Attachment N1. Off-site Assessment Tool

Administrative Review Off-site Assessment Tool

General Instructions/Intent

The *Off-site Assessment Tool* encompasses questions about and requests for information from the School Food Authority (SFA) with regard to several of the monitoring areas of the Administrative Review. This tool is designed to decrease the amount of time needed for the on-site portion of the review, as well as provide both the State Agency (SA) and SFA with essential information to help the reviewer focus on any areas of non-compliance and target any technical assistance that may be necessary while on-site.

The Tool is intended to be completed off-site prior to the on-site portion of the administrative review, and used by the SA as a method to gather some of the information necessary to complete the administrative review. Some of the requested information may already be on-file at the SA, while other areas may require input from the School Food Service Director, or other appropriate SFA points of contact. The SA may contact the SFA for input on these questions using whatever method is most appropriate (email, phone call, etc.), and should work collaboratively with the SFA to gather all requested information. Electronic submission of documentation is encouraged wherever possible. The SA may begin completing the *Off-site Assessment Tool* as far in advance of the on-site review as is deemed necessary. If the tool is utilized as intended, the reviewer should be prepared to provide any technical assistance that may be necessary during the on-site portion of the review.

Resource Management is the only section in which the completion of an off-site assessment is required. The SA must secure the SFA's answers to the Resource Management questions contained in the *Off-site Assessment Tool* prior to reviewing Resource Management. The goal of collecting the SFA's answers in the Resource Management section of the *Off-site Assessment Tool* is so that the SA can determine if a Comprehensive Resource Management Review will be needed for any of the four Resource Management areas. If a comprehensive review is necessary, the SA must work with the SFA to determine if the comprehensive review of any Resource Management areas will occur on-site or off-site. If the SA will be unable to secure the necessary documentation to conduct the review off-site, the SA must conduct the Resource Management Comprehensive review on-site. All other sections of the *Off-site Assessment Tool* may be completed on-site at the discretion of the SA. Regardless of format and timing, all responses to all other sections must be completed no later than the first day of the on-site portion of the review.

In addition to the completion of the *Off-site Assessment Tool*, the SA is required to select sites for review (see Site Selection Procedures in Administrative Review Manual). Once site selection has been completed, SA must complete the *Meal Compliance Risk Assessment Tool* for each site selected for review. The site with the highest score is most at risk for noncompliance with the required meal pattern and must receive a targeted menu review (see Dietary Specifications and Nutrient Analysis module for options to complete targeted menu review). If the SA chooses to use the *Dietary Specifications Assessment Tool* to complete the targeted menu review, an off-site review of documentation is required.

During the off-site assessment phase, the SA should document any technical assistance provided and any corrective action implemented by the SFA. Regardless of when corrective action occurs, all findings must be documented in the final report.

Section II: Meal Access and Reimbursement

Reminders:
The SA should attempt to answer questions using available data before contacting the SFA.

In addition to completing the questions on the *Off-site Assessment Tool*, the SA should follow the instructions for selecting the students for certification and benefit issuance review as described in the Certification and Benefit Issuance Module in the Administrative Review Manual.

The SA must ensure that the information the SFA provides to answer these questions mirrors the current free and reduced-price policy statement on file with the SA.

The SA should notify the SFA that all verification materials must be available at the SFA's central office for the on-site portion of the review.

Section III: Meal Pattern and Nutritional Quality

Reminders:
In order to complete this section of the *Off-site Assessment Tool,* the SA must complete the *Meal Compliance Risk Assessment Tool* for **each of the sites selected for review** (see site selection procedures in Administrative Review Manual). The results of the *Meal Compliance Risk Assessment Tool* will determine which site shall receive the targeted menu review, using one of the four options as described in the Administrative Review Manual. Please note that pre-K meals following the CACFP meal pattern should not be included in the dietary specifications.

Prior to the on-site portion of the review, the SA should notify the SFA that each site selected for review must be prepared to provide meal pattern compliance documentation demonstrating that daily/weekly meal component requirements for one week of the review period are met. If appropriate, SA can request this documentation from the SFA prior to the beginning of the on-site review.

Reviewers may examine any food crediting documentation, including but not limited to food labels, product formulation statements, CN labels, and bid documentation to ensure meal pattern compliance. (This documentation will be examined for all reviewed sites. For the site selected, this documentation will also be used for the targeted menu review process.)

For efficiency, the SA should review the same menus, production records, and standardized recipes from the week the SA reviewed in the Module: Meal Components and Quantities as selected for the targeted menu review.

