

**ISSUE DATE:** September 10, 2015

**TO:** WIC Program Coordinators  
Other WIC Policy and Procedure Manual owners

**FROM:** Holly Wilkalis  
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**SUBJECT: WIC Policy Update 2015-05**



**EXPLANATION:**

◆ **400 – Local Program Overview: Responsibilities and Communications**

- Updates definitions
- Participant Signature Form and Rights and Responsibilities can no longer be produced locally by local programs
- Adds “documentation of required quarterly in-services” and “log documenting receipt and actions taken with formula returned to WIC clinic” to list of records to be retained for review by the state WIC program

◆ **426 – Record Retention**

- Updates form names
- Adds eWIC card inventory logs to list of other records to be retained
- Clarifies retention period for certification forms in Appendix A

◆ **1000 – Overview of Vendor Management**

- Adds references to electronic benefit transfer (EBT) systems
- Deletes “conduct store trainings” from the list of local responsibilities



## WIC Policy Updates Issued for 2015 (Year-To-Date)

Manual Update Number	Policy Number	Policy Title	Manual Page Number(s)	Issue Date
2015-01	485	WIC ID Number and ID Card	485.0 – 485.3	February 9, 2015
2015-01	654	Participant Transfers Within State	654.0 – 654.2	February 9, 2015
2015-01	769	Assigning WIC Food Packages	769.0 – 769.19	February 9, 2015
2015-01	770	WIC Authorized Foods	770.0 – 770.19	February 9, 2015
2015-01	901	TWIST Data System Security	901.0 – 901.1	February 9, 2015
2015-01	145	State Office: Address and Staff	DELETED	February 9, 2015
2015-01	150	Local Program Addresses and State Map	DELETED	February 9, 2015
2015-02	451	Change In Guardianship	451.0 – 451.3	April 13, 2015
2015-02	452	Civil Rights	452.0 – 452.10	April 13, 2015
2015-02	595	Program Integrity: Separation of Duties	595.0 – 595.1	April 13, 2015
2015-02	596	Program Integrity: Acknowledgment of Employee Responsibilities	596.0 – 596.4	April 13, 2015
2015-03	325	Caseload Management	325.0 – 325.5	May 22, 2015
2015-03	440	Staff Training Requirements	440.0 – 440.6	May 22, 2015
2015-03	475	Waiting List	475.0 – 475.1	May 22, 2015
2015-03	614	Income Eligibility: Current Income Guidelines	614.0 – 614.3	May 22, 2015
2015-03	625	Risk Assessment	625.0 – 625.1	May 22, 2015
2015-03	640	Documentation Requirements for Certification in TWIST	640.0 – 640.1	May 22, 2015
2015-03	641	Documentation Requirements for Certification in the Absence of TWIST	641.0 – 641.2	May 22, 2015
2015-03	660	CPA requirements	660.0 – 660.21	May 22, 2015
2015-03	670	Overview of Risk Criteria and Priorities	670.0 – 670.1	May 22, 2015
2015-03	675	Risk Criteria Codes and Descriptions	675.0 – 675.39	May 22, 2015
2015-04	480	Voter Registration – National Voter Registration Act	480.0 – 480.9	July 30, 2015
2015-05	400	Local Programs Overview: Responsibilities and Communications	400.0 – 400.3	September 10, 2015
2015-05	426	Record Retention	426.0 – 426.3	September 10, 2015
2015-05	1000	Overview of Vendor Management	1000.0 – 1000.1	September 10, 2015





**SECTION:** Local Program Operations 400  
**SUBJECT:** LOCAL PROGRAM OVERVIEW:  
**RESPONSIBILITIES & COMMUNICATIONS**  
**DATE:** September 10, 2015 (*revised*)

**POLICY:** Local programs shall comply with the WIC Program Elements as written by the Oregon Health Authority, Public Health Division in the Financial Assistance Contract and shall notify the state WIC office of program changes and issues requiring state program approval.

**PURPOSE:** To clarify the responsibilities of the local program and to ensure compliance with USDA and state rules and regulations for local program operation.

