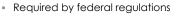




 Unannounced, on-site visits to authorized vendors as a means to check compliance with WIC Program regulations



- Supports integrity of the WIC Program and protects against fraud
- Completed by Local WIC Agency staff

2

Basic Components of Monitoring

 Check pharmacy services for exempt infant formulas, (where applicable)



- Review invoices/receipts for infant formula sources
- Review vendor procedures for eWIC and split tender transactions

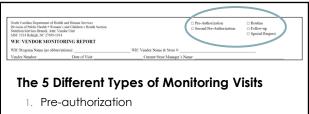


- Ensure eWIC equipment accessibility and compliance with minimum lane coverage criteria
- Review quality of service and treatment of WIC customers



- Does the vendor need follow-up training?
- Assure required minimum inventory is available, fresh and clearly marked with shelf price





- Only type of monitoring visit that is announced
- 2. Second Pre-authorization
- 3. Routine
- 4. Follow-up
- 5. Special Request

1. Pre-authorization

Retail Vendors complete sections:

I. Pharmacy Services, (when

- applicable) II. Infant Formula Source(s)
- III. Vendor Procedures (review only)
- V. Inventory
- VII. Findings

Pharmacy Vendors complete sections:

- I. Pharmacy Services II. Infant Formula Source(s)
- III. Vendor Procedures (review only) VII. Findings



2. Second Pre-Authorization - Hold the first pre-authorization monitoring report if vendor applicant fails Complete the second Pre-

- Authorization monitoring report within 14 days
- Mail both reports at the same time to the State WIC Agency

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3. Routine

Routine Monitoring Requirements:

- Monitor at least 1/3 of all vendors each year
- Each vendor must be monitored at least once every 3 years
- Annual monitoring is required for vendors with 2 or more occurrences of any violation/sanction in the previous year or a recent disqualification
- New vendors by the end of the following Federal fiscal year must be monitored
- Note: Mail reports within 2 days of monitoring visit

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3. Routine

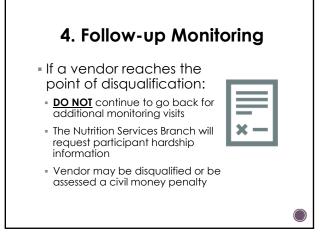
Note Regarding Sanctions:

- Sanctions (each occurrence of a violation) remain on a vendor's record for 1 year after the date of visit
- >If you monitored store XYZ on April 15th last year and they passed the monitoring visit, <u>do not</u> monitor the store before April 15th this year
- Important if they had any sanctions last year, prior to the clean visit
- As a general rule, monitor a year plus a day after the last monitoring visit
 - >In certain instances, there are exceptions to this rule, especially as the date approaches September 30th. For further explanation, contact your Vendor Consultant

4. Follow-up Monitoring

- Follow-up when deficiencies are found
- Complete within 21 days
- If follow-up cannot be done, document in vendor's record
- Continue until vendor has no deficiencies or reaches the point of disqualification
- <u>DO NOT</u> complete a follow-up monitoring visit for a vendor before receiving a copy of the Notice of Violation (NOV) for the prior visit. If you do not receive a copy of NOV letter within two weeks of sending the monitoring report to the State Agency, contact your Vendor Consultant

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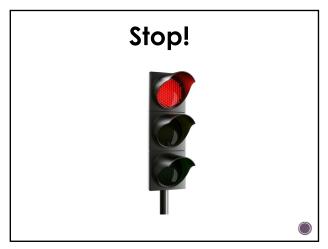




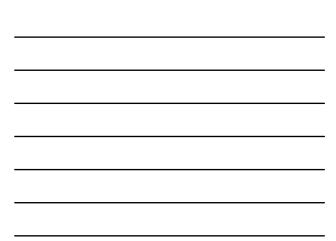
Monitoring Toolbox Items

- Official agency name badge
- Clipboard
- Current year WIC Vendor Monitoring Report
- Blank WIC Vendor Information Update forms
- Approved Infant Formula Source List
- Vendor Quarterly Redemption Report
- State Vendor Consultant's phone number
- Your business card or contact information
- Copy of instructions for completing Monitoring Report

