

Chapter Five

Food Instrument Issuance and Accountability

Chapter Five

Food Instrument Issuance and Accountability

Overview

Policy

The Arizona WIC Program will operate a retail purchase food delivery system for all categories of participants.

The State Agency is responsible for the financial management of, and accountability for, the food delivery system under its jurisdiction.

The State Agency will maintain a uniform food delivery system and food instruments to be used by the Local Agencies within its jurisdiction. The State Agency will ensure that the program's supplemental foods are accessible to low-income individuals free of charge.

All contracts entered into by the State or Local Agencies for the management or operation of the food delivery system will conform to federal and state regulations.

The Arizona WIC Program uses the Arizona In Motion (AIM) automation system to print food instruments and cash value vouchers/cash value food instruments at Local Agency WIC clinics. In addition, the automation system produces reports related to certification and food delivery.

Beginning October 1, 2009, the Arizona WIC Program will begin issuing cash value vouchers/cash value food instruments for the purpose of allowing eligible participants to obtain authorized fruits and vegetables.

The Arizona WIC Program Policy and Procedure Manual shall be the authority which governs the operation of the Arizona WIC Program and those Local Agencies under its jurisdiction.

For all intents and purposes, the Arizona WIC Program Policy and Procedure Manual refers to all coupons, vouchers, checks, and electronic benefit transfers as food instruments, except where noted otherwise.

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Overview (Continued)

In This Chapter

This chapter is divided into fourteen (14) sections which detail food instrument types, food instrument issuance, food instrument security and accountability, mailing of food instruments, and AIM automation training manuals, and three (3) appendices.

Contents

Section	Title	Page Number
A	Single Signature Food Instrument	5-4
B	Frequency of Issuance	5-6
C	Food Instrument Issuance	5-8
D	Food Issuance Pickup/Redemption	5-10
E	Missed Appointments and Food Package Proration (Late Pickup)	5-11
F	Accountability for Food Instruments	5-12
G	Food Instrument Security	5-13
H	Questionable Food Instrument Issuance	5-15
I	Reconciliation and Auditing	5-16
J	Reconciliation and Auditing/Voided Food Instruments	5-17
K	Monitoring of Food Instruments	5-18
L	Lost/Stolen Food Instruments	5-19
M	Mailing of Food Instruments	5-22
N	AIM User's Training Manual	5-27
Appendix A	Food Instrument	5-28
Appendix B	Cash Value Voucher / Cash Value Food Instrument	5-32
Appendix C	Lost/Stolen Food Instrument Report	5-37
Appendix D	Perpetual FI Inventory Log	5-39
Index	Index	5-41

Chapter Five

Food Instrument Issuance and Accountability

Section A

Single Signature Food Instrument

Automated Food Instruments

- The Arizona In Motion (AIM) automation system produces a single signature food instrument (see examples, Appendix A and B) for Local Agency use.
- The AIM automated single signature food instruments are computer generated and contain all participant and food package information.

NOTE: The banking contractor produces a second food instrument type for use by the State Agency. These food instruments are used to replace rejected food instruments submitted by Vendors for second level review.

Continued on next page

Chapter Five

Food Instrument Issuance and Accountability

Section A

Single Signature Food Instrument

Signature

When a WIC participant is certified on the WIC Program, they or their authorized representative are required to sign documents using their normal signature. Their signature acknowledges that they accept and understand their responsibilities to participate in the program. Some of these documents include the Rights and Obligations, the WIC Identification (ID) folder or Proxy Certification form, and the Food Instrument (FI) itself when it is redeemed at an authorized WIC location.

The only exception to the “normal signature” requirement is when a participant only uses, or wants to use, initials. An initial is only acceptable if used for the first name and/or middle name. Last names must be signed. Samples of satisfactory signatures are shown below.

Acceptable Signatures	Unacceptable Signatures
<i>Paul J. Edwards</i>	PJE
P. James Edwards	PJE
<i>J. P. Edwards</i>	JPE
Paul Edwards	PE
<i>P. Edwards</i>	PE

NOTE: If a WIC participant/authorized representative or proxy is unable to sign their name, the “X” signature process can be used as described in this chapter, Section C Food Instrument Issuance.

Chapter Five

Food Instrument Issuance and Accountability

Section B

Frequency of Issuance

Policy

The State Agency will establish uniform procedures for food instrument issuance. The procedures will be detailed in the food instrument processing section of the AIM User's Training Manual.

Local Agencies will establish clinic schedules. Food instruments will be issued to participants/authorized representatives during these scheduled clinic hours.

Food instruments may be issued monthly, bi-monthly or tri-monthly, according to the participant's nutritional risk and needs.

