

North Carolina Protocol for WIC Program Monitoring of Local Agencies*(Monitoring cycle is for Federal Fiscal Year – October 1, 2026 through September 30, 2027)*

All correspondence to and from the local agency (LA) and monitoring documentation is filed in the LA's monitoring folder on the CNSS share drive.

If there are travel restrictions imposed on state staff due to budgetary concerns, the remote operation of the onsite monitoring protocol will require incorporation of digital review and communication with minimal impact to methods of review incorporation in the NC WIC Program monitoring tool.

Community Nutrition Services Section (CNSS) Tasks**CNSS Preparation for LA Monitoring**

Annually, prior to the start of the federal fiscal year:	The Lead Regional Nutrition Consultant (RNC) prepares a schedule of onsite monitoring reviews. The schedule identifies the local agency (LA), the month of the review, and the review team. (Typically, the review team consists of the LA's RNC and the assigned monitoring review partner(s).)
3 to 4 months prior to monitoring review:	Scheduling the Monitoring The RNC contacts the assigned monitoring review partner(s) and the local WIC Director to confirm monitoring dates and times, site(s) to be visited, and how the monitoring will be conducted. The number of sites to monitor must be at least 20% of all full-time sites in the local agency. Unless designated on the schedule, the review team negotiates nutrition services vs. administrative services review responsibilities. The RNC updates the working monitoring schedule with dates to include specific dates of the monitoring review, saving in share drive folder: S:\NSB\LocalAgs\Monitoring\WIC\Schedule\FFY26-27.
2 months prior to the start of the monitoring review:	Monitoring Packets The WIC Nutrition Services Unit (WNSU) Administrative Specialist II creates a monitoring folder per FFY within the LA folder on the share drive. Within the monitoring folder, sub-folders "Reports" and "Working Papers" are also created. In coordination with the Policy Team, the WNSU Administrative Specialist II prepares the following CNSS reports and places them in the "Reports" sub-folder: ▪ Formula Orders Received by Agencies ▪ Vendor Monitoring Status Report ▪ List of Authorized Vendors Within the SharePoint DHHS Document Center folder WIC Onsite Monitoring> _Monitoring Tools (Monitoring Tools)> FFY20XX, the RNC creates and saves a monitoring tool (excel) for the specific local agency review following the naming: "<<Local Agency Name>>_<<FFY20XX>>_WIC Monitoring Tool>>". The RNC sends invitation via email to all co-reviewers to access and edit (check permissions) the excel tool through SharePoint. The RNC also creates a shortcut link to the SharePoint tool within the share drive folder for the local agency monitoring review. The Administrative Specialist II emails the monitoring review team (cc WIC Policy & Quality Assurance Team Lead or designee and Lead RNC) to notify per: availability of reports, WIC Program Digital Monitoring Tool link and Local Agency Monitoring Documentation Checklist (pdf), and a list of reports for CNSS staff to run. These include:

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	▪ Random Listing of Participants Report Women ▪ Random Listing of Participants Report Infants ▪ Random Listing of Participants Report Children ▪ Random Listing of Participants Report Exempt Formula/WEN ▪ Detail Initial Certification Appointments Made Outside of Processing Standards
4 to 6 weeks prior to the start of monitoring review:	Intro Letter The RNC prepares and emails a 'WIC Intro Letter' to the Health Director of the LA with cc to the WIC Director, WIC Director's supervisor, other review team members, WIC Nutrition Services Unit Manager, and RNC Team Lead. The template for this letter includes the 'Items Requested for WIC Program Monitoring'. Attachments are individualized for the agency's review. LA is instructed to upload requested items into the SharePoint folder created for that purpose: DHHS Document Center folder WIC Onsite Monitoring><RNC's Region> <LA Name>. RNC ensures access to appropriate individuals (i.e, WIC Director, monitoring partner, etc.).
At least 15 business days prior to start of the monitoring review:	Preliminary Activities The review team receives requested information from the LA. The Nutrition Services review team member reviews: ▪ Assigned locally developed policies and procedures ▪ A minimum of 15 records (5 women, 5 infants, 5 children) with at least 5 records from the Random Listing of Participants Report Exempt Formula/WEN report. ▪ A minimum of 2 multi-user electronic pump participant records. ▪ A minimum of 3 single-user breastfeeding supplies participant records. ▪ A minimum of 5 BFPC records. The Administrative Services review team member reviews: ▪ Assigned locally developed policies and procedures. ▪ Detail Initial Certification Appointments Made Outside of Processing Standards report.
Final week prior to the start of the monitoring review:	Final Week Prior to the Review The review team receives additional requested information from LA as listed in the 'Items Requested for WIC Program Monitoring' document. ▪ Administrative Services review team member: Area of Reviews 1-8. ▪ Nutrition Services review team member: Areas of Review 9-12. Review team members have the option to schedule individual calls with LA staff to complete review areas that include interviewing staff as the method of review.
LA Monitoring On-Site Tasks/Activities	
Entrance conference with LA staff: (optional)	The RNC (review team lead) schedules a conference before the review begins to introduce the review team members to LA staff and provide an overview of the monitoring process and activities.
Monitoring:	Reviewers complete all areas of the digital monitoring tool and appendices using staff interviews, submitted documents, and other means as able. This takes place onsite during the scheduled visit and typically lasts two to three days.

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Team Member Conference:	After completion of monitoring activities but before the exit conference with LA staff, review team members meet to compare and coordinate findings from their respective review areas.
Exit conference with LA staff:	The RNC arranges and leads discussion in an in-person meeting, phone call, or video conference, with each reviewer reporting the findings of their review areas. The Health Director, WIC Director, designees, and other staff identified by the WIC Director should/may attend. Ideally, the exit conference occurs onsite after completion of the review but can take place on-site or remotely within the week following completion of the review.

