



Management Evaluation: Pre-Questionnaire

10.004A

Unit	P&P #	LA Program Requirement	(Yes/No/NA)	Describe your Procedure
Organization & Management	4.001	Staff-to-participant ratio meets the recommendation of 1:300.		
Caseload Management	7.003	Staffing pattern ensures adequate CPA coverage to address the LA's high-risk population.		
Caseload Management	7.003	LA is able to identify driving forces for show rates and develops strategies to increase the over-all show rate.		
Caseload Management	7.011	Maintains monthly average show rates for each site location from the previous year.		
Caseload Management	7.010 7.011	Tracks caseload monthly, submits numbers in Quarterly Narrative.		
Caseload Management	7.011	Develops annual outreach plan with measureable goals, objectives, activities, and methods.		
Civil Rights	11.001	Includes appropriate nondiscrimination statement on all WIC-related materials disseminated to applicants, participants, outreach/referral contacts, and the general public.		
Civil Rights	11.001	Reviews and monitors activities to ensure compliance with nondiscrimination laws and regulations.		
Civil Rights	11.001 11.002	Provides interpreter services free of charge to the participants who need or request them		



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Program Support / Administration	12.007	Provides regular, visible means for collecting voter registration applications.		
Program Support / Administration	12.013	Documents participants who request a Fair Hearing, and outcomes of such requests.		
Program Support / Administration	12.017	Maintains files of required documents for a period of at least 3 years.		
Program Support/ Administration	12.019	Staff adhere to policies and procedures for releasing participant records to participant, parent or legal guardian of a child participant, healthcare providers, and external organizations.		
Monitoring & Audits	10.001 10.002 10.005 10.006	Reviews internal operations at least annually; and monitors at least 20% of service sites and staff.		
Certification / Food Delivery	8.038 9.018	Measures are in place to prevent employee fraud and theft.		
Food Delivery	3.001 9.006	Implements reasonable precautions to safeguard food instruments against theft or loss.		
Eligibility - Income	8.006	LA staff check household income before determining participant’s eligibility.	N/A	Staff may use “Self-declared COVID” during Public Health Emergency / remote services.
Eligibility - Income	8.006	LA staff check adjunctive eligibility before entering the information in CARES.		



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<b>Eligibility – Intake</b>	8.003 8.004 8.005	Staff utilize appropriate documents for verifying eligibility, and document intake information correctly in the MIS.	N/A	Staff may follow disaster guidance policies around intake / documentation during the public health pandemic.
<b>Certification – Anthros &amp; Labs</b>	8.016 8.017 8.018	A. Staff are trained on correct use and maintenance of anthropometric and lab equipment (scales, stadiometer, and Hemocue). B. LA adheres to calibration guidance/schedules.	N/A	Service sites are providing remote services due to public health pandemic, thus anthropometric and lab equipment is not currently in use.
<b>Certification – Anthros &amp; Labs</b>	8.017	Staff follow anthropometric measurement guidelines for infants and children under 2.	N/A	Staff may follow disaster guidance policies around anthropometrics and labs during the public health pandemic.
<b>Certification - Immunizations</b>	8.025 8.042	A. Staff review immunization status of children under 2 and document referrals in MIS. B. Ensures Staff has access to public health clinic immunization site list for referral to participants.		
<b>Certification – Homeless Participants</b>	8.028	Staff implement procedures to ensure that homeless facilities/institutions comply with WIC conditions.		
<b>Certification – Separation of Duties</b>	9.002	Ensures separation duties at all times during clinic operations	N/A	This requirement is currently waived due to the public health pandemic.
<b>Food Delivery</b>	9.003	Staff review with participants where and how to shop for food benefits.		



