

MANAGEMENT EVALUATION
Operational Procedures

The Fiscal Year 2016 Management Evaluation of the (NAME OF HEALTH DEPARTMENT) WIC Program was conducted by the State WIC Office on (DATE OF VISIT). Procedures were evaluated in the (NAME OF CLINIC). Rick Wardle, State WIC Operations Manager, oversaw the evaluation of operational procedures. This report reflecting comments and findings on the operational procedures was completed on (DATE OF REPORT). This tool was created based on policies and procedures found in the P&P Manual for FY 2016.

I. Vendor Management

1. Policy:	The Local Agency Vendor Coordinator has been trained in Vendor Management by state staff and has completed the Vendor Management Module within the last year.
Location:	Training of Local Agency Retail Coordinators
Audit Method:	Review module completion log, review state Vendor Management records
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

2. Policy:	The Local Vendor Coordinator maintains paper or electronic files on each vendor which include copies of all forms for monitoring or training completed by the Local Coordinator.
Location:	Vendor Files
Audit Method:	Review files
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

3. Policy:	Complaints against vendors are documented and resolved according to policy.
Location:	Complaints Against Vendors
Audit Method:	Review vendor files, review operations alerts, review Family Customer Service Log report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

4. Policy:	Vendor monitoring and training assigned to the local agency was completed within the deadlines and using the proper educational materials and forms.
Location:	Vendor Monitoring, Vendor Training
Audit Method:	Review state monitoring and training records
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

III. Information System

5. Policy:	Documentation in VISION is completed properly including use of comments and alerts. Scanned documents are being saved according to policy.
Location:	Documentation
Audit Method:	Review random records, observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

6. Policy:	Clinic staff has been properly trained on information security in order to protect computer system hardware, software and data.
Location:	System Security
Audit Method:	Check for documentation of completion of Security Awareness training. Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

7. Policy:	Security access to VISION is appropriate for all staff.
Location:	System Security
Audit Method:	Review VISION permissions
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

IV. Organization and Management

8. Policy:	Confidential WIC information is being protected and shared only with approved persons and programs.
Location:	Confidentiality
Audit Method:	Discuss with staff
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

9. Policy:	The local agency has completed basic planning for emergencies
Location:	Emergency Planning
Audit Method:	Discuss
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

10. Policy:	Equipment is purchased according to policy and inventory records are maintained as required. Inventory is reconciled with records at least every two years.
Location:	Equipment Inventory, Equipment Purchasing

Audit Method:	Review inventory records
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

11. Policy:	Homeless and Domestic Violence shelters within the local agency's service area have been monitored within the last three years and documentation is on file.
Location:	Homeless and Domestic Violence Shelters
Audit Method:	Review monitoring documents on file
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

12. Policy:	The local agency has representation at required Utah WIC meetings and training on a regular basis.
Location:	Meetings
Audit Method:	Review meeting minutes and rolls.
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

13. Policy:	Local staff has read each memo sent out by the State Office. Documentation is on file.
Location:	Memos
Audit Method:	Review clinic records.
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

14. Policy:	Staff regularly uses the WIC SharePoint site to find current information.
Location:	SharePoint
Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

15. Policy:	Clinic staff properly orders supplies from the UCI order. Outdated materials are not used and have been discarded. Staff uses the WIC SharePoint site to find current forms and training materials.
Location:	SharePoint, Clinic Forms and Supplies Ordering (UCI)
Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

VII. Caseload Management

16. Policy:	Outreach is conducted by the local agency according to policy. Documentation of annual outreach activities is on file. Outreach that is conducted meets the public notification requirements.
Location:	Outreach
Audit Method:	Review outreach files, VISION records
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

VIII. Certification, Eligibility and Coordination of Services

17. Policy:	The clinic meets processing standard timeframes. Appointment times are provided outside of normal business hours.
Location:	Processing Standards and Appointment Times
Audit Method:	Processing Standards Non-compliance Report, Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

18. Policy:	Clinic staff mark all missed appointments on the same day or the day following the missed appointment so that contact can be made with these clients.
Location:	Missed Appointments
Audit Method:	Review unmarked appointments in scheduler and review appointment history
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

19. Policy:	The VOC Process for out of state transfers is being completed properly.
Location:	Transfers
Audit Method:	Review records for Active VOC participants
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

