Management Plan for a Sponsoring Organization

SPONSORING ORGANIZATION PROFILE

1(a) Institution’s Legal Name: _____________________________________________ Agreement Number: ___________

1(b) Institution’s Business Name (if different from above): _____________________________________________

1(c) Institution Type: ( ) State Government ( ) Local Government ( ) Federal Government ( ) Private For Profit

( ) Private Nonprofit

1(d) Business Organization: ( ) Sole proprietorship ( ) Corporation ( ) Limited Liability Company ( ) Partnership

( ) Other (please describe) ____________________

2. (Please check only one-Sponsoring Organizations of Centers Only) This sponsoring organization will accept

____ Commodities or ______ Cash in Lieu of Commodities. (Choosing this option does not automatically guarantee that this

option will be provided. Tabulation of requests will be made to determine the economic feasibility of providing commodities and

you will be notified as to the results.)

FINANCIAL VIABILITY AND FINANCIAL MANAGEMENT

3. For new sponsoring organizations only:

a. How will your participation in the CACFP help ensure the delivery of Program benefits to otherwise unserved facilities or

participants?

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

b. Please include a description of your proposed geographic area of service.

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

c. Provide a list of current or potential participants.

d. Describe or attach a copy of your recruitment policies and procedures. (Attach additional sheets if necessary)

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

4. Does this Sponsoring Organization plan to recruit non-participating facilities? Circle: Yes or No.

If yes, how? (check all that apply): __Workshops __Training activities __Conferences __General promotions (yellow

pages) __Mass mailing __Exhibits __Conference booths __ Other (list)________________________
5a. Does your organization provide non-CACFP services? _______yes _______no.

5b. If yes, please list services provided.
__________________________________________________________________________________________________________
__________________________________________________________________________________________________________
__________________________________________________________________________________________________________

5c. How does your organization cover these costs? (You cannot use CACFP funds to cover non-CACFP costs).
__________________________________________________________________________________________________________
__________________________________________________________________________________________________________

6. Identify all current revenue sources. Give average amount received monthly and total number of months received. Attach additional sheets, if necessary.

<table>
<thead>
<tr>
<th>Revenue Fund Source</th>
<th>Total Number of Months Received</th>
<th>Type (federal, state, county, private, etc.)</th>
<th>Purpose</th>
<th>Monthly Amount</th>
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<tbody>
<tr>
<td>CACFP</td>
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<tr>
<td>Tuition (parent fees)</td>
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<td>Department of Social Services (subsidy)</td>
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<td>Smart Start</td>
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<td>More At Four</td>
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<td>Other: please list</td>
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7. Please list all other resources available to the organization: (choose all that apply)

- office space
- desks
- office equipment
- human resources such as professional services, consultants, etc.
- computers
- real estate property
- printers
- motor vehicles
- Other (Please describe)
_________________________________________________________________________________________________

8. If this Sponsoring Organization should experience a temporary interruption of CACFP funds, how would it continue to operate? (Check all that apply): __Line of Credit/Loans ___Tuition/Parent fees ___Department of Social Services (subsidy) ___Sponsors savings account ___Grants ___Other (explain)____________________________

9. If this Sponsoring Organization must repay CACFP funds due to an overclaim, how would this be done? (Check all that apply): __Line of Credit/Loans ___Tuition/Parent fees ___Department of Social Services (subsidy) ___Sponsor’s savings account ___Withholding from monthly reimbursement ___Grants ___Other (explain)____________________________
ADMINISTRATIVE CAPABILITY

10. If your organization plans to recruit new homes and/or centers, please provide: An estimate of new homes _______ Estimate of new centers _______ NA _______

11. If your organization plans to recruit new homes and/or centers, how do you plan to manage this growth? (check all that apply)
   __ hire additional staff
   __ reassign staff
   __ purchase office equipment
   __ other (explain)
   __ NA

12. Write the NUMBER of facilities under your sponsorship for the current Program year.

   ___ Nonprofit Child Care Center
   ___ For profit Child Care Center (Title XIX and XX)
   ___ For profit Adult Day Care Center (Title XIX and XX)
   ___ Nonprofit Adult Day Care Center
   ___ Outside School Hours Care Center
   ___ Day Care Homes
   ___ Tier I
   ___ Tier II
   ___ Homeless Program
   ___ After School “At Risk” Program

13. a. Does your organization have bylaws available for review by the State Agency? _______yes _______no

13b. Attach an organizational chart reflecting CACFP employees.

13c. Please complete the chart below, indicating the person responsible for each CACFP area.

<table>
<thead>
<tr>
<th>CACFP Area</th>
<th>Person Responsible</th>
<th>Title</th>
<th>Qualifications</th>
<th>Hours worked per week</th>
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<tbody>
<tr>
<td>Satisfying meal pattern requirements</td>
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<tr>
<td>Classifying income eligibility applications</td>
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<tr>
<td>Taking point of service meal counts</td>
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<tr>
<td>Ensuring fiscal management</td>
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<td>Maintaining proper records</td>
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<td>Satisfying training requirements</td>
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<td>Sanitation</td>
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<tr>
<td>Satisfying civil rights requirements</td>
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<tr>
<td>Monitoring</td>
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<td>Other:</td>
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For Sponsoring Organizations with 50 homes and/or 25 centers or more, please complete questions 14-15. All others, skip to question 16.

13d. Please check the method you will use to determine the effective date of your Income Eligibility Applications (IEA). Must check one of the boxes below. Whatever method you choose must be applied to all income eligibility forms submitted on behalf of all participants in all centers and homes.

- [ ] The date the parent or guardian signs the IEA (not applicable for schools)
- [ ] The date the sponsor official signs the IEA
- [ ] The date the IEA is submitted (only applicable for schools)
- [ ] IEAs not required (Check one below)
  - [ ] Head Start
  - [ ] At-Risk Afterschool
  - [ ] Emergency Shelter

DHHS CAC 8G – Sponsoring Organization
Submit all copies to SNP Consultant
(2/15) Page 3 of 10
For Sponsoring Organizations of Day Care Homes Only:

14 a. Provide a list of employees who have monitoring related duties, describe these duties and provide the total amount of hours worked each month and the number of hours spent on monitoring related duties during the month. Attach additional sheets if necessary.

<table>
<thead>
<tr>
<th>List of Monitors</th>
<th>Description of Monitoring Duties</th>
<th>Hours Worked Per Month</th>
<th>Hours Per Month Monitoring</th>
</tr>
</thead>
<tbody>
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</table>

14 b. List the monitors, their territories, number of sites monitored and estimated daily mileage to perform monitoring duties. Attach additional sheets if necessary.

<table>
<thead>
<tr>
<th>Monitor</th>
<th>Territories</th>
<th>Number of Sites</th>
<th>Daily Mileage</th>
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</table>

14 c. Please complete the monitoring schedule below. List all facilities/providers individually. (Attach additional sheets as necessary and label attachment.)

<table>
<thead>
<tr>
<th>PROJECTED MONITORING SCHEDULE FOR CURRENT FISCAL YEAR</th>
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<tbody>
<tr>
<td>Individual Site Name</td>
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...
For Sponsoring Organizations of Centers Only:
15.a. Provide a list of employees who have monitoring related duties. Describe the duties and provide the total amount of hours worked each month and the number of hours spent on monitoring related duties during the month. Attach additional sheets if necessary.

<table>
<thead>
<tr>
<th>List of Monitors</th>
<th>Description of Monitoring Duties</th>
<th>Hours Worked Per Month</th>
<th>Hours of Monitoring Per Month</th>
</tr>
</thead>
<tbody>
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</table>

15. b. List the monitors, their territories, number of sites monitored and estimated daily mileage to perform monitoring duties. Attach additional sheets if necessary.

<table>
<thead>
<tr>
<th>Monitor</th>
<th>Territory(ies)</th>
<th>Number of Sites</th>
<th>Daily Mileage</th>
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</table>

15. c. Please complete the monitoring schedule below. List all facilities individually. Attach additional sheets as necessary.

<table>
<thead>
<tr>
<th>Projected Monitoring Scheduled for Current Fiscal Year</th>
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<tbody>
<tr>
<td>Individual Site Name</td>
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16. If a monitor is unavailable to perform the monitoring duties, how will the sponsoring organization ensure that the facilities are monitored in accordance with 7 C.F.R. §226.16.

