



Speaker Won Pat <speaker@judiwonpat.com>

Messages and Communications: NOTICE: FEDERAL GRANT APPLICATION FOR DPHSS (159Y)

1 message

Speaker Won Pat <speaker@judiwonpat.com>

Mon, Aug 4, 2014 at 9:24 AM

To: Guam Legislature Clerks Office <clerks@guamlegislature.org>, "Benjamin J.F. Cruz" <senator@senatorbjcruz.com>

8/4/2014 8/4/2014 Guam State Clearinghouse

Federal Grant Application from (DPHSS -WICP) 32-14-1917  
17007141159Y \*emailed

Forwarded message

From: TrinaJae Apatang <trinajae.apatang@guam.gov>  
Date: Mon, Aug 4, 2014 at 9:20 AM  
Subject: Re: NOTICE: FEDERAL GRANT APPLICATION FOR DPHSS (159Y)  
To: speaker@judiwonpat.com

32-14-1917  
Office of the Speaker  
Judith T. Won Pat, Ed.D.  
Date 8.4.14  
Time 9:24 am  
Received by: [Signature]

Hafa Adai! I apologise for the mistake. Please see attached with corrected date. Thank you!

On Mon, Aug 4, 2014 at 9:05 AM, TrinaJae Apatang <trinajae.apatang@guam.gov> wrote:  
Hafa Adai! Please see attached federal grant application for Department of Public Health.

Kindest Regards,  
-Trinajae M. Apatang

*Ufisinan I Etmås Ge'helo'Gi Liheslaturan Guåhan*  
**Office of Speaker Judith T. Won Pat Ed.D.**  
*Kumiten Idukasion yan Laibirihan Publeko*  
Committee on Education and Public Libraries & Women's Affairs  
155 Hesler Place, Suite 201, Hagatna, Guam 96910  
472-3586 Fax: (671) 472-3589  
www.guamlegislature.com / speaker@judiwonpat.com

2014 AUG -4 AM 9:42

Tel: (671)

Courtesy letter SPKR 159Y.doc  
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# GUAM STATE CLEARINGHOUSE

P.O. Box 2950 Hagåtña, Guam 96932

Tel: (671) 475-9380

Website: [www.gsc.guam.gov](http://www.gsc.guam.gov)

Email: [clearinghouse@guam.gov](mailto:clearinghouse@guam.gov)

**EDDIE BAZA CALVO**

*I Maga'låhen Guahan*

**RAYMOND S. TENORIO**

*I Segundu Na Maga'låhen Guahan*

**Kate G. Baltazar**

*Administrator*

August 05, 2014

**HONORABLE JUDITH T. WON PAT, Ed. D.**

*Speaker gi I Mina'Trentai Dos Na Liheslaturan Guåhan*

155 Hesler Place

*Hagåtña, Guåhan 96910*

**Ref:** Department of Public Health's federal grant application for the Guam WIC Program

*Hafa Adai* Madam Speaker,

This letter is to respectfully notify you the Guam State Clearinghouse (GSC) has received a federal grant application from the Department of Public Health (DPHSS). The GSC has accepted the application, assigned the State Application Identifier (SAI) 17007141159Y and has initiated the process for an intergovernmental review. An abstract of the project is provided below.

**Grantor:** Department of Interior

**Grant Title/  
Project Title:** Guam WIC Program

**Details:** Through this grant, The Guam WIC Program, through the DPHSS will serve as a complement to good health care during critical times of growth and development, in order to prevent the occurrence of health problems related to nutritional status, accomplished through providing supplemental nutritious foods and nutrition education to pregnant, post-partum, and breast-feeding women, infants, and young children from families with inadequate income. Funds from this group will also include costs for personnel.

**Start Date:** 10/01/2013

**End Date:** 09/30/2014

**Federal Grant:** \$9,726,836.00

GSC conducts intergovernmental reviews and solicits comments through electronic communication and this notice is sent to you as a part of the review process. A digital copy of the grant proposal is attached for your perusal. Please submit any comments you may have pertaining to this proposal to Trinajae M. Apatang by **August 15, 2014**, via email at [trinajae.apatang@guam.gov](mailto:trinajae.apatang@guam.gov).

*Dangkolo Na Si Yu'os Ma'åse',*

**Kate G. Baltazar**

Administrator

Cc: File



## Guam WIC Program Section I



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### DRAFT FY 2015 STATE PLAN SECTION I GOALS & OBJECTIVES

#### PROGRAM PURPOSE:

The purpose of the Guam WIC Program is to serve as a complement to good health care during critical times of growth and development, in order to prevent the occurrence of health problems related to nutritional status, including those due to smoking, alcohol, and drug abuse. Improvement of the health status of these individuals is accomplished through providing supplemental nutritious foods and nutrition education to pregnant, postpartum and breast-feeding women, infants and young children from families with inadequate income, and making appropriate referrals to health care and social service program where the need is identified.

The goals of the WIC Program focus on the following areas:

1. To improve the nutritional health status of the WIC-eligible population as assessed by anthropometric and biochemical tests, medical history, dietary history, and clinical observations.
2. To identify participants at high risk for health and medical problems related to nutrition intake and provide individualized services.
3. To educate participants in such a way which will initiate changes in food consumption habits toward more nutritionally adequate diets within the bounds of the family's limited resources.
4. To provide breast feeding support and promotion.
5. To provide information on community resources that will assist in improving an individual's or family's health status and make referrals to those services.
6. To promote WIC services to the community in order to maximize participation by the income eligible population.



## Guam WIC Program Section I



### FY 2015 GOALS AND OBJECTIVES

#### A. FUNCTIONAL AREAS:

##### I. FY 2015 Vendor and Farmer Management Narrative

###### Vendor Management

The Vendor Management Section of the Guam WIC Program is responsible for overseeing all functions associated with vendor selection and authorization, routine monitoring, training, compliance investigations, vendor sanctions, appeals and administrative hearings of approved vendors in the retail food delivery system. This section provides guidelines and procedures to be followed to carry-out all Vendor Management functions.

###### Retail Food Delivery System

The Guam WIC Program operates a uniform retail food delivery system and uses negotiable FIs and CVVs. Program participants or parents/caretakers of infant and child participants obtain authorized supplemental foods by submitting a food instrument (draft) to any authorized vendor. Each food draft designates the prescribed foods in exact quantities to be purchased. Vendors deposit these FIs and CVVs into their financial institution, and the FIs and CVVs are then transmitted through the Federal Reserve system to a clearing house, through the contracted financial institution of the Guam WIC Program. The Guam WIC Program uses a “pre-edit” and “post-edit” system, in the redemption of FIs and CVVs.

###### Farmer Management (Farmers’ Market Nutrition Program-FMNP)

In 1988, Congress authorized a three-year demonstration project to test the concept in ten states. The success of the demonstration project led Congress to enact the WIC Farmers’ Market Nutrition Act of July 2, 1992 (P.L.102-34), thereby establishing the WIC FMNP as a food assistance program of the United States Department of Agriculture (USDA). In November 1998, the Department of Public Health and Social Services, Guam WIC Program, applied for funding by submitting to the United States Department of Agriculture (USDA), Guam State Plan of Operations for the WIC Farmers’ Market Nutrition Program. On January 29, 1999, USDA approved Guam’s State Plan. However, funding was not approved until April 21, 1999.

The Guam WIC FMNP will provide over 7,000 women and children (1 up to 5 years old) who are participants in the WIC Program with FMNP coupons valued at \$20.00. The



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FMNP coupons may only be used to purchase fresh, nutritious, unprepared fruits and vegetables directly from an authorized farmer of the WIC FMNP. The FMNP recipients will also receive a FMNP recipient packet. The packet will contain nutrition education materials, schedule, time, location of Farmers' Markets, and list of names of authorized farmers with their WIC FMNP identification numbers.

### I. FY 2013 Vendor and Farmer Management Evaluation

|                     |   |
|---------------------|---|
| Goal:               | Monitor vendors in accordance with WIC regulations.   |
| Goal:               | Ensure training is provided to vendors in accordance with WIC regulations.  |
| Goal:               | Ensure Vendor Management Staff are provided staff development opportunities to develop and enhance their skills and functional area. This includes local and off-island meetings, trainings, conferences, etc. pertaining to their functional area. |
| Objective (Goal #1) | Perform routine monitoring of up to 20% each fiscal year but no less than 5percent of vendors authorized by September 30, 2013.   |
| Progress:           | Performed beyond the 20% (20% X 23 = 4.6 visits) goal. At least in the 1 <sup>st</sup> quarter of FY 2013 we conducted a minimum of 20 routine monitoring visits.   |
|                     | Perform compliance investigations of up to 10% each rascal year of but no less than 5 percent of vendors authorized by September 30, 20   |
| Progress:           | Performed three (3) compliance investigations in FY 2013.   |
| Progress Update:    | Performed four (4) compliance investigations in FY 2013 but only 3 were completed in FY 2013.   |



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### I. FY 2014 Vendor and Farmer Management

|                     |   |
|---------------------|---|
| Goal:               | Monitor vendors in accordance with WIC regulations.   |
| Goal:               | Ensure training is provided to vendors in accordance with WIC regulations.  |
| Goal:               | Ensure Vendor Management Staff are provided staff development opportunities to develop and enhance their skills and functional area. This includes local and off-island meetings, trainings, conferences, etc. pertaining to their functional area.   |
| Objective (Goal #1) | <p>Perform routine monitoring of up to 20% each fiscal year but no less than 5 percent of vendors authorized by September 30, 2014.</p> <p>Perform compliance investigations of up to 10% each fiscal year of but no less than 5 percent of vendors authorized by September 30, 2014.</p>   |
| Progress:           | <p>- Final Food Package Rule provisions – 1) Changed \$6 CVV to \$8 in May, 2014; 2) Provisions such as Split Tender of CVVs / Allow Farmers' Markets to accept CVVs / SA Administrative Appeal procedures for farmers &amp; farmers markers including monitoring system / All authorized vendors must stock at least two different fruits and two different vegetables – are on-going since Interim Rule; 3) Other provisions pertaining to the Guam WIC Approved Foods list, i.e. yogurt / SA must offer whole wheat and/or whole grain bread, milk alternatives, etc – are currently being reviewed and expected to be addressed before 10/1/2014.</p> |

### I. FY 2015 Vendor and Farmer Management



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- Goals #1: Monitor vendors in accordance with WIC regulations.
- Objective (Goal #1): Perform routine monitoring of up to 20% each fiscal year but no less than 5 percent of vendors authorized by September 30, 2015.
- Perform compliance investigations of up to 10% each fiscal year of but no less than 5 percent of vendors authorized by September 30, 2015.
- Goal #2: Ensure training is provided to vendors in accordance with WIC regulations.
- Goal #3: Ensure Vendor Management staff are provided staff development opportunities to develop and enhance their skills and functional area. This includes local and off-island meetings, trainings, conferences, etc. pertaining to their functional area.
- 

## II. FY 2015 Nutrition Services Narrative

Guam WIC staffs are aware of the basic skills for providing participant centered services and are otherwise concerned about providing good customer service. Constructive mentoring has not yet developed to the extent that it facilitates development of WIC clinic workers' skills and knowledge to advance to higher levels of client service during nutritional assessment and the provision of targeted client education.

Therefore training of staff needs to begin to be targeted towards specific clinic staff that show the most interest and have demonstrated ability to assume a more responsible role in the WIC clinics. As they begin to function more as role models, it will be natural for them to assume mentoring relationships with other clinic staff.

A significant part of the delay for clinic staff to assume more responsibility towards their job and coworkers is their own feeling of inadequacy. Several of the Nutrition Assistants do not have education beyond a high school diploma and culturally, many clinic staff feels that it is improper to suggest to the "boss" that changes need to be made. The majority of WIC supervisors, being from the same culture, feel that it is "a loss of face" to delegate authority and allow an employee, that they supervise, to "provide instruction to" another employee that they supervise.



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In addition to empowering individuals doing clinic services to take on more responsibilities and assist each other, the clinic staff as a whole need to be educated in the areas of science, nutrition, life skills, and home economics through the use of WIC case reviews regarding how they were handled and what was good and what could be improved. The focus, in the final assessment should be on enabling the WIC clinic staff to influence health outcomes by facilitating positive changes in WIC participants' lifestyles.

### II. FY 2012 Nutrition Services

Goal A: Guam WIC will increase and expand WIC professional staff knowledge and skills in delivering WIC services by providing continuing education opportunities.

Objective 1: Each Nutritionist, Breastfeeding Coordinator and Health Educator will attend at least one national level training event by September 30, 2013.

- NWA Conferences and/or training.
- SNE Conferences and/or training.
- APHA Conferences and/or training.
- WIC related nutrition/education conferences and/or training.
- ADA Conferences and/or training.
- USBC Conferences and/or training.

Progress: Training events (FY2011):

- The NWA Breastfeeding & Nutrition Education conference was held in San Diego on September 21 – 24, 2010 and the **Nutrition Coordinator and Breastfeeding Coordinator** attended.
- The Grow & Glow Breastfeeding training was provided by Healthy Mothers, Inc. on February 23 -25, 2011 and **all WIC clinic staff attended**.
- The NWA Education and Networking Conference held in Portland on May 1 – 4, 2011 was attended





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by the **WIC Director, WIC Coordinator, and a Community Nutritionist II.**

- An AIM Super user training was provided by Arizona state WIC staff on April 18 – 21, 2011 and was attended by **two Community Nutritionist II staff and one Nutrition Assistant.**
- Budget limitations have prevented **two WIC Health Educators and one Community Nutritionist II** from attending educational events so far in FY 2011. However, they were able to attend the breastfeeding training in February 2011 which was done in Guam.

Progress Update:

Nothing further to report.

Progress:

- The WIC Director, Breastfeeding Coordinator and one Community Nutritionist II were approved by BBMR to attend the Breastfeeding Peer Counselor management training/meeting in San Francisco November 15 through 18, 2011. The Nutrition Coordinator was not approved by BBMR to attend.
- The WIC Director was the only one approved by BBMR to attend the EBT conference in Clearwater, Florida November 6 – 9, 2011. The Nutrition Coordinator was not approved by BBMR to attend.
- The WIC Director and one clinic Nutrition Assistant have been approved by BBMR to attend the NWA Networking and Nutrition Education conference in Denver May 21- 24, 2012. The Nutrition Coordinator and a Community Nutritionist II were not approved by BBMR to attend.
- There is a breastfeeding training in Arizona in July 2012 that two clinic paraprofessional staff have been approved by BBMR to attend.



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- There is an NWA Nutrition Education and Breastfeeding conference in Los Angeles on September 9 – 11, 2012. WIC intends to send the Breastfeeding Coordinator or designee and the Nutrition Coordinator if approved by BBMR. If not, then a Community Nutritionist II, peer counselor (i.e. paraprofessional), or Nutrition assistant (i.e. paraprofessional) may be asked to attend if BBMR approves.

Progress Update:

Nothing further to report.

Objective 2:

Guam WIC will provide training to Nutrition Assistants in each area of breastfeeding, the USDA Guidelines for Healthy Americans, specific topics in nutrition, and the development of PCE/VENA skills by September 30, 2013 through: Local training offered at the University of Guam or Guam Community College.

- a) Local training offered at Guam Memorial Hospital.
- b) WIC-related, local training from the Guam Department of Administration/Division of Human Resources; and/or Guam WIC in-service monthly training events; and/or Local WIC related nutrition/education training events.

Progress:

An IBCLC local nurse has been identified as a possible trainer for WIC staff, but so far specifics regarding subject matter, date, time, and place for a training has not been discussed.

Progress:

- Monthly in-service breastfeeding trainings using the current “Loving Support” materials have been scheduled for FY2012. The Breastfeeding Coordinator and Peer Counselors will do the presentations.
- Arizona trainers visited Guam and provided an AIM application workaround training (i.e. Twister) that was based on VENA/PCE principles and introduced a motivational based counseling tool to use for



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facilitating discussion about nutrition issues February 27, 2011 through January 2, 2012. Follow up observations have indicated that whereas discussion has been facilitated, critical thinking in the care plan note entries still needs some work (i.e. mentoring).

- All of the “Twister” modules will be reviewed though WIC staff presentations during FY2012.
- Case studies of the care plan notes are also being presented at the monthly in-service meetings.

Progress: Nothing new to report.

Goal B: Each Guam WIC site will provide safe areas that promote physical activity for children outdoors.

Objective 1: The Tiyan and Santa Rita WIC Clinics will attain WIC funds via OA or Infrastructure to develop outdoor, sheltered play areas for children in close proximity to each of the respective WIC Clinics by September 30, 2013 in order to:

- a) Encourage physical activity among its child participants,
- b) Model the WIC Program’s expanded definition of nutrition education to include venues for physical activity to its participants,
- c) Provide safe play for participants with shelter from the daytime sun,
- d) Relieve congestion and noise in the WIC reception area and clinic offices which creates an environment more conducive to nutrition education, and
- e) Contribute to an overall positive, user-friendly WIC experience for whole families.

Progress Update: Nothing new to report.

Progress (FY2011): Appropriate areas for children to play were identified in Santa Rita and Tiyan. Fenced in areas were constructed,



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but no funding was approved in order to provide playground activities for children. The surface of the fenced in areas is also in need of finishing in order to prevent the ground from becoming overgrown with weeds. Local businesses will be solicited for donations to complete the project.

Progress Update: Nothing further to report.

Progress (FY2012):

- WIC Regional office has not approved any plans for further development of the outdoor play area for children by not approving a ground cover, shaded area, or placement of appropriate activity areas such as country cottage, play cars, etc. for use by young children.
- There is a tall tree outside and at one corner of the fenced in area at Tiyan that adults sit under for shade and children climb for recreation. Until the cultural needs of the WIC clients of Guam are better understood and met, this project will probably go unfinished.
- The Santa Rita fenced in play area needs to be compromised by a 10' X 10' space for a small storage building to house office supplies and other items not used on a daily basis in order to free up some indoor space to improve client services. Further development of this area for children to play will not progress for reasons stated regarding the Tiyan play area.

Objective 2: Dededo, Tiyan, Mangilao, Santa Rita, and Inarajan WIC sites will install age appropriate child-friendly activities in the waiting, counseling and classroom areas in



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order to facilitate a PCS customer-friendly environment suitable for educational activities by September 30, 2013.

Progress (FY2011): Children's activity items were requested in January 2010, but not budgeted for and therefore not purchased. A refrigerator to support food demonstration activities was also requested and purchased. WRO has advised us that standard play ground equipment is not allowed for purchase by USDA regulations. Alternate outdoor play area activities will be researched for purchase.

Progress Update: Nothing further to report.

Progress (FY2012):

- Indoor wall mounted play areas are currently in the process of being installed at each WIC site. There are enough play units to provide at least one to each counseling room. Floor mats have also been installed in order to designate where the child friendly play area is located. WIC nutrition counselors are now encourage even more to provide donated toys for children to play with.
- Bulletin boards located in waiting areas that have clear plastic film covers to protect the displays from tampering are being replaced by more attractive enclosed bulletin board displays.

Progress Update (June 2014): Several wall mounted indoor play areas for children have been installed and the need for additional units is being assessed. Children generally respond very well to the activities. Wall mounted activities have been installed in each counseling room at all WIC sites. Additional wall activities have been purchased for the class rooms and waiting areas.

Progress Update (June 2014): Enclosed bulletin board cabinets have been purchased and will be used primarily for breastfeeding and peer counselor service promotion.



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Several standard 2' x 3' bulletin boards have been purchased in order to accommodate an orderly presentation of motivational nutrition messages in each WIC counseling room. Installation is somewhat slow due to the need for appropriate placement of the bulletin boards.

### II. FY 2013 Nutrition Services Evaluation

- Goals A: Guam WIC will increase and expand WIC professional staff knowledge and skills in delivering WIC services by providing continuing education opportunities.
- Objective (1): Each Nutritionist, Breastfeeding Coordinator and Health Educator will attend at least one national level training event by September 30, 2013.
- a) NWA Conferences and/or training.
  - b) SNE Conferences and/or training.
  - c) APHA Conferences and/or training.
  - d) WIC related nutrition/education conferences and/or training.
  - e) ADA Conferences and/or training.
  - f) USBC Conferences and/or training.
- Progress: The Nutrition Coordinator attended the NWA Networking and Education Conference held in Little Rock, Arkansas during March 14 – 17, 2013. Two Community Nutritionists attended a train the trainer type for WIC growth grids and Baby Behavior training in Phoenix, Arizona during April 29 – 30, 2013. The WIC Breastfeeding Coordinator is working towards obtaining her IBCLC credentials and should have taken the test by October 2013. No additional training events have been identified to date for Health Educators for 2013 although there is a need for PCS group education training and Motivational Technique training. Training for the Nutrition Coordinator and one Community Nutritionist was denied



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early in FY2013.

Progress Update: Nothing further to report.

Objective (2): Guam WIC will provide training to Nutrition Assistants in each area of breastfeeding, the USDA Guidelines for Healthy Americans, specific topics in nutrition, and the development of PCE/VENA skills by September 30, 2013 through: Local training offered at the University of Guam or Guam Community College.

- a) Local training offered at Guam Memorial Hospital.
- b) WIC-related, local training from the Guam Department of Administration/Division of Human Resources; and/or Guam WIC in-service monthly training events; and/or Local WIC related nutrition/education training events.

Progress:

- a.) To date Nutrition Assistants have had presentations at in-service meetings regarding the “AIM workaround” which is intended to improve the quality of the nutrition assessments given to WIC applicants.
- b.) The WIC Nutrition Coordinator has also been doing almost monthly case study reviews on clients in order to show how the continuity of care plan notes and nutrition services in general can affect a client’s health outcome.
- c.) A care plan note template for the (Tool, Goals, Information, Follow up (TGIF) format was also implemented to assist Nutrition Assistants in critically thinking their way through an encounter for certification. It is helping individuals clearly think their way through making notes and helping them to sort out extraneous information.
- d.) One Nutrition Assistant and one Breastfeeding Peer Counselor were sent to Arizona’s “Breastfeeding Boot Camp” training and did a presentation at in-service on what was learned.
- e.) The Breastfeeding Coordinator did one presentation on helping moms continue breastfeeding and will do three more presentations in FY2014 on various subjects.
- f.) Two Community Nutritionist IIs are planning to do in-service presentations in June 2013 on a method for self



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evaluation of their nutrition assessments (Rubric). The method can also be used for QA assessments. Graph plotting and Baby Behaviors learned at the training will also be presented at in-service in July 2013.

g.) Cultural and Linguistic Sensitivity Training has been scheduled for August 2013.

h.) During QA observations of clinic staff it has been noticed that there is a general lack of nutrition knowledge so in June 2013 a series of nutrition lessons taken from a standard introductory nutrition text book will be implemented and run through FY2014 until completed.

Progress Update: Nothing further to report.

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## II. FY 2014 Nutrition Services

Goals A: Guam WIC will increase and expand WIC professional staff knowledge and skills in delivering WIC services by providing continuing education opportunities.

Objective (1): Each Nutritionist, Breastfeeding Coordinator and Health Educator will attend at least one national level training event by September 30, 2013.

- NWA Conferences and/or training.
- SNE Conferences and/or training.
- APHA Conferences and/or training.
- WIC related nutrition/education conferences and/or training.
- ADA Conferences and/or training.
- USBC Conferences and/or training.

Progress Objective 1: Although the staff training events were clearly defined above in 2012, 2013 and 2014, there continues to be a lack of a clearly defined process for submitting requests for staff training needs outside of the National WIC Association conferences which only upper management level staff attend. This provides a barrier for individuals such as lower management professionals and clinic staff who would like





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to attend a training event that requires a fee for professional growth and development. Training events may be online or locally provided through the University of Guam.

Consistent locally produced quality training materials to meet the need for clinic staff training are difficult to come by due to the fact that 3 of the 5 professional Community Nutritionist II positions are vacant.

Additionally, on the occasions that a request for training is submitted, the verbal or written request meets with the standard response, “maybe if there is enough money later” or “can you find something local in order to get your continuing education credits?” Some individuals have opted to pay their own way and not request payment from WIC. Therefore many individuals are not encouraged to take advantage of any training events that require payment of a fee.

The government procurement system rules and regulation also do not facilitate the importation of off-island trainers in a timely manner or at best when they are obtained, they are paid in an untimely manner. Guam WIC has found it necessary to work cooperatively with WRO and other WIC agencies that can process payments in a more timely manner to fund trainings for Guam and use the training imports jointly. This is a good work around, but Guam is rarely in a position to share the financial burden of sponsoring a training event.

Guam’s most recent trainings for Participant Centered Services in October 2013 and January 2014 by the Altarum Company required that the CNMI WIC program handle the funding for Altarum to send trainers to both CNMI and Guam. Guam WIC was able to arrange a free venue.

Objective (2):

Guam WIC will provide training to Nutrition Assistants in each area of breastfeeding, the USDA Guidelines for Healthy Americans, specific topics in nutrition, and the development of PCE/VENA skills by September 30, 2013 through: Local training offered at the University of Guam or Guam Community College.

a) Local training offered at Guam Memorial



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- Hospital.
- b) WIC-related, local training from the Guam Department of Administration/Division of Human Resources; and/or Guam WIC in-service monthly training events; and/or Local WIC related nutrition/education training events.