When issuing food instruments, the Local Agency will follow the separation of duties procedures as outlined in Section F.

Early Issuance

To accommodate participant needs, food instruments may be issued early. Participants/authorized representatives will not redeem any food instrument before the "first date to use." Each food package is designed to supplement the nutritional needs of the participant for a 30-day period.

NOTE: The Vendor will not be paid if the food instrument is cashed before the "first date to use."

Continued on next page

Chapter Five

Food Instrument Issuance and Accountability

Section B

Frequency of Issuance (Continued)

Bi-Monthly and Tri-Monthly Issuance

Participants may be issued two (2) or three (3) sets of food instruments during one clinic visit. Bi-monthly or tri-monthly issuance diminishes barrier of service by allowing the client to come into the clinic less often, yet still receive quality care, as well as allowing an increase in caseloads without diminishing services.

Bi-monthly or tri-monthly issuance may be allowed for high-risk participants when the Local Agency has developed a written policy defining use. It will be at the discretion of the Local Agency Nutritionist, and should be based on review and dietary assessment of the individual, and development of the high-risk care plan that addresses the nutritional need of the participant.

- Current participation in a comprehensive prenatal or special needs service program,
- Serious medical condition that necessitates bed rest, limited mobility,
and
- Approval recommended by the agency's Registered Dietitian

Staff should consider limiting the number of months issued if there is reason to believe the family will be disqualified due to program violations or future custody of the child is uncertain.

Early Issuance of Bi-Monthly and Tri-Monthly

Issue bi-monthly or tri-monthly food instruments according to the instructions in the AIM User's Manual.

Local Agencies may place any food instruments which are issued early, into the envelope provided by the State Agency for that purpose. The "first date to use" and "the last date to use" should be noted on the envelope and the envelope should be sealed.

Chapter Five

Food Instrument Issuance and Accountability

Section C

Food Instrument Issuance

Procedures

On their assigned pick up day, participants/authorized representatives will be issued food instruments based on nutritional risk and dietary assessment, monthly, bi-monthly or tri-monthly.

At each clinic visit, Local Agency staff will document in the client's AIM automated record, the code number of the food package issued, and whether it is a single, bi-monthly or tri-monthly issuance.

At the clinic, participants/authorized representatives will sign the following, in ink:

- WIC ID folder/transfer card at certification or re-certification, as applicable,
and
- The food instrument signature page to acknowledge receipt of the food instrument(s). The signed signature page will be placed in the centralized file as established by the Local Agency.
- The local agency is required to have systems in place for obtaining the authorized representative's signature on the signature receipt if the staff forgets to obtain it at the time of food instrument issuance.

Mailing Food Instruments

Under certain conditions, food instruments can be mailed as outlined in Section M.

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Section C

Food Instrument Issuance (Continued)

Exception to Issuance

If the participant, authorized representative or proxy is unable to write their name:

- At the Local Agency – the person will mark “X” on the WIC ID folder/transfer card, or the Proxy Certification form and the food instrument signature page as applicable.
- The Local Agency staff member will verify the individual’s mark by writing “for (participant’s name) by (Local Agency staff member’s name)” and signing their own name,
and
- The Local Agency staff member will instruct the individual to repeat the above procedure at the store.
- At the store – The person will mark “X” in the signature box of the food instrument after the amount of the purchase has been entered. The cashier will verify the individual’s mark by writing “for (participant’s name) by (cashier’s name)” and signing their own name using the same procedure as the Local Agency (see example below).

NOTE: If a WIC participant/authorized representative or proxy is blind, the “X” signature process can be used.

NOTE: Failure to follow these procedures **exactly** will result in the Vendor not being paid for the foods on that specific food instrument.

Example “X” Signature

ARIZONA DEPARTMENT OF HEALTH SERVICES WIC PROGRAM 1740 WEST ADAMS, PHOENIX, ARIZONA 85007 NEED HELP? Mon - Fri, 8 AM - 3 PM, Call 1-800-925-WIC			MISUSE OF DRAFTS SUBJECT TO STATE OR FEDERAL PROSECUTION. VOID IF ALTERED		DRAFT # 6227690	JS-1248 Payable Through FSMC 919 AN AFFILIATE OF SECURITY STATE BANK HOWARD LAKE, MINNESOTA ACCT# 802070
AGENCY	CLINIC	PARTICIPANT ID	PARTICIPANT NAME	DRAFT TYPE		
08	59	0859000275	Kelly, Kim	001715AA		
18	OZ	(UP TO 18 OZ) PEANUT BUTTER		SAMPLE		
		OR				
1	LB	DRIED BEANS/PEAS/LENTILS				
3	CAN	(12 OZ FROZEN) WIC APPROVED 100% JUICE				
		OR				
3	CAN	(46 OZ) WIC APPROVED 100% JUICE				
3	GAL	WHOLE MILK				
1	LB	(UP TO 16 OZ) WIC APPROVED CHEESE				
1	DOZ	FRESH EGGS				
ACTUAL \$ AMOUNT \$ CORRECTION ONLY CASHIER INITIAL						
PAY TO THE ORDER OF:					LAST DATE TO USE 06/19/2002	
SIGNATURE AT STORE <i>X for Kim Kelly by Lisa James</i>					PARTICIPANT: DO NOT SIGN UNTIL TIME OF PURCHASE	
CASHIER: DO NOT ACCEPT IF ALREADY SIGNED. MUST MATCH SIGNATURE ON ID FOLDER.						