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2021-2022 Monitoring Report- Page 1 North Carolina Department of Health and Human Services Division of Child and Family Well-Being Pre-Authorization
 Pre-Authorization
 Second Pre-Authorization
 Special Request
 Special Request WIC VENDOR MONITORING REPORT WIC Program Name (no abbreviations): _______ Vendor Number: ______ Date of Visit: _____ ore Manager's Name: II. MONITORING VISIT FINDINGS Complete Section A OR B
 Catada Yalimator
 Date of Visit

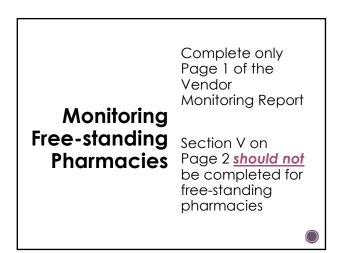
 Difference of the competitivity
 Second No deflectencies found I verify that this store was monitored on this date. The findings in this report discussed by both representatives signing this form. Authorized Vendor Representative Title Title Date II. VINDOR PROCEDERS: Monitor Resistant
 College presenter for PRC transitions
 College presenter for PRC transitions
 College presenter for PRC transitions
 College presenter for experiments
 College presenter for the college presenter
 College presenter for the college presenter for the college presenter Deficiencies found I, the Authorized Ver date and that the WK tive, verify that this store used the findings in this r monitored on this with me prior to my signing. I understand to compliance with certain regarding compliance finding of noncomplian the WIC Program. The Standard GWC Stremands
 Month of GWC Stremands
 Month of GWC Stremands
 More instances and strema st Authorized Vendor Representative / Title L the WIC Monitor, verify that I monitored this store on this date; found it not to be in compliance with certain WIC Program requirements specified in this report; and explained to the Authorized Vendor Representative the statements contained in paragraph VIL B. of this report.
 Wite-opported flook.
 Wite-opported flook.

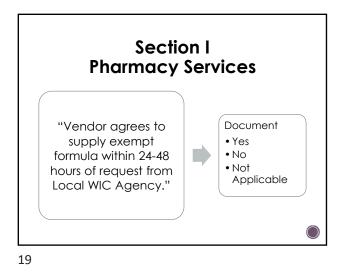
 QCMLITY OF SERVECT. (7) be completed with systems: with efficiency of page 2)
 1. Does the wake permit Wite concensus to boy non-WIte flood items. with efficiency of the WIC enstances allowed the same constraints in non-WITe continuent?

 2. Are the WIC enstances allowed the same constraints in non-WITE flood items. Non-WITE involvement allowed the same constraints in non-WITE enstances?

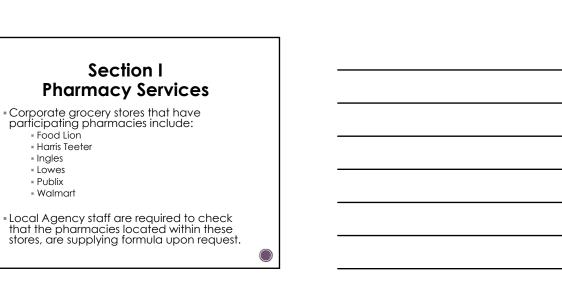
 3. Problems complicativicements represed by vendee.
 WIC Monitor Title Contact Phone # () Contact E-mail 4. Vendor needs follow-up training.
Ves
No
Hyes, date scheduled: \bigcirc Routing: White Copy - Stat 85 2925 (Revised 1921)