**RELEVANT REGULATIONS:** 7 CFR §246.6 Agreements with local agencies  
7 CFR §246.8 ¶ (a) —Nondiscrimination: Civil rights requirements

7 CFR §246.25—Records and Reports  
ORS 433.835-433.990 – Oregon’s Smokefree Workplace Law  
FFY 1994 Agriculture, Rural Development, Food & Drug Administration, and Related Agency Appropriations Act (Public Law 103-111)

**OREGON WIC PPM REFERENCES:** ♦215—Local Program Monitoring and Review  
♦310—Annual Plan/Contract Payment Process for Local Programs  
♦325—Caseload Management  
♦420—Approval Process for Local Program Policies and Procedures  
♦440—Staff Training Requirements  
♦452—Civil Rights  
♦470—Local Program Outreach  
♦590—Program Integrity: Participant Violations  
♦652—WIC Transfer Card and WIC Overseas Program  
♦660—Competent Professional Authority: Requirements  
♦670—Overview of Risk Criteria and Priorities  
♦735—Exchange and Handling of Returned Formula  
♦820—Nutrition Education: Participant Contacts

**DEFINITIONS:** *WIC Program Element* Defines the required services, assurances and reporting that local WIC Programs agree to provide based on a contract with the Oregon Health Authority, Public Health Division.

**PROCEDURE:**  
*WIC Program Elements*  
1.0 The local program has agreed to comply with the requirements set forth in the Oregon Health Authority, Public Health Division WIC Program Element 40, in accepting USDA federal funds. See ♦310—Annual Plan/Contract Payment Process for Local Programs.

The complete WIC Program Element can be found at <http://public.health.oregon.gov/ProviderPartnerResources/LocalHealthDepartmentResources/Pages/program-elements.aspx>

**LOCAL PROGRAM OVERVIEW: RESPONSIBILITIES & COMMUNICATIONS, cont.**

- WIC Policy and Procedure Manual*** 2.0 The local program shall comply with all minimums stated in this manual. Terms used in this manual to indicate state and federal requirements are “will,” “shall,” and “must.”
- If unable to provide required services*** 3.0 If a designated local program cannot provide some or all of the health services needed to determine nutritional risk for WIC or other WIC administrative services, the local program must contract or enter into a written agreement with a health facility/clinic to perform some or all of these services. The local agency shall notify the state WIC office if they are considering this option.
- EXAMPLE: If a WIC local agency does not conduct a blood test screen for anemia, height or weight measurements, or any additional assessments necessary to determine the existence of medical and dietary risks, the WIC local agency is required to have a written agreement with a health entity as described above.
- Oregon’s Smokefree Workplace Law*** 4.0 To be eligible to receive WIC administrative funds, local agencies must comply with ORS 433.835-433.990 Oregon’s Smokefree Workplace Law.
- Issues requiring state notification*** 5.0 Local programs will notify the state WIC program of issues requiring state approval and program changes affecting communications between the agencies and/or uniform delivery of services.
- 5.1 Notify the state WIC program and update the TWIST data system immediately with any changes in:
- program mailing address (for correspondence or shipments)
  - program telephone/fax numbers
  - program personnel involving management, program coordinator, or nutrition professional/health professional
  - TWIST special user designee.
- 5.2 Notify your state WIC program nutrition consultant concerning the following items or issues. See ♦325—Caseload Management.
- 5.2.1 Opening a new WIC clinic or closing an existing clinic.
- 5.2.2 Requests for changes in local program operations, such as caseload allocation or geographic service area.
- 5.2.3 Notify your nutrition consultant **before** making any changes in priorities served or starting a waiting list.

**LOCAL PROGRAM OVERVIEW: RESPONSIBILITIES & COMMUNICATIONS, *cont.***

***(Issues requiring state notification:)***

- 5.3 Notify the state WIC program compliance coordinator concerning the following items or issues. See ♦590—Program Integrity: Participant Violations.
  - 5.3.1 Participant requests for fair hearings.
  - 5.3.2 Participant program abuse cases where the sanction is possible program suspension.
  - 5.3.3 Situations where theft of vouchers, voucher stock, WIC ID cards, WIC transfer cards, or WIC computer hardware (such as WIC laptops, voucher printers, or MICR ink cartridges) is suspected.
  - 5.3.4 Situations where unauthorized use of the TWIST data system is suspected.
  - 5.3.5 Suspected fraud or abuse by a WIC staff member.
- 5.4 Notify the state WIC Operations Manager regarding plans for major changes in the local program's data system.
- 5.5 Notify the state WIC civil rights representative about any complaints of discrimination. See ♦452—Civil Rights.