Progress (June 2014):

In 2013 several staff including Public Health Nutrition Aides, Nutrition Assistants, and Community Nutritionists attended business, customer service, and management training sessions produced by the Department of Administration training section.

There is a local nurse who is IBCLC and is willing to provide a training event(s) for WIC, but to date the Breastfeeding Coordinator has not arranged anything for that purpose.

Breastfeeding training is a standard item on the monthly in-service agenda and is provided by the WIC breastfeeding coordinator.

In addition to the breastfeeding in-service trainings, 4 – 6 WIC Nutrition Assistants have been given the WIC (Loving Support) peer counselor training so that they can work overtime in order to provide breastfeeding moms with support outside of clinic working hours. This also serves to provide peer counselor support services to WIC clients in the absence of a full time peer counselor.

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## II. FY 2015 Nutrition Services

- Goal 1: Guam WIC BFPC Services will recruit 2 Nutrition Assistants as Breastfeeding Peer Counselors by October 30, 2014.
- Goal 2: Guam WIC will increase and expand WIC professional staff knowledge and skills in delivering WIC services by



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- providing continuing education opportunities.
- Objective 1:
- 1) Submit to DOA for recruitment processing.
  - 2) Coordinate with Work Program Section, Division of Public Welfare to recruit for possible candidates who qualifies according to the “Loving Support” Definition of Breastfeeding Peer Counselor requirements.
- Objective 2:
- Each Nutritionist, Breastfeeding Coordinator and Health Educator will attend at least one national level training event by September 30, 2013.
- a) NWA Conferences and/or training.
  - b) SNE Conferences and/or training.
  - c) APHA Conferences and/or training.
  - d) WIC related nutrition/education conferences and/or training.
  - e) ADA Conferences and/or training.
  - f) USBC Conferences and/or training.
- Goal 3:
- The feasibility for Guam WIC to replace the Mangilao WIC site with a new and improved structure will be investigated.
- Objective 3 (#1):
- Dimensions of the available area where the current WIC site in Mangilao is located will be determined including the additional space now occupied by a maintenance shed that needs to be removed.
- Objective 3 (#2):
- A floor plan will be drawn by the WIC Nutrition Service Coordinator and reviewed by WIC clinic and administrative staff for input about the needs of the staff located there.
- Consider a 2 story concrete building to include some administrative staff on the second level. Otherwise a one story structure for clinic operations only.
  - The building will be able to accommodate 10’ x 10’ office spaces for a minimum of one Community Nutritionist, 8 Nutrition Assistants, and a 10’ x 10’ reception area for 2 Public Health Aides.
  - There will be adequate storage space for client



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handouts and other client educational materials with built in shelves. A food demonstration kitchen area large enough to conduct classes and food demos for 12 – 15 attendees. A waiting area with child friendly furniture and activity areas for families large enough to accommodate 25 – 28 people. Male and female public restrooms. A mop closet for cleaning supplies and rinsing mops. An area approximately 10' x 10' for taking client anthropometric measurements. A room approximately 10' x 10' with sink with 4' counter top for hand and equipment washing designated for breastfeeding women.

- Other requirements as feasible depending on the size of the structure to be built.

Objective 3 (#3) Solicit estimates for construction cost and resources to fund the project.

### III. FY 2015 Information System Narrative

The Guam WIC Management Information System (MIS) unit is responsible for ensuring all activities associated with automated data processing, data collection, data integrity, data manipulation, data reporting, and security of computer hardware/software for the Guam WIC Program. This unit provides installation and technical support of all system hardware and software, as well as training to end-users, are operational.

#### Arizona In Motion (AIM) system

On February 2, 2009, with the support of Arizona WIC staff the Guam WIC Program went live on the Arizona In Motion (AIM) System. All system problems via the AIM are coordinated through our Guam WIC MIS personnel, Help Desk in Arizona, as well as through the CMA personnel.

To date the AIM system is now partnered with other WIC state agencies, namely Guam, CNMI, American Samoa, and Navajo Nation. Also, the AIM system is currently going to system modifications and is now called Health and Nutrition Delivery System (HANDS).



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### III. FY 2012 Information System Evaluation

- Goal (1): Deliver timely and effective responses to WIC users requirements through teamwork.
- Objective (1): Re-establish computer services tracking program, Track-It, within FY 2012.
- Progress: The Guam WIC Program is awaiting the status of Track-It since the implementation of such as been delayed and Guam WIC has generated its own tracking system since then.
- Progress Update: Guam WIC MIS staff continues to communicate/follow-up with DOA/DPHSS Information Technology personnel regarding the re-activation of the Track-It system but to date system problems continue, thereby halting its re-implementation for the entire government of Guam. In the interim, the Guam WIC Program has developed a database system (via Microsoft Office Access) entitled, the Guam WIC MIS Track-Pro (Tracking Procedures) system to address MIS/IT concerns/problems *solely* for the Guam WIC Program. This system is developed in lieu of “Track-It” and until “Track-It is fully operational the Guam WIC MIS Track-Pro system, in the interim takes its place. Again, its use is only for the Guam WIC Program.
- Progress Update: As of FY 2013 all computer issues except those dealing with *Outlook* (email application) are reported and ticketed to Arizona WIC’s tracking system, *Footprint*. *Outlook* issues are handled in-house/locally.
- Goal (2): Coordinate with Arizona AIMS Partners to ensure implementation of HANDS as well as continuing efforts to address WIC EBT implementation mandate.
- Objective (2): Participate in conference calls, business requirement documents (BRDs), and on-island/off-island meetings with Arizona WIC personnel in the implementation of HANDS as well as efforts in addressing WIC EBT mandate of 2020.



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- Progress: Guam WIC has participated and continues to communicate with Arizona WIC in the implementations of HANDS through conference calls, on-island & off-island meetings.
- Goal (3): Provide ongoing development opportunities for IT staff to enhance expertise and skills, especially on AIM system and other computer-related tasks that will benefit the Guam WIC Program
- Objective (3): Have WIC-MIS personnel attend on-island/off-island training/conferences/meetings that will develop/enhance their computer skills to the benefit of the Guam WIC Program.
- Progress: Guam WIC has sent WIC-MIS personnel in the past to AIMs Partners' Meeting, technology conferences and other related events to ensure continuity of development of WIC-MIS staff knowledge and skill to the benefit of the Guam WIC Program.
- Goal (4): Establish classroom environment for the Guam WIC Program
- Objective (4): Request federal funding for construction of a training room at the Tiyan WIC site along with furniture and equipment needed to commence training operations.
- Progress: Funding request was submitted for renovations work and equipment but was not approved.
- 

### III. FY 2013 Information System Evaluation

- Goal (1): Deliver timely and effective responses to WIC users requirements through teamwork.
- Objective (1): Re-establish computer services tracking program, Track-It, within FY2013.



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|                  |   |
|------------------|---|
| Progress Review: | Update: Guam WIC MIS staff continues to communicate/follow-up with DOA/DPHSS Information Technology personnel regarding the re-activation of the Track-It system but to date system problems continue, thereby halting it's re-implementation for the entire government of Guam. In the interim, the Guam WIC Program has developed a database system (via Microsoft Office Access) entitled, the Guam WIC MIS Track-Pro (Tracking Procedures) system to address MIS/IT concerns/problems <i>solely</i> for the Guam WIC Program. This system is developed in lieu of "Track-It" and until "Track-It is fully operational the Guam WIC MIS Track-Pro system, in the interim takes its place. Again, its use is only for the Guam WIC Program. |
| Progress Update: | As of FY 2013 all computer issues except those dealing with <i>Outlook</i> (email application) are reported and ticketed to Arizona WIC's tracking system, <i>Footprint</i> . <i>Outlook</i> issues are handled in-house/locally.   |
| Goal (2):        | Coordinate with Arizona AIMs Partners to ensure implementation of HANDS as well as continuing efforts to address WIC EBT implementation mandate.  |
| Objective (2):   | Participate in conference calls, business requirement documents (BRDs), and on-island/off-island meetings with Arizona WIC personnel in the implementation of HANDS as well as efforts in addressing WIC EBT mandate of 2020.   |
| Progress Review: | Continuous/on-going.  |
| Goal (3):        | Provide ongoing development opportunities for IT staff to enhance expertise and skills, especially on AIM System and other computer-related tasks that will benefit the Guam WIC Program.   |
| Objective (3):   | Have WIC-MIS personnel attend on-island/off-island training/conference/meeting that will develop/enhance their computer skills to the benefit of the Guam WIC Program.  |
| Progress Review: | Continuous ongoing.   |
| Goal (4):        | Establish Classroom environment for the Guam WIC  |



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Program.

Objective (4): Request federal funding for construction of a training room at the Tiyan WIC site along with furniture and equipment needed to commence training operations.

Progress Review: Funding request was submitted for renovations work and equipment but was not approved.

### III. FY 2014 Information System

Goal (1): Deliver timely and effective responses to WIC users requirements through teamwork.

Objective (1): Re-establish computer services tracking program, Track-It, within FY2014

Progress: As of FY 2013 all computer issues except those dealing with *Outlook* (email application) are reported and ticketed to Arizona WIC's tracking system, *Footprint*. ***Outlook issues are handled in-house/locally.***

Goal (2): Coordinate with Arizona AIMs Partners to ensure implementation of HANDS as well as continuing efforts to address WIC EBT implementation mandate. See attached WIC-EBT Planning and Implementation timeline (Appendix Section II. II IS)

Objective (2): Participate in conference calls, business requirement documents (BRDs), and on-island/off-island meetings with Arizona WIC personnel in the implementation of HANDS as well as efforts in addressing WIC EBT mandate of 2020.

Progress: Continuous/on-going.

Goal (3): Provide ongoing development opportunities for IT staff to enhance expertise and skills, especially on AIM System and other computer-related tasks that will benefit the Guam WIC Program.





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Objective (3): Have WIC-MIS personnel attend on-island/off-island training/conference/meeting that will develop/enhance their computer skills to the benefit of the Guam WIC Program.

Progress: Continuous/on-going.

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### III. FY 2015 Information System

Goal (1): Deliver timely and effective responses to WIC users requirements through teamwork.

Objective (1): Continue tracking program with Arizona WIC via *Footprint* for FY2015.

Goal (2): Coordinate with Arizona AIMS Partners to ensure implementation of HANDS as well as continuing efforts to address WIC EBT implementation mandate. See attached WIC-EBT Planning and Implementation timeline (Appendix Section II. II IS)

Objective (2): Participate in conference calls, business requirement documents (BRDs), and on-island/off-island meetings with Arizona WIC personnel in the implementation of HANDS as well as efforts in addressing WIC EBT mandate of 2020.

Goal (3): Provide ongoing development opportunities for IT staff to enhance expertise and skills, especially on AIM System and other computer-related tasks that will benefit the Guam WIC Program.

Objective (3): Have WIC-MIS personnel attend on-island/off-island training/conference/meeting that will develop/enhance their computer skills to the benefit of the Guam WIC Program.



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### IV. FY 2015 Organization and Management Narrative

The Guam WIC Program organizes and assigns WIC clinic staffing levels in order to serve existing and anticipated caseload levels and ensures sufficient administrative staff to support the clinics and fulfill all the program requirements within an ever-changing WIC environment. Guam WIC management determines the staffing levels within clinics such that all of Guam's eligible WIC population can have convenient access to its services. Guam WIC has five clinic locations throughout the island in the villages of Tiyan, Dededo, Mangilao, Santa Rita and Inarajan. The latter two clinics serve Guam's lesser populated areas and presently operate only one day per week.

In addition to program staffing levels, the functional area of Management and Organization also encompasses, and addresses where necessary, program infrastructure issues which impact the delivery of WIC services such as disaster plans, the review and revision of local regulations and statutes, the revision and creation of job specifications (at the territorial government level) and position descriptions (at the program level), and the adequacy of facilities to support present and future WIC operations.

### IV. FY 2014 Organization and Management Evaluation

- Goal 1: Provide adequate WIC staff to efficiently operate the Guam WIC Program.
- Goal 2: Work with the Guam Legislature to revise licensing statutes for professional Nutritionists to facilitate the recruitment of qualified non-resident applicants.
- Objective (Goal 1): Fill three vacant Community Nutritionist II positions, one Health Educator I position, one Program Coordinator II position, one Community Program Aide II position, and two Nutrition Assistant I positions by June 2014.
- Progress: Recruited the following staff:

| <u>Title</u>     | <u>Name</u>    | <u>Start Date</u> |
|------------------|----------------|-------------------|
| Program Coord II | Renee Taitague | 8/12/2013         |



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Still Awaiting Selection and Recruitment:

| <u>Title</u>      | <u>Name</u> | <u>Start Date</u> |
|-------------------|-------------|-------------------|
| Comp Operator III | Pos #6739   | Pending List      |
| Comm Nutr II      | Pos #6019   | No eligibles      |
| Comm Nutr II      | Pos #6625   | No eligibles      |
| Comm Nutr II      | Pos #6737   | No eligibles      |
| Health Educator I | Pos #6630   | In Process        |
| Nutrition Asst I  | Pos #6639   | In Process        |
| Nutrition Asst I  | Pos #6774   | In Process        |

Objective 2 (Goal 2): Continue to work on the revision of §12805 of the Guam Code Annotated to strike §12805(a)(10) and §12805(b)(5) which require that an individual be either a Guam resident or U.S. Citizen to attain a license to practice as a Nutritionist or Dietitian on Guam.

Progress: Guam Legislature enacted all the above revisions in P.L. 32-088: Passed – 11/13/2013; Signed into law 11/27/2013.

**IV. FY 2015 Organization and Management**

Goal: Provide adequate WIC staff to efficiently operate the Guam WIC Program.

Objective: Fill three vacant Community Nutritionist II positions, one Health Educator I position, one Computer Operator III position, and two Nutrition Assistant I positions by June 2015.

**V. FY 2015 Nutrition Services and Administration (NSA) Narrative**



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The State Agency receives a notification letter of the final food and NSA grants for the operating Fiscal Year (FY) appropriation, including the Western Regional Office's allocation of NSA operational adjustment funds (and other applicable awards i.e. WIC Infrastructure grant, State Technical grant, Bonus award, etc. The State Agency's fiscal year runs from October 1 through September 30, which is concurrent with the Federal Fiscal Year. Each State Agency must spend at least one-sixth (1/6) of its administrative expenditures for nutrition education. In accordance with Public Law 101-147, the State Agency must also spend an additional amount specifically targeted for breast feeding promotion and support. The dollar amount varies each fiscal year based on the final base grant of the State Agency. The Guam WIC Program will receive a notification letter from the United States Department of Agriculture, Western Region Office identifying the target dollar amount for breast feeding promotion for the fiscal year.

NSA funds are not distributed to the local clinic sites and thus funds allocation for local agencies is not applicable. All services and activities of the WIC Program are fully supported by WIC Funds. The State Agency manages its fiscal year administrative grant on a cash basis, which accounts for all costs (direct or indirect) generally considered overhead or management costs. In order to qualify for payment (obligations applicable toward the grant), expenditures must have appropriate documentation support (i.e., check, receipt, purchase order or an invoice).

### Documentation of Staff Time

Time studies are conducted to document certification, nutrition education, breast-feeding education, food delivery, administration and other WIC functions and non-WIC functions performed by WIC administrative and clinical staff.

### Indirect Cost Rate and Services

State Agency Inclusion in Indirect Cost (IDC) Agreements - The Indirect Costs (IDC) Negotiation Agreement is between the Government of Guam (with varying IDC's broken out by Government of Guam Agency) and the United State Department of Interior. The agreement contains indirect cost rates applicable to grants and contract with the Federal Government to which OMB Circular A-87 applies subject to the limitations contained in the Circular.

Presently the Guam WIC Program receives the following indirect services: 1) budgeting/accounting; 2) partial ADP support (email and internet services); 3) legal services; 4) usage of some office equipment in Tiyan; 5) maintenance services at all WIC clinic locations except Tiyan; 6) personnel/payroll; 7) space usage; 8) power/water; 9) central supply; 10) procurement/ contracting; and 11) audit services. The Guam WIC Program has never accessed the full language of the agreement and therefore it is not known whether these provided services are part of, or incidental to, the IDC Agreement.



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Government of Guam Financial Management System - The Department of Administration's (DOA) AS400 Financial Management System is a fully integrated automation system, which handles financial transactions and automatically updates their respective accounts and files. This is a uniform budget and accounting information system that affects all departments and agencies whose accounts are overseen and maintained by DOA. Authorized WIC State Agency staff are able to access the AS400 to track and monitor all transactions made to the WIC accounts. Additionally, DOA, Division of Accounts provides a financial report that reflects current and cumulative appropriation/allotment releases, expenditures, encumbered and disencumbered balances upon request. Only those staff with DOA authorization can view the appropriation/allotment and the transaction register of the WIC accounts in the AS400. The State Agency maintains expenditure records that identify the source and use of funds expended for WIC Program activities.

The procurement process is conducted at the State Level in accordance with established procedures and policies of General Services Agency (GSA), the Guam Procurement Act of 1984 and Federal procurement standards. The procurement process includes: receipt of request for procurement, obtaining price proposal, processing a requisition, processing a purchase order, deliverables, invoicing and payment.

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### V. FY 2012 Nutrition Services and Administration (NSA) Expenditures Evaluation

Goal (1): Ensure accountability and proper internal controls in the use of WIC funds.

- Objectives:
- 1) Ensures that the Guam State Agency expends at least one-sixth (1/6) of its administrative expenditures for Nutrition Education;
  - 2) Ensures that the Guam State Agency expends an assigned (from FNS) amount for Breast-feeding Promotion and Support;
  - 3) Follow-ups will be performed on a periodic basis on procurement and financial issues to ensure avoidance of delays, resolution of obstacles, and delivery of services or products to the WIC Program;



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4) Monitor and track appropriation and expenditure transactions in the Department of Administration's accounting system, AS400, to ensure that all transactions reconcile with the State agency's internal expenditure ledger.

Progress: All the above have been addressed and completed.

Progress Update: The 1/6 nutrition education expenditure requirement of \$407,947.77 and the breastfeeding promotion and support expenditure requirement of \$39,923.00 was met.

Goal 2: Ensure Financial Management and Procurement staff are provided staff development opportunities to develop and enhance their skills and functional area.

Objective (Goal 2): Have WIC-Financial Management and Procurement attend on-island/off-island trainings/conferences/meetings that will develop/enhance their skills/knowledge pertaining to their functional area.

Progress: Although no travel/training plans have been scheduled. Guam WIC is in communication with Arizona WIC and FNS should there a training event. Also, Guam WIC is in communications with the Guam Department of Administration section via our Department's Director's Office regarding any pertinent training that will benefit staff and the Guam WIC Program

Progress Update: Continuous/ongoing.

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### V. FY 2013 Nutrition Services and Administration (NSA) Expenditures Evaluation

Goal (1): Ensure accountability and proper internal controls in the use of WIC funds.

Objectives: 1) Ensures that the Guam State Agency expends at



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least one-sixth (1/6) of its administrative expenditures for Nutrition Education;

2) Ensures that the Guam State Agency expends an assigned (from FNS) amount for Breast-feeding Promotion and Support;

3) Follow-ups will be performed on a periodic basis on procurement and financial issues to ensure avoidance of delays, resolution of obstacles, and delivery of services or products to the WIC Program;

4) Monitor and track appropriation and expenditure transactions in the Department of Administration's accounting system, AS400, to ensure that all transactions reconcile with the State agency's internal expenditure ledger.

Progress Update: The 1/6 nutrition education expenditure requirement of \$415,310.48 and the breastfeeding promotion and support expenditure requirement of \$42,431.00 was met.

Goal (2): Ensure Financial Management and Procurement staffs are provided staff development opportunities to develop and enhance their skills and functional area.

Objective (Goal 2): Have WIC-Financial Management and Procurement attend on-island/off-island trainings/conferences/meetings that will develop/enhance their skills/knowledge pertaining to their functional area.

Progress: Continuous/ongoing.

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### V. FY 2014 Nutrition Services and Administration (NSA)

Goal (1): Ensure accountability and proper internal controls in the use of WIC funds.

Objectives: 1) Ensures that the Guam State Agency expends at



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least one-sixth (1/6) of its administrative expenditures for Nutrition Education;

2) Ensures that the Guam State Agency expends an assigned (from FNS) amount for Breast-feeding Promotion and Support;

3) Follow-ups will be performed on a periodic basis on procurement and financial issues to ensure avoidance of delays, resolution of obstacles, and delivery of services or products to the WIC Program;

4) Monitor and track appropriation and expenditure transactions in the Department of Administration's accounting system, AS400, to ensure that all transactions reconcile with the State agency's internal expenditure ledger.

Progress: Continuous/on-going.

Goal (2): Ensure Financial Management and Procurement staffs are provided staff development opportunities to develop and enhance their skills and functional area.

Objective (Goal 2): Have WIC-Financial Management and Procurement attend on-island/off-island trainings/conferences/meetings that will develop/enhance their skills/knowledge pertaining to their functional area.

Progress: Continuous/on-going.

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### V. FY 2015 Nutrition Services and Administration (NSA) Expenditure

Goal (1): Ensure accountability and proper internal controls in the use of WIC funds.

Objectives: 1) Ensures that the Guam State Agency expends at least one-sixth (1/6) of its administrative expenditures for Nutrition Education;





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- 2) Ensures that the Guam State Agency expends an assigned (from FNS) amount for Breast-feeding Promotion and Support;
- 3) Follow-ups will be performed on a periodic basis on procurement and financial issues to ensure avoidance of delays, resolution of obstacles, and delivery of services or products to the WIC Program;
- 4) Monitor and track appropriation and expenditure transactions in the Department of Administration's accounting system, AS400, to ensure that all transactions reconcile with the State agency's internal expenditure ledger.

Goal (2): Ensure Financial Management and Procurement staffs are provided staff development opportunities to develop and enhance their skills and functional area.

Objective (Goal 2): Have WIC-Financial Management and Procurement attend on-island/off-island trainings/conferences/meetings that will develop/enhance their skills/knowledge pertaining to their functional area.

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### VI. FY 2015 Food Funds Management Narrative

Pursuant to cost containment measures the Guam WIC Program currently participates with 21 other WIC State Agencies in the Western States Contracting Alliance (WSCA) Infant Formula Rebate (IFR) Contract based on a solicitation that evaluates bids by determining the lowest net wholesale cost/can of infant formula. Rebates are not obtained on other WIC foods except infant formula.

Through Participating Addendums between Abbot Nutrition, Abbott Laboratories, and Washington State (and one between Mead Johnson and Company, LLC, and Washington State, Washington State acts as the lead state for the WSCA WIC Infant Formula Rebate (Contract No. 05411), on behalf of the State Agencies of Alaska, American Samoa, Arizona, Commonwealth of the Northern Marina Islands, Delaware, District of



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Columbia, Guam, Hawaii, Idaho, Intertribal Council of Arizona, Intertribal Council of Nevada, Kansas, Maryland, Montana, Navajo Nation, Nevada, Oregon, Utah, Virgin Islands, Washington, West Virginia and Wyoming.

Effective May 9, 2012 and pursuant to Guam public law 31-213, the Guam WIC Program is authorized to join or use the contracts of other states (i.e. WSAC) or government units of the United States thus granting access to the infant formula rebate contract.

On September 29, 2013, the Governor of Guam signed the Participating Addendums with WSCA (one for Mead Johnson and Company, LLC, and the other with Abbott Nutrition, Abbott Laboratories) which authorizes the Guam WIC Program to participate in the present year multi-state Infant Formula Rebate Contract.

Effective October 1, 2012, under the WSCA contract (#05411), Abbott Nutrition was awarded the contract for all physical forms of the Milk-based infant formula and Mead Johnson & Company, LLC was awarded the contract for all physical forms of Soy-based infant formula. Thus, the contract brand infant formula approved for participants to obtain Milk-based infant formula is *Similac* by Ross Products Division, and *Enfamil* for Soy-based infant formula.

The initial term of this Contract is three (3) years from date of Award with the option to extend for additional term(s) or portions thereof. Extension for each additional term or portion thereof shall be exercised at the sole discretion of the Purchasing Authority upon written notice to Contractor. The Purchasing Authority reserves the right to extend with all or some of the Contractors, and the right to extend the whole Contract or portion of the whole, as solely determined by the Purchasing Authority. The total Contract term, including the initial term and all subsequent extensions, shall not exceed six (6) years unless an emergency exists and/or special circumstances require a partial term extension.

- a. The initial term of the Contract will be effective October 1, 2012 through September 30, 2015.
- b. Contract extensions will be executed eighteen (18) months in advance of Contract expiration date.
- c. Contractor must respond within forty-five (45) calendar days following OSP's notification of extension.
- d. All terms and conditions of the Contract will continue in force in the event of a Contract extension.