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Section I



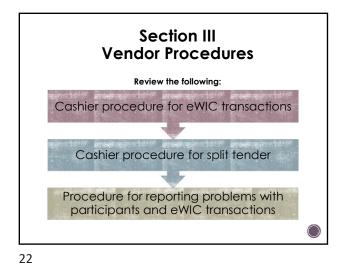
20

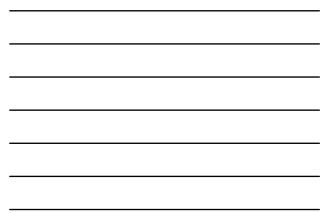
Section II Infant Formula Sources

 Vendor must provide receipts from an approved infant formula source

Food Lion - Harris Teeter Ingles Lowes = Publix - Walmart

- Document 'Approved Supplier,' 'Not Approved Supplier' or 'Vendor Unable to Produce Infant Formula Receipts'
- If vendor is unable to produce infant formula receipts, document when the vendor intends to produce the receipts: Must be within 21 days
- If vendor is unable to produce infant formula receipts within 21 days of monitoring visit, it is considered a deficiency, even if no other deficiencies are noted within the monitoring visit





Section IV eWIC Equipments V. eWIC EQUIPMENT (See criteria listed on back of this page) Consume that equipment used to transact eWIC is accessible to the WIC participant Number of eWIC POS terminals: Constraint of the environment of the

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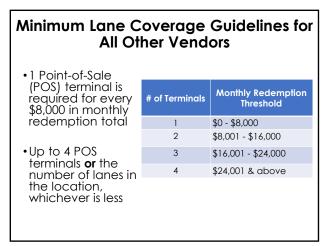
Minimum Lane Coverage Guidelines for Superstores and Supermarkets

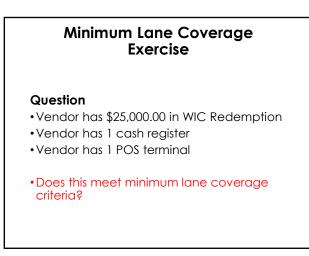
• 1 Point-of-Sale (POS) terminal is required for every \$11,000 in average monthly WIC redemption

• Up to a total of 4 POS terminals **or** the number of lanes, whichever is less

# Of Terminals	Monthly Redemption Threshold
1	\$0- \$11,000
2	\$11,001- \$22,000
3	\$22,001- \$33,000
4	\$33,001 and above







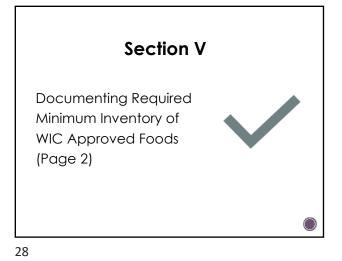
26

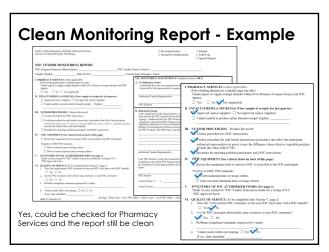
Minimum Lane Coverage Exercise

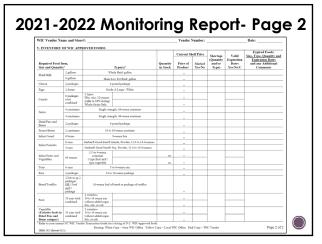
Answer

•Yes

- Vendor meets minimum lane coverage
- Vendor only has 1 cash register/lane
- Vendor has 1 POS terminal
- WIC cannot require a vendor to have multiple cash registers/lanes because of their redemption
- If they had more registers/lanes, up to 4 would have to be eWIC capable









Minimum Inventory Requirements						
Required Food item,	Size and Quantity	Туре				
Elected A 400-	2 gallons	Whole fluid: gallon				
Fluid Milk	6 gallons	Skim/Low Fat fluid: gallon				
Cheese	2 packages	1 pound package				
Eggs	2 dozen					
Cereals	6 packages total combined	2 types, Min. size: 12-ounces Refer to UPC listing-Whole Grain Only				
Juices	4 containers	Single strength, 64- ounce container				
JUCES	4 containers	Single strength, 48-ounce container				
Dried Peas and Beans	2 packages	1 pound package				
Peanut Butter	2 containers	16 to 18- ounce container				

