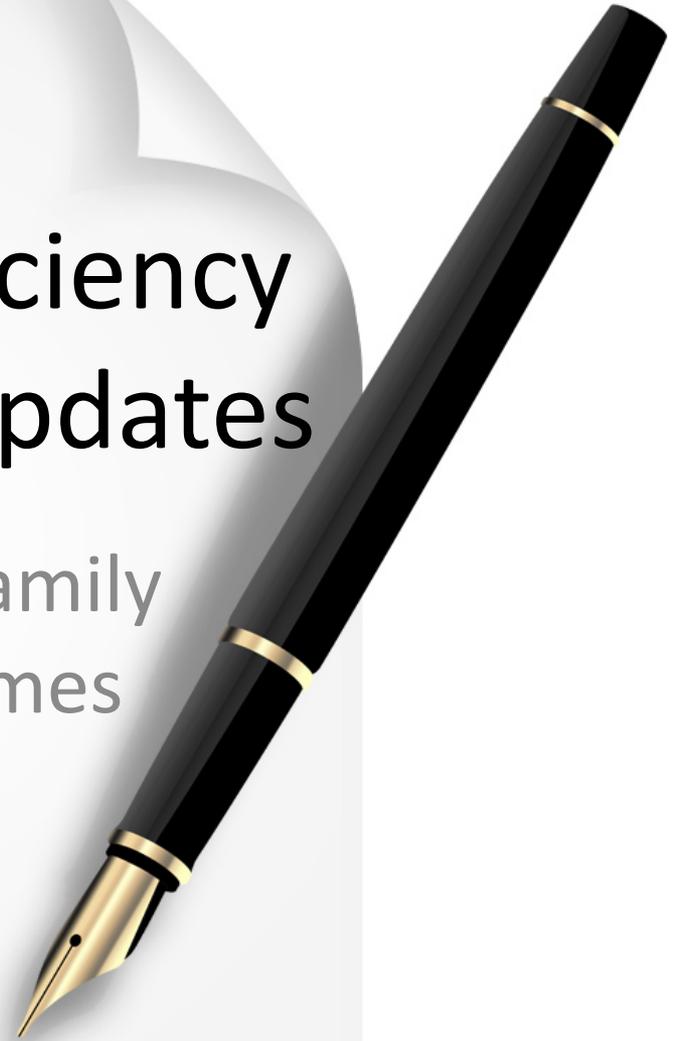


Serious Deficiency Handbook Updates

Sponsors of Family
Day Care Homes



Part 2: Serious Deficiency, Page 42

3. During a review, the sponsoring organization finds an area of non-compliance at a DCH that does not rise to the level of a serious deficiency. Can the sponsor require the provider to submit a written corrective plan?

CACFP regulations only require DCHs to submit written corrective action when the area of non-compliance rises to the level of serious deficiency [7 CFR 226.16(k)(3)].

However, any area of non-compliance must be corrected. FNS *suggests* that a sponsor require the provider to submit written corrective action.

Part 5: Suspension, Page 59

EXAMPLE:

- A provider is remodeling the entryway of the DCH and there are exposed wires in areas where the children play.
- The area is not sufficiently blocked off from the children for the days the area is being remodeled.
- The licensing official reviews the DCH during this time and notices that the children are playing with the builder's tools near the exposed wires while relatively unsupervised since the provider is preparing lunch.
- The licensing official immediately revokes the license pending correction, citing imminent threat to the health and safety of the children.

Part 10: NDL, Page 82

10. What is the role of FNS in approving removal of a DCH provider from the NDL?

Once on the NDL, a provider will remain on the list until

- SA determines that the SDs have been corrected
- Or until seven years after the agreement was terminated
- Or if the provider has failed to repay debt owed, it will remain on the list until the debt has been repaid.

The FNS Regional Office will review the documentation and give the final approval. The effective date of the removal will be the date the request is processed by FNS.

Part 10: NDL, Page 82

11. How long will FNS take to approve a removal request for a provider from the NDL?

There is no set time frame for this process and FNS may request additional information before adding or removing names from the NDL.

Temp. Defer Letters, Page 145 and 154

You must still implement procedures and policies to permanently correct the serious deficiency(ies). **Upon approval of an acceptable corrective plan, [sponsoring organization] will temporarily defer the determination that [provider] is seriously deficient.** If [sponsoring organization] initially determines that the corrective action is complete, but later determines that the serious deficiency(ies) has recurred, [sponsoring organization] **must** move to immediately issue a notice of intent to terminate and disqualify [provider].

Sample Corrective Actions

Submission of false claims for reimbursement; §226.16(l)(2)(ii)

SD: Provider appears to be claiming children not in attendance (such as meal counts submitted do not match what is observed).

CA: Keep sign in and out sheet of the children's arrival and departure times. These are to be filled out and signed off on by the parents daily.