20. Policy:	Rights and Responsibilities forms were read by all endorsers and proxies at each certification visit. Points of emphasis are discussed. A copy is given to participants.
Location:	Rights and Responsibilities
Audit Method:	Observe: allowing time for reading; discussion and questions answered; printed copy given.
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

21. Policy:	Participant data is recorded in the computer accurately and according to policy.
Location:	Steps for Certification
Audit Method:	Review random records, observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

22. Policy:	Voter registration is offered according to policy.
Location:	Voter registration
Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

23. Policy:	Proof of identity is required for certification, to receive an ID packet, and at check issuance. Applicable policies are followed.
Location:	Proof of Identity
Audit Method:	Observe, review random client records.
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

24. Policy:	Proof of residency is required for certification and applicable policies are followed.
Location:	Proof of Residency
Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

25. Policy:	Homeless, Migrant and Refugee applicants are recorded in the system correctly.
Location:	Homeless Applicants, Migrant Applicants
Audit Method:	Review Migrant Homeless Refugee report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

26. Policy:	The household definition is explained to new applicants and household size is recorded accurately.
Location:	Households
Audit Method:	Observe

Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

27. Policy:	Proof of income is required for certification and applicable policies are followed.
Location:	Income Types, Income Exclusions, Income Verification, Special Income Situations
Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

28. Policy:	Income records are input in the computer system accurately.
Location:	Income Verification
Audit Method:	Observe, review random records
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

29. Policy:	Adjunct eligibility is verified and recorded according to policy.
Location:	Adjunct Eligibility
Audit Method:	Observe, review Adjunct Eligibility report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

30. Policy:	Applicants reporting that they earn no income (zero income) are handled according to policy.
Location:	Special Income Situations
Audit Method:	Review Proof of Income report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

31. Policy:	Provisional Certification and Affidavit certification are used in appropriate circumstances. Applicants who forget to bring proofs are not certified.
Location:	Provisional Certification and Unreasonable Barrier/Affidavit
Audit Method:	Observe, review the Term by System Pending report for those provisionally certified, review Affidavit report.
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

32. Policy:	Income is reassessed during the certification period if it is reported that income has increased or the participant is no longer adjunct eligible.
Location:	Income Reassessment during a Certification Period

Audit Method:	Review Termination by Reason report for those terminated for over income.
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

33. Policy:	Applicants who are found to be ineligible are issued a written Notice of Ineligibility in the appropriate language. This is documented in VISION.
Location:	Ineligible Applicants
Audit Method:	Review records for families listed on the Ineligible report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

34. Policy:	Participants terminated during a certification period for applicable reasons are given a written Notice of Termination. This is documented. 15 days benefits are provided to those terminated for being over-income.
Location:	Termination
Audit Method:	Review records for those families listed on Terminated by Reason report for applicable reasons
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

35. Policy:	Participants whose certification period will soon be expiring and who will remain categorically eligible are told they will need to reapply for certification. Certification appointments are scheduled and noted in the ID packet if applicable. Participants who do not receive checks and whose certification periods will be expiring soon are notified that their certification period is expiring.
Location:	Termination
Audit Method:	Observe, Review records of those clients who receive state ordered formula.
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

36. Policy:	Complaints are documented and resolved according to policy.
Location:	Complaint Handling
Audit Method:	Review operations alerts, review Family Customer Service Log report, review participant violations
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

37. Policy:	Participants are notified of alleged participant violations within 10 days of the clinic being made aware of the violation. Participants are counseled and violations are resolved prior to further check issuance. Participant violations are documented and sanctions imposed according to policy. Claims against participants are handled appropriately.
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Location:	Participant Violations
Audit Method:	Review Participant Violation report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

38. Policy:	The Intrastate Dual Participation report is resolved properly each day. The clinic is using proper search techniques to find participants and avoid creating duals. Clinic is inputting names properly.
Location:	Dual Participation
Audit Method:	Review Intrastate Dual screen
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

IX. Food Delivery/Food Instrument Accountability and Control

39. Policy:	Inventory counts of check stock and inventory adjustments are completed at least monthly. Check stock shipments are promptly received and verified.
Location:	Check Stock
Audit Method:	Review inventory summary and shipment screens in VISION
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

40. Policy:	Blank check stock is stored in a locked cabinet in a locked room in the clinic.
Location:	Check Stock
Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

