LARC Refresher Training Webinar

June 14, 2016

9:30 am – 11:30 am

Conference Call #: 877-820-7831

Passcode: 381274#

Overview – Agenda

1) Resources
   a) Retailer/Farmer Handbook
   b) CO WIC Program Manual
   c) WIC'S WORLD
   d) Compass Reports
   e) MJ

2) Store Responsibilities
   a) Training
   b) Keep manual
   c) How to order materials
   d) Shelf tags

3) Resolving Issues
   a) What did the store manager say?
   b) Store complaints

4) Monitoring Visits & Reports
   a) Step by step on how to complete a monitoring visit
   b) Scheduling
   c) Benefits of WIC for retailers & clients
   d) Issues

5) Compass
   a) Reports
   b) Your Stores
   c) Checking Status
   d) Updating Information in Compass
   e) How will life change with eWIC?

Questions to Ponder?

Resources

1. Retailer/Farmer Handbook
2. CO WIC Program Manual
3. WIC'S WORLD
4. Compass Reports
5. MJ , Peg (materials), Katie Roby (check questions)
6. Website: www.coloradowic.com
7. LARC Quarterly Call

Store Responsibilities

- Training
  - Knowing the violations, the foods, why checks rejected
  - Buttons to push on cash register (POS)
  - DVD- or chain chain's training intranet
- Keep manual
  - WIC'S WORLD- USE IT!!!
  - 2 Issues so far in 2016
- State keeps copies of agreement

- Shelf Tag
  - Safeway/Albertsons
  - Walmart
  - Love takes time . . . . .
- Shelf Prices-must receive every 6 months
- Minimum Stocking
- How to order materials

	Local Agency Retailer Coordinators' (LARC) Responsibility	State Retailer Coordinator's Responsibility
Complaints	•Initial and day-to-day routine complaints should be resolved and documented in the retailer and/or participant file. •Ongoing or serious violations should be reported to the State Retailer Coordinator. •All Civil Rights complaints must be documented and forwarded to State Retailer Coordinator.	•Coordinate the handling and documenta-tion of retailer and participant complaints. •Initiate undercover investigation to detect non-compliance with Program's policies and procedures.
Issues/ Sanctions	LA is responsible for counseling, giving warnings or disqualifying abusive participants. Contact Store; Resolve & document OR Send Problem Report to State	•Determine the type and level of sanctions to be assessed against abusive retailers.
Visits	•Monitor one third of all stores every year •Monitor 100% of all high risk retailers as identified by State •Send completed Reports to MJ •Follow up with retailers as necessary and to ensure compliance	•Providing training to LARC. •Determine high-risk retailers. •Submit report to USDA annually.

Resolving Issues

- Retailer and/or Client Complaints
  - Document the complaint in Compass
  - Counsel Client and/or retailer

- Participant complaint about Store
  - Complaints or problems about a retailer should be reported to the LARC, who should contact the retailer to discuss and resolve initial problems.
  - **What did the store manager say?**

- TIPS: Veronica- Store calls-reports on call-plan of action. Keeps log. See certain pattern, when to call and when to wait.

- **What types of problems should be handled by the LARC?**
  - LARCs are responsible for:
    - Resolving routine problems such as:
    - Day-to-day complaints.
    - Occasional stocking problems.
    - Documenting problems/complaints and follow up on WIC. Retailer/Participant Problem Report form.
    - When appropriate, providing written notice to the retailer with a corrective action.
    - Referring ongoing/serious problems to the State Retailer Coordinator.

- **When should the State Retailer Coordinator be notified?**
  - State Retailer Coordinator should be notified:
    - When there are ongoing problems with a specific retailer.
    - When violations are discovered.
    - When a Civil Rights Complaint is received.
    - Any time you have a question or concern about a retailer or WIC Program policies and procedures that relate to retailer coordination.

Retailer Files

Keeping detailed records is a key to effective coordination between the State, Local Agency & Retailers

Local Agencies are encouraged to keep files or track communications in Compass (Vendor Log)

Monitoring Visits/Reports

WHEN:
- At a minimum, WIC-approved stores will be monitored every 3 years.
 	
- High risk and stores with ongoing problems will be monitored more frequently.
	• Monitor one third of all stores every year.
	• Scheduling
	  • TIPS FROM SUE:
	  • Break your stores up in thirds for each agreement period (do as I say, not as I do!), so you don't have so many to do at the last minute.
	  • Don't call to set up appointments too far in advance, maybe a week ahead, their schedules can change frequently.

