



Participant Centered Services (PCS) Local Agency (LA) Management Evaluation (ME) Tool

Alaska WIC is striving to incorporate the Participant Centered Services (PCS) business model in all aspects of the WIC program. For the LA ME process, state staff are identifying linear information versus behavioral information with regard to the ME. For example: Linear information can be found in financial reports, time studies, equipment inventories, policies and procedures, and grant files. Linear information can be obtained in advance, and used for a preliminary desk audit in preparation for the on-site ME. Behavioral information is gathered by observation, with regard to implementing Value Enhanced Nutrition Assessment, Breastfeeding and Nutrition Education, Referrals, Issuance of Food Packages/WIC Benefits and Participant Centered Education, which differ with every single interaction between a Competent Professional Authority (CPA) and a WIC participant. AK WIC is using an ME approach which gathers linear information via a desk audit prior to the LA ME visit, allowing more time to be spent for observations, technical assistance and mentoring.

Tools to complete a LA ME Desk Audit:

- WIC Local Agency Monitoring and Self-Assessment Narrative (Pages 6-3 to 6-8)
- FMNP Local Agency Monitoring and Self- Assessment Narrative (Pages 6-9 to 6-10, if applicable)
- BFPC Local Agency ME Mentoring and Self-Assessment Narrative (Pages 6-11 to 6-12, if applicable)
- WIC Local Agency Monitoring and Self-Assessment Form (Pages 6-13 to 6-41)
- WIC Local Agency Management Evaluation Preparation Materials (Page 6-42)
- Abbreviations used in the document, (page 6-43)

Local Agency (LA) Management Evaluation (ME) and Self-Assessment Narratives (Page 6-3 to 6-12)

These pages are open ended questions to gather information on the LA's Nutrition Education and Services Plan, the program's successes, challenges and ways the state can best assist the WIC LA program, as well as Farmer's Market Nutrition Programs, and Breastfeeding Peer Counseling where applicable.

Local Agency Monitoring and Self-Assessment Form (Pages 6-13 to 6-40) covers the following WIC Functional areas:

- 1.0 Nutrition Services
- 2.0 Clinic Operations
- 3.0 Caseload Management and Outreach
- 4.0 Civil Rights
- 5.0 Staffing
- 6.0 Organization

- 7.0 Food Delivery/Food Instrument Accountability
- 8.0 Vendor Relations
- 9.0 Farmers' Market Nutrition Program (if applicable)
- 10.0 Financial Management
- 11.0 Information Management System
- 12.0 Breastfeeding Peer Counseling (if applicable)

The USDA, Food and Nutrition Services WIC Nutrition Services Standards (<http://www.nal.usda.gov/wicworks/Topics/WICnutStand.pdf>) published in August 2013 are incorporated into the LA Self-Assessment document. It simplifies and streamlines the self-assessment process. The NSS becomes the Alaska WIC standard for LA ME review.

The standards are organized to cover the major areas of federal and state regulations and policies. Each section includes several program characteristics. Each program characteristic has several standards. The standards are perhaps the most relevant indices for measuring program performance. Throughout the LA Monitoring and Self-Assessment Form the AK WIC ME Standards reference Nutrition Services Standards (NSS), and Alaska State Policy and Procedures.

Each standard has program indicators. Indicators are intended to give the reviewers and the local agency staff guidance to interpret and evaluate the standard. They are not fully inclusive or exclusive, and are most useful as guidelines.

A rating scale [Is the standard met?: Yes, No, Partial, and Not Applicable (N/A)] is next to each program standard. The intent of the rating scale is to allow the reviewer some flexibility in determining whether the standard was met. In addition, the forms include areas for narrative comments that can highlight positive things the program is doing or provide constructive feedback in cases where the standard was not entirely met. The last column includes numbers designated for items, documents, data, policies or procedures that may need to be sent to the State reviewer. The number corresponding to the requested items are listed on page 6-42.

Local Agency (LA) Management Evaluation (ME) Preparation Materials (Page 6-41)

This page is the reference for the last column on the WIC Local Agency Monitoring and Self-Assessment Form, which includes numbers designated for items, documents, data, policies or procedures that may need to be sent to the State reviewer (S), or available for on-site review (OS).

