



**United States  
Department of Agriculture**

# **FOOD AND NUTRITION SERVICE**

## **Functional Requirements Document for a Model WIC Information System**



**Version 2008 2.0**

**September 2008**

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## **SECTION 1: INTRODUCTION**

# 1 INTRODUCTION

Information Systems (IS) in the Special Supplemental Nutrition Program for Women, Infants and Children (WIC Program) support a number of program operations and management functions, such as certifying applicants, monitoring food vendors, tracking participation and expenditures, and managing appointments. This Functional Requirements Document (FReD) for a Model WIC Information System provides a comprehensive description of functions that can be automated to support the WIC Program.

## 1.1 Environment

The WIC Program operates through the coordinated efforts of Federal, State and local organizations. The U.S. Department of Agriculture Food and Nutrition Service (FNS) Supplemental Food Programs Division (SFPD) is responsible for the administration of the WIC Program at the Federal level. There are seven FNS regional offices, which provide oversight, guidance, and technical assistance to individual State agencies within their region. At the State level, the WIC Program is administered by public health departments or Indian Tribal Organizations (ITOs). The WIC Program is operated in all geographic States as well as the District of Columbia, Puerto Rico, Virgin Islands, Guam, American Samoa, Northern Marianas and 34 ITOs. While all State agencies have automated IS capabilities, the level of sophistication varies from State to State. Additionally, the State agencies may contract with private firms for various aspects of the system such as system design, development, operation, and/or maintenance as well as for banking services and EBT processing.

## 1.2 Background

The FNS contracted with MAXIMUS in 2006 to revise the FReD document that was released in 2002. This document, FReD-2007, updates and consolidates FReD and FReD-E (FReD with EBT functionality), which were originally released in 2002 as two separate documents. It incorporates the policy and regulatory changes that have occurred since the 2002 versions of the FReD and FReD-E were released. It also provides an update of EBT readiness functionality which had been previously documented in both the FNS EBT Readiness Guidance Document and the FReD-E. This version of the FReD also provides a technology neutral solution to EBT.

In the process of updating the FReD, interviews were conducted with FNS subject matter experts regarding policy and regulatory changes affecting the FReD. In order to learn how States are using their systems to implement policy, interviews were conducted with States who recently implemented new systems or are in the process of planning to implement a new system. Those participating in interviews included:

- FNS Subject Matter Experts
- State of Idaho
- State of Iowa
- State of Massachusetts
- State of Michigan
- State of New Mexico
- State of North Carolina
- State of Washington
- State of Wyoming

Based on feedback received through interviews and site visits with key stakeholders, an outline of recommended changes was prepared. In developing these recommendations, the MAXIMUS team considered the benefit of the change on a national level, changes to policy, improvement of document readability, organization, and usability of the document, and the ability to maintain the information as policy and technology change.

### **1.3 Purpose of this Document**

The general concept of a functional requirements document is to describe “what” the system must do without specifying “how” it will be done. The actual system design is what typically addresses the “how” and any other details regarding what software, hardware, or other technical specifications might be required as part of the system. The FReD is not a functional requirements document in the strictest sense because it includes the “what” as well as provides examples of the “how” through the description of potential implementation approaches.

The FReD has been developed to assist State agencies in the process of planning for and implementing or modifying a WIC IS. Using the information provided in the document, State agencies can consider the specific functions and approaches to implementing those functions which will be required for their system. This information can then be

incorporated into the development of the Advance Planning Documents (APDs) and Requests for Proposals (RFPs) and serve as guidance to information technology staff in the development or modification of a WIC IS.

The FReD is also an excellent source of information for State agencies performing business process reengineering (BPR). The document includes a comprehensive listing of functions associated with daily operations performed at the State and local levels along with inputs, outputs, and processes which can be used as the basis of the BPR assessment.

## 1.4 Changes from the 2002 Version

This updated document includes significant changes from the previous version. The following list summarizes the differences:

- **Addition of a new functional area: Food Management.** The set up of food items and food packages is an important function that was incorporated into the Food Issuance functions. It was identified as an area in the previous version of the FReD that was not adequately addressed. This functional area has been added to describe the functionality needed to perform tasks related to managing WIC foods.
- **Reorganization of existing functions into a new functional area: Reporting.** The previous version included reporting as a function within each functional area. Because the reporting function is system-wide (i.e., reporting functionality does not change based on the function against which the report is run) and some reports cross multiple functions, reporting has been removed from the individual sections and combined into a comprehensive functional area.
- **Addition of an index.** To better help users locate information in the document, an index has been added.
- **Restructuring of appendices.** Several appendices in the previous version contained outdated technical or policy information. Appendices have been adjusted to refer users to resources for dynamic information as necessary.
- **Reformatting of requirements sections.** The requirements sections have been reformatted to more clearly identify the functional requirement and provide examples of possible implementation approaches.

- **Updated Requirements Traceability Matrix (RTM).** The requirements traceability matrix was reformatted to allow for easier navigation and flexibility.
- **Inclusion of the Food Package Interim Rule.** Where appropriate, the contents of the food package interim rule (dated December 6, 2007) have been addressed in this version of the FReD.

## 1.5 Required Functions

This document includes many functions that State agencies and FNS alike would consider important for inclusion in an automated system. State agency discretion is needed in determining which functions to include in their system. For some State agencies, cost will be a primary factor in making this determination. FNS recommends that State agencies weigh the cost of a function against the long-term benefit that automation of the function will bring to their Program.

Not all functionality described in this document necessarily needs to be incorporated into a WIC information system. Some functions, for example, may be automated outside the WIC information system, but use data extracted from the WIC IS database for analysis and processing. Additionally, FNS understands that each State agency has its own unique technology and budgetary constraints which may limit the functions or level of functionality that can be implemented.

The previous FReD identified 30 required functions. Many systems have since been modified to include those functions. FNS will continue to use these basic requirements to measure progress in system development nationwide. In addition, new functions have been identified that FNS believes should be incorporated whenever systems are updated or replaced. These functions are described in *Section 3*, identified in the Requirements Traceability Matrix in *Appendix C*, and are listed in their entirety in *Appendix D: WIC IS Base Functionality*. Incorporation of these functions in State systems now will streamline future EBT implementation.

FNS will review APDs to ensure the base functions are included when systems are being planned and developed. If certain required functions cannot be achieved or are already automated in a separate system, State agencies should document in the APD the reason the function will not be automated. During Management Evaluations, the IS will be reviewed to ensure the base functions are accomplished and FNS will track this activity.

## 1.6 Implementation Approaches

To assist State agencies in identifying options in the implementation of functions, many functions include information on potential implementation approaches – “how” the function could operate in the system. In some cases implementation approaches describe various levels of automation from least to most automated. Many of the implementation approaches included in the FReD are examples of how a State agency has already implemented the function in an information system.

Implementation approaches are not always mutually exclusive; States can incorporate more than one into their system design. FNS recommends that State agencies work toward achieving the highest level of automation, as funds permit. At a minimum, the base functions should be achieved, where possible.

## 1.7 Document Layout

The FReD is divided into four main sections and eight appendices. The contents of these sections are outlined below.

- **Section 1: Introduction** – Provides background information and details the document organization.
- **Section 2: Program Overview** – Describes the existing WIC business process and summarizes the functionality of the model WIC IS.
- **Section 3: WIC Information System Functions** – Details the twelve major functional areas of a WIC IS.
- **Section 4: Data** – Describes the data requirements to support the functions.
- **Appendix A: Index** – This appendix provides an alphabetical listing of terms/topics discussed in the document and references the page number for each.
- **Appendix B: Glossary of Acronyms and Terms** – This appendix provides descriptions of WIC Program and system technology acronyms and terms.
- **Appendix C: Requirements Traceability Matrix (RTM)** – The RTM provides a detailed overview of all of the possible functions and activities related to each functional description. The RTM offers a “baseline” from which State agencies can customize their design to meet their system objectives. Further, the functions can

be “mixed and matched” to better reflect the unique operation and preferences of the State agency.

- **Appendix D: WIC IS Base Functionality** – This appendix lists the functions that all WIC systems must have.
- **Appendix E: EBT Readiness Functionality and Concepts for Implementation** – This appendix identifies EBT readiness functions and describes a concept for implementing EBT.
- **Appendix F: National UPC Database X9.93 Upload/Download Process** – This appendix describes the processes for uploading and downloading UPC/PLU data based on the X9.93-2006 specification.
- **Appendix G: Comparison of WIC Information Systems** – State agencies considering system transfers can use this appendix to compare and contrast various options. This appendix reviews several alternative systems with differing architectures and features for State agencies to consider.
- **Appendix H: Policy/Data Reference Information** – This appendix provides references to where specific FNS policy or data requirements related to the FReD, but defined in other documents, can be found.

This document will be posted on the FNS web site ([www.fns.usda.gov](http://www.fns.usda.gov)) with periodic updates posted as needed.



## **SECTION 2: PROGRAM INFORMATION**

## 2 PROGRAM OVERVIEW

### 2.1 Background

WIC is a Federally funded nutrition program administered by State and local agencies.<sup>1</sup> The WIC Program provides nutritious supplemental foods, nutrition education, and referrals to health care, at no cost, to low-income pregnant, postpartum and breastfeeding women, infants, and children up to five years of age. To be eligible for WIC, individuals must meet categorical, income, and residential requirements and be certified by a health professional to be at nutrition risk due to medical conditions and/or inadequate diet.

To carry out the mission of the Program, grants are awarded to State health departments, Indian Tribal Organizations, or comparable State agencies. These WIC agencies, in turn, award subgrants to local agencies to certify applicants and to deliver benefits to eligible persons.<sup>2</sup> State agencies receive one grant for food costs and a separate grant for nutrition services and administration (NSA) costs. Program caseload levels are dependent upon the number of individuals who can be supported with the funds that are allocated. However, substantial cost savings are achieved through manufacturer rebates on infant formula, enabling WIC to serve more participants.

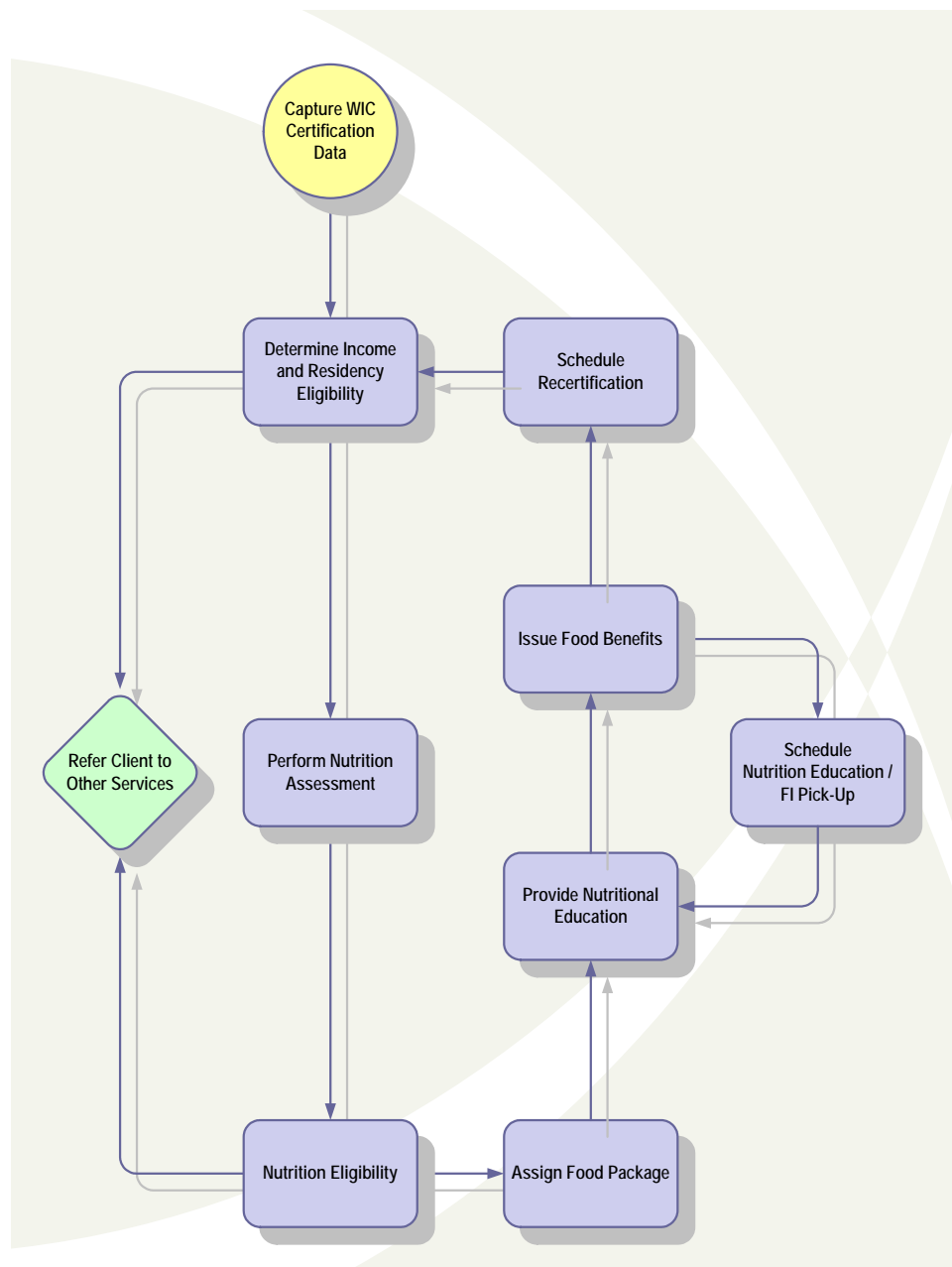
To receive WIC benefits, applicants must not only be eligible based on category and income, they must also meet residency requirements and have at least one nutrition risk condition. All applicants must provide documents to show proof of identity, income, and residence within 30 days of their certification visit or they must be terminated from the system and issued a notice of ineligibility. However, at the State agency's option, a pregnant woman who is income eligible and meets residential requirements may be certified without a nutrition risk assessment for a period of up to 60 days. Food packages are made available to participants based on their assigned risk category and nutritional need. In general, infants receive iron-fortified formula, iron-fortified infant cereal, and infant foods fruits and vegetables, ). Participating women and children receive fortified milk and/or cheese, and/or soy beverage, and/or tofu, eggs, hot or cold cereals high in iron, fruit and vegetable juices high in vitamin C, fresh or processed fruits and vegetables other than white potatoes, whole grain bread and/or whole grain products (whole grain

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<sup>1</sup> For WIC Program regulations please refer to 7 CFR part 24. The website link for the regulations can be found in Appendix H.

<sup>2</sup> Not all WIC State agencies award subgrants to local agencies. In some States, the State agency functions as both the State and local agency.

products would include brown rice, oatmeal, bulgur, and whole grain barley, or soft corn or whole wheat tortillas) and peanut butter or dry beans/peas. Exclusively breastfeeding women receive larger quantities of supplemental foods and also receive fish that are low in mercury. The following exhibit, *Exhibit 2-1: WIC Participant Processing Diagram*, presents a flow chart depicting the basic process for serving WIC participants in the clinic. At the time of certification, applicant health, income, and other pertinent certification information is collected and, ideally, entered directly into an automated system. Once certified, the participant is issued a food package prescription, which consists of one or more food instruments, and any appropriate referrals are made. The food instrument(s) may be in the form of a check, voucher, or EBT card, depending on State policy. For the purposes of the FReD, the term food instrument may also refer to the cash-value voucher used to purchase fruits and vegetables. Participants receive food benefits and nutrition education during their certification period, which is generally 6 months in duration. At the end of the certification period, participants may schedule an appointment to determine whether they continue to meet eligibility requirements, and therefore remain on the WIC Program, or are terminated from the Program.



*Exhibit 2-1: WIC Participant Processing Diagram*

There are three methods used in the WIC Program to deliver food benefits to participants: retail purchase, direct distribution, and home delivery. The retail purchase system is the predominant food delivery system used among State agencies. In the retail purchase system, participants purchase foods from authorized retail outlets, grocery stores, and pharmacies throughout each State. In the direct distribution system, foods are purchased by the State agency and stored at one or more distribution sites for pick up by participants. In the home delivery system, the State agency

contracts with a vendor, often a dairy, to deliver foods directly to participants' homes. This document describes the functions that are used in a retail purchase system because this is the most widely used system.

In the paper benefit issuance system, food instruments are provided either in the form of a check or voucher. If a bank check is used, the checks are deposited in the vendor's bank account. The vendor's bank receives payment for WIC checks from the State agency's account at a specially contracted bank. Some State agencies use contractors as financial intermediaries in the check clearance process. Food instruments in the form of a voucher must be submitted directly to the State or its financial agent for reimbursement. An alternative to the paper check or voucher system is the issuance of electronic benefits. Electronic benefits are processed through an Electronic Benefit Transfer (EBT) Processor that pays the vendor through electronic funds transfer using the Automated Clearinghouse (ACH) network.

## 2.2 Objectives

WIC information system development efforts are expensive. Careful planning of system functionality is critical to preventing expensive modifications and excessive operating charges. WIC has no special funding stream for systems development. Every dollar misspent is at the expense of nutrition services, vendor monitoring, or other aspects of program operations that compete for limited administrative dollars. Therefore, it is extremely important to have a clear idea of the objectives the system is expected to accomplish for a State WIC Program well before any effort is invested in the functional operations.

Each State will have a unique list of objectives for its automated WIC information system, varying according to its priorities, the strengths and weaknesses of the current operations in that State, and integration of State agency systems and operations with other State health department systems and programs. There are four major objectives that should be considered critical to any development effort:

- Improve program effectiveness
- Strengthen controls, accountability, and integrity
- Increase operational efficiency
- Meet Federal reporting requirements

**IMPROVE PROGRAM EFFECTIVENESS.** The principal objective of the WIC Program is to improve the health of nutritionally at-risk participants.

Meeting this objective depends on effective administration of health assessment and food benefit delivery. Effective administration depends in part on accurate and timely information. System features that support this objective include:

- Participant health outcome monitoring
- Tracking provision of nutrition services
- Improved management reporting at all levels
- Service coordination with other health agencies
- Built-in flexibility to adapt to change

**STRENGTHEN CONTROLS, ACCOUNTABILITY, AND INTEGRITY.** As the WIC Program grows in size and scope, it is critical that measures are taken to ensure that proper controls and accountability are established for program funds and program integrity. System features that support this objective include:

- Provide audit trails of all transactions
- Control issuance of food benefits
- Provide accurate forecasting of expenditures
- Provide accurate rebate billing

**INCREASE OPERATIONAL EFFICIENCY.** Another important objective of an automated WIC information system is to ease the operational burden at State and local agencies. System features that support this objective include:

- Automated food benefit production and reconciliation
- On-line enrollment data entry and editing
- Appointment scheduling and tracking
- Logical information/screen flow
- Minimal duplication

**MEET FEDERAL REPORTING REQUIREMENTS.** Automated WIC information systems should be designed so that they meet the Federal reporting requirements specified in WIC regulations and program directives. Federal reporting requirements include:

- Provide Participant Characteristics Minimum Data Set

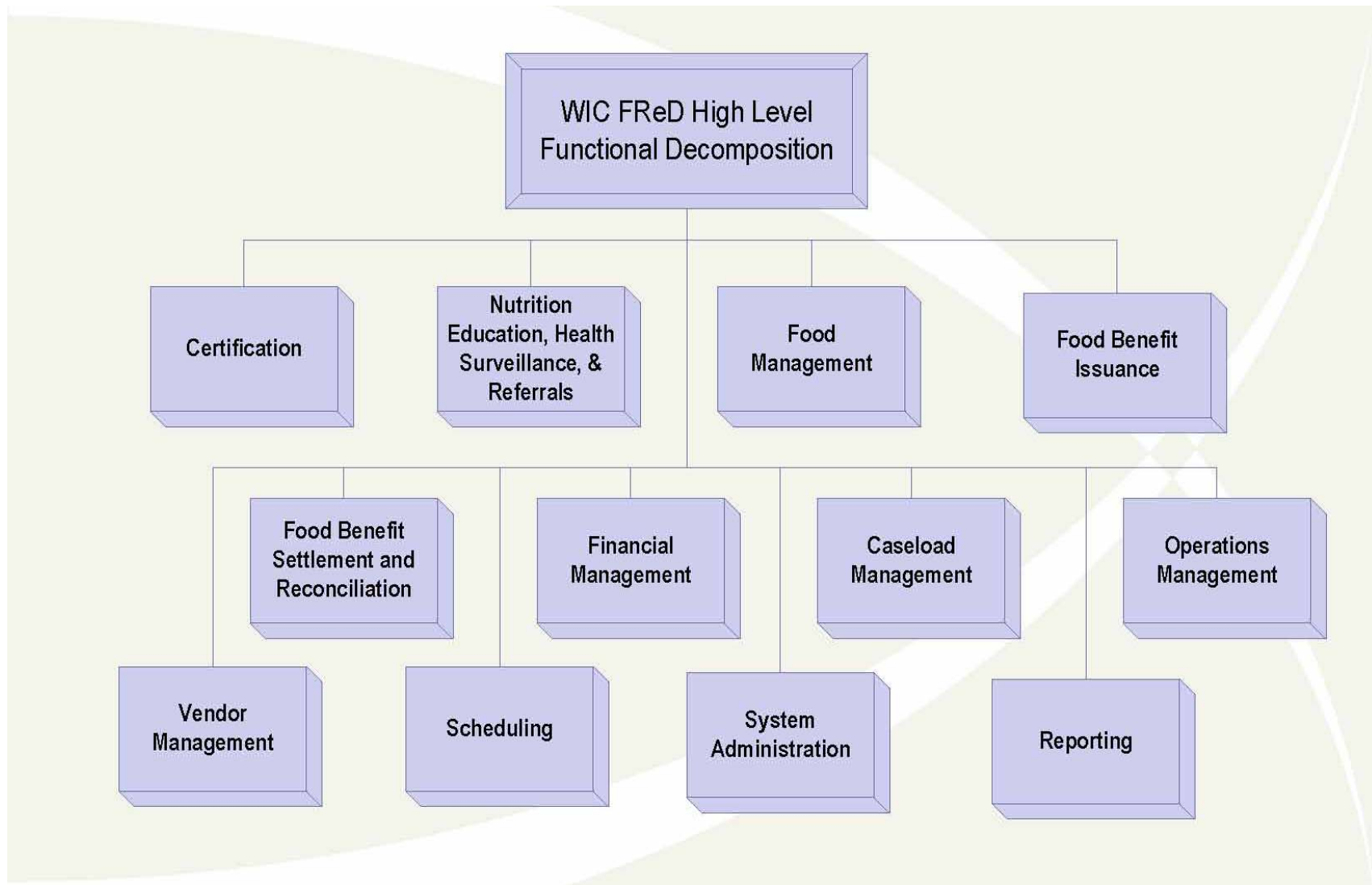
- Provide required Federal participation and financial reports (FNS-798 and Participant Characteristics datasets)
- Provide The Integrity Profile (TIP) report electronically to FNS
- Support preparation of WIC State Plans
- Support WIC management evaluations through reports, data summaries, and data queries

## 2.3 Summary of Functional Areas

There are twelve (12) WIC information system functional areas:

- Certification
- Nutrition Education and Health Surveillance and Referrals
- Food Management
- Food Benefit Issuance
- Food Benefit Redemption, Settlement, and Reconciliation
- Financial Management
- Caseload Management
- Operations Management
- Vendor Management
- Scheduling
- System Administration
- Reporting

The following diagram, *Exhibit 2-2: High Level Functional Decomposition Diagram*, provides a high level depiction of WIC Information System Functional areas.



*Exhibit 2-2: High Level Functional Decomposition Diagram*



- **CERTIFICATION.** This functional area should support the certification of qualified applicants into the WIC Program, determination of nutrition risk, and prescription of the appropriate food packages. It should capture eligibility data and other information about participants in the program. This functional area should also allow local WIC agencies throughout the State to create applicant waiting lists, schedule appointments, and share and compare participant data. It should also provide continuity of care for recertified WIC participants (i.e., information collected and recorded at a previous visit should still be accessible for follow-up at a subsequent visit).
- **NUTRITION EDUCATION, HEALTH SURVEILLANCE, AND REFERRALS.** This functional area should capture nutrition-related information about WIC participants and the programs to which they are being referred. Data will be collected through interviews, which may include standardized health and nutrition education questionnaires, during WIC certification periods.
- **FOOD MANAGEMENT.** This functional area should support the management of food items and creation of food packages that contain the food items that will be prescribed to a participant.
- **FOOD BENEFIT ISSUANCE.** This functional area should support the issuance of food benefits that provide the appropriate supplemental foods to WIC participants. This functional area should address the three major types of food instruments: checks, vouchers (including cash-value vouchers), and electronic benefits (e.g., cards or on-line prescriptions).
- **FOOD BENEFIT REDEMPTION, SETTLEMENT, AND RECONCILIATION.** This functional area includes processing for both paper and electronic benefits. For paper systems, it supports the voiding and redemption of food instruments, performs a one-to-one reconciliation of all food instruments, and supports the tracking of payments to vendors to reimburse them for rejected payments. For electronic systems, this function supports the redemption and settlement of electronic benefits performed by the EBT Processor.
- **FINANCIAL MANAGEMENT.** This functional area supports the maintenance of records of the receipt and disbursement of WIC funds allocated to the State agency. It should allow State and local agencies to prepare accurate and timely financial reports based on administrative and program fund expenditures. It should also provide a means of calculating and invoicing manufacturer rebates on the purchase of infant formula and other rebated items. In an electronic benefit environment, this functional area addresses the

adjustment of food obligations based on actual redemptions in the family/household food account. This functional area should promote sound funds management practices throughout all levels of the WIC Program.

- **CASELOAD MANAGEMENT.** This functional area should help State agencies ensure the most equitable distribution of WIC Program caseload among local agencies. The system should also provide the capacity to monitor and modify caseload allocations in response to changes in participation or available funding.
- **OPERATIONS MANAGEMENT.** This functional area should provide general support for State and local agency operations. The WIC information system should maintain information on local agencies and clinics, WIC participants, and outreach organizations such as physicians and church groups. The system should also provide productivity statistics to support the analysis of the efficiency and effectiveness of the operations at the local agency level as well as a mechanism for monitoring participant satisfaction, customer service, and inventory. Program integrity, an area of increasing importance, is addressed in this functional area. Tracking of participant sanctions and claims activity is a key aspect of program integrity.
- **VENDOR MANAGEMENT.** This functional area should support the management of the retail vendor aspect of the WIC Program. It should support State agencies in selecting competitively priced, non-abusive vendors for authorization. The system should enable State agencies to monitor authorized vendors, help identify and investigate vendors who may be abusing the program, support enforcement actions, including the termination of abusive vendors, and monitor sanctions against vendors.
- **SCHEDULING.** This functional area should support scheduling events for all aspects of the WIC Program. Although focused at local agencies and clinics, the scheduling function should be generic enough to be used by other WIC offices. The system should enable agencies to set up a master calendar, schedule resources such as equipment and meetings rooms, assign appointments of various types for participants, generate appointment notices, and document appointment outcomes and processing timeframes.
- **SYSTEM ADMINISTRATION.** This functional area should contribute to the overall flexibility, efficiency, and security required to operate and to maintain the system. This functional area provides the capabilities to maintain information contained in system data (reference) tables, to control general access to the system as well as

the ability to perform system “housekeeping” and maintenance functions, and to move certain files to off-line storage for increased system efficiency.