WHY: Periodic monitoring visits are conducted to:	•Help the store and build a relationship. •Identify issues and correct them. •Discuss any problems or questions the retailer may be experiencing. •Review WIC infractions and penalties for non-compliance. •Share and repeat- the benefits of WIC. •Making sure $60 million is being spent to compliment nutrition education!
HOW: Monitoring Reports	• Send the completed Retailer Monitoring Report Form to the State Retailer Coordinator. • Follow up with retailers as necessary and to ensure compliance.
	Next: General step by step on how to complete a monitoring visit.

How do I prepare for a Formal Monitoring Visit?

- The following steps should be taken when preparing for a Formal Monitoring Visit:
  - Schedule an appointment with the Store Manager and/or Front End Manager.
  - Request a review of the store's Retailer Manual.
  - Share their WIC history with them:
    - Complaints
    - Previous issues
    - WIC dollars spent

Monitoring Visits - Before A Store Visit

- Call Store First
  - Introduce yourself
  - Figure out who you are meeting with
  - Explain what your expectations are during the visit

- Discuss with store representative what you need to see:
  - Retailer Manual
  - WIC's WORLD
  - WIC training DVD
  - Training Documentation
  - WIC checks
  - Ask them if they have questions about WIC items or if their cashiers do

- Other items you may need to bring:
  - Extra Allowable Foods Lists
  - Your contact information
  - **Lists of issues that you have had with the store or WIC shopper feedback**

How do I conduct a Monitoring Visit?

The goal is to create a partnership with our retailers and work through questions and problems.

Steps:

- Introduce yourself and explain your role with WIC
- Give your contact info
- Review demographic information & make necessary changes
- Pointing out Annual WIC Sales
  - **A detailed TIP sheet is available upon request-MJ**

- Begin a dialog with manager to establish a positive working relationship; stressing the importance of their role

Retailer Monitoring Procedures

– Grocery Stores, Commissaries and Pharmacies –

Before the Visit

1. Schedule an appointment with the proper contact(s).
   - ✓ The WIC Local Agency Retailer Coordinator (LARC) contacts the store representative to schedule the time and date of the visit. Tell the representative the items that will be requested and reviewed during the visit: Retailer Manual, WIC'S WORLD's, WIC Training DVD, Training Documentation and WIC checks.
   - ✓ Begin the contact with the store manager directly to confirm awareness of the visit and to identify the appropriate store representative. This representative is responsible for ensuring that all personnel involved with WIC transactions are trained. This representative must also have legal authority to act on behalf of the store: for example, signing a corrective action if required at the time of the visit.

2. The LARC prepares and take copies of the following items to the visit:
   - ✓ Retailer Manual including a Retailer Handbook, WIC's WORLD newsletters and a Colorado WIC Retailer Training Video (Partnering with WIC for Colorado Kids).
   - ✓ WIC Retailer Training Documentation form
   - ✓ Retailer Guide to WIC (as available)
   - ✓ Allowable Foods Lists (bring extra – both English and Spanish if necessary)
   - ✓ Compass sales data and as available, redemption data/reports.
   - ✓ A listing of any prior issues reported about the store or in the file
   - ✓ LARC contact information (including email and direct phone)

During the Visit

3. Complete a Shelf Survey prior to the meeting.

4. Meet with the store manager/contact(s) to train and identify issues.

Go through the steps outlined in the monitoring report and complete the report with the store manager/contact.

5. Determine Compliance.
   - ✓ Indicate whether the store is in compliance or out of compliance. If out of compliance, complete the appropriate last sections of the report. Explain any deficiencies and request a corrective action plan be written on the monitoring report (unless later requested by mail) and make sure the manager signs.
   - ✓ Leave a copy of report with store representative or mail a copy after the visit.

After the Visit

6. Finalize the documentation.
   - ✓ Send copy of entire Monitoring Report and shelf survey to State WIC.
   - ✓ Follow-up on issues and/or violations with appropriate action.
   - ✓ File the original at the Local Agency in the retailer file for minimum of 6 years.

