

Pre-Visit Worksheet

State Staff Sign-Off		
Role	Staff Name & Signed Initials	Date
Financial Specialist		
Vendor Services		
Integrity		
Breastfeeding Coordinator		
Civil Rights		
Nutrition Coordinator		
Outreach Coordinator		
Information Technology (IT) Specialist		
State Director		

Agency Name: _____ Date of On-site Visit: _____ Monitoring Staff: _____

Grants Received (separate forms for monitoring must be completed): FMNP BFPCP

Participation (most recent funding formula): _____ Agency Size: Small Medium Large

Lead Local Agency Information			
Address (physical):			
Agency Director:			
Main Clinic Days Open:		Hours:	
Staff (list all names and roles):			
Satellite Clinics (If applicable)			
Location/address:			
Days Open:			
Office Hours:			
Staff (list all names and roles):			
Results from Previous Monitoring (attach score sheet and CAP)			
Date of Last Monitoring:	Tier: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/>		
Tier 2/3: Are self-chart reviews submitted on time? Y <input type="checkbox"/> N <input type="checkbox"/>	Tier 3: CAP Completion Verification Submitted? Y <input type="checkbox"/> N <input type="checkbox"/>		
Comments:			

Pre-Visit Finding Areas: _____
 Pre-Visit Discussion Areas: _____

Pre-Visit Worksheet

Contract/Fiscal Compliance (Financial Specialist)

Contracts	Yes	No	Comments
Are current signed satellite or sub-contracts on file and submitted in a timely manner?	<input type="checkbox"/>	<input type="checkbox"/>	
Are Services Contracts or Task Orders Submitted on time?	<input type="checkbox"/>	<input type="checkbox"/>	

Expenditure Reports Reviewed (list month(s)/year(s)): _____

Expenditure Report Review	Yes	No	Comments
Has all back-up documentation been received?	<input type="checkbox"/>	<input type="checkbox"/>	
Are expenditure reports submitted on time in accordance with executed contract?	<input type="checkbox"/>	<input type="checkbox"/>	
Are expenditure reports accurate?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the payroll documents confirm the amounts listed in the expenditure reports?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there any line item that is not accounted for with appropriate documentation?	<input type="checkbox"/>	<input type="checkbox"/>	
Are expenses accounted for in the correct fiscal year?	<input type="checkbox"/>	<input type="checkbox"/>	
Were there capital expenditures? Was it pre-approved by FNS?	<input type="checkbox"/>	<input type="checkbox"/>	
Were all expenses reasonable, necessary and actual to the MT WIC program?	<input type="checkbox"/>	<input type="checkbox"/>	

WIC Financial Questionnaire Received (date): _____ Complete: Y N

Comments: _____

Finding: Discussion Topic:

Timestudy (Financial Specialist)

Are local agency staff submitting on time? Y N

Comments: _____

Finding: Discussion Topic:

Pre-Visit Worksheet

Integrity

Separation of Duties (SOD)

Is the Local Agency in compliance with SOD policy? Y N

Have there been any concerns related to SOD audits since the last monitoring? Y N

Comments: _____

Over-issuance

Has this Local Agency had any instances of over-issuance during this period? Y N

Was the Agency required to repay the State Office? Y N Received within 30 days: Y N

Comments: _____

Finding: Discussion Topic:

Local Agency Clinic Roles- Assessment

Nutrition Coordinator:

Comments: _____

Breastfeeding Coordinator:

Comments: _____

Local Agency Retail Coordinator:

Comments: _____

Finding: Discussion Topic:

State Office Compliance Checks (Nutrition Services)

Has the local agency shown improvements in state-office compliance checks over the past 2 years?

Y N N/A

Comments: _____

Finding: Discussion Topic:

Pre-Visit Worksheet

Training (Nutrition Coordinator)

Staffing Ratio: Participant #'s: ____ Full Time Staff (> 20hrs/wk.): ____ Part Time Staff (<20 hrs./wk.): ____

Staff Roles: CPAs ____ Aides ____ Other ____

Ratio: (FTE/Participation #s): ____

Staff Training Form completed and submitted within 60 days for all new staff: Y N

New Employee Training completed for all new staff within 12 months: Y N

Continuing Education Credits completed by all staff annually: Y N

Annual Civil Rights Training completed: Y N

Comments: _____

Finding: Discussion Topic:

Complaints (Vendor Coordinator/Integrity)

Has the local agency received any program complaints since the last monitoring visit? Select one:

Retailer Complaints Participant Complaints No complaints

Were there any occurrence(s) of the local agency not responding/following up on complaints received since the last monitoring visit? __Yes __No

If there were occurrences of a participant committing the same type of WIC program violation, did the local agency provide the appropriate sanction? Yes No

Has the State Office received any complaints about the Local Agency since the last monitoring?

Yes (If yes, how many: _____) No

Comments: _____

Finding: Discussion Topic:

Nutrition/Breastfeeding- (Nutrition and Breastfeeding Coordinators)

Is the annual Nutrition and Breastfeeding Education Plan completed and submitted on time: Y N

Is the Plan appropriate to the Local Agency assessed needs and aligned with State goals and Objectives?

Y N

Comments: _____

Finding: Discussion Topic:

Pre-Visit Worksheet

Breast Pump Inventory (Breastfeeding Coordinator)

Are the *Breast Pump Log* and MIS inventory being used according to policy? Y N

Is the documentation of assessment for pump issuance according to policy? Y N

Is there a 3 day follow-up once a pump is issued? Y N

*Review at least 3 charts from pump log

HHID/Participant ID	Comments

Comments: _____

Finding: Discussion Topic:

Outreach (Outreach Coordinator)

Participation % change (increase vs. decrease since last monitoring): _____

Outreach Plan/Log Reviewed: Yes No

Outreach Plan Approved (including yearly newspaper published): Yes No

Outreach to target population met: Yes No

Local Agency Website reviewed: Yes No

Comments: _____

Finding: Discussion Topic:

Information Technology- IT Specialist

Network: Off On

IT equipment survey was returned, and inventory was updated: Yes No

Comments: _____

Finding: Discussion Topic: