
SECTION: ADMINISTRATIVE POLICIES AND PRACTICES

SUBJECT: Program Compliance Monitoring

ITEM: Maintenance of Specific Program Records

Purpose

To ensure that the local agency complies with all state and federal record retention regulations

Policy

The local agency is required to maintain full and complete records of WIC program operations

Authority

7 CFR 246.25

Required Procedures

- I. The local agency is required to maintain program records (paper documents) that include, but are not limited to the following:
 - A. certification documents such as, self declaration of income/address/identification, Rights and Responsibilities;
 - B. prescription for medically required formula;
 - C. ineligibility documents;
 - D. eligibility disqualification documents;
 - E. financial operations, including accounting records, reports, and source documents;
 - F. equipment and inventory-controlled nonequipment item purchases and inventory;
 - G. discrimination complaints and procedures;
 - H. fair hearing complaints/procedures; and

- I. personnel records for verification of properly credentialized staff (i.e., Registered Dietitians, Degreed Nutritionists, WIC Nutrition Assistant, etc.).
- II. The local agency is required to retain financial records and documents for a minimum of three years following the date of submission of the final expenditure report for the period to which the records pertain with the following qualifications:
 - A. The record shall be retained beyond the three year period of audit finding have not been resolved.
 - B. Records of State property (Inventory/Disposition of DHS funded Equipment) shall be retained for three years after its final disposition.
- III. The local agency is required to have a written policy regarding record disposal that includes assurances that any records disposed shall protect the identity and privacy of applicants and participants. See section 120-10 for more information on confidentiality.