

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, provided the minimum required timeframes established herein are met. 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* at least four weeks prior to the scheduled on-site review. 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 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 any 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.

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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.

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.

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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 concerning the modules contained within the Resource Management section. Using the SFA's responses to the *Off-site Assessment Tool*, 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. Before beginning the risk indicator approach, the SA should first review all of the modules under Resource Management to obtain context and understanding for how the risk indicators are determined. The SA must secure the SFA's answers to the questions included in the Resource Management section of the *Off-site Assessment Tool* and complete the *Resource Management Risk Indicator Tool* at least 4 weeks prior to the start of the on-site review.

Important: Any failure, whether by the SFA or SA, to adhere to the timeframes prescribed above 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 700-711, follow the risk assessment for 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"). Prior Administrative Review procedures required SAs to conduct comprehensive reviews of all Resource Management areas if three or more risk indicators were assessed. **Beginning in SY 2016-2017, State agencies must conduct a comprehensive review of any RM area under which one or more risk indicators are triggered.** However, State agencies are no longer required to assess all areas of the Resource Management module unless an SFA receives risk indicators in each of the four RM areas or the RM Risk Indicator Tool is not completed at least four weeks prior to the on-site Administrative Review.

During the on-site review of the breakfast and lunch meal services, the 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 paid lunch price at all of its school sites

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and thus did not receive a risk indicator under the Paid Lunch Equity, the reviewer should look at the paid lunch price charged during site reviews to see if the lunches were priced at or above the target 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.

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.

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Section II: Meal Access and Reimbursement

SCHOOL FOOD AUTHORITY:			
School Year:			
Module: Certification and Benefit Issuance			
100.	<p>TO BE COMPLETED BY THE REVIEWER</p> <p>Does the SFA meet one of the following criteria:</p> <ul style="list-style-type: none"> <input type="checkbox"/> SFA-wide Special Provision Non-Base Year (Provision 2/3) <input type="checkbox"/> RCCI, without day students <input type="checkbox"/> SFA-wide Community Eligibility Provision <p>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).</p>	YES	NO
<input type="checkbox"/> N/A			
101.	<p>Who is the determining official for certifying household applications?</p> <p><i>The determining official is the same as the Approving Officer. This position reviews each incoming application to ensure that the household has submitted a complete application. If the application is complete, the official must then determine whether the household is categorically eligible or income eligible for meal benefits based on the information provided on the application. For RCCIs, describe who handles the Children’s Income Policy Statement form.</i></p>		
(Names and/or position titles):			
102.		Electronic	Manual
	a. Does the SFA use an electronic application approval system or a manual application approval system ? If a combination of electronic and manual is used check both boxes.	a. <input type="checkbox"/>	a. <input type="checkbox"/>
		b. <input type="checkbox"/>	b. <input type="checkbox"/>

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	<p>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.</p>		
<p><i>Electronic application system</i> means household applications are submitted by the household through a web-based or scanned application system. The system is 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.</p> <p><i>Manual application system</i> 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.</p> <p>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.</p>			
<p><i>Electronic benefit issuance system</i> 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.</p> <p><i>Manual benefit issuance system</i> 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.</p> <p>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.</p>			
103.	<p>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?</p>		
<p>Comments:</p>			

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104.	<p>If the SFA has an electronic application approval system, answer the below questions, if not proceed to the next question.</p> <p>a. How are records maintained and for how long?</p> <p>b. Describe the backup to the electronic-based approval system.</p> <p>c. List the method used to obtain household signature.</p>
<p>Comments:</p> <p>a.</p> <p>b.</p> <p>c.</p>	
105.	<p>How long does the applications approval take from the date the SFA receives the application from the household?</p>
<p>Comments:</p>	
106.	<p>Within the SFA, who has access to the applications within the system?</p>
<p>(Names and/or position titles):</p>	
107.	<p>a. When and how are households notified of students' certified eligibility?</p> <p>b. How are denied households notified? Submit a copy of the application approval/denial notification letter.</p>
<p>Comments:</p> <p>a.</p> <p>b.</p>	
108.	<p>Who is the hearing official?</p> <p><i>The hearing official must be an individual who was not connected with the approval or verification process who responds to appeals when a household appeals a reduction or</i></p>

