Check _____ | Letter CB Plan | n/a | Scan CB Ltr__ Upload SPIRIT | n/a | Pic Event Log

Vendor Compliance Determination Form

Vendor Information

Type of Store Supermarket (Peer A) ☐ Convenience Store (Peer C) ☐

Store Name: _____ **City:** _____ **Vendor No** _____

Type of investigation: ☐ Compliance Buy ☐ Inventory Audit ☐ Monitoring ☐ Other: _____

Compliance date: _____ Initial Compliance date (open): _____ Buy Number: _____

Store History

Date of last Compliance investigation: _____ Type: ☐ Compliance Buy ☐ Inventory Audit ☐ Monitoring ☐ Other

Date of last Training received: _____ ☐ New ☐ Interactive ☐ Special _____

Average monthly dollar Volume: $ _____ High risk vendor: ☐Yes ☐No

Prior Violation/Sanction points: ☐Yes ☐No Existing amount of Sanction Points: _____

Prior WIC/SNAP disqualification: ☐Yes ☐No

Other: _____

Violations

	Length of disqualification	Violations found
1. Class I Violations:		
1.1. Conviction of trafficking vouchers/ selling ammunition, ECT. / controlled substances in exchange for WIC FIs	Permanent	Yes
1.2. One incident of trafficking	six (6) years	Yes
1.3. One incident of the sale of alcohol, or tobacco products in exchange for WIC FIs.	three (3) years	Yes
2. Class II Violations:		
2.1. Claiming reimbursement for the sale of any WIC item that exceeds the store's documented inventory within specific timeframe	three (3) years	Yes
2.2. Two or more incidents of intentionally or unintentionally charging the State more for WIC foods than is permitted	three (3) years	Yes
2.3. Two or more incidents of WIC FIs received , transacted, or redeemed from outside of the authorized store location	three (3) years	Yes
2.4. Two or more incidents of charging for WIC foods not received by customer	three (3) years	Yes
2.5. Two or more incidents of providing credit or non food item(s) for WIC FIs	three (3) years	Yes
2.6. Two or more incidents of providing unauthorized foods and/or charging for foods in excess of foods listed on WIC FIs	one (1) year	Yes

3. Class III Violations: Under sanction points	Points	Findings:
3.1. Contacting participant to recoup funds not reimbursed by WIC	10	Yes
3.2. Improperly refusing to accept a WIC FIs from WIC Participant	10	Yes
3.3. First incident of WIC FIs received , transacted, or redeemed from outside of the authorized store location	7	Yes
3.4. Altering information on a WIC FIs	7	Yes
3.5. Failure to submit information documentation within timeframe specified	5	Yes
3.6. Selling out-of-date WIC foods	5	Yes
3.7. Failure to maintain minimum stock of WIC foods	5	Yes
3.8. Accepting or requiring signature on FIs without the purchase price filled in	5	Yes
3.9. Failure to request WIC ID Folder from participant and to verify signature	5	Yes
3.10. Charging sales tax on WIC purchase	5	Yes

Continue Class III Violations: Under sanction points	**Points**	**Findings:**
3.11. Obtaining/using WIC vendor stamps from sources other than the State Agency	3	Yes
3.12. Accepting WIC FIs that appear to be altered	3	Yes
3.13. Failure to have participant enter purchase price on WIC FIs during transaction	3	Yes
3.14. Requiring participants to purchase all foods listed on WIC FIs	3	Yes
3.15. Failure to provide an itemized receipt for WIC foods	3	Yes
3.16. First incident of charging the State more for authorized WIC foods	5	Yes
3.17. First incident of charging for WIC foods not purchased	5	Yes
3.18. First incident of providing credit or non-food items on a WIC FIs	5	Yes
3.19. First incident of providing unauthorized foods on a WIC FIs including charging for foods purchased in excess of foods listed on WIC FIs	5	Yes
3.20. Failure to train all staff and store representatives	5	Yes
3.21. Charging WIC for the Maine Bottle Bill deposits	3	Yes
3.22. Requiring WIC participants to buy specific brands when not stated on FI or Food List	3	Yes
3.23. Substituting or allow substitution of one WIC food for another WIC food	5	Yes
3.24. Requiring participants to make a cash purchase	7	Yes
3.25 Failing to maintain a WIC Accepted Here sticker on primary entrance	3	Yes
a. SNAP disqualified	DQ	Yes
b. SNAP Civil money penalty for hardship	DQ	Yes
c. NH assessed mandatory sanction	DQ	☐Yes

