

APPENDIX C: REQUIREMENTS TRACEABILITY MATRIX

#	Requirement	Base Function	EBT Ready Function
3.1	Certification		
<i>3.1.1</i>	<i>Create and Locate Data Records</i>		
3.1.1.1	Create New Applicant Record		
3.1.1.2	Search for Applicant/Participant Record		
<i>3.1.2</i>	<i>Manage Application Process</i>		
3.1.2.1	Maintain Basic Information on Applicant/Participant	X	
3.1.2.2	Screen Applicant for Prior Enrollment	X	
3.1.2.3	Determine Adjunct or Automatic Income Eligibility	X	
3.1.2.4	Determine Documented Income Eligibility	X	
3.1.2.5	Maintain Waiting List		
<i>3.1.3</i>	<i>Determine Nutrition Risk of Applicant</i>		
3.1.3.1	Maintain Applicant Nutrition and Health Characteristics	X	
3.1.3.2	Calculate Body Mass Index and Produce Automated Growth Chart	X	
3.1.3.3	Capture and Document Blood Test Results	X	
3.1.3.4	Determine Nutrition Risk and Calculate Priority	X	
<i>3.1.4</i>	<i>Complete Certification</i>		
3.1.4.1	Assess Applicant for Temporary Certification/Presumptive Eligibility Requirements and Documentation Status		
3.1.4.2	Certify Applicant	X	
3.1.4.3	Maintain Proxy Information		
3.1.4.4	Issue Identification Card		
<i>3.1.5</i>	<i>Prescribe Food Package</i>		
3.1.5.1	Select and Tailor Food Prescription	X	
3.1.5.2	Change Food Prescription		
<i>3.1.6</i>	<i>Process Participant Changes and Transfers</i>		
3.1.6.1	Change Family/Household Grouping		
3.1.6.2	Change Participation Status and/or Category		
3.1.6.3	Process In-State Transfers and Produce VOC	X	
3.1.6.4	Process Out of State Transfers and Produce VOC		
3.2	Nutrition Education, Health Surveillance, and Referrals		
<i>3.2.1</i>	<i>Maintain Nutrition Education Data</i>		
3.2.1.1	Create Participant Care Plan		
3.2.1.2	Track Nutrition Education Contacts and Topics Covered	X	

#	Requirement	Base Function	EBT Ready Function
3.2.2	<i>Perform Participant Referrals</i>		
3.2.2.1	Track Incoming and Outgoing Referrals	X	
3.2.3	<i>Provide Voter Registration Information</i>		
3.2.3.1	Provide Voter Registration Information		
3.2.4	<i>Determine Immunization Status</i>		
3.2.4.1	Screen and Refer Participant for Immunization Services		
3.3	Food Management		
3.3.1	<i>Maintain Food Categories/Subcategories</i>		
3.3.1.1	Maintain Food Category/Subcategory Table		X
3.3.2	<i>Maintain Foods and Food Package Information</i>		
3.3.2.1	Establish and Maintain Approved Foods		
3.3.2.2	Set up and Maintain Food Package Data	X	
3.3.2.3	Determine Food Package Proration Schedule		
3.3.3	<i>Maintain Food Instrument Data</i>		
3.3.3.1	Record Food Instrument Types		
3.3.3.2	Establish Food Instrument Maximum Allowed Amounts	X	
3.3.4	<i>Maintain UPC Database and Food Item Maximum Allowed Amounts</i>		
3.3.4.1	Maintain UPC Database for WIC Authorized Foods		X
3.3.4.2	Establish Food Item Maximum Allowed Amounts		X
3.4	Food Benefit Issuance		
3.4.1	<i>Issue Paper Food Instruments</i>		
3.4.1.1	Prepare Individual Food Instruments	X	
3.4.1.2	Print Food Instruments	X	
3.4.1.3	Process Food Instrument Changes	X	
3.4.2	<i>Issue Benefits via EBT</i>		
3.4.2.1	Establish EBT Account		X
3.4.2.2	Add Participant(s) to an Account		X
3.4.2.3	Issue Electronic Benefits		X
3.4.2.4	Issue EBT Card		X
3.4.2.5	Obtain Account Balance		X
3.4.2.6	Update EBT Account Information		X
3.4.2.7	Remove Participant(s) from an Account		X
3.4.2.8	Process Changes to Electronic Benefits (Benefit Adjustments, Voids and Reissuance)		X

#	Requirement	Base Function	EBT Ready Function
3.4.2.9	Process Changes to EBT Card (Status Changes/Card Replacements)		X
3.5	Food Benefit Redemption, Settlement and Reconciliation		
<i>3.5.1</i>	<i>Pay Vendor for Food Instruments Redeemed</i>		
3.5.1.1	Compile File of Transaction Data	X	
3.5.1.2	Perform Edits and Authorize Vendor Payment	X	
3.5.1.3	Process Vendor Payment		
<i>3.5.2</i>	<i>Reconcile Food Instruments</i>		
3.5.2.1	Retrieve Food Issuance File	X	
3.5.2.2	Retrieve the Food Instruments Redeemed File and Reconcile with Issuance File	X	
3.5.2.3	Reconcile Voided, Expired, and Redeemed but Unissued Food Instruments		
<i>3.5.3</i>	<i>Pay Vendor for Food Benefits Redeemed via EBT</i>		
3.5.3.1	Process Vendor Payment		X
<i>3.5.4</i>	<i>Reconcile EBT Benefits</i>		
3.5.4.1	Retrieve Benefit Issuance File		X
3.5.4.2	Retrieve Transaction History Data /Reconcile Redeemed, Adjusted, Voided, and Expired Benefits with Issuance File		X
3.6	Financial Management		
<i>3.6.1</i>	<i>Manage Grants and Budgets</i>		
3.6.1.1	Track Grants		
3.6.1.2	Maintain State Agency Budget Information		
3.6.1.3	Maintain Local Agency Budget Information		
<i>3.6.2</i>	<i>Monitor Program Expenditures</i>		
3.6.2.1	Monitor NSA Expenditures		
3.6.2.2	Monitor Food Expenditures		
3.6.2.3	Perform Financial Modeling		
3.6.2.4	Manage Cash Flow		
<i>3.6.3</i>	<i>Process Manufacturer Rebates</i>		
3.6.3.1	Estimate Total Annual Rebates		
3.6.3.2	Calculate Rebate and Prepare Invoice	X	
3.6.3.3	Monitor Rebate Collections		
3.7	Caseload Management		
<i>3.7.1</i>	<i>Capture and Maintain Caseload Data</i>		
3.7.1.1	Capture Data on Potentially Eligible Population		

#	Requirement	Base Function	EBT Ready Function
3.7.1.2	Capture Historical Participation Data		
3.7.2	<i>Allocate Caseload</i>		
3.7.2.1	Determine Maximum State Caseload		
3.7.2.2	Prepare Local Agency Caseload Allocation Estimates		
3.7.2.3	Record Caseload Allocations		
3.7.3	<i>Monitor Caseload</i>		
3.7.3.1	Track Actual Participation	X	
3.7.3.2	Conduct Caseload Reallocations		
3.8	Operations Management		
3.8.1	<i>Monitor Administrative Operations</i>		
3.8.1.1	Maintain Information on Local Agencies and Clinics		
3.8.1.2	Analyze Local Agency Operations		
3.8.1.3	Support Clinic/Patient Flow Monitoring		
3.8.2	<i>Manage Participant Outreach</i>		
3.8.2.1	Maintain Outreach List for Local Agencies		
3.8.2.2	Track Outreach Campaign Activities		
3.8.3	<i>Monitor Customer Service</i>		
3.8.3.1	Document and Track WIC Customer Service Calls		
3.8.3.2	Document Complaints		
3.8.3.3	Track Call or Complaint Outcomes		
3.8.4	<i>Provide Survey Capability</i>		
3.8.4.1	Monitor Participants' Views of WIC Program Services		
3.8.5	<i>Maintain Inventory</i>		
3.8.5.1	Maintain Inventory of Serialized Items		
3.8.5.2	Maintain Inventory of Non-Serialized Items		
3.8.6	<i>Monitor Program Integrity</i>		
3.8.6.1	Monitor Participant Integrity		
3.8.6.2	Monitor Clinic Integrity		
3.8.6.3	Track Participant Sanctions		
3.8.6.4	Track Administrative Hearings		
3.9	Vendor Management		
3.9.1	<i>Manage Vendor Peer Groups</i>		
3.9.1.1	Establish Vendor Peer Groups		

