

Texas Department of Agriculture Food & Nutrition, School Operations Finding Sheets, 2011-2012 Critical and General Areas of Review

The finding sheets are broken down into two pieces, Critical Areas of Review and General Areas of Review. Critical Areas of Review could cause the Texas Department of Agriculture (TDA) to conduct a follow up review or to take fiscal action against a Contracting Entity (CE). The Critical Areas are broken down into the Performance Standard One (PS-1) and Performance Standard Two (PS-2). The PS-1 encompasses Counting and Claiming, Eligibility Certification and Benefit Issuance. The PS-2 encompasses Meal Components and Menu Items. The General Areas of review encompass all other federal and state requirements and can cause fiscal action against a CE, if necessary.

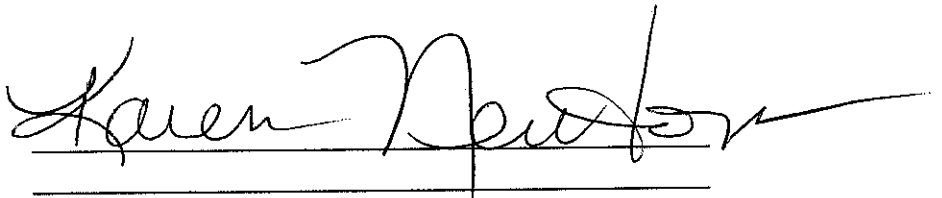
Name(s) of Attendee (s) at Exit Conference:

Pat White, Child Nutrition Director
Becky Sanford, Secretary

School (s) Reviewed:

Colorado ISD

CE Name: Colorado ISD
CE ID or Co Dist No.: 168901
ESC Region: 14
Date of Review: 2/21/2012
Review Type: Initial
Lead Reviewer Signature:
School Operations Monitor:
School Operations Monitor:
School Operations Monitor:
School Operations Monitor:



Critical Areas of Review

Counting and Claiming, PS-1

1.) The CE reviewed did not have an accurate system for counting and recording meals claimed for reimbursement (Day of Review or Claim).

X

Comment: There was a non-systemic error in the counting and claiming for the month of review for the paid category on 1/5/2012.

2.) The CE reviewed had a clerical error in the system for counting and recording meals claimed for reimbursement (Day of Review or Claim)

Comment:

3.) The total lunch counts by category for the review period were not correctly consolidated and claimed by the CE (Month of Review).

Comment:

4.) The CE had a clerical error in the system for consolidating meal counts claimed for reimbursement (Month of Review).

Comment:

5.) Meal counts by category for the review period were not reasonable compared to meal counts for the day of review.

Comment:

6.) There were days when the free meal count exceeded the number of free eligible students.

Comment:

7.) There were days when the free meal count exceeded the number of attendance adjusted eligible students.

Comment:

8.) There were patterns in the free, reduced or paid meal counts that appeared questionable.

Comment:

9.) Second meals are served to students and claimed for reimbursement.

Comment:

10.) Ineligible meals are being served and claimed for reimbursement.

Comment:

11.) Provision 2: The lunch count totals were not correctly distributed to each category by using the CE's claiming percentages established in the base year due to clerical error.

Comment:

12.) Provision 2: The counts by category were not recorded correctly due to clerical error.

Comment:

13.) Provision 2: The lunch counts by category were incorrectly determined using the claiming percentages established in the base year.

Comment:

14.) Provision 2: The group-wide percentages were not calculated correctly.

Comment:

15.) Provision 2: The lunch count totals were incorrectly distributed to each category by using the CE's claiming percentages established in the base year.

Comment:

16.) Provision 2: The counts by category were not recorded correctly.

Comment:

General Comments about Counting and Claiming:

Eligibility Certification, PS-1

1.) 2 out of the 56 free and reduced price meal applications reviewed in the CE were incorrectly approved/denied.

Comment: No applications did not have the Social Security # listed. Both applications were corrected day of review.

2.) Categorical eligible determinations, including Direct Certification (DC), Migrant, Homeless, Foster Children, Runaway, Head start and Even start, were not correct.

Comment:

3.) DC documentation was not maintained or updated by the CE.

Comment:

4.) The CE did not utilize the DC list.

Comment:

5.) Documentation of DC does not contain the required information.

Comment:

6.) Provision 2: base year applications, certification documents and meal counts by category were not retained by the CE and available for review.