17. Provide a copy of each of the following CACFP policies. Policies must be in compliance with 7CFR Part 226.
   a. Policies and procedures that assign CACFP responsibilities (job descriptions)
   b. CACFP Outside Employment Policy
   c. (For Day Care Homes Sponsors Only) – CACFP Administrative Review (Appeal) Policy

18. Provide a copy of the information provided to the parents informing them of this Sponsoring Organization’s participation in CACFP. (Example: “Building for the Future” flyer with Sponsoring Organization’s complete contact information) (sample included)
### PROGRAM ACCOUNTABILITY

For Private Non-Profit and For-Profit Corporations ONLY:

19(a). What is the schedule for your board meetings?
19(b). Complete chart for Board of Directors.

<table>
<thead>
<tr>
<th>Board Member</th>
<th>Position on Board</th>
<th>Mailing Address (Street, City, State, ZIP Code)</th>
<th>Area code + phone number</th>
<th>Relationship to other board members or employees</th>
<th>Employed at the center?</th>
<th>Compensation for serving on board (yes or no)</th>
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<tbody>
<tr>
<td>Chairman</td>
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20. For Private Non-Profit and Private For-Profit Corporations:

a. What oversight / supervision does the board of directors have for the Sponsoring Organization’s participation in the CACFP? (check all that apply).
   - _____ policy making
   - _____ fiscal guidance
   - _____ ongoing governance
   - _____ reviews sponsoring organizations policies, programs and budgets
   - _____ decision making on compensation and other areas of program operations
   - _____ board minutes document decisions which are made
   - _____ personnel decisions, including hiring and firing the Institution’s Executive Director
   - _____ other (please explain)

b. Please attach your organization’s governing board policies/procedures for oversight of your organization.
21. How does your organization determine Financial Responsibility for the following topics:
   a. Fiscal integrity and accountability for all funds and property received, held and disbursed?
      • Does the organization have a separate bank account for CACFP? _____ Yes _____ No
      • List name and address of bank(s) where CACFP funds are deposited? ____________________________
      • What is the organization’s accounting method?
        _____ Cash   _____ Accrual   _____ Modified Accrual
      • CACFP transactions are recorded on? (Check all that apply.)
        ______ Paper ledger
        ______ Accounting software. Provide name of software: _____________________________
        ______ CACFP cash receipts and disbursement journal
        ______ Other (Specify/Explain) _______________________________________________________
      • CACFP transactions are backed up by what system? (Check all that apply.)
        ______ Paper ledger
        ______ Accounting software. Provide name of software: _____________________________
        ______ CACFP cash receipts and disbursement journal
        ______ Other (Specify/Explain) _______________________________________________________
   b. The integrity and accountability of all expenses incurred?
      • What documentation is maintained on file to support CACFP expenditures? (Check all that apply.)
        ______ Itemized receipts, invoices and bills
        ______ Bank records
        ______ Rental Agreements
        ______ Timesheets
        ______ Payroll records
        ______ Contracts
        ______ Tax returns
        ______ Board Minutes
        ______ Cost Allocation Plans
        ______ Depreciation Schedules
        ______ Travel records
        ______ Other (Specify/Explain) ____________________________
      • How frequently are CACFP transactions recorded in your accounting system?
        _____ Daily       _____ Weekly       _____ Monthly       _____ Other (Specify)_________________
      • How frequently are the CACFP receipts and expenditures compared to the budget?
        _____ Daily       _____ Weekly       _____ Monthly       _____ Other (Specify)_________________
   c. That claims are processed accurately and in a timely manner?
      ______ Point of meal service counts are used by centers and/or homes for preparing the daily meal count record.
      ______ Claims are reviewed by a second party for accuracy prior to being submitted for reimbursement.
      ______ Regulatory edit checks are performed prior to claim submission.
      ______ Claims are uploaded using an automated program. List program: ___________________________
        ______ Other (Specify) ____________________________
   d. That funds and property are used and expenses incurred for authorized Program purposes only? (Check all that apply.)
      • How is it ensured that the CACFP is operated as a non-profit program?
        ______ Review year to date expenditures to ensure no more than three months operating balance is available for
        ______ CACFP allowable costs exceed the CACFP reimbursement.
        ______ Budget is amended as necessary to ensure all CACFP expenditures are approved prior to being incurred.
• How is it ensured that CACFP funds are used only for necessary, reasonable, and allowable costs?
  ____ FNS Instruction 796-2, Rev. 4 is used as reference for determining allowable and unallowable costs.
  ____ Cost allocation plans are used for costs shared between programs.
  ____ Only costs included in annual budget are expensed
  ____ Receipts are reviewed to ensure no unallowable costs are accounted for as CACFP costs.
  ____ Other (Specify) ______________________________________