NOTE: If the SA has chosen Option #1 (Completion of the *Dietary Specifications Assessment Tool*) for completing the targeted menu review, the required documentation must be submitted to the SA within a sufficient timeframe to allow the SA to properly assess the documentation and determine the risk level of the site selected for the targeted menu review.

Section IV: Resource Management

Reminders:
This section is designed to capture information from the SFA about its financial operations during the Resource Management (RM) Review period. Using the SFA's responses to the *Off-site Assessment Tool* for the RM Review period, the SA will apply specific risk indicators to the SFA and determine whether a Resource Management Comprehensive review of any one, or multiple area(s), is warranted. The SA must secure the SFA's answers to the questions included in the Resource Management section of the Off-site Assessment Tool. The SA should then review all of the information provided, which may include supplemental information provided by the SFA, and complete the Resource Management Risk Indicator Tool. While FNS does not require SFAs to include comments when they answer the questions in the Off-site Assessment Tool, State agencies may require SFAs to provide them or to provide additional documentation. As a best practice, State agencies should use the information provided in the comments to better understand SFA financial management practices and to evaluate the accuracy of the SFA's answers. The results of the tool will inform the SA if a comprehensive RM review of any section(s) is necessary.

The Resource Management review period used by the State agency to assess compliance with the Resource Management section of the Administrative Review may consist of either the previous school year or last audited school year. When reviewing the SFA's implementation of the Paid Lunch Equity and/or the Revenue from Nonprogram Foods, the State agency may review the current school year instead of the previous or last audited school year if sufficient financial data is available. The State agency must indicate for the SFA in the *Off-site Assessment Tool* which Resource Management review period the SFA should use when answering questions 700-712.

Important: Any failure, whether by the SFA or SA, to adhere to assessing the SFA's need for comprehensive reviews in any of the four areas prior to the Resource Management Review requires that a Resource Management Comprehensive Review of all areas will be conducted.

Recommended: The State agency is strongly encouraged to utilize specialized staff to the extent practicable to collect and evaluate responses in this section.

Risk Indicators for Resource Management:
When evaluating the responses to questions 700-712, follow the risk assessment for the Resource Management module in the *Administrative Review Manual* to determine whether a resource management comprehensive review of any or all areas is necessary. Some sections contain multiple questions that may indicate risk (referred to as a "risk indicator"). State agencies are not required to conduct a Resource Management comprehensive review unless an SFA receives

risk indicators in any of the Resource Management areas. For State agencies conducting Resource Management reviews on-site, if the Resource Management Risk Indicator Tool is not completed off-site prior to the Resource Management review, a comprehensive review of all four Resource Management areas is required.

As a best practice, all State agency reviewers, including those reviewers who do not conduct Resource Management reviews, should be familiar with the questions in the *Off-site Assessment Tool* and how SFAs receiving an Administrative Review answered them. During the on-site review of the breakfast and lunch meal services, the on-site reviewer should assess if the information provided by the SFA as part of the Off-site Assessment Tool – Resource Management section is consistent with the reviewer's observations of the SFA's meal services. For instance, if the SFA indicated it charged the target weighted average paid lunch price at all of its school sites and thus did not receive a risk indicator under the Paid Lunch Equity, the on-site reviewer should look at the paid lunch price charged during site reviews to see if the lunches were consistently priced at or above the target average weighted paid lunch price. If there appear to be any discrepancies between the information reported by the SFA and the reviewer's on-site observations, the SA must follow up with the SFA to determine if a RM Comprehensive Review is necessary in RM areas that did not initially receive a risk indicator. For example, if an on-site reviewer notices adults being served meals at a Community Eligibility Provision (CEP) school but the SFA indicated it did not sell adult meals in the *Off-site Assessment Tool* by answering "not applicable" to questions 710 and/or 711, the on-site reviewer should discuss the discrepancy with the SFA to determine if the SFA answered the questions incorrectly. If the on-site reviewer is conducting the RM review, the reviewer should either change the SFA's answer(s) in the Off-site Assessment Tool and corresponding RM Risk Indicator Tool to questions 710 and/or 711 to "yes" if the SFA answered the question(s) incorrectly or, if an off-site reviewer is conducting the RM review, the on-site reviewer should communicate the information to the off-site RM reviewer so that the RM reviewer can follow up with the SFA.