Chapter Five

Food Instrument Issuance and Accountability

Section D

Food Instrument Pickup/Redemption

Policy

Participants in the Arizona WIC Program are responsible for following program policies and procedures regarding food instruments. Refer to Chapter Two, Certification, Section K, WIC Rights and Obligations, Food Delivery System.

Procedures Training

When issuing food instruments to participants, Local Agency staff will provide training to participants/authorized representatives on program requirements to prevent program errors or abuse and to improve services:

- During the first visit of each certification period
and
 - When a violation of any program requirement is committed
and
 - As needed
-

Documentation

The following will be documented in the “Care Plan Follow-Up/Nutrition Education” field in the participant’s record in AIM:

- All training/education provided on WIC program Rights and Obligations and Rules and Regulations
 - Any violations committed by the participant/authorized representative
 - All actions taken
-

Chapter Five

Food Instrument Issuance and Accountability

Section E

Missed Appointments and Food Package Proration (Late Pickup)

Policy In order to serve the maximum number of eligible individuals, the Arizona WIC Program will serve participants who miss scheduled appointments.

Procedure If a participant/authorized representative cannot keep the original appointment, the Local Agency will make available another appointment within seven (7) calendar days of the request for a new appointment. A participant/authorized representative will receive the entire food package as long as the food instruments are within valid "use" dates. There will not be a prorating of the food package.

Chapter Five

Food Instrument Issuance and Accountability

Section F

Accountability for Food Instruments

Food Instrument and Security

Each Local Agency will submit their Policy and Procedures regarding food instrument security procedures by July 1 of each year. The procedures must state clearly who is responsible for food instrument security from the time the Local Agency receives their food instrument supply shipment until the food instruments are issued to the participant/authorized representative (See Separation of Duties below).

Management Evaluation

Food instrument issuance and security procedures will be assessed biennially during the Management Evaluations.

Separation of Duties

Local Agencies will separate staff duties pertaining to the following area of responsibilities:

- Participant certification and food instrument issuance
 - Food instrument stock control
-

Procedure

Local Agencies will designate one staff member to certify participants, and another staff member to issue food instruments.

Example: The CNW position would determine the participant's eligibility and prescribe food packages. The clerk position would issue the food instrument.

Local Agencies will designate one staff member to receive and inventory the food instrument stock, and another staff member to maintain the perpetual inventory of the food instrument stock.

Example: One staff member would receive food instrument stock shipments and perform the physical inventory of the food instrument stock. A different staff member would keep the perpetual inventory log.

Exception

In small or satellite clinics where only one person is staffing a clinic, separation of duties may not be possible. In this instance, Local Agencies will have written, state approved policies and procedures that establish quality assurance standards and a regular monitoring system.

Chapter Five

Food Instrument Issuance and Accountability

Section G

Food Instrument Security

Policy	Food instruments are negotiable instruments and must be handled with the same care given to cash.
Automation Contractor's Responsibilities	The automation contractor will generate and distribute consignment numbers to the Local Agencies.
State Agency Responsibilities	<p>The State Agency has contracted with Standard Register to maintain an inventory of AIM food instrument stock paper and MICR cartridges.</p> <p>The State Agency is responsible for approving the creation of local agency accounts which allows the designated staff person to order food instrument stock paper and MICR cartridges from Standard Register's website. The Local Agency is responsible for contacting the Program Integrity Manager to obtain a user name and password allowing access to the website. Standard Register will ship orders to the Local Agency via UPS.</p>
Local Agency Responsibilities	<p>Local Agency staff are responsible for ordering, distributing and maintaining an inventory of AIM supplies:</p> <ul style="list-style-type: none">• Food instrument stock paper• MICR printer cartridges <p>Maintaining an accurate inventory of these items:</p> <p>Assigned staff will receive the AIM supplies and must review the contents received to verify that the items have been received in good condition.</p> <p>Staff will sign and date the invoice or other shipping document from Standard Register. A copy of the invoice or shipping document must be kept on file by the Local Agency.</p> <p>Any discrepancies regarding the order must be reported immediately to a supervisor and noted on the form. The supervisor will call Standard Register and the Program Integrity unit at the State Agency to resolve any discrepancies.</p> <p>AIM supplies that are sent to the Local Agency will be added to the master inventory list and then stored in a locked area until they are transferred to a clinic.</p>

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Section G

Food Instrument and Security (Continued)

Transferring AIM Supplies Within Local Agencies

Each clinic will identify staff authorized to receive food instrument stock paper.