- **REPORTING.** This functional area should support the needs of users to obtain data and information. This area is related to all of the other functional areas in that data related to each area may be used for reporting purposes.

## 2.4 System Stakeholders

Although the functional requirements for a WIC information system relate mostly to the information processing needs of the WIC Program, it is important to consider the environment within which the system will operate. Since this document addresses "generic" requirements for a diverse set of State and local WIC agencies, rather than those of a single organization, it is not possible to describe a single program environment.

WIC Programs and agencies differ in the size of the program, organizational structure, extent of integration with other public health programs, and program policy and operations. However, there are a number of characteristics of the environment within which a WIC information system would function that merit discussion at a generic level. This section describes the specific user groups of the system and the various Program stakeholders.

*Exhibit 2-3: WIC System Data Flow Diagram* identifies the organizations providing data to and receiving data from the State WIC IS. State and local agencies interact with participants, vendors, other health services organizations, formula manufacturers, and financial intermediaries. The exhibit shows the information that flows to and from the specific entities.

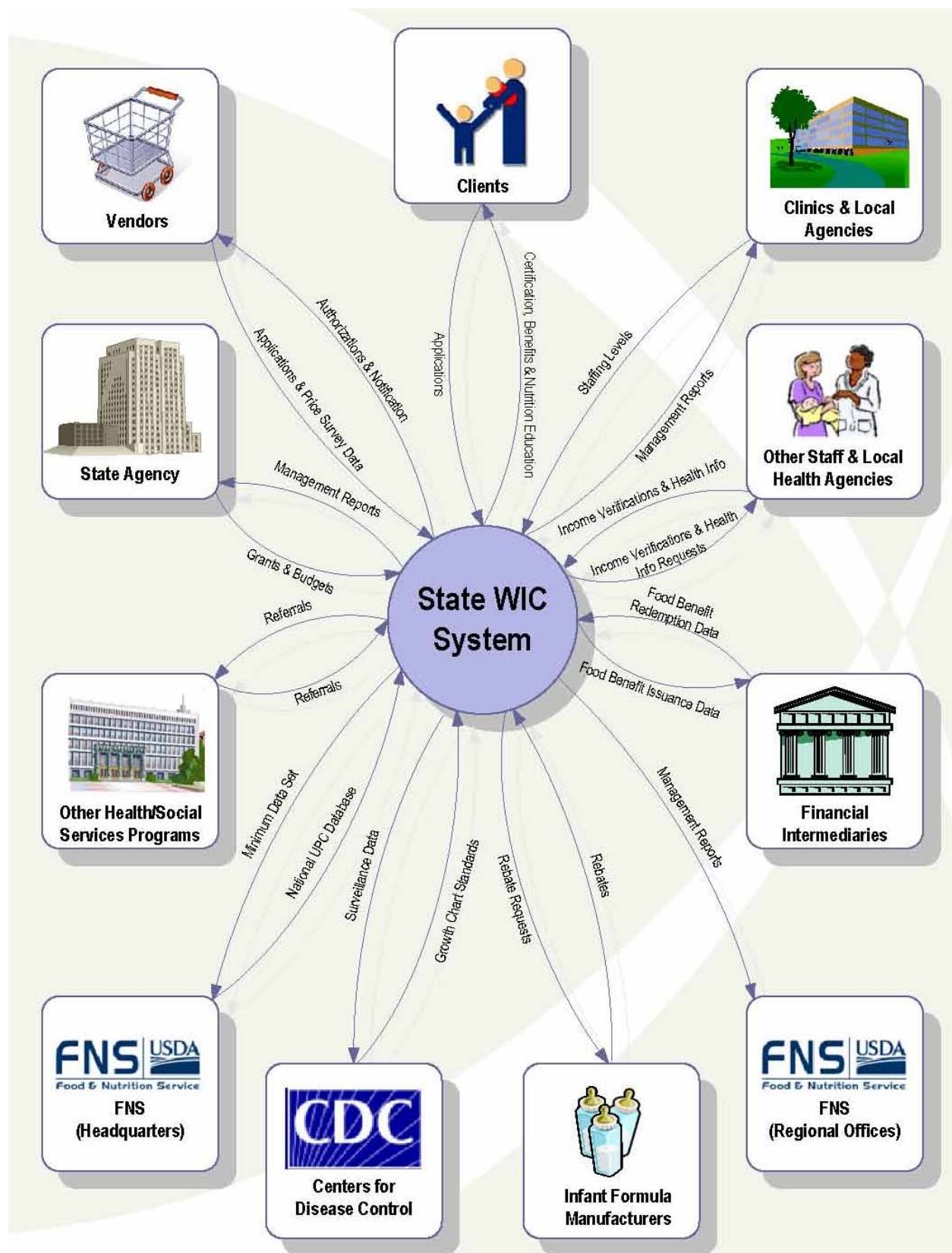


Exhibit 2-3: WIC System Data Flow Diagram

## **2.4.1 System Users**

State and local WIC agency staff members are the primary, direct users of the automated WIC information system. Other individuals and organizations also interact with the system, providing and/or using data that is processed by the system. A technical support unit or Help Desk with established protocols and well-trained staff should be available to all users of an automated WIC information system. Following is a brief description of the WIC user groups and their relationship to the WIC information system.

### **2.4.1.1 Local Agencies and Clinics**

State and local WIC agency staff members are the primary users of the automated WIC information system, but other individuals and organizations may also interact with the system, providing and/or using data that is processed by the system. Certification, nutrition assessment and education, and the issuance of food benefits are the responsibilities of the local agencies and clinics. The staff maintains direct contact with WIC participants and enters all of the participant information into the system. Appointments for nutrition education and food benefit pick-up are scheduled at these sites as well. Local agencies and clinics also use the WIC information system for on-demand issuance of food benefits.

### **2.4.1.2 State Agencies**

State agencies develop WIC policy and procedures (consistent with Federal regulations), provide overall WIC Program management, and conduct certain WIC operations. Some State agencies allocate caseloads, perform the central reconciliation of food benefits, and authorize and monitor retail vendors. Although functions vary from State to State, the role of the State agency is often to provide local agencies with check or voucher blank stock and to monitor food instrument inventories, or if EBT is being used, support the issuance of EBT cards to recipients. Consistent with their overall program management responsibilities, State agencies provide oversight of local agency operations, perform vendor management and budgeting and tracking of food and NSA expenditures, and supply system reports to local agencies. State agencies use reports to monitor and assess program activities, trends, and expenses. State agencies also provide technical support for automated WIC information systems. Costs include staffing, training of staff, leasing of equipment, and the cost of second level technical support.

### **2.4.1.3 FNS - Headquarters and Regional Offices**

FNS establishes overall WIC Program policy, and provides guidance and technical assistance to State agencies through its regional offices. Although FNS is not a hands-on user of State WIC information systems, FNS is a user of reports generated by State WIC information systems to meet Federal reporting requirements. These reports assist FNS in allocating funds, developing national statistics for program evaluation, and ensuring that the WIC Program meets its intended objectives. During a management evaluation, the FNS reviewer may test the State or local program's compliance with Federal regulations in such areas as certification and food package prescriptions. The reviewer may use the IS to look up WIC participant records.

### **2.4.2 WIC Participants**

WIC participants receive several outputs of the State IS, in particular food benefits, referrals, nutrition education, and appointment notices. Participants do not interact with the system hands-on, but they provide data that is entered into and processed by the system (in States that utilize kiosks for nutrition education, participants directly provide information that is entered into the system).

### **2.4.3 Other Health and Social Service Agencies**

The WIC information system is used to assist WIC agencies in coordinating with other agencies to ensure that WIC participants who may be eligible for other programs are appropriately referred. In some cases, the system is used to enhance communication between WIC and other health and social service programs. Some of the programs WIC coordinates with are the Immunization Program, Medicaid, TANF, Maternal and Child Health, and the Food Stamp Program. Participant nutrition surveillance information is shared with the Centers for Disease Control and Prevention (CDC).

### **2.4.4 Financial Institutions and Intermediaries**

Redeemed food benefits, or reports of redeemed food benefits, are provided to the WIC information system by banks or other financial service organizations. They, in turn, generate food benefit reconciliation reports from the WIC information system.

In an EBT environment, the financial institution or third party intermediary may function as the EBT Processor. The EBT Processor receives food purchase data, performs settlement, generates electronic

funds transfer payments to vendor financial institutions, and transmits food purchase information to the State WIC agency. Additionally, the EBT Processor maintains account information, processes transactions, debits the household account, and shares information with the State agency.

### **2.4.5 Vendors**

Retail vendors play an important role in the WIC Program, ensuring that participants receive authorized WIC foods. Vendors may receive system-generated correspondence for authorization to participate in WIC. Vendors may be required to provide detailed food pricing data that may be entered into the State WIC information system.

In an EBT environment, vendors' cashiers are relieved of much of the in-lane food purchase screening as the screening is performed electronically by the EBT system, and payment and settlement processes are streamlined.

### **2.4.6 Food Manufacturers**

Infant formula manufacturers are the main source of rebates to the State agencies. In some State agencies, cereal and juice manufacturers provide rebates as well. The WIC information system produces reports that are provided to manufacturers to support rebate billings.

With EBT, WIC information systems receive more timely and accurate redemption data, which provides more reliable rebate estimates for food manufacturers, and may ultimately accelerate the rebate process.

## **2.5 Functional Distribution**

The following exhibit provides an overview of the functions that would be conducted by State and local users. The actual level that performs each function may vary by State.

<i>Exhibit 2-4: WIC Functional Distribution</i>			
<i>FUNCTIONAL AREA</i>	<i>FUNCTION</i>	<i>STATE AGENCY</i>	<i>LOCAL AGENCY</i>
Certification	● Create and Locate Data Records		✓
	● Manage Application Process		✓
	● Determine Nutrition Risk of Applicant		✓
	● Complete Certification		✓
	● Prescribe Food Package		✓
	● Process Participant Changes and Transfers		✓
Nutrition Education, Health Surveillance, And Referrals	● Maintain Nutrition Education Data		✓
	● Perform Participant Referrals		✓
	● Provide Voter Registration Information		✓
	● Determine Immunization Status		✓
Food Management	● Maintain Food Categories/Subcategories	✓	
	● Maintain Foods and Food Package Information	✓	
	● Maintain Food Instrument Data	✓	
	● Maintain UPC/PLU Database and Food Item Not-to-Exceed Amounts	✓	
Food Benefit Issuance	● Issue Paper Food Instruments		✓
	● Issue Benefits via EBT		✓
Food Benefit Redemption, Settlement, And Reconciliation	● Pay Vendor for Food Instruments Redeemed	✓	
	● Reconcile Food Instruments	✓	
	● Pay Vendor for Food Benefits Redeemed via EBT	✓	
	● Reconcile EBT Benefits	✓	
Financial Management	● Manage Grants and Budgets	✓	
	● Monitor Program Expenditures	✓	
	● Process Manufacturer Rebates	✓	
Caseload Management	● Capture and Maintain Caseload Data	✓	
	● Allocate Caseload	✓	
	● Monitor Caseload	✓	



<i>Exhibit 2-4: WIC Functional Distribution</i>			
<i>FUNCTIONAL AREA</i>	<i>FUNCTION</i>	<i>STATE AGENCY</i>	<i>LOCAL AGENCY</i>
Operations Management	● Monitor Administrative Operations	✓	✓
	● Manage Participant Outreach		✓
	● Monitor Customer Service	✓	✓
	● Provide Survey Capability	✓	✓
	● Maintain Inventory	✓	✓
Vendor Management <sup>3</sup>	● Manage Vendor Peer Groups	✓	✓
	● Create and Locate Data Records	✓	✓
	● Maintain Vendor Authorizations	✓	✓
	● Monitor Vendor Training	✓	✓
	● Support Vendor Communications	✓	✓
	● Perform Confidential High-Risk Vendor Analysis	✓	✓
	● Track Compliance Investigations	✓	✓
	● Track Routine Monitoring	✓	✓
	● Monitor Sanctions and Appeals	✓	✓
	● Coordinate with Food Stamp Program	✓	
Scheduling	● Maintain Master Calendar		✓
	● Manage Appointments		✓
	● Generate Appointment Notices		✓
System Administration	● Maintain System Data Tables	✓	
	● Administer System Security	✓	
	● Manage System	✓	
	● Archive System Data	✓	
Reporting	● Generate Standard Reports	✓	✓
	● Conduct Ad Hoc Queries and Generate Reports	✓	✓
	● Maintain Data Warehouse	✓	

<sup>3</sup> Vendor Management activities may take place at the State level, the local level, or a combination of State and local. The actual functions performed at each level will vary by State.

## **SECTION 3: WIC FUNCTIONAL REQUIREMENTS**

### 3 WIC FUNCTIONAL REQUIREMENTS

This section describes the functional requirements for a WIC IS. Functions have been subdivided into functional areas in order to more easily organize the information. The functional areas, however, are not independent of each other. In many cases, functions in one area are directly related to, are inputs to, or are the result of functions in another functional area. For example, benefit issuance functions cannot occur without completion of certification functions.

Each function begins with a high-level narrative that summarizes what the system is expected to do; this is the requirement. In some cases, background information precedes the system requirement. Background information is included in the following format:

■ *Background information*

Following the requirement description, system inputs, processes, and outputs have been developed to outline what is accomplished by the IS to fulfill the functional requirement. These have been established at a general level and may vary based on design, specific State requirements, or technology constraints. To manage the volume of inputs for each function, when the Participant Identification Number is listed as an input, it is assumed that this will include basic data elements that are linked to the ID, such as participant name, family/household grouping, address, WIC category, and date of birth.

Some general assumptions have been made in the description of the processes listed for each function so that duplicate information is not repeated. These assumptions include the following:

- The user has logged on to the system and access to the specific function has been verified.
- The system will track user activities by user ID to include a date-time stamp on record creation and update.
- The user has navigated to the proper screen or field in order to begin the function.

Understanding that States have unique technology and budgetary constraints, implementation approaches are included at the end of functions to indicate alternative methods by which functional requirements can be fulfilled with varying degrees of automation. Implementation approaches are provided in the following format:

► Implementation Approach

Additionally, this version of the FReD has been written to specifically identify functions that are required for EBT readiness neutral of the technology used for EBT (online, offline, or other). For any technology used for EBT, similar processes and data are required from the WIC IS in order to provide the necessary information to *the EBT system*. The term “*the EBT system*” has been used in the document as a generic, technology neutral description to represent the specific system, module, component or contracted processor that the State agencies used to support EBT account management, card management, transaction processing, and settlement.

Regarding data required for CDC reporting, while most data elements have been captured in the FReD, readers should refer to CDC documentation for ideal features and data elements as preferred by the CDC for PNSS and PedNSS reporting. Links to the CDC website and reference information can be found in *Appendix F: Policy and Data References*.

## 3.1 Certification

The Certification function is intended to support application processing and certification of WIC participants<sup>4</sup>. To be certified as eligible to receive WIC benefits, applicants<sup>5</sup> must meet categorical, income, residence, and nutrition risk requirements. WIC certification involves capturing relevant demographic, income, health-related, and referral data on applicants to and participants in the WIC Program. In this area, eligible applicants are authorized to receive nutrition education, breastfeeding support, referral to health and social service programs, and food benefits. Upon certification WIC participants are prescribed a food package and are issued benefits (*see section 3.4: Food Benefit Issuance*). Certification functionality also includes the ability to process participant data changes and transfers.

Certification includes the following functions<sup>6</sup>.

- Create and Locate Data Records
  - Create New Applicant Record
  - Search for Applicant/Vendor Record
- Manage Application Process
  - Maintain Basic Information on Applicant/Participant
  - Screen Applicant for Prior Enrollment
  - Determine Adjunct or Automatic Income Eligibility
  - Determine Documented Income Eligibility
  - Maintain Waiting List
- Determine Nutrition Risk of Applicant
  - Maintain Applicant Nutrition and Health Characteristics
  - Calculate Body Mass Index and Produce Automated Growth Chart
  - Capture and Document Blood Test Results

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<sup>4</sup> The certification function may not include all business activities that take place during a certification appointment; this function describes the system functions that support the actual certification of an applicant.

<sup>5</sup> For the purposes of the FReD, an applicant is a person applying to be certified. That person may be new to WIC or may be applying for a subsequent certification.

<sup>6</sup> Due to the various processes performed in WIC local agencies, some functions may take place in a different order in the business process flow.

- Determine Nutrition Risk and Calculate Priority
- Complete Certification
  - Assess Applicant for Temporary Certification/Presumptive Eligibility Requirements and Documentation Status
  - Certify Applicant
  - Maintain Proxy Information
  - Implementation Approaches
  - The system could maintain a history of proxies and dates of designation as proxy.
  - Issue Identification Card
- Prescribe Food Package
  - Select and Nutrition Tailor Food Prescription
  - Change Food Prescription
- Process Participant Changes and Transfers
  - Change Family/Household Grouping
  - Change Participation Status and/or Category
  - Process In-State Transfers
  - Process Out of State Transfers and Produce VOC

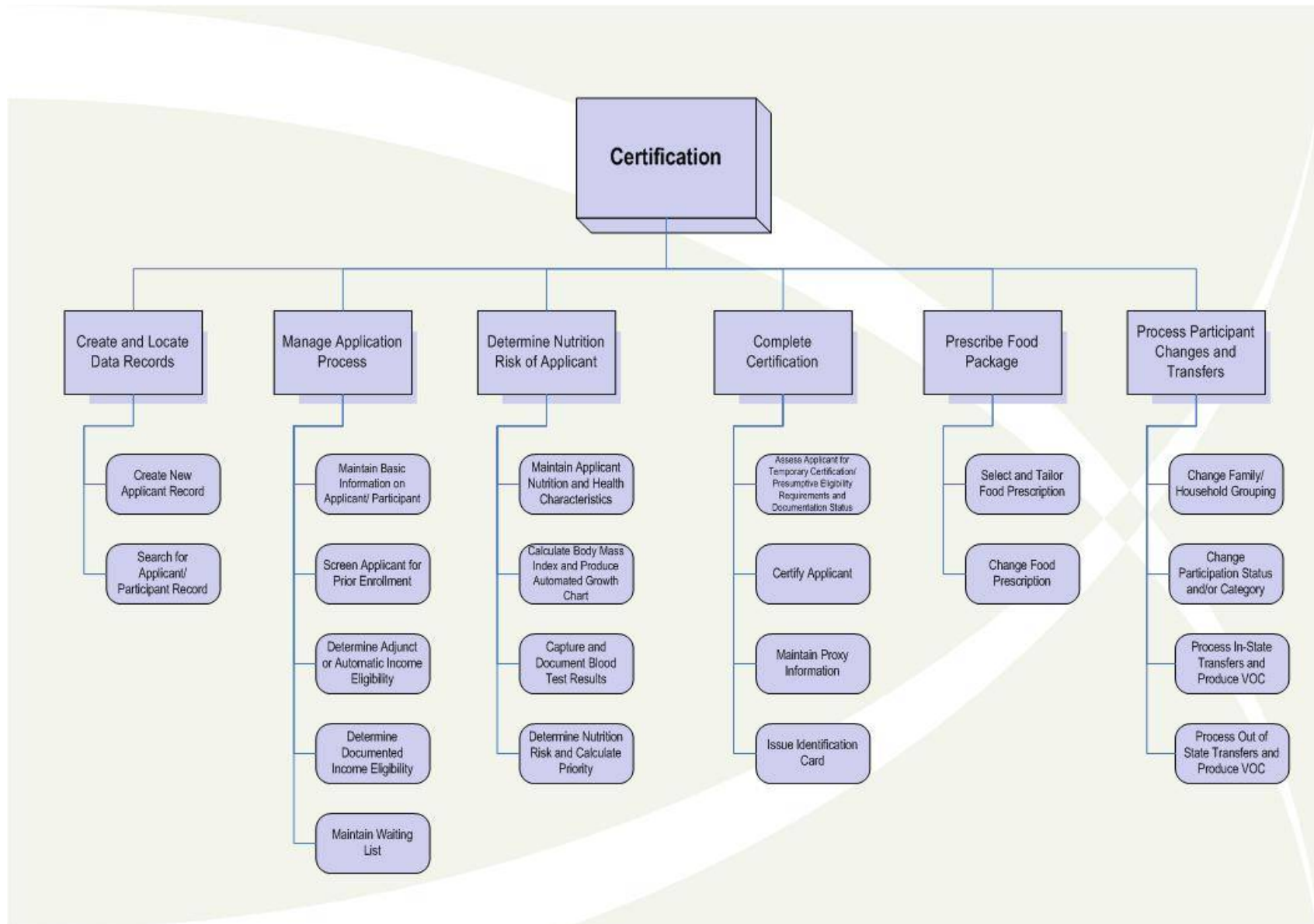


Exhibit 3-1: Functional Decomposition Diagram – Certification

### 3.1.1 Create and Locate Data Records

For system management, data records need to be maintained and accessible. This functional area describes the process of creating a new data record with a unique identifier and subsequently locating the record through a search function.

#### 3.1.1.1 Create New Applicant Record

*When a person contacts WIC and is not already in the system, a user must create a new data record to capture and maintain information. For data management, each record should have a unique identification number. The WIC local agency could use this identification number to identify the participant when his or her records are needed.*

The system should support the creation of new records into which data will be entered. When creating new records, the system should assign a unique identification number for each applicant/participant record and a unique family/household identification number if one or more members are applying to/participating in WIC. A family/household identification number should be assigned for the family/household and all individual participants in that family/household should be linked to the family/household identification number using their participant identification number.

#### Inputs<sup>7</sup>:

- Participant Address- Apartment
- Participant Address- City
- Participant Address- Street
- Participant Address- Zip Code
- Participant Date of Birth
- Participant Name- First
- Participant Name- Last
- Participant Name- MI
- Participant Parent/Head of Household Indicator

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<sup>7</sup> The required data elements to create a record will vary based on design. This function assumes that a database record can be created with only a name, address, and date of birth. Other data would be required for completing an applicant's initial application information.



**Process:**

- Accept user entry of minimum required data record data elements
- Assign individual participant identification number and family/household identification number (as applicable)
- Maintain record for search, view, and update

**Outputs:**

Participant Identification Number<sup>8</sup>

Participant Family/Household Identification Number

New database record

**Implementation Approaches**

- ▶ The system should assign one unique identification number to each record (person) in the system. The system does not need to maintain different sets of numbers for different WIC statuses, but for reporting and tracking purposes there must be a way to identify applicants versus enrollees or participants. Different statuses can be handled through a separate data element (for example, a status code indicator) associated with the record.
- ▶ The identification number should be either a sequential number (the next sequential number available) or a coded number (e.g., the WIC Program may have special codes for the local agency the participant is certified with, or a code for the participant's category. Note that in this case, the identification number would need to change if the participant's category changes).
- ▶ To minimize the creation of partial records, the system could require a specific set of data elements (e.g., an application) to be completed before a new record could be created. Additional data elements would be required in this approach.
- ▶ Prior to creating a record, the system could perform a check (for dual participation or to see if a record with the same data exists in the database) based on entered information. This would likely take place after entering basic information, such as name, address, or date of birth, but before the system assigns a unique identification number. See [section 3.1.2.2](#) for details on screening for prior enrollment.
- ▶ The system may create a family record simultaneously with the first applicant/participant in the family or as a separate process.

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<sup>8</sup> Although a person does not become a participant until after being certified, the term "Participant Identification Number" is used in this document to define the unique identifier used in an individual data record. The data record may be for a person that has not yet been certified (an applicant) is certified (participant or enrollee), or is not in an active certification (applicant for subsequent certification or terminated).

- ▶ Depending on design, a system may create a family/household record first and then add participants/applicants. The reverse may also take place. A unique household number is necessary for EBT readiness because benefits for each participant in the household are aggregated to a single account, which is typically associated to a family/household identification number because a card is generally issued per family rather than to each participant.

### 3.1.1.2 Search for Applicant/Vendor Record

*After a record is created or to determine if a data record exists in the system, staff members have to have the ability to locate the record for viewing or data entry.*

The system should have the capability to search for records using predefined criteria.

#### Inputs:

Data elements included in a search function will vary based on design and State agency preferences. See Implementation approaches for examples.

#### Process:

- Compare data search criteria with existing database records
- Display records that match search criteria
- Allow user to access the data record(s) matching search criteria

#### Outputs:

Screen display of matching records

Screen display of selected record

#### Implementation Approaches

- ▶ The system should provide for searches by individual or family/household.
- ▶ Various data elements should be included in the search, such as identification number (participant and family/household), name, address, phone number, zip code, county, local agency, clinic, statewide, participation status (applicant, certified, terminated), or category. Combinations of search elements should be allowed.
- ▶ The system should have a method for searching for names that allows for variations in spellings, such as a search for similar sounding names (Smith, Smyth, Smythe) or the use of a wildcard character.
- ▶ The system should allow searches by current name and any previous or alias names.

## 3.1.2 Manage Application Process

The WIC Program collects and maintains information on individuals applying for participation in the WIC Program. Individuals provide this data to the WIC Program when they telephone or visit the agency. If an applicant does not meet the basic requirements for category, residence, and income, the applicant will not continue with nutrition risk eligibility interviews and will not become a participant in the WIC Program at that time.

The workflow in WIC clinics varies. Some agencies prefer to perform basic eligibility and income screening prior to setting up a certification appointment. Others perform the eligibility and income screening at the same time as the nutrition risk assessment for certification. Therefore, the specific processes performed within the initial application process or included within the certification screening will vary according to the procedures performed by a local agency.

Applicants who wish to participate in the WIC Program contact the WIC clinic to determine their eligibility to receive WIC benefits. When a local agency has reached maximum caseload capacity, a waiting list is established (see section 3.1.2.5). Individuals already certified who are relocating from within or out of state receive priority over new applicants, and are generally enrolled immediately to minimize the interruption of services.

### 3.1.2.1 Maintain Basic Information on Applicant/Participant

*Collecting basic data about each applicant/participant is important because the data are used throughout subsequent WIC Program activities. The data are used by other functions to notify applicants/participants of their appointments (such as for nutrition education and food instrument pickup), and, after certification, to help determine and track the type of food benefits the participant is assigned, and to determine the current caseload of a State or local agency.*

*The majority of basic data are collected when the applicant visits the agency. However, some of the data may be collected when the applicant telephones the agency. Some data may already be collected in the system for those participants who are reapplying for subsequent certification to WIC. Applicant data may be received through various means and at different times.*

*In addition, all applicants, including infants and children, must be physically present at their certification appointment. In some cases, income and physical presence requirements can be waived, but these exceptions must be documented.*

The system should allow the input of applicant/participant data (demographic and eligibility) needed to process a certification. Applicant/participant data should be able to be added to, changed, or deleted to maintain up to date information<sup>9</sup>. The system should link the records of people associated with the same family/household; links should be able to be changed as family/household associations change.