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	<i>termination of benefits.</i>
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(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 (Person who updates POS)
SNAP		
TANF		
FDPIR	N/A	
Homeless Coordinator		
Migrant Coordinator		
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? (Submit 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:

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112.	Does the benefit issuance system identify how eligibility was determined? (e.g., through application, direct certification, etc.) <i>Benefit issuance is referred to as the Master List</i>	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? <i>Explain how the F, R, and P status get from the application or certification determination to the Master List.</i>		
Comments:			
116.	How are benefit issuance document(s) transferred to the point of service system? <i>This answer may be the same as 115 in a networked system with an electronic Point of Service.</i>		

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	<i>Point of Service may be a checklist for a manual system or register for an electronic system.</i>		
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: <ul style="list-style-type: none"> a. new students b. transfer students c. withdrawn students d. 30 day carryover of prior eligibility 		
Comments: <ul style="list-style-type: none"> a. b. c. d. 			

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

Module: Verification			
QUESTION 200 TO BE COMPLETED BY THE REVIEWER			
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.	<p>Who serves as the SFA's verifying official?</p> <p><i>The verifying official confirms the eligibility for free or reduced price benefits. This includes income eligibility and all other information provided on the application form. The Verifying Official may be the same as the Approving Officer.</i></p>		
(Name and/or position title):			

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202. Who serves as the confirming official?

The confirming official or software checks the original eligibility determination on applications selected for verification. If using an official, he/she must be different than the Approving Officer.

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

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203.	Describe the SFA’s verification process (including SFA’s verification for cause process).		
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
		<input type="checkbox"/>	<input type="checkbox"/>
<p><i>Electronic System</i> 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.</p> <p><i>Manual System</i> 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.</p> <p>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.</p>			

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301.	<p>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).</p>		
<p>Comments:</p>			
302.	<p>Does the SFA have a backup system to their primary meal counting and claiming system should the primary system fail/not operate?</p> <p><i>What is the procedure if the computer is down at meal service or the person who takes the meal count is out?</i></p> <p>If YES, describe backup system in the comments.</p>	YES	NO
<p>Comments:</p>			
303.	<p>How often are cashiers and substitute cashiers trained on the meal counting and claiming system (including the backup system)?</p>		
<p>Comments:</p>			
304.	<p>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?</p> <p><i>If school meal counts are not transferred to the central office daily, how and when are the counts reported?</i></p> <p><i>This question is about the mechanics of getting the daily meal counts to the central office, e.g. on demand network transfer; automated batch file, or courier.</i></p>		
<p>Comments:</p>			

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305.	What are the SFA’s meal counting and claiming policies and procedures for the following situations: <i>Please provide details.</i>	
a) Offer vs. Serve? <i>Breakfast & Lunch</i>		N/A
b) Incomplete/Non-Reimbursable Meals?		N/A
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? <i>Describe meal components offered/POS</i>		N/A
i) Lost, stolen, misused, forgotten or destroyed tickets, tokens, IDs, and PINS?		N/A
j) Charged and/or pre-billed/prepaid		N/A

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meals?				
k) Students without funds to pay for meals?				N/A
l) New students without approved certification of free or reduced-price benefits?				N/A
306.	<p>What procedures are used as internal controls to ensure the meal counts do not exceed enrollment or attendance adjusted enrollment?</p> <p><i>Maine refers to this as edit checks.</i></p>			
Comments:				
307.	<p>Electronic Systems Only: <i>See Question 300 for definition</i></p> <p>Are meal counts automatically consolidated?</p> <p>If YES, does the software program contain edits and internal controls?</p> <p>If NO, when and how are edit checks and internal controls completed?</p>	YES	NO	N/A
Comments:				
308.	<p>Have alternate points of service been approved by the SA?</p> <p><i>Are all points of service at the end of the meal line after <u>all</u> meal components have been offered to the student? If no, have all alternate points of service been approved by MDOE - CN this school year?</i></p> <p>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, hallway, field trips, off-site meals, PreK).</p>	YES	NO	N/A
Comments:				