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### VI. FY 2013 Food Funds Management Evaluation

|                  |   |
|------------------|---|
| Goal:            | Serve maximum number of WIC eligible clients.   |
| Objective:       | Serve a WIC caseload sufficient to expend 97% of WIC Food Funds during FY 2013.   |
| Progress Review: | Due to sequestration, Guam WIC expects to have a shortfall on food funds for FY 2013. Cost containment proposals were forwarded to FNS pending review/response.   |
| Progress Update: | Guam WIC did not meet the 97% food performance standard for FY 2013, a shortfall by 3% (\$228,900.00). On May 30, 2014 FNS National Office approved a preliminary waiver of the 97% food performance standard penalty based on the May 2014 FNS-798 report data showing a possible recovery in participation. |

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### VI. FY 2014 Food Funds Management

|            |  |
|------------|--|
| Goal:      | Serve maximum number of WIC eligible clients.  |
| Objective: | Serve a WIC caseload sufficient to expend 97% of WIC Food Funds during FY 2014.  |
| Progress:  | As of the April 2014 FNS-798 report, it shows projected food performance standard at 96.97% (formula grant is \$7,179,026.00, actual and projected food expenditures is \$6,961,467.00). |

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### VI. FY 2015 Food Funds Management

|            |  |
|------------|--|
| Goal:      | Serve maximum number of WIC eligible clients.    |
| Objective: | Serve a WIC caseload sufficient to expend 97% of |



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WIC Food Funds during FY 2015.

### VII. FY 2015 Caseload Management Narrative

Guam WIC monitors monthly participation and food costs per participant trends to determine participation growth targets, which serve the maximum number of participants for the level of food funds which USDA provides. HANDS is able to print a monthly participation report use to track caseload via **Monthly Participation by Category and Ethnicity**- This report breaks out participation by category, clinic, ethnicity and priority. It also calculates the number of no-shows (by category) by subtracting “participating clients” from “enrolled clients.”

Guam WIC does conduct public notification about the WIC Program, referral system between the State WIC Program and other health and social services, and coordination of health and social services. When applicable, Guam WIC utilizes the media, e.g. DPHSS website, newspaper articles, newsletters, radio announcements and local television appearances, to inform the public regarding the WIC Program. Guam WIC also produces and distributes the “Welcome to WIC” brochure, as appropriate, which describes the nature and benefits of WIC, in English, Chamorro, Tagalog, and Chuukese languages.

### VII. FY 2013 Caseload Management Evaluation

|                  |  |
|------------------|--|
| Goal:            | Increase WIC caseload to 8,000 plus clients by the end of September 30, 2013.  |
| Objective:       | Continue to improve all WIC facilities that affect the availability and accessibility of services to clients by September 30, 2013.                            |
| Progress:        | This goal has yet to materialize due to multiple factors to include the opening of the Inarajan WIC office (due to shortage of staff and equipment/furniture). |
| Progress Update: | Inarajan WIC has since received new, modular furniture and opened on February 2014, The hours of   |



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operation is from 9 am to 4 pm, Wednesdays only.

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### VII. FY 2014 Caseload Management

- Goal:** Increase WIC caseload to 8,000 plus clients by the end of September 30, 2014.
- Objective:** Continue to improve all WIC facilities that affect the availability and accessibility of services to clients by September 30, 2014.
- Progress:** FY 2014 Operational Adjustment request for renovations of Guam WIC sites included civil works, electrical, and air condition, totaling six (6) projects. However, only one was approved which is the installation of electrical power source and construction of concrete house for electric water pump at Tiyan WIC.
- 

### VII. FY 2015 Caseload Management

- Goal:** Increase WIC caseload to 8,000 plus clients by the end of September 2015.
- Objective:** Continue to improve all WIC facilities that affect the availability and accessibility of services to clients by September 30, 2015.
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### VIII. FY 2015 Certification, Eligibility and Coordination of Services Narrative



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The certification process for WIC applicants can be tedious and becomes a routine chore instead of engaging and individualized for each applicant. Everything in the clinic setting from the forms & handouts, to the physical condition of the building & quality of equipment used have a profound influence on both the quality of the client's experience and the quality of the employee's work. A compromised work atmosphere diminishes the enjoyment that both the client and clinic staff gets from the encounter. The presence of children can also add or detract from the clinic environment depending on whether or not their needs are being met. Therefore Participant Centered Services (PCS) need to be implemented whenever possible.

WIC clinic staffs spend a significant part of their day inside the WIC clinic area so the working environment is a significant factor in how well they do their jobs. Also the tools that are necessary for them to do their job, such as a user friendly computer and WIC client database application for processing clients, will affect their ability to function positively. Ultimately the employee accepts a lower standard of service and the WIC participant will receive less effective assistance for their needs.

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### **VIII. FY 2013 Certification, Eligibility and Coordination of Services Narrative**

|              |   |
|--------------|---|
| Goal:        | Provide as seamless as possible transition from AIM to HANDS automated system.  |
| Objective 1: | Each WIC site will have a person trained in HANDS as the initial user (i.e. super-user) in order to act as an onsite resource person.   |
| Objective 2: | Provide training on HANDS to WIC staff on weekends for two months before implementation (4 hours overtime pay will be provided per Nutrition Assistant/Health Educator for each training session attended). |
| Progress:    | Objectives 1 & 2 have been delayed due to delays in CMA development of HANDS. Projections indicate that   |



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sometime in late 2014 or early 2015 these objectives will be addressed. However, staff from Guam WIC will participate in providing input about HANDS/user interface to assist CMA for two days after their August training in Phoenix, Arizona when additional training on infant behavior has been attended.

- Progress Update: No update.
- Objective 3: Provide mentoring from super-users at each WIC site for one week at implementation of HANDS. Request an on-site HANDS expert from Arizona to also be present to act as a helpdesk and advisor.
- Progress: Same delay as for objectives 1 & 2. However we are moving forward with increasing mentoring activity by assigning general mentoring duties to our new Nutrition Assistant II position clinic staff.
- Progress Update: No update.

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### VIII. FY 2014 Certification, Eligibility and Coordination of Services

- Goal: Provide as seamless as possible transition from AIM to HANDS automated system.
- Objective 1: Each WIC site will have a person trained in HANDS as the initial user (i.e. super-user) in order to act as an onsite resource person.
- Progress Objective 1: Stephen Weiss and Godfrey Wong will be attending the HANDS state level training for the upgraded application on August 11- 15, 2014. They will be joined the next week by Vivencia Racelis, Agnes Aragon, and Remedios David for a users' Train the Trainer training from August 18 – 22, 2014.
- Objective 2: Provide training on HANDS to WIC staff on weekends for



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- two months before implementation (4 hours overtime pay will be provided per Nutrition Assistant/Health Educator for each training session attended).
- Progress Objective 2:      Guam WIC staff review of HANDS and will begin September as described in objective 2 and continue until October 1<sup>st</sup>.
- Objective 3:                Provide mentoring from super-users at each WIC site for one week at implementation of HANDS. Request an on-site HANDS expert from Arizona to also be present to act as a helpdesk and advisor.
- Progress Objective 3:      On October 1<sup>st</sup> when HANDS goes live, trainers from Arizona will be present to trouble shoot problems and mentor the implementation process for one week.
- 

### VIII. FY 2015 Certification, Eligibility and Coordination of Services

- Goal:                         To facilitate the development of clinic staff PCE skills in using HANDS for determining client WIC eligibility.
- Objective 1:                Guam WIC staff that attended the HANDS training will mentor all program staff in the VENA skills necessary when using the HANDS application for WIC program eligibility determination.
- Objective 2:                Additional HANDS, PCE, and VENA training for the Guam WIC “super users” may be necessary and will be provided as needed.
- 

### IX. FY 2015 Food Delivery (FD) / Food Instrument (FI) / Cash-Value Voucher (CVV) Accountability and Control Narrative





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The State Agency uses a retail purchase system whereby supplemental foods are provided to certified participants. WIC bank drafts are then redeemed at approved retailers after issuance by the WIC clinic staff. The State agency utilizes on-demand printing of standard and pre-designed prescription food packages for FI and CVV distribution. The on-demand FIs and CVVs are issued upon certification, re-certification, or at the time for FIs and CVVs pick-up. Automated inventory of FIs and CVVs is documented daily for each WIC participant when the FI is printed.

The State agency is accountable for the receipt and issuance of all FIs and CVVs and ensures storage of unissued FIs and CVVs. FIs and CVVs supply logs are maintained by the WIC Administrative Office to record the receipt and issuance of all FIs and CVVs.

The State agency does not provide a toll-free number on the FI and CVV for participant/vendor inquiries. Telephone numbers for all WIC clinic sites are provided for participant and vendor inquiries on the WIC I.D. card.

### State Agency Purchase/Contract Bids

The State agency places the order to purchase FIs and CVVs annually from the contracted bank, Solutran. The FIs and CVVs are shipped quarterly and upon receipt of the shipment we are issued an invoice for the quarterly shipment. Solutran also provides pre-screening of redeemed FIs and CVVs.

Pursuant to cost containment measures the Guam WIC Program currently participates with 21 other WIC State Agencies in the Western States Contracting Alliance (WSCA) Infant Formula Rebate (IFR) Contract based on a solicitation that evaluates bids by determining the lowest net wholesale cost/can of infant formula. Rebates are not obtained on other WIC foods except infant formula.

Through Participating Addendums between Abbot Nutrition, Abbott Laboratories, and Washington State (and one between Mead Johnson and Company, LLC, and Washington State, Washington State acts as the lead state for the WSCA WIC Infant Formula Rebate (Contract No. 05411), on behalf of the State Agencies of Alaska, American Samoa, Arizona, Commonwealth of the Northern Mariana Islands, Delaware, District of Columbia, Guam, Hawaii, Idaho, Intertribal Council of Arizona, Intertribal Council of Nevada, Kansas, Maryland, Montana, Navajo Nation, Nevada, Oregon, Utah, Virgin Islands, Washington, West Virginia and Wyoming.

Effective May 9, 2012 and pursuant to Guam public law 31-213, the Guam WIC Program is authorized to join or use the contracts of other states (i.e. WSAC) or government units of the United States thus granting access to the infant formula rebate contract.



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## Guam WIC Program Section I

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On September 29, 2013, the Governor of Guam signed the Participating Addendums with WSCA (one for Mead Johnson and Company, LLC, and the other with Abbott Nutrition, Abbott Laboratories) which authorizes the Guam WIC Program to participate in the present year multi-state Infant Formula Rebate Contract.

Effective October 1, 2012, under the WSCA contract (#05411), Abbott Nutrition was awarded the contract for all physical forms of the Milk-based infant formula and Mead Johnson & Company, LLC was awarded the contract for all physical forms of Soy-based infant formula. Thus, the contract brand infant formula approved for participants to obtain Milk-based infant formula is *Similac* by Ross Products Division, and *Enfamil* for Soy-based infant formula.

The initial term of this Contract is three (3) years from date of Award with the option to extend for additional term(s) or portions thereof. Extension for each additional term or portion thereof shall be exercised at the sole discretion of the Purchasing Authority upon written notice to Contractor. The Purchasing Authority reserves the right to extend with all or some of the Contractors, and the right to extend the whole Contract or portion of the whole, as solely determined by the Purchasing Authority. The total Contract term, including the initial term and all subsequent extensions, shall not exceed six (6) years unless an emergency exists and/or special circumstances require a partial term extension.

- a. The initial term of the Contract will be effective October 1, 2012 through September 30, 2015.
- b. Contract extensions will be executed eighteen (18) months in advance of Contract expiration date.
- c. Contractor must respond within forty-five (45) calendar days following OSP's notification of extension.
- d. All terms and conditions of the Contract will continue in force in the event of a contract extension.

State agency disposition procedures assure 100% disposition of all issued FIs and CVVs. Home as well as direct distribution food delivery systems do not apply to the Guam WIC program.

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### IX. FY 2012 Food Delivery (FD) / Food Instrument (FI) / Cash-Value Voucher (CVV) Accountability and Control Evaluation



## Guam WIC Program Section I



- Goal 1: Improve controls and accountability of reports relating to food delivery and food instruments including cash value vouchers.
- Goal 2: Ensure changes in food delivery, food instruments and cash value voucher accountability are in compliance with federal regulations.
- Objective 1: Ensure financial reports generated by the HANDS are functional, accurate and complete.
- Progress: The Guam WIC Program continues to work with computer consultant, Arizona WIC IT staff and CMA Consulting to ensure financial reports generated by the HANDS are functional, accurate, and complete.
- Progress Update: Continuous/on-going.
- Objective 2: Continue to ensure that printing of WIC checks are operational at all WIC sites.
- Progress: The Guam WIC Program continues to work with computer consultant, Arizona WIC IT staff and CMA Consulting, Inc. to ensure that printing of WIC checks are operational at all WIC sites.
- Progress Update: Continuous /on-going.
- Objective 3: Continue to ensure issues regarding bank reports are discussed and addressed in a timely manner.
- Progress: The Guam WIC Program continues to work with computer consultant, Arizona WIC IT staff and CMA Consulting to ensure financial reports generated by the HANDS are functional, accurate, and complete.
- Progress Update: Continuous/on-going.
- Goal 3: Ensure WIC Administrative Support staff are provided staff development opportunities to develop and enhance their skills and functional area.



## Guam WIC Program Section I



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|                     |  |
|---------------------|--|
| Objective (Goal 3): | Have WIC-Administrative Support staff attend on-island/off-island trainings/conferences/meetings that will develop/enhance their skills/knowledge pertaining to their functional area.   |
| Progress:           | Although no training was provided in FY 2012, Guam WIC is in communications with the Guam Department of Administration section and well as our Department's Director's Office regarding any pertinent training that will benefit staff and the Guam WIC Program. |
| Progress Update:    | Continuous/on-going.   |

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### **IX. FY 2013 Food Delivery (FD) / Food Instrument (FI) / Cash-Value Voucher (CVV) Accountability and Control**

|              |   |
|--------------|---|
| Goal 1:      | Improve controls and accountability of reports relating to food delivery and food instruments including cash value vouchers.        |
| Goal 2:      | Ensure changes in food delivery, food instruments and cash value voucher accountability are in compliance with federal regulations. |
| Objective 1: | Ensure financial reports generated by the HANDS are functional, accurate and complete.  |
| Progress:    | Continuous/on-going.  |
| Objective 2: | Continue to ensure that printing of WIC checks are operational at all WIC sites.  |
| Progress:    | Continuous/on-going   |
| Objective 3: | Continue to ensure issues regarding bank reports are discussed and addressed in a timely manner.                                    |
| Progress:    | Continuous/on-going.  |



## Guam WIC Program Section I



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|                     |  |
|---------------------|--|
| Goal 3:             | Ensure WIC Administrative Support staff are provided staff development opportunities to develop and enhance their skills and functional area.  |
| Objective (Goal 3): | Have WIC-Administrative Support staff attend on-island/off-island trainings/conferences/meetings that will develop/enhance their skills/knowledge pertaining to their functional area. |
| Progress:           | Continuous/on-going.   |

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### **IX. FY 2014 Food Delivery (FD) / Food Instrument (FI) / Cash-Value Voucher (CVV) Accountability and Control**

|                       |   |
|-----------------------|---|
| Goal 1:               | Improve controls and accountability of reports relating to food delivery and food instruments including cash value vouchers.        |
| Goal 2:               | Ensure changes in food delivery, food instruments and cash value voucher accountability are in compliance with federal regulations. |
| Objective 1:          | Ensure financial reports generated by the HANDS are functional, accurate and complete.  |
| Progress Objective 1: | Continuous/on-going.  |
| Objective 2:          | Continue to ensure that printing of WIC checks are operational at all WIC sites.  |
| Progress Objective 2: | Continuous/on-going.  |
| Objective 3:          | Continue to ensure issues regarding bank reports are discussed and addressed in a timely manner.                                    |
| Progress Objective 3: | Continuous/on-going.  |



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## Guam WIC Program Section I

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- Goal 3: Ensure WIC Administrative Support staff are provided staff development opportunities to develop and enhance their skills and functional area.
- Objective (Goal 3): Have WIC-Administrative Support staff attend on-island/off-island trainings/conferences/meetings that will develop/enhance their skills/knowledge pertaining to their functional area.
- Progress Obj. (Goal 3): Continuous/on-going.
- 

### **IX. FY 2015 Food Delivery (FD) / Food Instrument (FI) / Cash-Value Voucher (CVV) Accountability and Control**

- Goal 1: Improve controls and accountability of reports relating to food delivery and food instruments including cash value vouchers.
- Goal 2: Ensure changes in food delivery, food instruments and cash value voucher accountability are in compliance with federal regulations.
- Objective 1: Ensure financial reports generated by the HANDS are functional, accurate and complete.
- Objective 2: Continue to ensure that printing of WIC checks are operational at all WIC sites.
- Objective 3: Continue to ensure issues regarding bank reports are discussed and addressed in a timely manner.
- Goal 3: Ensure WIC Administrative Support staff are provided staff development opportunities to develop and enhance their skills and functional area.
- Objective (Goal 3): Have WIC-Administrative Support staff attend on-island/off-island trainings/conferences/meetings that will develop/enhance their skills/knowledge pertaining to their functional area.
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## Guam WIC Program Section I

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### X. FY 2015 Monitoring and Audits Narrative

The Quality Assurance Section is responsible for monitoring compliance activities of the WIC Program and conducting reviews of its five local clinics Tiyan WIC, Dededo WIC and Mangilao WIC, Santa Rita WIC and Inarajan WIC annually. The review encompasses evaluation of management, certification, nutrition education, participant services, civil rights compliance, accountability, and financial management system and food delivery system. This section addresses all compliance issues of the WIC Program. It ensures that all regulations, policies and procedures (Federal, Local and Program requirement) are met by program staff and all Standard Operating Procedures comply with all federal and local regulations.

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### X. FY 2013 Monitoring and Audits Evaluation

|                         |  |
|-------------------------|--|
| Goal 1:                 | Conduct the clinic reviews on each of the WIC's local clinics.   |
| Objective 1:            | To conduct clinic review for Tiyan, Dededo and Mangilao (Santa Rita/Inarajan) by September 2013.   |
| Progress:               | The FY 2013 Dededo Clinic Review was conducted on December 6, 2012; the FY 2013 Mangilao Clinic Review was conducted on February 25, 2013 and the FY 2013 Tiyan Clinic Review is currently on going. |
| Progress Update Obj. 1: | The annual FY 2013 Clinic Review's for Dededo WIC, Mangilao WIC, Tiyan and Santa Rita WIC were conducted and completed by September 30, 2013.  |
| Goal 2:                 | Review participant's chart for program compliance.   |
| Objective 2:            | To review participant's chart for program compliance during the clinic review by September 30, 2013.   |
| Progress:               | The case files review for the FY 2013 Dededo WIC and   |



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|                         |  |
|-------------------------|--|
|                         | Mangilao WIC clinic were completed and the FY 2013 Tiyan WIC is currently ongoing.   |
| Progress Update Obj. 2: | The participant's chart review for Dededo, Mangilao, Tiyan and Santa Rita WIC clinics were conducted and completed by September 30, 2013.  |
| Goal 3:                 | Ensure Quality Assurance Section staff is provided staff development opportunities to develop and enhance her skills and functional area.  |
| Objective 3:            | Have the Quality Assurance Section staff attend on-island/off-island training/conferences/meetings that will develop/enhance her skills/knowledge pertaining to her functional area. |
| Progress:               | Tentatively to participate in the user input for development of HANDS/human interface training in Arizona in August 20, 21, 22, 2013.  |
| Progress Update Obj. 3: | The QAS staff attended the HANDS Human Interface Training in Phoenix, AZ on August 20-22, 2013.  |

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### **X. FY 2014 Monitoring and Audits**

|                       |  |
|-----------------------|--|
| Goal 1:               | Conduct the clinic reviews on each of the WIC's local clinics.   |
| Objective 1:          | To conduct clinic review for Tiyan, Dededo and Mangilao (Santa Rita/Inarajan) by September 2014.   |
| Progress Objective 1: | The annual FY 2014 Clinic Review for Dededo WIC was conducted and completed on February 20, 2014 and the Mangilao WIC on May 21, 2014. The Tiyan, Santa Rita and Inarajan WIC will be conducted and completed by September 30, 2014. |
| Goal 2:               | Review participant's chart for program compliance.   |





## Guam WIC Program Section I



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|                       |   |
|-----------------------|---|
| Objective 2:          | To review participant's chart for program compliance during the clinic review by September 30, 2014.  |
| Progress Objective 2: | The participant's chart review for Dededo WIC was reviewed and completed on February 20, 2014 and the Mangilao WIC on May 21, 2014. The Tiyan, Santa Rita and Inarajan WIC clinics will be conducted and completed by September 30, 2014. |
| Goal 3:               | Ensure Quality Assurance Section staff is provided staff development opportunities to develop and enhance her skills and functional area.   |
| Objective 3:          | Have the Quality Assurance Section staff attend on-island/off-island training/conferences/meetings that will develop/enhance her skills/knowledge pertaining to her functional area.  |
| Progress Objective 3: | Have not attended any training as of June 2014.   |

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### **X. FY 2015 Monitoring and Audits**

|              |   |
|--------------|---|
| Goal 1:      | Conduct the clinic reviews on each of the WIC's local clinics.  |
| Objective 1: | To conduct clinic review for Dededo, Mangilao, Tiyan (Santa Rita/Inarajan) by September 2015.   |
| Goal 2:      | Review participant's chart for program compliance.  |
| Objective 2: | To review participant's chart for program compliance during the clinic review by September 30, 2015.                                      |
| Goal 3:      | Ensure Quality Assurance Section staff is provided staff development opportunities to develop and enhance her skills and functional area. |
| Objective 3: | Have the Quality Assurance Section staff attend on-island/off-island training/conferences/meetings that will                              |



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## Guam WIC Program Section I

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develop/enhance her skills/knowledge pertaining to her functional area.

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### **XI. FY 2015 Civil Rights Narrative**

This section is responsible for ensuring the Guam WIC Program staff receives annual Civil Rights training and to monitor and ensure staff is in compliance with the Civil Rights laws and procedures.

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### **XI. FY 2013 Civil Rights Evaluation**

|                         |  |
|-------------------------|--|
| Goal 1:                 | Monitor and ensure compliance with Civil Rights laws.  |
| Objective 1:            | To monitor the Civil Rights compliance during the FY 2013 Clinic Review of WIC's local clinics by September 2013.  |
| Progress:               | The Civil Rights compliance reviews were conducted in conjunction with the annual clinic review. The reviews were conducted and completed as follows: Dededo WIC- December 6, 2012; Mangilao (Santa Rita, Inarajan) WIC - February 25, 2013 and Tiyan WIC - Currently ongoing. |
| Progress Update Obj. 1: | The Civil Rights compliance review for Dededo, Mangilao, Tiyan and Santa Rita were conducted and completed by September 30, 2013.  |
| Goal 2:                 | Annual Civil Rights Training for WIC staff.  |
| Objective 2:            | To ensure and monitor each staff to take the Civil Rights training on line by September 2013.  |
| Progress:               | The on line 2013 Civil Rights Training course is ongoing and the WIC staff is required to complete the course by August 31, 2013.  |



## Guam WIC Program Section I



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|                         |   |
|-------------------------|---|
| Progress Update Obj. 2: | All Guam WIC staff have successfully completed the Civil Rights Training Course online by September 30, 2013.   |
| Goal 3:                 | Ensure Civil Rights Coordinator is provided staff development opportunities to develop and enhance her skills and functional area.  |
| Objective 3:            | Have the Civil Rights Coordinator attend on island/off-island training/conferences/meetings that will develop/enhance her skills/knowledge pertaining to her functional area. |
| Progress:               | As of May 2013, there is no training available for staff to attend.   |
| Progress Update Obj. 3: | Civil Rights Coordinator did not attend training in FY 2013. No training was available.   |

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### **XI. FY 2014 Civil Rights**

|              |   |
|--------------|---|
| Goal 1:      | Monitor and ensure compliance with Civil Rights laws.   |
| Objective 1: | To monitor the Civil Rights compliance in conjunction with the FY 2014 Clinic Review of WIC's local clinics by September 2014.  |
| Progress:    | The Civil Rights compliance review was conducted and completed to the following clinics: Dededo WIC on February 20, 2014 and the Mangilao WIC on May 21, 2014. Tiyan, Santa Rita and Inarajan WIC clinics will be reviewed and completed by September 30, 2014. |
| Goal 2:      | Annual Civil Rights Training for WIC staff.   |
| Objective 2: | To ensure and monitor each staff to take the Civil Rights training on line by September 2014.   |
| Progress:    | All of Guam WIC staff had attended the C.L.A.S. Training on January 24, 2014 at the Guam Westin Resort, Guam.   |



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## Guam WIC Program Section I

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- Goal 3: Ensure Civil Rights Coordinator is provided staff development opportunities to develop and enhance her skills and functional area.
- Objective 3: Ensure Civil Rights Coordinator is provided staff development opportunities to develop and enhance her skills and functional area.
- Progress: Attended the C.L.A.S. Training on January 24, 2014 at the Guam Westin Resort, Guam.
- 

### **XI. FY 2015 Civil Rights**

- Goal 1: Monitor and ensure compliance with Civil Rights laws.
- Objective 1: To monitor the Civil Rights compliance in conjunction with the FY 2015 Clinic Review of WIC's local clinics by September 2015.
- Goal 2: Annual Civil Rights Training for WIC staff.
- Objective 2: To ensure and monitor each staff to take the Civil Rights training on line by September 2015.
- Goal 3: Ensure Civil Rights Coordinator is provided staff development opportunities to develop and enhance her skills and functional area.

