

What is Routine Monitoring?

- Unannounced, on-site visits to authorized vendors as a means to check compliance with WIC Program regulations
 - Required by federal regulations
 - Supports integrity of the WIC Program and protects against fraud
 - Completed by Local WIC Agency staff

Basic Components of Monitoring

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

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 Review vendor procedures for eWIC and split tender transactions

 Review invoices/receipts for infant formula sources

Basic Components of Monitoring

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

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



- 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 |_____

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- 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

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

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

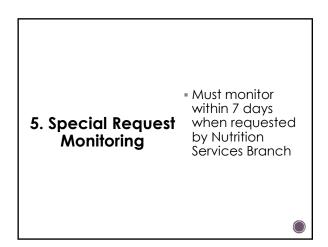
- Follow-up when deficiencies are found
- Complete within 21 days
- If follow-up cannot be done, document in vendor's record
- Continue until vendor has no deficiencies or reaches the point of disqualification
- <u>DO NOT</u> complete a follow-up monitoring visit for a vendor before receiving a copy 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

4. Follow-up Monitoring

- If a vendor reaches the point of disqualification:
- <u>DO NOT</u> continue to go back for additional monitoring visits

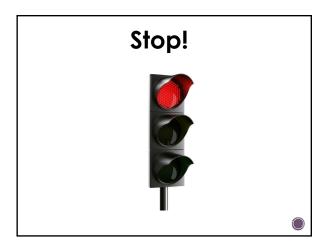


- The Nutrition Services Branch will request participant hardship information
- Vendor may be disqualified or be assessed a civil money penalty



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







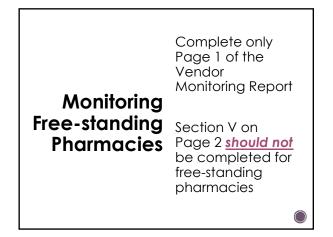


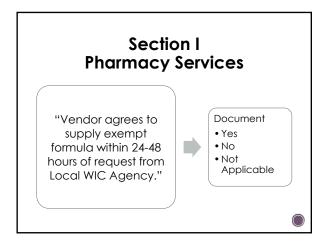


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Section II Infant Formula Sources

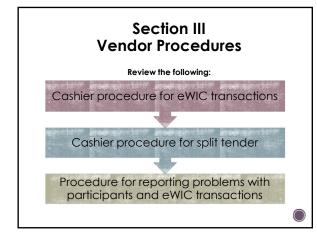
- Vendor must provide receipts from an approved infant formula source
- Document 'Approved Supplier,' 'Not Approved Supplier' or 'Vendor Unable to Produce Infant Formula Receipts'



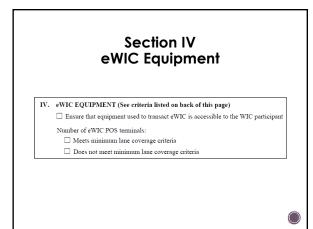
receipts, document when the vendor intends to produce the receipts: Must be within 21 days If vendor is unable to produce infant formula receipts within 21 days of monitoring visit, it is considered a deficiency, even if no other deficiencies are noted within the monitoring visit

- If vendor is unable to produce infant formula

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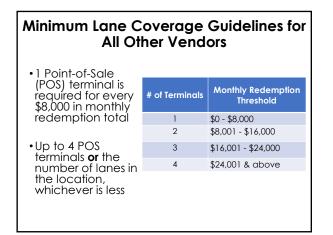


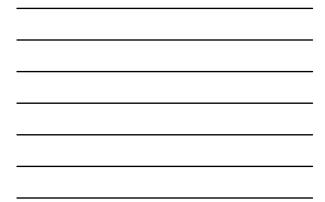












Minimum Lane Coverage Exercise

Question

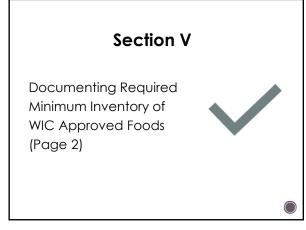
- Vendor has \$25,000.00 in WIC Redemption
- Vendor has 1 cash register
- Vendor has 1 POS terminal
- Does this meet minimum lane coverage criteria?

