

DATA DICTIONARY

Vendor Data for the FNS-700 form

Vendor ID

Each vendor must have an authorization number or unique identifier. A WIC vendor is a sole proprietorship, partnership, cooperative association, corporation, or other business entity operating one or more stores authorized by the State agency to provide authorized supplemental foods to participants. Each store operated by a business entity constitutes a separate vendor and must be authorized separately from other stores operated by the business entity and must have a single, fixed location.

Vendor authorization numbers or identifiers must be unique for each vendor; therefore no duplicate ID's can be reported. Vendor ID's may contain both alpha and numeric characters.

New Vendor

All newly authorized vendors must be identified in the "New Vendor" data field. New vendor means the vendor was not authorized at the beginning of the fiscal year, but became an authorized vendor some time within the fiscal year.

Training Provided

Each authorized vendor is required to receive either Annual or Interactive training each fiscal year. If a vendor receives both Annual and Interactive training within the fiscal year, the training should be reported as "Interactive." If the vendor did not receive any training, it should be reported as "No training."

Annual training (A) – means that the vendor received the mandatory annual training. The annual training must include instruction on the purpose of the Program, the supplemental foods authorized by the State agency, the minimum varieties and quantities of authorized supplemental foods that must be stocked by vendors, the procedures for transacting and redeeming food instruments, the vendor sanction system, the vendor complaint process, the claims procedures, and any changes to program requirements since the last training. Examples of annual training include: training videos and training newsletters.

Interactive training (I) – means that the vendor received interactive training. Prior to or at the time of a vendor's initial authorization, and at least once every three years thereafter, the vendor must receive training in an interactive format that includes a contemporaneous opportunity for questions and answers. Acceptable interactive training includes on-site cashier training, off-site classroom-style train-the-trainer or manager training.

No training (N) – means the vendors did not receive any training during the fiscal year.

Type of Vendor

Each vendor authorized by the WIC Program, will be identified as one of the following six types:

Regular Retail Vendor (R) – An individual food store with a fixed location that operates as a retail establishment and for which 50% or less of its annual food sales revenue is derived from WIC food instruments.

Above 50% Vendor (A) – A retail vendor that derives more than 50% of its annual food sales revenue from WIC food instruments.

WIC-only Vendor (W) – A special type of above 50% vendor that derives all or nearly all of its annual food sales revenue from WIC food instruments. The vendor might also accept Food Stamp transactions or cash but these represent a minimal portion, if any, of its total food sales.

Commissary (C) – A retail vendor that is operated by the military.

Pharmacy (P) – An individual retail vendor that only provides exempt infant formula and/or WIC-eligible medical foods in exchange for food instruments. Pharmacies that provide all WIC-approved foods are considered retail vendors for TIP reporting purposes.

Home Food Delivery Contractor (H) - The home food delivery contractor delivers supplemental foods directly to the participants' residences.

Direct Distribution Center (D) - A direct distribution center provides supplemental foods through a warehouse or other food center.

Risk Designation

Each vendor must be designated as either high-risk (H) or non-high-risk (N). A vendor would be reported as high-risk if at any time throughout the fiscal year the vendor was designated as a high-risk vendor according to criteria used by the State agency and approved by FNS. The risk designation must be reported for all vendors.

FNS Number

If the vendor is also authorized by the Food Stamp Program, the 7-digit number assigned by the Food Stamp Program must be reported in the system.

Vendor Name

The business name of the store must be reported.

Street Number

The street number of the physical location of the business must be reported.

Street Name

The street name of the physical location of the business must be reported.

City

The city of the physical location of the business must be reported.

State

The 2-digit State postal code of the physical location of the business must be reported.

Zip/Postal Code

The U.S. postal zip code of the physical location of the business must be reported.

Annual Redemptions

The total annual value of redeemed WIC food instruments must be reported. If the vendor did not redeem any food instruments, a zero (0) would be reported in the field.