Comment:

General Comments about Eligibility Certification:

Benefit Issuance/Updating Eligibility, PS-1

1.) Errors were discovered during a review of names on the roster/list(s).

Comment:

2.) Changes in eligibility status were not made within the appropriate time frames.

Comment:

3.) The CE did not process applications within 10 operating days of receipt.

Comment:

4.) The CE did not follow "Eligibility Guidance" for conversion to annual income if more than one frequency was given and non-conversion if only one frequency was given.

Comment:

General Comments about Benefit Issuance/Updating Eligibility:

Meal Components/Menu Items, PS-2

1.) Under the food-based menu plan: there were missing components on the day of review OR Under the Nutrient Standard menu plan: the menu planned was not the menu served (Missing Component).

Comment:

2.) Under the food-based menu plan: On the day of review meal components were insufficient. Under the Nutrient Standard menu plan: The CE has not met SMI tolerant levels for calories, total fat, saturated fat, vitamin A, C, iron or calcium during the week of review (Insufficients, non PS-2).

Comment:

3.) 0 observed breakfast/lunches claimed for reimbursement did not contain the correct number of items required by the menu planning approach (Incomplete Meals).

Comment:

4.) Under the food-based menu plan: there were missing components during the review period OR Under the Nutrient Standard menu plan: the menu planned was not the menu served (Missing Component, non PS-2).

Comment:

5.) Under the food-based menu plan: During the review period, meal components were insufficient. Under the Nutrient Standard menu plan: The CE has not met SMI tolerant levels for calories, total fat, saturated fat, vitamin A, C, iron or calcium during the review period (Insufficients, non PS-2).

Comment:

7.) Food Production Records are not available and/or not completed daily.

Comment:

General Comments about Meal Components and Menu Items:

General Areas of Review

Free and Reduced Price Process

1.) The approved copy of the CE's Free and Reduced-Price Meals Policy Statement was not available.

Comment:

2.) The collection procedures used are not the same as those on the approved Policy Statement, including providing up to three replacement cards at no charge.

Comment:

3.) The CE utilizes vending machines for reimbursable meals and is not following applicable rules and regulations.

Comment:

4.) The (reviewing official, hearing official, collection method, menu system) is/are not implemented as approved in your Free and Reduced-Price Meals Policy Statement.

Comment:

5.) The approved state prototype forms and form letters were not used.

Comment:

6.) All families were not given a free and reduced price meal application at the beginning of the school year.

Comment:

7.) The system as implemented does not prevent overt identification of students receiving free and reduced price benefits at meal service and at any other time.

Comment:

8.) Households for whom benefits are reduced or terminated are not given a written notice 10 operating days prior to the change.

Comment:

9.) The CE did not follow recommended procedures for handling temporarily approved applications.

Comment:

10.) Applications are not readily retrievable by school. Applications do not match the total number of campuses listed in TX-UNPS.

Comment:

11.) Incorrectly denied free and reduced price applications are disproportionately composed of minority applications.

Comment:

General Comments about Meal Components and Menu Items:

Verification

1.) Verification was not completed by November 15th.

Comment:

2.) The CE did not establish the verification sample pool based on the total number of approved applications on file as of October 1.

Comment:

2.) The applications subject to verification were improperly selected in accordance with the sample size option used.

Comment:

3.) The CE selected more or less than the allowable for the sample size option used for verification.

Comment:

4.) The CE chose to replace applications selected for verification. This process was done incorrectly and not limited to 5% of the applications selected.

Comment:

5.) The CE did not conduct the confirmation review.

Comment:

- 6.) Households were not informed that acceptable documentation for verification could be for any point in time between the month prior to application and the time the household is required to provide documentation.

Comment:

- 7.) The CE did the direct verification process incorrectly.

Comment:

- 8.) The verification process is not documented by the district summary, verification record and application.

Comment:

- 9.) The CE did the wrong type of verification.

Comment:

- 10.) The CE did not follow the required procedures when the confirmation review did not validate the original determination.

Comment:

- 11.) The CE did not meet the follow-up requirements when the household did not respond to the request for verification.

Comment:

- 12.) The verification letter did not include a toll-free phone number for households to call the CE for questions.

Comment:

- 13.) Verification was not conducted.

Comment:

- 14.) There are additional problems identified with the verification process.