***Materials requiring state approval***

- 6.0 Submit policies and procedures requiring state WIC program approval to your state WIC program nutrition consultant **before implementation** as described in ♦420—Approval Process for Local Program Policies and Procedures.
- 7.0 Submit to your state WIC program nutrition consultant for approval any locally produced forms (either new or revised) that would replace the state forms listed below in ¶7.1. These forms were selected because they include information on documentation required by USDA regulation. The local program must submit a draft of the locally produced form(s) to the assigned state WIC program nutrition consultant to request approval **before implementation**.
  - 7.1 When the state forms listed below are revised, the local program must revise all locally produced materials to reflect these changes and resubmit the form(s) to the state WIC program for approval. Local programs have 60 days from receipt of the revised state form(s) to submit revisions of the locally produced form(s) for approval.
    - Oregon WIC Employee Signature Form (form 57-200)
    - WIC Customer Complaint Data Entry Document (form 57-500)
    - Notice of WIC Ineligibility (form 57-607)
    - Notice of Change in WIC Benefits (form 57-608)
    - Certification Data Entry Document (form 57-615)
    - Health Questionnaire: Infants/ Children (form 57-617)

**LOCAL PROGRAM OVERVIEW: RESPONSIBILITIES & COMMUNICATIONS, *cont.***

*(Materials requiring state approval)*

- Health Questionnaire: Pregnant Women (form 57-618)
- Health Questionnaire: Postpartum Women (form 57-619)
- Your Baby’s Diet Questions (form 57-622)
- Your Child’s Diet Questions (form 57-624)
- Your Diet Questions (form 57-626)
- What Proof to Bring to WIC (form 57-632)
- No Proof Form for Special Situations (form 57-633)

7.1.1 Local agencies are not permitted to use locally produced replacements for the Participant Signature and Rights and Responsibilities forms.

*Records for state program review*

- 8.0 Maintain on file at the local program the following records for review by the state WIC program:
- 8.1 Current list of staff approved as certified professional authorities (CPA). See ♦660—Competent Professional Authority: Requirements.
  - 8.2 WIC Transfer Card (VOC) TWIST reports documenting card issuance. See ♦652—WIC Transfer Card and WIC Overseas Program.
  - 8.3 Local WIC policies and procedures. See ♦420—Approval Process for Local Agency Policy and Procedures
  - 8.4 WIC Training Module completion forms for local program WIC staff and documentation of required quarterly in-services. See ♦440—Staff Training Requirements
  - 8.5 Documentation of completed local program self-evaluations. See ♦215—Local Program Monitoring and Review.
  - 8.6 Copies of any written agreements or contracts your program has with other programs for providing WIC-related services. For example:
    - Nutrition education provided by non-WIC staff or agencies
    - WIC breast pump issuance by partners
    - Lactation services
    - Outreach and referral
  - 8.7 Written log of outreach activities. See ♦470—Local Program Outreach.
  - 8.8 Local program nutrition education class lesson plans and learning objectives. See ♦820—Nutrition Education: Participant Contacts.
  - 8.9 Log documenting receipt and actions taken with formula returned to the WIC clinic, if applicable. For more information, see ♦735—Exchange and Handling of Returned Formula. ★

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**SECTION:** Local Program Operations  
**SUBJECT:** RECORD RETENTION  
**DATE:** September 10, 2015 (*Revised*)

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**POLICY:** Local WIC programs shall retain WIC records for the time period indicated.

**PURPOSE:** To ensure the orderly retention of WIC records for legal, fiscal, or administrative audits and monitoring, regardless of medium or physical format.