- Do the Shelf Survey First
  - Look for the most expensive items allowed
  - Look to see if they have a Foods List at each register

Colorado WIC ---- Shelf Survey

Colorado WIC-authorized Grocery Stores and Commissaries Only, Not Pharmacies
Use most expensive items allowed

FORMULA	Type/Brand	Size	# of Cans	Price	Expiration^
Milk-Based- Contract Formula	Powder	12-16 oz	# _____	_____	_____
Soy-Based- Contract Formula	Powder	12-16 oz	# _____	_____	_____

^ If are out-of-date, include as a violation in Section VIII.

ITEMS (Suggested Brand or Item)	Type/ Brand	Size	Adequate Quantity?*	Price	Adequate Variety?* Yes	No
Infant Cereal	_____	8 oz	☐ >10 or # ___	_____	☐ ≥ 2	☐ < 2
Baby Food- Fruits & Veg	_____	4 oz	☐ >10 or # ___	_____	☐ ≥ 2	☐ < 2
Baby Food- Meats	_____	2.5 oz	☐ >10 or # ___	_____	☐ ≥ 2	☐ < 2
Breakfast Cereal- Example-Kix?	_____	_____oz	☐ >10 or # ___	_____	☐ ≥ 2	☐ < 2
Cheese- Store Brand	_____	16 oz	☐ >10 or # ___	_____	☐ ≥ 2	☐ < 2
Canned Fish	_____	5 oz	☐ >10 or # ___	_____	☐ ≥ 2	☐ < 2
Whole Grains- Rice or Tortillas	_____	_____oz	☐ >10 or # ___	_____	☐ ≥ 2	☐ < 2
Whole Grain Bread	_____	16 oz	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Milk -Store Brand						
Whole	_____	Quart	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Whole	_____	Gallon	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Reduced Fat (Circle: Skim, 1%, or2%)	_____	Quart	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Reduced Fat (Circle: Skim, 1%, or2%)	_____	Gallon	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Juice-Frozen OJ Store Brand	_____	12 oz	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Juice-64-oz Containers- Example-V8?	_____	64 oz	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Eggs	_____	Dozen	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Peanut Butter- Example-Adams?	_____	18 oz	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Dried Beans	_____	16 oz	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Canned Beans	_____	16 oz	☐ >10 or # ___	_____	☐ ≥ 1	☐ < 1
Fruits- Fresh	$8.00 Worth		☐ >10 or # ___	N/A	☐ ≥ 2	☐ < 2
Vegetables- Fresh	$8.00 Worth		☐ >10 or # ___	N/A	☐ ≥ 2	☐ < 2

**Adequate Quantity*: If 10 or more items are available for purchase in the food category (e.g., 10 blocks of cheese, 14 dozen eggs), put a check mark in box; if less than 10 items, put actual #. For Fruits and Vegetables, approximate the number in batches of $8.00 worth of produce.
**Adequate Variety*: Check appropriate box for Yes or No.

Comments if Inadequate Quantity or Variety (As Needed):

_____

Completed by:_____ *(To be completed by WIC staff)* **Date:** _____

Colorado WIC Program
Retailer Monitoring Report: Grocery Stores, Commissaries & Pharmacies

Date of Visit_____ Vendor ID#_____
Retailer Name & Chain No. _____ City_____
Local Agency WIC Staff_____ County _____

SECTION I Inspect WIC Requirements:

	WIC General Processes and Information *If no is circled for questions #1- #4, provide training and/or assist the store in solving the issue.*		
1.	**Contact Information:** Provide the store manager/contact with the appropriate name, email & number of Local Agency Retailer Coordinator (LARC) and State WIC.	Yes	No
2.	**Demographics:** Tell the manager/contact the amount of annual WIC checks redeemed at the store. Is demographics information in Compass accurate? If not correct, include current information on summary page 3, section VI.	Yes	No
3.	***Retailer Manual:*** Does the store maintain a Retailer Handbook and Manual (i.e., Binder)?	Yes	No
4.	**Conflict of Interest:** Does the store have a policy in effect to avoid conflict of interest (i.e., cashiers cannot accept WIC checks from relatives)?	Yes	No
	WIC'S WORLD Newsletter *If no is circled for questions #5 and/or #6, include as 7-point violation on summary page 3.*		
5.	***WIC'S WORLD* Training:** Does the store have a process to communicate information contained in the newsletter to cashiers (e.g., staff meetings, staff initials after reading, posting on bulletin board, etc). Circle correct option or explain:	Yes	No
6.	***WIC'S WORLD:*** Does the store maintain newsletters for at least two years?	Yes	No
	Training *If no is circled for questions #7, #8 and/or #9, include as 7-point violation on summary page 3.*		
7.	**Training Conducted:** Does store use most recent edition of WIC video for training new staff?	Yes	No
8.	**Documentation of Training:** Does the store maintain documentation of staff/cashier training on the "*WIC Retailer Training Documentation*" form? (Keeping training documentation in individual personnel files is not acceptable.) Name of Store WIC Trainer:	Yes	No
9.	**Allowable Foods List:** Ensure that each cash register has a copy. Has the store manager trained cashiers on the most recent version of the Foods List?	Yes	No
	Formula Quality *If no is circled for question #10, include as 9-point violation.*		
10.	**Out-Of-Date:** Are all infant formula items on shelves within the use dates? Explain formula must be purchased from an approved source (available on the website).	Yes	No
	Stocking Level *If no is circled for question #11, find the store out-of-compliance & explain on summary page 3.*		
11.	**Minimum Stocking (not required for pharmacies):** Review minimum stocking requirements (*Retailer Handbook, Section III*). Go over shelf survey with manager/ contact. Explain any issues reported by WIC customers. Is the store maintaining minimum stock of required items? Explain: FAILURE TO MEET STOCKING REQUIREMENTS COULD LEAD TO AGREEMENT TERMINATION.	Yes	No
	Shelf Tags *If no is circled for question #13 or #14, find the store out-of-compliance & explain on summary page 3.*		
12.	If shelf tags are used, are they used only on approved items based on current Foods List?	Yes	No
13.	**If used in breakfast cereal, bread, and/or juice categories, are tags posted on all the available items within** that category? List the item(s) not tagged:	Yes	No

Retailer Name & Chain No._____ Vendor ID#_____

SECTION II Review WIC Transactions *(Check [√] each one as completed.)*

_____ Review Section V (*WIC Checks*) in the Handbook and the *Retailer Guide to WIC*, including the correct steps for taking a WIC check.

_____ The manager/contact should read and understand the *Retailer Handbook*, especially the sections detailing WIC check redemptions and the Vendor ID Stamp Instructions *(Exhibit I)*.

_____ Participants may purchase less, but not more, than the amount specified on check.

_____ Participants are trained: (a) to notify clerk, before checkout, that they are using a WIC check, and (b) to separate WIC foods from other groceries. After the transaction amount is entered on the check by the cashier, request that the WIC customer sign the check and verify the signature with the WIC ID envelope. (WIC checks missing the customer's signature will not be paid.)

_____ Store coupons and other promotions such as "buy-one, get-one free" must be honored for WIC purchases.

_____ Don't permit WIC customers to substitute non-approved WIC foods for approved WIC foods.

_____ Do not exchange items purchased by WIC – unless the item is defective or recalled.

_____ Checks rejected for over the dollar amount can be negotiated. Many chain stores get reimbursed for these rejected checks automatically. The *Retailer Handbook* has details. Independent stores can call (303) 692-2419 for an automated replacement line.

_____ Review checks prior to depositing; look for mistakes and missing stamps.

_____ Retailers should send in a Shelf Price List every six months. (PLEASE NOTE: Chain headquarter offices generally complete this process for their individual chain stores.)

SECTION III Provide Training During the Visit: *(Circle "Yes" if reviewed; "No" if not discussed.)*

14. Yes / No **Benefits:** Review the benefits of WIC (e.g., Medicaid savings, $ for store and community, healthy kids, etc.) and the importance of sharing this with store staff. (*Retailer Handbook, Section I*)

15. Yes / No **Allowable Foods List:** Review the Foods List and the reasons why specific foods are prescribed. Explain recent changes and answer questions. (*Retailer Handbook, Section II*)

16. Yes / No **Participant Misuse**: Review the process to report WIC customers to the Local Agency for the following: trying to receive non-WIC foods or excess foods, cash back, cash refunds, or formula exchanges; trying to substitute non-WIC items in place of allowable food; or WIC participants who are rude or abusive to store employees.

17. Yes / No **Store Sanctions**: Review the retailer sanctions and violations listed in the *Handbook;* disqualification from the WIC Program may result in disqualification from the SNAP Program. (*Retailer Handbook, pages 27-33)*

18. Yes/No **Nondiscrimination:** Stores must offer Participants the same courtesies as offered to other customers, e.g., no separate lines or hours, no offering of or denial of incentive items solely to WIC customers. Any practice that singles out Participants from other customers is prohibited.