Sample Corrective Actions

Non-compliance with the Program meal pattern; §226.16(l)(2)(iv)

SD: Meal Pattern not followed (based on menu or observation)

CA: Provide a detailed explanation of how you will ensure that the meal pattern is met.

Other ideas: require additional training, require premade menus, require food be on site for full days menu

Sample Corrective Actions

Failure to keep required records; §226.16(l)(2)(v)

SD: Records missing or not completed correctly

CA: Provide a detailed explanation for how you will ensure that records are maintained on site as required by [enter sponsor name]. Submit a copy of all updated records with your written corrective action.

Sample Corrective Actions

Failure to participate in training; §226.16(l)(2)(viii)

SD: Provider or center staff did not complete all mandatory training

CA: Require them to complete make-up training and describe how they will ensure completion of future trainings.

Sample Corrective Actions

Any other circumstance...; §226.16(l)(2)(ix)

SD: Provider repeatedly does not notify the sponsor when closed/not serving meals.

CA: Provide the procedure you will use to ensure that [*enter sponsor name*] is always notified, at least 15 minutes prior to approved mealtime, when meals will not be served.

Date of Birth

- Required for all individuals added to NDL
- Providers: CNPweb requires date of birth
- Centers: CNPweb requires date of birth of two responsible individuals for CACFP
- Include license holder date of birth as a CA, if they will also be seriously deficient.
- Include any additional center staff's date of birth, if they will also be seriously deficient.

New to Website...

Sponsoring Organization Resources

- [List of Required Records for Sponsors of SLE Centers](#) 
- [List of Required Records for Sponsors of Homes](#) 
- [Census Data](#)  **NEW**-updated for 2015
- [5-Day Reconciliation Process and Form](#) 
- [Change of Sponsor Form-Homes](#) 
- [Change of Sponsor Form-Centers](#) 
- [Household Contact Information](#)
- [Pre-approval Form Homes](#) 
- [Pre-approval Form-Centers](#) 
- [School Data](#)
- [Budget Handbook \(Sponsors of Homes and Separate Legal Entities\)](#) 
- [Family Day Care Homes Monitor Handbook](#)  
- [Monitor Form for Licensed Centers, Ministries, Adult Day Care](#) 
- [Monitor Form for At-Risk Afterschool Meals and Outside School Hours Programs](#) 
- [Sponsor-Center/Ministry Agreement](#) 
- [Sponsor-Provider Agreement](#) 
- [Serious Deficiency Resources](#)

FDC Sponsor Handbook

- [Section 1-1 Intro](#) 
- [Section 2-Eligibility](#) 
- [Section 3-Program Con](#)
- [Section 4-Reimbursable](#)
- [Section 5-Two-Tier Rei](#)
- [Section 6-Program Adm](#)
- [Section 7-Filing Claims](#)
- [Section 8-Program Doc](#)
- [Section 9-Visits, Review](#)
- [Section 10-Civil Rights](#)
- [Section 11-Procurement](#)
- [Section 12-Denials, Ter](#)
- [Section 13-Terms and](#)
- [Section 14-Forms for F Sponsors](#) 

FDC Sponsor Handbook Re

- [Eligibility and Contracts](#)
- [Reimbursable Meals \(se](#)
- [Reimbursement and Civ](#)

New To Website...

CACFP Serious Deficiency Resources

Posted: Mon, 07/06/2015 – 8:02am

Updated: Mon, 07/06/2015 – 9:07am

[Serious Deficiency, Suspension & Appeals Handbook](#)  

[Regulation Citations for Day Care Home Serious Deficiencies](#) 

Letter Templates for Sponsoring Organizations of FDC Homes:

- [Notice of Serious Deficiency for Day Care Home Providers](#) 
- [Notice of Successful Corrective Action and Temporary Deferment of Serious Deficiency for Providers](#) 
- [Notice of Proposed Termination and Disqualification for Providers – No Corrective Action Submitted](#) 
- [Notice of Proposed Termination and Disqualification for Providers – Required Corrective Action Not Acceptable](#) 
- [Notice of Termination and Disqualification for Providers – Provider Does Not Appeal](#) 
- [Notice of Termination and Disqualification for Provider – Sponsoring Organization Prevails in Appeal](#) 
- [Notice of Temporary Deferment of Serious Deficiency and Termination and Disqualification – Provider Prevails in Appeal](#) 
- [Notice of Serious Deficiency, Suspension, and Proposed Termination and Disqualification for Providers – Combined Notice for Imminent Threat to Health and Safety](#) 
- [Notice of Termination and Disqualification – Suspension and Proposed Termination and Disqualification – Provider Does Not Appeal](#) 
- [Notice of Termination and Disqualification – Imminent Threat to Health or Safety After Sponsoring Organization Prevails in Appeal](#) 
- [Notice of Temporary Deferment of Serious Deficiency, Suspension and Proposed Termination and Disqualification for Imminent Threat to Health or Safety After Provider Prevails in Appeal](#) 