All supplies will be added to the master inventory for the clinic and stored in a locked area until used.

Local Agency Security

Each clinic will ensure that the food instrument stock paper and supplies are kept in a locked storage area whenever staff is not present in the clinic, including lunch, breaks and after hours.

Inventory Log

Required documentation in the inventory log will include the following:

- Date received from Standard Register
 - Contents of package verified
 - Date food instrument stock paper was distributed to the Local Agency clinic
 - Signature/initials of staff member who distributed/sent the food instrument stock paper to the clinic
-

Chapter Five

Food Instrument Issuance and Accountability

Section H

Questionable Food Instrument Issuance

Policy

The State Agency will ensure that all cashed food instruments are validly issued.

Procedures

Before any food instruments are printed, the participant must be certified and in a current certification period.

No manual food instruments are issued to participants.

Food instruments will be reconciled monthly against the AIM automated Food Instrument Issuance Report.

The AIM automation system will match all cashed food instruments to the Issuance Record. In the event that the system cannot identify a match, a report will be generated that will list all food instruments cashed, but not issued. The State Agency will review and research the information identified on this report monthly and will work with the Local Agency staff to ensure that a valid issuance record exists for each food instrument.

Chapter Five

Food Instrument Issuance and Accountability

Section I

Reconciliation and Auditing

AIM Automation System Capabilities

The AIM automated system will accurately document the disposition of all food instruments as issued, voided, redeemed or not cashed within 67 calendar days from the first date to use that is printed on the food instrument.

During the end of day process, the AIM automated system will void (as "Stale Dated") all food instruments that have not been cashed, 67 days past the first date of use that is printed on the food instrument.

Each Local Agency clinic is assigned food instrument serial numbers that are unique to that clinic, and are automatically assigned to each food instrument that is printed, to prevent duplication of food instruments.

NOTE: The AIM automation system is designed to prevent food instruments from being issued to individuals outside of a valid certification.

Chapter Five

Food Instrument Issuance and Accountability

Section J

Reconciliation and Auditing Voided Food Instruments

Voided Food Instruments

Food instruments that cannot be issued are to be voided by stamping "VOID" across the whole face, being reconciled by the supervisor, and then shredded.

Policy

Food instruments that are returned due to a change of food package, returned unused, invalid due to system errors, or cannot be issued, are to be voided and filed for reconciliation by the supervisor or a staff designated by the supervisor.

The local agency shall develop procedures if the staff responsible for completing the void reconciliation report also provides direct client services (i. e. certification, food instrument issuance). For example, if the clinic manager is responsible for completing the weekly void reconciliation report and, on occasion, issues food instruments to participants, an additional staff member should sign off on the void report to ensure separation of duties.

Procedure

Once the stamped, voided food instrument and serial number(s) are recorded as "voided" in the AIM automated system, the supervisor will reconcile the voided instrument(s) to the Food Instrument Issuance Report (found in AIM in Food Instruments under Outputs) at a minimum of once a week.

Reconciliation will be done as follows:

- Verify that the voided food instruments on hand match the voided food instruments on the report
 - If the manual void is not on hand, the following steps should be taken:
 - a. Look up the food instrument in AIM
 - b. Display the food instrument with voided date and print a Screen Shot of the food instrument
 - c. Ask staff that voided the food instrument if they know what happened
 - d. If necessary, contact client and ask if the food instrument was inadvertently given to them
 - e. If these voids are not tracked, accounted for or found, attach screen print to report
 - After the reconciliation is completed, the responsible staff will sign and date the report. The signed report will be maintained on file for review during Management Evaluations. The voided food instruments can then be shredded.
-

Chapter Five

Food Instrument Issuance and Accountability

Section K

Monitoring of Food Instruments

Policy

Food instrument security is a critical component of the Arizona WIC Program, and the ability to manage related supplies is imperative.

An accurate inventory must be maintained at all times. Perpetual and periodic physical inventories will be conducted monthly.

Food Instrument and Security Protocol

Each Local Agency will have a food instrument handling protocol, with appropriate inventory forms and records. The protocol will include a set of instructions for staff to follow in order to maintain food instrument security.