**V. DRAFT NUTRITION SERVICES AND ADMINISTRATION (NSA)  
EXPENDITURES**

**(Please indicate) State Agency: GU WIC for FY 2015**

NSA expenditures involve the process of allocating, documenting and monitoring the distribution of administrative funds to local agencies, including the monitoring of nutrition education costs, and State and local agency direct/indirect costs.

**A. Funds Allocation - 246.4(a)(13):** describe the policies and procedures used to allocate administrative funds to local agencies, including start-up funds, and conversion of food funds to NSA funds.

**B. Local Agency Budgets/Expenditure Plans - 246.4(a)(2):** describe the policies and procedures for preparing and submitting local agency budgets and expenditure plans and the services that are entirely supported by WIC Program funds.

**C. State and Local Agency Access to Funds - 246.4(a)(12):** describe the procedures and method(s) of distribution/reimbursement of NSA funds to local agencies.

**D. Reporting and Reviewing of State and Local Agency Expenditures - 246.4(a)(11)(iv) and (12):** describe the policies and procedures used to report, monitor and review State and local agencies' expenditures, including the documentation of staff time, local agency report forms, on-site reviews of local agencies' NSA expenditures, and in-kind contributions.

**E. Nutrition Education Costs - 246.4(a)(9):** describe the plans and procedures used to meet the nutrition education expenditure requirements, including monitoring activities, local agency reports, and assurances that the special nutrition education needs of migrant farmworkers and their families, Indians, and homeless persons are met.

**F. Indirect Costs - 246.4(a)(12):** describe the policies and procedures used to document and monitor indirect cost rates and services at the State and local level.

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**A. Funds Allocation**

**DOES NOT APPLY (PROCEED TO NEXT SECTION)**

**1. Allocation Process**

**a. The State agency has established and provided written procedures to local agencies describing the process for allocation of NSA funds among local agencies.**

Yes                       No

**b. Local agencies were involved in developing these procedures via:**

- task force/committee of selected local agencies
- comment on proposals made available to all local agencies
- other (describe): \_\_\_\_\_

**c. The State agency allocates NSA funds to local agencies through the use of:**

- a negotiated budget                       flat cost per participant Statewide
- formula (variable)                       other method (describe): \_\_\_\_\_

**d. The allocation procedure takes the following factors into account (check all that apply):**

- staffing needs                       population density
- number of participants                       cost-containment initiatives
- availability of administrative support from other sources
- other (specify): \_\_\_\_\_

**e. The State agency methodology for funds allocations to local agencies includes a mechanism for reallocation.**

- Yes                       monthly                       quarterly                       semiannually
- No                       other (specify): \_\_\_\_\_

**ADDITIONAL DETAIL: NSA Expenditures Appendix and/or Procedure Manual (citation):**

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**A. Funds Allocation**

**2. Conversion of Food Funds to NSA Funds**

**a. The State agency allocates converted food funds to local agencies:**

- at the beginning of the year based on projection
- as participation permits (for States that do not submit conversion plan)
- other (explain): \_\_\_\_\_

**b. Local agencies that either meet or exceed participation projections necessary to qualify for food to NSA grant conversion or to support the State agency's conversion plan are rewarded with increases to their NSA grant.**

- Yes                       No
- Depends (explain): \_\_\_\_\_

**ADDITIONAL DETAIL: NSA Expenditures Appendix and/or Procedure Manual (citation):**

**3. The State's Fiscal Year runs from \_\_\_\_\_ to \_\_\_\_\_**

**ADDITIONAL DETAIL: NSA Expenditures Appendix and/or Procedure Manual (citation):**

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**B. Local Agency Budgets/Expenditures Plans**

**1. Local Agency Budgets/Expenditure Plans**

**a. The State agency requires its local agencies to prepare and submit administrative budgets.**

Yes                       No                       Not Applicable

**If yes, the State agency requires that local agency budgets include the same cost categories as those used for State-level budget preparation.**

Yes                       No

**b. Local agencies' budgets are broken out by (check all that apply):**

not applicable

line items

- accounting
- ADP services
- breastfeeding aids
- capital expenditures
- clinic/lab services
- communications
- employee salaries
- employee fringe benefits
- lease or rental of space
- maintenance and repair
- materials and supplies
- memberships, subscriptions, and professional activities
- printing and reproduction
- training and education
- transportation
- travel
- other (specify): \_\_\_\_\_

functions

- general administration/program management
- food delivery
- certification
- nutrition education
- breastfeeding promotion/support (e.g., breastfeeding aids)
- client services
- other (specify): \_\_\_\_\_



**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**B. Local Agency Budgets/Expenditures Plans**

c. **The State agency has an established formal process for local agencies to follow when requesting amendments or modifications to their budgets.**

Yes       No       Not Applicable

d. **In order to prepare the federally required WIC administrative budget, the State agency:**

- uses local agency budgets or prior year expenditures
- reports under an ongoing system to collect this data
- extracts or consolidates data reported under other State or local agency systems to group costs under the federal line items and functions
- other (describe): **Uses prior year expenses and staffing projections to determine what funds are appropriated for salaries and fringe benefits, capital outlay, contractual services (to include lab services), materials and supplies, memberships and subscriptions, printing, training and education, travel and transportation, utilities, and equipment.**

(State WIC administrative budgets are not submitted to FNS, but are used by State agencies as a management tool and may be reviewed by FNS.)

**ADDITIONAL DETAIL: SA/LA Spending Plan Appendix – *Budget Expenditure Plan, Request for Appropriation/Allotment Modification* and/or Procedure Manual (citation):**

2. **Please indicate below the services that are entirely supported by WIC funds:**

- Anthropometric measurements
- Nutrition counseling/education
- Breastfeeding promotion/support
- Immunization status assessments
- Referrals to health and/or social services
- Hematological assessments
- Other (specify): \_\_\_\_\_

**ADDITIONAL DETAIL: SA/LA Spending Plan Appendix and/or Procedure Manual (citation):**

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**C. State and Local Agency Access to Funds**

**1. The State Agency manages its NSA Grant on a/an:**

- cash basis                       accrual basis  
 other (specify): \_\_\_\_\_

**ADDITIONAL DETAIL: NSA Expenditures Appendix  
and/or Procedure Manual (citation):**

**2. Reimbursement/Provision of Funds to Local Agencies**

**a. The State agency provides local agencies with funds in advance.**

- Yes (state conditions): \_\_\_\_\_  
 No  
 Not Applicable (Proceed to next section.)

**If yes, advances must be reconciled to incoming claims. Local agency claims are submitted:**

- Monthly                       Quarterly

**b. In order to qualify for payment, an expenditure must be (check all that apply):**

- at or below the level of its approved budget line item  
 supported by appropriate documentation (e.g., check or receipt)  
 a reasonable and necessary expense for WIC  
 other (specify): \_\_\_\_\_

**c. If an expenditure exceeds the budget provided for that particular line item, the State agency requires the local agency to (check all that apply):**

- submit a supplemental request  
 provide a justification for exceeding the budget line item  
 make an offsetting adjustment to another line item in its budget  
 request approval of a budget modification  
 other (explain): \_\_\_\_\_

**d. Local agencies receive payment via:**

- electronic funds transfer                       State treasury check/warrant  
 other (specify): \_\_\_\_\_

**ADDITIONAL DETAIL: NSA Expenditures Appendix  
and/or Procedure Manual (citation):**

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**D. Reporting and Reviewing of State and Local Agency Expenditures**

**1. Documentation of Staff Time**

- a. How does the State agency determine the percentage of staff time devoted to WIC tasks to document allowable staff costs under the WIC Program (check all that apply):

| At SA                               | At LA   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> 100 percent reporting      |
| <input type="checkbox"/>            | <input type="checkbox"/> Random moment sampling     |
|                                     | Periodic time studies:                              |
| <input type="checkbox"/>            | <input type="checkbox"/> 1 week/month               |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> 1 month/quarter |
| <input type="checkbox"/>            | <input type="checkbox"/> other (specify): _____     |

- b. The State agency last evaluated its time documentation protocol on (specify date) September 2013. If available, please attach a copy of the protocol to this section or cite Procedure Manual reference.

**ADDITIONAL DETAIL: NSA Expenditures Appendix: *GU-WIC Rime Study Sheet, PH Nutrition Administrator WIC Time Allocation Log, FMNP Time Study Log, Employment Certification Form, Employee Pay Time Sheet, Daily Attendance Log Sheet, CompTime/Overtime Record, Leave Application***

and/or Procedure Manual (citation):

**2. Local Agency Report Forms**

- a. The State agency specifies standard forms and/or procedures for local agencies to use in reporting monthly local-level expenditures.

Yes       No  
 Not Applicable (Proceed to next section)

- b. If a standard form is used, it requires local agencies to report NSA expenditures by:

same categories as local agency budget  
 other format which includes:  
 **line items**

|                          |                      |
|--------------------------|----------------------|
| <input type="checkbox"/> | accounting           |
| <input type="checkbox"/> | ADP services         |
| <input type="checkbox"/> | breastfeeding aids   |
| <input type="checkbox"/> | capital expenditures |
| <input type="checkbox"/> | clinic/lab services  |
| <input type="checkbox"/> | communications       |

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**D. Reporting and Reviewing of State and Local Agency Expenditures**

- employee salaries
- employee fringe benefits
- lease or rental of space
- maintenance and repair
- materials and supplies
- memberships, subscriptions, and professional activities
- printing and reproduction
- training and education
- transportation
- travel
- other (specify): \_\_\_\_\_

- functions**
  - general administration/program management
  - food delivery
  - certification
  - nutrition education
  - breastfeeding promotion/support (e.g. breastfeeding aids)
  - client services
  - other (specify): \_\_\_\_\_

other (specify): \_\_\_\_\_

**ADDITIONAL DETAIL: NSA Expenditures Appendix  
and/or Procedure Manual (citation):**

**3. On-Site Review of Local Agencies' Administrative Expenditures**

**a. The State agency conducts on-site reviews of local agency administrative expenditures:**

- annually       every two years       every three years  
 other (specify): N/A

**The review is conducted by:**

- WIC State agency staff
- State Department of Health fiscal or audit staff
- CPA or audit firm
- other (specify): \_\_\_\_\_

**b. The State agency utilizes a standard format/guide to review local agencies' NSA expenditures.**

- Yes       No

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**D. Reporting and Reviewing of State and Local Agency Expenditures**

**If yes, the standard review guide includes the following procedures (check all that apply):**

- verification of at least one monthly billing/claim/expenditure report against source documents
- tracking written approval of procurements
- requesting records of ordering, receipt, billing, and payment
- determination that costs were necessary, reasonable and appropriate
- determination that costs were properly allocated among WIC and other programs
- determination that personnel costs charged to WIC were appropriate
- determination that local agencies' indirect costs were appropriately charged
- other (specify): \_\_\_\_\_

**c. If available, please attach a copy of the State agency's NSA expenditure review guide.**

**d. The State agency notifies local agencies of findings and establishes claims for unallowable costs, as appropriate.**

- Yes                       No

**ADDITIONAL DETAIL: NSA Expenditures Appendix and/or Procedure Manual (citation):**

**4. The State agency requires local agencies to document the sources and values of in-kind contributions.**

- Yes                       No

**ADDITIONAL DETAIL: NSA Expenditures Appendix and/or Procedure Manual (citation):**

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**E. Nutrition Education Costs**

1. The State agency documents that it meets its nutrition education and breastfeeding promotion expenditure requirements per 7 CFR 246.14(c)(1) via:

- activity reports       time studies       itemizing expenditures  
 other (specify): Apply 10% of Guam WIC Program ADP expenses to Nutrition Education proportionate to the Nutrition Education Module which constitutes 1/10 of the modules in the HANDS for Guam

**ADDITIONAL DETAIL: NSA Expenditures Appendix and/or Procedure Manual (citation):**

2. The State agency monitors expenditures for the following activities related to breastfeeding promotion and support at the State and/or local level (check all that apply):

|   | At SA                               | At LA                    |
|---|-------------------------------------|--------------------------|
| breastfeeding promotion coordinator's salary                                      | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| written educational materials   | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| participant education/counseling  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| staff training  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| breastfeeding promotion activities  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| direct support costs  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| breastfeeding aids and equipment<br>(e.g., breast pumps purchased with NSA funds) | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| other   | <input type="checkbox"/>            | <input type="checkbox"/> |
| (if other, specify): _____  |                                     |                          |

**ADDITIONAL DETAIL: NSA Expenditures Appendix and/or Procedure Manual (citation):**

3. In the event that the State agency uses funds from other sources in meeting minimum expenditure requirements for nutrition education (NE) and breastfeeding promotion and support (BFPS), please provide below the source of these funds, the amount, and the method the State agency will use to document the use of these NE and BFPS funds. (Federal WIC food funds used to purchase/rent breast pumps, and expenditures from breastfeeding peer counseling funds, cannot be counted toward the nutrition education and breastfeeding expenditure requirement.)