**Inputs<sup>10</sup>:**

Clinic Identification Number  
Local Agency Identification Number  
Participant Address- Apartment  
Participant Address- City  
Participant Address- Street  
Participant Address- Zip Code  
Participant Alias Name(s)  
Participant Application Date  
Participant Category Code  
Participant Certification End Date  
Participant Data Sharing Consent  
Participant Data Sharing Entity  
Participant Date of Birth  
Participant Date of First Certification  
Participant Date of Initial Contact  
Participant Education Level Code  
Participant Employment Status Code  
Participant Expected Date of Delivery  
Participant Family/Household Identification Number  
Participant Family/Household Size  
Participant Guardian Name  
Participant Health Source of Prenatal Care  
Participant Identity Documentation Code

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<sup>9</sup> Certain eligibility information should not be able to be changed within an active certification.

<sup>10</sup> If the State Agency opts to require proof of pregnancy, “Participant Proof of Pregnancy” should also be included as an input.

Participant Income Documentation Code  
Participant Income per Period  
Participant Income Period  
Participant Language Spoken Code  
Participant Marital Status Code  
Participant Parent/Head of Household Address- Apartment  
Participant Parent/Head of Household Address- City  
Participant Parent/Head of Household Address- State  
Participant Parent/Head of Household Address- Street  
Participant Parent/Head of Household Address- Zip Code  
Participant Parent/Head of Household Date of Birth  
Participant Parent/Head of Household Indicator  
Participant Parent/Head of Household Name- First  
Participant Parent/Head of Household Name- Last  
Participant Parent/Head of Household Name- MI  
Participant Parent/Head of Household Telephone Number  
Participant Physical Presence Exception Code  
Participant Physical Presence Indicator (Y/N)  
Participant Proxy Name  
Participant Racial/Ethnic Ethnicity Code  
Participant Racial/Ethnic Race Code(s)  
Participant Residency Documentation Code  
Participant Self-declared Income Eligibility Code  
Participant Sex  
Participant Source of Information About WIC Code  
Participant Status Code  
Participant Telephone Number  
Transfer Date  
Transfer From  
Transfer To

**Process:**

- Add new applicant data to or update existing records for each family/household member
- Associate all other family/household members to the Participant Family/Household Identification Number
- Make changes to applicable applicant data to all records associated with the family/household identification number
- Generate screen display of linked participant family/household

**Outputs:**

Screen display of data

**Implementation Approaches**

- ▶ The family/household ID could be used to facilitate coordination of certification periods for family/household members, transferring families/households within the system, and food package tailoring when several family/household members are eligible to receive the full package.
- ▶ The system should allow users to add, change, and delete data on demand by accessing records through the unique identification number. While a participant's (or applicant, prior to certification) record may be updated with each visit to the clinic, the system must maintain the certification data that is the basis for eligibility.
- ▶ The system should allow for a number of alias names and a history of previous names to be maintained.
- ▶ In States that have implemented online or eApplications (that allow individuals to enter basic application information for one or more health and humans services programs using the Internet), the system should accept the application data or allow users to view the application information and automatically load the applicable data.

**3.1.2.2 Screen Applicant for Prior Enrollment**

Upon input of applicant data, the system should check to ensure that the person is not already enrolled in or disqualified from WIC or Commodity Supplemental Food Program (CSFP).

**Inputs:**

Participant Address- Apartment

Participant Address- City

Participant Address- Street

Participant Address- Zip Code

Participant Alias Name  
Participant Category Code  
Participant Date of Birth  
Participant Family/Household Identification Number  
Participant Identification Number  
Participant Name- First  
Participant Name- Last  
Participant Name- MI  
Participant Racial/Ethnic Ethnicity Code  
Participant Racial/Ethnic Race Code  
Participant Sex

Other inputs would include participation information from CSFP that would bar a person's participation in WIC.

**Process:**

- Match newly entered applicant data with data in participant data store
- Display potential matches in Dual Participation Potential Match data fields
- Accept user input to potential matches

**Outputs:**

Screen display of prior enrollment  
Notice of dual enrollment to applicant

**Implementation Approaches**

- ▶ The system should compare items such as participant name, address, date of birth, racial/ethnic code, and sex. If a match is found, the system should inform the user of the possibility of dual enrollment and allow the user to determine if, in fact, the record in the system is for the same person.
- ▶ When a system operates in an offline mode (for example, in a satellite clinic that does not have telecommunications access), dual participation checks should take place against a subset of statewide data that is available in the offline mode and/or when the offline system next goes online.

- ▶ Where two separate State agencies operate within a State (e.g., a geographic State agency and an Indian Tribal Organization or WIC and CSFP) the system should exchange data through an interface, electronic files, or a data tape. One or both of the State agencies involved should perform a participant data match. This information would be used to flag possible instances of dual participation for follow-up action.

### **3.1.2.3 Determine Adjunct or Automatic Income Eligibility**

The system should enable the user to indicate whether an applicant, or one or more of the applicant's family/household members, is income eligible for WIC as a result of their eligibility for or enrollment in one or more other benefit programs. The system should allow for the documentation of proof documents, as appropriate.

#### **Inputs:**

Participant Adjunct or Automatic Income Eligibility Code(s)  
Participant Family/Household Identification Number  
Participant Identification Number  
Participant Income Documentation Code  
Participant Income Documentation Date  
Participant Income per Period  
Participant Income Period  
Participant Income Range per Period  
Participant Participation in Other Programs Code  
Participant Self-declared Income Eligibility Code

#### **Process:**

- Accept user input of participation in adjunctive or automatic eligibility program, self-declared income, and participant income information
- Update participant data store for all members of the family/household, as applicable

#### **Outputs:**

Screen display of adjunct or automatic income eligibility status



### Implementation Approaches

- ▶ The system should capture the name of the program that is the basis for WIC income eligibility, whether through adjunct or automatic income eligibility. The applicant should provide documentation of adjunct income eligibility by showing, for example, a Food Stamp notice of eligibility and the system should accept documentation of proof. (See section 3.1.2.4 for documentation of income.)
- ▶ For Minimum Data Set (MDS) reporting (PC Report), the system should enable the user to enter all the adjunct programs in which the applicant is eligible. An income range and period, i.e., week, month, etc. is also needed (see PC Report Specifications).
- ▶ Where the system interfaces with another health and/or social services system, the WIC IS should permit the WIC staff to retrieve information to confirm the applicant's adjunct or automatic income eligibility for WIC. Where participant information is shared with other programs, federal regulations should be followed regarding confidentiality.

#### 3.1.2.4 Determine Documented Income Eligibility

*If the applicant is not adjunctively or automatically income eligible, he or she must be assessed for income eligibility through normal screening procedures. WIC income eligibility requirements are based on the number of individuals who share income and resources in the applicant's household (i.e., the economic unit) and the total gross income of that economic unit. Income Eligibility Guidelines, published annually, establish maximum weekly, bi-weekly, twice-monthly, monthly and annual income levels for each economic unit.*

The system should be able to accept updates to the income eligibility guidelines.

The system should accept information related to an applicant's income and should automatically determine if the person is income eligible based on reported data and income guidelines. The system should perform all necessary calculations to determine the income amount to use for the income assessment and should compare the amount to income guidelines to determine income eligibility. The system should also capture information about the proof of income documentation used (e.g., pay stub, tax statement).

The system should permit the applicant's income and family/household size information to be saved and applied, as appropriate, to other members of the economic unit who are also applying for WIC. Multiple income assessments should be allowed within an active certification.

### **Inputs:**

For Income Guidelines Updates:

Income Guideline Household Income Limit- Annual

Income Guideline Household Income Limit- Biweekly

Income Guideline Household Income Limit- Monthly

Income Guideline Household Income Limit- Twice Monthly

Income Guideline Household Income Limit- Weekly

Income Guideline Household Size

Income Guideline End Date

Income Guideline Start Date

For Participant/Family Income Assessment:

Participant Identification Number

Participant Family/Household Size

Participant Income Documentation Code

Participant Income Documentation Date

Participant Income per Period

Participant Income Period

Participant Income Range per Period

Participant Income Self-declared Indicator

### **Process:**

- Accept annual updates to income guidelines for all household sizes
- Update Income Guideline data store
- Add, update, and delete income and family/household data
- Capture the specific documents used as proof of income (e.g., pay stub, tax return) or the reason for an exception. Generate a notice with the specific date that specific documents must be provided, if not provided
- Calculate annual or monthly family/household income
- Retrieve and compare income with income eligibility guidelines (Income Guidelines data store)

- Allow user input of income levels that exceed maximum allowed level if the participant has been determined adjunct or automatically eligible
- Display status of income eligibility determination and update Participant Ineligibility Date and Participant Ineligibility Reason Code
- Apply income eligibility determination to all applicable members of the family/household. Allow separate income determinations for some members of the family/household (as applicable)
- Generate a notice of ineligibility and the reason(s) for ineligibility, if applicable
- Automatically terminate applicants who have not provided income documents within applicable timeframes

**Outputs:**

Screen display of individual's income eligibility status

Ineligibility notice to ineligible applicants

Termination notice if documentation is not provided within applicable timeframes

**Implementation Approaches**

- ▶ The system should allow start and end dates for the income guidelines levels to ensure income comparisons occur based on the correct income guidelines. Historical or upcoming income guidelines records may be resident in the system, but only one set of guidelines should be used for income determination at any time.
- ▶ At the State agency's option, the applicant's Self-declared income amount may be entered into the system as opposed to an income range. If the applicant is adjunctively income eligible, the system should permit the user to enter an income amount or an income range that exceeds the maximum allowed for WIC (based on the established Income Eligibility Guidelines) if the maximum income limit in the adjunct Program is greater than the maximum income limit for WIC.
- ▶ The system should accept and process income in any of the following increments: weekly, bi-weekly, twice-monthly, monthly, and annual. The system should compare the income reported by the applicant to the maximum income allowed for the household size, and identify income that exceeds the maximum. If the income fluctuates or is episodic, WIC staff may need to enter several amounts into the system to obtain a monthly or annual income amount that can be used for comparison to the appropriate maximum income limit.
- ▶ The system should allow separate income assessments for all or specific individuals within a family/household. For example, a foster child may be part of a family on WIC, but his/her income would be assessed separately.

- ▶ The system should permit the user to enter an income level that exceeds the maximum allowed for WIC only if the applicant is participating in TANF, FSP, or Medicaid (see section 3.1.2.3) or, if applicable, other programs that convey automatic income eligibility. It should also alert the user that the applicant has already been determined adjunctively income eligible, if appropriate.
- ▶ The system should allow multiple income assessment records during an active certification (e.g., to accommodate mid-certification income checks). The original income level used for certification should not be overwritten; multiple income records should be accessible during an active certification. The system should capture the income amount and date of income determination each time an applicant's income is assessed or a participant's income is reassessed.
- ▶ The system should store the income level in the individual's record for those individuals determined income eligible. For applicants determined ineligible, the system should maintain income information, along with the reason for ineligibility.
- ▶ The system should compare income data for all economic unit members on WIC to prevent inconsistencies in income information. Individuals in the same family/household with differing incomes should be assessed as separate economic units.

### **3.1.2.5 Maintain Waiting List**

For each local agency, the system should maintain a waiting list of the applicants by priority who wish to enroll in the WIC Program when caseload is full. As caseload slots become available, the system should identify applicants on the waiting list by expected or determined priority level so the higher risk applicants are certified before the lower risk applicants<sup>11</sup>.

#### **Inputs:**

Clinic Identification Number

Local Agency Identification Number

Participant Category Code

Participant Health Nutrition Risk Code (if pre-screening is done)

Participant Identification Number

Participant Priority Level Code

Participant Status Code

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<sup>11</sup> Individuals already certified who are relocating from within or out of state are served first so that services are not interrupted.

**Process:**

- Update applicant status with participant status code for waiting list
- Calculate waiting list priority
- Retrieve participant records with waiting list active status
- Sort records by waiting list priority
- Display waiting list in priority order
- Update participant status

**Outputs:**

Printed report or screen display of waiting list

Notification of waiting list status

**Implementation Approaches**

- ▶ The system should indicate that the applicant is on the waiting list by a specific code in the participant wait list status field. It should also produce a list of the applicants and basic data on each applicant waiting for their certification appointment. The WIC staff may then either change the applicant's wait list status field to indicate the applicant is no longer on the waiting list, inactivate the record from the system if the applicant is no longer interested or available, or do nothing to the record to leave the applicant on the waiting list.
- ▶ If nutrition assessments are not performed on waiting list applicants, then potential priorities could be documented to help staff members manage the waiting list.

### **3.1.3 Determine Nutrition Risk of Applicant**

Generally, the local agency assesses the nutrition risk of applicants at the time of certification. As part of the nutrition risk assessment, information is collected about the applicant's nutrition and health characteristics. Based on those characteristics, the WIC staff member is able to determine the appropriate nutrition risk conditions, nutrition education messages, food package prescription, and health care/social services referrals. Based on the applicant's nutrition and health characteristics, the WIC staff member is able to determine the appropriate nutrition risk conditions, nutrition education messages, and health care referrals. Furthermore, this information is used to evaluate the individual's health and nutrition progress while participating in WIC.

Since participant health and nutrition data are received through various means and at different times, the system should allow users to review, add, change, and delete health and nutrition data at any time. However, those

data that are the basis for eligibility determinations must be maintained for audit tracking purposes.

### **3.1.3.1 Maintain Applicant Nutrition and Health Characteristics**

*The nutrition risk assessment is made based on information obtained by the CPA from the applicant, or primary caregiver in the case of an infant or child, regarding his or her nutrition and health characteristics. Some of the information is obtained by interviewing the applicant, while other information is obtained through height and weight measurements and a blood test, or from referral information. The anthropometric measurements and blood test may be performed during the certification assessment or by the applicant's health care provider. These data are necessary to support both initial and subsequent certification, and to identify high risk participants to receive more frequent monitoring and intensive nutrition education. Much of the data collected during the nutrition risk assessment will be used in reporting to FNS and CDC.*

The system should allow the entry of applicant nutrition and health characteristics data. In addition, the system should enable the data to be modified as necessary throughout the individual's application and certification period, but not after the certification period.

#### **Inputs<sup>12</sup>:**

Participant Age

Participant Date of Last Checkup/Immunization- Infants and Children

Participant Health Anthropometric Date

Participant Health Bloodwork

Participant Health Bloodwork Date

Participant Health Bloodwork Type Code

Participant Health Height/Length

Participant Health Infant Birth Length

Participant Health Infant Birth Weight

Participant Health Nutrition Assessment<sup>13</sup>

Participant Health Pregnancy Outcome Code

Participant Health Trimester of First WIC Visit

<sup>12</sup> The list of inputs may not be inclusive of all data elements required to capture all risks. Refer to Appendix F for additional information on risk codes.

<sup>13</sup> Because of Value Enhanced Nutrition Assessment (VENA), this data element will vary based on the approach taken by each State. VENA questions and responses will be documented as applicable in the system and for the State agency.

Participant Health Weight  
Participant Health Weight at Labor  
Participant Health Weight Change Code  
Participant Health Weight Prepregnancy  
Participant Identification Number

*As Applicable to Risk Conditions:*

Breastfeeding Data Collected Date  
Breastfeeding Discontinued Date  
Breastfeeding Discontinued Reason Code  
Breastfeeding Duration  
Breastfeeding Infant Currently Breastfeeding  
Breastfeeding Infant Ever Breastfeeding  
Breastfeeding Status Code  
Breastfeeding Supplemental Formula Received  
Participant Expected Date of Delivery  
Participant Health Bloodwork Change Code  
Participant Health Cigarette Smoking  
Participant Health Cigarettes per Day  
Participant Health Dietary Supplement During Pregnancy  
Participant Health Dietary Supplement Prepregnancy  
Participant Health Drink  
Participant Health Drink per Week- 3 Months Prepregnancy  
Participant Health Drink per Week- Last Trimester  
Participant Health Drug  
Participant Health Drug Frequency  
Participant Health Environmental Tobacco Smoke Exposure  
Participant Health Folic Acid Consumption  
Participant Health Gestational Diabetes  
Participant Health Height/Length Change Code  
Participant Health High Blood Pressure During Pregnancy  
Participant Health Infant Gestational Age  
Participant Health Introduction to Supplementary Feeding

Participant Health LMP Date  
Participant Health Multiple Fetuses  
Participant Health Multiple Fetuses Number of Live Births  
Participant Health Multivitamin Consumption  
Participant Health Pregnancy Weight Gain  
Participant Health Previous Pregnancy End Date  
Participant Health Source of Prenatal Care  
Participant Health Source of Prenatal Care Begin Date  
Participant Health Total Previous Pregnancies  
Participant Health Trimester  
Participant Health TV/Video Viewing  
Participant Number of Infants Resulting from Current Pregnancy  
Participant Number of Live Births  
Participant Physical Presence Exception Code  
Participant Physical Presence Indicator (Y/N)

**Process:**

- Accept user entered Participant, Participant Health, and Breastfeeding data for nutrition assessment
- Update the Participant, Participant Health, and Breastfeeding data stores

**Outputs:**

Screen display of participant nutrition assessment data  
Data for PC Report, PedNSS, and PNSS<sup>14</sup>

**Implementation Approaches**

- ▶ As participant health and nutrition related information changes, the system could retain selected historical data (e.g., height and weight) in addition to capturing more current data. This data may then be used to track an individual participant's progress and to do an historical analysis of participants of a particular type or in a particular geographic location. Historical encounter data should be maintained chronologically in the applicant's record.

<sup>14</sup> Readers should refer to CDC documentation for ideal features and data elements as preferred by the CDC for PNSS and PedNSS reporting. Links to the CDC website and reference information can be found in Appendix F.



### 3.1.3.2 Calculate Body Mass Index and Produce Automated Growth Chart

*The applicant's height (or length and head circumference for infants) and weight measurements must be taken and/or documented in the applicant's file at the time of certification. In addition, Body Mass Index (BMI) is used as a screening tool to assess nutrition risk for women and children 2 years of age and older. Applicants whose measurements are outside the normal range may be determined to be at risk based on WIC nutrition risk criteria.*

The system should calculate the BMI based on entered data and CDC standards. The calculated BMI should be used as the basis for assessing nutrition risk (e.g., assigning automated risks) of WIC applicants.

The system should plot anthropometric measures automatically on a graphical chart. The system should be able to accept updated growth data and recalculate the growth chart to show all values (current measure and previous measures).

#### **Inputs:**

Participant Identification Number  
Participant Health Anthropometric Date  
Participant Health BMI  
Participant Health Parent BMI (Father)  
Participant Health Parent BMI (Mother)  
Participant Health Parent Height (Father)  
Participant Health Parent Height (Mother)  
Participant Health Parent Weight (Father)  
Participant Health Parent Weight (Mother)  
Participant Health Head Circumference  
Participant Health Height/Length  
Participant Health Weight

#### **Process:**

- Accept user input of anthropometric data or retrieve data from Participant Health data store
- Compare actual measurements to CDC standards
- Assign BMI score and weight status classification (if applicable)

- Generate graphic growth chart or percentile chart with participant's data

#### **Outputs:**

Screen display or printout of participant growth chart

#### **Implementation Approaches**

- ▶ The system should graphically plot an individual's growth and/or provide the nutritionist with the calculated percentiles, based on inputs to the system such as height, weight, and head circumference (for infants). The types of automated growth charts produced will vary depending on the age, sex, and category of the participant.
- ▶ The system should calculate a woman's BMI based on height and weight inputs to the system and determine her weight status classification (e.g., underweight, normal, overweight, obese). The weight status classification will vary depending on category of the participant.
- ▶ WIC staff should enter the date measurements were taken and the system could alert the staff if the measurement was taken outside of the acceptable timeframe.
- ▶ The system should maintain prenatal weight gain charts for pregnant women.
- ▶ The system should calculate the parental Body Mass Index for a potential risk. This should be based on self-reported information collected from parents that are present at the WIC appointment.
- ▶ The system should calculate gestational age when plotting growth charts.
- ▶ The system could display height, weight, and head circumference measurements, BMI values, BMI percentiles for children older than 2 years old and women, and height, weight, and weight/height percentiles for infants and children under age 2.

#### **3.1.3.3 Capture and Document Blood Test Results**

*All WIC applicants, except for infants younger than 9 months old, must be tested for anemia. A hematological test for anemia (such as a hemoglobin, hematocrit, or erythrocyte protoporphyrin test) must be performed by the WIC agency or test results obtained from a referral source. Blood test results must be documented in the applicant's record. Bloodwork must be done at appropriate times in accordance with program regulations.*

The system should allow the user to enter the date the blood test was performed and the test results. The system should identify participants that require bloodwork according to regulations.

### Inputs:

Participant Actual Date of Delivery  
Participant Identification Number  
Participant Certification Date  
Participant Date of Birth  
Participant Expected Date of Delivery  
Participant Health Bloodwork  
Participant Health Bloodwork Date  
Participant Health Bloodwork Type Code

### Process:

- Accept user input of bloodwork or retrieve data from Participant and Participant Health data stores
- Run an algorithm to determine if bloodwork is needed in a specified time period based on participant category, participant age, date of certification, and date of last bloodwork
- Determine participants requiring bloodwork

### Outputs:

Screen display or printed list of participants needing bloodwork

#### Implementation Approaches

- ▶ The system should not accept the entry of a blood test date that is outside the appropriate range based on the applicant's category.
- ▶ At the State agency's option, if an individual is eligible based on income and has at least one qualifying nutrition risk present at certification, the individual may be certified without a blood test for a period based on regulations. Participants who do not have blood test results within the applicable timeframe should not be terminated by the system.
- ▶ The system should track the number of participants, by category, with missing blood test data after the applicable period and summarize this information for the State agency and by local agency within the State agency.

#### 3.1.3.4 Determine Nutrition Risk and Calculate Priority

*Program regulations establish a priority system to ensure individuals most in need are served first when caseload slots are no longer available (e.g., pregnant women and infants receive priority over children). In addition, FNS provides State agencies with a uniform set of allowed*

*nutrition risk conditions, with corresponding code numbers, which relate to the various priorities. Risk factors are determined based on the information provided by the applicant and using the priority and allowed risk conditions as a checklist. Ten data fields are needed to allow for the PC reporting of up to 10 risk factors. Risk factor data and the related priority data are used by the State Agency for caseload management purposes.*

The system should automatically assign risk codes for each applicant based on the raw data (i.e., blood test results, height/weight measures, etc.) captured in the system. Based on nutrition assessment and professional discretion, the WIC staff member should have the ability to add to or override risk factors assigned by the system. The system should ensure that possibility of regression to the same risk condition is not used for consecutive certification periods.

The system should automatically assign priority based on applicant data.

**Inputs<sup>15</sup>:**

Participant Identification Number  
Participant Certification Date  
Participant Certification End Date  
Participant Health Anthropometric Date  
Participant Health Bloodwork  
Participant Health Bloodwork Date  
Participant Health Bloodwork Type Code  
Participant Health Head Circumference  
Participant Health Height/Length  
Participant Health Infant First Supplemental Feeding  
Participant Health Nutrition Risk Code(s)<sup>16</sup>  
Participant Health Weight  
Participant Ineligibility Reason Code  
Participant Priority Level Code

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<sup>15</sup> The data elements included in this section are not all-inclusive of all data that need to be considered to determine all possible risks. Please refer to Appendix F for additional information about risk codes.

<sup>16</sup> Nutrition Risk Codes are derived from data entered into the system during nutrition assessment and height/weight/bloodwork documentation. Risk codes could be assigned by the system or by an authorized WIC staff member.

**Process:**

- Retrieve data from Participant, Participant Health, and Nutrition Assessment data stores
- Enable entry of Participant Nutrition Risk Codes or automatically calculate the Participant Nutrition Risk Codes based on entered data and store in the Participant Health data store
- Automatically assign Participant Priority based on Participant Nutrition Risk Code and Participant Category, with the opportunity to allow staff to override the value, and store in the Participant Health data store
- Accept user input of new Participant Priority Level Code and store in the Participant data store

**Outputs:**

Screen display of nutrition risk assessment

Screen display of priority level

**Implementation Approaches**

- ▶ The system should capture the identity of the certifying official for audit tracking purposes. To support separation of duties, the system could prevent the WIC staff member that performs the eligibility assessment from issuing benefits to those same individuals. If the participant is not eligible, the system should capture the reason for ineligibility.
- ▶ For reporting purposes, the system should have the ability to capture at least ten risks per participant; participants may have only one risk to be certified, but all applicable risks (even if more than 10) should be captured.
- ▶ The system should support issuance of notification of certification information, notifying the applicant of certification and termination decisions and rights and responsibilities, and notifying the WIC staff of the next certification date.

### 3.1.4 Complete Certification

After all of the required data are collected, the information is reviewed to ensure that all requirements have been met and that the applicant meets the criteria for participation in the WIC Program. If the applicant is eligible and has completed all of the requirements, he/she is certified to participate in WIC and will be eligible to receive benefits.

### **3.1.4.1 Assess Applicant for Temporary Certification/Presumptive Eligibility Requirements and Documentation Status**

*To receive WIC benefits, applicants must not only be eligible based on category and income, they must also meet residency requirements and have at least one nutrition risk condition. All applicants must provide documents to show proof of identity, income, and residence within 30 days of their certification visit or they must be terminated from the system and issued a notice of ineligibility. However, at the State agency's option, a pregnant woman who is income eligible and meets residential requirements may be certified without a nutrition risk assessment for a period of up to 60 days.*

*At the State agency's discretion, an applicant that meets all other eligibility criteria (including nutrition risk), but fails to bring proof of income to the certification appointment, may "self declare" their income, and may be given one month of food benefits, with the requirement that they provide appropriate income documentation within 30 days.*

If State agency policy permits the applicant to be certified temporarily or the pregnant woman to be presumptively eligible, the system should allow the certification to be completed for the appropriate time period. The system should support the management of these certifications to ensure participants provide required information in the appropriate timeframes based on regulations. The system should limit food instrument issuance until a proof documentation has been provided for applicants who are temporarily certified and for pregnant women who are deemed presumptively eligible.

#### **Inputs:**

Participant Category Code

Participant Certification Date

Participant Certification End Date

Participant Certification Status Code

Participant Identification Number

Participant Identity Documentation Code

Participant Income Documentation Code

Participant Income Documentation Date

Participant Ineligibility Reason Code

Participant Physical Presence Exception Code

Participant Physical Presence Indicator (Y/N)

Participant Residence Documentation Code

## Participant Self-declared Income Eligibility Code

### Process:

- Capture the specific documents used as proof of identity, and proof of residency (e.g., a current utility bill, rent or mortgage receipts), or the reason for an exception
- Capture that applicants were physically present at the certification visit or the reason for an exception
- Determine type of documentation missing from required certification data
- Calculate date missing documents are due
- Flag record to ensure that benefits cannot be issued for a timeframe greater than the approved timeframe unless missing documentation is provided
- Generate a notice for the applicant with the date that specific documents must be provided
- Automatically terminate the participant after the applicable timeframe and prevent issuance of food instruments if documents are not provided

### Outputs:

Screen display of documentation recorded

Notice of documents needed and date due

Screen display of participants that need to provide documentation

Screen display or printed report of participants automatically terminated by the system because of missing certification data

Notice of ineligibility/termination for temporarily certified applicants that fail to bring in documentation on time

Notice of ineligibility/termination for pregnant women presumptively certified that do not meet any risk conditions within the appropriate timeframe

### Implementation Approaches

- ▶ The system should flag records for temporary certification/presumptive eligibility to assist staff in obtaining the necessary documentation to avoid any disruption or termination of benefits.

