

WIC MONITORING REVIEW - ENTRANCE/EXIT CONFERENCE

ENTRANCE CONFERENCE

Date: _____

Persons Attending: _____

Topics Discussed: _____

Monitor/Date

Director/Date

EXIT CONFERENCE

Date: _____

Persons Attending: _____

Topics Discussed: _____

Monitor/Date

Director/Date

Staffing & Training

Quarterly reporting of Local Agency activities in Staffing and Training as performance measures is mandatory under provisions of the annual sub-recipient agreement. In the last four quarters, this local agency has the following performance as documented to the State Agency:

SA Monitor to complete the following:

Is there documentation that Local Agency Staff meetings have been held quarterly for the past four completed quarters?

Is there documentation that all newly hired Local Agency employees in the past four quarters have attended the required new employee training at the State Agency within the required time frame?

Has Civil Rights training for all employees occurred within the past year and been documented?

The following manuals, logs, and other documents at the Local Agency will be examined by the State Agency Monitor for accuracy and timeliness as part of the evaluation for staffing and training:

Separation of Duties Log

Conflict of Interest forms

Policy and Procedure Manual – STORC Manual

Local Agency Director to complete the following:

In addition to the required new employee training at the State Agency, describe the training plan Local Agencies require for new employees.

What is the local agency method of making staff aware of Policy and Procedure changes and documenting that training occurred?

Identify problems in filling vacancies and maintaining an adequate staffing level.

List in-kind staffing/operational services received by the Local Agency.

Explain how you control for Conflicts of Interest, that is, a WIC employee who is also a participant, payee or proxy, or relative of a participant, or an employee of a WIC-Approved vendor?

Describe how you ensure that proper Separation of Duties policy is followed?

List any bilingual staff and the language they speak:

Record Retention

Local Agency Director to complete the following:

How long do you retain records?

Describe the method you use to dispose of records.

Complaints and Sanctions Procedures

SA Monitor to complete the following:

The following report details the complaints that have been received in the past four quarters by the State Agency from participants in your Local Agency:

The following manuals, logs, and other documents at the Local Agency will be examined by the State Agency Monitor for accuracy and timeliness as part of the evaluation for Complaints and Sanctions:

Participant Sanction log

Local Agency Director to complete the following:

Describe the methods by which participant complaints or vendor complaints are referred to the State Agency:

Describe your procedure and record keeping when sanctioning participants.

Vendor Management

The following manuals, logs, and other documents at the Local Agency will be examined by the State Agency Monitor for accuracy and timeliness as part of the evaluation for Vendor Management:

Vendor Manual

The Quarterly WIC-approved Vendor List

Local Agency Director to complete the following:

What staff member (s) is your Vendor Liaison? Describe this staff member's duties.

Civil Rights

The following manuals, logs, and other documents at the Local Agency will be examined by the State Agency Monitor for accuracy and timeliness as part of the evaluation for Civil Rights:

Does your Civil Rights Notebook contain the following documents?

Necessary Documentation in <i>Civil Rights Requirements</i> Notebook	Yes	No
FNS Instruction 113-1		
Grassroots Organizational Directory		
Current Site Self-evaluations (Access for disabled persons)		
Copy of all Civil Rights complaints/decisions		

Local Agency Director to complete the following:

Describe procedure for handling a civil rights complaint.

Describe procedure when a non-English speaking participant is enrolled or otherwise makes contact with the Clinic.

Describe the alternative methods of providing service you have developed when your clinic sites are not accessible to persons with disabilities.

What significant non-English speaking populations live in service area, if any? List the program documents or other information has been translated into that language.

Security

SA Monitor to complete the following:

The results of security reports run as follows: STORC initials, outdated sign-ons, delete sheets to State Agency timely.

**Local Agency Director to complete the following; FOR EACH CLINIC SITE
SCHEDULED FOR MONITORING REVIEW: (Make copies as needed)**

A. Physical Security of ADP Equipment

Describe the physical setting.

Is WIC in its own building Yes No

In larger building with others Yes No

What other entities share the facility? _____

Are the WIC offices separated by lockable doors? Yes No

Who is responsible for locking WIC offices? _____

How many others have keys? _____

Is there any record of keys issued? Yes No

How are keys accounted for when someone leaves the Agency? _____

Does anyone outside WIC, such as other county staff, cleaning crews etc., have access to WIC facilities?

Yes No If yes, please specify _____

Have any security concerns surfaced in the past 2 years? How were they handled? By whom? How is documentation kept? _____

B. Equipment Security

If laptops are used at your sites, where are they stored when not in use?

_____ Who has responsibility for them? _____

Is there a system for checkout and return? If Yes, describe it. _____

_____ What are the allowable reasons for them to leave the office?

_____ **Is there a detailed inventory of all equipment maintained?** _____

Where is it kept? _____

Who is responsible for updating it? _____

What agency or entity is responsible for insurance and other valuables at the WIC local agency clinics? _____

How are computers protected against the busy hands of toddlers in the WIC offices? _____

C. Personnel Security

Are lists maintained of all persons who have access to WIC facilities and equipment?

Yes No Who is responsible for maintaining such a list? _____

What procedures are in place to change passwords, change locks, remove access, retrieve keys, etc., when a person leaves the job?

D. Contingency Plans and Emergency Preparedness

Does the local agency have a plan in place to get "clinic back up and running" in the event of a crisis? _____

Is the plan familiar to everyone in the office? _____

Where are backups stored? _____

Who should you call? _____

Where is the nearest neighboring agency or other computer or laptop you could share or borrow?

Where would WIC operate if the site was damaged by fire, flood, etc.? Unknown _____

Are fire extinguishers readily accessible? Yes No

Do staff know how to use them? Yes No

Who is responsible for verifying their operability?

Caseload Management

Describe Local Agency efforts to minimize no-show rates for Certification, Nutrition Education and High Risk follow up.

Describe policy of Local Agency if a participant is late for a Certification or High Risk appointment:

List the institutions in your Local Agency that house participants. Describe the procedures you follow?

Responsibility	Yes	No	Comments
Priority I applicants are certified within ten days of initial contact			
Priority II, III, IV, V & VI applicants are certified within twenty days of initial contact			
Sub-Certification for pregnant women scheduled between expected delivery date and six weeks thereafter			
Applicants/participants are not placed on waiting lists at this time			

Outreach

Quarterly reporting of Local Agency activities in Outreach performance measures is mandatory under provisions of the annual subrecipient agreement. In the last four quarters, this local agency has the following documented performance, per the SA Outreach Coordinator:

Responsibility	Yes	No	Comments
Targeting Plan is on file			
Quarterly Outreach Reports completed			
WIC outreach materials are provided to other agencies			

Referring agencies are contacted biannually (to assure that referrals are made to WIC on a timely basis)			
Efforts are made to publicize the WIC Program biannually			
Efforts are made to reach homeless population			
FNS-approved nondiscrimination statement is on all outreach material developed by LA			

Describe how you ensure that Adult participants/applicants are provided written information on Medicaid on at least one occasion:

Describe how you ensure that you target migrant people.

Describe how you ensure that you meet the special needs of working people? (Plan to improve access through procedures and practices; reducing time away from work and distance traveled – 246.4 (p.322)

Describe how you ensure that you meet the special needs of high-risk people?

Food Delivery/Food Instrument Accountability

During observation: Who handles food instruments *By title, ie Nutritionist and Clerk*

List by name the individual(s) responsible for FI reconciliation at each clinic in your Local Agency.

Describe the procedure for verifying the accuracy of the FI reconciliation.

Describe procedure/documentation for replacement of lost, stolen, damaged FIs/ID folders: