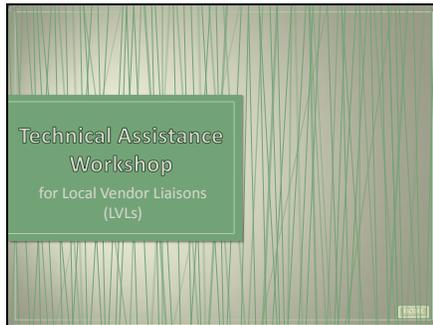


2013 LVL Quality Fresh Produce Initiative and Code of Conduct Training Facilitator's Guide

Slide 1



Welcome/Good Morning!

Introduce trainers

Housekeeping

- Water/vending machines
- Restrooms
- Emergency exits
- Name Tents

[Agenda](#) – remove from packet and review

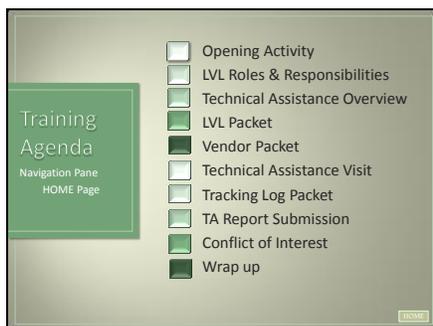
Questions

- Questions may be answered as we progress through the day but feel free to ask questions throughout and know we may need to hold off answering until we get to specific segments
- Can write questions on Post It Notes to save for later, can place notes on Parking Lot

Introduce yourselves to tablemates

- Name, agency & location, years of WIC service
- If you know everyone at your table find someone you don't know yet

Slide 2



Quick review of agenda, then either click to advance to next slide or click on the corresponding square to link to a specific section of the training. This is the HOME page and is accessible from any slide in the presentation so the trainer is able to pick and choose which section of the training they want to view.

Slide 3



[Activity 1 – Hopes and Fears](#)

Let's talk about your hopes with regard to today's training. What do you hope to get from the training today? -OR- What do you want to walk away with today? (10 min max)

Have one of the trainers write their answers on large paper or white board.

Slide 4



Your role as a Local Vendor Liaison has evolved. You will now be providing Technical Assistance (TA) to your vendors. Today's training will define Technical Assistance and lay out the details of your new role.

Additionally, you will learn how to use the tools designed specifically for conducting a TA visit and how to document your findings. By the end of this workshop, you will be well prepared for your new tasks!

This is a great opportunity for you to make a difference in the WIC program and the services provided by the vendors. **You** will make a difference in the lives of the WIC participants.

Slide 5



As a Local Vendor Liaison, you are in the perfect position to provide support to:

- The State Agency,
- The Vendor Community, and
- Ultimately the WIC participants

Primarily, you support the WIC Program. The State WIC agency oversees vendor monitoring, compliance, and program integrity. You are in a prime position to support those endeavors.

Your TA visits will help vendors in two ways:

- You provide an educational opportunity. Many vendors are unaware that they may need to make some changes to remain in compliance with State and Federal mandates.
- You provide vendors the opportunity to make corrections prior to an official State visit.

Ultimately, your new role supports the participants. The participants will be able to get the healthy food they need in a convenient and pleasant experience.

Nobody can do it better than you!

Slide 6



By instituting a systematic process statewide, the California WIC Program can objectively assess the quality of services provided to our customers, both vendors and participants, and implement corrective action when issues or opportunities for improvement are identified. This process is known as quality assurance.

Slide 7

Technical Assistance

Ensures standardization
Promotes program integrity
A precursor to vendor monitoring
Meets Federal/State requirements

Ask: how does this help you?
After soliciting responses, click on slide to advance to each answer.

Slide 8

Vendor Support

What's different?
What's the same?

Different

- Technical assistance
- Structured process and methodology

Same

- Educate vendors
- Provide vendors the opportunity to correct identified needs prior to an official state monitoring or compliance visit.

Slide 9

TA Visits include:

- Minimum Stocking Requirement (MSR)
- Observations
- Recap with Vendor



Slide 10

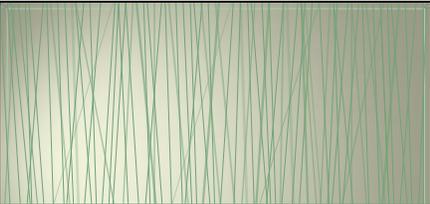
3 Key Components



-  LVL Packet
-  Vendor Packet
-  Tracking Packet



Slide 11



LVL Packet



Slide 12

Why is MSR important?

Ensures participants have access to healthy foods



WIC
Authorized
FOOD LIST
Healthy Choices

Say:

Maintaining MSR is a vendor requirement

If not met, it can lead to sanctions or disqualifications (DQ)

A DQ from WIC can lead to a DQ from CalFresh (SNAP)

FAQs pertaining to the WIC Authorized Food List (WAFL) are available on the WIC website. From the main page, click on 'Authorized Foods & Shopping Guide' under the heading **WIC Authorized Foods**. Under the heading **Authorized Foods & Shopping Guide**, click on the 'Frequently Asked Questions about the Authorized Food List Shopping Guide'.

Slide 13

Minimum Stocking Requirements (MSR)

FOOD CATEGORY: WHOLE GRAIN

"100% whole wheat" bread in the form of loaves, rolls, or buns.... (2) 1-pound packages

AND

Soft corn tortillas..... (2) 1-pound packages (white or yellow)

AND

Oatmeal or Oats..... (2) 1-pound packages or 2 pounds in bulk

OR

Brown rice..... (2) 1-pound packages or 2 pounds in bulk

Hand out [Vendor MSR](#) sheet.

Discuss animations as they appear (click to add animations). It's important to ensure the learners understand each item.

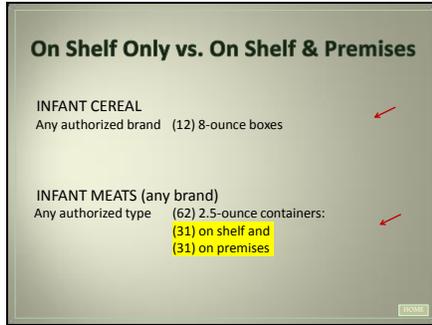
- Number of items (in parentheses)
- Package size
- Use of AND and OR
 - And = Items preceding and following the word are required to be met
 - Or = Either items preceding or following the word satisfy the requirement

Slide 14

On Shelf Only vs. On Shelf & Premises

INFANT CEREAL
Any authorized brand (12) 8-ounce boxes

INFANT MEATS (any brand)
Any authorized type (62) 2.5-ounce containers:
(31) on shelf and
(31) on premises



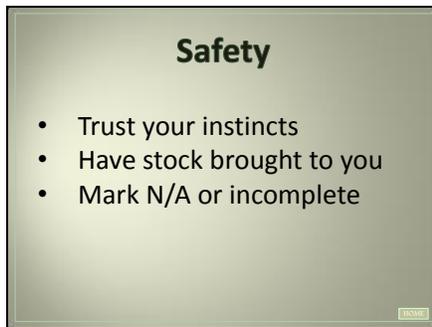
Explain difference between highlighted lines and non-highlighted lines.

- Highlighted lines mean some of the total number of items can be in stock or elsewhere on premises.
- If there is no highlighted subsection, the entire number required must be on the shelf.

Slide 15

Safety

- Trust your instincts
- Have stock brought to you
- Mark N/A or incomplete



The stockroom is a key area of the premises you may need to check as part of your TA visit. However, trust your instincts. Safety comes first and if you are not comfortable going into the stockroom, ask to have the stock brought to you. If this option does not feel right, it is okay to mark N/A or incomplete. Be sure to record your observations on the TA forms, where appropriate.

Slide 16

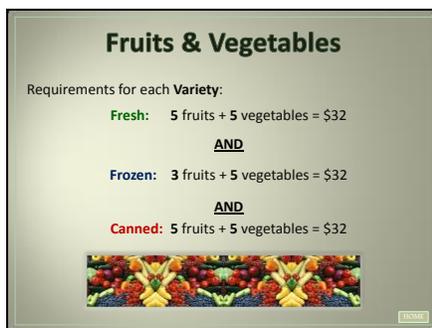
Fruits & Vegetables

Requirements for each Variety:

Fresh: 5 fruits + 5 vegetables = \$32
AND

Frozen: 3 fruits + 5 vegetables = \$32
AND

Canned: 5 fruits + 5 vegetables = \$32



All fresh produce MUST be fresh. Stale produce will not be counted toward MSR

Tips: Emphasize variety and combination of varieties. Note the number of varieties of fruits and the number of varieties of vegetables for each category.

Count using “price by unit” or “price per item” vs. “price by pound” (easier to add total dollar amounts). Price by unit or item means price per apple or price per bag of apples.

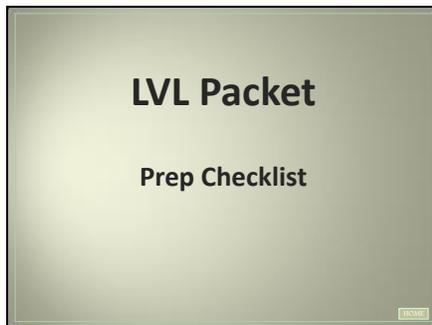
Fresh: 5 varieties of fruits and 5 varieties of vegetables added together must be a minimum of \$32 worth.

Slide 17



The MSR has a separate category for **fresh bananas**. The minimum inventory for fresh bananas is 16. Any additional banana over 16 can count toward the **Fresh Fruit** category.

Slide 18



Refer to the **LVL Packet** from the LVL main page.

Review first page:

- Prep Checklist (can customize to your needs)
- During
- After
- Optional

Materials are divided into sections to specify when items listed are to be completed.

Slide 19

Minimum Stocking Requirements (MSR)

X. WHOLE GRAIN

A. "100% whole wheat" bread in the form of loaves, rolls, or buns	(2) 1-pound packages AND
B. Soft corn tortillas (white or yellow)	(2) 1-pound packages AND
Oatmeal or Oats	(2) 1-pound packages or 2 pounds in bulk
C. Brown rice	OR (2) 1-pound packages or 2 pounds in bulk

MSR Field Tool has the same information as the Vendor MSR – laid out in slightly different format.

Animations show that all the same information is present.

Slide 20

MSR Field Form - Sample

XI. BREAKFAST CEREAL

Any authorized type (4) boxes each of any four authorized types of cereal: two of which must be whole grain cereal

MSR Met		Prices Posted		Record Suspected High Prices
Yes	No	Yes	No	
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		\$9/cereal box

Simply check the correct box below each column heading according to what you find in the store.

MSR Met = the item is found on the shelf or there is signage on the shelf for placement of that item (even if the shelf is empty), and minimum quantity is met.

Prices Posted = prices can be posted above the items, below the items, or on the items.

Record Suspected High Prices = short note of any price you feel is too high. This is your judgment, can be based on whether you would pay that price for that item.

Slide 21



Activity Materials

- [Blank MSR Field Form](#)
- [WIC Authorized Foods List](#) (Shopping Guide)
- [MSR Practice Scenario Handout](#)

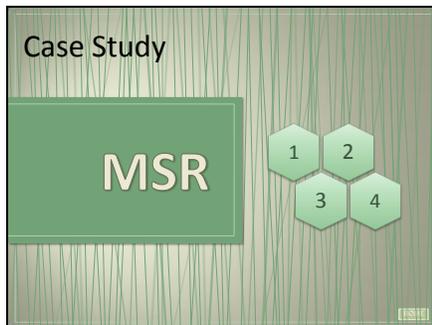
Go through one example with the trainees. Read the first item and have them mark it on their MSR Field Form. Have them complete the remaining items (encourage working with others at their table).

Review correct answers with them, asking for volunteers to say what they marked on their MSR.

Discuss any questions or issues that come up during the review.

Complete **MSR Overall Assessment** at top of next page.

Slide 22



Activity 2 – [Minimum Stocking Requirement](#) (Good place to pause for stretching if time allows.)

Click on each shape sequentially to access a case study. There is a return button in the lower right-hand corner of each case study slide that will return to this master slide.

Slide 23



Case Study 1

During the MSR review it is noted that the vendor is under stocked. The vendor quickly responds with statements such as, "It's on order", "The truck didn't come this week", or "We just ran out," etc.

Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 24



Case Study 2

You noticed the infant formula is not on the shelf but behind the counter. The vendor informs you that they are experiencing a high theft rate, therefore they must keep it out of reach.

Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 25



Case Study 3

Throughout your MSR review you are unable to locate food items in the store.

Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 26

 **Case Study 4**

You noticed several pieces of fruit are overripe and some of the vegetables are wilted and notably aged beyond freshness.

Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 27

Observations Field Form





Note: the [Observations Field Form](#) is part of the LVL packet that is for LVL use only.

Quick Review of Field Form sections I – V (advance to next slide for other sections)

Slide 28

I. (6) Incentive Items

Incentive items offered to WIC participants

must be offered to **ALL** customers



Note: WIC customers cannot be singled out to offer or withhold incentive items.

Examples of different types of incentives that might be offered by vendors (includes both allowed and not allowed):

Buy-one, get one free

Free after redeeming X number of FIs:

Mixers, car-seats, bicycles

Manufacturer coupons and store discounts

Above 50% (A50) Vendors

Approved A50 vendors must have an approved Incentive Items Addendum on file with State WIC before they're allowed to offer incentives. A50 incentives are restricted to specific food items that are purchased from a wholesaler at a cost of less than \$2.00. The incentives can only be offered once a day per family at the time of transaction.

All store types cannot single out WIC customers to offer incentives. WIC authorized vendors must offer to WIC shoppers the same incentives that are offered to all customers.

Acceptable examples include:

Buy one, get one free
Manufacturer coupons

Vendor cannot single out WIC participants to offer:

- Cash or gifts
- A point system for FIs when redeemed by participants in exchange for free items.

Slide 29

VI. FI Verification on Premises

Type of Verification	Total # FIs	# FIs without Purchase Price	N/A
(2) Transacted FI Review	50	13	
(3) Observed FI Transaction			x

Explain section VI (FI section) – look at maximum of 50 FIs, count how many have the Purchase Price written on them. Writing in the purchase price on an FI is a requirement of the vendor agreement.

Quick look at section VII (advance to next slide for remaining sections).

To check on this requirement

- Ask the vendor for a minimum of 50 transacted FIs
 - On premises
 - Premises includes in a safe, or at a register
 - LVLs are to review a minimum of 50 FIs if a large number are available
 - If fewer than 50 are available, count all of them
 - Vendor may state none are available. If so, mark NA in last column.

If you happen to observe a FI transaction, use VI (3) row to enter your observations.

Slide 30

VIII. Unsanitary Stores

- Verify Health Permit
- Report unsanitary conditions to Local Health Department

Explain section VIII (Health Permit posted and Unsanitary Conditions)

- Ask to see their health permit. Indicate if it was posted or not posted. Mark if the permit has expired.
- Not all counties require the Health Permit to be posted and visible to shoppers. If not posted, ask to see the permit (it may be in a file drawer).
- If you believe the store is in unsanitary condition, please contact your local health department.

Quick look at Section IX (Other)
Review “How to Report Observations”
(report immediately for all items except VI and VIII)

Additional Information as needed:
California Health & Safety Code §
123335

- Permits are good for one year, and automatically renewed every year at anniversary upon payment of license fee
- Inspections are conducted twice a year
- Permits must be posted in plain sight, however, if not, just indicate “not posted.” Check to see permit date has not expired.

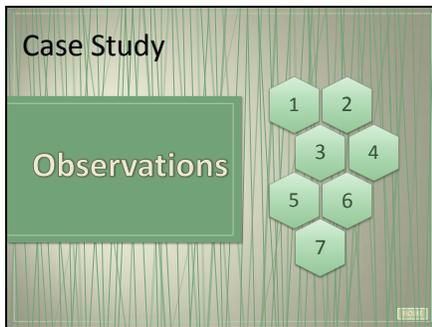
Slide 31



Activity Materials

- [Observations Field Form](#)
- [Observation Practice Scenario Handout](#)

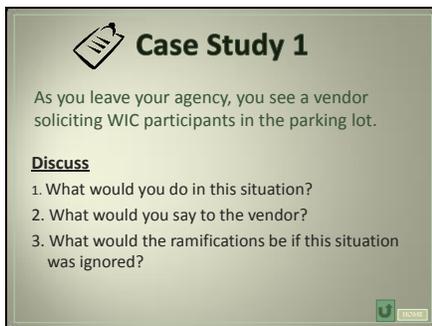
Slide 32



Activity 3 – [Observations](#) (Good place to pause for stretching if time allows.)

Click on each shape sequentially to access a case study. There is a return button in the lower right-hand corner of each case study slide that will return to this master slide.

Slide 33



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 34



Case Study 2

Upon entering the store, you notice a drawing box that reads, "WIC shoppers enter here for grand prize drawing!" You learn through fact finding the store is promoting a WIC frequency program not offered to other shoppers.

Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 35



Case Study 3

The vendor told you that you do not have the authority to check their WIC authorized foods. He asked you to please leave the store immediately.

Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 36



Case Study 4

During your TA, you overheard the cashier telling a participant that they need to purchase the store's private label brands verses authorized brands of choice.

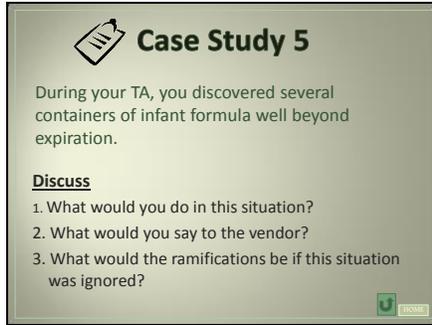
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 37



 **Case Study 5**

During your TA, you discovered several containers of infant formula well beyond expiration.

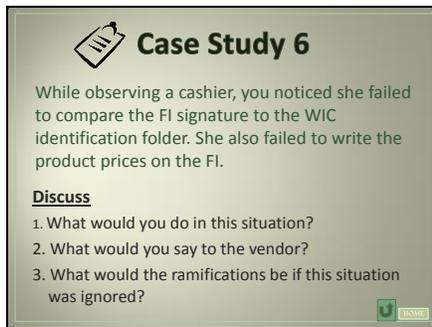
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 38



 **Case Study 6**

While observing a cashier, you noticed she failed to compare the FI signature to the WIC identification folder. She also failed to write the product prices on the FI.