The protocol will clearly identify who is responsible for the security of food instruments from the time food instrument stock is received, until food instruments are printed and issued. The protocol also dictates how the issuance information is reviewed and stored.

Each Local Agency will ensure that the staff members who are responsible for issuing/voiding food instruments do not conduct the inventory by themselves.

The protocol will be incorporated into the Local Agency's Policy and Procedure Manual.

Chapter Five

Food Instrument Issuance and Accountability

Section L

Lost/Stolen Food Instruments

Policy Food instruments are to be treated the same as cash and will not be replaced when lost, stolen or destroyed.

Exception Food instruments lost in the mail can be replaced. Local Agencies will write procedures for replacing food instruments sent by certified mail that were later reported and verified to be lost in the mail.

The local agency can request an exception for an authorized representative by contacting the Program Integrity team for certain circumstances to include: house fires, repossessed vehicles, evictions, or recent entry into foster care (food instruments previously issued to a different authorized representative). The authorized representative will be required to provide supporting documentation, such as a police report or towing service receipt. The documentation does not guarantee an approval for reissuance but will be reviewed for consideration.

Procedures For Participant Participants/authorized representatives must immediately report the loss or theft of food instruments to the Local Agency.

They will advise the participant/authorized representative to notify the clinic if the food instruments are found and that they cannot redeem food instruments that have been reported lost or stolen. They must be replaced.

If it is established that the participant/authorized representative actually redeemed the food instrument(s) reported lost/stolen, the participant/authorized representative must be counseled and or disqualified.

If the food instrument(s) reported lost/stolen are redeemed by someone other than the participant/authorized representative, the Local Agency will report the information to the State Agency for follow-up action.

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Section L

Lost/Stolen Food Instruments (Continued)

Procedure for Staff

The Local Agency will immediately report the loss/theft to the state by faxing the Lost/Stolen Food Instrument Report form (see Appendix C) to the WIC Program Integrity Team at:
(602) 542-1890.

The following information must be provided:

- Whether the food instrument was lost or stolen (If lost, were they lost in the mail?)
- Date reported to the Local Agency
- Food instrument serial number(s)
- Participant's name and identification number
- Food instrument type(s)
- Action taken
and
- Other relevant information

The loss or theft of food instruments will be documented in the participant's AIM automation record in the notes box on the family information screen.

Food instruments that have been reported by the participant/authorized representative will not be voided as lost/stolen in the AIM automation system by the Local Agency.

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Section L

Lost / Stolen Food Instruments (Continued)

Procedures For Local Agency Loss of Stock Paper or Food Instruments

Local Agencies that lose food instrument stock paper, food instruments or have these items stolen will:

- Report the theft to the police
and
- Report in writing the loss/theft to the WIC Program Integrity Team at (602) 542-1890. All losses or thefts will be documented containing the following information:
 - Whether the food instruments were lost or stolen
 - Date noted by the Local Agency
 - Food instrument and serial number(s)
 - Food instrument and type(s)
 - Other relevant information

NOTE: The written report will be the official record of the loss/theft. If the lost/theft is reported by fax, the fax will be considered the official record.

Chapter Five

Food Instrument Issuance and Accountability

Section M

Mailing of Food Instruments

Policy

The Local Agency will have state approved policies and procedures in place before mailing food instruments.

The Local Agency may approve the mailing of food instruments when participants/authorized representatives are encountering extreme difficulties in personally obtaining food instruments

The Local Agency will maintain adequate documentation/inventory of all food instruments issued by certified mail and procedures for replacement of food instruments lost or stolen when sent by mail.

To ensure nutrition education, breastfeeding counseling and certification contacts, not more than three (3) sets of food instruments (one (1) set per mailing) will be mailed to a participant within six (6) months.

Early Issuance procedures will be followed.

Procedures

When the Local Agency approves the mailing of food instruments, staff will:

- Document the reason for mailing the food instruments in the participant's AIM automation record

Acceptable reasons include:

- Employment
 - Illness
 - Imminent childbirth
 - Inclement weather conditions
 - Lack of transportation
 - Physical disability preventing travel
 - Temporary power outages and other computer related problems in the clinic
-

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Section M

Mailing of Food Instruments (Continued)

Mailing Procedures

Local Agency staff will:

- Inform eligible WIC participants/authorized representatives that food instruments should be picked up at the Local Agency clinic, if at all possible. This is an effort to coordinate food delivery with nutrition education, breastfeeding counseling and other health services
- Notify the client that only three (3) sets of food instruments and (one (1) set per mailing) can be mailed to them within a six (6) month period
- Follow the Early Issuance procedures under the Food Instrument Issuance section of this chapter
- Document in the 'Care Plan Follow-Up/Nutrition Education' field in the participant's AIM record, the food instrument serial numbers, certified mail number, and the date the food instruments were mailed
- Document on the food instrument receipt that the food instruments were mailed. Include the date mailed and the initials of the person that mailed them
- File the "certified return receipt" in the Local Agency centralized file when received
- Develop procedures for replacing food instruments reported as not being received and not reported lost, which includes how many times replacements will be made. Document the reason certified mail was returned, and ensure reason was not caused by participant/authorized representative's negligence (i. e. , did not claim certified mail that was mailed to the correct address)

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Section M

Mailing of Food Instruments (Continued)

Mailing Procedures (Continued)

Local Agency staff will:

- Mail food instruments as follows:
 - Via certified mail
 - Restrict delivery to person(s) authorized to receive the food instruments
 - Return receipt requested
 - Place in an envelope which prevents the identification of the food instruments and is sturdy enough to hold multiple food instruments
 - Stamp clearly “DO NOT FORWARD – RETURN TO SENDER” on the front of the envelope
 - The return address will NOT identify the Local Agency or clinic as the sender
- Ensure security procedures for mailing food instruments, including:
 - Envelope preparation procedures (i. e. , a two party system where one staff member prepares envelopes and another reviews them prior to sealing and mailing)
 - Assign staff member(s) who will have access to the food instruments during the process
 - Transfer to postal authority which includes the following:
 - a. Assign staff member(s) who will be responsible
 - b. Identify how the food instruments will be carried (i. e. , mixed in with other mail)
 - Identify how the food instruments will be transported

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Section M

Mailing of Food Instruments (Continued)

Mailing Procedures (Continued)

Local Agency staff will:

- Maintain an accurate inventory and record of all mailed food instruments which includes:
 - Food instrument serial numbers mailed
 - Date mailed
 - Certified number
 - Participant and clinic name
 - Name of staff member who logged in certification information
 - Date "certified return receipt" (green card) was received and name of staff member who logged it in and date
 - Follow-up conducted on "certified return receipts" (green cards) not received
 - Date and name of staff member who conducted the follow-up
 - Disposition of food instruments – was "certified return receipt" (green card) located; certified mail was returned as undeliverable or food instruments were reported lost to state office?
 - Date and name of staff member who ensured the food instruments were located, correctly voided or reported as lost, and correctly documented on the food instrument signature page(s) and in the participant's record(s)

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Section M

Mailing of Food Instruments (Continued)

Mailing Procedures (Continued)

- Maintenance of accurate records of returned food instruments which documents:
 - Date food instruments were picked up
 - Certified number
 - Participant and clinic name
 - Who picked up food instruments
 - Date certified envelope was opened and by whom
 - Participant ID number (if applicable)
 - Sequential serial numbers of all food instruments in envelope
 - Date of disposition and status (returned to inventory or voided)
 - Who conducted disposition
- The disposition of returned certified mail food instruments will be conducted immediately. However, when impossible to do so, food instruments are to be stored in a locked storage area

Monitoring of Mailed Food Instruments

The Local Agency WIC Director will conduct monthly reviews of mailed food instrument security to monitor compliance with the Local Agency policies and procedures and maintain documentation of the reviews and findings that will be available at the Management Evaluations.

Chapter Five

Food Instrument Issuance and Accountability

Section N

AIM User's Training Manual

Policy

The AIM User's Training Manual procedures will be followed for:

- Generating automated food instruments
- Voiding food instruments
- Correcting data inaccurately input into the AIM system

NOTE: Local Agencies will keep their AIM User's Training Manual complete and up-to-date.