Section V: General Program Compliance

Reminders:
The SA may assist the SFA with the completion of this section, if necessary. If this section is not returned to the SA for evaluation prior to the on-site review, this section and applicable documentation must be available for SA review at the start of the on-site portion of the review.

Section VI: Other Federal Programs

Reminders:
This section is intended to be completed by the SA. If this section is not completed by the SA prior to the on-site review, this section must be completed by the SA during the on-site portion of the review.

If the SA elects to conduct the claim validation for the Fresh Fruit and Vegetable Program during the off-site phase, complete questions 1900 - 1902 of the *On-site Assessment Tool*.

Separate review forms have been provided for the review of the Afterschool Snack Program, Special Milk Program, and Seamless Summer Option. The SA may complete any applicable portion of those forms off-site at their discretion. Any section of the applicable forms that are not completed prior to the on-site portion of the review must be completed during the on-site portion of the review if necessary.

Section IX: Special Provision Options

The intent of this section is for the SA to understand the Special Provision Option policies and procedures in place at the SFA. The review addresses the implementation and operation of Provision 1, 2, and 3 sites and sites operating CEP.

SCHOOL FOOD AUTHORITY:		
School Year:		

Module: Certification and Benefit Issuance		

100.	Does the SFA meet one of the following criteria:	**YES**	**NO**
	☐ SFA-wide Special Provision Non-Base Year (Provision 2/3) ☐ RCCI, **without** day students ☐ SFA-wide Community Eligibility Provision Note: If one of the above is checked, skip questions 101 – 205 and proceed to question 300. If the SFA does not meet one of the above criteria answer the following questions (101-205).		

☐ N/A

101.	Who is the determining official for certifying household applications?	

(Names and/or position titles):

102.		**Electronic**	**Manual**
	a. Does the SFA use an electronic applications approval system or a manual **application approval system**? If a combination of electronic and manual is used check both boxes.	a. ☐	a. ☐
	b. Does the SFA use an electronic benefit issuance system or a manual **benefit issuance system**? If a combination of electronic and manual check both boxes.	b. ☐	b. ☐

Electronic application system means household applications are submitted by the household through a web-based or scanned application system. The system has limited to virtually no manual data entry by the SFA. Records are kept at the SFA electronically. All direct certification matches at the SFA level are completed with a computer match.

Manual application system means household applications are submitted by the household to the SFA. SFA completes eligibility determination and direct certification matches and enters data manually into a system and/or keeps written records. Hard copy records are kept on file at the SFA.

If the SFA has implemented an electronic system, but one or more aspect of the application processing is conducted manually (e.g., applications are submitted online, and also on paper – SFA staff processes paper applications) the reviewer will consider it a manual/combination system. This would include instances where SFA staff are entering paper applications into the online electronic system for determinations.

Electronic benefit issuance system means that the transfer of a student's benefits to the Point of Service document is completed through a computerized system. The system has limited to virtually no manual data entry by the SFA; however, updates to benefits may be made manually in the electronic system. Benefit issuance identification and rosters are kept electronically.

Manual benefit issuance system means that the transfer of a student's benefits to the POS document is completed manually by the SFA. All updates to benefits are made manually by the SFA. Benefit issuance identification and rosters are manually developed. Hard copy records are kept on file at the SFA.

If the SFA has implemented an electronic system, but one or more aspect of the benefit issuance process is conducted manually (i.e., the SFA has an electronic benefit issuance system at most sites, but utilizes rosters/ tickets/tokens or any other benefit issuance method at some sites and SFA staff must manually make updates to those alternate systems), the reviewer will consider it a manual/combination system.

103.	At the beginning of the school year, how is benefit status handled for children who have not submitted an application for the current school year?

Comments:

104.	**If the SFA has an electronic application approval system**, answer the below questions, if not proceed to the next question.
	a. How are records maintained and for how long?
	b. Describe the backup to the electronic-based approval system.
	c. List the method used to obtain household signature.

Comments: a. b. c.	
105.	How long does the applications approval take from the date the SFA receives the application from the household?
Comments:	
106.	Within the SFA, who has access to the applications within the system?
(Names and/or position titles):	
107.	a. When and how are households notified of students' certified eligibility? b. How are denied households notified? Review copy of the application approval/denial notification letter.
Comments: a. b.	

108.	Who is the hearing official?

(Name and/or position title):

109.	Who at the SFA receives the direct certification documents from the state or local agency, and who is responsible for issuing and updating the benefit list?