► The system could provide a notification that benefits will terminate if income documentation is not completed by a specific date as determined by regulations.

### 3.1.4.2 *Certify Applicant*

Based on the data entered, the system should determine whether an applicant is eligible to be certified to the WIC Program. The system should automatically calculate the date the participant's certification is due to expire. If there is missing information required for a certification, the system should notify the user of what is missing.

#### **Inputs:**

Participant Certification Date

Participant Certification End Date

Participant Certification Status Code

Participant Identification Number

#### **Process:**

- Retrieve data from Participant data store
- Run an algorithm to determine if all certification conditions have been met. If so, update Participant Certification Status Code to Certified. If not, update ineligibility/termination information or allow user to enter missing data and attempt the certification again
- System automatically calculates the next certification date and store in the Participant data store [calculated field Participant Certification End Date]<sup>17</sup>.

#### **Outputs:**

Notification of next certification date

Notification of ineligibility, if applicable

#### **Implementation Approaches**

► The system could produce certification forms, such as the Rights and Responsibilities form. The system could also capture a signature for the forms electronically.

<sup>17</sup> Under certain circumstances, the certification period may be shortened or extended by a period not to exceed 30 days.



### **3.1.4.3 Maintain Proxy Information**

Once the WIC staff determines an applicant is certified for the WIC Program, the user should enter any data on proxy, alternate, or authorized representatives who can pick up or redeem food benefits on the participant's behalf. This information should be updateable at any time during an active certification.

#### **Inputs:**

Participant Family/Household Identification Number

Participant Identification Number

Participant Proxy Authorization Date

Participant Proxy Name

#### **Process:**

- Accept user entered Proxy data
- Store Proxy data in Participant data store

#### **Outputs:**

Screen display of proxy information

#### **Implementation Approaches**

- ▶ The system could maintain a history of proxies and dates of designation as proxy.

### **3.1.4.4 Issue Identification Card**

As an option for those State agencies that issue ID cards, the system may issue identification cards once applicants are certified in the WIC Program. The system should support the replacement of ID cards according to State policy.

#### **Inputs:**

Local Agency Identification Number

Participant Card Replacement Date

Participant Card Replacement Reason Code

Participant Certification Date

Participant Family/Household Identification Number

Participant Identification Card Number

Participant Identification Number

Participant Name- First

Participant Name- Last

Participant Name- MI

**Process:**

- Using data contained in the Participant data store (including parent/guardian name for infants and children), produce an identification card
- Track card replacements
- Flag records of participants with multiple card replacements for local agency follow-up

**Outputs:**

Participant identification card

Report of participants with multiple card replacements

**Implementation Approaches**

- ▶ The system could produce an identification card for use when receiving and using food benefits and for proof of previous certification if the participant moves to another local or State agency. The identification card could include the participant's name, participant identification number, certification expiration date, and the participant's local agency identification.
- ▶ The system could issue a replacement identification card if the participant's card is lost or stolen. A control procedure, based on the participant identification card code, should be implemented to ensure that fraudulent cards are not produced.
- ▶ In addition to the identification card, the system could produce a rights and responsibilities form and capture a signature.

### 3.1.5 Prescribe Food Package

Once the WIC CPA has certified the applicant, he/she assigns a particular food package based on the category and nutrition risk of the participant. Functionality for determining standard food packages is included in the Food Management section (*Section 3.3*).

The system should capture data about the participant's assigned food package and schedule for picking up the food benefits. Because the nutritional health or dietary needs of participants may change, the WIC

CPA should be able to nutrition tailor or change<sup>18</sup> an individual participant's food package prescription at any time within a certification period if medically or nutritionally warranted. The system should remind users when there is a change in a participant's status that necessitates a change in the prescribed food package.

### 3.1.5.1 *Select and Nutrition Tailor Food Prescription*

*The full maximum monthly allowances of all supplemental foods in all food packages must be made available to participants if medically or nutritionally warranted. Reductions in these amounts cannot be made for cost-savings, administrative convenience, caseload management, or to control vendor abuse. Reductions in these amounts cannot be made for categories, groups or sub-groups of WIC participants. Once a food package has been assigned to an individual participant, it is referred to as the participant's food benefit prescription. The food benefit prescription may change from month to month.*

The system should capture and store the prescribed food package for each participant consistent with the participant's categorical status and age. The system should allow for individual tailoring of the food package as allowed by State policy. The system should verify that the prescribed food package and participant category match (i.e., a child cannot receive an infant package). The system should capture whether medical documentation for qualifying conditions is on file.

#### **Inputs:**

Food Package Identification Number

Participant Identification Number

Participant Non-Contract WIC formula Medical Documentation on File

Participant Non-Contract WIC formula Received

Participant Non-Contract WIC formula Received Reason Code

Participant Soy Beverage/Tofu/Additional Cheese Medical Documentation on File

Participant Soy Beverage/Tofu/Additional Cheese Received

Participant Soy Beverage/Tofu/Additional Cheese Received Reason Code

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<sup>18</sup> For the purposes of this document, the term "tailor food package" means to adjust or modify the contents or quantities of food items in a food package. The term "change food benefit prescription" means to replace a food package assigned to a specific person with a different food package.

Participant Supplemental Foods in Food Package III Medical Documentation on File

Participant Supplemental Foods in Food Package III Received

Participant Supplemental Foods in Food Package III Received Reason Code

For each individual food item changed:

Category/Subcategory Category Code (*Required for EBT*)

Category/Subcategory Subcategory Code (*Required for EBT*)

Food Instrument Type Identification Number

Food Item Prescribed Date

Food Item Prescribed Identification Number

Food Item Prescribed Unit Quantity

Food Item Prescribed Unit Size

**Process:**

- Retrieve Participant's Category from Participant data store
- Display appropriate standard packages or list of supplemental foods,
- Select Food Package based on Participant Category Code<sup>19</sup> and display Food Package with assigned food items to user
- Alert user to inappropriate food package selection and flag for overissuance, if applicable
- Accept user food package confirmation or Food Package updates
- Update the Food Benefit Prescription data store to assign a Food Package to the participant
- If WIC formula or supplemental foods that require medical documentation are issued, add or update the WIC formula or supplemental foods received and reason in the Participant data store.

**Outputs:**

Screen display of participant food package data

Printed report of food benefits prescribed

---

<sup>19</sup> Participant Category Code refers to the participant's WIC classification (e.g., pregnant woman, infant, child). This is different from a Food Category, which refers to the classification of WIC food types (e.g., milk, cheese)

### Implementation Approaches

- ▶ The system should recommend a standard/default food package based on the participant's category/age, which can be accepted or overridden by the certifying official. The system should produce a message to the CPA if an incorrect food package is prescribed (e.g., infant's package for a woman). The system should allow the CPA to prescribe a different food package (including prorated packages) at any visit, and should flag over-issuance of benefits. The system should display appropriate food packages and supplemental foods from which the certifying official can select a different package, if necessary.
- ▶ The system must allow authorized users to individually tailor food benefits as necessary to meet participant needs. The system should allow users to adjust quantities of specific food items (within regulatory limits) if medically or nutritionally warranted.
- ▶ The system should allow deletion of food items or reduction of amounts of food items based on State-authorized prorated pick-up schedules.
- ▶ For systems using EBT issuance, benefit adjustments can be specific to quantities of each food category and subcategory and may entail a void of some or all for existing and future benefits followed by replacement of a revised food package.
- ▶ The system should allow food package change for infants transitioning from infants to children without a complete recertification at 13 months as some infants are certified in infancy for a period that extends into 1 year of age.
- ▶ The system should include functionality to calculate for food equivalency. For example, replacing x ounces of liquid formula with y ounces of powered formula or x number of gallons of milk with y number of ounces of cheese.
- ▶ The system could capture a scanned image of formula prescriptions.

#### 3.1.5.2 Change Food Prescription

*A participant's nutritional needs may change within a certification period. For example, a fully breastfed infant may need to change to a partially breastfeeding food package and would need to be prescribed a new food benefit prescription within the active certification.*

The system should allow authorized users to change the food benefit prescription assigned to a participant as necessary.

#### Inputs:

Food Benefit Prescription Identification Number

Food Package Identification Number

Participant Family/Household Identification Number

Participant Identification Number

**Process:**

- Accept user input of participant identification and food package identification
- Retrieve and display existing Food Package Prescription
- Accept new Food Package selection and update Food Benefit Prescription

**Outputs:**

Screen display of participant updated food prescription data

Printed report of food package prescribed

**Implementation Approaches**

- ▶ At the State agency's discretion, the system could automatically change the prescription in some cases or flag the date the change should occur. For example, the system should automatically add allowable infant foods to an infant's package when the infant changes from 5 to 6 months of age. The system could automatically change infant formula quantities at a specific age.
- ▶ The system could maintain a history of food benefit prescriptions assigned to track changes.
- ▶ The system could include an approval function to track approval by a certified staff member (CPA or State staff as defined by policy) to make changes to the food prescription.

### 3.1.6 Process Participant Changes and Transfers

The system should capture and process changes, as necessary, to individual participant data. These changes could be to demographic data, family/household grouping, or participant status. The system should also accommodate transfers between local agencies within the State agency and from WIC Programs in other State agencies. This function also includes producing verification of certification (VOC) documents for transfers.

#### 3.1.6.1 Change Family/Household Grouping

*During an active certification period, participants may have changes that need to be documented. For example, a family may move to a new address or a child may switch families/households. To change households, the participant has to be unlinked from the existing family/household grouping and be linked either to a different, existing*

*family/household grouping or to an entirely new family/household grouping.*

The system should allow authorized users to change the family/household grouping of individual participants and to make other changes to participant data, as necessary.

**Inputs:**

Participant Family/Household Identification Number

Participant Identification Number

Other data elements vary based on change being made.

**Process:**

- Accept user input of data changes and apply changes to all applicable members of the family/household
- Accept user input of participant identification number and family/household identification number and retrieve participant's existing family/household grouping
- Display list of existing family/household grouping
- Accept user selection of an existing family/household grouping or generate new family/household
- Link participant to selected/newly created family/household grouping
- Update Participant data store with new Participant Family/Household Identification Number

**Outputs:**

Screen display of participant's updated family/household grouping

Screen display of changes to participant records

**Implementation Approaches**

- ▶ The system should maintain a history of family/household assignments and changes. The history should be viewable by individual (noting all families/households to which the individual has belonged) and by family/household (displaying all individuals that are currently or have previously been assigned to the family/household).

- ▶ For states using an EBT issuance method, for situations where a participant may frequently change households such as foster children, the state may choose to issue a card to a foster child's caregiver as the head of household or to the foster child as the head of household. The child may be the head of household or part of a group with a single EBT card.

### 3.1.6.2 Change Participation Status and/or Category

*A participant's status<sup>20</sup> may change during the certification period for a variety of reasons including, but not limited to, income adjustments, expiration of eligibility period (e.g., reaching end of non-breastfeeding or postpartum period or upper age limit for child), moving out-of-state, or misuse of WIC benefits. The participant's category may also change.*

The system should allow authorized users to change the participation status of participants as necessary. The system should automatically change the participant's category when applicable (e.g., when an infant becomes 1 year old, when a pregnant woman delivers her baby).

#### Inputs:

Participant Category Code

Participant Identification Number

Participant Status Code

Participant Termination Date

Participant Termination Reason Code

#### Process:

- Accept user input of participant identification number and retrieve and display existing participant participation status or category
- Update Participant data store with updated status or category or automatically update status or category (if applicable)
- Add a record to or update an existing record in the Participant data store to show an applicant as ineligible or a participant's termination reason
- Notify user of food package changes due to status change
- Generate notice of participant change

<sup>20</sup> Participant status refers to the person's affiliation with the WIC Program, such as Certified, Terminated, or Ineligible.



### Outputs:

Screen display with participant status change

Notice of participant change

#### Implementation Approaches

- ▶ When status changes occur, the system could remind the user of other specific changes needed due to the status change, such as food package changes or termination notifications.
- ▶ When status changes occur, the system could automatically generate an appropriate notice of status change. For example, when an infant turns 1 year old and categorically changes from an infant to a child, a notice outlining the potential adjustments to the food package should be sent to keep the infant's caretaker fully informed.

### 3.1.6.3 Process In-State Transfers and Produce VOC

*WIC participants transferring between local agencies within a State agency should already be included in the State's system<sup>21</sup>. Thus, when a transfer participant visits the new local agency, all data on the participant should already be available through the system. The data should be immediately accessible so services and benefits are not disrupted<sup>22</sup>. The staff at the participant's new location should be able to access the participant's file to find out what foods were issued at the former local agency and when they were last issued, as well as other information useful in providing continued health and nutrition-related services. The local agency will need to update demographic data on the participant (such as Participant Address and Participant Transfer To or Transfer From).*

*The specific process for performing in-state transfers will vary depending on the architecture of the system.*

The system should allow for the transfer of individual participants and families/households across local agencies in the same State.

### Inputs:

Participant Family/Household Identification Number

Participant Identification Number

<sup>21</sup> If a State transitions from paper to EBT, the transfer procedures need to be established to accommodate movement between paper and EBT clinics.

<sup>22</sup> If a system is operating in offline mode, immediate access to statewide participant data may not be immediately available. In these cases, the local agency staff members should contact the agency from which the participant is transferring to obtain the information required to continue services. The participant's electronic record should be assigned to the receiving local agency as soon as possible.

Transfer Date

Transfer From

Transfer To

**Process<sup>23</sup>:**

- Retrieve existing Participant or Family/Household data
- Terminate Participant record access at originating agency
- Update authorization to access record at receiving agency
- Update Participant or Family/Household data store with participant information

**Outputs:**

Participant transfer

Screen display of transfer information

**Implementation Approaches**

- ▶ Systems using an online centralized database that restrict access by site could simply change the authorization to access the participant records to the receiving clinic. The staff at the participant's new location would be able to access the participant's file to find out what foods were issued at the former local agency and when they were last issued, as well as other information useful in providing continued health and nutrition-related services.
- ▶ If the State uses a "pull" approach, the receiving agency initiates the transfer and retrieves the record from the originating agency. The system should notify the receiving agency and the originating agency of the successful transfer.
- ▶ If the State uses a "push" approach, the receiving agency initiates the transfer by contacting the originating agency. The originating agency conducts a process to transfer the record access to the receiving agency.
- ▶ The system could maintain a history of transfers within the State for each participant and family/household.
- ▶ In a State agency that issues benefits via EBT, the EBT card can serve as a VOC if the participant data format is standardized and the participant is going to another in-state local agency that has implemented EBT. If the receiving local agency has not converted to EBT, the sending local agency should issue a paper VOC.

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<sup>23</sup> The processes related to how access to records is controlled will vary based on system design.

### 3.1.6.4 Process Out of State Transfers and Produce VOC

*When the participant relocates during a certification period, the receiving agency accepts the Verification of Certification (VOC) as proof of eligibility and accepts the participant into the program immediately to avoid any disruption of service. Participants with a valid VOC are placed on WIC immediately ahead of all waiting list applicants, regardless of the priority status assigned to them at their previous agency. VOC information can be issued to a participant on a paper card or standard size paper. The VOC should list vital information about the participant currently participating with one State WIC agency but transferring to another in order to ensure the continuation of benefits.*

The system should support the transfer of participants to other States. The system should generate a VOC as needed.

#### **Inputs:**

Local Agency Identification Number  
Local Agency Name  
Participant Certification Date  
Participant Certification End Date  
Participant Health Nutrition Risk Code(s)  
Participant Identification Number  
Participant Income Documentation Date  
Participant Name- First  
Participant Name- Last  
Participant Name- MI  
Transfer Date  
User Name<sup>24</sup>

Other Data may be included on the VOC  
Food Instrument Issuance Date  
Participant Date of Birth  
Participant Health Anthropometric Date  
Participant Health Bloodwork  
Participant Health Bloodwork Date

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<sup>24</sup> This is the user that conducted certification. This person must also sign the paper VOC.

## Participant Health Bloodwork Type Code

### Process:

- Retrieve data from Participant, Participant Health, Transfer, Local Agency, and Food Instrument data stores
- Produce a VOC from data resident in the system

### Outputs:

Verification of Certification (must be signed or stamped by Local Agency)

#### Implementation Approaches

- ▶ The system could automatically issue a printed VOC for every participant who is a member of a family/household in which there is a migrant farm worker or any other participant who is likely to be relocating during the certification period. The VOC should include all VOC data required by regulation and, ideally, would list nutrition risk descriptions with any risk codes assigned to a participant.
- ▶ In a State agency that issues benefits via EBT, the EBT card can serve as a VOC if the participant data format is standardized and the participant is going to another EBT State agency that also uses the same standardized format. Further, the systems in both the receiving and transferring States must be interoperable (i.e., have compatible operating systems and card readers). If not, the local agency should issue a paper VOC. (Contact FNS for EBT electronic VOC specifications.)
- ▶ State agencies that use the EBT card as a VOC should consider that health information is resident on the card and should be protected.

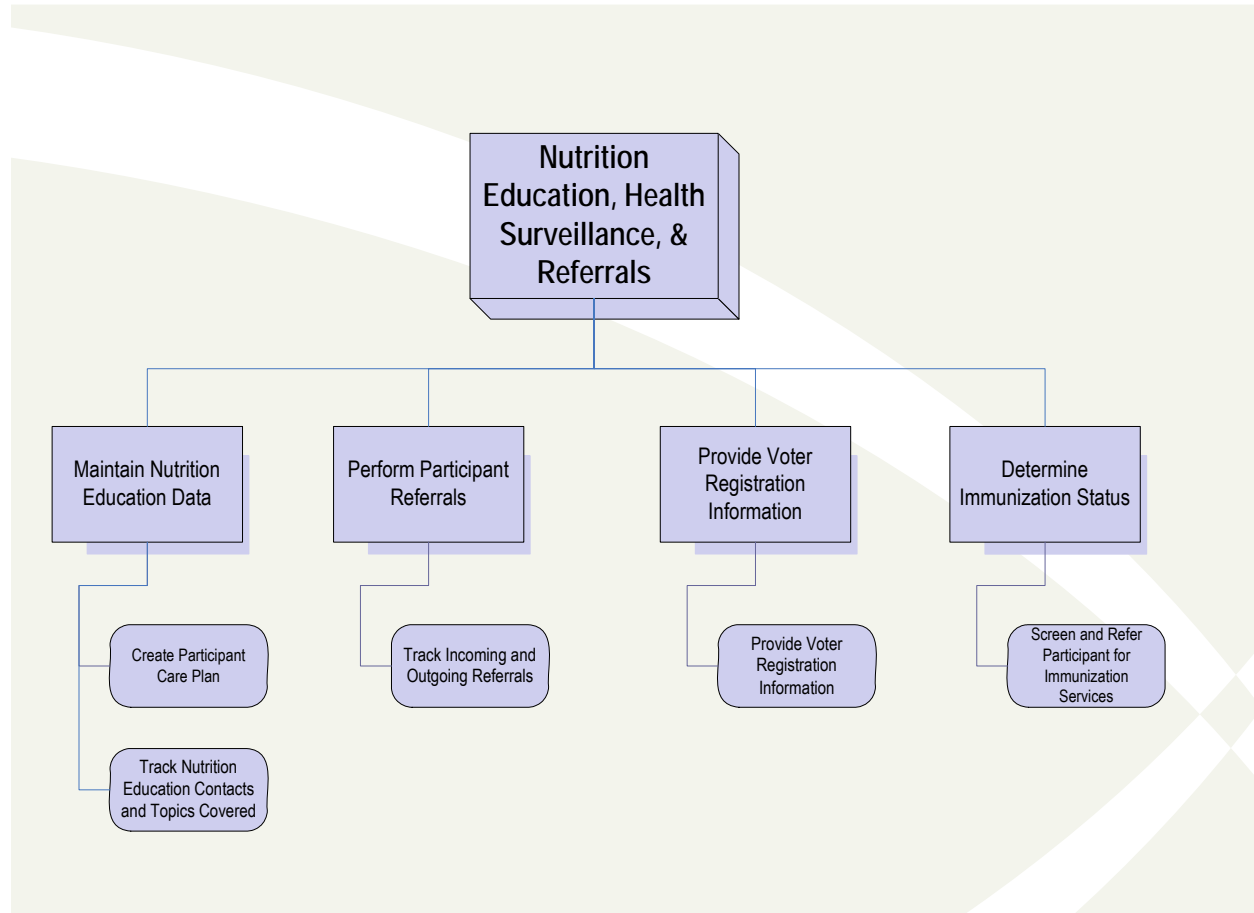
## 3.2 Nutrition Education, Health Surveillance, and Referrals

This functional area is intended to capture nutrition-related information about WIC Program participants; this area captures nutrition education and breastfeeding support services provided, as well as tracks referrals and captures population characteristics for reporting. The nutrition education, health, and referral data are assessed for individual participants, but may be used across populations. This information is needed for the Federal Participant Characteristics Datasets and the CDC Pediatric Nutrition Surveillance System (PedNSS) and Pregnancy Nutrition Surveillance System (PNSS)<sup>25</sup>. This functional area also includes interacting with the Immunization Program. The automated functions that support nutrition education, health surveillance, and referral are:

- Maintain Nutrition Education Data
  - Create Participant Care Plan
  - Track Nutrition Education Contacts and Topics Covered
- Perform Participant Referrals
  - Track Incoming and Outgoing Referrals
- Provide Voter Registration Information
  - Provide Voter Registration Information
- Determine Immunization Status
  - Screen and Refer Participant for Immunization Services

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<sup>25</sup> Refer to the Appendix F document for additional reference information on PedNSS and PNSS data elements.



*Exhibit 3-2: Functional Decomposition Diagram – Nutrition Education, Health Surveillance, and Referrals*

### 3.2.1 Maintain Nutrition Education Data

The WIC Program requires that local agencies offer nutrition education to all participants. This education covers a variety of topics and is provided through individual counseling, group classes, or via electronic media (e.g., kiosks or web-based nutrition education). WIC staff members may show participants how to use prescribed foods in healthy ways, and provide information on other topics that will meet the participants' specific needs (e.g., the importance of breastfeeding). Nutrition education sessions are often scheduled concurrently with food instrument pick-up to facilitate provision of nutrition education.

#### 3.2.1.1 Create Participant Care Plan

*A participant care plan is provided based on need as determined by the authorized WIC staff member, or if requested by the participant. At each participant visit, a WIC staff member may perform health and nutrition monitoring activities that are recorded in the Participant Care Plan. This Plan is used to track the progress of the participant toward achieving his or her goals over time. It is also used to customize individual counseling sessions, plan nutrition education activities, and determine appropriate referrals.*

*Although the content of the Participant Care Plan is dependent on the category of WIC participant and may vary widely from State to State, it generally includes the following types of information, which should be personalized for the specific client receiving the care plan:*

*Nutrition and health goals for the participant*

*Planned and attended nutrition education classes and individual counseling sessions*

*Notes and comments added by WIC staff members*

*Results of nutrition risk assessments*

*Referrals to other programs*

*Results of individual health surveillance activities including ongoing anthropometric measurements, growth charts, and bloodwork changes*

*Immunization status*

*Planned frequency for follow-up*

*Educational pamphlets and materials provided*

Based on the nutrition risk assessment data collected during the certification process, the system should generate an individual Participant Care Plan. The Plan should have the capacity to be updated for the participant at each clinic visit and should maintain appropriate historical information.

**Inputs:**

Comment Date  
Comment Description  
Comment Identification Number  
Education/Training Offer Class Code  
Education/Training Offer Class Description  
Education/Training Offer Date  
Education/Training Offer Materials Provided  
Education/Training Offer Status Code  
Education/Training Offer Type Code  
Participant Care Plan Create Date  
Participant Care Plan High Risk Indicator  
Participant Care Plan Identification Number  
Participant Care Plan Nutrition Goal Date  
Participant Care Plan Nutrition Goal Outcome Code  
Participant Care Plan Nutrition Goal Outcome Date  
Participant Care Plan Nutrition Goals  
Participant Care Plan Template Type Code  
Participant Category Code  
Participant Health Bloodwork  
Participant Health Bloodwork Type Code  
Participant Health Height/Length  
Participant Health Immunization Status Code  
Participant Health Nutrition Risk Code(s)  
Participant Health Weight  
Participant Identification Number  
Referral To Organization Code



**Process:**

- Retrieve Participant Care Plan template appropriate for participant risk and category
- Retrieve relevant participant data from Participant data store and populate template
- Retrieve relevant data from Comment, Education/Training, Nutrition Assessment, Participant Health, Participant Care Plan, and Scheduled Appointment data stores
- Accept Participant Care Plan updates and update Comment, Education/Training, Nutrition Assessment, Participant Care Plan, Participant Health, Participant Health, and Appointment data stores
- Display updated Participant Care Plan

**Outputs:**

Screen display of the Participant Care Plan

Printed copy of the Participant Care Plan

**Implementation Approaches**

- ▶ The system could have several care plan templates that it will automatically assign to participants that are in a certain risk category. The template could be built with business logic to provide the most applicable nutrition and health information for that participant's unique nutrition risks. Using the template, the WIC staff member could be able to tailor the individual Participant Care Plan as necessary to meet the participant's unique needs.
- ▶ The system could include a free-form text/notes area for health educators to document their comments and observations.
- ▶ The system could allow for the creation of family-level care plans.

**3.2.1.2 Track Nutrition Education Contacts and Topics Covered**

*Regulations require that the local agency offer adult participants and the parents or caretakers of infant and child participants, and wherever possible, the child participant themselves, at least two nutrition education contacts per certification; for parents/caretakers of infants certified until their first birthday, nutrition education contacts should be quarterly. Nutrition Education/Training may include topics covered in family-based education, classes, and other education settings used by the State Agency.*

The system should capture the nutrition education topics covered for each participant throughout the certification period in any authorized mode (individual, group, online).

**Inputs:**

- Education/Training Offer Class Code<sup>26</sup>
- Education/Training Offer Class Description
- Education/Training Offer Date
- Education/Training Offer Materials Provided
- Education/Training Offer Status Code
- Education/Training Offer Type Code
- Participant Care Plan Identification Number
- Participant Family/Household Identification Number
- Participant Identification Number

**Process:**

- Accept input of offered education/training topics
- Update Education/Training and Participant Care Plan data store
- Display updated Nutrition Education screen

**Outputs:**

Screen display and hardcopy report of nutrition education provided history

**Implementation Approaches**

- ▶ When appropriate, nutrition education topics covered could be applied to the records of all family members participating in WIC.
- ▶ The system could produce a report listing the number of nutrition education contacts received by participants to enable the WIC staff to know which participants need additional education contacts.
- ▶ The system could automatically update the Participant Care Plan with the nutrition education provided.
- ▶ When a participant attends a group nutrition education class, the topics covered in the class could be automatically documented for all appropriate family/household members.

<sup>26</sup> A Class Code for individual nutrition education may be established for States that do not hold group nutrition education sessions.

► If kiosk or web-based nutrition education contacts are made, the system should accept documentation of course completion from the web site or kiosk automatically.