Local Agency (LA) Monitoring and Self-Assessment Narrative

Local Agency: _____ Date: _____
Written by: _____

1. What are your organization's biggest challenges and how do these challenges affect the WIC program?

2. How can the WIC Program Office help you achieve your program goals?

3. What state or federal regulations or policies create barriers to providing high quality effective services to WIC participants?

Other Comments

4. What are your processes from when a client arrives to when they leave? Describe the complete process and attach copies of forms. If you have off-site clients that receive mailed applications, please describe that complete process as well.

Other Comments

5. How have you used your most recent client surveys to improve program services?

Other Comments

For Local Agencies with subcontracts for WIC services within the past 6 months:

- a. How are you monitoring subcontracts?
- b. How do you ensure compliance with program requirements?
- c. Describe the duties the subcontractor performs and any reporting requirements.
- d. Please complete a separate LA Self-Assessment form for each sub-contractor and complete only the sections that apply to the subcontractor's services.

Other Comments

6. Tell us your best practices.

Other Comments

Local Agency (LA) Monitoring and Self-Assessment Narrative

Local Agency: _____ Date: _____

Written by: _____

1. Please describe specific procedures for issuing, securing, disposing of Farmer's Market Nutrition Programs (FMNP) food instruments (FIs). How do you ensure clinic staff follows proper issuance procedures?

2. Please describe FMNP promotion and outreach activities you have done in the past year.

3. Describe how you incorporate nutrition education into FMNP.

Other Comments

3. What are your recommendations for the Alaska WIC Breastfeeding Peer Counseling Program?

Other Comments



Local Agency (LA) Monitoring and Self-Assessment WIC Regulations (FR) and Nutrition Services Standards (NSS)