Chapter Five

Food Instrument Issuance and Accountability

Appendix A: Food Instrument

See Following Pages

Chapter Five Food Instrument Issuance and Accountability

Appendix A: Food Instrument

Example

 ARIZONA DEPARTMENT OF HEALTH SERVICES WIC PROGRAM 1740 WEST ADAMS, PHOENIX, ARIZONA 85007 NEED HELP? Mon. - Fri. 8 AM - 5 PM, Call 1-800-2525-WIC			MISUSE OF DRAFTS SUBJECT TO STATE OR FEDERAL PROSECUTION. VOID IF ALTERED		DRAFT # 31673955		75-1248 Payable Through FSMC. 919 AN AFFILIATE OF SECURITY STATE BANK HOWARD LAKE, MN 55349 ACCEL# 8033970	
AGENCY 10	CLINIC 15	PARTICIPANT ID 15100144777	PARTICIPANT NAME ARIZONA, AMBER	DRAFT TYPE 003062AA		VENDOR MUST DEPOSIT WITHIN 60 CALENDAR DAYS FROM FIRST DATE TO USE.		FIRST DATE TO USE 04/02/2009
18 OZ (UP TO 18 OZ) PEANUT BUTTER OR 1 LB DRIED BEANS/PEAS/LENTILS 1 GAL SKIM/NONFAT OR LOWFAT (1%) MILK (GALLON CONTAINERS ONLY) 1 LB (UP TO 16 OZ) WIC APPROVED CHEESE 1 DOZ FRESH EGGS (12 PACK CARTONS ONLY)						ACTUAL \$ AMOUNT \$ CORRECTION ONLY CASHIER INITIAL		LAST DATE TO USE 05/01/2009
						PAY TO THE ORDER OF:		
						\$ VOID <small>TAX EXEMPT SALE NOT TO EXCEED \$100.00</small>		VOID <small>NOT PAYABLE WITHOUT VENDOR ID STAMP</small>
PARTICIPANT: DO NOT SIGN UNTIL TIME OF PURCHASE								
SIGNATURE AT STORE:						VOID		
<small>CASHIER: DO NOT ACCEPT IF ALREADY SIGNED. MUST MATCH SIGNATURE ON ID FOLDER.</small>								

⑈0031673955⑈ ⑆091912482⑆ 802070⑈

Chapter Five

Food Instrument Issuance and Accountability

Appendix A: Food Instrument (Continued)

Front of Food Instrument

The food instrument issued to participants will provide the following information:

- Local Agency and clinic code
- Participant's identification number
- Participant's name
- Food instrument type code number
- Sequential serial number
- First date to use, date of use and last date to use
- Food authorized for purchase (quantity and brands)
- Maximum value of food instrument
- Space for the Vendor Identification Number
- Space for participant/authorized representative's signature in store

Use statements will be as follows:

- Need help? Mon. – Fri. 8:00 AM – 5:00 PM, Call 1-800-2525-WIC
- Misuse of drafts subject to State and Federal prosecution. Void if altered
- Vendor must deposit within 60 calendar days from first date to use
- \$ Correction only
- Cashier initials
- Tax exempt sale not to exceed \$200. 00
- Pay to the Order of
- Not payable without Vendor ID stamp
- Participant: Do not sign until time of purchase
- Cashier: Do not accept if already signed. Must match signature on ID folder *

**Initials are not acceptable*

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Appendix A: Food Instrument (Continued)

Back of Food Instrument / Endorsement Information

Information provided on the back:

- For deposit only by an authorized Arizona WIC Vendor in payment for the foods purchased on the front of this document
 - Vendor must deposit within sixty (60) calendar days from first date to use
 - Do not write, stamp or endorse below this line
-

Chapter Five

Food Instrument Issuance and Accountability

Appendix B:

Cash Value Voucher / Cash Value Food Instrument

See following pages

Chapter Five Food Instrument Issuance and Accountability

Appendix B: Cash Value Voucher / Cash Value Food Instrument (Continued)

Example

 ARIZONA DEPARTMENT OF HEALTH SERVICES WIC PROGRAM <small>1740 WEST ADAMS, PHOENIX, ARIZONA 85007 NEED HELP? Mon. - Fri. 9 AM - 5 PM, Call 1-800-2525-WIC</small>			MISUSE OF DRAFTS SUBJECT TO STATE OR FEDERAL PROSECUTION. VOID IF ALTERED		DRAFT # 29427537		75-1248 Payable Through FSMC. 919 AN AFFILIATE OF SECURITY STATE BANK HOWARD LAKE, MI 495349 ACCT # 802072	
AGENCY 10	CLINIC 11	PARTICIPANT ID 11100144781	PARTICIPANT NAME ARCHER, FRANCES V	DRAFT TYPE 003048AA		FIRST DATE TO USE 03/23/2009		DATE OF USE
REDEEMABLE AT AUTHORIZED FARMERS' MARKETS OR APPROVED WIC STORES UP TO \$8.00 FRESH VEGETABLES AND/OR FRUITS MAY PAY AMOUNT OVER VOUCHER VALUE AT SOME LOCATIONS						VENDOR MUST DEPOSIT WITHIN 60 CALENDAR DAYS FROM FIRST DATE TO USE.		LAST DATE TO USE 04/21/2009
ACTUAL \$ AMOUNT <small>\$ CORRECTION ONLY</small>				CASHIER INITIAL		PAY TO THE ORDER OF:		
\$ VOID <small>TAX EXEMPT SALE NOT TO EXCEED \$200.00</small>				VOID <small>NOT PAYABLE WITHOUT VENDOR ID STAMP</small>		PARTICIPANT: DO NOT SIGN UNTIL TIME OF PURCHASE		
SIGNATURE AT STORE:				VOID				
<small>CASHIER: DO NOT ACCEPT IF ALREADY SIGNED. MUST MATCH SIGNATURE ON ID FOLDER.</small>								