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<b>Food Delivery</b>	9.011 9.012	Staff implement correct procedures for voiding checks in the MIS, reissuing checks to participants, and documenting voided checks.		
<b>Mid-Certifications</b>	8.023	Staff ensure continued quality of care by scheduling Mid-Certification Assessment appointments.		
<b>Caseload Management – Follow Ups</b>	7.001	Staff appropriately schedule follow-up and subsequent appointments in MIS system.		
<b>Nutrition Services - Assessments</b>	2.001	All CPAs/CPPAs conduct a comprehensive nutrition and breastfeeding assessment in order to deliver appropriate and personalized nutrition services.		
<b>Nutrition Services - Assessments</b>	2.001	Staff review and discuss children’s growth chart with parents, guardians, or caretakers.		
<b>Nutrition Services – High-risk Participants</b>	2.002 2.005	A. Staff conduct and document all nutrition education and high-risk contacts in order to deliver appropriate and personalized nutrition services B. Processes are in place to ensure timely follow up of high-risk participants by CPA, if CPA is not available during initial appointment.		
<b>Nutrition Services – Nutrition Education</b>	2.005	Staff document in MIS refusal of participant or caregiver to attend or participate in nutrition education.		



Nutrition Services	2.004	A. Maintains updated list of community agencies that provide substance abuse counseling and treatment. B. Staff provides substance abuse information to participants and/or caretakers of infants/children, when appropriate.		
Nutrition Services	2.004	Staff provide appropriate referrals to health and public assistance programs.		
Nutrition Services	2.009	LA ensures that all nutrition education materials provided to participants are approved by the SA Nutrition Coordinator prior to distribution.		
Nutrition Services – Infant Formula	2.013	A. Staff tailor the amount of infant formula issued based on assessment of breastfeeding infants to provide only the amount necessary to meet the infant’s needs. B. LA ensures Staff uses WIC Infant Formula Tailoring Calculator to tailor infant formula issuance amounts consistent with WIC regulations.		
Nutrition Services – Infant Formula	2.015 2.016	Ensures compliance around policies regarding issuance of RTU and special formulas.		
Nutrition Services – Infant Formula	2.021	Staff document in MIS all formula returned, donated and destroyed, and reason for returns.		
Nutrition Services / Breastfeeding	2.018	Staff receive adequate orientation, competency-based training, and continuing education related to nutrition and breastfeeding services.		



Nutrition Services - Breastfeeding	2.018	LA hosts Beautiful Beginnings Club meetings on a monthly basis.		
Nutrition Services - Breastfeeding	2.018	All service sites have an environment that endorses breastfeeding as the best source of infant nutrition.		
Nutrition Services - Breastfeeding	2.019	Staff members who give out breastfeeding aids are trained on appropriate use and are able to effectively educate participants.		
Nutrition Services – Breastfeeding	2.019	Maintains accurate inventory of breast pump supplies in CARES breast pump log(s).		
Nutrition Services - Breastfeeding	2.020	Recruits and hires breastfeeding peer counselors based on State Agency job descriptions.		
Nutrition Services - Breastfeeding	2.020	Trains breastfeeding peer counselors using the FNS WIC Breastfeeding Model Training.		
Nutrition Services - Breastfeeding	2.020	Provides breastfeeding peer counseling services during off hours and weekends to answer calls from participants and provide breastfeeding information.		
Nutrition Services - Breastfeeding	2.020	Keeps accurate records of all Breastfeeding contacts made; completes and submits monthly contact logs to State Agency.		
Financial Management	13.006	Provide a list of staff and their assigned percentages and an updated organization chart. (Attachment)		



Financial Management	13.006	How does your organization certify that WIC staff time is accurate?		
Financial Management	13.006	How is cost determined for WIC staff across the four WIC cost categories? <i>(Client Services, Nutrition, Breastfeeding, Program Management)</i>		
Financial Management	13.007	Please describe your organization's approval processes for budgets, modifications and invoice approvals as it relates to the WIC program. What personnel is involved in this process?		
Financial Management	13.007	Do you have WIC Staff that work on other federal/nonfederal programs other than WIC? If so, what methods are used to allocate and track time and compensation to programs in which they work? (i.e. cost allocation method, time sheets or 100% time)		

**Additional Financial Management Questions**

1	Please describe the methods and the timeframe at your organization to determine outstanding WIC program obligations at closeout?	
2	Was income generated by the WIC program during the previous fiscal year? <b>If yes, please describe how income is generated and reported to the State agency?</b>	
3	Does your organization have contracts / agreements with any other entities that perform WIC programmatic functions? If yes, list organizations involved.	



