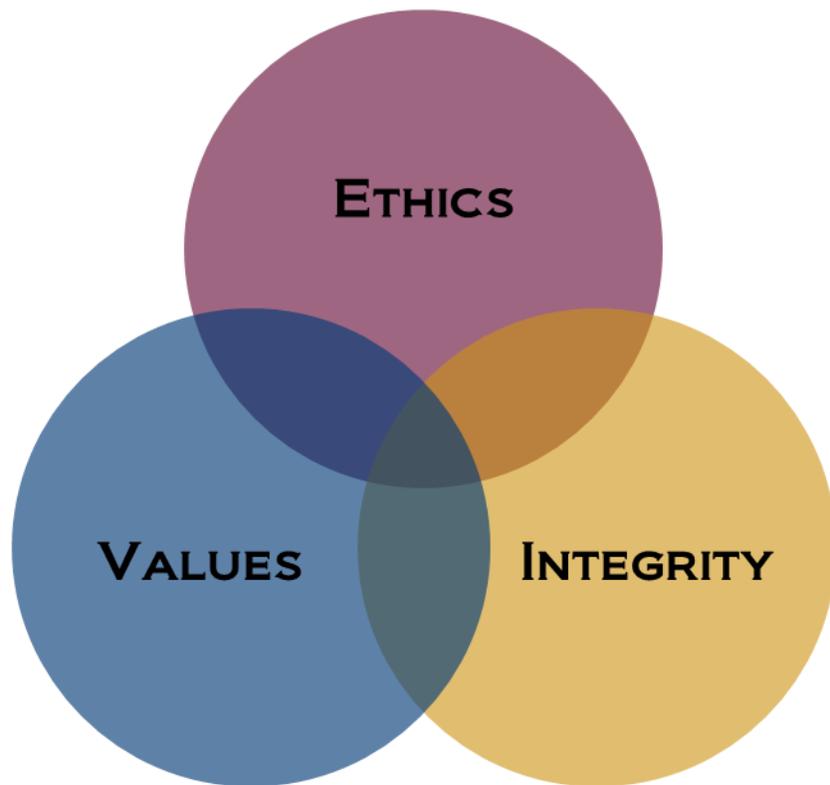


Code of Conduct

Confidentiality Facilitator's Guide



This is one of two modules that are part of the Code of Conduct training series for local agency staff. Code of Conduct focuses on WIC Program requirements regarding Confidentiality and Conflict of Interest for local agency employees that work with WIC participants and authorized vendors.

CODE OF CONDUCT: CONFIDENTIALITY

Who:	<p>Who is this training designed for?</p> <p>The WIC Program Manual (WPM) Section 190-00 <i>Staff Training</i> requires that WIC local agencies deliver Code of Conduct training annually. This training is designed for the WIC local agency as a means to meet this requirement.</p>
What:	<p>What is this training about?</p> <p>This training provides information on WIC Program local agency-vendor confidentiality requirements and procedures.</p> <p>WIC Program authorities that reference confidentiality include:</p> <ul style="list-style-type: none"> • WPM 120-10 <i>Access to and Security of Confidential Information</i> • WIC Vendor Agreement, Article II: Vendor Responsibilities, Rule 4 (c) • Title 7, Code of Federal Regulations (CFR) 246.26 (d) and (e) <p>The Facilitator’s Guide provides instructions, activities, and PowerPoint images. The instructions are written to assist the trainer in facilitating specific segments and gives step-by-step procedures for conducting each training activity. Learner centered activities have been incorporated.</p>
Why:	<p>Why is this training required?</p> <p>Because local agency staff is required to meet a high standard of accountability, it is important that they have a good understanding of Program rules in order to evaluate and address or avoid situations that may potentially violate areas of confidentiality.</p>
Duration:	1½ - 2 hours
Materials:	<p>Trainee Workbook Computer and projector for PowerPoint slides Pens and pencils</p>
Set-up:	<p>Small groups (2 – 10): use pairs Medium groups (10-50): use tables of 4-6 trainees Large groups (50+): use tables of 4-6 trainees</p> <p>Note: For larger groups, trainer may want to limit sharing from all table groups and focus more on taking a few responses as time permits.</p>