Minimum Inventory Requirements Cont.					
Required Food item, Size and Quantity Type					
Infant Cereal	6 boxes	8-ounce box			
Infant Formula	8 cans	Gerber Good Start Gentle, Powder, 11.0 to 14.0-ounces			
Iniani Formula	4 cans	Gerber Good Start Soy, Powder, 11.0 to 14.0 ounces			
Infant Fruits & Vegetables	64 ounces	3.5 or 4-ounce container 1 type fruit and 1 type vegetable			
Tuna	6 cans	5 to 6-ounce can			
Rice	2 packages	14 to 16-ounce package			
Bread/Tortillas	2 loaves or packages or 1 loaf and 1 package	16- ounce loaf of bread or package of tortillas			
Fruit	10 cans total combined	2 varieties- 14 to 16 ounce can without added sugar, fats, oils or salt			
Vegetable	10 cans total combined	2 varieties- 14 to 16 ounce can without added sugar, fats or oils			

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Whole Grain Cereal and Minimum Inventory

• Only whole grain cereal can count towards minimum inventory.

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 Some non-whole grain cereal are currently listed on the authorized product list (APL) and allowed for purchase; however, they <u>cannot</u> be counted toward minimum inventory. These Include:

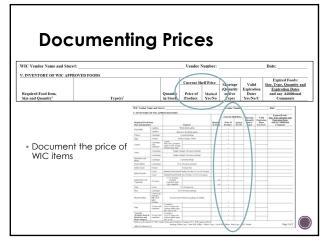
Rice Krispies (various brands)
 Corn Flakes (various brands)
 Special K
 Corn Chex
 Rice Chex
 Cinnamon Chex

Cinnamon Chex
 Blueberry Chex

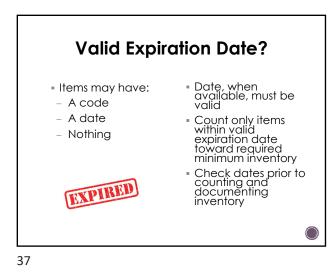


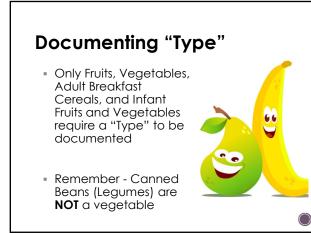
- Do I see the required item?
- Do I see the correct types/varieties?
- Are the items the proper size?
- Do the items have a valid expiration date?
- How many items within date are present?
- Does the number of items meet required minimum inventory?
- Is there a shelf price on the required item?

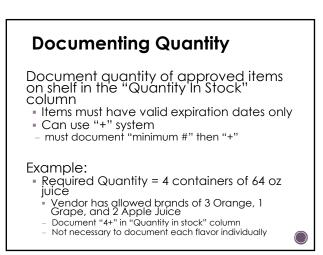


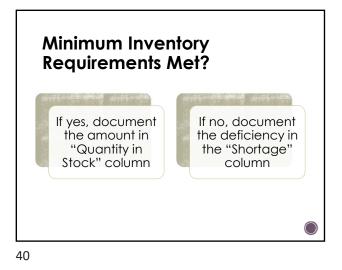




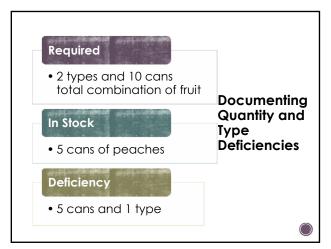




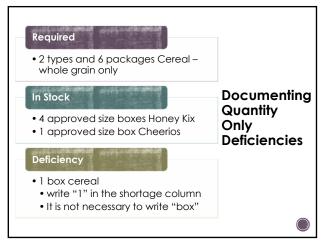


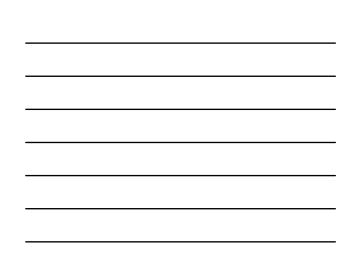












Documenting Expired Foods

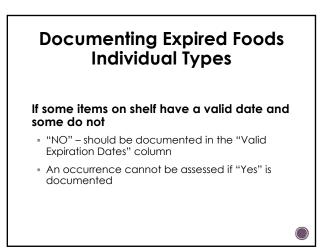
Always Document ALL 4 components = Size, Type, Quantity, Date

