

5.0 Vendor Compliance

Effective Date: 08-01-2021

5.03 In-Store Monitoring Visits

PURPOSE: To describe the purpose and requirements of in-store monitoring visits.

DEFINITIONS:

Fiscal year means the period of 12 calendar months beginning October 1 of any calendar year and ending September 30 of the following calendar year.

Monitoring visit means overt (not secret), on-site monitoring during which program representatives identify themselves to Vendor personnel.

A. POLICY:

1. Monitoring visits are conducted by Department employees and may be done in-person or virtually, as deemed necessary.
2. Monitoring visits are conducted by the Department to verify program compliance. Department employees also answer Vendor questions, make available training and advertising materials, and provide additional training, as necessary.
3. Monitoring visits are unannounced. Vendors are not informed of the monitoring visit beforehand.
4. Vendors must allow Department representatives to conduct monitoring visits. Failure to do so may result in immediate disablement of the Vendor's point-of-sale (POS) device and termination of the WIC Vendor Contract. (See Exhibit 6.01A WIC Vendor Sanction Schedule.)
5. The results of each monitoring visit, including the date of the visit, the names and signatures of the reviewers, and any program violations observed during the visit, are documented at the time of the visit. (See Exhibit 5.03A Monitoring Visit Report, 5.03B Quality Exception Monitoring Visit Report, and 5.03C Pharmacy Monitoring Visit Report.)
6. Violations documented during a monitoring visit may result in:
 - a. A warning letter to the Vendor;
 - b. Assignment of violation points;
 - c. Follow-up monitoring visits to determine compliance;
 - d. Compliance investigations;

- e. Termination and/or disqualification of the Vendor, per the most recent version of the WIC Vendor Sanction Schedule; and/or (See Exhibit 6.01A WIC Vendor Sanction Schedule.)
 - f. Referrals to other agencies for investigation.
7. The Department may schedule monitoring visits using one or more of the following criteria:
- a. New Vendors and/or Change of Ownership;
 - b. System generated reports; (See Policy 5.02 High-Risk Vendor Identification.)
 - c. Compliance history;
 - d. Complaints; and (See Policy 5.06 Vendor Complaints.)
 - e. Other sources.

References:

[7 CFR Part 246.12 \(j\)](#)

Cross-References:

[5.02 High-Risk Vendor Identification](#)

[5.06 Vendor Complaints](#)

Exhibits:

[5.03A Monitoring Visit Report](#)

[5.03B Quality Exception Monitoring Visit Report](#)

[5.03C Pharmacy Monitoring Visit Report](#)

[6.01A WIC Vendor Sanction Schedule](#)