Program	Name/title of person receiving direct certification documents from SA	Name/title of person issuing direct certification benefits to students
SNAP		
TANF		
FDPIR		
Homeless		
Migrant		
Foster Children		
Head Start		

110.	Does the SFA use the direct certification notification letter provided by the State agency?	**YES**		**NO**	
	If no, does the letter contain all required information, and is it approved by the State agency? (**Obtain a copy of the letter used**.)	**YES**	**NO**	**N/A**	

Comments:

111.	What is the SFA's procedure for extending free school meal eligibility to all children who are members of a household in which one person in that household is receiving SNAP, TANF, or FDPIR benefits?		

Comments:

112.	Does the benefit issuance system identify how eligibility was determined? (e.g., through application, direct certification, etc.)	**YES**	**NO**

Comments:

113.	a. Who has access to the benefit issuance system and/or documentation? b. What safeguards are in place to ensure that only authorized individuals have access to the benefit issuance system and/or documentation?

    a.   (Names and/or position titles):

    b.

114.	How are benefits issued and distributed to students? (e.g., via electronic system with code numbers for students, ticket system)

Comments:

115.	How are eligibility determinations transferred to the benefit issuance document?

Comments:

116.	How are benefit issuance document(s) transferred to the point of service system?		
Comments:			

117.	How are eligibility status updates made to the point of service and to the benefit issuance document(s)?		
Comments:			

118.	How frequently are updates made to the point of service and benefit issuance document(s)?		
Comments:			

119.	Does the benefit issuance document indicate the date the eligibility status changes were made?	**YES**	**NO**
Comments:			

120.	How and when are the following changes made to the point of service and benefit issuance document:
	    a. new students
	    b. transfer students
	    c. withdrawn students
	    d. 30 day carryover of prior eligibility

Comments: a. b. c. d.

121.	a. Is there a backup system for updating benefit issuance document(s)? b. If yes, describe the backup system for updating benefit issuance document(s).	**YES**	**NO**

Comments:

	Module: Verification		
200.	Obtain a copy of the SFA's most recently submitted FNS-742 (Verification Collection Report).	**YES**	**NO**
	a. Did the SFA choose the correct verification sample size?		
	b. Did the SFA verify the correct number of applications based on their verification sample size?		
	c. Was the most recent report timely and accurate?		
	If no, is this a recurring problem?		

Comments:

201.	Who serves as the SFA's verifying official?

(Name and/or position title):

202.	Who serves as the confirming official?

(Name and/or position title or software used is acceptable):

203.	Describe the SFA's verification process (including SFA's verification for cause process, deadlines, due dates, selection procedures, etc).

Comments:

204.	Does the SFA use an electronic system to identify error-prone applications? If yes, explain in the comments what software the SFA uses?	**YES**	**NO**

Comments:

Module: Meal Counting and Claiming		
300.	Does the SFA use an electronic or manual system to count and consolidate reimbursable meals? If a combination of electronic and manual is used check both boxes.	**Electronic**	**Manual**
		☐	☐

Electronic System means meal counts are generated by an automated Point of Service (POS) system that may connect to the claim for reimbursement. Electronic systems have the ability to identify a student's benefit category, tally daily meal counts, transfer daily meal counts to the SFA, consolidate meal counts for the SFA, and/or submit the claim for reimbursement. The system is limited to virtually NO MANUAL data entry at the POS. Meal counts are kept electronically.

Manual System means meal counts are generated by a manual Point of Service system. Meal counts are manually tallied, consolidated, and transferred to the SFA. Consolidation of meal counts by the SFA is completed manually. Hard copy records are kept on file.

If the SFA has implemented an electronic system, but one or more aspect of the benefit issuance process is conducted manually (e.g., the SFA has an electronic POS, but utilizes a roster at an alternate service location and SFA staff manually enters meal counts from the alternate service location), the reviewer will consider it a manual/combination system.