⑈0029427537⑈ ⑆091912482⑆ 802070⑈

Chapter Five

Food Instrument Issuance and Accountability

Appendix B: Cash Value Voucher / Cash Value Food Instrument (Continued)

**Front of Cash
Value Voucher /
Cash Value
Food Instrument**

The food instrument issued to participants will provide the following information:

- Local Agency and clinic code
- Participant's identification number
- Participant's name
- Food instrument type code number
- Sequential serial number
- First date to use, date of use and last date to use
- Food authorized for purchase (fresh vegetables and/or fruits**)
- Maximum value of food instrument (based on category, available in \$5. 00, \$6. 00, and \$8. 00 denominations*)
- Space for the Vendor Identification Number
- Space for participant/authorized representative's signature in store

**The cash value voucher/cash value food instrument is only valid up to the dollar amount as printed on the face of the food instrument. The WIC participant/authorized representative may pay the difference (with cash, EBT/SNAP benefits, personal check or credit card) when the total dollar amount exceeds the maximum amount as specified on the cash value voucher/cash value food instrument.*

*** Canned Substitutions only when printed on the WIC Food Instrument*

Chapter Five

Food Instrument Issuance and Accountability

Appendix B: Cash Value Voucher / Cash Value Food Instrument (Continued)

**Front of Cash
Value Voucher /
Cash Value
Food Instrument
(Continued)**

Use statements will be as follows:

- Need help? Mon. – Fri. 8:00 AM – 5:00 PM, Call 1-800-2525-WIC
- Misuse of drafts subject to State and Federal prosecution. Void if altered.
- Vendor must deposit within 60 calendar days from first date to use
- \$ Correction only
- Cashier initials
- Tax exempt sale not to exceed \$200. 00 (However, any portion of the produce purchase above the CVFI maximum value paid with a participant's own funds is subject to any tax which applies to non-WIC purchases of fruits and vegetables.)
- Pay to the Order of
- Not payable without Vendor ID stamp
- Participant: Do not sign until time of purchase
- Cashier: Do not accept if already signed. Must match signature on ID folder*

**Initials are not acceptable*

Continued on Next Page

Chapter Five

Food Instrument Issuance and Accountability

Appendix B: Cash Value Voucher / Cash Value Food Instrument (Continued)

Back of Cash Value Voucher / Cash Value Food Instrument / Endorsement Information

Information provided on the back:

- For deposit only by an authorized Arizona WIC Vendor in payment for the foods purchased on the front of this document
 - Vendor must deposit within sixty (60) calendar days from first date to use
 - Do not write, stamp or endorse below this line
-

Chapter Five

Food Instrument Issuance and Accountability

Appendix C: Lost/Stolen Food Instrument

See following pages

Arizona WIC Program Lost/Stolen Food Instrument Report

Lost/Stolen _____ (Police report) Y _____ N _____

Date Reported _____ Reported By _____

Participant's Name (Last) _____ (First) _____

Participant's ID # _____ Food Package _____ FI Type _____

FI Serial Number(s) _____ Issue Date _____

Action Taken (with Participant): Verbal Warning _____

Written Warning _____

Disqualified _____

Local Agency Number _____ Clinic Number _____

Comments _____

Completed By _____ Date: _____
(Signature of Clinic Staff)

_____ Date: _____
(Print Name of Clinic Staff)

Fax the completed form to the Arizona WIC Program Integrity Team at (602) 542-1890.

Chapter Five

Food Instrument Issuance and Accountability

Appendix D: Perpetual FI Inventory Log

See following pages

Chapter Five

Food Instrument Issuance and Accountability

Index

Food Instrument Issuance, 5-3, 5-5, 5-8, 5-9, 5-15, 5-17, 5-23
food instrument stock, 5-12, 5-13, 5-14, 5-18, 5-21
initials, 5-5, 5-14, 5-23, 5-30, 5-35
Inventory Log, 5-14
Lost/Stolen Food Instruments, 5-3, 5-19, 5-20
Mailing Food Instruments, 5-8
Management Evaluations, 5-12, 5-17, 5-26
master inventory list, 5-13
MICR, 5-13
Program Integrity, 5-13, 5-19, 5-20, 5-21, 5-38
Reconciliation, 5-3, 5-16, 5-17
separation of duties, 5-6, 5-12, 5-17
signature, 5-8, 5-9, 5-25, 5-30, 5-34, 5-35
Signature, 5-3, 5-4, 5-5, 5-9, 5-14, 5-38
Standard Register, 5-13, 5-14
theft, 5-19, 5-20, 5-21
Voided Food Instruments, 5-3, 5-17