#	Requirement	Base Function	EBT Ready Function
3.9.1.2	Update Vendor Peer Group/Criteria		
3.9.2	Create and Locate Data Records		
3.9.2.1	Create New Applicant Record		
3.9.2.2	Search for Vendor Record		
3.9.3	Maintain Vendor Authorizations		
3.9.3.1	Maintain Vendor Application Data		
3.9.3.2	Track Vendor Authorization Process		
3.9.3.3	Maintain Vendor Price Survey Data		
3.9.3.4	Authorize Vendors	X	
3.9.3.5	Maintain Authorized Vendor Data	X	
3.9.4	Monitor Vendor Training		
3.9.4.1	Track Scheduled Vendor Training	X	
3.9.4.2	Track Attendance at Vendor Training and Technical Assistance Conducted		
3.9.5	Support Vendor Communications		
3.9.5.1	Produce Correspondence to Vendors		
3.9.6	Perform Confidential High Risk Vendor Analysis		
3.9.6.1	Determine Vendor Peer Group (High Risk Analysis)	X	
3.9.6.2	Determine High Risk Vendors (Paper Environment)	X	
3.9.6.3	Determine High Risk Vendors (EBT Environment)	X	X
3.9.7	Track Compliance Investigations		
3.9.7.1	Maintain Special Investigator Record for Compliance Buys		
3.9.7.2	Maintain Food Benefit Redemption Data from Compliance Buys		
3.9.7.3	Maintain Compliance Buy Data	X	
3.9.7.4	Support Inventory Audits		
3.9.8	Track Routine Monitoring		
3.9.8.1	Maintain Routine Monitoring Data	X	
3.9.9	Monitor Sanctions and Appeals		
3.9.9.1	Manage Vendor Sanctions		
3.9.9.2	Monitor and Track CMP Payments		
3.9.9.3	Maintain Vendor Appeal Data		
3.9.10	Coordinate with Food Stamp Program		
3.9.10.1	Maintain Food Stamp Program Violation Data		
3.9.10.2	Report WIC Sanctions to the Food Stamp Program		

#	Requirement	Base Function	EBT Ready Function
3.10	Scheduling		
<i>3.10.1</i>	<i>Maintain Master Calendar</i>		
3.10.1.1	Maintain Master Calendar		
<i>3.10.2</i>	<i>Manage Appointments</i>		
3.10.2.1	Perform Appointment Scheduling		
3.10.2.2	Perform Mass Rescheduling		
3.10.2.3	Track Appointment Outcomes		
<i>3.10.3</i>	<i>Generate Appointment Notices</i>		
3.10.3.1	Generate Appointment Notices		
3.11	System Administration		
<i>3.11.1</i>	<i>Maintain System Data Tables</i>		
3.11.1.1	Maintain System Code Table Data		
<i>3.11.2</i>	<i>Administer System Security</i>		
3.11.2.1	Locate User Record		
3.11.2.2	Maintain User Identification		
3.11.2.3	Maintain User Capabilities		
3.11.2.4	Monitor Unauthorized Access		
3.11.2.5	Monitor Record Updates		
<i>3.11.3</i>	<i>Manage System</i>		
3.11.3.1	Perform System Back-Up/Restoration		
3.11.3.2	Import/Export Data Files		
3.11.3.3	Provide Version Control		
<i>3.11.4</i>	<i>Archive System Data</i>		
3.11.4.1	Archive and Restore Historical Data		
3.11.4.2	Purge Unnecessary Data		
3.12	Reporting		
<i>3.12.1</i>	<i>Generate Standard Reports</i>		
3.12.1.1	Generate Standard Reports	X	
<i>3.12.2</i>	<i>Conduct Ad Hoc Queries and Generate Reports</i>		
3.12.2.1	Conduct Ad Hoc Queries and Generate Reports	X	
<i>3.12.3</i>	<i>Maintain Data Warehouse</i>		
3.12.3.1	Maintain Data Warehouse		