4	Describe your organization’s process for paying sub-grantees, contractors or other payee’s claims/invoices? Does the process require the involvement of more than one person or office? Please describe.	
5	Are costs distributed between WIC and Non-WIC programs for shared resources? Please describe. <i>(i.e. printers, copier leases, supportive services)</i>	
6	At the time of this review, what is the status of each audit finding/corrective action from the most recent reported audit?	
7	What procedures are in place at the Local Agency to ensure the accuracy of information submitted to the State Agency on expenditures and costs allocated to the program?	
8	Does your organization have its own procurement rules or are Federal procurement rules being utilized? Please specify.	
9	At your organization, what coordination takes place between the WIC program, purchasing and/or legal offices to ensure that rules are followed?	
10	How does your organization ensure competition when procuring goods and services?	
11	Are receipts of goods and services from vendors evidenced by receiving reports or equivalent records? Is each vendor’s invoice matched with a receiving report?	



12	What are the procedures for following up with vendors and contractors when goods or services are not delivered or rendered when promised?	
13	Please describe the approval process for procurements at your organization. Are procurements approved by organizational officials with the authority to do so? Authorization should be evidenced by a properly executed requisition or equivalent document.	
14	What processes are in place to determine the accuracy of a contractor or vendor's billings prior to approving them for payment?	
15	Was any equipment or capital expenditure purchased this year that cost \$5,000.00 or more with program funds? Was prior approval received from either the State Agency or the Local Agency organization?	
16	Prior to new acquisitions, does your organization consider the availability of property already in its possession?	
17	Is access to the property/equipment restricted to persons who need to use it in performing their official duties?	
18	Has any property or equipment belonging to the program been stolen or broken within this last fiscal year? If so, please elaborate.	
19	How does your organization ensure that property acquired with Federal funds is used only for WIC program purposes?	



20	Please describe how property inventory records maintained? What data elements are maintained on each item? Please provide a copy.	
21	What are the local agency's disposition policies and procedures for equipment and/or property acquired with Federal funds?	
22	Describe your organization's procedure for development of the annual WIC budget submitted to the State Agency as part of the annual Grant Process.	
23	Does your organization have a negotiated indirect cost rate agreement from the federal government? If so, what is the rate? (please attach document). If not, describe the method for calculating indirect cost.	
24	Describe your organization's process in assigning expenditures according to the four functions/activities? ( <i>i.e. program management, breastfeeding promotion support, and nutrition education and client services</i> )	
25	How does your organization ensure that costs are appropriately categorized?	
26	Provide a description of costs charged to the indirect cost acquired from WIC funds.	
27	Describe the Local Agency's policies and procedures for ensuring expenditures financed with Program funds are authorized and properly chargeable to the Program.	



28	Does your organization charge occupancy cost to WIC? If so please specify what is charged, if these are shared costs and spaces? How are costs determined and charged to each program?	
29	Were any items purchased last Fiscal Year for WIC client distribution/outreach such as nutrition education materials? If so - do they contain the Local Agency name and contact information? ( <i>telephone number or website</i> )	
30	Does your organization ensure that all purchased items have a WIC specific message that targets the potentially eligible population? Please describe.	
31	Were incentives items purchased? If so - please provide a copy of the order and invoice.	
32	Please describe the travel request and reimbursement process at your organization.	
33	Please describe the method used at your organization to calculate meal allowances for staff on authorized travel?	