301.	How does the SFA's point of service system identify a student's eligibility? Include all types of distinct counting methods (e.g., check-off list for grades 1-3, tickets for grades 4-8).		
Comments:			

302.	Does the SFA have a backup system to their primary meal counting and claiming system should the primary system fail/not operate? If YES, describe backup system in the comments.	**YES**	**NO**
Comments:			

303.	How often are cashiers and substitute cashiers trained on the meal counting and claiming system (including the backup system)?		
Comments:			

304.	At the end of meal service, how does the SFA obtain the daily meal counts by category from each school's point(s) of service?		
Comments:			

305.	What are the SFA's meal counting and claiming policies and procedures for the following situations:		
a) Offer vs. Serve?			**N/A**

		N/A
b) Incomplete/Non-Reimbursable Meals?		
c) Second Meals?		N/A
d) Visiting student meals?		N/A
e) Adult and non-student meals?		N/A
f) Student worker meals?		N/A
g) A la carte?		N/A
h) Field trips?		N/A
i) Lost, stolen, misused, forgotten or destroyed tickets, tokens, IDs, and PINS?		N/A
j) Charged and/or pre-billed/prepaid meals?		N/A
k) Students without funds to pay for meals?		N/A

l) New students without approved certification of free or reduced-price benefits?			**N/A**

m) Local Charge Policy and Unpaid Meal Policy Procedures?	

306.	What procedures are used as internal controls to ensure the meal counts do not exceed enrollment or attendance adjusted enrollment?

Comments:

307.	**Electronic Systems Only**: Are meal counts automatically consolidated? If YES, does the software program contain edits and internal controls? If NO, when and how are edit checks and internal controls completed?	**YES**	**NO**	**N/A**

Comments:

308.	Have alternate points of service been approved by the SA?	**YES**	**NO**	**N/A**
	If there are alternative points of service, describe in the comments the number and types of alternate points of service operating during each meal service (e.g., meals in classrooms, bus).			

Comments:

309.	If a school has more than one meal service line, how does the point of service system prevent duplicate or second meals from being claimed?

Comments:

310.	At the site level, how are the total daily meal counts by category submitted to the SFA for consolidation?
Comments:	

311.	Describe the SFA's procedures for consolidating daily meal counts by category for each site to process the claim for reimbursement, if applicable.
Comments:	

	Module: Dietary Specifications and Nutrition Analysis
600.	Based on the results of the *Meal Compliance Risk Assessment Tool*, what site has been selected for the targeted menu review?
School selected for targeted menu review:	
601.	How will the SA proceed with the targeted menu review?
☐ *Option 1: Complete the Dietary Specifications Assessment Tool* ☐ *Option 2: Validate Existing Nutrient Analysis* ☐ *Option 3: Conduct Nutrient Analysis* ☐ *Option 4: Use FNS-approved Process Utilizing FNS-Approved Menu Planning Tools*	
602.	If Option 1 is selected, what initial risk level has been assigned for the targeted menu review site based on the results of the *Dietary Specifications Assessment Tool*?
☐ N/A Risk Level:	

Module: Maintenance of Nonprofit School Food Service Account		
Indicate the Resource Management review period to be used when answering Q700-705: ☐ Previous School Year ☐ Last Audited School Year		

		YES	**NO**
700.	Did the SFA have the ability to accurately track all revenues and expenditures for the nonprofit school food service separately from all other transactions? If yes, describe the method used in the comments box, such as having a separate account only for food service revenues and expenditures, identifying all financial transactions by a separate fund code, using a separate ledger or other system to track revenues and expenditures specific to food service.		

Comments:

		YES	**NO**
701.	At the end of the SFA's RM review period, did the food service have net cash resources that exceeded three months' average expenditures? If the SFA has a plan approved by the State agency to use the excess funds, note this in the comments section.		

Comments:

		YES	**NO**
702.	Did the SFA transfer funds other than approved indirect costs out of the food service account to support general school district expenses or non-food service-related activities? If so, describe in the comments section.		

Comments:

		YES	**No**
703.	Excluding the purchase of equipment using equipment grant funds, if the SFA used food service funds to buy equipment* during the school year under review, did it receive prior approval from the State agency either directly or via the State's pre-approved equipment list? *Equipment has a per-unit acquisition cost which equals or		

	exceeds the lesser of the capitalization level established by the State agency or SFA for financial statement purposes, or $5,000. In the comments section or via attachment, please provide: • Your capitalization threshold for equipment purchases; and • Information about equipment purchases made with food service funds during the Resource Management review period that required pre-approval either directly from the State agency or via the State's approved equipment list. • If the only equipment purchased was made partially or in full with an equipment grant received from the State agency, answer "N/A" and do not list these equipment purchases.		
Comments:			
704.	Did the SFA have any financial findings related to unallowable costs or financial mismanagement in the child nutrition programs on a previous administrative review or as part of an audit (for example, OIG, Single Audit (previously called A-133 audits), other state audits) within the past three years? If yes, describe in comments section.	**YES**	**NO**
Comments:			
705.	Did the SFA have internal control procedures in place to ensure that only allowable costs were charged to the nonprofit school food service account? If yes, detail in the comments section all internal control procedures that were in place at the SFA. Some examples may include: • Written procedures	**YES**	**NO**

