



Division of Child Care and Early  
Childhood Education  
Health and Nutrition Programs



P.O. Box 1437, Slot 155 · Little Rock, AR 72203-1437  
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**An acceptable CAP must include the following information on your business letterhead:**

- Names of the institution's executive director and chairman of the board of directors or other responsible principals and responsible individuals (**RP/Is**) associated with the serious deficiencies;
- Address of the institution;
- Dates of birth for all **RP/Is** associated with the serious deficiencies and/or operational weaknesses; and
- Details of the serious deficiencies:
  - **What** are the deficiencies and/or operational weaknesses and the procedures that were implemented to address the serious deficiencies and/or operational weaknesses? (please describe a step by step process of the CAP and describe how the it will permanently correct the deficiencies and/or operational weaknesses)
  - **Who** addressed the deficiencies and/or operational weaknesses? List personnel responsible for this task.
  - **When** will the procedure for addressing the deficiencies and/or operational weaknesses be implemented? Provide a timeline for implementing the procedure (i.e., will the procedure be done daily, weekly, monthly, or annually, and when did implementation of the plan begin).
  - **Where** is the CAP documentation retained? (provide address and room it will be filed)
  - **How** were staff and if applicable, facilities or providers informed of the new policies and procedures (e.g., handbooks, training, website, emails, etc.).

**Additional supporting documentation must be submitted with the CAP to document that corrective actions have occurred; this might include copies of income eligibility forms, enrollment rosters, staff training documentation, site monitoring reports, menus, Child Nutrition Labels or manufacturers' product analysis sheets or recipes, attendance records, meal count forms, itemized food receipts, etc.**

**CORRECTIVE ACTION PLAN TEMPLATE**  
**(This template should be used as a guide, not used verbatim)**

**Date:**

**Sponsor's Name:**

**Responsible Person; Date of Birth:**

**Responsible Person; Date of Birth:**  
**Responsible Person; Date of Birth:**

**Review Finding 1:**

**Corrective Action Plan 1:**

**Who will enforce the CAP:**

**Where will the CAP be located:**

**How will you implement the CAP:**

**Please find attached the following supporting documents:**

- a)
- b)
- c)

### **CAP EXAMPLE:**

**(This example should be used as a guide, not to be used verbatim)**

#### **Review Finding 1: Incomplete Enrollment Records**

ABC-DEF Daycare Center has changed its procedures in order to ensure that complete and current enrollment records are on file for each enrolled child. Within one week of a child's enrollment in the center, the parent must have returned a complete enrollment form to the center. Assistant Director Shana Franklin will review each new child's folder at the end of the first week to ensure that the form has been completed. If a complete and correct enrollment form is not on file, Ms. Franklin will issue the child's parent or guardian a notice stating that the form must be submitted or an administrative charge will be added to their account.

Ms. Franklin is responsible for ensuring that all required records are in the child's folder within three weeks of the child's enrollment in the center. Center Director Carl Jones will review the records of newly enrolled children monthly to ensure that all enrollment records are complete and current. Carl Jones trained Ms. Franklin on this new procedure on May 16, 2013. Additionally, on May 16, 2013, this procedure was added to the ABC-DEF Daycare Center Administrative Procedures Manual that is provided to all employees. On May 18, 2013, a notice was sent home with all parents notifying them that this procedure has been implemented and will also apply to renewals each September. On May 22, 2013, Mr. Carl Jones verified that all currently enrolled children have complete and current enrollment records on file.

#### **Review Finding 2: Household Eligibility Applications Incomplete or Incorrectly Categorized**

ABC-DEF Daycare Center has implemented a new procedure regarding review and approval of applications for free and reduced price meals:

Within one week of a child's enrollment in the center, the parent must have returned a household eligibility application. Assistant Director Shana Franklin will review each new child's folder at the end of the first week to ensure that the form has been received. If the parent does not wish to complete a household application for free or reduced price meals, Ms. Franklin will make a note in the child's folder that the parent does not wish to complete the application and therefore this child will be classified as "paid." At the end of each week, Ms. Franklin will review the applications for completeness. If required information is missing from the form, Ms. Franklin will contact the parent to correct the form.

Ms. Franklin will review all completed free and reduced price meal applications, and mark the appropriate category, free, reduced or paid. Ms. Franklin will then place the applications in the appropriate in box of Center Director Carl Jones for second party review. Mr. Jones will verify whether the application is complete and correctly classified, then will sign and date the application and update the master roster. Mr. Jones will conduct spot checks monthly of children's files to ensure that all documentation is complete and current.

On May 16, 2013, Mr. Jones trained Ms. Franklin on the new procedure. Additionally, on May 16, 2013, this procedure was added to the ABC-DEF Daycare Center Administrative Procedures Manual that is provided to all employees. On May 22, 2013, Center Director Carl Jones verified that all currently enrolled children are correctly categorized in the Master Roster as verified from the household applications.

The procedures described above and the amendments to the ABC-DEF Daycare Center Administrative Procedures Manual were presented to the Board of Directors for vote on June 1, 2013, and were approved by the Board.

Please find attached the following supporting documents:

- a)** Copy of the training agenda held on May 16, 2013 between Mr. Jones and Ms. Franklin;
- b)** Copy of the updated ABC-DEF Daycare Center Administrative Procedures Manual containing the revised procedures for enrollment records and household applications; and
- c)** Copy of the ABC-DEF Daycare Center's Board of Director minutes from the June 1, 2013 meeting approving the procedures and updates to the ABC-DEF Daycare Center Administrative Procedures Manual.

Sincerely,  
Diane Smith, Owner  
Carl Jones, Center Director

Attachments: ABC-DEF Daycare Center Administrative Procedures Manual  
May 16, 2013 Training agenda