SECTION IV Review of WIC checks on hand

_____ Total number of checks reviewed (*if none available enter 0 and skip to next Section*).

If issues are found, please write check numbers beside the issue.

_____ # Cashed outside the valid use dates
_____ # Price not written in the "Actual Amount of Sale" box
_____ # Incorrectly altered checks
_____ # Missing the participant signature on check
_____ # Transaction date or store name/number is not written/printed on back of check

(If any checks found with these issues, explain on summary page 3- with other findings.)

Retailer Name & Chain No._____ Vendor ID#_____

SECTION V Monitoring Summary

Local Agency Staff must check one:

___ This retailer is in compliance with the criteria as described in *Retailer Handbook*, and State of Colorado WIC Retailer Agreement. (*Proceed to Section VI Signatures.*)

___ This retailer is not in compliance with the criteria as described in *Retailer Handbook* and State of Colorado WIC Retailer Agreement. (*Complete A. Findings & B. Corrective Action Plan.*)

A. Findings: The issues circled below were found to be out of compliance.

Sanction Points	Findings/ Issues
4	**Shelf Tags:** Shelf tags used on non-approved items and/or not on all items within cereal, bread or juice.
7	**WIC'S WORLD**- Not used in training and/or maintained.
7	**Training**- Not conducted, not using most recent training video, and/or not documented in the WIC Binder.
9	**Out-of Date Formula items**- Item(s):_____Date(s): _____
N/A	**Stock**- Not maintaining the minimum stock of required items. Federal Sanction: Explain to retailer that FAILURE TO MEET STOCKING REQUIREMENTS LEADS TO AGREEMENT TERMINATION.
	Other:
=	**Total Sanction Points** **Comments:**

B. Corrective Action Plan: The retailer agrees to have the findings corrected. Check one:

___ The retailer will provide via mail or email a corrective action plan that addresses these findings to the Local Agency staff by_____(Date).

___ The corrective action plan is below; the retailer details the plan to bring the above findings into compliance by_____(Date).

Corrective Action Plan: (*to be completed by retailer*):

_____

_____

_____

SECTION VI Signatures

Ask the retailer to read the following statement and sign below: I understand the purpose of the Colorado WIC Program is to provide nutrition education and supplemental nutritious foods for women, infants and children under the age of five years. WIC helps to give infants and children a healthy start in life by improving poor or insufficient diets. As a WIC-authorized retailer, I understand the vital role our store plays in ensuring that WIC customers receive only the nutritious food prescribed for them. I am aware of the Program's policies, procedures, and regulations (including the Administrative Review Procedures, Exhibit G) located in the *Retailer Handbook*.

Signature of Store Representative (signature):_____ Date: _____
Printed Name: _____ Title: _____

Local Agency Staff (print):_____ Date: _____
Clinic Number _____

Any Comments/ Demographics Changes for State Office: _____

SECTION VII Report Distribution

***Leave a copy of completed report with store representative; *Send copy of entire report and shelf survey to State WIC within 14 days of completed visit; *File original report in your retailer file for minimum of 6 years.**

Thank you!

Monitoring Visits - After the Visit

- Leave a copy of the report with the store
  - Indicate whether store is in compliance or out of compliance. If out of compliance, complete appropriate last sections of report. Explain any deficiencies and request a Corrective Action Plan (CAP) be written on report.
- Send a copy of **the full report** and shelf survey to:

  Melanie Jacobs, Retailer Specialist

  Scan/Email: melanie.jacobs@state.co.us

  Fax: (303) 756-9926

  Mail:

  CO Dpt. Of Public Health & Environment

  ATTN: PSD-WIC Program Retailer Unit

  4300 Cherry Creek Drive South

  Denver, CO 80246-1530

- File original copy for a minimum of 6 years
- Follow up with retailers as necessary and to ensure compliance; Track in Compass

COMPASS

- Reports-
  - Report of Sales
  - Your Stores
  - Checking Status
- Updating Information in Compass

LARC TIPS

10 minutes of great tips from the experts!!

Questions?

Many retailers do not stock store brand quarts of milk and WIC participants have been told that they cannot purchase the national brand. What should a LARC do in this situation?

If store brands are not available, WIC participants may purchase national brand milk. The LARC should work directly with the store manager to ensure his cashiers allow national brands of milk quarts when store brands of the item are not available. Stress to the store that the Foods List should be consulted for (and has the answers to) most questions about WIC foods.

Lingering Questions?