## 3.2.2 Perform Participant Referrals

The WIC Program is required to provide WIC applicants and participants, or their designated proxies, with information on other health-related and public assistance programs (e.g., Medicaid, Food Stamp Program, etc.), and, when appropriate, refer them to such programs. In addition, local agencies are required to maintain and make available for distribution to all applicants and participants a list of local resources for drug and other harmful substance abuse counseling and treatment. WIC staff members regularly receive applicants who have been referred from other programs or external organizations. The system is used to track referrals made to and from outside entities.

### 3.2.2.1 Track Incoming and Outgoing Referrals

*The types of agencies or programs that the system could consider for referral tracking may include: Battered Women's Homes, Blood Lead Screening, Child Abuse and Neglect, Child Support Enforcement (CSE), Commodity Supplemental Food Program, Drug Abuse Counseling and Treatment Centers, Early and Periodic Diagnosis, Screening, and Treatment Program, Even Start, Expanded Food and Nutrition Education Program (EFNEP), Family Planning Agencies, Food Stamp Program, Head Start, Healthy Start, Homeless Shelters, Immunization Program, Managed Care Agencies, Maternal Health Program and Child Health Program, MCH Social Worker, Medicaid, Migrant Organizations, Physicians Organizations, Private Providers, School Lunch Program, State Child Health Insurance Program (SCHIP or CHIP), State Programs for Children with Special Health Care Needs (CSHCN), Temporary Assistance to Needy Families or other programs.*

When a referral is made, the system should be used to record the name of the program to which the participant was referred for each certification period. The system should also track the organizations that have referred applicants/participants to WIC.

#### **Inputs:**

Participant Family/Household Identification Number

Participant Identification Number

Referral Date

Referral Declined

Referral From Organization Code

Referral To Organization Code

**Process:**

- Accept user entered participant referral data
- Update Referral data store

**Outputs:**

Referral notice

Referral transaction file

**Implementation Approaches**

- ▶ The system could accommodate outgoing referrals by prompting the staff person to make the referral, by recording instances where an applicant was referred, and by recording the identity of the person making the referral.
- ▶ State agencies are encouraged to track the outcome of referrals, such as whether the participant followed up with the referral organization. If a State agency chooses to capture this information, data elements related to referral outcomes should be included in the system design. If the outcome information is collected, reports could be developed to track trends and outcomes.
- ▶ When a participant is referred to another health care/social service providing agency, the WIC staff member may want to update the Participant Care Plan. The system could automatically update the Care Plan, if applicable.
- ▶ The system should track referrals and produce a report of the number of individuals referred to and from other programs.
- ▶ A zip code matching or a more sophisticated Geographic Information System (GIS) could be used to locate referral agencies within the proximity of the participant's location. The ability to generate more convenient referrals to agencies could potentially improve the utilization rate of the referral process.

### **3.2.3 Provide Voter Registration Information**

As a service to participants, WIC provides voter registration information, forms, and the opportunity to apply to register to vote.

#### **3.2.3.1 Provide Voter Registration Information**

The system should track the effort expended on these voter registration tasks and generate statistical reports of numbers of voter registration contacts made.

**Inputs:**

Participant Identification Number

Participant Voter Registration Assistance Provided

**Process:**

- Accept user input of participants offered voter registration services
- Create Voter Registration Report

**Outputs:**

Voter registration report

### 3.2.4 Determine Immunization Status

WIC's mission is to be a full partner in ensuring healthy and well-nourished women, infants, and children. Low-income children are less likely to be immunized than their counterparts are, which places them at high risk for potentially serious diseases, such as diphtheria, pertussis, poliomyelitis, measles, mumps, and rubella. WIC assists in the immunization effort by ensuring that WIC infants and children are screened and referred for immunizations using a documented immunization history record.

#### 3.2.4.1 Screen and Refer Participant for Immunization Services

*The centralized source of immunization data within State governments is often the Immunization Registry<sup>27</sup>. In some cases, the registries are maintained on the Internet. Due to time constraints in certifying participants, some WIC Programs are interested in finding an automated solution that would enable them to update the registry information, without the need for data entry on the part of the WIC staff.*

*Immunization records are requested as part of the WIC certification and health screening process. A documented record (i.e., a computerized or paper record in which actual vaccination dates are recorded) is used at initial and subsequent certifications to screen WIC participants. At a minimum, the WIC staff must screen for DTaP (diphtheria and tetanus toxoids and acellular pertussis). If the infant/child is underimmunized, WIC staff members refer the participant for immunization services, ideally to the infant/child's usual source of medical care.*

<sup>27</sup> The data elements described in this document do not include all of the specific immunization data elements required to fully integrate with an immunization registry.

The system should be used to document that the immunization record was checked and that the participant was referred for immunization services (if necessary), or the reason the participant was not referred.

**Inputs:**

Participant Data Sharing Consent  
Participant Data Sharing Entity  
Participant Date of Birth  
Participant Identification Number  
Participant Health Immunization Record Checked  
Participant Health Immunization Status Code  
Referral Results  
Referral To Organization Code

**Process:**

- Accept user input of immunization status, data sharing, and referral information and update Participant, Participant Health, and Referral data stores
- Display list of participants by immunization status, using sort parameters
- Generate lists of participants who have granted consent for sharing with outside entities

**Outputs:**

List of participants referred (with desired parameters)  
Electronic file on appropriate media for sharing  
Screen display of reason referral not made

**Implementation Approaches**

- ▶ WIC staff could be able to print out, or download electronically, a list of participants needing immunizations for sharing with outside entities (e.g., the Immunization Registry), as appropriate. The system should be able to exclude names of participants that have not authorized consent to share information. The system could enable data to be sorted by date of referral, age of infant/child, reason referral not made, zip code, or to select subsets of children for follow-up, if desired.
- ▶ The system could capture that an immunization/shot record has been reviewed.

- ▶ For those WIC Programs with the resources and capability to help populate the immunization registries, data could be entered by the WIC staff into the WIC IS with an interface to the immunization registry. It is important that WIC not duplicate data maintained by the Immunization Program. A table driven assessment algorithm can be provided by the Centers for Disease Control and Prevention that assesses the immunization history, and indicates vaccine-specific, age appropriate status (up to date, due, or overdue). The WIC IS could be designed to provide outputs, including choice of letters, labels, phone list, report, and parameters. An autodialer could be used to notify participants of immunizations due.
- ▶ For families that do not have a health care provider or health care home, either a zip code matching capability or a more sophisticated GIS could be used to locate potential agencies that could perform immunizations within close proximity of the participant's home.
- ▶ If multiple health care delivery agencies have integrated systems, the WIC staff could schedule an appointment at the receiving agency. Alternatively, the WIC staff could call to schedule the referral appointment and enter the time and date into the system. The Referral Notice in this case would contain information on the immunizations due for the participant being referred, the name and location of the agency to which the participant was referred, and the time and date of the immunization appointment, if available. The participant's Immunization, Referral, and Scheduled Appointment data stores would be updated with the referral information.

### 3.3 Food Management

Food management is typically an administrative function carried out at the State agency level. It involves establishing a food Category/Subcategory table, establishing information on approved foods, the construction of food packages, establishing benefit proration schedules, and creating food instrument-based food package data.

The State WIC Program designates approved foods that participants can purchase with WIC food instruments. To facilitate the prescription of foods to participants, WIC Program regulations delineate maximum monthly allowances and authorized substitutions for all WIC-eligible foods. Food packages are structured for each WIC category (e.g., pregnant, breastfeeding, and postpartum women, infants, and children) as well as to address specific nutritional risks or lifestyles. The various packages developed may vary in the types, physical forms and brands of food approved to address different nutritional requirements as well as cost management considerations.

*Food instrument* means a voucher (including a CVV), check, warrant, coupon, electronic benefits transfer card (EBT), or other document that is used to obtain supplemental foods. However, for the sake of brevity, the term “food instrument” will be used to refer to paper food instruments, and “EBT” will be used to refer to electronic benefits transfer cards. Each food package may consist of one or more food instrument types.<sup>28</sup> Food instrument types are the various possible grouping of foods used to make up a complete food package spreading the foods across multiple food instruments to allow participants to use benefits through out the month rather than force them to buy all of their WIC items at one time. A food instrument type may contain one or more specific approved foods. The foods identified for each food instrument type will include the food name (e.g., whole milk), a food unit size (e.g., gallon), and a food unit quantity (e.g., three units). For fruits and vegetables redeemed using a paper cash-value voucher, the food instrument type will include the food name (e.g., fruits and vegetables) and a food unit dollar amount (e.g., \$6). In an EBT environment the CVV will be represented by a specific food category in the account balance. For infants, the food instrument usually identifies the brand, type of infant formula, and form of infant formula (e.g., Similac, milk-based, concentrate). Usually a State agency issues three to four food instruments per month to coincide with participant shopping patterns.

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<sup>28</sup> Food instruments types are generally associated with paper issuance systems, however many State using EBT have modified their paper based IS to support EBT and may still use food instrument types. A new EBT-ready IS does not necessarily require the set up of food packages using food instrument types.



When food prescriptions are issued, adjustments may be made for a variety of reasons. For example, if the participant is certified mid-month, the State agency may prorate the benefits initially and then adjust the prescription the following month so the participant may receive the full food package.

In an EBT environment, the monthly food benefits for each participant are issued using category/subcategory codes and quantity. Benefits for the entire family (or household) are aggregated into one EBT account or onto one EBT card. When the participant shops, the quantity of foods purchased is deducted from the account.

To ensure that the participant purchases the proper food prescription at the grocery store in an EBT environment, a database of Universal Product Codes (UPC) and Price Look Up (PLU) codes<sup>29</sup> of approved foods must be maintained. For the purpose of this document, it is assumed that PLUs are included in the UPC database. The UPC database/approved food list is provided to authorized WIC vendors as part of *the EBT system*<sup>30</sup> processes. This provides the data to permit the store electronic cash registers to screen for unauthorized food purchases and prevent food substitution. While using UPCs is required in an EBT system to manage redemptions, in a paper system, a similar UPC database is encouraged, although not required, for screening for eligible food purchases. Many vendors are implementing such systems in the interest of integrity, reducing cashier error, and streamlining the WIC checkout process.

The UPC database includes the food item, Category/Subcategory (e.g. milk-whole), standard package/container size, and the corresponding UPC. This database is used by vendors in their store scanning systems. When a WIC purchase occurs, the scanning system automatically flags any foods that are not WIC-authorized. FNS has worked with State agencies to develop a standard Food Category Subcategory Table to support this function.

National UPC database has been developed and is be maintained by FNS to provide UPC data to State agencies for the creation and maintenance of the States UPC database. Details regarding the National UPC database have been provided in *Appendix F*. In addition, a National Food Category /Subcategory Table maintained by FNS should be used in setting up the food Category/Subcategory table within any WIC IS.

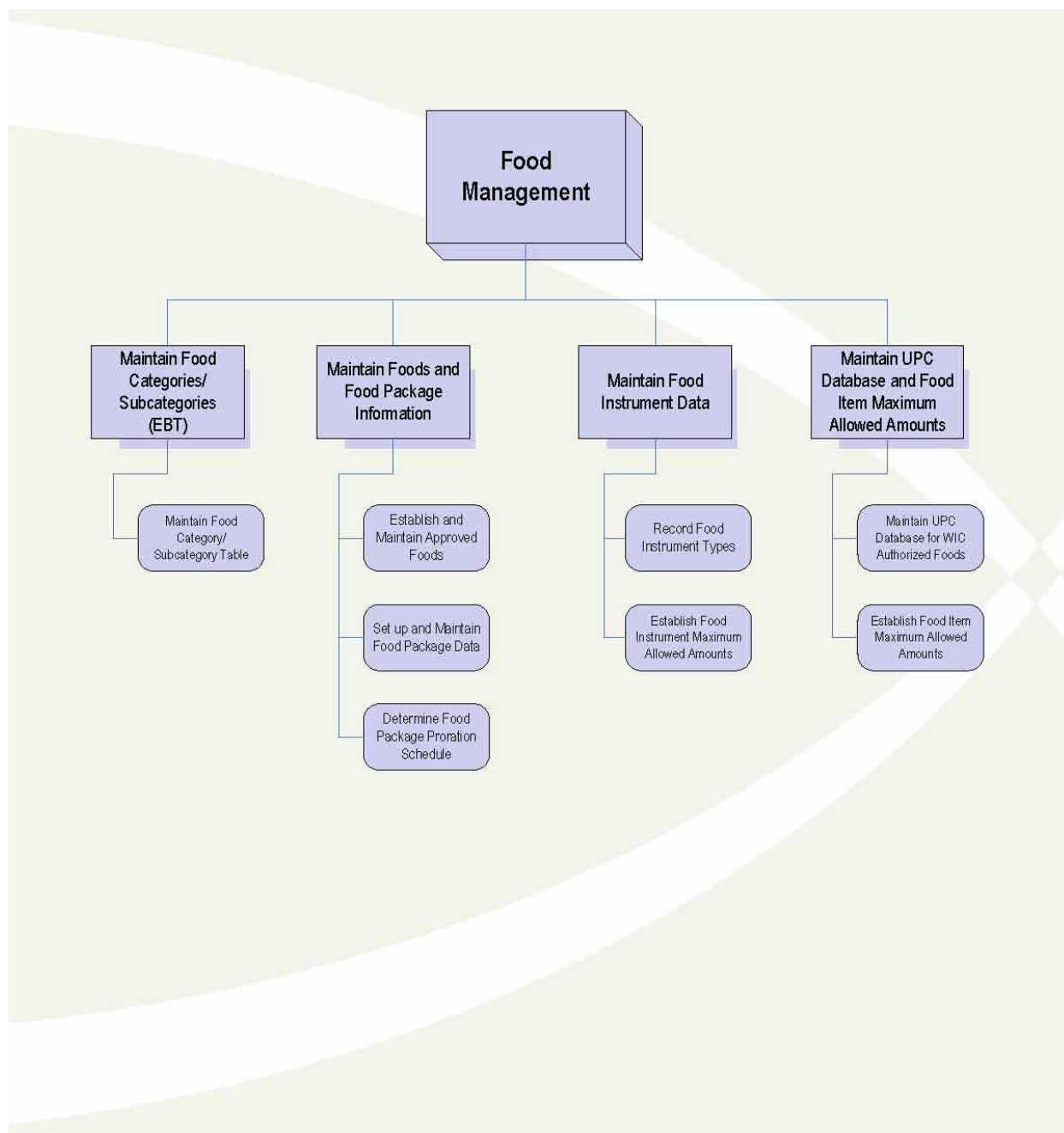
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<sup>29</sup> PLUs are often used for random weight items such as bulk beans, deli cheese and fresh produce, and can be used for store packaged items such as store packaged deli cheese. For example the PLU for bananas is 4011. PLUs can also be a store or chain specific.

<sup>30</sup> In online EBT systems, the authorized product list by UPC may be located at a central EBT host computer rather than distributed to each store system or a portion may be downloaded for store use.

The following functions are included in Food Management

- Maintain Food Categories/Subcategories
  - Maintain Food Category/Subcategory Table
- Maintain Foods and Food Package Information
  - Establish and Maintain Approved Foods
  - Set up and Maintain Food Package Data
  - Determine Food Package Proration Schedule
- Maintain Food Instrument Data
  - Record Food Instrument Types
  - Establish Food Instrument Maximum Allowed Amounts
- Maintain UPC Database and Food Item Maximum Allowed Amounts
  - Maintain UPC Database for WIC Authorized Foods
  - Establish Food Item Maximum Allowed Amounts



*Exhibit 3-3: Functional Decomposition Diagram – Food Management*

### 3.3.1 Maintain Food Categories/Subcategories

The Food Category/Subcategory Table is required for the EBT environment and recommended for the paper environment as part of EBT readiness functionality. The Category/Subcategory codes are used to electronically identify generic types of food items.

The table includes food categories and subcategories and associates them with a numerical identifier. Categories use a two-digit identifier for each food type such as Milk (01), Cheese (02), Eggs (03), Juice (04), and Cereal (05). Each category is then broken down further into smaller classifications called subcategories and identified with a three digit number. For example, milk subcategories include Any (000)<sup>31</sup>, Whole (001), Low Fat (002), Fat Free (003), and Buttermilk (004). In this example, fat free milk would be denoted as 01-003. Additionally, a default unit of measure is assigned to each category. For example, the default unit of measures for milk is one quart, cereal is one ounce, and eggs are one dozen.

USDA FNS maintains a National Category/Subcategory list that is used in setting up the system's Category/Subcategory Table. The table is used along with the list of approved foods in establishing food data in the system. Refer to *Appendix F* for information on where to find the most up-to-date Category/Subcategory Table.

#### 3.3.1.1 Maintain Food Category/Subcategory Table

Using the National Category/Subcategory list, the system should maintain a Category/Subcategory Table. When updates or additions are made to the National list or an adjustment needs to be made to meet a State agency need, the system should support updates to the Food Category/Subcategory Table.

##### **Inputs:**

Category/Subcategory Category Code

Category/Subcategory Category Name

Category/Subcategory Standard Unit of Measure

Category/Subcategory Subcategory Code

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<sup>31</sup> The 000 subcategory, also referred to as "broadband," is a subcategory that when issued to the client allows them to buy items assigned to any subcategory within the category.

### Category/Subcategory Subcategory Name

#### **Process:**

- Add or update new approved foods and store in Category/Subcategory data store

#### **Outputs:**

Display or report of the Food Category/Subcategory Table

## **3.3.2 Maintain Foods and Food Package Information**

In general, data about WIC foods and food packages should be relatively stable. The system should support the input and maintenance of food items data, which is then used to construct and maintain food package data.

### ***3.3.2.1 Establish and Maintain Approved Foods***

The system should capture information about the authorized foods approved for use by the State agency for use in establishing food packages.<sup>32</sup> The system should support adding new foods and deleting foods from the list of approved foods.

#### **Inputs:**

Category/Subcategory Category Code

Category/Subcategory Standard Unit of Measure

Category/Subcategory Subcategory Code

Food Item Description

Vendor Price Survey Food Item Name

#### **Process:**

- Add or update new approved foods and store in Food Item data store
- Associate foods with a category and subcategory

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<sup>32</sup> Note the approved foods discussed in this function are the generic set of foods used in issuing benefits (such as milk or cheese), not specific food items such as Cheerios cereal or JIF peanut butter. Foods at this level are addressed in *3.3.4.1 Maintain UPC Database for WIC Authorized Foods*.

**Outputs:**

Screen display or report of approved foods

**3.3.2.2 Set up and Maintain Food Package Data**

*Food packages consist of a set of approved food items in specific quantities. Food packages should be associated to applicable participant categories to ensure that the appropriate food items are prescribed.*

The system should support the creation and maintenance of food packages. (Note that for a cash-value voucher benefit the unit quantity and/or the amount prescribed would be the dollar value of the cash-value voucher.)

**Inputs:**

Category/Subcategory Category Code

Category/Subcategory Standard Unit of Measure

Category/Subcategory Subcategory Code

Food Item Description

Food Item Prescribed Unit Quantity

Food Item Standard Amount Prescribed

Food Package Identification Number

Food Package Name

Food Package Type Code

Participant Category Code

Vendor Price Survey Food Item Name

**Process:**

- Add or update new approved food packages, associate with a participant category, and store in Food Package data store

**Outputs:**

Screen display or report of approved food packages

**Implementation Approach**

- ▶ The system can establish default food packages for different categories of WIC participants, different nutritional requirements, and different risks within categories.

### 3.3.2.3 Determine Food Package Proration Schedule

*WIC food packages are based on the nutrients a participant should consume over the period of a month. Program regulations allow an option of either issuing food instruments for the current month or the remaining portion of the month if a participant is late picking up benefits or to synchronize family/household members onto the same issuance schedule. For State agencies that prorate food benefits, the system should reduce the food package based on the policy adopted by the State agency. To ensure consistency, a food package proration schedule should be established as part of the food package set up process, which will allow proration to apply to any issuance method, including paper food instruments or EBT.*

The system should have the capability to establish prorated food packages to be used for late pick-ups or to allow for synchronizing of participants in a household with the same food benefit prescription start date.

#### Inputs:

Category/Subcategory Category Code  
Category/Subcategory Standard Unit of Measure  
Category/Subcategory Subcategory Code  
Food Item Description  
Food Item Prescribed Unit Quantity  
Food Item Standard Amount Prescribed  
Food Package Identification Number  
Food Package Name  
Food Package Type Code  
Food Benefit Prescription Proration Amount  
Vendor Price Survey Food Item Name

#### Process:

- Select the appropriate food package type
- Calculate reductions in the food package
- Create or update prorated food package and assign a Food Package Identification Number

#### Outputs:

Prorated food package schedule

### Implementation Approach

- ▶ To prorate for late pick-up, the system should subtract the foods that the participant would have purchased and consumed if the instrument had been picked up on schedule. Depending on State agency policy, the amount of the reduction may depend on the number of days remaining from the pick up date until the expiration of the food instruments. The exact amount of the food reduction may also depend on the number of units and unit size of the prescribed foods.
- ▶ To prorate for family to synch benefits, the system should subtract a portion of the participant's food issuance amount in an amount consistent with the time elapsed in the issuance cycle of the other members of the family. It is a design choice by the state of how this should be handled. States typically set up prorated food packages based on three or more periods in the month. For example if a family's issuance cycle has elapsed through a third of the month, the new participant that needs to be synched with the other members would receive 2/3 of their food package for the first month.
- ▶ For EBT, the system may need to have additional functionality to void an entire issued food package or a portion of it. This allows for reissuance of an adjusted prorated food package.

### 3.3.3 Maintain Food Instrument Data

In the paper environment, the food package is usually composed of several food instruments, each containing a group of foods. The food instruments usually contain approximately one week's supply of foods (e.g. two gallons of milk, one pound of cheese, two cans of juice, etc.). The majority of participants receive standard, pre-defined food instruments. To support paper-based food instrument issuance and redemption, the system should have the ability to construct and record multiple food instrument types and establish a maximum allowed amount for each food instrument type by peer group.

Food instrument types are not required for the EBT environment because food packages are issued in total (or in a prorated amount) to the EBT account or EBT card. For information on related topics in the EBT environment, please refer to section [3.3.4: Maintain UPC Database and Food Item Maximum Allowed Amounts](#).

#### 3.3.3.1 Record Food Instrument Types

*Food instrument types can be used in breaking up food packages in more manageable amounts to allow participants to purchase food throughout the month rather than at one time. Food instrument types are mainly used in a paper issuance environment and are not necessarily needed for an EBT environment. Sometimes the local agency must tailor*



*the food package to accommodate food allergies, taste preferences, or for other reasons. The functionality for food package tailoring has been addressed in Section 3.1.5.1 Select and Nutrition Tailor Food Prescription.*

The system should support the creation of food instruments and the association of food instruments to food packages. (Note that for a cash-value voucher benefit the quantity allowed and/or the amount prescribed would be the dollar value of the cash-value voucher.)

**Inputs:**

Food Instrument Type Category Code  
Food Instrument Type Classification  
Food Instrument Type Description  
Food Instrument Type Identification Number  
Food Instrument Type Name  
Food Instrument Type Quantity Allowed  
Food Item Standard Amount Prescribed  
Food Package Identification Number  
Food Package Type Code  
Participant Category Code

**Process:**

- Display appropriate standard, predefined food packages
- Allow user to add or update new food instrument types and store in Food Instrument Type data store

**Outputs:**

Screen display or report of food instrument types

► Some State agencies use a matrix approach to food instrument design as opposed to the development of food instrument “types.” In other State agencies, food instruments are assigned based on a profile of the participant. These approaches to food instrument design may be more conducive to EBT conversion.

**3.3.3.2 Establish Food Instrument Maximum Allowed Amounts**

*A maximum allowed amount is assigned to a food instrument based on the peer group of the vendor submitting it for redemption and is applied as food instrument edits used in the redemption process. Food*

*instruments that exceed the maximum value are rejected for payment, paid only up to the allowed amount, or offset against a future payment in prepayment systems, or the vendor is billed for the overage in postpayment systems. The maximum allowed amount for a food instrument is typically based on a peer group's average redemption amount for that food instrument, either in a period prior to redemption, such as the previous month, or at the time of redemption, such as the month when the food instrument is received. This amount may change from month to month, and, in postpayment systems, may not be known until after the food instrument is submitted for redemption. Also, State agencies typically add an inflator onto the averages, such as a percentage or several standard deviations, to account for the normal range of redemption amounts in a peer group. If the State agency uses a contract price for each food or food instrument, the price paid to the vendor cannot exceed the contract price. In such systems, the vendor is automatically billed for food redemption amounts that exceed the contract price. The State may offset payments to the vendor or the vendor must submit repayments for the excess charged.*

*Thus, in a paper food instrument system, each time a food instrument is issued, the system uses the projected average food cost to establish a food obligation for expenditure tracking purposes.*

*In establishing maximum allowed amounts, consideration must be made of vendors with WIC sales above 50 percent of their food sales ("A50 vendors"). FNS has established guidance on options for establishing maximum allowed amounts for these vendors. In support of these options, State agencies must be able to determine the average redemption amount per food instrument type for all regular vendors (all vendors which are not A50 vendors), because State agencies will be subject to claims for exceeding these averages in payments to A50 vendors, regardless of the option chosen.*

Prior to issuance to a participant, the State agency should assign a maximum allowed value to each food instrument or food instrument type (setting maximum allowed amounts by food item which is used in an EBT environment is addressed in [Section 3.3.4.2 Establish Food Item Maximum Allowed Amounts](#) ). The system can use the average redemption values or price survey data to project expenditures and as a cost containment tool to prevent a vendor from charging unreasonable prices.

**Inputs:**

Category/Subcategory Category Code

Category/Subcategory Subcategory Code

Food Instrument Average Redemption Amount

Food Instrument Type Peer Group Average Value

Food Instrument Type Category Code

Food Instrument Type Classification  
Food Instrument Type Description  
Food Instrument Type Identification Number  
Food Instrument Type Maximum Allowed Amount  
Food Instrument Type Name  
Food Instrument Type Quantity Allowed  
Food Item Inflation Factor  
Food Item Maximum Quantity  
Vendor Price Survey Food Item Name  
Vendor Price Survey Food Item Shelf Price  
Vendor Peer Group Code

**Process:**

- For paper food instrument systems, retrieve the actual redemption value for each food instrument type over a period of time or vendor price survey data to calculate a Food Instrument Type Peer Group Average Value
- Store the Food Instrument Type Peer Group Average Value in the Food Instrument Type data store
- Calculate a Food Instrument Type Maximum Allowed Amount by inflating the Food Instrument Type Peer Group Average Value by an amount to be determined through vendor redemption and price analysis.
- Store the Food Instrument Type Maximum Allowed Amount in the Food Instrument Type data store

**Outputs:**

Screen display or report of food instrument type peer group average and maximum allowed amounts

Screen display or report of food item average prices by peer group

**Implementation Approach**

- ▶ The system can obtain a historical redemption value by peer group for each food instrument type. Usually the estimated value is the average value of all redemptions for a food instrument type for a recent time period. For example, the price of a milk/cheese/juice food instrument type might have averaged \$15.00 for the last two months. FNS has provided guidance regarding food instruments which may have been only partially redeemed.