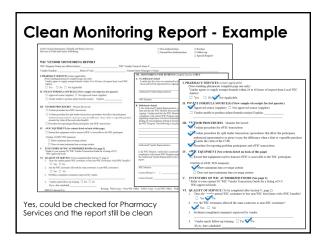
Minimum Lane Coverage Exercise

Answer

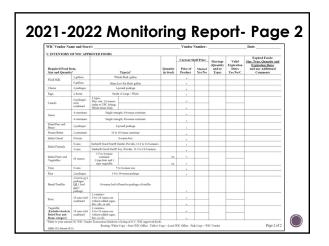
•Yes

- 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







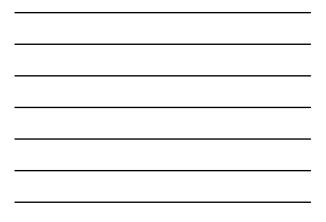




Minimum	Inventory	Requirements			
Required Food item,	Size and Quantity	Туре			
The deliver of the	2 gallons	Whole fluid: gallon			
Fluid Milk	6 gallons	Skim/Low Fat fluid: gallon			
Cheese	2 packages	1 pound package			
Eggs	2 dozen				
Cereals	6 packages total combined	2 types, Min. size: 12-ounces Refer to UPC listing-Whole Grain Only			
Juices	4 containers	Single strength, 64- ounce container			
JUICES	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	Туре			
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			



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

Blueberry Chex

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Inventory Questions

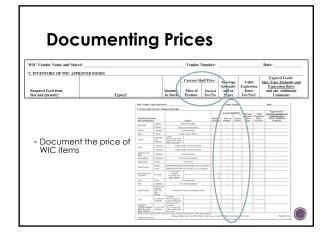
- Do I see the required item?
- Do I see the correct types/varieties?
- Are the items the proper size?
- Do the items have a valid expiration date?
- How many items within date are present?
- Does the number of items meet required minimum inventory?
- Is there a shelf price on the required item?

Is there a shelf price visible?

Price can be on the:

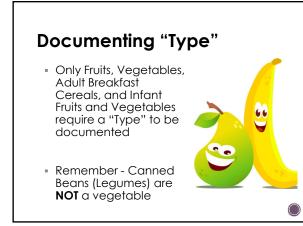
- Shelf
- Display case
- Item itself- Must be on ALL items











Documenting Quantity

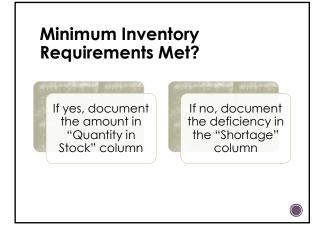
Document quantity of approved items on shelf in the "Quantity In Stock" column

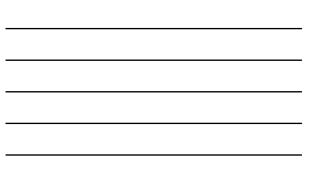
- Items must have valid expiration dates only
- Can use "+" system
 must document "minimum #" then "+"

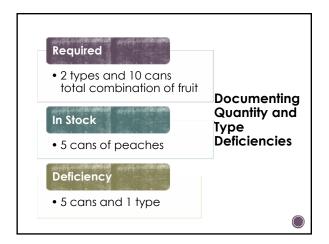
Example:

- Required Quantity = 4 containers of 64 oz juice

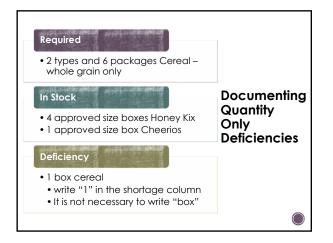
- Vendor has allowed brands of 3 Orange, 1 Grape, and 2 Apple Juice Document "4+" in "Quantity in stock" column Not necessary to document each flavor individually













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

Documenting Expired Foods Individual Types

If some items on shelf have a valid date and some do not

- "NO" should be documented in the "Valid Expiration Dates" column
- An occurrence cannot be assessed if "Yes" is documented

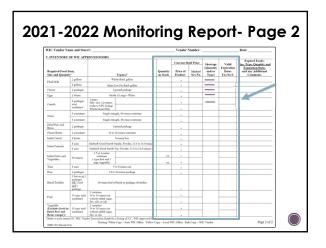
Documenting Expired Foods Combined Types

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 $\underline{counted}$ 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