Comment:

General Comments about Verification:

Meal Patterns

- 1.) **Food Production Records are incomplete.**

X

Comment: On 1-12-2012 during the month of review on the food production records, the unit amount for beans should be 37.2 servings and not 43.3 and on 1-23-2012 the unit amount for carrots was left blank.

[Empty rectangular box]

2.) Fluid milk (1% unflavored, fat free/skim any flavor) was not available in at least two varieties throughout the serving period on all serving lines.

[Empty square box]

Comment:

3.) Offer versus serve is not properly implemented based on the menu planning approach used.

[Empty square box]

Comment:

4.) The number of servings of grains/breads did not meet the minimum weekly requirements for lunch.

[Empty square box]

Comment:

5.) Labels and/or product analysis sheets do not document that only whole grain or enriched grain/bread items are purchased and used in the reimbursable meal.

[Empty square box]

Comment:

6.) CN labels or product analysis sheets were not available for all purchased prepared meat/meat alternate items (juice and vegetable products as needed).

[Empty square box]

Comment:

7.) The CE has not reduced trans fats.

[Empty square box]

Comment:

General Comments about Meal Patterns:

Compliance

1.) The CE did not send out a public release to the media and community/grassroots organizations that includes the letter to parents, application form and complete income eligibility criteria. OR the copy of the public release is not on file.

[Empty square box]

Comment:

Provision 2: The simplified public release stating that nutritious meals are served to all children at no cost was not sent to the media.

[Empty square box]

Comment:

2.) If the CE received a Civil Rights complaint, it has not been reported to the State Agency.

[Empty square box]

Comment:

4.) The CE has not established procedures to receive complaints alleging discrimination.

[Empty square box]

Comment:

5.) Program benefits are not made available and provided to all children without discrimination on the basis of their race, color, national origin, sex, age, or disability.

[Empty square box]

Comment:

6.) There is separation by race, color, sex, handicap, age or national origin in: eating periods, seating arrangements, serving line, eating areas.

Comment:

7.) The CE did not conduct Civil Rights training to all CN funded staff annually.

Comment:

8.) The correct nondiscrimination statement where a complaint may be filed is not included on appropriate program materials.

Comment:

9.) Bilingual services (translators and materials) are not available for the Limited English Proficiency (LEP) population.

Comment:

10.) Disabled students are not provided program benefits as prescribed by regulations (including special dietary needs) as appropriate.

Comment:

11.) The USDA/FNS approved poster is not displayed in a prominent place in the school where it is visible to recipients.

Comment:

12.) Records were not maintained for five years after the final claim for reimbursement for the fiscal year or until resolution of any audits.

Comment:

12.) Children have been denied a meal (s).

Comment:

14.) The CE does not have a documented plan to involve students and parents in the programs.

Comment:

15.) The CE did not respond accordingly and timely with the SMI CAP.

Comment:

General Comments about Compliance:

Monitoring Responsibilities

1.) An on-site review of the meal counting and claiming procedure was not completed and documented prior to February 1.

Comment:

2.) Onsite Review: A follow-up review was not conducted within 45 days to ensure that the school implemented corrective action.

Comment:

3.) Onsite Review: Corrective action of the meal counting and claiming procedure was not developed as needed.

Comment:

4.) Prior to the submission of a claim, attendance adjusted eligible's by category are not compared to daily meal counts for each school.

Comment:

5.) Daily counts that exceed the attendance adjusted eligible edit check have not been evaluated prior to consolidation.

Comment:

6.) Provision 2: Prior to the submission of a claim for reimbursement, attendance adjusted enrollment was not compared to the total daily meal count for each school during the review month.

Comment:

7.) Daily counts for the review month that exceeded the attendance adjusted enrollment edit check have not been evaluated prior to consolidation.

Comment:

General Comments about Monitoring Responsibilities:

After School Care Program

1.) Snacks served did not meet minimum requirements.

Comment:

2.) Production records are not kept on snacks claimed for reimbursement.

Comment:

3.) Snacks are not priced as a unit.

Comment:

4.) The charge for a reduced-price snack is not 15 cents or less.

Comment:

5.) There is no collection procedure for non/area-eligible students.

Comment:

5.) There are no roster/sign-in sheets to document student participation on a daily basis.

Comment:

6.) Records kept are not showing actual counts on a daily basis.