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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? <i>This question is about the data that is submitted to the central office, e.g. total count by category or detail with student name and benefit category.</i>
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. <i>Applies to manual claiming systems, including spreadsheet assisted systems.</i>
Comments:	

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Section II: Meal Access and Reimbursement

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Section III: Nutritional Quality and Meal Pattern

Module: Dietary Specifications and Nutrition Analysis

THIS MODULE TO BE COMPLETED BY REVIEWER

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:

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Section VI: Other Federal Programs

Module: Maintenance of Nonprofit School Food Service Account			
Questions 700-705 May Best Be Answered by Business Office			
700.	Did the SFA have a separate financial account designated for the nonprofit school food service?	YES	NO
Comments:			
701.	Did the SFA conduct a year-end review of total revenues and expenses to determine the school food service's nonprofit status?	YES	NO
Comments:			
702.	<p>After including the beginning fund balance, did the SFA have year-end expenses in excess of revenues, requiring a general fund transfer to cover the balance?</p> <p><i>Was the Food Service Program operating in the RED last year?</i></p>	YES	NO
Comments:			
703.	Did the SFA transfer funds out of the nonprofit school food service account to support other school operations during, or at the end of, the school year?	YES	NO
Comments:			
704.	<p>Did the SFA complete a process to ensure its compliance with the net cash resources limitation to a level at or below three months' average expenses?</p> <p><i>The State Agency determines this each year.</i></p>	YES	NO
		X	
Comments:			

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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?	YES	NO
Comments:			

Module: Paid Lunch Equity

706.	Did the SFA charge the weighted minimum average paid lunch price at all sites or use the USDA <i>Paid Lunch Equity Tool</i> to evaluate the need to raise its paid lunch prices? <i>Non-pricing districts would indicate N/A and write a response of "All sites offer lunch at no cost to students"</i>	YES	NO	N/A*

Comments:

*N/A selection is only allowable if all sites at the SFA are nonpricing

707.	Did the SFA use non-Federal funds to support its paid lunch prices? <i>Non-federal funds include town appropriation and the district's general fund</i>	YES	NO	N/A*

Comments:

*N/A selection is only allowable if all sites at the SFA are nonpricing

708.	Did the SFA have a State agency exemption to the Paid Lunch Equity requirement during the resource management review period/previous school year? <i>If the answer is Yes, include a copy of the exemption.</i>	YES	NO	N/A*

Comments:

*N/A selection is only allowable if all sites at the SFA are nonpricing

709.	Did the SFA increase its paid lunch prices at the level required by the USDA <i>Paid Lunch Equity Tool</i> or comparable mechanism? If	YES	NO	N/A*

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	yes, explain which mechanism was used to address the required raise in prices and provide detail on how much the SFA raised its paid lunch prices and/or how much in non-Federal funds the SFA transferred into its nonprofit school food service account to comply with the PLE requirements.			
<p>Comments:</p> <p>*N/A selection is only allowable if all sites at the SFA are nonpricing</p>				

Module: Revenue from Nonprogram Foods			
710.	<p>Did the SFA sell nonprogram foods including, but not limited to, a la carte foods (e.g., milk; 2nd entrees; Smart Snacks), catering (e.g., foods/beverages for school board meetings; foods for outside entities & programs), and/or adult meals (e.g., meals for teachers, parents, etc.)?</p>	YES	NO
<p>Comments:</p> 			

If you answered yes to question 710, check all applicable boxes below:

1) What categories of nonprogram foods and/or beverages does the SFA sell?

- Adult Meals (e.g.: meals for teachers, parents, etc.)
- Catering (e.g.: food provided for Teacher Appreciation Day, meals for a sports banquet, food items provided for outside organizations)
- Meals/food and beverages supplied to another school district (meals are not being claimed for reimbursement by the school supplying the food) or program (e.g. Head Start)
- Food and/or beverages via vending machines (e.g.: water, snacks)
- A-la-carte (e.g.: milk for kids who bring a lunch from home, 2nd entrees, Smart Snacks including beverages)

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- Fundraisers (e.g.: SFA supplies products for school-based fundraisers)
- School stores (e.g.: Smart Snack compliant chips, coffee)

2) For each of the categories selected, what process(es) did the SFA use to ensure that all funds received from the sale of nonprogram foods were deposited into the SFA’s nonprofit school food service account?