 Sanctions cannot be assessed if a component is missing

If ALL items on the shelf are expired

- "---" should be documented in all columns including the "Valid Expiration Date" column and the shortage should be documented
- Document the expired items in the "Expired Foods" column

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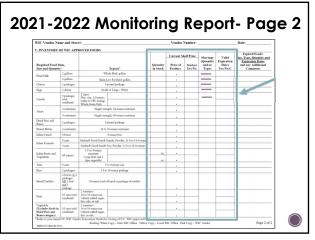
Documenting Expired Foods Combined Types

If all of both types <u>counted</u> toward required minimum inventory have valid dates

 "YES" should be documented in the "Valid Expiration Date" column by both types

If some of the same type <u>counted</u> toward required minimum inventory have a valid date and some do not

- "NO" should be documented in the "Valid Expiration Dates" column
- Document the expired items in the "Expired Foods" column





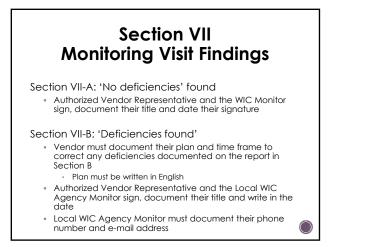
		ett:Acme Gener	al		Vendor	Number:	0000		Date: 10/1/2021
. INVENTORY C	ORY OF WIC APPROVED FOODS				Current Shelf Price		Shortage	Valid	Expired Foods: Size, Type, Quantity and
Required Food It Size and Quantity			Type(s) ¹	Quantity in Stock	Price of Product	Marked Yes/No	(Quantity and/or Type)	Espiration Dates Yes/No/C	Expiration Dates and any Additional Comments
Fluid Milk	2 gallons	W	ole fluid: gallon	2+	1.79	Yes	0	Yes.	
F 1999 (5238)	6 gallous	Skiml	ere Fat floid: gallen	6+	1.79	Yes	-0-	Yes	
Cheese	2 packages	1	pound pockage	21	5.39	Yes	Ð	Yes	
Eggs	2 dozen		e A Large - White	2+	.99	Yes	-0-	Yes	
	6 packages	Min. size: 12-osmees	(plain) lave	6+	3 .99	Yes	A	Yes	
Cereals	combined	(refer to UPC living) Whole Grain Only	(plain) 1202	6	3.99	Yes	4	Yes	
	4 containers		12th. 64-ounce container	4+	3.39	Yes	0	Yes	
hiers	4 containers	Single stre	1gth, 48-ounce container	4	3.29	Yes	0	Yes	
Dried Peas and Beaus	2 packages	1-pound pockage		2+	1.49	109	0	Yes	
Pennet Better	2 containers	16 to 18-orange container		2+	2.19	Yes	0	Yes	
Infant Cereal	6 boxes		8-onnee box	(a +	8.49	Yes	-0-	Yes	
	8 cmm	Gerber# Good Start#	Sentle, Powder, 11.0 to 14.0-conces	8+	18.99	Yes	A	Yes.	
afaut Formula	4 cens	Gerber& Good Start®	Soy. Powder, 11.0 to 14.0-ounces	4	17.49	Yes	A	Yes	
Infant Fruits and	64 censes	3.5 or 4-cauce Gerber, and FOOdS		64 *.	1.69	Yes	0	Yes	
Vegetables	04 ounces	1 type finit and 1 type vegetable	Gerlan, and Roads Butternut Squash apk	64 .	1.109	VPS	0	NPC	
Tuas	6 caus	type vegetione (buildering), and a con-		6+	.99	Yes	-0-	Yes	
Rice	2 packages	14 te	14 to 16-onnee nackage		1.79	Tes	- O	Yes	
Bread Tortillas	2 loaves og 2 pockages OR 1 loaf and 1 pockage	16-ounce lost of bread or package of tortillas		2+	3.19	Yes	0-	Yes	
Fruit	10 cans total	2 varieties- 14 to 16 onnee can	Slived Peaches	10+	Q .19	Yes	A	Yes	
	combined	without added vagar, fats, eils, er salt	Pear halves	10+	1.39	Yes	5	Yes	
Vegetable Excludes foods in	10 cans total	2 varieties- 14 to 16 onnce can	Green Beans	10+	.69	Yes	A	Yes	
Dried Peas and Beans category)	combined	without added sugar, fats, or oils	Brets	10	.19	Yes	0	Yes	

