
- 2. Food/snacks are not sold by other groups/programs in competition with the school breakfast program or school lunch program. \_\_\_\_\_
- 3. Fundraising activities comply with Smart Snack guidelines or the state Policy on Exempt Fundraisers ([http://doe.sd.gov/cans/documents/SD\\_Policy.pdf](http://doe.sd.gov/cans/documents/SD_Policy.pdf)). Proper documentation is maintained as required. \_\_\_\_\_

**G. MEALS may be CLAIMED for REIMBURSEMENT when:**

- 1. All serving lines offering reimbursable meals are available to all students. \_\_\_\_\_
- 2. Meals are priced as a unit. \_\_\_\_\_
- 3. Menus meet USDA meal pattern requirements. All menus must meet daily/weekly requirements in terms of components and portion sizes. \_\_\_\_\_
- 4. Meals offer a choice of two kinds of pasteurized milk; only low-fat (1%) unflavored or fat-free (skim) unflavored or flavored varieties can be served. \_\_\_\_\_
- 5. Offer Versus Serve has been properly implemented when:
  - i.All secondary schools allow students to turn down food items. \_\_\_\_\_
  - ii.All required meal components are offered. Breakfast can be claimed if three food items are selected. Lunch can be claimed if three different components are selected; and one of the three required components must be at least 1/2 cup serving of fruit, vegetable or a combination of the two. \_\_\_\_\_

	YES	NO
iii. At lunch, students decide which 3, 4, or 5 components they will take; again, they must select at least 1/2 cup fruit, vegetable, or a combination of the two.	_____	_____
iv. At lunch, the meal price is the same whether 3, 4, or 5 components are taken.	_____	_____
v. The person responsible for the Point of Service meal count has been trained to evaluate student trays to ensure all meals claimed are reimbursable.	_____	_____
6. Meals planned reflect compliance with USDA's required nutrient analysis.	_____	_____
7. Drinking water is available to all students free of charge in the area where lunch and breakfast are served.	_____	_____
<b>H. FOOD PRODUCTION RECORDS must:</b>		
1. Be completed <u>daily</u> by production kitchen and kept on file at the school.	_____	_____
2. Be completed using the correct forms distributed annually by CANS or an alternate form <u>approved</u> by CANS on an annual basis.	_____	_____
3. Document that enough food was prepared to meet meal pattern requirements:		
i. Standardized recipes are followed and on file.	_____	_____
ii. Food labels with ingredient and nutrient statement, Child Nutrition (CN) labels, or Product Formulation Statements (PFS) are on file, when applicable.	_____	_____
4. Accompany meals sent to be served at another satellite location.	_____	_____
5. Reflect all changes and substitutions made in menus.	_____	_____
<b>I. HACCP (Hazard Analysis and Critical Control Point) FOOD SAFETY PROGRAM:</b>		
1. The district has a written HACCP Plan. Copies of the plan have been distributed to each feeding site and food preparation kitchen.	_____	_____
2. The HACCP Plan is reviewed (and signed) annually and revised as necessary.	_____	_____
3. Temperature logs, food safety checklists, and production records for each feeding site are available for review.	_____	_____
4. A copy of the most recent health inspection report is posted in a publicly visible location in the kitchen.	_____	_____
5. Completed temperature logs and food safety checklists are kept on file for a minimum of 6 months.	_____	_____



	YES	NO
<b>J. SCHOOL WELLNESS POLICY:</b>		
1. The district has adopted a School Wellness Policy and is available for review.	_____	_____
2. Maintain documentation of policy review/update.	_____	_____
3. Solicit appropriate parties to be included on wellness committee.	_____	_____
4. Complete assessment of Local Wellness Policy, and make available to public.	_____	_____
<b>K. PROFESSIONAL STANDARDS:</b>		
1. Ensure hiring requirements are met (if applicable).	_____	_____
2. Ensure documentation is available to demonstrate annual training requirements are met for Food Service Director, Manager, and Food Service Employees.	_____	_____
3. Ensure training is tracked at SFA level.	_____	_____
4. Ensure Food Service Director has documentation of 8 hours of Food Safety Training within the last 5 years.	_____	_____
<b>L. SEVERE NEED BREAKFAST PROGRAM if applicable:</b>		
1. For school districts with multiple feeding sites, data from the second previous school year is on file to document the numbers reported on the annual agreement with CANS.	_____	_____
<b>M. FRESH FRUIT and VEGETABLE PROGRAM, if applicable:</b>		
1. Required documentation, including fresh fruit/vegetable invoices, non-food purchases and labor hour records are maintained on a monthly basis by feeding site.	_____	_____
<b>N. AFTER SCHOOL SNACK PROGRAM, if applicable:</b>		
1. Each year, an on-site review is completed and documented within the first four weeks of the program's operation.	_____	_____
2. Each year, a second on-site review is completed and documented before the end of the school year.	_____	_____
3. Meal count sheets and production records are available for each participating site. Ensure that snack items are creditable and menu planner provides at least two items (not both liquids).	_____	_____

YES NO

**O. SPECIAL MILK PROGRAM, if applicable:**

1. If pricing, ensure that milk from recent claim for reimbursement is consistent with invoices.

\_\_\_\_\_

2. Ensure daily milk count records support recent claims for reimbursement.

\_\_\_\_\_

3. Ensure counting procedures yield accurate milk counts (point of service).

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**P. FOOD SERVICE MANAGEMENT COMPANY (FSMC), if applicable:**

Reminder to observe the FSMC and complete the Monitoring form (attached) if your agency contracts with an FSMC.

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## Food Service Management Company (FSMC) Monitoring Form For Administrative Review

LEA Name: \_\_\_\_\_ Site Name \_\_\_\_\_

FSMC Name: \_\_\_\_\_ Review Date: \_\_\_\_\_

Breakfast Fixed Fee \_\_\_\_\_ Lunch Fixed Fee \_\_\_\_\_ Snack Fixed Fee (if applicable) \_\_\_\_\_

Meal Equivalency Factor \_\_\_\_\_

MENUS AND SERVICE	PERSON RESPONSIBLE FOR DUTY	RESPONSE
1. During the first year, did the FSMC follow the 21-day cycle menu, as described in the contract, for the first 21 days of the contract?		
2. Who plans the menu? Are cycle menus used?		
3. If changes were made to menus following the first 21 days of the contract, did the LEA approve them?		
4. Are production records completed each day for all meals claimed for reimbursement and component contributions available for each menu item?		
5. Who is responsible to monitor the meals to make sure they meet requirements?		
6. If "Offer vs Serve" provision is implemented, are students required to take the minimum number of food or menu items?		
7. If "Offer vs Serve" provision is implemented, are students required to take at least the minimal serving of fruits and/or vegetables?		
8. Are meals monitored after the last food or menu item is served/selected to ensure only reimbursable meals are claimed?		
9. Are the Smart Snack regulations followed concerning sale of foods?		
10. Do the foods purchased meet the quality specification standards indicated in the contract?		

<b>FINANCIAL ACCOUNTABILITY PROCEDURES</b>		
1. Do the school food service daily meal count record forms accurately reflect the counts of student and adult meals by meal type and eligibility category if the FSMC completes meal counts?		
2. Have records of meals served and billed been compared to attendance records to determine if meal counts are reasonable?		
3. Do the school food service daily income records accurately reflect the revenue received by meal type? (Student meals, adult meals, a la carte, etc.)		
4. Are all bills monitored to assure the FSMC bills according to the current pricing agreement indicated in the contract or addendum and have not double-billed or included costs which are not allowed by the contract?		
5. Do the records show a la carte, adult, and other food sales are being billed at the meal equivalency rate?		
6. Do records show that bills from the company accurately show credit for USDA Foods listing the full value of USDA foods received that month?		
<b>SANITATION AND SAFETY PROCEDURES</b>		
1. Are facilities and equipment adequately maintained for safety and sanitation?		
2. Do employees practice safe food handling procedures?		
3. Is the current health inspection posted?		
4. Is a copy kept on file of prior inspections?		
5. Are temperature logs maintained daily and kept on file?		
<b>OTHER CONTRACTUAL REQUIREMENTS</b>		
1. Has the advisory committee of parents, students and teachers met at least twice per year to assist in menu planning? (Retain Documentation on file including Agendas, Minutes, Surveys, Taste Testing Results, etc...)		
2. Have all corrections been made as required if problems were noted during a LEA review, health inspection, the administrative review, or a program audit?		
3. Were the LEA's Civil Rights policies followed?		

4. Have there been any Civil Rights complaints this year?		
5. a. Is the FSMC performing any outside activities? b. Is the LEA being charged for these activities? (ex: catering, special functions, etc.)		
6. Do records show that credit has been given or payment made to the Local Education Agency (LEA) for use of the facility for these outside activities as outlined in the contract?		
7. Is the FSMC adhering to the LEA's free and reduced priced policy statement?		
8. If the FSMC employees have access to any student personally identifiable information, is a signed statement of confidentiality on file for those employees?		
9. Have all responsibilities of the LEA and the FSMC been implemented as defined by the terms of the contract? Yes No Please explain your decision.		
<b>RENEWAL PROCESS (IF APPLICABLE)</b>	<b>RESPONSIBLE PERSON</b>	<b>RESPONSE</b>
1. Do all the invoices match the prices with the current renewal addendum prices?		
2. Did the charges/fee adjustment follow the basis for fee adjustment as described in the contract?		
3. Were credits for the value of USDA Foods applied to the billing following the frequency and price determination as outlined in the contract?		

4. Has the guaranteed return, capped subsidy, or break even, been applied to the non-profit food service account (only if applicable)?		
<b>List any Corrective Actions (if applicable)</b>		<b>Date Corrective Action Due</b>

**Other Comments: (Date and initial later additions such as follow-up on corrective action).**

\_\_\_\_\_  
Signature of LEA's Monitoring Official

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date