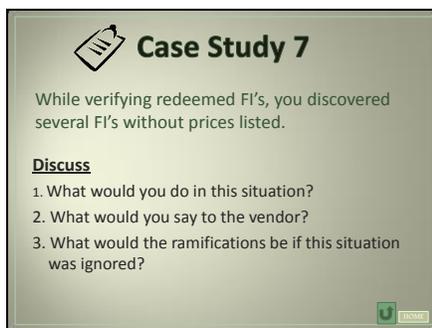
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 39



 **Case Study 7**

While verifying redeemed FI's, you discovered several FI's without prices listed.

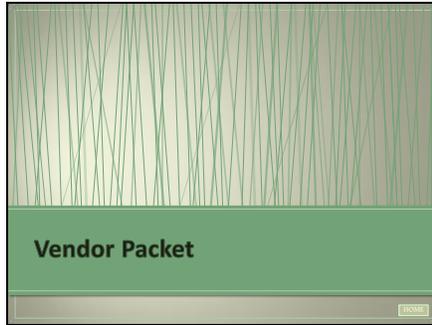
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 40



Refer to Vendor Packet from the LVL main page.

Slide 41



Upon completing your rounds, refer to your LVL packet to prepare the vendor packet. Vendor must receive these three documents in hardcopy form. You may retain an e-copy of the Summary Letter with original signatures.

Purpose:

Vendor Packet guides discussion with vendor

These items are to be left with the vendor for his/her records

Components of the Vendor TA

Summary Packet:

- TA Summary Letter (two copies: hardcopy for vendor and hardcopy for your records)
- Vendor MSR
- Contact and Resource list

Slide 42

Summary Letter

Complete 2 letters
Highlight MSR findings
Obtain signatures on both letters



Note: Complete 2 copies of TA Summary letter and have vendor or vendor representative sign both documents. If vendor or vendor rep refuses signature, note signature refusal on Signature Line.

Slide 43

Vendor MSR

FOOD CATEGORY: WHOLE GRAIN

"100% whole wheat" bread in the form of loaves, rolls, or buns.... (2) 1-pound packages

AND

Soft corn tortillas..... (2) 1-pound packages
(white or yellow)

AND

Oatmeal or Oats..... (2) 1-pound packages or
2 pounds in bulk

OR

Brown rice..... (2) 1-pound packages or
2 pounds in bulk



Example of how to mark any MSR observations on the Vendor MSR. This will be provided to the vendor or vendor representative when you meet at the end of the TA visit. The notes on the MSR sheets will help the vendor understand the discrepancies you observed.

Slide 44

Test Drive!



Activity Materials

- MSR from previous activity
- Vendor packet

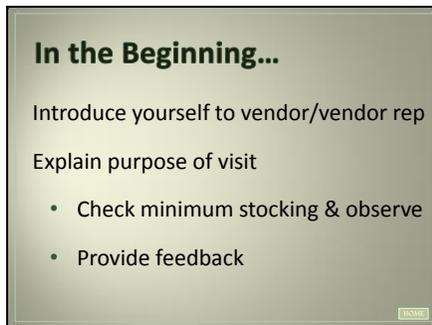
Mark the Vendor MSR and Summary Letters based on the MSR from the previous activity.

Slide 45



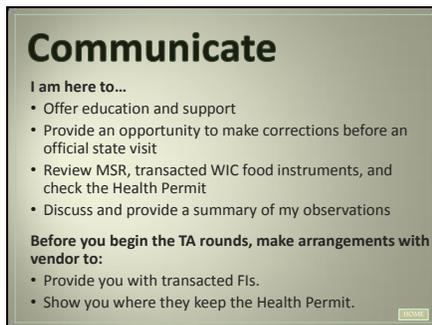
Remove Vendor Packet from folder

Slide 46



Technical assistance does not require prior notification to the vendor. This allows you to capture a real-time picture of the vendor's operation. When you enter the premises, introduce yourself and allow the vendor/vendor rep to make the necessary arrangements to accommodate your needs.

Slide 47



Use this as a learning opportunity for learners to role play. Ask them to practice in pairs how they would approach the vendor and start the dialogue.

Slide 48

You Have Authority



Health and Safety Code § 123335

HS-001

If the vendor is reluctant to allow you to conduct your TA visit, calmly state that according to Health and Safety Code 123335 you have the authority to be there.

*Any officer, employee, or agent of the department **may enter the place of business of any vendor transacting nutrition coupons** to verify food prices, to witness or investigate procedures, to conduct financial audits, or to otherwise determine compliance of the vendor with this article and the vendor agreement.*

Slide 49

Planning Your Visits

Consider:

- Number of vendor visits/quarter
(20 workdays/month = 60 days/quarter)
- Account for holidays/leave
- Number of LVLs (FTE)
- Travel time to vendors
- Geographic locations of vendors
- Visit Time (Initially TA visits may take up to 2 hours)
- Prep time before visit and wrap-up time after visit

HS-001

To prepare for your visit based on TA quarterly schedule, determine priorities and consider the following:

- Number of LVLs in agency, distance/distribution of vendors in your area.
- Prepare driving directions/map
- Make the necessary travel arrangements

Bring with you the following materials

- TA Visit Packet – for LVL use only
- TA Summary Packet and extra two-sided copies of the TA Summary letter
- LVL toolkit

Slide 50



Activity: Planning Vendor Visits sheet and Planning Vendor Visits Worksheet materials

Use your agency's specific information to begin planning your quarterly TA visits

Examples:

- Number of LVL staff/FTEs assigned to the agency
- Number of vendors assigned to the agency
- Geographic distribution of vendors
- There are typically 22 workdays in a month, or 66 days in a quarter (before holidays/leave)
- Expect TA visits to take about 1 ½ to 2 hours initially

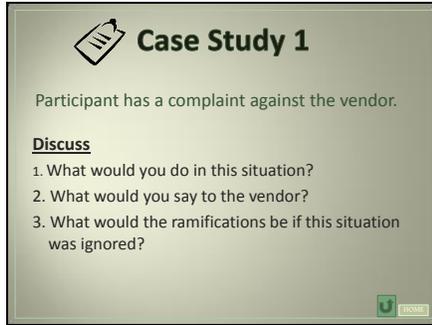
Slide 51



Activity 4 – [Complaints and Concerns](#)
(Good place to pause for stretching if time allows.)

Click on each shape sequentially to access a case study. There is a return button in the lower right-hand corner of each case study slide that will return to this master slide.

