

Complete All Sections

All sections of FNS Form-698 must be completed and submitted each fiscal year. Once submitted, the form can no longer be changed. A new Form FNS-698 will be available for the next fiscal year.

PROFILE OF INTEGRITY PRACTICES AND PROCEDURES (PIPP)

FORM APPROVED OMB NO. 0584-0401

SECTION 1: Vendor Selection, Lmitation and Authorization

FI = Food Instrument

1. The State Agency limits the number of vendors it authorizes:

2. Vendor applicants are notified of authorization within how many days of initial submission?

3. The State Agency contracts with vendors:

Check only one box

- On an on-going basis
- Annually
- Every 2 years
- Every 3 years
- Other (specify below)
Other time period:

4. The WIC Program uses standard selection criteria for evaluating vendors which include:

Check all that apply

- Minimum variety and quantity of authorized supplemental foods
- Competitive prices
- Lack of a record of criminal conviction or civil judgement for specified activities
- Lack of a history of serious vendor violations
- Must be FSP authorized
- Not currently disqualified from FSP
- Must provide a variety of food other than WIC supplemental foods
- Must obtain infant formula only from the sources on the State Agency's list of infant formula wholesalers, distributors, and retailers, licensed under State law/regulations and manufactures registered with the Food and Drug Administration
- Must obtain prior approval to provide incentive items to WIC participants if the store derives more than 50 percent of its annual food sales revenue from WIC food instruments
- Other (specify below)
Other criteria used:

5. Each vendor's prices are monitored to ensure that redemptions do not rise to a level that would make the vendor ineligible for authorization:

6. On-site visits are performed to verify information received during the authorization process.

Check only one box

- For new vendors only
- For new vendors and for previously authorized vendors

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0584-0401. The time required for completing this collection is estimated to take 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the information collection.

SECTION 2: Pre- and Post-Payment Edit Systems

FI = Food Instrument

1. The State uses pre-edit (before payment) or post-edit (after payment) screens for:

Check all that apply

- All food instruments Pre-Edit Post-Edit Not applicable
 Sampled food instruments Pre-Edit Post-Edit Not applicable
 Other:

Percent of sampled food instruments: %

2. The State Agency screens food instruments through a pre-edit (before payment) or a post-edit (after payment) process to detect the following:

Check all that apply

FI = Food Instrument

| | | | |
|--|-----------------------------------|------------------------------------|--|
| No WIC agency validation stamp | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| No vendor stamp | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Illegible vendor stamp | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Invalid vendor stamp | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Counterfeit vendor stamp | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Invalid vendor number | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Canceled vendor number | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Vendor number not on file | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Post date (cashd before 1st date of use) | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Stale date (cashd after end use date) | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Altered date | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Altered signature | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| No signature/counter signatures | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Mismatch signature | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Excessive dollar amount (fill in amount below) | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Altered dollar amount | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Dollar amount in pencil | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Illegible dollar amount | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| No dollar amount | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| No participant name | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |
| Food instrument submitted late for payment | <input type="checkbox"/> Pre-Edit | <input type="checkbox"/> Post-Edit | <input type="checkbox"/> Does not screen |

Excessive dollar amount: %
 Leave blank if State does not screen

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SECTION 3: Food instruments

FI = Food Instrument

1. The food instrument used is:

Check all that apply

- CHECK (a negotiable FI which is processed for payment through the vendor's bank)
 VOUCHER (a non-negotiable FI which is processed for payment through the State Agency)
 DRAFT (a negotiable FI which is processed for payment through a fiscal intermediary)
 EBT CARD

2. Food instruments are generally issued:

Check only one box

- Monthly
 Every 2 months
 Every 3 months
 Other (specify below)

Other time period:

3. Average number of food instruments:

Enter the average number of food instruments issued per participant per month:

4. The maximum value on the food instruments is hidden:**5. Food instruments are routinely mailed to participants:**

Mailed statewide or in certain areas on a routine basis. (Do not check Yes if FI's are routine mailed for inclement weather)

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SECTION 4: Sanctions

FI = Food Instrument

1. The State Agency uses a point system in sanctioning vendors

2. Vendors who are disqualified but who subsequently request an administrative hearing:

Check only one box

- May accept WIC food instruments during the appeal process
- May not accept WIC food instruments during the appeal process
- Determined on a case-by-case basis

SECTION 5: Vendor Relations

1. The State Agency meets with representatives from retailer associations to resolve problems and solicit ideas on improvements in WIC program operations.

Check all that apply

- At least once a year
- Every 2 years
- Once every 5 years
- Less frequently than every 5 years
- As needed

SECTION 6: Compliance Buy Procedure

1. Check below the types of Compliance Buys conducted when a suspect vendor is investigated:

Check all that apply

| | | | |
|--|---------------------------------|------------------------------------|--------------------------------|
| Trafficking (exchange of FIs for cash) | <input type="checkbox"/> Always | <input type="checkbox"/> Sometimes | <input type="checkbox"/> Never |
| Sale of non-food items | <input type="checkbox"/> Always | <input type="checkbox"/> Sometimes | <input type="checkbox"/> Never |
| Sale of unauthorized/excessive food items | <input type="checkbox"/> Always | <input type="checkbox"/> Sometimes | <input type="checkbox"/> Never |
| Sale of alcohol/tobacco | <input type="checkbox"/> Always | <input type="checkbox"/> Sometimes | <input type="checkbox"/> Never |
| Safe Buy All FI foods purchased to see if vendor will overcharge | <input type="checkbox"/> Always | <input type="checkbox"/> Sometimes | <input type="checkbox"/> Never |
| Partial Buy Not purchasing all FU foods to see if vendor will charge for food not purchased | <input type="checkbox"/> Always | <input type="checkbox"/> Sometimes | <input type="checkbox"/> Never |

2. Compliance buys are usually conducted by:

Check all that apply

- Neighborhood residents or program participants employed by WIC
- Local WIC Agency staff
- WIC State Agency subdivision/region staff
- WIC State Agency staff
- Other State Agency staff
- Investigators retained on a contract basis (e.g. Pinkerton, Wells Fargo)
- Law enforcement bodies

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