Local Agency: _____ Date: _____
Evaluator(s) _____

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
1. Nutrition Services FR 246.6b5 & 246.11							
LA Nutrition Education Plan 1.1.0	1.1.1 Follows currently approved Nutrition Education Plan per most recent competitive grant award	NSS 1A FD					
Individual Care Plans	1.1.2 All WIC participants must have completed S.O.A.P note	NSS 7A4; 14 A FD					
Contacts	1.1.3 Each participant must receive quarterly nutrition education contacts.	NSS 7A FD					
	1.1.4 Whether in person or mailed, each participant in the household must receive nutrition education that is based on risk factors/goals,	NSS 7A5; 2C11 FD					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
Contacts (continued)	personal needs, household situation, educational level, and cultural preference. Education must be documented in the electronic chart.						
	1.1.5 Delivery of nutrition education must be interactive: face-to-face, telephone, or electronically	NSS 7A3 FD					
	1.1.6 LAs with rural clients have a plan to conduct 20% of their client certifications by video certification methods, providing nutrition education	LA memo 12-03 rev 1					
	1.1.7 If using video teleconferencing, a signed confidentiality release is in client's chart	LA Memo 12-05					
	1.1.8 Supportive reinforcement activities and resources are available: bulletin boards, newsletters, pamphlets.	NSS 7A3c					
	1.1.9 Nutrition education follow-up must be	NSS 7A3; 7A5					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
Contacts (continued)	interactive, examine client's progress towards goal/behavior changes, and occur before or at next certification	LA Memo 12-05 FD					
	1.1.10 LA must make 2 attempts to contact clients to provide education before mailing FIs. Attempts must be documented in client's electronic record. (OneCall Now counts as the first attempt).	LA Memo 12-05					
	1.1.11 LA coordinates with other program partners to provide care and support for participants. For example: Public Health Nursing, Infant Learning Program, SNAP-ED, Homeless Shelters, Immunizations providers, Expanded Food and Nutrition Programs (EFNP), etc.	NSS 10A; 10B; 10C FD					
Materials	1.2.1 Materials available are accurate,	NSS 7A2j; 2C11					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
1.2.0	relevant, and at an appropriate cultural and literacy level	FD					
	1.2.2 Materials offered address client's nutrition risk	NSS 7A5 FD					
Participant Centered Education (PCE) 1.3.0	1.3.1 PCE model used when delivering education services Establish rapport to begin a conversation. Practices active listening skills. Collects information without interrupting or correcting the participant. Paraphrases or reflects what was heard. Uses open ended sentences appropriately. Goal set by client.	NSS 7A3					
	1.3.2 Staff uses critical thinking skills in organizing and synthesizing information to evaluate and to prioritize the information appropriately.	NSS 6C6					
Critical Thinking							
Breastfeeding	1.4.1 Pregnant women are encouraged to breastfeed	NSS 7A; NSS 8 FD					
	1.4.2 BFW are counseled and supported	NSS 8 FD					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
1.4.0 Breastfeeding 1.4.0 (cont.)	1.4.3 Designated LA BF Coordinator Name: _____	NSS 3I; 3J FD					
	1.4.4 LA BF Coordinator has at least 1 yr in counseling BFW and /or extended lactation training, CLC or IBCLC (BP)	NSS 3I; 3J					
	1.4.5 Workplace policies are breastfeeding-friendly (BP)	NSS 2B					
	1.4.6 LAs provide training to all staff about BF and their role in supporting PG and BF mothers	NSS 8A AK P & P Chap 2; FD					
	1.4.7 LA tracks breast pumps & follow up per policy guidance.	NSS 3J7 AK P & P Chap 7; FD					
Value Enhanced Nutrition Assessment 1.5.0 (VENA)	1.5.1 Uses VENA principles to complete nutrition assessment	NSS 6; 7A3 FD					
WIC Nutrition Risk	1.5.2 CPA or RD uses national WIC Nutrition Risk Criteria to	NSS 6A1; 6B5 FD					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
	completely identify and document all nutrition risks prior to nutrition education						
Dietary Assessment	1.5.3 Critical thinking is used to review measurements and other information collected and combined with the focus of the participant. Staff shows competency in their interviewing and communication techniques, resulting in an effective WIC intervention for the participant which includes interacting with the WIC participant using VENA (see competencies on abbreviations page)	NSS 6B8A-B FD (Item #3)					
Anthropometric Assessment	1.5.4 Anthropometrics are current, recorded, reflect participant status and are assessed according to AK P & P	NSS 14B1; 6B3 FD (Item #3)					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
	1.5.5 Appropriate technique used and results interpreted correctly	NSS 14B1; 6B3 FD					
Hematological Assessment	1.5.6 Hematological assessments current, recorded, reflect participant status and assessed according to the standards in the AK P & P	NSS 14B1; NSS 6B3 FD (Item #3)					
	1.5.7 Appropriate technique used, and results interpreted correctly; for both traditional screening and non-invasive screening	NSS 14B1; NSS 6B3 FD					
Medical/Health/Economic/Social	1.5.8 Information is collected and assessed interactively with client at certification	NSS 6B (Item #3)					
Food Prescription 1.6.0	1.6.1 Food packages prescribed by qualified staff	NSS 3H2; 3N2; 13B 1-3; 13B8 FD (Item #3)					
	1.6.2 Food packages are tailored appropriately	NSS 13B1,2,5, 8 FD (Item #3)					
	1.6.3 Breastfeeding assessment is made	NSS 13B4, 5 FD					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
	and documented by a CPA or RD before changing a food package for a breastfeeding dyad						
WIC CPA Roles/ Responsibilities 1.7.0	1.7.1 Identifies and refers high-risk participants to a qualified nutritionist	NSS 3H7; AK P & P Chap 2 FD (Item #3)					
	1.7.2 Paraprofessionals complete a CPA competency based training program	NSS 3G2; 5C					
	1.7.3 CPA qualifications meet FR definition	NSS 3G1, 2 FD					
Contract Formula Prescriptions 1.8.0	1.8.1 Contract formulas are prescribed unless a non-contract formula ENPR is completed and in the chart	NSS 12B6 FD (Item #3)					
	1.8.2 Non-contract formula usage rate is <5%	NSS 12F; AK P&P Chap 3					
High Risk 1.9.0	1.9.1 Appropriate HR codes are identified and correctly assigned in the computer file	NSS3H7; AK P & P Chap 2 FD					
	1.9.2 HR SOAP notes are	NSS 3N3-6					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
High Risk (cont.)	developed and identify appropriate nutrition education and support materials needed	FD					
	1.9.3 HR nutrition education contact with RD must take place during certification period	AK P & P Chap 2; NSS3N FD					
	1.9.4 LA uses a tracking system to ensure HR clients are referred and seen by appropriate staff.	NSS 3N6					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
2. Clinic Operations (FR 246.6b8)							
Certifications 2.1.0	2.1.1 Follows certification Policies & Procedures for all applicants <ul style="list-style-type: none"> • Applicant meets WIC categories • Applicant supplied proof of residency • Applicant supplied proof of identity • Applicant is physically present or documented reason for absence • Applicant is income eligible (observe income determinations) 	AK P & P Chap. 1 FD (Item #2)					
	2.1.2 Income verification and risk factor assignment procedures are separated	AK P & P Chap 1 FD (Item #3)					
Referrals Assessed/ Documented 2.2.0	2.2.1 Provides and documents written referrals to Medicaid/Denali Kid Care. Provide verbal/written referrals to SNAP,	NSS 11A; 11B FD (Item #6)					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
Referrals Assessed/ Documented 2.2.0 (cont.)	ATAP, Well Child (EPSDT), and Immunizations, (As need is identified by assessment)						
	2.2.2 Provides & documents follow-up to referrals (BP)	NSS 6B7, 3H8, NSS11B (Item #3)					
	2.2.3 Scans income documents and applications into SPIRIT (BP)	AK P & P Chap 1					
	2.2.4 Maintain and provide a list of current resources for drug and other harmful substance abuse. Information must be given at each new pregnancy, PP and BF women, and parents/caregivers of infants and children certification.	NSS 7A2k , 11A3 FD					
	2.2.5 Immunizations for children under age 2 are documented in SPIRIT.	Alaska P &P Chap 1 FD					
	2.2.6 Voter Registration preference is documented in SPIRIT, matches application and	Alaska P &P Chap 1 FD					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
	appropriate action is taken.						
Program Benefits 2.3.0	2.3.1 Participants relocating out of state receive VOC	Alaska P &P Chap 1 FD					
	2.3.2 New participants are oriented to selecting WIC foods, locating WIC vendors and program Rights and Responsibilities	Alaska P &P Chap 1 (Item #7)					
	2.3.3 Rights and Responsibilities summarized verbally by clinic staff and participants are given the opportunity to read and ask questions at every certification or recertification	Alaska P &P Chap 1 (Item #7)					
	2.3.4 AK P & P and regulations are followed for mid-cert terminations and clients not recertified	Alaska P &P Chap 1 (Item #8)					
	2.3.5 Benefits assigned at certification and based on	Alaska P &P Chap 1					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
	certifications timeframes						
Clinic Organization 2.4.0	2.4.1 Clinic schedules serve caseload and accommodate missed contacts by including extended hours to better serve participants, providing assistance or referrals with transportation and accommodating cultural preference.	NSS 2C FD					
	2.4.2 Meets federally required application processing timelines	NSS 2C1 FD					
	2.4.3 Clinic setting is suitable and supports breastfeeding	NSS 2B FD					
	2.4.4 Clinic provides appropriate reinforcement materials i.e., videos, interactive bulletin boards, posters, puzzles, etc. (BP)	NSS 7A3C					
	2.4.5 Participant surveys improve services	NSS7C5					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
Clinic Organization 2.4.0 (cont.)	2.4.6 The local clinic provides breastfeeding supportive environment	NSS 2B FD					
	2.4.7 Ensure all areas where staff obtains participant information and anthro. data maximize privacy to prevent others from overhearing conversations, viewing documents or viewing participant information on computer screens	NSS 2A2 FD					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
3. Caseload Management & Outreach							
Caseload 3.1.0	3.1.1	Maximum served with current funding appropriate for staffing and participation levels Alaska P & P Chap 8					
	3.1.2	Reviews and assesses effectiveness of the system for scheduling nutrition ed. contacts and accommodations for missed contacts NSS 7C4 (Item #9)					
	3.1.3	Coordination of appointments for the participant or family members with other services delivered at the same site (BP) NSS; 2C9					
Effective Outreach 3.2.0	3.2.1.	Public Notification informing all potential participants, minorities & women in early months of pregnancy Alaska P & P Chap 8 (Item #10)					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
	3.2.2 On-going contact with physician's offices, medical, public health, tribal clinics and major referral sources	NSS 10B					
Collaborations to Improve access 3.3.0	3.3.1 Written agreements are in place between LA and other community service agencies	NSS 10B3 FD					
	3.3.2 Current MOU with homeless facilities are current or documentation of an annual visit is available.	Alaska P & P Chap 1 FD-state					
Marketing 3.4.0	3.4.0 Uses marketing strategies to promote participation in WIC						