Slide 52



 **Case Study 1**

Participant has a complaint against the vendor.

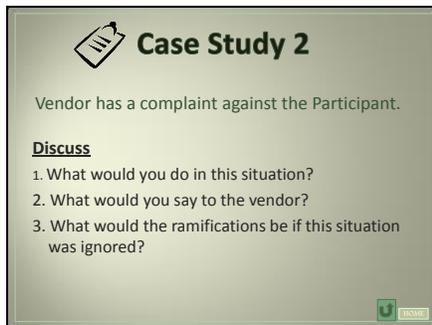
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 53



 **Case Study 2**

Vendor has a complaint against the Participant.

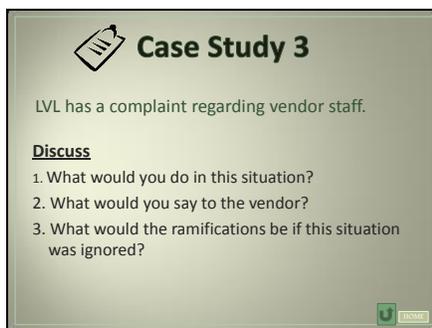
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 54



 **Case Study 3**

LVL has a complaint regarding vendor staff.

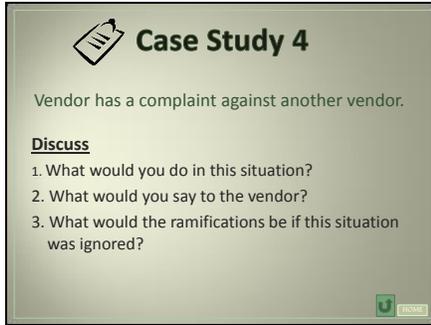
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 55



 **Case Study 4**

Vendor has a complaint against another vendor.

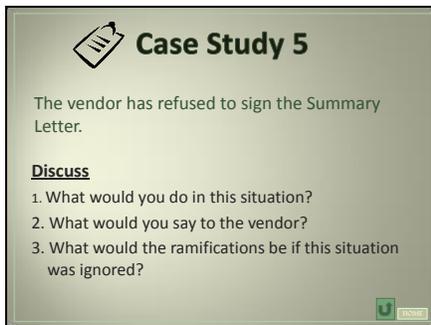
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 56



 **Case Study 5**

The vendor has refused to sign the Summary Letter.

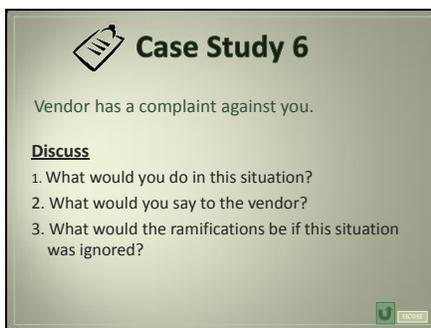
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 57



 **Case Study 6**

Vendor has a complaint against you.

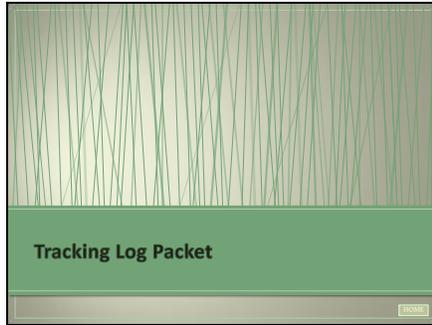
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

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Refer to the LVL Field Forms (TA Packet) on the LVL main page.

- The tracking LVL packet resembles LVL Field Forms. The tracking LVL packet allows you to submit your TA Reports electronically; however, automated tracking forms are sent to LVLs via email and not available on the website. Your local agency can use the tracking packet if its computer system operates on Microsoft Suite (MS) 2007 or 2010.
- If your local agency's MS system is older, you will be required to fax your completed field forms to the State at (916) 440-5566.
- If your local agency has not provided you with a laptop or computer tablet to use, you will need to use the Field Forms and enter your findings on the tracking forms when you get back to the office.
- If you have a laptop or computer tablet, you can use tracking forms when conducting TA visits. However, the vendor packet needs to be hardcopy.

Slide 59

Tracking Log Forms

- Minimum Stocking Requirements (MSR)
- Observations
- Vendor Summary Letter

- TA Reports must be submitted by the last business day of each month to LVLTAReports@cdph.ca.gov. You will receive an acknowledgement email to confirm the State has received your reports.
- If your local agency does not have MS 2007 or 2010, you may send an electronic scan of the completed hardcopy TA Field Forms to LVLTAReports@cdph.ca.gov, or fax the reports to (916) 440-5566.
- TA Tracking forms cannot be saved unless you enter the Vendor TA ID.