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Report of Findings (State Agency has 30 days to report to Local Agency)		
Within 10 days of completing the monitoring review:	All review team members save their working papers in the 'Working Papers' folder under the local agency monitoring folder on the share drive following the naming: "<<Agency>>_FFY26_<<Review Section>>_<<Reviewer Initials>>". Working papers include at a minimum the completed assigned section of the tool plus appendices and exclude blank pages. Review team members collaborate and draft a monitoring report, ensuring NO confidential or personally identifiable information is included.	
Within 30 days of completing the monitoring review:	If there are findings, the RNC finalizes the WIC Monitoring Report, including strengths and suggestions, and emails the report to the LA Health Director , cc the WIC Director, WIC Director's supervisor, other review team members, and WIC Nutrition Services Unit Manager with a ' <i>WIC Report Cover Letter</i> ', specifying the LA corrective action plan (CAP) due date (30 days from the date of the letter). If there are no findings, the WIC Monitoring Report including strengths and suggestions and a ' <i>WIC Close-out Letter</i> ' are emailed to the LA Health Director, cc the WIC Director, WIC Director's supervisor, other review team members, and WIC Nutrition Services Unit Manager. (See final step of the protocol.)	
LA Corrective Action Plan (CAP) (The Local Agency has 30 days to respond with a Corrective Action Plan and then, the State Agency has 20 days to accept the CAP or request a CAP revision.)		
By the CAP due date:	The LA WIC Director emails a written CAP, sharing with each member of the review team.	
After CAP receipt:	Within 20 days of receiving the CAP	Review team reviews the CAP and the RNC leads team discussion on content. If CAP is acceptable, the RNC emails a CAP Acceptance letter to the LA Health Director cc the WIC Director, WIC Director's supervisor, other review team members, and WIC Nutrition Services Unit Manager. If CAP is not acceptable, the RNC leads discussion with the LA WIC Director, outlining clarifications/additional information required in a revised CAP due 15 days from the date of the discussion. The RNC emails the LA Health Director cc the WIC Director, WIC Director's supervisor, other review team members, and WIC Nutrition Services Unit Manager, a ' <i>WIC CAP Revision Request Letter</i> '.
	Within 15 days of the discussion, a revised CAP is required.	The LA WIC Director emails the written revised CAP to each member of the review team.

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	Within 15 days of receiving a revised CAP	The review team reviews the revised CAP and the RNC leads team discussion on content. If revised CAP is acceptable, the RNC emails a 'WIC CAP Acceptance Letter' to the LA Health Director, cc the WIC Director, WIC Director's supervisor, other review team members, and WIC Nutrition Services Unit Manager. If revised CAP is not acceptable, the RNC leads discussion with the LA WIC Director, outlining necessary clarifications/additional information. The RNC emails the LA Health Director cc the WIC Director, WIC Director's supervisor, other review team members, and WIC Nutrition Services Unit Manager another 'WIC CAP Revision Request Letter'.
Preparation for LASA	On the date of CAP acceptance letter	The RNC creates a LASA folder per next FFY within the LA folder on the share drive. Within this folder, a copy of the final Corrective Action Plan pdf, omitting cover letters with name: "LA Name_ Areas of Review_ month and year of LASA".
If a CAP or CAP revision is not received from the LA within the designated time frame, RNC calls LA to provide a verbal reminder and sends a follow-up letter to the LA with a response deadline of 10 days past date of letter.		
Follow-up on CAP Implementation & Monitoring Close-out (The State Agency has 6 months from monitoring event to assess CAP implementation.)		
Within 6 months of the date of monitoring review:	The RNC or review team lead assesses CAP implementation through a visit to the LA or a conference/video call with staff, and a review of CAP implementation documentation.	
Within 15 days of visit/call to assess CAP implementation:	If the CAP has been fully implemented, the RNC emails a 'WIC Close- out Letter' to LA Health Director cc the WIC Director, WIC Director's supervisor, other review team members, and WIC Nutrition Services Unit Manager. If CAP has <u>not</u> been fully implemented, RNC emails a letter to LA outlining CAP activities that have not been fully implemented, the date for a return RNC visit/call, and the LA actions to be completed by that date.	
Within 15 days of the date of the Close-out letter:	RNC creates a single pdf including the monitoring documentation checklist on top and all items contained therein following the naming "<<Agency name>>_FFY26_WIC Monitoring Packet." This document is the final monitoring packet. The final monitoring packet must be the only document visible at the folder level for the monitoring review. All other documents must be appropriately saved within sub-folders including but not limited to "Working Papers." RNC reviews local agency SharePoint folder to ensure there is a copy of necessary documents within the review folder on the share drive, then permanently removes items from local agency folder of the SharePoint Document Center. RNC emails notification of the complete monitoring file to the WIC Policy & Quality Assurance Team Lead and/or designee*, RNC Team Lead, and cc WNSU Manager indicating completion. *Current Designee: Mallory Smith, Mallory.Smith@dhhs.nc.gov Staff ensure there is no confidential or personally identifiable information included in monitoring packet.	

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CNSS Quality Assurance: Monitoring Packet Review	
Within 30 days from the close-out letter date:	WIC Policy & Quality Assurance Team Lead and/or designee reviews monitoring packet, initialing and dating the checklist upon completion, and saving following the naming “<<Agency name>>_FFY26_WIC Monitoring Packet_FINAL” Data for packet review entered on the tracking form for each FFY is located at: S:\NSB\Local Ags\Monitoring\WIC\WIC Program Review Tracking Forms.