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Section VI Quality of Service

- Discuss the question on the report regarding the service the vendor provides to the WIC customer
- Document any problems, complaints or comments the vendor expresses
- Document if the vendor needs follow-up training
- Document 'Yes' or 'No' on the report based on the vendor's answers

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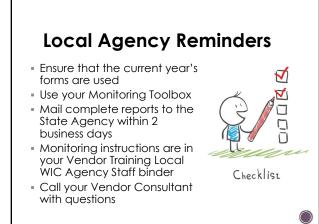


State
Vendor
SanctionsThe number of occurrences are
documented for each violationThe vendor will receive one occurrence
for each violation found during the
monitoring visitThe vendor will receive one occurrence
for each violation found during the
monitoring visit**Cannot assess two violations for the same item.
Most punitive sanction executed.A vendor may be disqualified for a
certain number of occurrences of
a violation. Disqualification periods
for violations committed vary.

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State Vendor Sanctions				
Violations	Disqualification Period			
Three occurrences within a 12-month period of failure to stock the minimum inventory	180 days			
Three occurrences within a 12-month period of stocking WIC supplemental foods outside of the manufacturer's expiration dates	90 days			
Three occurrences within a 12-month period of failure to mark the current shelf prices of all WIC supplemental foods on the foods or have the prices posted on the shelf or display case.	60 days			
	ų			







Heather Todaro – (919) 707-5738
 <u>Heather.Todaro@dhhs.nc.gov</u>



Assurance of Civil Rights Compliance

The State Agency hereby agrees that it will comply with Thile VI of the Civil Rights Act of 1964 (42 U.S.C.2000d et seq.), Tile IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.), Section 564 of the Rehabilitation Act of 1972 (20 U.S.C. 1001 et seq.), Tile 1 and Tibei III of the Americans with Disabilities Act U.S.C.794, Jage Discrimination, Act of 1075 (20 U.S.C. 1001 et seq.), Tile 1 and Tibei III of the Americans with Disabilities Act Justice regulations at (23 CFR Parts 35 and 36); Executive Order 13166, "Improving Access to Services for Persons with Limited English Professory" (August 11, 2000), all provisions required by the implementing regulations of the U.S. n. Begarisment of Agriculture (7 CFR Part 15 et seq); and FRS directives and guidelines to the effect that no person shall, on the from participation in, be denied the benefits of, or otherwise is subjected to discrimination under any program carcitrity for which the Agency receives Pederal financial assistance from FNS; and hereby gives assurances that it will immediately take measures ancessary to effectuate this agreement.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal fundar, assistance, grants, and loans of Federal funds, reimbursable expenditures, grant, or donation of Federal property and interest in apoperty, the detail of Federal promond, the sale and lease of, and the permission to use Pederal property or interest in auxily to property or recipient, or any improvements made with Federal financial assistance extended to the Program Applicant by USDA. This includes any Federal agreement, arrangement, or other contract that has as one of its purposes the provision of each assistance for the purchase of food, and cash assistance for the purchase or retail of food service equipment or any other financial assistance extended in refunce on the representations and agreement made in this assurance.

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 mail: U.S. Department of Agriculture Office of the Assistant Secretary for Civil Rights 1400 Independence Avenue, SW Washington, D.C. 20250-9410;

2. fax: (833) 256-1665 or (202) 690-7442; or

3. email: program.intake@usda.gov

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