Comment:

7.) Reimbursement is claimed for more than one snack, per child, per day.

Comment:

8.) Snacks are not claimed according to the school's eligibility (i.e. Area Eligible -all free, Non-Area Eligible).

Comment:

9.) The After School Care Program does not include educational/enrichment activities.

Comment:

10.) The CE has not monitored the After School Care Program within the required time frames.

Comment:

11.) The CE has not retained administrative and management responsibility for the program.

Comment:

12.) Snacks were not claimed according to the school's area eligibility.

Comment:

13.) The After School Care Program did not include an educational/enrichment activity.

Comment:

General Comments about the After School Care Program:

Financial

1.) The CE is not reimbursing the Child Nutrition account its prorata share of the exclusive beverage contract.

Comment:

2.) Un-allowable food items are being sold during meal periods in the food service area (USDA Policy).

Comment:

3.) No financial documents were available on the day of review.

Comment:

4.) The remaining cash/investment balance for Child Nutrition has not been carried forward from the previous year.

Comment:

5.) CE employees paid from the Child Nutrition account do not have direct responsibility to the operation of the programs.

Comment:

8.) Competitive procurement procedures were not used on purchases of \$100,000 or more for RCCI's and private schools and \$50,000 for public schools.

Comment:

9.) The CE is not purchasing items as awarded.

Comment:

10.) Contracts over \$100,000 do not include a statement requiring each responsive bidder to include a Certificate of Debarment and Suspension, Certification Regarding Lobbying, and the Clean Air/Clean Water Act.

Comment:

11.) The CE uses cost-plus-percent of cost.

Comment:

12.) Meals are not priced as a unit at each serving area where meals are claimed for reimbursement.

Comment:

13.) Reduced prices charged exceed the maximum allowable.

Comment:

14.) The CE has not adjusted their paid meal pricing (reauthorization), if required.

Comment:

15.) Adult meal prices are not sufficient to cover the actual costs of the meals.

Comment:

16.) Serving areas where meals are claimed for reimbursement are not open to students receiving free and reduced and paid price meal benefits. (No all cash lines are claimed for reimbursement.)

Comment:

A record keeping system on program income by adults and children has not been maintained.

Comment:

17.) There is no record of interest from invested revenue being posted to the Child Nutrition account.

Comment:

18.) The Child Nutrition account net cash resources exceed three months operating costs and the SFA did not submit an approved plan to TDA.

Comment:

19.) Some or all expenses charged to Child Nutrition are not allowable.

Comment:

19.) TDA reimbursements including State Matching funds have not been deposited/coded into the Child Nutrition Account.

Comment:

21.) A record keeping system on program expenditures by food, labor, and other is not maintained.

Comment:

22.) The CE had other financial findings.

Comment:

General Comments about Financial:

Texas Public School Nutrition Policy (TPSNP)

1.) School (s) was/were not in compliance with the TPSNP.

Comment:

General Comments about TPSNP:

Wellness Plan

1.) The CE has not adopted a Wellness Plan.

Comment: There is no adopted Wellness Plan on file.

2.) The CE has not implemented a Wellness Program.

Comment:

General Comments about the Wellness Plan:

Food Safety Sanitation

1.) The CE does not have an approved HACCP policy on file that includes standard operating procedures.

Comment:

2.) The CE did not maintain: temperature logs, food preparation process charts and/or Standard Operating Procedures.

Comment:

3.) HACCP training has not been conducted and documented with employee participation.

Comment: The CE had no documentation of HACCP training.

4.) Observations on the day of review indicate principles of the program have not been implemented.

Comment:

5.) The Health Inspector does not visit the CE at least twice per year.

Comment: The CE has not had a health inspection this school year.

6.) The most recent food safety inspection report is not posted in a publicly visible location.

Comment:

General Comments about Food Safety Sanitation:

Food Service Management Company (FSMC)

1.) There were findings concerning the FSMC.

Comment:

General Comments Pertaining to the CRE:

The Child Nutrition Staff at Colorado ISD were very friendly and helpful in helping to facilitate the Coordinated Review Effort. The documentation for the review was very efficiently organized and in excellent order. Applications were very well documented as well. The cafeteria staff were friendly with the students and students seemed happy while going through the line. Colorado ISD is doing a great job of implementing the National School Lunch Program.