
Purpose

Provide an overview of all records that need to be maintained by the local agency.

**Required WIC
Program
Records**

- A. The local agency should maintain complete records concerning the operation of the WIC program. Following is a list of required records.
1. Individual files of program applicants
 - a. Program participants, ineligible applicants, those placed on waiting lists, and forms on which an applicant's name, address and initial visit date were recorded but the applicant did not return for the certification visit.
 - b. Participant/applicant files include assessment and certification forms, notification forms, individual plans of care, food package prescription forms, proxy forms and other pertinent information.
 2. Documentation of Civil Rights Complaints and any other complaints from applicants, participants, vendors and others. Includes documentation of acceptance of the complaint, information obtained during the investigation/follow-up and the resolution of the complaint.
 - a. For more information on complaints see Volume I, Section K and P for participants and applicants and Volume IV, Section J, for vendors.
 3. Documentation of Fair Hearings and appeals. Includes the complaint, follow-up and resolution.
 - a. For more information on fair hearings and appeals see Volume IV, Section M, for vendors, Volume V, Section J, for participants/applicants, and Volume V, Section A, for local agencies.
 4. Waiting Lists
 - a. For more information on waiting lists see Volume I, Section H.
 5. Computer Check Registers and any other resources used to verify that the checks were received by the endorser, including postcard receipts for mailed checks.
 6. Voided Checks.
 7. Inventory records for check stock.
 8. Retailer files, including retainer agreements and documentation of all retainer contacts.
 - a. For more information on retailer files see Volume IV, Section D.
 9. All agreements/contracts involving transfer of funds such as contract with the Department of Health and Human Services and lease agreements.

- a. For more information on local agency agreements see Volume V, Sections B and F.
- 10. Information pertaining to the financial operations including documentation of all expenditures
 - a. For more information on reporting and documenting expenditures see Volume V, Section F.
- 11. Inventory records including documentation of equipment purchase.
 - a. For more information on equipment inventory see Volume V, Section F.
- 12. Records of all disposed documents.
 - a. For more information on disposing documents see Volume V, Section L.
- 13. Local agency plans and budgets as well as any correspondence regarding them.
- 14. Records of all public announcements.
- 15. Results of local agency self-monitoring management evaluations.
- 16. State agency management evaluations and local agency responses.

Individual Local Agency Records

The local agency should maintain any additional records as required by local agency policy, such as personnel records.

Storage of Records

All records maintained at the Local Agency are required to be stored in a secure, dry location.

Review of Records

All records and files are the property of the Local WIC Agency and must be made available for review by the State and Federal Agency upon request with consideration for maintaining confidentiality in all circumstances.

Requirements For Local Agency Contractors

Any and all agencies/facilities subcontracting with the Local Agency must also follow the above and following procedures concerning records management.