**RELEVANT REGULATIONS:** 7 CFR §246.25 ¶(a)—Records and Reports: Record-keeping requirements  
OAR 166-150-0065 ¶(20)—Oregon State Archive’s Rule for Health Departments  
Records on Public/Community Health Records; Public Health Service Records  
OAR 166-101-0010 ¶(13)—Oregon State Archive’s Rule for Voter Registration  
Records

**OREGON WIC PPM REFERENCES:** ♦440—Nutrition Training Manual  
♦480—Voter Registration: National Voter Registration Act

**APPENDICES:** Appendix A 426.3 List of Forms or Records with Retention Period

**DEFINITIONS:**

<i>Aggregate files</i>	Any filing system where documents are sorted and filed by a method other than in individual participant paper charts.
<i>CFRs</i>	Code of Federal Regulations
<i>Last service</i>	Date of last WIC service provided to the participant.
<i>OARs</i>	Oregon Administrative Rules
<i>Retention period</i>	The minimum length of time a record must be retained as authorized by an applicable retention schedule published in the Code of Federal Regulations (CFR) and the State Archives Division in the Oregon Administrative Rules (OAR), or recommended by the State WIC Program.
<i>WIC records</i>	Documents containing information relating to WIC services provided to WIC participants; WIC program operations; and local program staff training, regardless of medium or physical form.

**PROCEDURES:**

- Retention period for participant records***
- 1.0 Participant records are WIC records documenting the WIC services provided to participants. The OARs require the retention period for WIC participant records relating to certification that are not documented in TWIST be **six years after the last service**. These records include but are not limited to:
    - 1.1 Any form that requires the participant’s signature such as:
      - 1.1.1 “*Participant Signature Form*” (form 57-629): Participants sign this to indicate they have been notified of and understand their rights and responsibilities as WIC participants, as well as authorization and release of information and consent for services.
      - 1.1.2 “*No Proof Form for Special Situations*” (form 57-633)
      - 1.1.3 “*Multi-User Electric Breast Pump Loan Agreement*” (57-750) or “*Breast Pump Release Form*” (form 57-751)
      - 1.1.4 Any applicable local program forms
    - 1.2 Medical Documentation forms (form 57-636) from health care providers
    - 1.3 Medical correspondence from or to a participant and to or from a provider regarding a participant
- Retention method for participant records***
- 2.0 All WIC participant records retained in paper form may be kept in aggregate files.
    - 2.1 Any WIC participant record retained in an aggregate file must be retrievable upon request.
    - 2.2 If aggregate files are used, the retention period should be based on the record of the youngest participant in the file. If the age and last service date of the youngest participant is not readily available, assume that the file likely contains a newborn with a last service equivalent to their fifth birthday and retain the file for eleven years from the date the file is collected.

*Example:* An aggregate file with participant records signed on July 15, 2010 would be retained until July 15, 2021. This includes five years for any newborn in the file to reach their fifth birthday and an additional six years for the required retention period.

RECORD RETENTION, *cont.*

- Retention period for staff training records*** 3.0 Staff training records are WIC records documenting the completion of each training module by a local WIC program staff person.
- 3.1 The retention period for local WIC program staff training records is **three** years following the date of separation from service. Please refer to ♦440—Staff Training Requirements, for forms to be retained after completion of each training module.
- Retention of other WIC records*** 4.0 Other WIC records are documents that may include information pertaining to WIC program operations. The CFRs require the retention for these documents be **three** years. These include but are not limited to:
- abuse or civil rights complaint logs;
  - civil rights and fair hearing procedures;
  - voucher signature stubs;
  - eWIC card inventory logs;
  - Farm Direct check registers, or
  - quarterly individual time studies.
- Retention of NVRA forms*** 5.0 The retention period for the declination portion of the “Agency Voter Registration Form” from the Elections Division is **two** years. Please refer to ♦480—Voter Registration: National Voter Registration Act.
- Record retention schedule*** 6.0 Local programs shall retain WIC records according to the retention period indicated. Please refer to Appendix A for a listing of miscellaneous WIC records and their retention period.
- Purpose for retention*** 7.0 Retain these WIC records in case of any litigation, claim negotiation, audits, and for local program reviews. ★

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**WIC RECORDS RETENTION SCHEDULE**

Below is a list of forms or reports with the required retention period.