VIC Vendor Nat	ne and Store	st: Acme Gener	al		Vendor :	Number:	0000		Date: 10/1/2021
INVENTORY O	OF WIC APP	ROVED FOODS							
					Current Shelf Price		Shortage	Valid	Expired Foods: Size, Type, Quantity and
Required Food Item, Size and Quantity ¹		Type(s) ¹		Quantity in Stock	Price of Mari Product Yes		(Quantity and/or Type)	Expiration Dates Yes/No/C	a Expiration Dates and any Additional
Faid Mills	2 gallous	W	ole fluid: gollon	2+	1.79	Yes	0	Yes .	
	6 gallous	SkimT	ov Fat floid: gallon	6+	1.79	Yes	÷	Yes.	
Cheese	2 pockages		pound package	21	5.39	Yes	÷	Yes	
Eggi	2 dozen		Cm cherios	2+	.99	Yes	-0-	Yes	
Cerrels	6 packages	Min size: 12-puppers	(Plain) lacz	6+	3 .99	Yes	A	Yes	
Cereals	ecephined	(refer to UPC listing) Whole Onia Only	(plain) 1202	6	3.99	Yes	4	Yes	
4 contriners		Single strength, 64-orange contrainer		4+	3.39	Yes	0	Yes	
hices	4 containers	Single strength, 48-omce container		4	3.29	Yes	0	Yes	
Dried Peas and Bears	2 packages	1-pound package		2+	1.49	103	0	Yes	
Peaset Datter	2 containers	16 to 15-ounce container		2+	2.19	Yes	A	YPS	
Infast Ceresl	6 boses		E-ensce box	(0 t	8.49	Yes	-0-	Yes	
	8 cren	Gerber& Good Start& Gentle, Powder, 11.0 to 14.0-onners		8+	18.99	Yes	A	Ves	
Infast Formula	4 cans		Sey, Perular, 11.0 to 14.0-mases	4	17.49	Yes	-0-	Yes	
Infeat Freits and	64 enaces	3.5 or 4-more continuer 1 type finit and 1 for expendie for the first and 1 for expendie for the first and 1 for the first and		64 * 00	1.69	Yes	- A	Yes	
Vegetables				64 00	1.69	Yes		NPC	
True	6 cren		to 6-orace era	6+	.99	Yes	-0-	Yes	
Fice	2 pockages	1410	16-rence pockage	2+	1.79	Yes	0	Yes	
Bread Tortálias	2 loaves og 2 packages OR 1 loaf mid 1 unckage	16-ousce louf of bread or package of tortillas		2+	3.19	Yes	-0-	Yes	
Finit	10 cases total	2 varieties- 14 to 16 conce can	Slived Peaches	10+	0.19	Yes	A	Nes	
CINER.		without added sugar, fats, oils, or salt	Pear halves	10+	1.39	Yes	1	Yes	
Vegetable Excludes faults in	10 gams hotal	2 variaties- 14 to 16 conce can	Green Beans	10+	.69	Yes	-0-	Yes	
Dried Peas and Beans category)	combined	without added sugar. fats, or eth	Bects	10	.99	Yes		Yes	

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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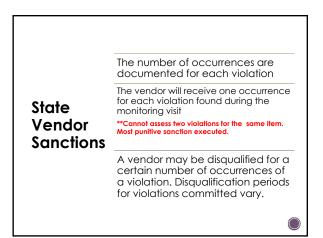
Section VII Monitoring Visit Findings

Section VII-A: 'No deficiencies' found

 Authorized Vendor Representative and the WIC Monitor sign, document their title and date their signature

Section VII-B: 'Deficiencies found'

- Vendor must document their plan and time frame to correct any deficiencies documented on the report in Section B
 - Plan must be written in English
- Authorized Vendor Representative and the Local WIC Agency Monitor sign, document their title and write in the date
- Local WIC Agency Monitor must document their phone number and e-mail address



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			

Local Agency Reminders

- Ensure that the current year's forms are used
- Use your Monitoring Toolbox
- Mail complete reports to the State Agency within 2 business days
- Monitoring instructions are in your Vendor Training Local WIC Agency Staff binder
- Call your Vendor Consultant with questions



Vendor Monitoring Assistance

- Sue Cheek (919) 707-5802
 <u>Sue.Cheek@dhhs.nc.gov</u>
- Lakia Jones (919) 707-5747
 Lakia.Jones@dhhs.nc.gov
- Jasmine Martin (919) 707-5748 Jasmine.Martin@dhhs.nc.gov
- Heather Todaro (919) 707-5738
 <u>Heather.Todaro@dhhs.nc.gov</u>



Assurance of Civil Rights Compliance

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(2) fax: (202) 690-7442; or

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