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
4. Civil Rights (FNS Instruction 113-1)							
Rights & Responsibilities 4.1.0	4.1.1. Client has read and signed the rights and responsibilities form	FD					
	4.1.2. Current "Justice For All" poster in anthropometric room, waiting area, classroom, or any area where services are offered	FD— if not posted at all					
Nondiscrimination Laws & Regulations 4.2.0	4.2.1 Documentation showing that staff have received annual civil rights training. Include list of staff who attended training, agenda, and date	FD (Item #12)					
	4.2.2 No qualified person is subject to employment discrimination	FD					
	4.2.3 Clients who have been determined ineligible must be advised of their right to a fair hearing	FD					
	4.2.4 Racial/ethnic participation data are collected	FD					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
Nondiscrimination Laws & Regulations 4.2.0 (cont.)	4.2.5 Individuals that have civil rights complaint must be assisted in completing that complaint. The written complaint must be forwarded to state office within 5 calendar days of complaint.	FD (Item #11)					
Nondiscriminatory Services 4.3.0	4.3.1 Information available in appropriate languages	NSS 7A2j; 7A2b FD					
	4.3.2 Services, procedures, locations, appointment schedules and hours of operation are not discriminatory to any applicant based on race, color, national origin, age, sex, or disability	FD					
	4.3.3 Literacy and language skills of staff are appropriate to address needs of diverse participants	NSS 3G3; 3I1; 3K1; 3J8; 3S1					
	4.3.4 The Agriculture Office of Inspector General (OIG) USDA Hotline poster is displayed in a prominent area in the WIC clinic.	FD					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
5. Staffing (FR 246.6b2)							
Staff 5.1.0	5.1.1	Appropriate staffing structure	NSS 3H-W				
	5.1.2	Staffing education and experience are appropriate for assigned responsibilities	NSS 3G, 3I-V FD-state (Item #14)				
	5.1.3	Paraprofessional CPAs are "State or medically trained" or complete a State approved CPA Training Program	NSS 3G FD				
	5.1.4	Professional and paraprofessional staff have accessible documentation supporting their CEU requirements.	NSS 5E, 5H FD				