- ▶ The system can obtain a historical price survey data for determining an estimated average value of each food instrument type.
- ▶ The system can use a matrix to derive standard food instruments instead of food instrument types for the purpose of estimating redemption values.

### 3.3.4 Maintain UPC Database and Food Item Maximum Allowed Amounts

For systems using EBT, and optionally, for systems using paper food instruments, the WIC IS can maintain a UPC database. The UPC database can be used to provide UPC and PLU data to *the EBT system* for use in transaction processing and for download to vendor systems. Note also that the function of maintaining a UPC database and determining food item maximum allowed amounts can also be performed solely by *the EBT system*.

For systems issuing benefits via EBT, the UPC database is used as part of the redemption process to determine if a food item that a cardholder is attempting to purchase is an approved food item. Information regarding food item<sup>33</sup> maximum allowed amounts (also referred to as maximum pricing) should be linked to each UPC or food item type based on subcategories. Food item maximum allowed amounts should also be established for each food item by peer group.

The UPC database identifies food items by:

- Category: 2-digit numeric code for each food item type, e.g. milk is 01
- Subcategory: 3-digit numeric code for each subcategory of a food item type, e.g. milk-whole is 001
- Description: alpha description of the subcategory type
- Unit: quart, ounce, can, bottle, dozen, pack
- Exchange value: the number of units that will be decremented from the benefit record when an item is purchased
- Comment: any special information needed
- UPC or PLU: identification for each food item under a Food Category/Subcategory
- UPC or PLU Description: food type, brand, unit size

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<sup>33</sup> Some States may maintain maximum allowed amounts by category/subcategory.

### 3.3.4.1 *Maintain UPC Database for WIC Authorized Foods*

The system shall support the capture and update of UPC data for all foods authorized by the State agency. All UPC codes should be tied to a specific category and subcategory codes. These are the same codes that are maintained in the Category/Subcategory table discussed in *Section 3.3.1.1 Maintain Food Category/Subcategory Table*. (Note maintaining the UPC database can also be maintained exclusively by *the EBT system* separate from the WIC IS, in which case State agency users would have access through an interface for making updates to the database.)

#### **Inputs:**

Category/Subcategory Category Code  
Category/Subcategory Standard Unit of Measure  
Category/Subcategory Subcategory Code  
Food UPC/PLU Authorization Date  
Food UPC/PLU Code  
Food UPC/PLU Description  
Food UPC/PLU Exchange Value  
Vendor Identification Number (for store-specific PLUs)  
Vendor Chain Code (for chain-specific PLUs)

#### **Process:**

- Add, update and delete food UPCs and PLUs in the Food UPC/PLU data store

#### **Outputs:**

Transmission of UPC updates or entire UPC table to EBT system  
Screen display, report, or electronic file for UPC/PLU food list, which displays the UPC/PLU, and description for each food category/subcategory.

### 3.3.4.2 *Establish Food Item Maximum Allowed Amounts*

*Like paper food instruments, a maximum allowed amount must be established for foods by peer group so that vendors cannot exceed price limitations. In establishing maximum allowed amounts consideration must be given to A50 vendors. FNS has established guidance on options for establishing maximum allowed amounts for these vendors.*

For each UPC, a maximum allowed amount shall be assigned. Alternately, a state agency may choose to set maximum allowed amounts by food subcategory rather than by UPC. (Note that this can also be a function of *the EBT system*.)

**Inputs:**

Category/Subcategory Category Code

Category/Subcategory Subcategory Code

Food UPC/PLU Code

Food UPC/PLU Peer Group UPC Average Price

Food UPC/PLU Peer Group UPC Maximum Allowed Amount

Vendor Peer Group Code

**Process:**

- Using price survey or redemption data, calculate food item maximum allowed amount by peer group for each item (or food subcategory)
- Update Food UPC/PLU data store

**Outputs:**

Transmission of maximum allowed amount updates or entire list of maximum allowed amounts to EBT system

Screen display, report, or electronic file of entire food list and associated maximum allowed amount.

**Implementation Approach**

- ▶ For systems issuing benefits via EBT, the actual cost for each food can be obtained from the food transaction data. The food transaction data provides the price charged by the vendor for cost of each food by UPC (e.g., General Mills Total cereal – 36-ounce box for \$3.50) and by vendor. This shelf price cost is stored in the EBT system and can be reported back to the State agencies in transaction history and monthly reports. Similar to a paper food instrument system, the average cost for a food item, such as cereal, is computed based on purchases of all brands of cereals by peer group over a specific time period.
- ▶ For systems issuing benefits via EBT, the maximum allowed amount can be automatically calculated for each UPC (or food subcategory) by vendor peer group based on actual transaction data. On a periodic basis, the new system-calculated maximum allowed amounts may be recalculated, reviewed manually by State agency staff, and scheduled for implementation and updated as needed. Some State agencies have automated this with manual overrides where necessary (e.g., too few items to be representative as an average).

- ▶ As an alternative, the maximum allowed amount could be assigned to a unit of a food within a food subcategory (i.e., Milk: Whole or Cheese: Swiss). For example, instead of assigning a maximum allowed amount to each brand of half gallon whole milk; any half gallon whole milk would be assigned a single maximum allowed amount. When using this method, consideration must be made for handling foods that have smaller base units of measure such as cereal that is measured by the ounce. A maximum allowed amount may be set for one ounce of cereal and then multiplied by the number of ounces in a box to determine the maximum allowed amount for that item, however typically the larger size box purchased is less expensive per ounce than a smaller size box, therefore adjustments may need to be in order to calculate an appropriate maximum allowed amount.
- ▶ For State agencies that decide to set the maximum allowed amount by food item, there may be times when there is not enough redemption data to establish an accurate maximum allowed amount. When this occurs, the system can be designed to default to a maximum allowed amount for the subcategory.

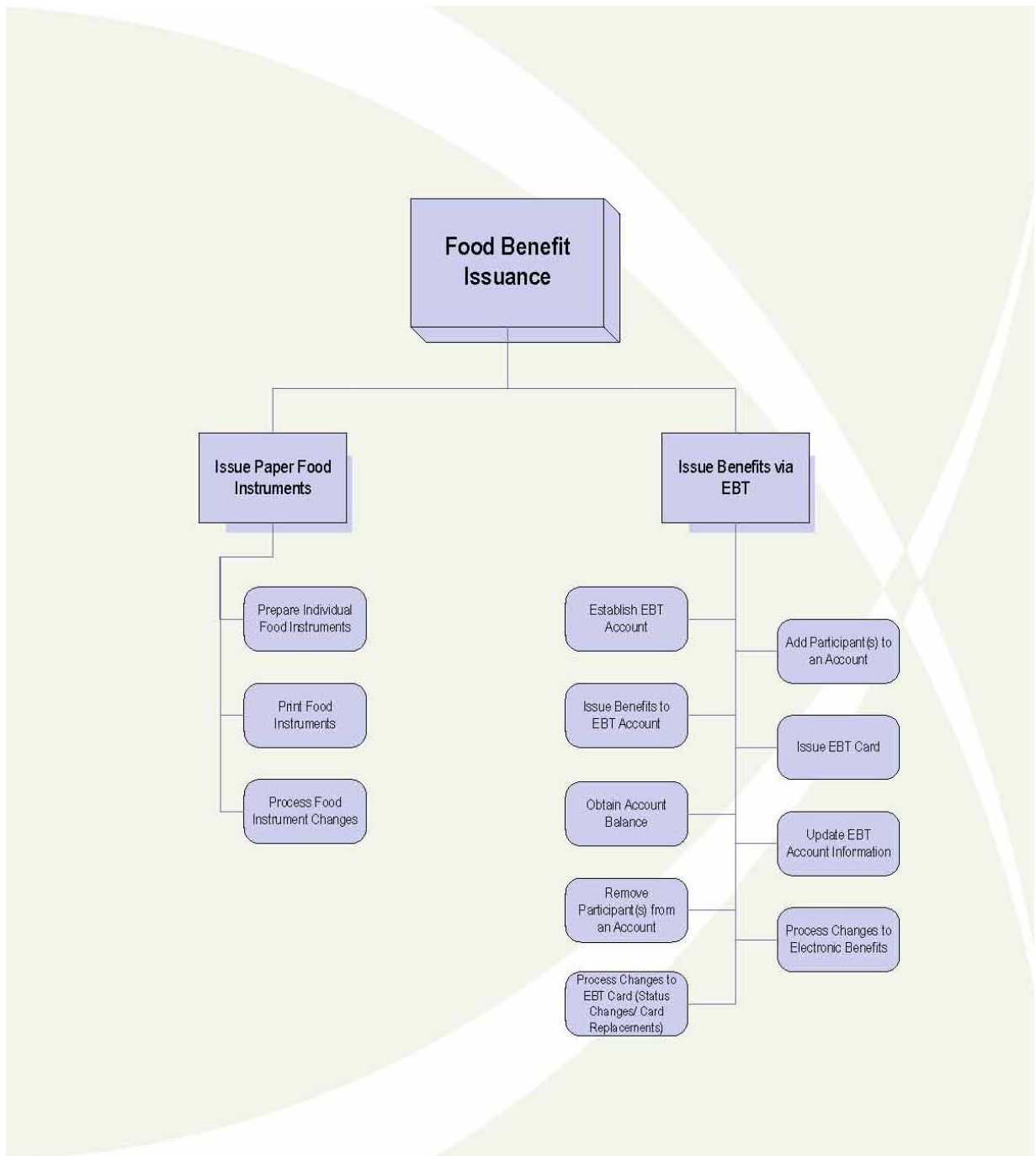
## 3.4 Food Benefit Issuance

The Food Benefit Issuance functional area captures and maintains information about WIC approved foods and food packages and the issuance of food benefits to WIC participants and reporting participation. The functions deal with preparing and issuing the food benefits, obligating funds, and handling the replacement of benefits. Two options are presented for the issuance of benefits—paper food instruments and EBT. Although many functions are the same for both paper and EBT systems, there are some specific differences in method and terminology that are outlined in the functional descriptions. It is likely that when converting from paper instruments to EBT, the WIC system may need to be able to support issuance using both formats concurrently during the transition phase.

The functions for benefit issuance include the following:

- Issue Paper Food Instruments
  - Prepare Individual Food Instruments
  - Print Food Instruments
  - Process Food Instrument Changes
- Issue Benefits via EBT
  - Establish EBT Account
  - Add Participant(s) to an Account
  - Issue Electronic Benefits
  - Issue EBT Card
  - Obtain Account Balance
  - Update EBT Account Information
  - Remove Participant(s) from an Account
  - Process Changes to Electronic Benefits
  - Process Changes to EBT Card (Status Changes/Card Replacements)





*Exhibit 3-4: Functional Decomposition Diagram – Food Benefit Issuance*

### 3.4.1 Issue Paper Food Instruments

After certification is completed and a food benefit package has been prescribed to each participant, the system prints the food instruments for each participant while they are present at the local agency. There may be some rare circumstances that would merit advance printing of food instruments. However, advance printing is generally not recommended because of the potential costs of large numbers of food instruments that would be voided if participants do not pick up their food instruments as scheduled.

The system must process any damaged/lost/stolen food instruments and support the replacement of food instruments if State policy allows (many State agencies do not permit replacement of lost or stolen food instruments). In addition, local agencies must safeguard food instruments from fraudulent use. It is very important that the system maintains an inventory and provides records to the State agency to reconcile with the State agency food instrument inventory. The functionality for inventory maintenance is described in *Section 3.8.5: Maintain Inventory*.

Finally, when the person is issued food benefits, they are considered a “participant” for Federal reporting purposes. (Prior to food benefit issuance, the individual is considered an enrollee.) Infants who are exclusively breastfed and have mothers for which food instruments were issued (i.e., infants breastfed by participating breastfeeding women) and a breastfeeding woman who did not receive supplemental foods or food instruments but whose infant received supplemental foods or food instruments are also counted as participants.<sup>34</sup> The data are stored and later compiled for the FNS-798, WIC Financial Management and Participation Report.

#### 3.4.1.1 Prepare Individual Food Instruments

*The printing of food instruments on demand requires the retrieval of the most recent food package prescribed for the participant during certification. The prescription may include adjustments to the food package (i.e., reduced quantities, prorating) recorded in the system, if a participant is several weeks late in picking up his/her food instruments. Each food instrument issued (with the exception of prorated food instruments) is valid for thirty (30) days. Depending on State agency program policy, the valid date is either a calendar month (static month), or a month that starts with the issue date of the instrument (rolling*

<sup>34</sup> Some State agencies issue a non-negotiable food instruments for counting participating breastfed infants while others count them based on their participant category/type.

*month). The local agency determines the number of months of food instruments to print (from one to three months) based on policy and participant circumstances. Most local agencies elect to issue food instruments for more than one month to the participant. This reduces the number of trips the participant must make to the local agency and reduces local agency traffic.*

The system should allow a user to find the participant record(s), make any prorating adjustment required, and consolidate all family/household participant benefit issuances for printing together.

**Inputs:**

Food Benefit Prescription Date  
Food Benefit Prescription Identification Number  
Food Instrument Identification Number  
Food Instrument Issuance Date  
Food Instrument Number of Months  
Food Instrument Type Identification Number  
Food Instrument Type Quantity Allowed  
Food Instrument Valid End Date  
Food Instrument Valid Start Date  
Food Item Prescribed First Date to Spend  
Food Item Prescribed Last Date to Spend  
Participant Family/Household Identification Number  
Participant Identification Number

**Process:**

- Retrieve participant record and food package prescription data from Participant, Food Benefit Prescription, Food Package, and Food Instrument Type data stores
- Prompt the user to enter the appropriate number of months for each food package and calculate food instrument valid start and end dates for each month's issuance
- If prorating is used, select prorated benefit food package for late pick-up or to synchronize issuance dates for participants within a family/household
- Retrieve food prescription information on other family/household members if food instrument printing is consolidated

### Outputs:

Screen display of food instrument issuance information to ensure all information is correct

#### Implementation Approaches

- ▶ The system should allow WIC staff to prepare food instruments to print on demand, i.e., when the participant arrives at the clinic to pick them up. To provide this capability, the system should prompt for the number of months of food instruments to be issued and prescribe the appropriate food package for each month. The system should assign the first valid date and last valid date for each food instrument issued. The system should prepare food instruments for all family/household members for printing/distribution to the family/household at the same time.
- ▶ The system could aggregate food items and consolidate food instruments for all family/household members for printing and distribution to the entire family/household at the same time.
- ▶ The system should provide the ability to prorate benefits for late pick ups of syncing of issuance periods among participants within a family. See section [3.3.2.3: Determine Food Package Proration Schedule](#) for more information about proration.

#### 3.4.1.2 Print Food Instruments

*When food instruments are actually issued to a certified applicant, the system recognizes the certified applicant as a “participant” in the month(s) for which the food instruments were issued, and adds this participant to the local agency participant count. (Exclusively breastfed infants that have mothers who are breastfeeding women participants and a breastfeeding woman who did not receive supplemental foods or food instruments but whose infant received supplemental foods or food instruments may be issued a blank or non-negotiable food instrument to ensure they are counted within the system as a participant.)*

*In addition, the system automatically updates obligation data in the Obligations data store. For State management purposes, participation counts and estimated expenditures are crucial for many program management functions, and these data are also reported to FNS on the monthly FNS-798, WIC Financial Management and Participation Report.*

For a system issuing benefits via paper, the system should print food instruments on demand<sup>35</sup>. When benefits are issued (printed) to a participant, the system should update the participation count function.

<sup>35</sup> Agencies using EBT to issue benefits may wish to have the ability to issue paper food instruments as a back-up measure.

**Inputs:**

Food Instrument Identification Number  
Food Instrument Issuance Date  
Food Instrument Number of Months  
Food Instrument Pick Up Date  
Food Instrument Printed Date  
Food Instrument Type Average Value  
Food Instrument Type Identification Number  
Food Instrument Valid End Date  
Food Instrument Valid Start Date  
Participant Family/Household Identification Number  
Participant Identification Number

**Process:**

- Retrieve family/household record.
- Check that user has entered data for a valid participant(s) and food package(s)
- Verify that participant(s) do not have any outstanding “active” food instruments. (For reissuance, the system should not allow new food instruments to be issued until previously issued food instruments are voided.)
- Confirm that the food instrument’s valid end date is based on number of days in the month of issuance or to the end of the calendar month
- Print food instruments
- Update the count of participants for the month and store in the Participation data store for later reporting and management purposes
- Update the estimated food instrument redemption values for the month and store in the Obligation data store for later reporting and management purposes

**Outputs:**

Food instruments  
Food instrument register  
Updated participation count by local agency

## Updated food obligations

## Updated food instrument issuance file

### Implementation Approaches

- ▶ The system should print food instruments on demand. The system should support special password protection to ensure that only authorized employees have access to the input screens that support the printing of food instruments and should include time locks to prevent the printing of food instruments before or after clinic hours (authorized users should be able to override the time lock when necessary).
- ▶ The system should retain internal records of all food instruments issued, including all information printed on the instrument, and the user identifier for the WIC employee who printed the instrument, to provide an audit trail.
- ▶ The system should ensure the appropriate food instrument stock is loaded in the printer. Laser printers with blank secure check stock can be used to prepare food instruments and print receipts. The system could assign and print the serial numbers and the Magnetic Ink Character Recognition (MICR) line.
- ▶ The system should provide a food instrument register that lists the serial numbers of the food instruments issued so that the participant or proxy can sign as proof of receipt. The register also serves as reference for future food instrument reconciliation activities and as a record of any voided or unredeemed food instruments.
- ▶ The system should be able to support the printing of checks with check stubs. The check stubs can be used during the issuance process for participants to sign acknowledging the receipt of their checks.
- ▶ In systems that use digitized or electronic signatures, it is possible for the participant to sign for the receipt of the instruments “electronically” and this signature is maintained in the participant’s electronic record. In such cases, a food instrument register is not needed.
- ▶ The system should allow print on demand for group nutrition education class attendees. A screen on the system would allow staff the ability to view all class attendees that have checked in. From that screen, staff can select all or individual participants for printing food instruments.

### 3.4.1.3 Process Food Instrument Changes

*Food instruments may be damaged, lost, or stolen and need replacement. The benefit issuance process manages the replacement and accounting for food instruments in such situations. Many State agencies void these food instruments and do not reissue replacement food instruments to the participant. When food instruments are lost or stolen, it is possible the instruments will be fraudulently redeemed. Some State agencies notify the vendor, bank, or processor of food instrument numbers that should not be transacted.*

*Food instruments may also need to be replaced when a food benefit prescription needs to be changed. This happens most frequently for participants requiring an infant formula change when the issued infant formula is not tolerated and a new infant formula must be issued. The benefit issuance process also manages the replacement and accounting for food instruments in these cases.*

The system should support the voiding and reissuance of food instruments as allowable by Federal regulation and State policy. The system should automatically adjust obligations and participation counts as necessary to support the change.

To help facilitate the voiding of a series of food instruments printed in advance with sequential serial numbers (such as when a participant does not pick up any instruments), the system should provide a capability for users to void the entire series of instruments with a single entry.

**Inputs:**

Food Instrument Identification Number

Food Instrument Issuance Date

Food Instrument Number of Months

Food Instrument Pick Up Date

Food Instrument Printed Date

Food Instrument Type Identification Number

Food Instrument Valid End Date

Food Instrument Valid Start Date

Food Instrument Void Date

Food Instrument Void Reason Code

Participant Family/Household Identification Number

Participant Identification Number

**Process:**

- Void food instrument serial/identification numbers for damaged/lost/stolen food instruments or food instruments to be replaced and update the Food Instrument data store
- De-obligate the food instrument estimated redemption
- Prepare notification to vendors/bank/or processor with the food instrument serial/identification numbers to not transact

- Verify that participant does not have any outstanding “active” food instruments. (For reissuance, the system should not allow new food instruments to be issued until previously issued food instruments are voided.)
- Confirm that the food instrument valid end date is based on number of days in the month of issuance or to the end of the calendar month
- Reissue and print food instruments with new serial numbers and update Food Instrument data store

**Outputs:**

Food instruments (if reissued)

Screen or report of food instrument void or loss history

Notice to vendor, bank, or processor of lost/stolen food instruments

**Implementation Approaches**

- ▶ The local agency retrieves the participant record, voids the food instrument serial numbers issued to the participant, and assigns new food instrument numbers for the reissued instruments (see Print Food Instruments process above for reissuance details). The system should not allow new food instruments to be issued until the previously issued food instruments are voided.
- ▶ The system should maintain a history of food instrument losses in the participant’s record. If the participant has a pattern of recurrent losses, the local agency may wish to take action, such as counseling.

**3.4.2 Issue Benefits via EBT**

During the certification process a benefit package will have been selected for the participant. As part of the EBT issuance process, an EBT account will be established in *the EBT system* and will be used for all participants in the family/household. The account is established using the family/household identification and demographic information.

Once an account is established, benefits are issued for participants in that family/household and are associated or linked to a household/family account in *the EBT system*. All individual participant benefits in the household/family account are aggregated together. Benefit aggregation can be done by the WIC IS before issuing the benefits via EBT or once they are deposited into the account in which case aggregation would be a function of *the EBT system*. Like paper food instruments, benefits can be issued for future months. Benefits are only available for use beginning on their start date through their end date. Systems should synch benefit start



and end dates for all members of a family/household to avoid confusion on valid periods of use by participants.

A third component of the EBT issuance process is the issuance of the EBT card. During this process the card is linked to the EBT account using the card number also referred to as a Primary Account Number (PAN). The participant will select their secret personal identification number (PIN) which is encrypted and linked to the card. PIN selection is performed using a device separate from the WIC IS and *the EBT system* that encrypts the PIN and transmits it to the system/location where PIN validation will occur, e.g., the host EBT system for online processing or the smart card for offline processing. If an offline smart card is used, the issuance process may also include loading benefits to the integrated chip on the card.

To ensure that benefits have been issued properly or to provide information to participants, the WIC IS will have the ability to access and display the current balance information for the family/household account. This may be information resident on the WIC IS or accessible via an administrative screen connecting to *the EBT system*.

Following issuance, if there are any demographic changes to the family/household, the EBT account information will need to be updated. This includes the addition or removal of participants into the family/household. Additionally, the system must process changes to benefits to include updating current and future months benefits issued to EBT accounts. The system should also support the replacement of cards that have been lost, stolen, and damaged.

Finally, when the person is issued food benefits via EBT (e.g., added to the smart card chip or issued to a benefit account), they are considered to have met the definition for “participation” for Federal reporting purposes. Benefits are considered issued at the time they are accessible to the cardholder. The data are stored and later compiled for the FNS-798, WIC Financial Management and Participation Report.

Note that the data elements required to complete the functions described in this section may be dependent on system design and the requirements of the particular EBT system implemented. Data elements noted in this section provide a general guideline for each function. Additionally, the order in which the functions are performed will be depended on *the EBT system*. Functions in this section have been listed in a typical order in which they might be performed, but could be performed in a different order as required by the *EBT system*. For example many online systems require that the demographic information be transmitted and posted to the system prior to issuing a card or issuing benefits to the account.

It is also important to understand that the use of the term “*EBT system*” is a generic reference and is intended to include both offline and online solutions as well as in-house integrated solutions or outsourced systems. The term is used simply to logically differentiate functions that belong to the WIC IS and those that belong to a WIC *EBT system*. So when the document refers to “transmitting” data to *the EBT system*, it is simply referring to moving that information into the logical realm of EBT functionality. It does not imply that there is an outsourced third party providing EBT processing on behalf of the agency.

Note also that depending on *the EBT system* design and technology, functions may occur in a different order than what has been provided in this section. Additionally, functions may be combined or broken down further depending on *the EBT system* design and technology implemented.

#### **3.4.2.1 Establish EBT Account**

*Many EBT systems require information to identify the primary cardholder or head of household (HOH) and demographic information, such as telephone, date of birth, or address. These are used for help desk calls to verify the caller’s identity for account security and in the event it is necessary to contact the HOH or to mail a replacement card or other notice to the household.*

*The cardholder or HOH may be a participant, caregiver, or proxy, however the preferred method is to use a parent/HOH as the primary cardholder. Data for the cardholder should also be maintained in the WIC IS. Many WIC IS are not currently designed to maintain demographics on individuals other than those authorized to participate in the Program and typically do not assign an HOH and consideration must be made as to what data will be provided to the EBT system for establishing the account. Specific inputs will be dependent on EBT system design.*

The system shall compile the family/household data required to establish an EBT account and transmit that data to the EBT system. The system should capture and identify the cardholder or head of household.

#### **Inputs:**

Data elements are dependent on system design, but should include:

Participant Family/Household Identification Number

Participant Parent/Head of Household Address

Participant Parent/Head of Household Date of Birth

Participant Parent/Head of Household Name- First

Participant Parent/Head of Household Name- Last

Participant Parent/Head of Household Name- MI

Participant Parent/Head of Household Telephone Number

Additional data elements may include the following if a participant in a household is used as a cardholder rather than a parent/head of household:

Participant Address- Apartment

Participant Address- Street

Participant Address- City

Participant Address- State

Participant Address- Zip Code

Participant Identification Number

Participant Date of Birth

Participant Name- First

Participant Name- Last

Participant Name- MI

Participant Parent/Head of Household Indicator

Participant Telephone Number

**Process:**

- Transmit the Participant Family/Household Identification Number and cardholder/HOH information to *the EBT system* for establishing a new EBT account
- Receive a response from *the EBT system* indicating the results of the account set-up process

**Outputs:**

Display message indicating the results of the account set-up process

**3.4.2.2 Add Participant(s) to an Account**

*Some EBT systems maintain data on the participants who are receiving benefits that are deposited into the EBT account assigned to the family/household. Maintaining participant level data on the EBT system is at the State Agency's option.*

Depending on the design of *the EBT system*, the WIC IS should support compiling the participant data required for establishing participant information in the EBT account and transmitting that data to *the EBT system*.

**Inputs:**

Data elements are dependent on system design, but may include:

Participant Family/Household Identification Number

Participant Identification Number

Participant Date of Birth

Participant Name- First

Participant Name- Last

Participant Name- MI

**Process:**

- Transmit participant data to *the EBT system* for establishing a new participant record in the EBT account
- Receive a response from *the EBT system* indicating the results of adding the participant to the account

**Outputs:**

Display message indicating the results of adding the participant to the account

### 3.4.2.3 Issue Electronic Benefits

*Benefits are issued at the food package level with no need to break out the foods into food instruments. The food package data includes the category, subcategory, and quantity data required by the EBT system to establish and maintain the benefit information in the EBT account.*

The system shall compile food benefit prescription data for each family/household member and transmit that data to *the EBT system*. The WIC IS and *the EBT system* should be set up to use the same Category/Subcategory Standard Units of Measure for each category and subcategory.

