

**SECTION: Administration****SUBJECT: Local Agency Monitoring and Self-Assessment**

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**Federal Regulations:** 246.19(b)

**POLICY****Local Agency Monitoring**

All contracted WIC local agencies are monitored by the State agency every two years to evaluate compliance with both WIC Federal Regulations and Connecticut's Local Agency Policy and Procedures. During the bi-annual, unannounced, on-site visit, the State agency monitors review all program areas including nutrition services, breastfeeding promotion and support, program management administration, outreach, civil rights and customer service provision. Breastfeeding Peer Counseling services may also be reviewed during the bi-annual site visit.

**Self-Assessment**

In the off year when the local agency is not scheduled for a State agency monitoring review, the local agency program management staff must complete a comprehensive Self-Assessment. The purpose of the Self-Assessment is to ensure that quality nutrition services are maintained during the off-year review period. Local agency program management can identify potential areas of non-compliance and implement improvement before requiring more formal corrective action via a State mandated corrective action plan.

The Off-Year Self-Assessment must be conducted using the Certification and Nutrition Education and Program Operations (Administrative) monitoring tools used by State agency monitoring staff. This also includes documentation of management observations of Nutritionists, Nutrition Assistants/Aides and Program Assistants using the Clinic Observation Tool. A one to two (1-2) page summary of the results of the Self-Assessment must be included in the Local Agency Program plan submission in that same year.

The Off Year Self-Assessment (OYSA) Summary required as part of the LAP should include a discussion of areas that were evaluated as part of the Self-Assessment related to the provision of nutrition services, breastfeeding promotion, and peer counseling services when applicable:

- Chart audit results
- Staff observations results
- Significant finding(s) and a plan of correction
- Benefit redemption

**Quality Assurance:****Chart Audits**

Chart audits must be conducted in accordance with the requirements outlined in the local agency contract (25 charts per quarter). Both the Nutrition Services Checklist and the Participant Electronic File and Benefits Review Checklist must be utilized as part of the mandatory chart audit requirement.

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Other checklists available for ongoing quality assurance activities include the Special Formula Checklist and the Breastfeeding Peer Counseling Checklist.

## **Observations**

Local agency management staff should conduct periodic observations of nutrition and breastfeeding education sessions as part of on-going quality assurance activities. At minimum, observations should be conducted as part of the local agency Self-Assessment, using the Clinic Observation Tool. However, in most cases in order to effectively report on the measureable strategies in Local Agency Plan, staff observations should be ongoing. Additionally, observations of program assistants are required to ensure appropriate customer service is provided, program overview and program integrity topics are discussed, and they are in compliance eligibility verification and documentation processes. For agencies with a Breastfeeding Peer Counseling Program, the Breastfeeding Peer Counseling Observation tool should be utilized to periodically evaluate Peer Counseling services.