



Monitoring  
&  
The Corrective Action Process

# Monitoring

- Types of Monitoring Visits
- Frequency
- Timing
- Announced & Unannounced Reviews
- Scheduling
- Follow-up

# Responsibilities

- Monitoring visits
  - Pre-approval
  - New facilities
    - Visit within first 4 weeks of operations
  - Annual reviews
    - Meal service observation

# Responsibilities

- Annual reviews
  - Sponsors of Centers
    - 3 times/year
      - 2 unannounced
      - At least 1 unannounced meal observation
  - NSLP Schools
    - 2 times/year
      - 1 unannounced
      - At least 1 unannounced meal observation

# Monitoring

- Timing
  - Irregular schedule

Attempting to capture a snapshot of  
actual operations

# Monitoring: High-Need Facilities

- Review Averaging
  - A tool to assist struggling facilities
  - Visit high-need facilities more than 3 times a year
    - Fully compliant facilities visited reviewed less than 3 times
      - All visits are still less than 6 months apart*
  - Approved Justification
    - Submit monitoring schedule
    - Submit justification for using review averaging

# Monitoring

- Review Content
  - Total operations overview
    - Record Maintenance/Recordkeeping
    - Financial Management
    - Health & Safety
    - Civil Rights



**New for FY 2016**

# Monitoring

Five-day Reconciliation

New in FY 16

By Name Reconciliation

# Monitoring

- Five-day Reconciliation
  - Documents used
    - Enrollment
      - Top portion of IES
    - Attendance
    - Daily meal counts
  - Number of children reviewed
    - At least 10% of enrolled children per facility
      - Minimum 5 children (facilities with 50 or less children)
      - Random Sample

# Monitoring

- Five-day Reconciliation

Child's Name	Enrollment		Attendance				
	Day(s)	Time	Day 1	Day 2	Day 3	Day 4	Day 5
Taylor	M-F	8 am – 5 pm			x	x	x
Kamilah	M-F	8 am – 5 pm	x	x	x	x	x
Jesus	M-F	8 am – 5 pm	x	x	x	x	x
Josh	M-F	8 am – 5 pm	x	x	x	x	x
Aniyah	M-F	8 am – 5 pm		x	x		
Enrollment Totals			3	4	5	4	4

Date	Breakfast	AM Snack	Lunch	PM Snack	Supper	Evening Snack
Day 1	3	3	3	0	0	0
Day 2	4	4	4	0	0	0
Day 3	5	5	5	0	0	0
Day 4	5	5	5	0	0	0
Day 5	3	4	4	0	0	0

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Josh	M-F	8 am – 5 pm	x	x	x	x	x
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Day 4	5	5	5	0	0	0
Day 5	3	4	4	0	0	0

Areas to address:

- Meal totals on Day 4 are higher than Day 4 attendance.
- Breakfast total on Day 5 is less than Day 5 attendance.



## Corrective Action Process

# Corrective Action: A training tool

- **Summary of Findings**

List any problems that were noted during the visit and any related corrective actions that were initiated to correct the problems.

Review Item	Brief Description	Corrective Action	CA Due Date
<b>Meal service/ observation</b>	<ul style="list-style-type: none"><li>• James was given water at lunch.</li><li>• McKenzie drank almond milk from home with lunch.</li><li>• Both children were counted on the lunch meal count.</li><li>• The center has no Medical Substitution forms on file.</li></ul>		

# Corrective Action: A training tool

- **Summary of Findings**

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- Provide corrective action for problem areas

- Address issues early before the problem grows
- Follow-up to make sure corrective action has been implemented

# Monitoring

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