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Food Type	MSR Specific Findings	MSR Met	Price	Amount	Unit	Food Item	Notes
		Yes/No	Yield	Yield			
1. TA Date	MSR Met	Yes	Yield	Yield			
2. Vendor TA ID	MSR Met	Yes	Yield	Yield			
3. Vendor Name	MSR Met	Yes	Yield	Yield			
4. Vendor Address	MSR Met	Yes	Yield	Yield			
5. Vendor Phone	MSR Met	Yes	Yield	Yield			
6. Vendor Email	MSR Met	Yes	Yield	Yield			
7. Vendor Website	MSR Met	Yes	Yield	Yield			
8. Vendor License	MSR Met	Yes	Yield	Yield			
9. Vendor Insurance	MSR Met	Yes	Yield	Yield			
10. Vendor Safety	MSR Met	Yes	Yield	Yield			
11. Vendor Compliance	MSR Met	Yes	Yield	Yield			
12. Vendor Inspection	MSR Met	Yes	Yield	Yield			
13. Vendor Training	MSR Met	Yes	Yield	Yield			
14. Vendor Certification	MSR Met	Yes	Yield	Yield			
15. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
16. Vendor Registration	MSR Met	Yes	Yield	Yield			
17. Vendor Licensing	MSR Met	Yes	Yield	Yield			
18. Vendor Bonding	MSR Met	Yes	Yield	Yield			
19. Vendor Insurance	MSR Met	Yes	Yield	Yield			
20. Vendor Safety	MSR Met	Yes	Yield	Yield			
21. Vendor Compliance	MSR Met	Yes	Yield	Yield			
22. Vendor Inspection	MSR Met	Yes	Yield	Yield			
23. Vendor Training	MSR Met	Yes	Yield	Yield			
24. Vendor Certification	MSR Met	Yes	Yield	Yield			
25. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
26. Vendor Registration	MSR Met	Yes	Yield	Yield			
27. Vendor Licensing	MSR Met	Yes	Yield	Yield			
28. Vendor Bonding	MSR Met	Yes	Yield	Yield			
29. Vendor Insurance	MSR Met	Yes	Yield	Yield			
30. Vendor Safety	MSR Met	Yes	Yield	Yield			
31. Vendor Compliance	MSR Met	Yes	Yield	Yield			
32. Vendor Inspection	MSR Met	Yes	Yield	Yield			
33. Vendor Training	MSR Met	Yes	Yield	Yield			
34. Vendor Certification	MSR Met	Yes	Yield	Yield			
35. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
36. Vendor Registration	MSR Met	Yes	Yield	Yield			
37. Vendor Licensing	MSR Met	Yes	Yield	Yield			
38. Vendor Bonding	MSR Met	Yes	Yield	Yield			
39. Vendor Insurance	MSR Met	Yes	Yield	Yield			
40. Vendor Safety	MSR Met	Yes	Yield	Yield			
41. Vendor Compliance	MSR Met	Yes	Yield	Yield			
42. Vendor Inspection	MSR Met	Yes	Yield	Yield			
43. Vendor Training	MSR Met	Yes	Yield	Yield			
44. Vendor Certification	MSR Met	Yes	Yield	Yield			
45. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
46. Vendor Registration	MSR Met	Yes	Yield	Yield			
47. Vendor Licensing	MSR Met	Yes	Yield	Yield			
48. Vendor Bonding	MSR Met	Yes	Yield	Yield			
49. Vendor Insurance	MSR Met	Yes	Yield	Yield			
50. Vendor Safety	MSR Met	Yes	Yield	Yield			
51. Vendor Compliance	MSR Met	Yes	Yield	Yield			
52. Vendor Inspection	MSR Met	Yes	Yield	Yield			
53. Vendor Training	MSR Met	Yes	Yield	Yield			
54. Vendor Certification	MSR Met	Yes	Yield	Yield			
55. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
56. Vendor Registration	MSR Met	Yes	Yield	Yield			
57. Vendor Licensing	MSR Met	Yes	Yield	Yield			
58. Vendor Bonding	MSR Met	Yes	Yield	Yield			
59. Vendor Insurance	MSR Met	Yes	Yield	Yield			
60. Vendor Safety	MSR Met	Yes	Yield	Yield			
61. Vendor Compliance	MSR Met	Yes	Yield	Yield			
62. Vendor Inspection	MSR Met	Yes	Yield	Yield			
63. Vendor Training	MSR Met	Yes	Yield	Yield			
64. Vendor Certification	MSR Met	Yes	Yield	Yield			
65. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
66. Vendor Registration	MSR Met	Yes	Yield	Yield			
67. Vendor Licensing	MSR Met	Yes	Yield	Yield			
68. Vendor Bonding	MSR Met	Yes	Yield	Yield			
69. Vendor Insurance	MSR Met	Yes	Yield	Yield			
70. Vendor Safety	MSR Met	Yes	Yield	Yield			
71. Vendor Compliance	MSR Met	Yes	Yield	Yield			
72. Vendor Inspection	MSR Met	Yes	Yield	Yield			
73. Vendor Training	MSR Met	Yes	Yield	Yield			
74. Vendor Certification	MSR Met	Yes	Yield	Yield			
75. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
76. Vendor Registration	MSR Met	Yes	Yield	Yield			
77. Vendor Licensing	MSR Met	Yes	Yield	Yield			
78. Vendor Bonding	MSR Met	Yes	Yield	Yield			
79. Vendor Insurance	MSR Met	Yes	Yield	Yield			
80. Vendor Safety	MSR Met	Yes	Yield	Yield			
81. Vendor Compliance	MSR Met	Yes	Yield	Yield			
82. Vendor Inspection	MSR Met	Yes	Yield	Yield			
83. Vendor Training	MSR Met	Yes	Yield	Yield			
84. Vendor Certification	MSR Met	Yes	Yield	Yield			
85. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
86. Vendor Registration	MSR Met	Yes	Yield	Yield			
87. Vendor Licensing	MSR Met	Yes	Yield	Yield			
88. Vendor Bonding	MSR Met	Yes	Yield	Yield			
89. Vendor Insurance	MSR Met	Yes	Yield	Yield			
90. Vendor Safety	MSR Met	Yes	Yield	Yield			
91. Vendor Compliance	MSR Met	Yes	Yield	Yield			
92. Vendor Inspection	MSR Met	Yes	Yield	Yield			
93. Vendor Training	MSR Met	Yes	Yield	Yield			
94. Vendor Certification	MSR Met	Yes	Yield	Yield			
95. Vendor Accreditation	MSR Met	Yes	Yield	Yield			
96. Vendor Registration	MSR Met	Yes	Yield	Yield			
97. Vendor Licensing	MSR Met	Yes	Yield	Yield			
98. Vendor Bonding	MSR Met	Yes	Yield	Yield			
99. Vendor Insurance	MSR Met	Yes	Yield	Yield			
100. Vendor Safety	MSR Met	Yes	Yield	Yield			

(Red arrow) TA Date: Drop down menu includes a calendar – simply click on the correct date and the field is filled in for you

(Purple arrow) Vendor TA ID is typed in

(Green arrow) MSR Met: “Yes” if all requirements are met or “No” if they are not met

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Observations Tracking Log
REPORT IMMEDIATELY

Vendor TA ID	Vendor FIC#	TA Date	Observation Date
LVA Name	Address	LVA #	State Agency
LVA Phone #	City/State/Zip		

I. Fail Agreement Violations Comment:

Closed store
 Store open and vendor/vendor representative states no longer accepting WIC Food Instruments (FIs)
 Non WIC-authorized store accepting FIs
 Subcontracting for a WIC store when an existing store
 Misuse of register items

II. Fail Customer Service Offenses Comment:

Staffing for customers have a WIC clinic and/or local agency
 Making home deliveries
 Conducting WIC transactions at a place other than the store
 Misuse of WIC Logo
 Forcing WIC participants to purchase a less costly brand

III. Fail Discrimination Against Participants Comment:

Charging WIC participants a higher price than other shoppers for the same foods
 Forcing WIC participants to check out at a specific register

IV. Fail Expired or Stale-Dated WIC Foods Comment:

Expired infant formula
 Yes: Stale-dated foods (e.g., past the "best if used by" date)

V. Fail Food Instrument Misuse Comment:

Forcing participants to pay the full amount on the FI (other than formula)
 Forcing participants to pay the full amount on the FI (other than formula)

VI. Fail Food Instrument Verification on Premises Comment:

(Red arrow) Next to each Roman Numeral, use drop down menu to mark that category as either “Pass” or “Fail”. If it is a “Pass” then none of the individual items in that category will be marked.