	• Annual allowable cost training; • Financial management standard operating procedures; • The assignment of financial responsibilities to different individuals; • Policies for ensuring that bad/delinquent debt is not paid for with food service funds		

Comments:

Module: Paid Lunch Equity					

Indicate the Resource Management review period to be used when answering Q706-708:

☐ Previous School Year   ☐ Last Audited School Year   ☐ Current School Year

		YES	NO	NO, $0 Balance	N/A-1	N/A-2
706.	Did the SFA use the USDA Paid Lunch Equity Tool or a comparable mechanism to evaluate its need to raise its paid lunch prices? If the SFA charged the target weighted average paid lunch price at all sites, indicate the amount it charged for paid lunches in the comments section. If "No- SFA had a positive or zero Food Service balance as of 1/31/2018 and was exempt from the PLE requirements" is selected, please indicate the balance in the nonprofit food service account as of 1/31/2018 in the comments section. * N/A-1 should be selected if **all** sites at the SFA are nonpricing; **N/A-2 should be selected if the SFA charged at least the target weighted average paid lunch price at **all** sites.						

Comments:

		YES	NO	N/A 1	N/A 2	N/A 3
707.	Did your SFA receive a transfer of non-Federal funds into the food service account to reduce or eliminate the need to raise paid lunch prices? If yes, indicate the amount of non-Federal funds added to the food service account to support paid lunch prices. * N/A-1 may only be selected if **all** sites at the SFA were nonpricing; **N/A-2 may only be selected if the SFA charged at least the target weighted average paid lunch price at **all** sites**.** ***N/A-3 may only be selected if SFA had a positive or zero Food Service balance as of 1/31/2018 and was exempt from the PLE requirements.					

Comments:

		YES	NO	N/A 1	N/A 2	N/A 3	N/A 4
708.	Did your SFA adjust its paid lunch prices for the RM Review Period at the level at or above what was required by the USDA Paid Lunch Equity tool or comparable mechanism? Please note in the comments section if the SFA received prior approval from the State agency for a PLE exemption. * N/A-1 may only be selected if **all** sites at the SFA were nonpricing or if the SFA charged at least the target weighted average paid lunch price at **all** sites**.** **N/A-2 may only be selected if the SFA charged at least the target weighted average paid lunch price at **all** sites**.** ***N/A-3 may only be selected if the SFA received a PLE exeption from the State agency for the review period. ****N/A-4 may only be selected if SFA had a positive						

or zero Food Service balance as of 1/31/2018 and was exempt from the PLE requirements.							

Comments:

Module: Revenue from Nonprogram Foods

Indicate the Resource Management review period to be used when answering Q709-711:

☐ Previous School Year ☐ Last Audited School Year ☐ Current School Year

		YES	NO
709.	With the exception of milk, did the SFA sell Smart Snacks*, second entrees, and/or catering (e.g., foods/beverages for school board meetings; foods for outside entities and programs)? * Smart snacks are any food or beverage sold to students at schools during the school day other than those foods provided as part of the *reimbursable* school meal programs. Examples include a la carte items sold in the cafeteria and foods sold in school stores, snack bars, and vending machines.			

Comments:

		YES	NO	NA
710.	If the SFA provided adult meals for teachers and/or parents, did it obtain full payment from the adults receiving the meals and/or recover the cost of those meals by some other means (general fund transfer, etc.)? Please indicate in the comments section how the cost of the adult meals was recovered.				

Comments:

711.	If the SFA charged for adult meals, were the meal prices sufficient to cover the overall cost of the meals in compliance with FNS Instruction 782-5, Rev. 1? Detail in the comments section how the SFA calculated its adult meal prices (example- meal equivalents plus commodity value, etc.) and the dollar amount(s) charged for adult meals,	**YES**	**NO**	**NA**

Comments:

Module: Indirect Costs		

Indicate the Resource Management review period to be used when answering Q711:

☐ Previous School Year   ☐ Last Audited School Year

712.	Were indirect costs* charged to the SFA's nonprofit school food service account?	**YES**	**NO**

Comments:

*For more information about indirect costs, please see Policy Memo SP 60-2016, "Indirect Costs Guidance for State Agencies and SFAs."