| Source     | Amount |
|------------|--------|
| <u>N/A</u> | _____  |
| _____      | _____  |
| _____      | _____  |

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**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**E. Nutrition Education Costs**

**Method(s):**

- activity reports       time studies       itemizing expenditures  
 other (specify):

**ADDITIONAL DETAIL: NSA Expenditures Appendix  
and/or Procedure Manual (citation):**

**4. Local agencies report nutrition education and breastfeeding promotion and support costs:**

- when they report routine NSA costs  
 through a different system (specify): N/A

**ADDITIONAL DETAIL: NSA Expenditures Appendix  
and/or Procedure Manual (citation):**

**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**F. State and Local Agency Indirect Costs**

**1. Indirect Cost Rate and Services**

**a. Please list below indirect cost/cost allocation agreements in which the State agency is included:**

With the Department of Interior – Fixed Carryforward Agreement (effective 10/01/13 to 9/30/14)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**b. The State agency's indirect cost rate(s) is 21.17 (%) and is based on:**

salaries                       direct costs for administration                       both  
 other (specify):

**c. Please cite the effective date of the State agency's current negotiated agreement and/or cost allocation plan for indirect costs: April 25, 2014.**

**d. The State agency receives the following types of services under the indirect cost rate agreement(s):**

|  |   |
|--|---|
| <input checked="" type="checkbox"/> budgeting/accounting     | <input checked="" type="checkbox"/> personnel/payroll       |
| <input checked="" type="checkbox"/> ADP                      | <input checked="" type="checkbox"/> space usage/maintenance |
| <input checked="" type="checkbox"/> communication/phone/mail | <input checked="" type="checkbox"/> central supply          |
| <input checked="" type="checkbox"/> legal services           | <input checked="" type="checkbox"/> procurement/contracting |
| <input type="checkbox"/> printing/publication                | <input checked="" type="checkbox"/> audit services          |
| <input type="checkbox"/> equipment usage/maintenance         | <input type="checkbox"/> other (specify):                   |

**e. The State agency allows local agencies to report indirect costs.**

Yes                       No                       Not Applicable

**ADDITIONAL DETAIL: NSA Expenditures Appendix: *Indirect Cost Negotiation Agreement***

**and/or Procedure Manual (citation):**

**2. Review of Indirect Cost Documentation**

**a. The State agency and local agencies ensure that services received and paid for through indirect costs benefit WIC and are not also charged directly to WIC by comparing direct charges by line item to a listing of services paid by funds collected through the application of the indirect cost rate:**

Done for State agency level indirect costs (frequency): \_\_\_\_\_  
 Done for local agency level indirect costs (frequency): \_\_\_\_\_



**V. NUTRITION SERVICES AND ADMINISTRATION (NSA) EXPENDITURES**

**F. State and Local Agency Indirect Costs**

Not done at either level: \_\_\_\_\_

**b. State and local agency WIC management have access to and review the following documents as applicable to ensure that indirect cost services are not also charged directly to WIC (check all that apply):**

|   | <b>At SA</b>                        | <b>At LA</b>             |
|---|-------------------------------------|--------------------------|
| indirect cost agreements/plans  | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| the accounting mechanism used to ensure the propriety of indirect cost charges  | <input type="checkbox"/>            | <input type="checkbox"/> |
| a copy of the cost allocation plan  | <input type="checkbox"/>            | <input type="checkbox"/> |
| a list of all services paid from indirect costs                                 | <input type="checkbox"/>            | <input type="checkbox"/> |
| other documentation related to the establishment and charging of indirect costs | <input type="checkbox"/>            | <input type="checkbox"/> |
| not applicable  | <input type="checkbox"/>            | <input type="checkbox"/> |

**c. When the State agency reviews the local agencies' indirect cost rate agreements, the review includes (check all that apply):**

- required submission of indirect cost agreement by the local agency to the State agency
- assessment of how the rate or method is applied (correct time period, percentage, and base)
- verification that the State agency had previously approved the local agency to negotiate such an agreement
- post-review or audit to ensure the rate was applied correctly
- other documentation related to the establishment and charging of indirect costs (list): \_\_\_\_\_
- not applicable

**ADDITIONAL DETAIL: NSA Expenditures Appendix and/or Procedure Manual (citation):**

**ANNUAL BUDGET PROJECTION**

**WIC - ADMIN**

DUNS Number: 778904292

DPHSS EIN: 980018947

Public Law:

Catalog Number: 10.557

FY 2015 (October 1, 2014 through September 30, 2015)

| OBJECT CLASS          | CATEGORY                     | BUDGET PROJECTION WIC-ADMIN |
|-----------------------|------------------------------|-----------------------------|
| 111                   | Salaries                     | 1,623,092.00                |
| 112                   | Overtime                     | 20,068.00                   |
| 113                   | Benefits                     | 64,124.00                   |
| 220                   | Travel                       | 199,926.00                  |
| 230                   | Contractual                  | 249,256.00                  |
| 233                   | Rental                       | 48,000.00                   |
| 240                   | Supplies                     | 53,553.00                   |
| 250                   | Equipment                    | 38,110.00                   |
| 271                   | Drug Testing                 | 240.00                      |
| 361                   | Power                        | 100,332.00                  |
| 362                   | Water                        | 11,077.00                   |
| 363                   | Telephone                    | 84,003.00                   |
| 450                   | Capital Outlay               |                             |
| 701                   | Indirect Costs (21.17% FY14) | 347,834.00                  |
| <b>Subtotal-ADMIN</b> |                              | <b>2,839,615.00</b>         |

|     |                    |  |
|-----|--------------------|--|
| 290 | Miscellaneous-FOOD |  |
|-----|--------------------|--|

**FY 2014 GRANT AWARD**

|                                   |                       |
|-----------------------------------|-----------------------|
| WIC Admin                         | \$2,547,810.00        |
| WIC Food                          | \$7,179,026.00        |
|                                   | <u>\$9,726,836.00</u> |
| WIC Spendforward FY2014 to FY2015 | 3%                    |
|                                   | <u>\$291,805.08</u>   |
| Projected FY2015 WIC Admin Budget | \$2,839,615.08        |

Date: 6/6/2014

FY 2014-2016  
 GUAM WIC BREASTFEEDING PEER COUNSELING  
 BUDGET PLAN  
 Account Code: 2013IW500347  
 Catalog Number: 10.557  
 P.L. 95-627 / 7GU700GU1  
 Account No: 5101H131712E1124

|                    |                  |  |  |  |  |  |              |
|--------------------|------------------|--|--|--|--|--|--------------|
|                    | GAD000<br>FY2014 |  |  |  |  |  | <b>TOTAL</b> |
| BF Peer Counseling | 82,863.00        |  |  |  |  |  | 82,863.00    |
|                    | 82,863.00        |  |  |  |  |  | 82,863.00    |

| OBJECT CLASS | CATEGORY               | GAD005<br>CR Allocation | MOD10-<br>Balance Due | MOD<br>Transfer funds | GAD      | GAD      | TOTAL            |
|--------------|------------------------|-------------------------|-----------------------|-----------------------|----------|----------|------------------|
| 111          | Salaries               | 45,823.00               |                       |                       |          |          | 45,823.00        |
| 112          | Overtime               | 15,550.00               |                       |                       |          |          | 15,550.00        |
| 113          | Benefits               | 14,307.00               |                       |                       |          |          | 14,307.00        |
| 220          | Travel                 | 656.00                  |                       |                       |          |          | 656.00           |
| 230          | Contractual            |                         |                       |                       |          |          | -                |
| 233          | Rental                 |                         |                       |                       |          |          | -                |
| 240          | Supplies               |                         |                       |                       |          |          | -                |
| 250          | Equipment              |                         |                       |                       |          |          | -                |
| 271          | Drug Testing           |                         |                       |                       |          |          | -                |
| 361          | Power                  |                         |                       |                       |          |          | -                |
| 362          | Water                  |                         |                       |                       |          |          | -                |
| 363          | Telephone              | 6,527.00                |                       |                       |          |          | 6,527.00         |
| 450          | Capital Outlay         |                         |                       |                       |          |          | -                |
|              | <b>Subtotal ADMINI</b> | <b>82,863.00</b>        | <b>0</b>              | <b>0</b>              | <b>0</b> | <b>0</b> | <b>82,863.00</b> |

**State and Local Governments  
Indirect Cost Negotiation Agreement**

EIN: 98-0018947

**Organization:**

Government of Guam  
Bureau of Budget and Management Research  
P.O. Box 2950  
Hagatna, Guam 96932

**Date:** April 25, 2014

**Report No(s):** 14-A-0650

**Filing Ref.:**

Last Negotiation Agreement  
dated March 13, 2013

The indirect cost rates contained herein are for use on grants, contracts, and other agreements with the Federal Government to which 2 CFR 225 (OMB Circular A-87) applies, subject to the limitations in Section II.A. of this agreement. The rates were negotiated by the U.S. Department of the Interior, Interior Business Center, and the subject organization in accordance with the authority contained in 2 CFR 225.

**Section I: Rates**

| Type               | Effective Period |          | Rate*  | Locations | Applicable To |
|--------------------|------------------|----------|--------|-----------|---------------|
|                    | From             | To       |        |           |               |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 0.00%  | All       | AHRD          |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 16.32% | All       | Stats/Plans   |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 7.71%  | All       | Agr. (PR/DJ)  |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 5.58%  | All       | DMHSA         |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 3.69%  | All       | Mil Affairs   |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 21.68% | All       | Parks & Rec.  |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 21.17% | All       | DPHSS         |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 31.36% | All       | Public Works  |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 2.68%  | All       | DISID         |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 0.00%  | All       | Youth Affairs |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 16.01% | All       | CAHA          |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 46.85% | All       | Energy        |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 0.00%  | All       | GEPA          |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 48.62% | All       | Library       |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 10.66% | All       | Governor      |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 1.37%  | All       | Child Support |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 11.58% | All       | Crime Victims |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 0.00%  | All       | DRT           |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 10.29% | All       | Police        |
| Fixed Carryforward | 10/01/13         | 09/30/14 | 36.63% | All       | Labor         |

\*Base: Total direct salaries and wages, excluding fringe benefits.

**Treatment of fringe benefits:** Fringe benefits applicable to direct salaries and wages are treated as direct costs; fringe benefits applicable to indirect salaries and wages are treated as indirect costs.

G. Reimbursement Ceilings: Grantee/contractor program agreements providing for ceilings on indirect cost rate(s) or reimbursement amounts are subject to the ceilings stipulated in the contract or grant agreements. If the ceiling rate is higher than the negotiated rate in Section I of this agreement, the negotiated rate will be used to determine the maximum allowable indirect cost.

H. Use of Other Rate(s): If any federal programs are reimbursing indirect costs to this grantee/contractor by a measure other than the approved rate(s) in this agreement, the grantee/contractor should credit such costs to the affected programs, and the approved rate should be used to identify the maximum amount of indirect cost allocable to these programs.

I. Central Service Costs: Where central service costs are estimated for the calculation of indirect cost rate(s), adjustments will be made to reflect the difference between provisional and final amounts.

J. Other:

1. The purpose of an indirect cost rate is to facilitate the allocation and billing of indirect costs. Approval of the indirect cost rate does not mean that an organization can recover more than the actual costs of a particular program or activity.

2. Programs received or initiated by the organization subsequent to the negotiation of this agreement are subject to the approved indirect cost rate if the programs receive administrative support from the indirect cost pool. It should be noted that this could result in an adjustment to a future rate.

3. New indirect cost proposals are necessary to obtain approved indirect cost rate(s) for future fiscal or calendar years. The proposals are due in our office 6 months prior to the beginning of the year to which the proposed rate(s) will apply.

Section III: Acceptance


Listed below are the signatures of acceptance for this agreement:

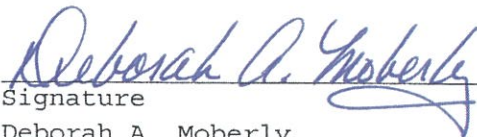
By the State & Local Government:

By the Cognizant Federal Government Agency:

Government of Guam  
State/Local Government

U.S. Department of the Interior  
Agency

 /s/  
Signature  
John A. Rios  
Name (Type or Print)  
Director  
Bureau of Budget & Management Research  
Title

 /s/  
Signature  
Deborah A. Moberly  
Name  
Office Chief  
Office of Indirect Cost Services  
Title

April 17, 2014  
Date

U.S. Department of the Interior  
Interior Business Center  
Agency

APR 25 2014

Date  
Negotiated by Sujoy Mukhopadhyay  
Telephone (916) 566-7009