41. Policy:	Clinics with more than one MICR printer maintain a printer log for each printer. Printed checks are reviewed for MICR printing errors before they are given to clients.
Location:	Check Stock
Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

42. Policy:	Check printing and distribution is completed according to policy; this includes mailing of checks, proration, signing for checks, and proper placement of checks in the ID packet.
Location:	Check Handling and Issuance

Audit Method:	Observe, review signature history, No Signature by Reason report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

43. Policy:	At each certification participants receive verbal instructions on the proper redemption procedures for their WIC checks. The Orientation video is also used for new clients.
Location:	Instructions to Participants
Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

44. Policy:	The Authorized WIC Foods booklet is explained to all first time applicants and changes are explained to all participants when there is revised booklet being handed out. It is documented in the VISION system.
Location:	Instructions to Participants
Audit Method:	Observe, review core contact- pamphlets provided.
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

45. Policy:	Lost checks are replaced according to policy.
Location:	Lost Checks
Audit Method:	Review Voided FIs That Have Been Redeemed or Rejected report, Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

46. Policy:	Clinic staff reprint and void checks according to policy. Voided checks that have been redeemed at the vendor are researched and resolved by clinic staff.
Location:	Reprinting and Voiding Checks, Redeemed Voided Checks
Audit Method:	Review Voided FIs That Have Been Redeemed or Rejected report, observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

47. Policy:	Returned infant formula is documented appropriately and is disposed of according to policy.
Location:	Infant Formula Returns
Audit Method:	Review Returned Formula report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

X. Monitoring and Audits

48. Policy:	No conflict of interest exists between WIC staff and the participants of the program or vendors. WIC staff does not certify themselves or close relatives or friends. WIC staff does not provide any part of WIC services to members of their own household.
Location:	Conflict of Interest
Audit Method:	Review participant records, discuss with staff
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

49. Policy:	There is a separation of duties within the clinic. A single staff member does not determine all eligibility criteria and issue checks to the same participant unless a state exception has been granted to do this in the case of staff members who must work alone. The local agency WIC director conducts required audits of all staff members who have been given full access to VISION.
Location:	Monitoring of Staff to Prevent and Detect Fraud
Audit Method:	Review security permissions, review audit records of those with exceptions
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

50. Policy:	The Self Evaluation Tool was completed according to instructions and was submitted to the State WIC Office at least 30 days prior to the on-site visit. WIC appointments were scheduled as requested during the site visit.
Location:	Self Evaluation Tool
Audit Method:	Review Self Evaluation
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

XI. Civil Rights

51. Policy:	WIC staff completes Civil Rights training each fiscal year; new staff is trained within 60 days of hire. Documentation is on file.
Location:	Civil Rights Training
Audit Method:	Review clinic files
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

52. Policy:	Clinic staff are properly collecting ethnic and racial data
Location:	Collection of Racial and Ethnic Data

Audit Method:	Observe
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

53. Policy:	The clinic is able to adequately serve the Limited English Proficiency population in the clinic. Applicable policies are followed.
Location:	Limited English Proficiency
Audit Method:	Review language report, discuss with staff
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

54. Policy:	The preferred spoken language and print-outs language are entered appropriately for each family.
Location:	Limited English Proficiency
Audit Method:	Review language report
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

55. Policy:	Persons with disabilities are accommodated, the clinic is accessible. Parking spaces are provided for the disabled.
Location:	Persons with Disabilities
Audit Method:	Observe, discuss with staff
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

56. Policy:	A WIC website is maintained with program availability information, addresses and phone numbers of clinics, and complaint information. WIC signs and hours of operation are posted on buildings. The "And Justice For All" poster is displayed.
Location:	Public Notification
Audit Method:	Observe, review website
Results:	Yes <input type="checkbox"/> No <input type="checkbox"/>
Comments:	

57. Policy:	The non-discrimination statement is found on all applicable local agency created materials, advertising and website.
Location:	Non-discrimination Statement
Audit Method:	Observe, review website and materials

Results:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Comments:		

PLAN OF ACTION – OPERATIONS FINDING #	
Action Steps:	
Responsible Person:	
Anticipated Completion Date:	
Actual Date Completed:	
Documentation of Completion:	
<i>You must provide documentation of completion to the State office in order for finding to be closed</i>	