6. Termination of Agreement:	**Findings:**
6.1. Failure to stock any WIC-approved items in three or more of the WIC-approved food categories.	Yes
6.2. Failure to attend mandatory vendor training	Yes
6.3. Nonpayment of a claim for documented overcharges to the Maine CDC WIC Nutrition Program.	Yes
6.4. Intentionally providing false information in the vendor application or price survey.	Yes
6.5. Failure to allow monitoring and inspection of the store premises and procedures to ensure compliance with the agreement and state and federal WIC Program rules, regulations, and policies. Monitoring and inspection includes, but is not limited to, allowance of access to WIC FIs/CVVs negotiated the day of monitoring, access to shelf price records and any other vendor records pertinent to the purchase of WIC supplemental food items.	Yes
6.6. Failure to maintain inventory records used for federal tax reporting purposes; to maintain records in accordance with generally accepted accounting procedures; and to assure that records reflecting justification and receipt of WIC funds, FIs/CVVs and all other program-related records of the Vendor are available for inspection or audit by federal, state or other authorized personnel.	Yes
6.7. Failure to cooperate with federal and state WIC Program and other authorized personnel during announced and unannounced on-site vendor reviews, inspections and audits.	Yes
6.8. Failure to provide the Maine CDC WIC Nutrition Program with purchase invoices from wholesalers or receipts for WIC-approved products purchased from other retailers, when requested.	Yes
6.9. Failure to maintain compliance with vendor selection criteria, including changes to selection criteria made during the Vendor Agreement period.	Yes
6.10. Failure to train all staff who handles WIC transactions and ensuring their knowledge regarding Maine CDC WIC Nutrition Program procedures and requirements.	Yes
6.11. Failure to meet minimum redemption requirements (no less than an average of 15 WIC FIs/CVVs or an average of $200.00 in value of WIC FIs/CVVs redeemed per month averaged over the previous 12 months). The Maine CDC WIC Nutrition Program will consider a reapplication prior to the end of the termination period if circumstances that caused the failure to meet minimum redemption requirements have changed.	Yes

6.12. The Vendor's prices have increased over the prices submitted in the Vendor's application or the most recent price list submitted, and such increase is not due to the inflation rate and/or other legitimate factors. If, within the fifteen (15) days, the Vendor can demonstrate that the prices have been lowered so as to not exceed the MRP established for the Vendor's assigned peer group, termination will not occur. Yes

6.13. The Vendor is disqualified for any reason. Yes

Other: _____ Yes

S. Satisfactory / No Findings Yes

Points Assessed: _____

Processor

_____ _____

WIC Nutrition Program Representative Signature Date

Determination:

Send letter after initial compliance: ☐ Yes ☐ No

If No, how would notice of first incident of violation compromise the investigation?

☐ Exposes the shopper identification when anonymity is important to this investigation

☐ Intentional conduct indicative of fraud; warning would not serve the function of correction of inadvertent error, but would allow this vendor to possibly escape sanction.

☐ Other: _____

_____

_____

Send letter for : Warning ☐ Violation(s), & **Total Points** _____ ☐ Inventory Audit

☐ In Compliance ☐ Termination of Agreement

Additional investigations scheduled? ☐ Yes ☐ No– Close Case / Complete

Proceed with: ☐ Compliance Buy

❍ Safe – Buy check description

❍ Short – Buy less than check description

❍ Exceed– purchase WIC foods in excess of food listed on check

❍ Exchange- WIC food for another type of WIC food not on check

❍ Minor Substitution- attempt to buy non-WIC foods

❍ Major Substitution – attempt to buy alcohol, or tobacco products

❍ Cash, credit or non food item(s)– Get cash , credit or non food item(s)

❍ Trafficking - purchase of firearms, ammunition, explosives, or controlled substances

☐ Inventory Audit

☐ Monitoring F/U ❍ Call ❍ Letter/ e-mail ❍ Inventory Monitoring Visit

☐ Other: _____

Completed By

I, Tina Bernier, of the Maine CDC WIC Nutrition Program Vendor Unit have reviwed and agree with the above finding(s).

_____ _____

Tina Bernier, WIC Nutrition Program Vendor and Data Services Manager Signature Date