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
6. Organization							
Organizational Structure & Mgmt. Practices 6.2.0	6.2.1 New staff orientation documented	(Item #17)					
	6.2.2 Grantee must ensure that their staff are regularly trained on USDA and State policies.	(Item #12)					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
7. Food Delivery/Food Instrument Accountability (FR 246.10 & FR 246.12)							
Adequate Warrant Stock Controls 7.1.0	7.1.1 Receipt of blank warrants are thoroughly tracked	FD					
	7.1.2 Warrants are securely stored	FD					
	7.1.3 Warrant and Check Tracking forms are maintained daily	FD (Item #19)					
Warrants Issuance 7.2.0	7.2.1 WIC warrants and FNMP FI's are issued only to eligible clients	FD (Item #18)					
Warrant Controls 7.3.0	7.3.1 Voided WIC warrants are handled according to AK P & P	FD					
	7.3.2 Lost or stolen WIC warrants are handled according to AK P & P	FD					
Mailed Warrants Controls 7.4.0	7.4.1 WIC warrants and FMNP FI's are mailed to participants according to AK P & P	(Item #18)					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
8. Vendor Relations (FR 246.12)							
Vendor Relations 8.1.0	8.1.1	Conflict of interest between WIC staff and vendors does not impair WIC services	FD				
Vendor Training 8.2.0	8.2.1	LA provides adequate training and technical assistance to vendors according to AK P & P	FD				
Vendor Monitoring 8.3.0	8.3.1	LA monitors at least 5% of authorized vendors per year	FD				
Mailed Food Boxes 8.4.0	8.4.1	LA follow AK P & P regarding assigning MOV packages	FD				