**Inputs:**

Category/Subcategory Category Code

Category/Subcategory Subcategory Code

Food Item Prescribed Unit Quantity  
Food Benefit Prescription Date  
Food Benefit Prescription Identification Number  
Food Benefit Prescription Obligation Value  
Food Item Prescribed First Date to Spend  
Food Item Prescribed Last Date to Spend  
Participant Family/Household Identification Number  
Participant Identification Number (optional)

**Process:**

- Transmit benefit data (batch or real time) to *the EBT system* for issuing benefits to the EBT account
- Receive a response (batch or real time) from *the EBT system* indicating the results of the benefit issuance process
- Update the count of participants for the month and store in the Participation data store for later reporting and management purposes
- Update the estimated food benefit obligation value for the month and store in the Obligation data store for later reporting and management purposes

**Outputs:**

Display message indicating the results of the benefit issuance process

**Implementation Approach**

- ▶ Rather than sending individual participant benefits to *the EBT system*, a State Agency may choose to have the WIC IS aggregate the family/household benefits prior to transmitting the benefits to *the EBT system*. When using this approach, consideration must be made as to how individual benefit adjustments or void/replacements are processed without affecting other benefits that were issued and aggregated into the same file. Note that adjustments can be complex if benefits have been partially transacted and the category/subcategories are generic to the household ID so that it may not always possible to disaggregate. Adjustments may be done at category/subcategory level or prescription level.

- ▶ At the time of issuance, the State agency may chose to have a shopping list printed for the household. The shopping list typically identifies the foods or category/subcategories and quantities issued in an understandable way. Names of issued benefits may be displayed in a more descriptive way beyond the category/subcategory descriptions which may require an additional data element to support this information. Shopping lists often include information such as the benefit availability dates (first and last date to spend) and may also include future appointment information.
- ▶ In an online EBT environment, a State Agency may chose to wait to transmit future benefits to the *EBT system* closer to their First Date to Spend date (i.e., 5 dates before the First Data to Spend date). This allows the State Agency to make any adjustments to the food prescription for future benefits (i.e., formula changes) only in the WIC IS rather than also having to update benefits on the *EBT system*.
- ▶ To determine the obligation amount for the issued benefits, an option is calculate the obligation using the state-wide average for the categories/sub-categories issued.

#### 3.4.2.4 Issue EBT Card

The system shall transmit the EBT card identifier – card number or primary account number (PAN) – to *the EBT system* for linking the card to the account. Note that in an offline system, this function might occur prior to or as part of issuing the electronic benefits.

##### Inputs:

Participant Family/Household Identification Number

Card Primary Account Number (PAN)

Optional data element(s) may include:

Participant Identification Number

##### Process:

- An over-the-counter card is selected from the clinic inventory and the card number is selected, keyed into, or obtained by the system through a card reading device.
- Transmit the card number and Participant Family/Household Identification Number (and/or optionally Participant Identification Number) to *the EBT system* for linking the card to the EBT account.

- The cardholder selects a PIN using a PIN selection device. The PIN is transmitted from the device to *the EBT system* or smart card depending on technology used.
- Receive a response (real time or batch) from *the EBT system* indicating the results of the card issuance process.

**Outputs:**

Display message indicating the results of the card issuance process

**Implementation Approaches**

- ▶ Generally, the EBT card and card status are data elements that are unique to EBT and are considered a part of *the EBT system*. The WIC IS will have requirements to capture status changed and transmit them to *the EBT system*, but does not necessarily have ownership of the data.
- ▶ Agencies may optionally want to maintain card data within the WIC IS environment to facilitate customer service queries and searches and for reporting and management purposes. If this approach is taken, consideration should be made as to how to keep the card information maintained on the WIC IS up-to-date or in synch with *the EBT system*, which typically handles card management functions.
- ▶ The decision to use an offline or online EBT solution could impact the decision on where to maintain and manage card related information.

**3.4.2.5 Obtain Account Balance**

The system shall access account balance information from *the EBT system* to display or print the current account balance for a family/household.

**Inputs:**

Data elements are dependent on system design, but should include:

Participant Family/Household Identification Number

Optional data element may include:

Card Primary Account Number (PAN)

Participant Identification Number

**Process:**

- Send balance inquiry message:
  - Offline: Read card balance from EBT card

- Online: Transmit a message requesting the current account balance to *the EBT system*. The message will include Participant Family/Household Identification Number (or, optionally, Participant Identification Number), or other data element to be used in identifying the account from which to retrieve the account balance
- Receive a response from the EBT card or *the EBT system* containing the account balance data

**Outputs:**

Display and/or print the account balance information

**3.4.2.6 Update EBT Account Information**

The system shall compile updated family/household and participant data and transmit that data to *the EBT system* to update account information. This function includes updating, adding and removing cardholders from an EBT account.

**Inputs:**

Data elements are dependent on system design, but should include

- Participant Family/Household Identification Number
- Participant Parent/Head of Household Address
- Participant Parent/Head of Household Date of Birth
- Participant Parent/Head of Household Name- First
- Participant Parent/Head of Household Name- Last
- Participant Parent/Head of Household Name- MI
- Participant Parent/Head of Household Telephone Number

Additional data elements include:

- Participant Address- Apartment
- Participant Address- Street
- Participant Address- City
- Participant Address- State
- Participant Address- Zip Code
- Participant Identification Number
- Participant Date of Birth



Participant Name- First  
Participant Name- Last  
Participant Name- MI  
Participant Parent/Head of Household Indicator  
Participant Telephone Number

**Process:**

- Transmit family/household and/or participant data to *the EBT system* for updating account demographic data in the system
- Receive a response from *the EBT system* indicating the results of updating the account information

**Outputs:**

Display message indicating the results of updating the account information

### **3.4.2.7 Remove Participant(s) from an Account**

*Some EBT systems may maintain data on the participants who are receiving benefits that are deposited into the EBT account assigned to the family/household.*

Depending on the design of *the EBT system*, the WIC IS should have the ability to compile the participant data required for removing a participant from an EBT account and transmit that data to *the EBT system*.

**Inputs:**

Data elements are dependent on system design, but should include:

Participant Family/Household Identification Number  
Participant Identification Number

**Process:**

- Transmit participant data to *the EBT system* for removing a participant from the EBT account
- Receive a response from *the EBT system* indicating this action.

**Outputs:**

Display message indicating the results of removing the participant from the account.

**3.4.2.8 Process Changes to Electronic Benefits (Benefit Adjustments, Voids and Reissuance)**

The system shall compile changes to a food benefit prescription for individual participant and transmit that data to *the EBT system*. This includes voiding, reissuing, and adjusting benefits for current and future months.

**Inputs:**

Food Benefit Prescription Identification Number

Food Benefit Prescription Adjustment Reason

Participant Family/Household Identification Number

Participant Identification Number

Category/Subcategory Category Code

Category/Subcategory Subcategory Code

Food Item Prescribed Unit Quantity

**Process:**

- Transmit benefit data to *the EBT system* for updating benefits in the EBT account.
- Receive a response from *the EBT system* indicating the results of updating benefits in the EBT account.
- This may be implemented by the EBT system as a complete void and reissue of benefits or as an adjustment to existing benefits. Both capabilities may be necessary.

**Outputs:**

Display message indicating the results of updating benefits in the EBT account.

**Implementation Approaches**

- ▶ It is recommended that adjustments made to issued benefits be tracked back to the original benefit issuance (Food Benefit Prescription Identification Number) so that the redeemed benefits can be reconciled to the issued benefits.

### 3.4.2.9 *Process Changes to EBT Card (Status Changes/Card Replacements)*

The system shall have the ability to notify *the EBT system* of a change in card status such as lost, stolen, damaged, locked, or replaced. The system shall transmit the EBT card identifier for a replacement card<sup>36</sup> to *the EBT system* for linking the new card to the account.

#### **Inputs:**

Participant Card Replacement Reason Code

Participant Card Replacement Date

Participant Family/Household Identification Number

Participant Identification Number

Card Primary Account Number (PAN)

#### **Process:**

- For status changes, the system transmits Participant Family/Household Identification Number, Participant Identification Number, or current card number (PAN) (if known) along with the Card Status Change/Replacement Reason Code<sup>37</sup> to *the EBT system* to update the card status and/or hot card list
- Receive a response from *the EBT system* indicating the results of the card status change process
- For card replacements, the new card number (PAN) is entered into the system or obtained by the system through a card reading device. The system transmits the new card number (PAN) and the, reason code, date, and Participant Family/Household Identification Number or Participant Identification Number to *the EBT system* for linking the card to the EBT account and updating the status of the old card
- Receive a response from *the EBT system* indicating the results of the card replacement process

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<sup>36</sup> While over-the-counter is the typical issuance/replacement method used, State agencies may opt, depending on the EBT technology used, to replace cards by mail. For instance, a replacement card can be mailed by a customer service group or clinic for participants who are unable or would prefer not to travel to the clinic to receive their replacement card.

<sup>37</sup> Depending on how card management is handled, the WIC IS may or may not want to send the card replacement reason code to the *EBT system*.

**Outputs:**

Display message indicating the results of the card status change process

Display message indicating the results of the card replacement process

**Implementation Approaches**

- ▶ Some EBT technologies support the replacement of EBT cards centrally by mail. This approach is typically associated with online EBT systems in which the card replacement information is received by the EBT system with an issuance type indicator of over-the-counter or by mail. If by mail, card and demographic information is forwarded to a card vendor for printing and mailing.

### 3.5 Food Benefit Redemption, Settlement and Reconciliation

The Food Benefit, Settlement and Reconciliation functional area covers the redemption of food benefits at the vendor, preparation of vendor payment, and accounting for the disposition of food benefits issued to the participant. In both paper food instrument and EBT environments, it is important to note that the State agency, a bank, or a processor can perform the processing functions. Therefore, to simplify functional descriptions, the term generic “*processor*” is used to cover all the possibilities with the understanding that *the processor* could be the State agency internal data processing unit, a bank that performs processing functions, or an outside processor.

Within a paper food instrument system, the redemption, payment, and settlement of food instruments can vary significantly. Many State agencies use “check systems” in which the food instrument is a check with MICR-encoded data for the food instrument serial number and, optionally, the redemption value. The participant exchanges the check for WIC foods at the vendor, and the vendor submits the check for payment by depositing the check in their bank account and the check is processed through the commercial banking system. Other State agencies use “voucher systems.” In a voucher system, the participant exchanges the voucher for WIC foods at the vendor, and the vendor submits the vouchers to the State agency for payment.

To protect the integrity of the program, the following requirements apply to the transaction of food instruments at the grocery store:

- The participant can redeem only the specific foods and quantities printed on the food instrument or up to the total maximum dollar value for the cash-value voucher benefit for fruits and vegetables, and the selection of foods must meet the State agency’s approved food list (e.g., only specific brands and types of orange juice are approved and orange drink is an unacceptable selection).
- Only the participant named on the food instrument or a designated proxy can redeem the food instrument.
- The vendor must verify the signature (paper environment) or the EBT card PIN must validated (EBT environment).
- The participant can use the food instrument only within the valid dates printed on the food instrument and the vendor must submit the food instrument for payment within a specified time period.

- The cashier must enter the price for the food instrument at the point of sale.
- The vendor cannot alter or change the price entered on the food instrument.
- The price may not exceed a maximum value established by the State agency for valid redemption.
- Only a WIC authorized vendor can redeem food instruments.
- If all foods on the food instrument are not in stock or the maximum value is not purchased, the vendor cannot substitute a “rain check” or cash (i.e., issue change).
- The identity of the vendor redeeming the food instrument, such as the use of an authorized vendor stamp, must be clearly identifiable on the check or voucher.

Regardless of whether a paper or EBT issuance method is used, the cashier must screen for approved foods at the point of sale. Some vendor cash register systems, particularly those supporting WIC EBT transactions, may be able to automatically identify WIC authorized items as part of the UPC scanning process. If the cash register does not support the identification of WIC items, the cashier is responsible for ensuring the participant only purchases approved foods in the quantities prescribed. Some State agencies also require the cashier to record the date of sale on the food instrument.

As previously discussed, there are two methods for dealing with purchase price amounts on food instruments which exceed maximum allowed amounts: prepayment and postpayment. Regarding other requirements for food instruments, such as signature of the participant, transaction within allowed timeframes, or vendor identification, State agencies will typically reject these food instruments. In some instances, State agencies will permit the resubmission of the food instrument (e.g., if the vendor identification number was missing or illegible on the food instrument), the vendor will be allowed to resubmit the food instrument with the vendor identification number clearly shown. In other instances, however, the State agency may not permit resubmission, such as food instruments lacking the participant’s signature or transacted outside of allowed timeframes.

Vendor payment processes vary across State agencies. In some states, payment is made through the state treasurer, where in other states the payment may be made through a banking contractor. Therefore, the discussion of the “Process Vendor Payment” function is addressed in

general terms. Each State agency customizes this function according to its unique requirements; the specific design, timing, and navigation of the individual state WIC IS is dependent upon the payment processes of each state.

For states using EBT, screening for all of the above requirements is automated in *the EBT system*, are performed at the point of sale or EBT host (depending on the technology used) and are not functions of the WIC IS. Because State agencies may be involved in making payments to vendors when using EBT, that functionality has been included as part of WIC IS functionality.

Another important distinction between the paper food instrument system and *the EBT system* occurs in the maintenance of transaction data and reconciliation of benefits. For paper food instrument systems, reconciliation is needed for the food instruments issued when the food instruments are either redeemed or no longer valid. Reconciliation is performed to account for funds expended and ensure that all food instruments have a valid issuance and certification record.

In an EBT environment, benefits are managed by food item Category/Subcategory and units issued. All individual participant benefits within a household are aggregated together into one account. The account (online) or card (offline) balance is debited each time a transaction occurs. The outstanding obligation for estimated redemption values and expenditures for benefits redeemed is based on benefits transmitted to *the EBT system*<sup>38</sup> and information returned from *the EBT system* regarding redemptions, adjustments, voids, and expirations. The obligation data will reside in the state fiscal system or fiscal component of the WIC IS.

Reconciliation in the EBT environment involves receiving transaction data and/or reports from *the EBT system* and comparing benefits issued as recorded by the WIC IS to benefits redeemed and/or expired as recorded by *the EBT system*. WIC EBT reconciliation is done first at category/subcategory and unit level and second at dollar level for amounts paid WIC vendors. Because of benefit aggregation, redemptions typically cannot be tracked back to specific participant or benefit issuance, but only tracked at the family/household level. Reconciliation to the participant level is accomplished through a fully auditable aggregation process that demonstrates that the family/household benefits truly reflect the benefits of all participants in that family/household. Reconciliation must also take

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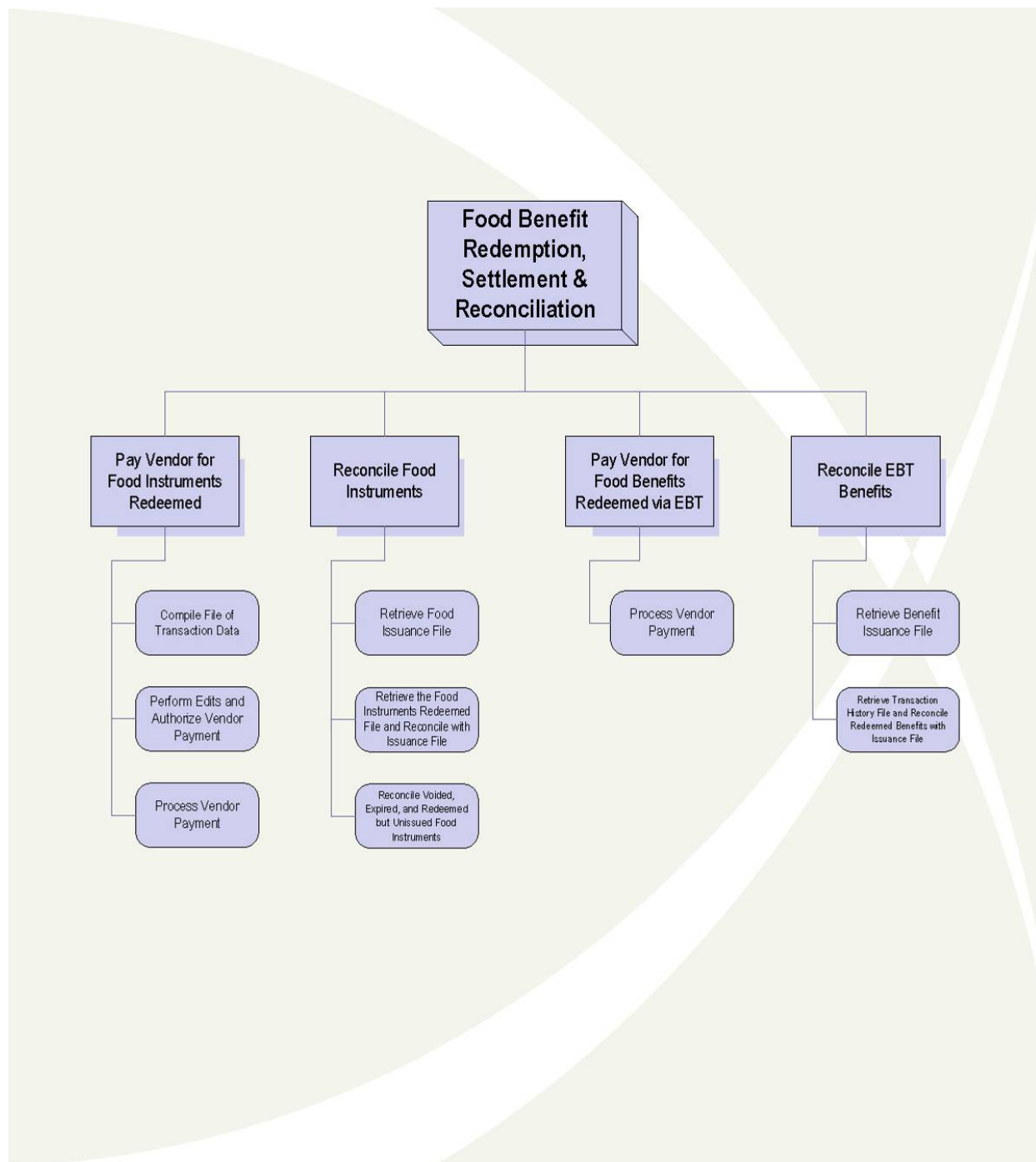
<sup>38</sup> Note that in an offline system, that there is a host system balance and card balance for each account. The card always has the most up-to-date balance because the host system balance is not updated until the authorized WIC vendor transactions are submitted for payment. At this point, the host balance for the account is updated and synchronized with the card balance.

into account any changes in benefit issuance resulting from household changes or prescription changes. Lastly, some types of exception transactions such as reversals, adjustments, manual vouchers, and voids can impact daily reconciliation totals and should be incorporated into reconciliation processes. Transaction data returned from *the EBT system* can be maintained in the WIC IS for further reporting and monitoring of redemption patterns.

The Food Benefit Redemption, Settlement, and Reconciliation functional area is comprised of the following functions:

- Pay Vendor for Food Instruments Redeemed
  - Compile File of Transaction Data
  - Perform Edits and Authorize Vendor Payment
  - Process Vendor Payment
- Reconcile Food Instruments
  - Retrieve Food Issuance File
  - Retrieve the Food Instruments Redeemed File and Reconcile with Issuance File
  - Reconcile Voided, Expired, and Redeemed but Unissued Food Instruments
- Pay Vendor for Food Benefits Redeemed via EBT
  - Process Vendor Payment
- Reconcile EBT Benefits
  - Retrieve Benefit Issuance File
  - Retrieve Transaction History Data /Reconcile Redeemed, Adjusted, Voided, and Expired Benefits with Issuance File





*Exhibit 3-5: Functional Decomposition Diagram – Food Benefit Redemption, Settlement and Reconciliation*

### 3.5.1 Pay Vendor for Food Instruments Redeemed

When the participant completes his/her shopping for WIC foods, he/she presents a food instrument to the cashier in exchange for WIC purchases. The cashier reviews the foods to ensure only approved foods are selected, and reviews the food instrument for compliance with WIC Program requirements. If all is correct, the cashier enters the price on the food instrument and the participant signs the food instrument to complete the sale. WIC food instruments are sent<sup>39</sup> to the *processor* for payment. In pre-payment edit systems, the food instruments are reviewed prior to payment and in post-payment systems, the food instruments are reviewed after payment.

Following food instrument reviews, funds are transferred to the vendor for properly redeemed food instruments and the vendor is advised of any food instruments that were not paid due to discrepancies. The vendor is given an opportunity to justify payment on the rejected food instruments and to resubmit them for payment.

#### 3.5.1.1 Compile File of Transaction Data

In the paper environment, data resident in the system should be compiled to assist with the vendor payment process. Issuance data is obtained from the IS and includes food instrument serial/identification numbers, issuance dates, maximum values, food instrument active dates (first and last date to spend), as well as void information. Redemption data are obtained from *the processor*, which may be the State or a third party, such as a data entry contractor or a bank. Redemption data include food instrument serial/identification numbers, redemption dates and amounts, and vendor information.

##### **Inputs:**

- Food Instrument Identification Number
- Food Instrument Issuance Date
- Food Instrument Maximum Allowed Amount
- Food Instrument Redemption Batch
- Food Instrument Redemption Value
- Food Instrument Use/Disposition Code

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<sup>39</sup> Food instruments may be batched together and sent to the *processor* in a voucher system or, if a check system is in place, deposited in the vendor's bank account and routed to the *processor* via the federal reserve banking system.

Food Instrument Use/Disposition Date  
Food Instrument Valid End Date  
Food Instrument Valid Start Date  
Food Instrument Vendor Redemption Date  
Food Instrument Void Date  
Vendor Identification Number

**Process:**

- Compile issuance data
- Accept input of redemption data from direct data entry or redemption file
- Create a file of the transaction data

**Outputs:**

Food instrument transaction file

### **3.5.1.2 Perform Edits and Authorize Vendor Payment**

*At the point of sale, the cashier checks the foods purchased and food instruments for compliance with program requirements. The food instruments are submitted for payment.*

*Functions performed by the processor may vary. The processor captures the vendor identification, the redemption value, and the date of redemption, if the food instrument is a negotiable check. The processor performs a visual check for valid dates, alterations, signatures, etc.*

*Processors that have access to the WIC IS can input redemption data directly. Processors that do not have direct access must generate a redemption file that can be used to update the WIC IS.*

The system should support activities related to the performance of food instrument edits and the authorization of vendor payment. These activities include food instrument verification and validation as well as the generation of redemption data to update the WIC IS. The majority of processes related to this function are typically performed outside of the WIC IS by a banking contractor or by the state through another system. Because these processes could possibly be performed within the WIC IS and are part of a larger comprehensive list of WIC processes, they have been included in the FReD.

**Inputs:**

Food Instrument Identification Number  
Food Instrument Issuance Date  
Food Instrument Maximum Allowed Amount  
Food Instrument Redemption Batch  
Food Instrument Redemption Value  
Food Instrument Reject Count  
Food Instrument Reject Reason Code  
Food Instrument Use/Disposition Code  
Food Instrument Use/Disposition Date  
Food Instrument Valid End Date  
Food Instrument Valid Start Date  
Food Instrument Vendor Redemption Date  
Food Instrument Void Date  
Vendor Identification Number  
Vendor Peer Group Code

**Process:**

- Perform edits by comparing food instrument issuance and redemption data in transaction file
- Input the Vendor Identification Number for the redeeming vendor
- Identify food instruments that fail screening and input the Food Instrument Reject Reason
- Prepare an electronic payment detail report for all food instruments authorized for payment
- Prepare a rejection file for all food instruments that failed screening
- Update Food Instrument data store
- Compile Food Instruments Redeemed File

**Outputs:**

Electronic payment detail report for food instruments paid and food instruments rejected

### Implementation Approach

- ▶ Once the data are compiled in electronic form, the processor (which can be the State or a third party) compares the vendor redemption data to WIC Program food instrument issuance data to determine if the food instrument is valid. For those food instruments that pass screening, a payment detail is prepared. For those food instruments that exceed maximum values, are outside valid dates, or have other violations, a rejection report is prepared which identifies each rejected food instrument, the reason for rejection and amount not paid or billed to vendor for repayment.

#### 3.5.1.3 Process Vendor Payment

The system should support the initiation of vendor payment. Typically, a WIC IS does not actually perform the payment processing such as transferring funds to bank accounts or performing automated clearinghouse (ACH) transactions. Additionally, the majority of processes related to this function are typically performed outside of the WIC IS by a banking contractor or by the state through another system. Because these processes are part of a larger comprehensive list of WIC processes, they have been included in the FReD.

#### Inputs:

Food Instrument Amount Billed to Vendor (postpayment)  
Food Instrument Amount Collected From Vendor (postpayment)  
Food Instrument Amount Not Paid (prepayment)  
Food Instrument Identification Number  
Food Instrument Redemption Batch  
Food Instrument Redemption Value  
Food Instrument Reject Count  
Food Instrument Reject Reason Code  
Food Instrument Repayment Date  
Food Instrument Use/Disposition Code  
Food Instrument Use/Disposition Date  
Food Instrument Vendor Redemption Date  
Vendor Identification Number

#### Process:

- Transmit transaction file requesting a debit to the State agency bank and credit to the vendor or vendor's bank for the total approved food instrument redemption amount

- Transmit rejection report notice to the vendor for food instruments where funds were withheld and/or a bill
- Transmit rejection report bill to the vendor for rejected food instruments already paid
- Compile all redemptions by issue month and by vendor and store in the Outlay data store

**Outputs:**

ACH transaction (redemption) file

Screen display or report of food instruments rejected

Notice to vendor of food instrument amounts not paid

Bill to vendor for rejected food instruments repayment

Screen display or report of value of food instruments redeemed by issue month

Screen display or report of value of redemptions by vendor

**Implementation Approach**

- ▶ The total amount due the vendor is debited to the State agency WIC bank account and credited to the vendor's bank via electronic funds transfer through the ACH network or by State check or warrant. The vendor is also advised of rejected food instruments, reasons for rejection, and informed of what information he must provide in order to receive payment for the food instrument. It should be noted that when a food instrument is rejected, the State agency might reject payment of the entire food instrument redemption value or just a portion of the value of the food instrument. The system must allow for flexibility in the amount billed or withheld. Also, the system may be designed to automatically assign appropriate values based on the reason for rejection.

### 3.5.2 Reconcile Food Instruments

The State agency must account for the disposition of all food instruments as either issued or voided, and as either redeemed or unredeemed.

Redeemed food instruments must be identified as validly issued, lost, stolen, expired, duplicate, or not matching valid enrollment and issuance records. In an EBT system, evidence of matching redeemed food instruments to valid enrollment and issuance records may be satisfied through the linking of the Primary Account Number (PAN) associated with the electronic transaction to valid enrollment and issuance records. A PAN and the associated benefit balance by food category and subcategory are matched against the household record of food categories and subcategories issued and redeemed. This process must be performed

within 120 days of the first valid date for participant use of the food instruments.

Although participants are encouraged to use all of their food instruments, they sometimes choose not to redeem all or some of the food instruments. Or, if advance printing of food instruments is done, some participants may not claim their food instruments. Similarly, it is possible that the participant redeemed the food instrument, but the vendor did not submit the food instrument for payment in the required timeframe. Also, food instruments are sometimes lost or stolen while in the participant's possession so that State or local agency staff have voided the food instrument.

In addition, some food instruments are redeemed, but have no issuance record. The system must reconcile these food instruments to a valid certification and issuance record, or investigate for possible fraudulent use.

The system should automatically void food instruments that are expired for participant or vendor redemption.