e. That a system of safeguards and controls is in place to detect and prevent improper financial activities (fraud) by employees?  (Check all that apply.)
  ____ The organization has a separation of CACFP duties between two or more persons.
  ____ Different persons are responsible for receipt and expenditure of funds.
  ____ More than one signature is required for checks used for paying CACFP expenditures.
  ____ Accountant prepares monthly reports and yearly income tax returns.
  ____ Annual audits are performed.
  ____ Board reviews CACFP expenditures and gives approval prior to purchases being made.
  ____ Board makes fiscal decisions for CACFP.
  ____ CACFP duties are rotated periodically within the organization.
  ____ Inventory is taken periodically for items purchased with CACFP funds.
  ____ Other (Specify) ______________________________________

22. Sponsors of Centers Only: Does your Sponsoring Organization plan to claim administrative costs? ___yes  ___no
   If yes, how will you ensure that the administrative costs allocated to CACFP will not exceed the amount of administrative cost
   approved by the state agency?  (check all that apply)
   ____ tracks actual expenditures against approved budget
   ____ amends budget that considers year to date expenditures
   ____ other (please explain)

23. Indicate your system for maintaining appropriate records to document CACFP requirements. (All items in bold must be checked
   and check any other items that apply)
   ____ Records are maintained at (write complete address where CACFP records are kept) ______________
   ____ Records are maintained for 3 years, plus the current year
   ____ Records are maintained according to 7CFR §226.15(e)
   ____ Copies of records are maintained at each facility (attendance, point-of-service meal counts, menus, receipts,
   medical documentation for special dietary needs, provision of iron fortified infant formula, enrollment
   forms).
   ____ Other (Please explain)

24. Provide the Sponsoring Organization’s schedule for training the Sponsoring Organization’s staff on CACFP requirements for the
   upcoming fiscal year.  (This does not include training conducted by the State agency).

<table>
<thead>
<tr>
<th>Date (month, year)</th>
<th>Areas of Training</th>
<th>Sponsor’s Trainer</th>
<th>Attendees</th>
<th>Location Site</th>
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25. Provide the schedule for training sponsored facilities on CACFP requirements for the upcoming fiscal year.  (This does not
   include training provided by the State agency.)

<table>
<thead>
<tr>
<th>Date (month, year)</th>
<th>Proposed Topic of Training</th>
<th>Sponsor’s Trainer</th>
<th>Attendees</th>
<th>Location Site</th>
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For Sponsoring Organizations of Day Care Homes, please complete questions 26 -28. For others, skip to question 29.

26. What verification method will be used to make Tier I determinations? (check all that apply)
   __ Elementary school data
   __ Obtain and verify family size and income / categorical eligibility information from the provider
   __ Census data

27. How will Tier II day care homes be notified of their options for reimbursement? Please attach copy.

FACILITY LEVEL OPERATIONS

28. In addition to maintaining menus to document compliance with 7 CFR §226.20; serving meals that include creditable foods for all required components in appropriate quantities; and modifying meals to meet individual’s required dietary modifications and special needs, how will this Sponsoring Organization ensure that facilities under its sponsorship are providing meals that meet the meal patterns set forth in 7 CFR § 226.20? (Check all that apply)
   _____ consults Food Buying Guide
   _____ consults Crediting Foods in the CACFP
   _____ menus are reviewed by Sponsoring Organization to ensure compliance
   _____ provides training on meal pattern requirements
   _____ other (please explain)