Describe processes:

Submit:

- Documentation detailing how the SFA accounts for and separates its program food revenues from its nonprogram food revenues
- Documentation detailing how the SFA accounts for and separates its program food costs from its nonprogram food costs

Module: Indirect Costs			
711.	Were indirect costs charged to the SFA’s nonprofit school food service account? <i>Example: % of utilities, custodial services</i>	YES	NO
Comments:			

Module: Civil Rights	
800.	What is the non-discrimination statement that is used for appropriate Program materials? Please provide exact language.
Comments:	

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801.	<p>Provide a copy of the School Food Authority’s public release. RCCIs are not required to submit a public release unless their enrollment includes day students.</p> <p><i>MDOE does a press release for the state. If your organization does its own, please provide a copy.</i></p>		
802.	<p>What services does the SFA provide to Limited English Proficient (LEP) households?</p>		
<p>Comments:</p>			
803.	<p>What is the SFA’s procedure for receiving and processing complaints alleging discrimination within <u>FNS School Meal Programs</u>?</p> <p>Provide a copy.</p> <p><i>This process is different that MDOE complaints. Refer to the MDOE website for how to file a civil rights complaint with the USDA:</i> http://www.maine.gov/doe/nutrition/statement.html</p>		
<p>Comments:</p>			
804.	<p>Has the School Food Authority received any written or verbal complaints alleging discrimination in FNS Programs in the current or prior school year?</p> <p>If yes, submit the following information: date, nature of complaint, and agency complaint was reported to.</p>	YES	NO
<p>Comments:</p>			

Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

805.	How are students with special dietary needs accommodated? <i>Is documentation available?</i>
Comments:	
806.	a. When was the SFA’s most recent civil rights training for staff who interact with program applicants or participants (e.g., cafeteria staff, F/R application approval staff) and their supervisors? b. Who attended these trainings? c. What topics were covered by the training? Provide supporting documentation for the responses.
Comments: a. b. c.	
807.	a. How does the SFA collect racial/ethnic data? b. How often is this information collected? c. Provide documentation to support the response. <i>This may be collected as part of the student enrollment process or on the Household Application for Meal Benefits</i>
Comments: a. b. c.	

Module: SFA On-site Monitoring

***On-site monitoring is required for districts of 2 or more schools*

Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

900.		YES	NO
	a. Was the on-site monitoring of breakfast completed prior to February 1 st ?		
	b. Was the on-site monitoring of lunch completed prior to February 1 st ?		
	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?		
<p>Comments:</p> <p>c.</p>			

Module: Local School Wellness Policy

1000.	<p>Provide a copy or appropriate web address of the current Local School Wellness Policy.</p> <p>Are the minimum required elements written into the Local School Wellness Policy?</p>
<p>Comments:</p>	

Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

1001.	<p>How does the public know about the Local School Wellness Policy? Provide documentation to support the response (or appropriate web address(es)).</p>
<p>Comments:</p>	
1002.	<p>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)).</p>
<p>Comments:</p>	
1003.	<p>a. Who is involved in reviewing and updating the Local School Wellness Policy? b. What is their relationship with the SFA?</p>
<p>Comments:</p> <p>a.</p> <p>b.</p>	
1004.	<p>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)). <i>Stakeholders are: Students, Parents, Foodservice Staff, PE teachers, School Health Professionals, School Administrators, School Board members, & general public.</i></p>
<p>Comments:</p>	

1005.	<p>Provide a copy of the most recent assessment on the implementation of the Local School Wellness Policy.</p>
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Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

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. <i>Check with principals and/or school groups that sell foods during the school day (i.e. fundraisers, vending machines)</i>
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? <i>Accompaniments include condiments, salad dressings, cream cheese, etc.</i>
Comments:	

Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

1103.	<p>Who is responsible for tracking Smart Snacks compliance at the:</p> <p>a. SFA level:</p> <p>b. School level:</p> <p>c. For foodservice:</p>
<p>Comments:</p> <p>a.</p> <p>b.</p> <p>c.</p>	

Module: Professional Standards		
<p>For questions pertaining to professional standards please visit the MDOE website for more information: http://www.maine.gov/doe/nutrition/laws/prof-standards.html</p>		
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		<p><i>Director is not necessarily a title but the individual who is responsible for the duties. Example: Teacher or secretary that approves applications.</i></p>
Managers		
Other Full-Time		

Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

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
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

Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

Comments:			
1204.	<p>Did School Nutrition Program Directors meet the training requirement?</p> <p>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?</p> <p>List completed training hours and expected/planned training hours in the comments.</p>	YES	NO
Comments: <i>For questions 1204- 1209 please attach tracking sheet for all training hours</i>			
1205.	<p>Did School Nutrition Program Managers, if applicable, meet the training requirements?</p> <p>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?</p> <p>List completed training hours and expected/planned training hours in the comments.</p>	YES	NO
Comments:			
1206.	<p>Did Full-Time school nutrition staff, meet the training requirements?</p> <p>If not, after review of scheduled/planned trainings, trainings for the remainder of the school year are School Nutrition</p>	YES	NO

Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

	<p>staff expected to meet the annual training requirements?</p> <p>List completed training hours and expected/planned training hours in the comments.</p>		
<p>Comments:</p>			
<p>1207.</p>	<p>Has the State Agency allowed the SFA flexibility to complete annual training requirements over a 2 year period?</p> <p>If yes, list in the comments section, the first school year to which the flexibility was applied.</p>	<p>YES</p>	<p>NO</p>
<p>Comments: <i>Not allowed by Maine DOE</i></p>			
<p>1208.</p>	<p>Is the SFA tracking training hours on an annual basis? If not, please describe how training hours are being tracked.</p> <p><i>Annual basis refers to the current school year</i></p>	<p>YES</p>	<p>NO</p>
<p>Comments:</p>			
<p>1209.</p>	<p>a. Are there any employees hired on or after January 1 of the current school year? If no, proceed to Question 1210.</p> <p>b. If yes, did the employees meet at least half of the annual training requirements? If no, after review of scheduled/planned trainings for the remainder of the school year, are they expected to meet the annual training requirements?</p> <p>List completed training hours and expected/planned training hours in the comments.</p>	<p>YES</p>	<p>NO</p>
<p>Comments:</p>			

Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

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1210.	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:

1211.	Did Part-Time staff meet the training requirements? If no, explain in the comments below.	YES	NO

Comments:

Module: School Breakfast and Summer Food Service Program Outreach	
<input type="checkbox"/> 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? <i>USDA Memo SP 40-2011</i>
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Administrative Review Off-site Assessment Tool Questions

Section VI: Other Federal Programs

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?

USDA Memo SP 15-2011

Comments:

Indicate any additional federal programs operated by the SFA:

- Afterschool Snack Program**
- Seamless Summer Option**
- Fresh Fruit and Vegetable Program**
- Special Milk Program**

Administrative Review Off-site Assessment Tool Questions

Section IX: Special Provision Options

**** 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?	YES	NO
If yes, describe the procedure used for the adjustment.			
Comments:			
2104.	Has the SFA ensured all meals are provided at no cost to all enrolled students during Provision 2 Base Year?	YES	NO
If no, explain.			
Comments:			

Administrative Review Off-site Assessment Tool Questions

Section IX: Special Provision Options

**** 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?	YES	NO
If yes, describe the procedure used for the adjustment.			
Comments:			

Administrative Review Off-site Assessment Tool Questions

Section IX: Special Provision Options

**** 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.	<p>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)</p> <p>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.</p> <p><i>ISP stands for Identified Student Percentage</i></p>		
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:			

Administrative Review Off-site Assessment Tool Questions

Section IX: Special Provision Options

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