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
9. Farmers' Market Nutrition Program (FMNP)							
FMNP 9.1.0	9.1.1	Farmers are monitored seasonally, per state request					
	9.1.2	Report complaints and respond to State of Alaska requests timely					
	9.1.3	Correctly document FMNP benefits in SPIRIT (Item #3)					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
10. Financial Management (FR 246.6b7, FR 246.13 & FR 246.14)							
State Agency Records 10.1.0	10.1.1 All grantee subcontracts are reviewed and approved by state and records are available for review	FD (Item #20)					
	10.1.2 Time studies are completed by each WIC employee the first week of every month	FD					
	10.1.3 Inventory records are tracked according to state policies and submitted Feb 15 each year **Reviewer to view sample of at least 1 breast pump, 1 computer, and one non-invasive hemoglobin machine while on-site. **	FD					
Administrative Expenditures Documentation	10.2.1 LA follows approved personnel services budget and FTEs	FD (Item #23)					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
Administrative Expenditures Documentation (continued)	<p>10.2.2 Internal controls exist for ensuring accurate payroll reporting which includes:</p> <ul style="list-style-type: none"> • After-the-fact reporting of actual work performed by the employee • Timesheets cover 100% of employee's time • Timesheet is prepared and signed by the employee at least monthly, to coincide with the end of a pay period. • Allocation of wages among multiple grant programs is supported by actual hours (if applicable) 	<p>FD (OMB Super Circular) (Item # 23)</p>					
	<p>10.2.3 Expenses are allowable, reasonable, and allocable:</p> <ul style="list-style-type: none"> • Reviewer will examine one month's CFR and trace expenditures back to original source documents; i.e., an invoice. • Invoices are for 	<p>FD (OMB Super Circular) (Item #22)</p>					

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
	<p>approved, budgeted items, the items and cost are reasonable.</p> <ul style="list-style-type: none"> If more than one funding source— that cost is distributed between funding sources appropriately. 						
	<p>10.2.4 WIC Coordinator has regular access to the WIC budget and a minimum of "read" capacity in the GEMS system in order to manage grant budget.</p>	<p>State P & P Chapter 7</p>					
	<p>10.2.5 Local Agency spends at least 1/6 of grant funding on Nutrition Education and Breastfeeding Promotion (as recorded on monthly time study)</p>						

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
11.0 Information Management System							
11.1.0 Systems security	11.1.1 There is adequate physical security for system hardware, and software	FD					
	11.1.2 Confidentiality is maintained.	FD					
	11.1.3 Grantee has adequate security software to operate the WIC system	FD					
	11.1.4 Grantee conducts annual security training with WIC staff.						
11.2.0 Hardware	11.2.1 There is adequate IT support for the WIC grantee						

	AK WIC ME Standard	Nutrition Services Standard (NSS)/Code of Federal Regulations (FR) ME Review Finding (FD) (ME Item #)	Y	N	N/A	Partial	Comments
12.0 Breastfeeding Peer Counseling							
12.1.0 STAFFING	12.1.1 Qualified BFPC coordinator on staff. BFPC Coordinator must be a CPA.	NSS 3I, 3J8 State P & P Chap. 2 FD					
	12.1.2 Qualified BFPC on staff	FD					
	12.1.3 Peer counselors who provide BFPC services have completed all required training	NSS 3I 1-4 FD					
	12.1.4 An up-to date BFPC training log documents that peer counselor(s) meet with the BFPC coordinator						
	12.1.5 BFPC peer counselors are used according to BFPC peer standards and BFPC plans	NSS 3R					
12.2.0 SERVICES	12.2.1 The required minimum BFPC contacts are made and are within the appropriate time frames during the prenatal and						