Module: Civil Rights		

800.	What non-discrimination statement is used for Program materials? Please provide exact language.

Comments:

801.	Did the School Food Authority publish a public release as required for the School Year being reviewed?	Yes	No

	Provide a copy. RCCIs are not required to submit a public release unless their enrollment includes day students.		
802.	What services does the SFA provide to households comprised of persons with Limited English Proficiency (LEP)?		
Comments:			
803.	What is the SFA's procedure for receiving and processing complaints alleging civil rights discrimination within FNS school meal programs? Provide a copy.		
Comments:			
		YES	**NO**
804.	Has the School Food Authority received any written or verbal complaints alleging discrimination in FNS Programs in the current or prior school year? **If yes, obtain the following information: date, nature of complaint, and agency complaint was reported to.**		
Comments:			
805.	What procedures are in place for accommodating students with disabilities?		

Comments:	
806.	When was the SFA's most recent civil rights training for staff who interact with program applicants or participants (e.g., cafeteria staff, determining officials) and their supervisors? Provide supporting documentation demonstrating topics covered and attendance of staff.
Comments:	
807.	a. How does the SFA collect racial/ethnic data? b. How often is this information collected? c. Provide documentation to support the response.
Comments: a. b. c.	

Module: SFA On-site Monitoring		
900.		**YES**	**NO**
	a. Was the on-site monitoring of breakfast completed prior to February 1st?		
	b. Was the on-site monitoring of lunch completed prior to February 1st?		
	c. How does the SFA ensure that all schools are meeting program requirements? For example, list in the comments, how and when the		

	monitoring is conducted?	
Comments: c.		

Module: Local School Wellness Policy		
1000.		Yes	No
	Provide a copy or appropriate web address of the current local school wellness Policy. Are the minimum required elements written into the Local School Wellness Policy? In comments, explain how required elements are being met.		
Comments:		
1001.	How does the public know about the local school wellness policy? Provide documentation to support the response (or appropriate web address(es)).		
Comments:		
1002.	When and how does the review and update of the local school wellness policy occur? Provide documentation to support the response (or appropriate web address(es)).		
Comments:		

1003.	a. Who is involved in reviewing and updating the local school wellness policy? b. What is their relationship with the SFA?
Comments: a. b.	
1004.	How are potential stakeholders made aware of their ability to participate in the development, review, update, and implementation of the local school wellness policy? Provide documentation to support the response (or appropriate web address(es)).
Comments:	
1005.	Provide a copy of the most recent assessment on the implementation of the local school wellness policy.
1006.	How does the public know about the results of the most recent assessment on the implementation of the local school wellness policy? Provide documentation to support the response (or appropriate web address(es)).
Comments:	

Module: Smart Snacks
1100. What are the SFA's food sale policies? List all types of food/beverage sales to include the selling of non-food items in combination with food items.
Comments:

1101.	What is the SFA's process for determining compliance with non-packaged or recipe food items (combination foods that do not have a label)?
Comments:	

1102.	How does the SFA account for accompaniments when determining whether food items meet the Smart Snack standards?
Comments:	

1103.	Who is responsible for tracking Smart Snacks compliance at the: a) SFA level: b) School level: **c)** For foodservice:
Comments: a. b. c.	

Module: Professional Standards		
1200.	What is the LEA student enrollment? (select one)	
a) 2,499 or less		
b) 2,500 –		

9,999					
c) 10,000 or more					
1201.	List the employee count for each of the following:				
Directors					
Managers					
Other Full-Time Nutrition Staff >20 hours/week					
Part-Time Nutrition Staff <20 hours/week					
Staff hired after January 1 of the School Year being reviewed					
Non-school nutrition staff that have responsibilities that include duties related to the program					
1202.	a) Has the SFA hired any new directors on or after July 1, 2015? If no, proceed to Question 1204. b) If a new School Nutrition Program Director has been hired, did they meet the hiring standards requirements?	YES	NO	N/A	

Comments:			

1203.	a. If a new School Nutrition Program Director has been hired, did they complete food safety training within 30 days of being hired? b. If yes, proceed to question 1204. If no, was previous food safety certification obtained in the last 5 years? If yes, list the date of certification in comments.	**YES**	**NO**

Comments:	

1204.		**YES**	**NO**
	Did School Nutrition Program Directors meet the training requirement?		
	If no, after review of the scheduled/planned trainings for the remainder of the school year is the School Nutrition Program Director expected to meet annual training requirements? List completed training hours and expected/planned training hours in the comments.		