Redemption Months

The number of months the redemptions cover must be reported. Count the number of months that the vendor has been authorized during the time period covered by the TIP report. For example, if the annual WIC redemptions cover a 6-month authorization period, the field should be reported as a number 6. A zero (0) may be reported if no food instruments were redeemed.

High-Risk Indicators.

If a compliance investigation is conducted on a vendor and the investigation was completed during the fiscal year, the vendor must be identified with at least one or more high-risk indicator(s). The indicators are as follows:

Redemption Indicators

A=Extremely small amount of variation in food instrument prices – the individual food instrument prices do not vary substantially from the average price.

B=Large percent of food instruments redeemed at same price

C=Unusually high average food instrument prices - submitting extremely high average food instruments compared with similar vendors.

D=Redeemed prices are higher than their price list

Volume Indicators

E=Large percent of high-priced food instruments

F=Volume of WIC business

G=Large increase of dollar volume of food instruments redeemed over time

H=Large percent of the area's total WIC redemptions

I=WIC sales are an unusually high percentage of vendor's total sales

J=High WIC to Food Stamps redemption ratio

K=WIC and Food Stamp sales are an unusually high percentage of total sales

Participant Indicators

L=Participant/other complaints

M=Large number of participants redeeming food instruments outside of their health service area

N=Large number of participants redeeming food instruments who are considered to be at high health risk

O=Large number of food instruments with consecutive serial numbers

P=Large percentage of manually issued food instruments

Other Indicators

Q=Excessive number of returned checks due to errors

R=Past history of violations and disqualifications

S=Associations with known violators

T=Multiple ownerships which include known violators

U=Short on authorized food items or no inventory

V=New Vendor

W=Random selection of vendors

X=Other

Routine Monitoring Visits

If the vendor received one or more routine visits, the total number of routine monitoring visits the vendor received must be reported. Routine monitoring means overt, on-site monitoring during which program representatives identify themselves to vendor personnel.

Compliance Investigation

If a vendor received a compliance investigation during the fiscal year, the status of the investigation must be reported. The status would be reported as one of the following:

***Initiated (I)* – An investigation was initiated in the current fiscal year, but will not be completed before the end of the fiscal year.**

***Ongoing (O)* – The investigation is on-going. On-going investigations could take up to two years to complete.**

***Completed (C)* – The investigation has been completed.**

Investigations by Other Entities

This field will be used to report the status of a compliance investigation that was conducted by an outside agency, such as another State agency or the Food Stamp Program, or a Federal law enforcement agency and would contain one of the following options:

***Initiated (I)* – An investigation was initiated in the current fiscal year, but will not be completed until next fiscal year.**

***On-going (O)* – The investigation is on-going.**

Complete (C) – The investigation was completed this fiscal year.

Number of Compliance Buys

If a vendor received a compliance investigation and compliance buys were conducted, the total number of compliance buys the vendor received during the investigation would be reported during the fiscal year the investigation is completed. A compliance buy means a covert, on-site investigation in which a representative of the Program poses as a participant, parent or caretaker of an infant or child participant, or proxy, and transacts one or more food instruments, and does not reveal during the visit that he or she is a program representative.

Number of Inventory Audits

If a vendor received a compliance investigation and an inventory audit was conducted, the total number of inventory audits the vendor received would be reported during the fiscal year the investigation is completed. Inventory audits are an examination of food invoices or other proofs of purchase to determine whether a vendor purchased sufficient quantities of supplemental foods to provide participants the quantities specified on food instruments redeemed by the vendor during a given period of time.

Reason for Sanction

If a vendor has a completed compliance investigation, a reason for sanction must be reported. A sanction is an administrative action taken against a vendor in response to a program violation. A program violation means any intentional or unintentional action of a vendor’s current owners, officers, managers, agents, or employees (with or without the knowledge of management) that violates the vendor agreement, Federal or State statutes, regulations, policies, or procedures governing the Program. If a vendor commits more than one type of violation, the most serious violation should be reported. If no violations were found during the investigation, the vendor would either show No Violations – Warning Letter, or “No Violations.”