Agenda

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| 1. Welcome and Introductions | 5 minutes |
| 2. Warm-Up Activity, Review of Agenda and Objectives | 15 minutes |
| 3. Definition of Confidentiality | 15 minutes |
| Break | 10 minutes |
| 4. Location and Disposal of WIC Confidential Information | 15 minutes |
| 5. Putting It into Practice | 30 minutes |
| 6. Closing Remarks and Evaluation | 10 minutes |

Objectives

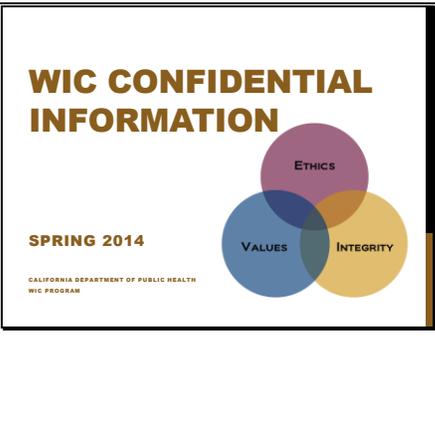
At the end of this training, trainees will be able to:

- Identify confidential information
- Understand WIC policies regarding storage and disposal of confidential information
- Become familiar with evaluating and addressing situations that involve confidential information

1. & 2. Welcome, Warm-Up Activity, Review of Agenda and Objectives **20 minutes**

Purpose: To welcome trainees, introduce trainer(s), and conduct warm-up activity.

Slide 1



Welcome trainees
Introduce trainer(s)
Housekeeping: Training duration (1.5-2 hours)/break time
Review Agenda and Objectives (pp. 2 & 3 in workbook)

Slide 2



Warm-up Activity: Little Known Fact

SAY: Please take a moment to read this information to yourself. Allow a couple of minutes for them to do so.

SAY: This slide is designed to put a smile on your face and start the session with some “light-hearted” humor. Get it?

Look for smiles from trainees.

SAY: While this little known fact about the Earth’s inner core is meant to be silly, I’d like to ask you to share a little known fact about yourself.

Hear from all trainees or a few volunteers, depending on the size of your group.

ASK: Thank you for being open to sharing something about yourself. Did you notice that no one shared their social security number?

Look for nodding of heads in agreement.

SAY: There is a reason no one wants to share their social security number. We are all very careful about when and with whom we share it so we can protect our identity and assets.

While the social security number is confidential personal information, there is a lot of work-related confidential information we have access to when we are doing our job. During today’s training, we will learn how to identify and protect confidential WIC information.

Slide 3	<p>SECURITY OF CONFIDENTIAL INFORMATION</p> <p>Why</p> <ul style="list-style-type: none"> •WIC Program requirement <p>Who</p> <ul style="list-style-type: none"> •Local WIC Staff •WIC Authorized Vendors 	<p>SAY: WIC Federal and State regulations, as described in the WIC Program Manual, require us to protect the confidential information of WIC applicants and participants; local WIC agency staff; and WIC Authorized Vendors. The WPM also requires that we conduct annual staff training on confidentiality, including the appropriate procedure for disclosure of confidential information.</p> <p><u>Facilitator Note:</u> There is no specific date or timeline for this training, but it must be conducted at least once every twelve months.</p>
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3. Definition of Confidentiality	15 minutes
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Purpose: To familiarize trainees with the scope of what information is identified as confidential by WIC.

Slide 4	<p>DEFINITION OF CONFIDENTIALITY</p> <p>Information collected by local WIC agencies about a specific WIC vendor or participant is confidential information and cannot be provided to anyone not directly connected with the administration or enforcement of the WIC program.</p> <p>Full text available at 7 C.F.R. 246.26(d) and (e)</p>	<p>ASK: Who will read this definition for us?</p> <p>SAY: This is a condensed version of what regulations say about disclosure of confidential information. In a few minutes we'll discuss confidential vendor information specifically.</p>
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Slide 5	<p>VENDOR REQUIREMENTS</p> <p>WIC Vendor Agreement Article II: Vendor Responsibilities, Rule 4</p> <p><i>(c) Keep the identity of the participant confidential. Vendors shall not require participants to provide any personal information other than the participant's WIC Identification/Authorization Folder in the process of exchanging food instruments for supplemental food items.</i></p>	<p>SAY: You may not know this, but WIC authorized vendors are expected to protect participant confidentiality, too. They must sign a WIC Vendor Agreement which specifically requires them to keep the identity of the WIC participant confidential. When a participant is buying their WIC foods, the only identification source the vendor can require is the signature on the WIF; this is why it is very important that the participant and their alternate sign the folder BEFORE they go shopping and get to the cash register.</p> <p><u>Facilitator Note:</u> In State Vendor Training, the vendors are told they cannot ask the participant or alternate to sign the WIF. They have to go by what they see if the WIF is presented to them with no signature.</p>
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Slide 6

ACTIVITY
IDENTIFY CONFIDENTIAL INFORMATION

SAY: For this activity, we will take a look at some information and decide whether or not we think it is considered confidential.

Slide 7

HANDOUT

Information: Confidential or Not?		
Information	Confidential	Not
Applicant or Participant Name		
Applicant or Participant Address		
Applicant or Participant Work Cell/Station		
Participant Medical Information		
Employment as a WIC Participant		
WIC Employee Name		
WIC Employee Social Security Number		
WIC Staff Employment History		
WIC Employee Work Telephone Number		
Store Name		
Store Address		
Store Telephone Number		
Store Website or Email Address		
Publication Dates		
WIC Technical Assistance Records		

SAY: In your workbook, please turn to page 4. For the next 3 minutes, go through the list and mark whether or not you think each item is considered confidential by WIC.

Allow time to complete the activity.

SAY: Now we can go through each item and find out which are confidential and which are not.

Facilitator Note: Either have each individual do this activity on their own; or it can be a table exercise; or go through each item altogether and discuss as you go along.

Slide 8

APPLICANT AND PARTICIPANT INFORMATION THAT IS CONFIDENTIAL...

Anything that individually identifies an applicant or participant and/or family member(s).

SAY: That activity was interesting. Now let's review what qualifies as confidential information, starting with applicants and participants.

Slide 9

WIC EMPLOYEE INFORMATION THAT IS NOT CONFIDENTIAL...

- Employee Name
- Employee Work Telephone Number

SAY: Employee name and work phone number are a matter of public record. However, our local agency has specific protocols about how we share this information.

ASK: Who will tell us what our internal policy is for sharing staff names and work phone numbers?

Facilitator Note: Find out ahead of time what the local agency policy is for sharing staff names and contact phone number so you can confirm what is said, or share the information if no one volunteers.

Slide 10

VENDOR INFORMATION THAT IS NOT CONFIDENTIAL...

- Vendor's Name
- Store Name
- Store Address
- Store Telephone Number
- Store Website or Email Address
- Authorization Status

SAY: Most vendor information is not confidential because they are a business and they want the public to know about their store and how to find it. This information is public record, available to anyone. By "authorization status" that only means, is the vendor authorized to accept WIC or not? This is not a secret; the information is posted on the WIC website as the *List of Authorized Vendors*.

Slide 11



SAY: Please tell me what questions you have?

Facilitator's Note: Answer questions when you get them, or have trainees write them on post-its and put them in a "parking lot" so you can follow-up after the training.

BREAK TIME

SAY: Let's take a 10 minute break and be back to start again at (state specific time).

4. Location and Appropriate Disposal of Confidential Information **15 minutes**

Purpose: Encourage trainees to think about the many different ways they come into contact with confidential information throughout the day, how it should be secured and the proper disposal.

Slide 12

WHERE DO YOU FIND CONFIDENTIAL INFORMATION?

- Paperwork on file
- Notes
- Email
- ISIS
- WIC materials



ASK: Please call out where you think you would find confidential information in your office.

Slide is animated, so click mouse or forward directional arrow key to advance each example item.

Paperwork on file: old email or reports tucked away in filing cabinet.
 Notes: something hardcopy from talking with a participant or vendor.
 Email: print-outs or visible on your computer screen.
 ISIS: print-outs or visible on your computer screen.
 WIC materials: voided FIs or Report Concerning Vendors form (complaint).

Slide 13

LOCAL AGENCY REQUIREMENTS

Paper Documents

- Follow document security instructions in WPM 120-10, item VI.

Electronic Data

- CMB Chapter 2, I. Requirements, Section F. Information Technology and Technical Support Services

SAY: The WIC Program has requirements for the security and disposal of confidential information. The minimum requirements are listed in the WPM and the Contract Management Binder, but local agencies can be even stricter than this.

Paper documents that contain confidential information should not be left sitting out on a desk, and they must be locked away during non-working hours.
Electronic data has to meet minimum encryption standards and be stored so that it is safe from security threats like hacking.

Slide 14

PROPER DISPOSAL

Hardcopy

- × Shred and toss

Electronic*

- × Clean and sanitize hard drive

CD or flash drive*

- × Destroy and toss

* Responsibility of IT staff.



SAY: We have to follow office procedures for disposal of confidential information.

Slide is animated, so click mouse or forward directional arrow key to advance “Hardcopy” and “Electronic” subsets.

ASK: What are the procedures for storage and disposal of hardcopy that has confidential information?

PROBE FOR: Shred documents with confidential information and keep them secure by placing in a locked shred container or locked desk or file cabinet.

ASK: Who will tell us what the office protocol is for storage and disposal of electronic confidential information that is on the computer or saved to a flash drive?

PROBE FOR: IT staff are responsible for computer-related encryption and disposal of equipment and media storage. Work with IT staff if you need to dispose of a flash drive or CD that contains WIC information.

5. Putting It into Practice

30 minutes

Purpose: A chance for trainees to practice evaluating different situations to determine if there is a breach of confidentiality, and discuss the best way to handle each scenario.

Slide 15



SAY: Now let's practice looking at a couple of scenarios and deciding how to handle them.

Facilitator Note: Either have trainees discuss in a group at their table; or go through each scenario together and discuss as you go along.

Slide 16



INSTRUCT: You can follow along in your workbook, starting on page 5.

SAY: Scenario #1: A participant's WIC ID Folder is falling apart and she asks for a replacement. The old one is then thrown in the garbage. Is this acceptable? Why or why not?

Facilitator Note: If working in table groups, ask trainees to brainstorm how they would handle the situation.

Slide 17

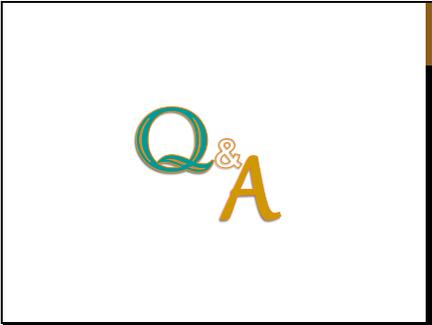


SAY: Scenario #2: After a participant presents her WIC ID Folder (WIF) to the cashier, the cashier stops to yell out to the long line waiting that this customer will take a while because it is WIC. Is this acceptable? Why or why not?

Facilitator Note: If working in table groups, ask trainees to brainstorm how they would handle the situation.

<p>Slide 18</p>	<p>SCENARIO #3</p> 	<p>SAY: Scenario #3: A participant calls the WIC clinic and says she is out of town visiting family. She asks if she can shop for WIC food at a store called “Mo & Jo’s Super Saver Market” down the street from her aunt’s house. How will you answer this question? What information can you share?</p> <p><u>Facilitator Note:</u> If working in table groups, ask trainees to brainstorm how they would handle the situation.</p>
<p>Slide 19</p>	<p>SCENARIO #4</p> 	<p>SAY: Scenario #4: A participant leaves her WIC ID Folder (WIF) at the store. When the cashier tells the store manager, he calls the local agency using the information stamped on the WIF to let them know. Is this okay? Why or why not?</p> <p><u>Facilitator Note:</u> If working in table groups, ask trainees to brainstorm how they would handle the situation.</p>
<p>Slide 20</p>	<p>SCENARIO #5</p> 	<p>SAY: Scenario #5: A WIC authorized vendor calls the local agency asking for his LVL’s contact information. How do you respond? Why?</p> <p><u>Facilitator Note:</u> If working in table groups, ask trainees to brainstorm how they would handle the situation.</p>

Slide 21



SAY: Today we have talked about what WIC information is considered confidential, and how to avoid sharing that confidential accidentally. The scenarios we discussed in the last activity gave us a chance to practice deciding when we can share participant, vendor, or local agency staff information.