29. How will this Sponsoring Organization ensure that facilities under its sponsorship comply with licensure or approval requirements set forth in 7 CFR § 226.6(d) AND §226.6(e)? (Check all that apply)
   _____ facilities are licensed by county, state or federal agency
   _____ sponsor takes appropriate action or reports license or approval requirement violations when observed
   _____ sponsor reports to proper local and state authorities when they observe that health and/or safety of participants is imminently threatened in facility
   _____ sponsor approves the facilities that are not licensed by a county, state or federal agency and uses the alternate approval form supplied by the state agency
   _____ other (please explain)

30. How does this Sponsoring Organization ensure that facilities under its sponsorship have a food service that complies with applicable state and local health and sanitation requirements? (Check all that apply)
   _____ facility staff practices sanitary measures while preparing and serving meals
   _____ provide sanitation training
   _____ semi-annual or annual inspections by local sanitarian
   _____ other (please explain)

31. Indicate how this Sponsoring Organization will ensure that facilities under its sponsorship comply with civil rights requirements. (All items in bold must be checked and add any other items that apply)
   _____ offers CACFP Program and serves meals to all enrolled participants regardless of race, color, sex, age, disability, or national origin
   _____ includes the nondiscrimination statement and complaint procedure in advertisements when referencing admissions and/or the CACFP
   _____ “And Justice for All Poster” on display for public viewing (centers only)
   _____ racial/ethnic data collected annually based on currently enrolled participants
   _____ other (please explain)
32. Indicate how this Sponsoring Organization will ensure that facilities under its sponsorship maintain complete and appropriate records on file. (All items in bold must be checked and add any other items that apply)
   ____ training is provided on recordkeeping requirements
   ____ facility maintains records for the required period of time to document all required items including, but not limited to application materials, minutes from board meetings, procurement actions, food cost documentation, and all records to support the claim for reimbursement (including menus, enrollment, attendance, point-of-service meal counts, meal substitutions, free and reduced-price applications, and Title XIX and XX status)
   ____ other (please explain)

33. Indicate how this Sponsoring Organization will ensure that facilities under its sponsorship claim reimbursement only for eligible meals. (All items in bold must be checked and add any other items that apply)
   ____ meal counts taken at point of service
   ____ reimbursement does not exceed two meals and one snack or one meal and two snacks per child per day
   ____ each participant claimed is enrolled and attending the facility
   ____ a menu that meets meal pattern requirements is submitted for each meal claimed
   ____ (Day Care Home Sponsors Only) provider’s own children are claimed only if the child is enrolled with documented eligibility, and other enrolled children are in care and claimed for the same meal(s) (day care home only)
   ____ reimbursement is not claimed for meals served in excess of the facility’s authorized capacity or actual attendance
   ____ only approved meal types are claimed
   ____ meals are only claimed for approved facilities
   ____ meals are only claimed for participants that are within the regulatory age limit
   ____ Title XIX and/or XX status is verified monthly (For-profit centers only)
   ____ parental contacts
   ____ other (please explain)

34. Indicate this Sponsoring Organization’s procurement (purchasing) policy. (Check all that apply)
   ____ small purchase procedures “Comparison Shopping”
   ____ competitive sealed bids-formal advertising ($100,000 or more)
   ____ competitive negotiation * (requires prior written state agency approval)
   ____ non-competitive negotiation * (requires prior written state agency approval)

CERTIFICATION AND SIGNATURE

The representations made herein on behalf of the Institution are true and correct to the best of my knowledge. I understand that these representations are being made in connection with the receipt of federal funds and that deliberate misrepresentation may subject me to prosecution under applicable state and federal criminal statutes.

I certify that this Sponsoring Organization and none of its principals are disqualified from participating in the CACFP.

I further certify that none of the facilities and none of the principals of the facilities is disqualified from participating in the CACFP.

As a sponsor of day care homes, I certify that the day care home provider’s own children enrolled in the CACFP are eligible for free or reduced price meals.

Signature on Behalf of Sponsoring Organization:

________________________________________  _____________________
Authorized Representative                        Date

Printed Name