Comments:	

1205.	Did School Nutrition Program Managers, if applicable, meet	**YES**	**NO**

	the training requirements?		
	If not, after review of scheduled/planned trainings, trainings for the remainder of the school year is the School Nutrition Program Manager expected to meet the annual training requirements?		
	List completed training hours and expected/planned training hours in the comments.		

Comments:

		YES	NO
1206.			
	Have the school nutrition staff met the annual training requirements for the current school year including part-time, full-time and any staff hired after January 1, if applicable? For staff hired after January 1, employees must meet at least half of the annual training requirements.		
	If not, review the scheduled/planned trainings for the remainder of the school year.		
	List completed training hours and expected/planned training hours in the comments.		

Comments:

		YES	NO
1207.	Has the State Agency allowed the SFA flexibility to complete annual training requirements over a 2 year period?		
	If yes, list in the comments section, the first school year to which the flexibility was applied.		

Comments:

		YES	NO
1208.	Is the SFA tracking training hours on an annual basis? Please describe how the SFA tracks and monitors annual training including frequency and tracking mechanism.		

Comments:

1209.	Did the employees that work outside of the school nutrition program whose responsibilities include duties related to the operation of the school nutrition program receive training applicable to their duties related to the program? If yes, list their names and job titles in the comments.	**YES**	**NO**

Comments:

Module: School Breakfast and Summer Food Service Program Outreach
☐ **Not applicable**

1600.	How did the SFA inform households of the availability of the School Breakfast Program prior to (or at the beginning) of the school year and provide reminders about the availability of the School Breakfast Program throughout the school year?

Comments:

1601.	How did the SFA inform eligible households about the availability and location of free meals for students via the Summer Food Service Program?

Comments:

Indicate if any additional federal programs are operated by the SFA and will be examined during the review:
☐ **Afterschool Snack Program**   ☐ **Seamless Summer Option**   ☐ **Fresh Fruit and Vegetable Program**   ☐ **Special Milk Program**

** For Provision 2 ONLY**
☐ **Not applicable (if no schools in the SFA operate Provision 2, skip this page)**

2100.	Are non-federal funds being properly allocated to account for the difference of offering all meals to students at no charge and the Federal reimbursement?	**YES**	**NO**
Comments:			

2101.	What procedures are/were used to calculate the Base Year claiming percentages for each school implementing Provision 2?
Comments:	

2102.	What procedures are used to apply the Base Year claiming percentages to the Non-base Year's claims for reimbursement?
Comments:	

2103.	If applicable, were adjustments made to the claiming percentages established during the Base Year? If yes, describe the procedure used for the adjustment.	**YES**	**NO**

Comments:

2104.	Has the SFA ensured all meals are provided at no cost to all enrolled students during Provision 2 Base Year? If no, explain.	**YES**	**NO**

Comments:

** For Provision 3 ONLY **

☐ **Not applicable (if no schools in the SFA operate Provision 3, skip this page)**

2105.	Are non-federal funds being properly allocated to account for the difference of offering all meals to students at no charge and the Federal reimbursement?	**YES**	**NO**

Comments:

2106.	What procedures are/were used to calculate the Base Year level of federal assistance for each school implementing Provision 3?

Comments:

2107.	What procedures are used to apply the Base Year level of federal assistance to the Non-base Year's claims for reimbursement?

Comments:

2108.	If applicable, were adjustments made to the level of federal assistance established during the Base Year? If yes, describe the procedure used for the adjustment.	**YES**	**NO**

Comments:

** For Community Eligibility Provision ONLY **

☐ **Not applicable (if no schools in the SFA operate Community Eligibility Provision, skip this page)**

2109.	Are non-federal funds being properly allocated to account for the difference of offering all meals to students at no charge and the Federal reimbursement?	**YES**	**NO**

Comments:

2110.	What procedures are used to apply the established ISPs to the current School Year's claims for reimbursement? (Documentation supporting establishment of ISP and corresponding claiming percentages will be verified during completion of the On-site Review Assessment Tool) If applicable, were adjustments made to the ISP and corresponding claiming percentages in the current SY? If yes, describe the procedure used for the adjustment.

Comments:

** For Provision 1 ONLY **

☐ **Not applicable (if no schools in the SFA operate Provision 1, skip this page)**

2111.	Are all households provided meal applications and allowed to apply for meal benefits each school year?	**YES**	**NO**
Comments:			