(Green arrow) The category will be marked “Fail” when you find at least one of the items in that category that is non-compliant

(Purple arrow) Mark “yes” for the non-compliant items

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VI. Fail Food Instrument Misuse Comment:

VI. Fail Food Instrument Misuse Comment:

Type of Verification	Total # FIs	# FIs without Purchase Price	N/A
Transected FI Review	0	0	0
Observed FI Transaction	0	0	0

VII. Fail Food Instrument Abuse Comment:

Selling and/or selling food instruments for cash
 Selling non WIC-authorized foods with food instruments

VIII. Fail Health Permit/Store Conditions Comment:

Ask to see Health Permit (HP) which should be posted in plain view:
 Yes HP posted No HP not posted (if HP expired exp date) No HP
 If mandatory conditions exist, report the date to your Local Health Department:
 Telephone Number: Report Date:

IX. Other - Comment:

X. Incomplete TA: Enter a comment below for each applicable item

Vendor/vendor representative refused Observations review

Not Reviewed by vendor/vendor staff or store manager

The printed form is incomplete

Other reasons:

How to Report Observations to State WIC
 Fax to (916) 440-9275 or email a scanned copy of this document to WIC-ADP-REC@dfp.ca.gov
 With exception to items VI and VII, report all other findings immediately to the State WIC office as indicated above.

(Red arrow) If you looked at some FIs then you type in the total number you looked at and the number without Purchase Prices. Leave the N/A column blank

(Green arrow) In you do not look at any FIs or you did not observe any transactions, then mark the N/A column “yes”

(Purple arrow) Mark “pass” is all items concerning the Health Permit or store conditions are OK, mark “Fail” if you find any issues to report

While making observations, do not intervene to correct a situation. Instead, note your observations in the comment sections provided on the TA forms. At the conclusion of the visit, use the Vendor Packet to educate the vendor/vendor representative and cover the topics within the scope of the TA.

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Women, Infants and Children (WIC) Program
Local Vendor Liaison (LVL) - Technical Assistance (TA)
Summary Letter

Vendor TA ID: [Vendor TA ID] LVL Phone Number: [LVL Phone Number]
LVL Name: [LVL Name] WIC Local Agency Number / Name: [Local Agency Number] / [Local Agency Name]
Store Name: [Store Name] Store Phone Number: [Store Phone Number]
Store Address: [Store Address], [Store City], CA, [Store Zip Code]
Vendor or Vendor Representative: [Vendor or Store Name]

The LVL conducted a TA visit of your store including, but not limited to, a review of your minimum stocking requirement (MSR). The vendor MSR is an authorization criterion which must be met to become an authorized WIC vendor and must be continually met throughout the term of the Vendor Agreement. Vendor Alert 2011-03 issued on March 18, 2011 identifies the revised vendor MSR went into effect on Jul 5, 2011. The MSR is available on the WIC website at <http://www.cdph.ca.gov/Programs/OPA/Pages/StockingRequirementsCertification.pdf>

On 8/20/2013 the LVL noted the following:
MSR: []

Review of MSR

No 1. Was the MSR met? If not, this means that one or more WIC authorized food categories did not meet the MSR quantity criteria. Please refer to the attached MSR list for additional information.

Yes 2. Were prices posted on all WIC authorized foods?

In addition, refer to page 2 of this document for what was provided and discussed. For additional questions regarding your Vendor Agreement and requirements, contact your State WIC Vendor Consultant at (855) 942-7867 or by e-mail at WIC_VENDORINF@cdph.ca.gov.

Signature of LVL: _____ Signature of Vendor or Vendor Representative: [Obtained]

(Red arrow) Drop down menu has a calendar, click on correct date to fill in the field

(Green arrow) Simply answer the two questions as either “yes” or “no” according to the results on the MSR

(Purple arrow) Reminder: mark the Vendor Signature as either “Obtained” or “Refused”

Slide 64

Vendor TA Packet

- Summary Letter
- Vendor MSR
- Vendor Contact and Resource List

MSR

Refer to the Vendor TA Packet on the LVL main page.

All LVLs, regardless of which forms used (field/automated tracking form), must provide the vendor or vendor representative a hardcopy of the TA Vendor Packet. This encourages the vendor to contact you or the State WIC Office. The TA Vendor Packet consists of the Summary Letter, Vendor MSR, and Vendor Contact and Resource List.

Slide 65

Identification on Reports

Vendor TA ID and TA Date
must be entered
on each form

- If not – report will be processed as incomplete
- Report will not be counted toward your completed TA Visits

MSR

Slide 66

Naming Convention on Reports

Document Abbreviation	Vendor TA ID	period	YYYY-MM-DD
MSR	30812345	.	2013-01-30

File name for this MSR example is... MSR30812345.2013-01-30

File names for the remaining forms are... OBC30812345.2013-01-30
VSL30812345.2013-01-30



Slide 67

Test Drive!



Activity Materials

LVL Packet

Explain:

Column headings

Selecting categories

Drop down menu in each category

Entering findings using red roman numerals and letters on MSR

Activity: Ask for a volunteer to enter information into computer

All other trainees will assist by telling that volunteer what to enter in each column

Slide 68



Explain: You will conduct a TA with all vendors once within a quarter. All activity is to be documented and sent into the state each month.

No additional quarterly report is required, but near the end of the quarter, confirm that all TA visits have been completed and all tracking logs have been sent in to the State Office.