<b>600 Series — Certification Forms &amp; Applicant/Participant Materials</b>		
<b>Form Number</b>	<b>Form or Report Title</b>	<b>Retention Period</b>
57-629	Participant Signature Form	<b>6 years after last service for individual files or 11 years after last date of service for aggregate files. See ¶2.0 for more information.</b>
57-633	No Proof Form For Special Situations & Income Averaging	
57-750	Multi-User Electric Breast Pump Loan Agreement	
57-751	Breast Pump Release Form	
57-636	Medical Documentation Forms from health care provider	

<b>Miscellaneous WIC Forms</b>		
<b>Form Number</b>	<b>Form or Report Title</b>	<b>Retention Period</b>
SEL-503	Motor Voter: Agency Voter Registration Forms (Declination Form)	<b>2 years</b>
N/A	Quarterly Individual Time Studies	<b>3 years</b>
N/A	Staff Training Module Completion Forms	<b>3 years from date of separation of service</b>

<b>Miscellaneous WIC Reports and Records</b>		
<b>Report Number</b>	<b>Report Title</b>	<b>Retention Period</b>
N/A	Voucher Stub	<b>3 years</b>
N/A	eWIC card inventory logs	
N/A	Farm Direct Nutrition Program Check Register/Issuance List	



**POLICY:** The state Vendor Management Services Team has primary responsibility for vendor management.

**PURPOSE:** To describe the Oregon food delivery and vendor management systems.

**RELEVANT REGULATIONS:** 7 CFR §246.3 ¶(e)(2)—Administration, State staffing standards  
7 CFR §246.12 ¶(a)(2)(4)—Food delivery systems

**OREGON WIC PPM REFERENCES:** ♦588—Program Integrity: Complaints

**DEFINITIONS:**

<i>Retail food delivery system</i>	The primary food delivery system used in Oregon whereby participants take food instruments to authorized grocery stores and pharmacies to obtain the prescribed foods and formula.
<i>Vendor management</i>	The coordination of activities involving vendor activities, including authorizing, training, and monitoring for continued compliance with the WIC vendor agreement and ensuring that the food delivery system complies with USDA requirements.
<i>Food instrument</i>	A voucher, check, electronic benefit transfer (EBT) card (EBT), coupon, or other document which is used to obtain supplemental foods.

**PROCEDURE:**  
*State responsibilities in vendor management*

1.0 The state Vendor Management Services Team performs the following vendor management tasks:

- Authorizes WIC vendors
- Designs and conducts vendor training
- Performs on-site reviews prior to a vendor’s authorization and as needed to monitor compliance
- Communicates with vendors
- Keeps state-produced vendor materials current
- Monitors vendors for compliance via overt and covert methods
- Maintains vendor data in TWIST
- Coordinates banking services for authorized vendors
- Represents WIC in administrative and court hearings
- Monitors store closures and transfers of ownership
- Collects and analyzes vendor data, e.g. shelf price surveys
- Clarifies WIC policies and procedures on vendor-related issues to state and local staff
- Communicates with USDA on vendor-related issues

**OVERVIEW OF VENDOR MANAGEMENT, *cont.***

- Local responsibilities in vendor management***
- 2.0 Local WIC program staff perform the following vendor management tasks:
- 2.1 Communicate with state Vendor Management Services Team staff.
- Refer inquiries for store authorization
  - Report any WIC authorized store changes
  - Request clarification of policies and procedures when necessary
- 2.2 Provide information to state WIC staff regarding whether or not the termination of a specific vendor would result in inadequate participant access.
- 2.3 Provide information to state WIC staff regarding whether or not a stock exception request from a specific vendor would result in inadequate availability of a specific food or infant formula.
- 2.4 Report complaints from participants about vendors. See ♦588—Program Integrity: Complaints for the complete process.
- 2.5 Follow-up on reports from vendors of participant non-compliance.
- 2.6 Conduct on-site reviews at the request of the state Vendor Management Services Team.
- Retail food delivery system***
- 3.0 The Oregon WIC program uses a retail food delivery system. Only vendors authorized by the Oregon WIC program may redeem Oregon WIC food instruments. ★

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