	postpartum period						
12.2.0 SERVICES (cont.)	12.2.2 BFPC are available during non-clinic hours	NSS 3R2 FD					
	12.2.3 Peer counselors stay within their scope of practice and make appropriate referrals	NSS 3R4 FD					
	12.2.4 LA has a referral protocol for peer counselors and a list of referral resources for their agency/community	NSS 3 R4 FD					
12.3.0 DOCUMENTATION	12.3.1 BFPC contacts are documented appropriately	FD					
12.4.0 FISCAL	12.4.1 BFPC staff time is excluded from the "BF Promotion" WIC activity on the monthly time study	FD					
	12.4.2 BFPC and WIC funds and expenditures are segregated, and reported separately	FD					

WIC Local Agency (LA) Management Evaluation (ME) Preparation Materials

Local Agency Reviewed _____

Review Dates _____

Reviewers _____

Due Date for LA Self-Assessment and review materials _____

Item	Documents or Materials	Comments
1.	LA Nutrition Education Plan, Service Plan, and/or Nutrition Education Contact policy changes, if applicable (<i>send only if changes</i>) S	
2.	LA Individual Care Plan Policies (<i>send only if different than State</i>) S	
3.	Client Chart Data (signed R & Rs, ENPRs, applications for clients on chart review form). (<i>Scan into SPIRIT and have charts available for onsite review</i>) S, OS	
4.	Client nutrition education handouts (<i>available on-site</i>) OS	
5.	Unless included in current grant agreement, Memorandum of Agreements S	
6.	Current referral flyer/letter S	
7.	New participant letter/flyer S	
8.	Copy of termination letter, if not using Spirit letter S	
9.	Copy of No Show appointments communications letter/fax/email S	
10	Copy of current Public Notification ad/flyer S	
11	Copies of letters or log of current year civil rights complaints OS	
12	Copies of current staff training agenda and handouts (including annual civil rights training) OS	
13	Copies of or log of current year clients' vendors complaints OS	
14	If different than grant agreement, staff background and staffing chart S	
15	Copies of management training (agendas only) OS	
16	If different than current grant agreement, staff responsibility changes S	
17	Staff orientation process/policies/checklist OS	
18	LA warrant log OS	
19	MOV nutrition education materials examples OS	
20	All current LA WIC services subcontracts S	
21	If different than current grant agreement, copy of current indirect cost rate plan S	
22	Support documentation for one month of purchases in the current fiscal year. Support documentation must align with GEMS. S	
23	Time studies and timesheets for one month OS	
24	Any Local Agency specific forms that have been developed within the last six months S	

***S** indicates items to be sent to State Office for pre-review, **OS** indicates items to have available for on-site review

Abbreviations Used in the LA Self-Assessment Form

AK P & P	State of Alaska WIC Policy and Procedure
ATAP	Alaska Temporary Assistance Program
BP	Best Practices
BF	Breastfeed
BFPC	Breastfeeding Peer Counselor
BFW	Breastfeeding Woman
CPA	Competent Professional Authority
CSE	Child Support Enforcement
EPSDT	Early Periodic Screening, Diagnosis and Treatment, usually performed by Public Health Nursing
FD	Finding
FMNP	Farmer's Market Nutrition Program
FR	Federal regulations
LA	Local Agency
ME	Management Evaluation
MIS	Management Information System
MOV	Mail Order Vendor
NSS	Nutrition Service Standards
Nutr ed	Nutrition education
PCE	Participant Centered education
PCS	Participant centered services
PGW	Pregnant Women
SFY	State Fiscal Year
RD	Registered Dietitian
VENA	<p>Value Enhanced Nutrition Assessment</p> <p><i>VENA Competencies:</i></p> <ul style="list-style-type: none"> • Principles of life cycle nutrition • Nutrition Assessment Process • Anthropometric and hematological data collection techniques • Communication • Multicultural awareness • Critical thinking