***Trafficking (T)* – The vendor bought or sold food instruments for cash; or exchanged firearms, ammunitions, explosives, or controlled substances (as the term is defined in 21 U.S.C. 802) for food instruments.**

***Alcohol/Tobacco (A)* – The vendor provided alcohol or alcoholic beverages or tobacco products in exchange for food instruments.**

***Reimbursement in Excess of Documented Inventory (I)* – The vendor claimed reimbursement for the sale of an amount of a specific supplemental food item that exceeds the store’s documented inventory of that supplemental food item for a specific period of time.**

Overcharging (O) – The vendor intentionally or unintentionally charged the State agency more for authorized supplemental foods than is permitted under the vendor agreement.

Receiving/Transacting or Redeeming Food Instruments Outside Authorized Channels (R) – The vendor received or redeemed food instruments outside of authorized channels, which may include an unauthorized vendor and/or an unauthorized person.

Charging for Supplemental Foods Not Received (F) – The vendor charged the Program for supplemental food not received by the participant.

Providing Credit or Non-food Items in Exchange for Food Instruments (C) – The vendor provided credit or non-food items, other than alcohol, alcoholic beverages, tobacco products, cash, firearms, ammunition, explosives, or controlled substances in exchange for food instruments.

Providing Unauthorized Food Items in Exchange for Food Instruments (U) – The vendor provided unauthorized food items in exchange for food instruments, which includes charging for supplemental foods provided in excess of those listed on the food instrument.

Food Stamp Program Reciprocal Action (FSP) – The vendor was sanctioned as a result of a FSP sanction.

Type of Sanction

If a vendor is reported as committing a violation in the “Reason for Sanction” field, a type of sanction must be reported.

Disqualification (DQ) - The vendor was sent a notice of disqualification as a result of program violations, which informed the vendor of the violations detected, the disqualification period, and the right to appeal the sanction if applicable.

Civil Money Penalties (CMP) – The vendor received a CMP in lieu of disqualification.

Fine (F) – The vendor received an administrative fine.

State Agency Sanction (S) – The vendor received a State agency sanction for violations not specified above, but included in the State agency’s sanction schedule.

No Sanction

The “No Sanction – Warning Letter or No Sanction” field is reported for vendors who did not commit any violations during the compliance investigation and the investigation has been closed.

No Sanction – Warning Letter (W) – The vendor received a warning letter.

No Sanction (N) – No violations were detected that resulted in a vendor sanction.

Administrative Reviews

If the vendor appealed an adverse action imposed by the State agency, the status of the appeal must be reported as one of the following:

Pending (P) – The administrative review process was not completed during the fiscal year.

Upheld (U) – The State agency’s sanction was upheld by the hearing officer’s administrative review decision.

Overtured (O) – The State agency’s sanction was overturned by the hearing officer’s administrative review decision.

Modified (M) – The State agency’s sanction was modified (e.g., length of disqualification or amount of a civil money penalty reduced) by a hearing official or administrative law judge.

Judicial Review (J) – A judicial review has been requested.

Vendor Agreements

If the vendor’s agreement was terminated or expired it must be reported as one of the following:

T = Terminated. If a vendor was disqualified, the agreement should be terminated. Agreements may also be terminated due to a change in the location of the store, the vendor sold the store, or the vendor went out of business. Agreements may also be terminated for other reasons not included above.

E = Expired. The vendor agreement expired and the vendor is no longer authorized by WIC.

Date Referred to FSP

If a vendor was disqualified by the WIC Program and referred to the Food Stamp Program for reciprocal action, the date of the referral is required. Only mandatory sanctions are referred to Food Stamps.

Aggregate Data for the FNS-699 form:

Stores Not Selected - The number of stores denied vendor authorization during the fiscal year due to failure to meet selection and/or limitation criteria.

Scanners - The number of vendors with scanning devices. A scanner is a point-of-sale device that electronically captures individual food item information by using the UPC or bar code printed on the food packaging.

Scanners That Identify WIC Foods - The number of vendors with scanning devices that can identify WIC-approved foods versus non-WIC foods.