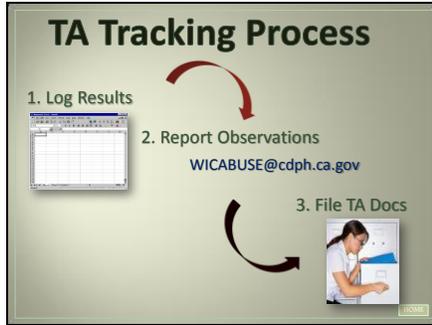
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- Completed TA Reports must be submitted by the last business day of each month to LVLTAReports@cdph.ca.gov. You will receive an acknowledgement email to confirm the State has received your reports.
- If your local agency does not have MS 2007 or 2010, you may send an electronic scan of the completed hardcopy TA Field Forms to LVLTAReports@cdph.ca.gov, or fax the reports to (916) 440-5566.
- The Vendor Assignments List (VAL) is sent electronically to LVLs from the State Office. Even though there may be changes to the number of statewide WIC authorized vendors, your assigned vendors do not change unless they are included on a VAL created by the State Office and distributed to LVLs.

Note: A complete listing of WIC authorized vendors is available on the WIC website at www.wicworks.ca.gov

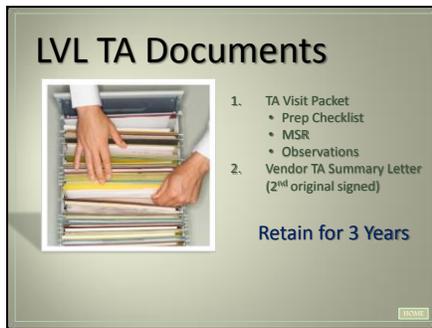
Slide 70



After your visit, LVLs will:

- Document the visit on a spreadsheet
- Send to State at the end of each month
- If applicable, forward a copy of your Observations to the State WIC Office
- File this information either by hard-copy file or electronically for a minimum of 3 years

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Documents to Keep:

- LVL Packet
- Summary Letter (second signed original)

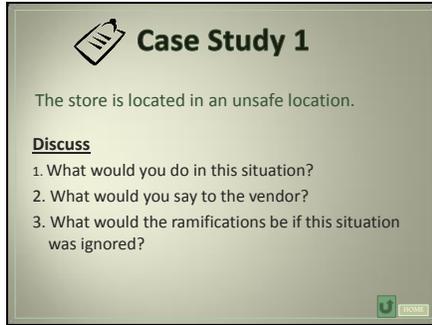
Slide 72



Activity 5 – [Safety](#) (Good place to pause for stretching if time allows.)

Click on each shape sequentially to access a case study. There is a return button in the lower right-hand corner of each case study slide that will return to this master slide.

Slide 73



 **Case Study 1**

The store is located in an unsafe location.

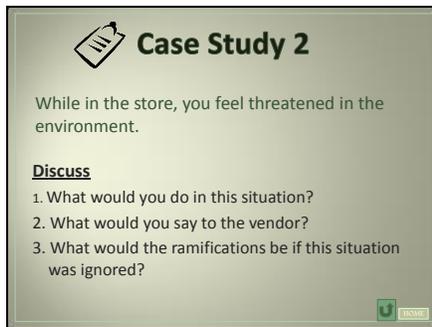
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

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 **Case Study 2**

While in the store, you feel threatened in the environment.

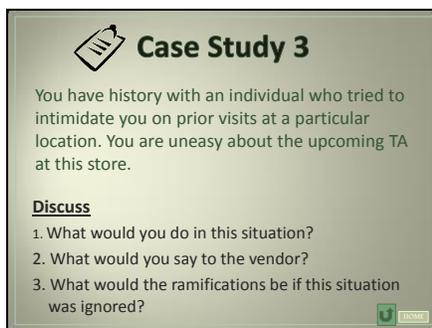
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

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 **Case Study 3**

You have history with an individual who tried to intimidate you on prior visits at a particular location. You are uneasy about the upcoming TA at this store.

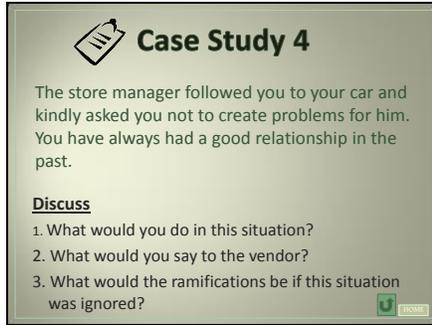
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

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 **Case Study 4**

The store manager followed you to your car and kindly asked you not to create problems for him. You have always had a good relationship in the past.

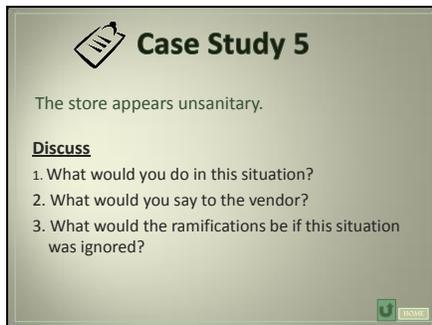
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

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 **Case Study 5**

The store appears unsanitary.

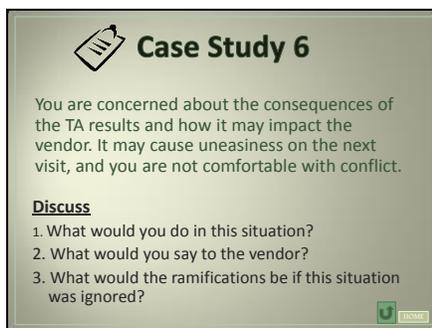
Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

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 **Case Study 6**

You are concerned about the consequences of the TA results and how it may impact the vendor. It may cause uneasiness on the next visit, and you are not comfortable with conflict.

Discuss

1. What would you do in this situation?
2. What would you say to the vendor?
3. What would the ramifications be if this situation was ignored?



Read through the scenario first, then click mouse to bring up the discussion points. Use the return button in the lower right-hand corner to return to the Case Study master slide.

Slide 79



Remind LVLs to be aware of Conflict of Interest issues.

Slide 80



Ask trainees what fears they have.

Review Hopes listed from morning session, mark which ones were discussed throughout the day.

Slide 81



Review hopes from beginning of today's training. (10 min max)

Have one of the trainers write their answers on large paper or white board.

Slide 82



Slide 83



Contact Ruth Caldwell with TA process questions and concerns.

Contact Teresa Dean for questions regarding monthly reports.