ASK: What are your questions about today's training?

5. Closing Remarks and Evaluation

10 minutes

Purpose: To end with direction on the appropriate contact if there are questions pertaining to WIC confidentiality; obtain evaluation information; and acknowledge trainees for completing the training.

Slide 22



SAY: All WIC staff and authorized vendors are responsible for protecting confidential information. If you have questions about confidentiality, please talk to your supervisor.

THANK trainees for their participation.

INSTRUCT trainees to tear off and complete the training evaluation at the back of their workbooks.

Activity 1 – Answers

Information: Confidential or Not?

Information	Confidential	Not
Applicant or Participant Name	x	
Applicant or Participant Address	x	
Applicant or Participant Medi-Cal Status	x	
Participant Medical information	x	
Enrollment as a WIC Participant	x	
WIC Employee Name		x
WIC Employee Social Security Number	x	
WIC Staff Employment History	x	
WIC Employee Work Telephone Number		x
Store Name		x
Store Address		x
Store Telephone Number		x
Store Website or Email Address		x
Authorization Status		x
LVL Technical Assistance Results	x	

Activity 2

Putting It into Practice

Instructions: Depending on your preference, or the size of your group, you can let a discussion about the scenarios and engage everyone to participate, or you can ask the trainees to break into table groups. The trainees will practice deciding if the scenario is a breach of WIC confidential information and why or why not.

Scenario 1:

1. The WIC ID Folder (WIF) identifies the participant and may contain other WIC documents that include participant information. Tossing this WIF in the trash is considered a breach of confidentiality.
2. All WIC confidential paper information must be shredded. This includes, for example:
 - a. Appointment notices
 - b. ID folders
 - c. Referrals
 - d. Incomplete forms
3. Staff must follow, at a minimum, the security requirements listed in the WIC Program Manual (WPM) *Section 120-10, Access to and Security of Confidential Information*.

Policy: The local agency is required to protect the confidentiality of its employees, applicants and participants by preventing the unauthorized disclosure of their personal information.

4. Discuss any additional security protocol for your local agency.

Scenario 2:

1. It is not acceptable for a WIC authorized vendor or their employee to share the identity of a WIC participant, and they must treat WIC shoppers with the same respect as all other shoppers.
2. Vendors must follow the requirements listed in the *WIC Vendor Agreement* (contract with WIC) “Vendor Responsibilities” section.

Rule 4(c): Keep the identity of the participant confidential...

Rule 6(a): Provide to participants during food instrument transactions the same courtesies extended to other customers...

Scenario 3:

1. It is okay to provide participants with vendor authorization and location information, so local agency staff are allowed to tell the participant whether or not Mo & Jo's Super Saver Market is WIC authorized.
2. Inform the participant that there is a *List of Authorized Vendors* on the WIC website and anyone can access the list and search for specific information such as one particular vendor, or all the vendors in a particular city or zip code.
3. The *List of Authorized Vendors* on the WIC website is updated weekly, and the only way to be sure a vendor is authorized is to confirm that they are on the listing posted at the same time you need the information.

Scenario 4:

1. It is okay for the vendor to identify the WIC participant to the local agency because when they are WIC authorized, they play a role in the administration of the WIC Program that allows them access to the following select participant information.
 - a. Participant Name
 - b. Alternate Name
 - c. WIC Local Agency that issued the WIF
2. The vendor has contact information only for the local agency that issued the WIF, it is appropriate for them to try and return the forgotten/lost WIF (which might contain food instruments or other confidential information) by notifying the local agency so it can be returned to the participant quickly.
3. When they come into possession of lost/forgotten WIC ID Folders or food instruments, vendors should immediately notify the WIC local agency indicated on the WIF. If for some reason there is no local agency indicated on the WIF, the vendor can contact their LVL or the State WIC Office at 1-888-WIC-WORKS or 1-888-942-9675.

Scenario 5:

1. Although employee name and work phone number are available to the public, response to this request depends on the local agency's internal procedures.
 - a. Provide Primary LVL contact information; or
 - b. Connect the vendor directly to the Primary LVL; or
 - c. Take a message and assure the vendor it will be given to the Primary LVL who will return the call.