The system should also capture and maintain data about the manual voiding of food instruments. Food instruments are often voided because the food instruments were damaged or misprinted. The system should capture and maintain this void data for food instruments printed on demand, and food instruments printed in advance in the benefit issuance function.

To help facilitate the voiding of a series of food instruments with sequential serial numbers (such as when a participant does not transact any food instruments), the system should provide a capability for users to void the entire series of instruments with a single entry.

### **3.5.2.1 Retrieve Food Issuance File**

The system should initiate the reconciliation process by retrieving the file of food instruments issued for an issuance month.

#### **Inputs:**

Food Instrument Estimated Value

Food Instrument Issuance Date

Food Instrument Maximum Allowed Amount

Food Instrument Use/Disposition Code

Food Instrument Use/Disposition Date

Food Instrument Valid End Date

Food Instrument Valid Start Date

**Process:**

- Retrieve food issuance file for all food instruments that have a Food Instrument Use/Disposition Date within the month of issue that will be reconciled

**Outputs:**

Food instrument issuance file by month of issue

**3.5.2.2 Retrieve the Food Instruments Redeemed File and Reconcile with Issuance File**

The system should retrieve the Food Instruments Redeemed File compiled for food instruments paid and food instruments rejected when preparing vendor payments. This provides a list of redeemed food instruments by serial number and redemption value. The system should complete a one-to-one reconciliation match of the food instrument serial numbers in the issuance file with the serial numbers in the redemption file. All food instruments issued and redeemed must be matched with a valid participant record. For all food instruments that are validly redeemed, the system should capture and maintain both the obligation amount (estimated redemption value) and the outlay (actual redemption value) amount.

**Inputs:**

Food Instrument Amount Billed to Vendor (postpayment)

Food Instrument Amount Collected From Vendor (postpayment)

Food Instrument Amount Not Paid (prepayment)

Food Instrument Estimated Value

Food Instrument Identification Number

Food Instrument Issuance Date

Food Instrument Maximum Allowed Amount

Food Instrument Redemption Batch

Food Instrument Redemption Value

Food Instrument Reject Count

Food Instrument Reject Reason Code

Food Instrument Use/Disposition Date



Food Instrument Valid End Date  
Food Instrument Valid Start Date  
Food Instrument Vendor Redemption Date  
Food Instrument Void Date  
Vendor Identification Number

**Process:**

- Conduct a food instrument serial/identification number match between food instruments on the issuance file and food instruments on the redemption file
- Replace food instrument obligations with actual redemption amounts for all food instruments paid
- For prepayment systems, update any food instrument redemption amounts for food instruments that were not paid pending dispute resolution where the State agency and vendor have resolved the final redemption amount
- For post-payment systems, enter any food instrument amounts collected from the vendor
- Update the Obligation and Outlay data stores
- Calculate food instrument average redemption amounts for all regular vendors, for only A50 vendors, and by peer group, and update the Food Instrument data store

**Outputs:**

Updated food instrument obligations and outlays

**Implementation Approach**

- ▶ Food instruments on the rejected list should be held and not reconciled until the vendor has a chance to dispute the non-payment. Once the rejection is settled, the State agency can enter the final food instrument redemption value as an outlay. For rejected food instruments that were paid and the vendor billed for the disputed amount, the system should use the actual redemption amount paid. When the State agency is later repaid by the vendor, this is recorded as a vendor collection.

### **3.5.2.3 Reconcile Voided, Expired, and Redeemed but Unissued Food Instruments**

In addition to reconciling used, issued food instruments, the system must be able to reconcile voided, expired, and redeemed but unissued food instruments.

#### **Inputs:**

Food Instrument Identification Number  
Food Instrument Redemption Value  
Food Instrument Use/Disposition Code  
Food Instrument Use/Disposition Date  
Food Instrument Valid End Date  
Food Instrument Void Date  
Local Agency Identification Number  
Participant Identification Number

#### **Process:**

- For any food instruments that are unredeemed and expired (those beyond the maximum allowable days from the first valid date for the participant to use and vendor to request payment), reduce the food instrument obligation to zero, and code these food instruments as “void-expired”
- Retrieve the file on food instruments that were voided, reduce the food instrument obligation to zero and code these food instruments as “void—staff void”
- Run a match of the redeemed but unissued food instruments against the issuance file
- For food instruments that still have no matching issuance record, prepare an exception report for the local agency that issued the food instrument with information on the food instrument and its disposition
- Update the Obligation data store for expenditure tracking purposes

#### **Outputs:**

Screen display or report of updated food instrument void reason and date  
Screen display or report of total food redemption value

## Redeemed but unissued food instrument exception report by local agency

### Implementation Approach

- ▶ The system should automatically void any expired food instruments and delete the obligation value. The system should also retrieve the file on food instruments that were voided by local agencies and ensure the obligation value is deleted. The system should create an exception report for redeemed but unissued food instruments. In some cases, the participant may have used his/her food instruments before his/her certification record was entered in the system. In this instance, the system should run these redeemed food instruments' serial/identification numbers against the food instrument issuance file serial/identification numbers to find a match. If a match is not found, the State agency should investigate the matter with the issuing local agency. The system should include the actual redemption value as an outlay until an investigation is completed.

### 3.5.3 Pay Vendor for Food Benefits Redeemed via EBT

In an EBT environment, the majority of the functions related to vendor payment, which were previously described for the paper environment, are functions of *the EBT system* and therefore not included as WIC IS functions. This includes compiling transaction data and performing edits that are part of EBT transaction processing. However, it is possible for the State agency to be involved in the vendor payment process to include initiating vendor payment.

#### 3.5.3.1 Process Vendor Payment

*The EBT system maintains transaction history data, which include all of the vendor credit amounts and transaction details. This information is used to determine daily vendor payment amounts and initiate payment to vendors via electronic funds transfer or ACH transaction.*

The system should support the initiation of vendor payment. Typically, a WIC IS does not actually perform the payment processing (such as transferring funds to bank accounts or performing ACH transactions). Additionally, the majority of processes related to this function are typically performed outside of the WIC IS by a banking contractor, EBT processor, or by the state through another system. Because these processes are part of a larger comprehensive list of WIC processes, they have been included in the FReD.

**Inputs:**

These data exist in the EBT system; however, they may be downloaded by the State for use in its IS.

State Agency Debit Amount

Vendor Credit Amount

Transaction History Data

**Process:**

- Retrieve Transaction History Data
- Calculate vendor credits/State WIC debits
- Create payment file (i.e., ACH file)
- Initiate process to perform electronic funds transfer (i.e., ACH credit) for transmission to vendor bank

**Outputs:**

ACH transaction file

Vendor transaction detail file

### 3.5.4 Reconcile EBT Benefits

*The EBT system* will track the disposition of issued benefits and return transaction history data to the WIC IS. Benefits issued to participants via EBT should be reconciled to ensure program integrity. This is necessary to ensure that all benefits are properly accounted for as redeemed, expired, or voided.

Although participants are encouraged to use all of their EBT benefits, they sometimes choose not to redeem all or some of their benefits. Similarly, it is possible that the participant redeemed benefits, but (depending on the technology used) the vendor did not submit the claim file for payment in the required timeframe. Also, benefit packages may sometimes require adjustment after issuance, such as in cases of infant formula changes. These changes may require the State or local agency staff to void and replace the original benefit or make an adjustment to the original benefit, which should be accounted for in the reconciliation process.

As with the paper process, the outstanding benefit obligation must be maintained. However, with EBT, it is possible to record obligations at the food item level and to reduce the obligation based on the quantity of category/subcategory redeemed.

#### **3.5.4.1 Retrieve Benefit Issuance File**

The system should initiate the reconciliation process by retrieving the file of EBT benefits issued for an issuance month.

##### **Inputs:**

Category/Subcategory Category Code  
Category/Subcategory Subcategory Code  
Food Benefit Prescription Identification Number  
Food Item Prescribed Unit Quantity  
Food Benefit Prescription Date  
Food Item Prescribed First Date to Spend  
Food Item Prescribed Last Date to Spend  
Participant Family/Household Identification Number

##### **Process:**

- Retrieve benefit issuance file for all benefits that have Food Item Prescribed First Date to Spend within the specific timeframe that will be reconciled

##### **Outputs:**

Issued benefit file for specified timeframe

#### **3.5.4.2 Retrieve Transaction History Data /Reconcile Redeemed, Adjusted, Voided, and Expired Benefits with Issuance File**

The system should retrieve the transaction history data from *the EBT system*. This file provides a list of all transactions performed during a specified timeframe that includes data regarding the disposition of each benefit by category, subcategory, and unit. Data is available at a family/household level because individual participant benefits are aggregated within an account. The transaction history data should be used by the WIC IS to complete a one-to-one reconciliation match by household of issued benefits to redeemed, expired, voided, and adjusted benefits.

##### **Inputs:**

Category/Subcategory Category Code  
Category/Subcategory Subcategory Code  
Category/Subcategory Quantity – Redemption

Category/Subcategory Quantity – Expired  
Category/Subcategory Quantity – Voided  
Category/Subcategory Quantity – Adjusted Credit  
Category/Subcategory Quantity – Adjusted Debit  
EBT Total Requested Amount – Transaction  
EBT Total Requested Amount – Daily Total  
EBT Total Paid Amount – Transaction  
EBT Total Paid Amount – Daily Total

**Process:**

- Obtain issued benefit file
- Obtain transaction history data and identify benefit redemption, expiration, void and adjustment data
- Compare issued benefits to redeemed, expired, voided and adjusted benefits at the family/household level by category/subcategory
- Post redemption data back to family/household records
- Compare total amount paid to vendors with drawdown amount and obligation estimates
- Display or provide report of reconciliation discrepancies
- Calculate food item average redemption amounts for all vendors, for all vendors excluding WIC A50 vendors, for only WIC A50 vendors, and by peer group and updated the Food Item data store.

**Outputs:**

Display or report of reconciliation discrepancies

**Implementation Approach**

- ▶ The retrieval of daily transaction history data can be initiated by the WIC IS. The process should be automated so that it is performed on a consistent basis.
- ▶ *The EBT system* can initiate the automated process to transmit transaction history data to the WIC IS on a regular schedule.
- ▶ The daily Transaction History data can be stored in a data warehouse for future reporting and analysis.
- ▶ The disposition of benefits can be posted back to household records. This information may be used in performing analyses for nutrition education, nutrition needs, and other types of trend analysis as well as for review of food packages.

- ▶ In some EBT implementations, the issuance data is posted to a database in *the EBT System* for use in validating redemption transactions. In this case, the agency may choose to have *the EBT system* perform the reconciliation processes described here rather than having the EBT vendor daily claims file returned to the WIC IS.

## 3.6 Financial Management

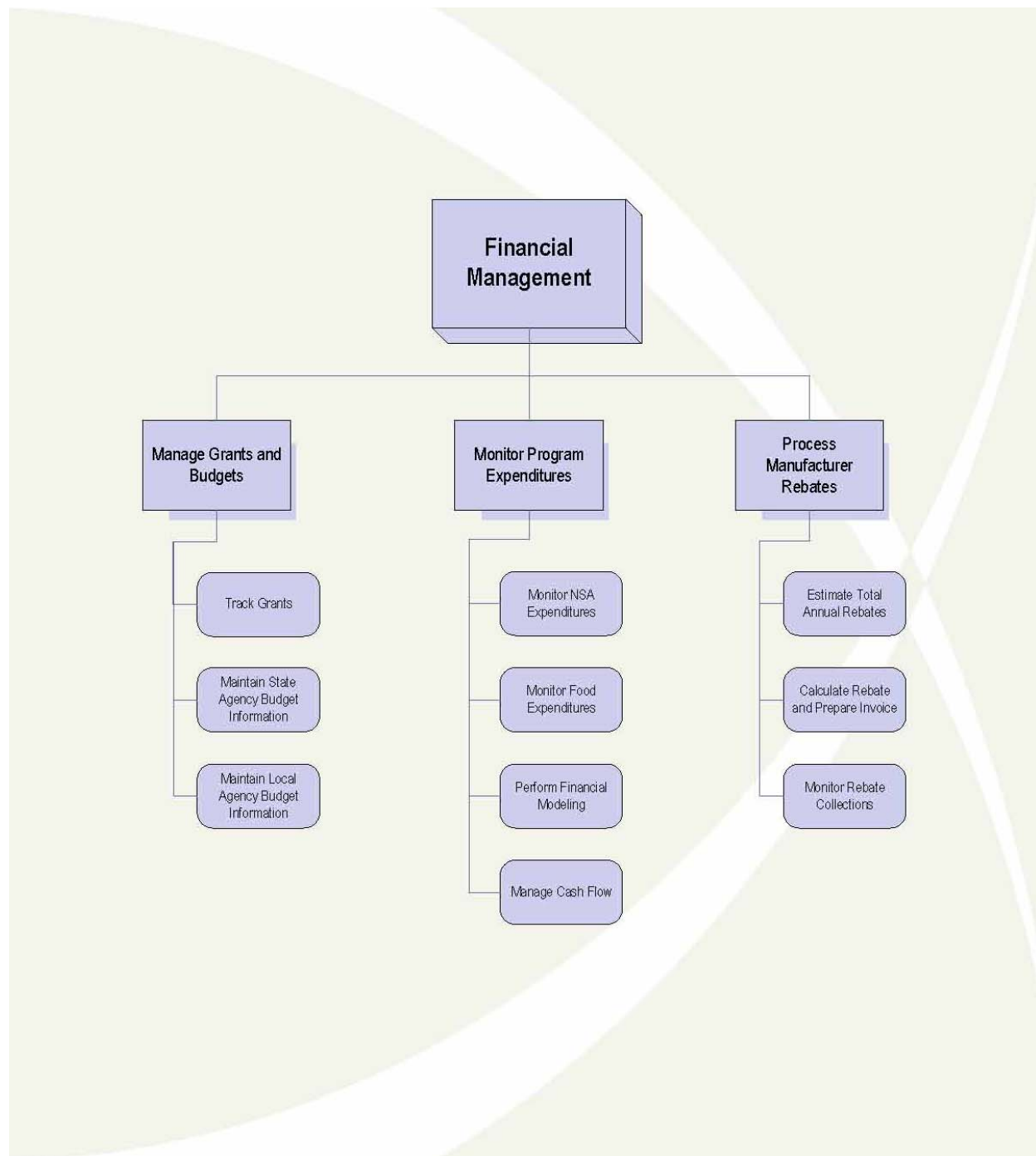
The Financial Management functional area provides the State agency with a tool for managing food and nutrition services and administration (NSA) grants and expenditures. It allows State agencies to manage budget information, track expenditures, calculate rebates due from manufacturers on approved products (e.g., infant formula), monitor actual cash flows, and prepare participation and expenditure reports for FNS from data compiled under several other functions. These data also allow WIC managers to perform more sophisticated analyses of projected WIC Program funds usage.

In some State agency systems, financial management is maintained as part of the WIC IS. In other State agencies, it is maintained elsewhere but depends on the WIC IS for providing the data necessary to conduct the financial analysis. For example, data captured through the system may be extracted and exported into a PC-based spreadsheet application. The functionality described below for obtaining data required for financial management analysis may occur in the WIC IS or an alternative system.

Financial Management is comprised of the following functions:

- Manage Grants and Budgets
  - Track Grants
  - Maintain State Agency Budget Information
  - Maintain Local Agency Budget Information
- Monitor Program Expenditures
  - Monitor NSA Expenditures
  - Monitor Food Expenditures
  - Perform Financial Modeling
  - Manage Cash Flow
- Process Manufacturer Rebates
  - Estimate Total Annual Rebates
  - Calculate Rebate and Prepare Invoice
  - Monitor Rebate Collections





*Exhibit 3-6: Functional Decomposition Diagram – Financial Management*

### 3.6.1 Manage Grants and Budgets

State agencies receive separate Federal grants for food and NSA expenditures each year. Food grants are used to purchase supplemental foods and may be used to rent or purchase breast pumps. The method used to deliver supplemental foods to WIC participants (i.e., retail purchase, home delivery, or direct distribution) determines the cost components of food costs. The cost of supplemental foods in a retail food delivery system, the most common food delivery system, is the total amount paid to authorized vendors for food instruments transacted by program participants for authorized supplemental foods. State agencies using a home food delivery system may charge their food grants for the total amount paid to home food delivery contractors for both the cost of the authorized supplemental foods provided to program participants and the cost of delivering the food items. State agencies operating a direct distribution food delivery system may charge their food grants for the total amount paid to procure an inventory of supplemental foods, store the food in a warehouse, and distribute it to program participants. NSA funds are used for program management, client services, nutrition education, and breastfeeding promotion and support. The amounts of the food and NSA grants are determined by FNS through funding formulas prescribed by Federal regulation. Funds are allocated at the beginning of each fiscal year. Throughout the year, FNS recovers and reallocates unspent funds, so a State agency's food and NSA grants may increase or decrease during the course of a fiscal year.

Although the WIC Program does not require matching funds, some State agencies receive funds for food and/or NSA costs from their State budget. The amount of State-appropriated funds may vary from year to year. State agencies are required to maintain a distinction between their Federal and State-appropriated program funds. It is also important for State agencies to track WIC participation and expenditures according to both the Federal and State fiscal year budget cycles if they differ. Finally, the State agency may also receive program income from a variety of sources, including grants from food manufactures, interest on rebate funds, and civil money penalties collected from vendors.

State agencies need information on Federal and State funds allocated to the WIC Program to determine the funds available to support the maximum State agency caseload and allocate local agency caseload and NSA budgets. It may also be useful for the system to enable both the State and local agency to retrieve budget data to automatically track actual WIC expenditures against budgeted amounts at a more detailed level.

See Federal guidance for information about rules related and flexibilities that impact State budget and expenditure planning.

### **3.6.1.1 Track Grants**

The system should record the food, NSA and any other grants awarded by FNS to the State agency. It also should record any State funds that are allocated for use during the Federal fiscal year<sup>40</sup>.

The grant amounts may change over the course of the year, due to reallocations, the funding rules, and other grant adjustments; therefore the system should update grants and budget estimates and use the new information to recalculate and reallocate caseload levels at the State level and across local agencies. The system should maintain a current balance of funding levels in all grant categories throughout the year to be used for the food budget and State and local agency NSA and other budgets.

#### **Inputs**<sup>41</sup>:

- Grant Adjusted Available Funds
- Grant Backspend Funds
- Grant Beginning Grant Date
- Grant Converted Food Funds
- Grant Converted NSA Funds
- Grant Discretionary NSA Grant
- Grant Ending Food Grant
- Grant Estimated Annual Rebate
- Grant Estimated Breast Pump Costs
- Grant Estimated Conversion
- Grant Estimated Medicaid Reimbursements
- Grant Estimated Monthly Rebate
- Grant Estimated Other Credits
- Grant Estimated Participant Collections
- Grant Estimated State Grant
- Grant Estimated Vendor Collections

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<sup>40</sup> Those State agencies that do not currently receive State funds should not ignore the possibility that they may receive State grants in the future. This information is an important factor in the estimation of caseload and NSA budgets.

<sup>41</sup> Grant types tracked through this function include food and NSA grants, but any additional grant types should be captured.

Grant Federal Fiscal Year  
Grant Food Reallocations  
Grant Letter of Credit Number  
Grant Medicaid Reimbursements  
Grant NSA Reallocations  
Grant Original Federal Food Grant  
Grant Other Adjustments  
Grant Other Credits  
Grant Other Grant Income  
Grant Other Program Income  
Grant Participant Collections  
Grant Percent SAG1  
Grant Percent SAG2  
Grant Percent SFG1  
Grant Percent SFG2  
Grant Program Income  
Grant Report Type Code  
Grant SNPIIS Code  
Grant Spend Forward Funds  
Grant State Agency Identification Number  
Grant State Fiscal Year  
Grant State Grant  
Grant State Grant FFY  
Grant State Grant SFY1  
Grant State Grant SFY2  
Grant State Name  
Grant Total Available Funds  
Grant Total Available Revenues  
Grant Type Code  
Grant Unspent Funds  
Grant Vendor Collections  
Grant Vendor Postpayment Collections  
Grant Vendor Prepayment Collections

**Process:**

- Accept user input of grant funding information
- Adjust the State grant to correspond to Federal fiscal year funding
- Calculate total available Federal and State funds for all grant types
- Update Grant data store

**Outputs:**

Screen display or report of Grants Status

**Implementation Approaches**

- ▶ Because Federal and State fiscal years may differ, the State agency must adjust the State grant to correspond to Federal fiscal year funding. One method to convert from State fiscal year to Federal fiscal year is to record the State grants for the two State fiscal years that overlap the Federal fiscal year and assign a conversion percentage to each based on the percentage overlap with the Federal fiscal year. For example, given that the Federal fiscal year is October 1 through September 30, if a State fiscal year stretched from January 1 through December 31, the first State grant would be assigned a conversion percentage of 25 percent covering the months of October through December. The second State grant (from the next State fiscal year) would be assigned a conversion percentage of 75 percent, covering the remaining months of January through September.

**3.6.1.2 Maintain State Agency Budget Information**

*The State agency budget is comprised of both food grant funds and NSA grant funds. For the food budget, the State agency must obtain the total funds available from Federal grants and any State grants and use this information for caseload allocations. In addition, the State agency may use its food funds for the purchase or rental of breast pumps. If it chooses to do so, the State agency may include breast pump costs in the budget.*

*For the NSA grant, the State agency prepares an NSA budget that combines detailed information on the NSA expenses for the State agency and summary budget information for all local agencies combined. At the end of the Federal fiscal year, the State agency must report to FNS the total expenditures for NSA costs by category for program management, client services, nutrition education, and breastfeeding promotion and support. Additionally, the State agency may wish to collect more detailed information on line items such as salaries or supplies to better track expenditures as well as to account for IS or EBT costs. While it is not critical that the State agency maintain a budget for these items, it is useful so that the State agency can compare budget amounts to actual expenditures as the year progresses. If a State agency is using*

*spendforward funds for IS expenditures, establishing an IS budget category is highly recommended.*

The system should provide the ability to retrieve State agency grant and budget data and retrieve local agency budget detail. Since funding for the WIC Program may change during the course of the year, the system must allow users to update grant data and budget estimate data at any time. The system should generate a copy of the NSA budget upon request.

**Inputs:**

Grant Estimated Breast Pump Costs  
Grant Federal Fiscal Year  
Grant Total Available Funds  
Grant Type Code  
NSA Budget Beginning Grant Date  
NSA Budget Beginning Report Date  
NSA Budget Breast Pump  
NSA Budget Expenditure Amount  
NSA Budget Expenditure Budget Code<sup>42</sup>  
NSA Budget Expenditure Type Code<sup>43</sup>  
NSA Budget Expenditure Type Total  
NSA Budget Ending Grant Date  
NSA Budget Ending Report Date  
NSA Budget Federal Fiscal Year  
NSA Budget Level Indicator  
NSA Budget Local NSA Budget- Total  
NSA Budget Program Income Expended  
NSA Budget Program Income Received  
NSA Budget Spending Target  
NSA Budget Total Unliquidated NSA Obligations

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<sup>42</sup> Budget codes refer to items such as Breastfeeding, Client Services, Nutrition Education, and Program Administration.

<sup>43</sup> Expenditure type codes refer to items such as Communications and Travel, Equipment, Indirect Costs, Information Systems, Other Direct Costs, Salaries and Benefits, and Space Utilization.

**Process:**

- Calculate adjusted total available Federal and State funds for Food
- Calculate adjusted total available Federal and State funds for NSA
- Calculate total NSA budget for local agencies
- Calculate total NSA budget for the State agency
- Update Grant and NSA Budget data stores

**Outputs:**

Screen display or report of State Budget for Food and NSA  
Screen display or report of Food and NSA Grants Status

**3.6.1.3 Maintain Local Agency Budget Information**

For NSA funds, the State agency must allocate NSA budgets to local agencies each year<sup>44</sup>. Regardless of the implementation approach, the system must capture WIC NSA budget data for individual local agencies in order to track expenditures against the budget. Once approved, the system should generate or transmit a copy of the local agency NSA budget to local agencies.

**Inputs:**

Local Agency Identification Number  
NSA Budget Beginning Grant Date  
NSA Budget Beginning Report Date  
NSA Budget Breast Pump  
NSA Budget Ending Grant Date  
NSA Budget Ending Report Date  
NSA Budget Expenditure Amount  
NSA Budget Expenditure Budget Code<sup>45</sup>  
NSA Budget Expenditure Type Code<sup>46</sup>

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<sup>44</sup> Food funds are rarely allocated to local agencies. Instead, a State agency allocates the equivalent of food funds in the form of caseload assignments. This is addressed in the Caseload Management chapter.

<sup>45</sup> Budget codes refer to items such as program management, client services, nutrition education, and breastfeeding promotion and support.

NSA Budget Expenditure Type Total  
NSA Budget Federal Fiscal Year  
NSA Budget Level Indicator  
NSA Budget Local NSA Budget- Total  
NSA Budget Program Income Expended  
NSA Budget Program Income Received  
NSA Budget Spending Target  
NSA Budget Total Unliquidated NSA Obligations

**Process:**

- Record budget information for each local agency
- Update NSA data store

**Outputs:**

Screen display or report of Local Agency Budgets by Budget Category

**Implementation Approaches**

- ▶ State agencies use various methods to allocate funds to local agencies, such as negotiated budgets or allocations based on defined formulas. Some State agencies may allocate only a total amount and others may provide a more detailed budget with functional budgets for categories such as nutrition education and/or line items such as salaries. These methods may be supported by the system or handled in the State agency accounting system.
- ▶ Alternatively, the budgeting function may be performed in an external spreadsheet application that uses relevant data exported from the WIC IS.

### 3.6.2 Monitor Program Expenditures

State agencies should monitor food and NSA expenditures to compare actual costs to budgets and submit required reports to FNS. The rate of expenditure of program funds is of particular concern to program managers who must react to this information and adjust caseload allocations accordingly. It is important for State agencies to continuously monitor expenditures and cash flow so that they do not place their financial commitments to participants, vendors, and creditors in jeopardy.

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<sup>46</sup> Expenditure type codes refer to items such as Communications and Travel, Equipment, Indirect Costs, Information Systems, Other Direct Costs, Salaries and Benefits, and Space Utilization.



Advance warning of surpluses or shortages is critical to minimizing potential disruption of the overall WIC Program operations.

The receipt of rebates presents a unique challenge in managing expenditures and cash flow. The State agency must pay vendors for the full “pre-rebate” purchase value for food instruments with the rebated item (e.g., infant formula). The State agency recoups the rebate once the infant formula manufacturer is billed and payment is made. Thus, State agencies often need more funds at the beginning of the year to compensate for the lag time in receiving infant formula rebate payments. To cover these additional costs early in the year, FNS issues 1/3<sup>rd</sup> of the total annual Federal grant in the first quarter, 1/4<sup>th</sup> in the second and third quarters, and the remaining 1/6<sup>th</sup> in the final quarter.

A major task under the Financial Management function is to provide FNS with the WIC Financial Management and Participation Report (FNS-798). FNS requires this report from State agencies on a monthly basis and for the fiscal year closeout. For closeout, the State agency must report its spending option elections (spendforward/backspend) and also provide a report on categories of NSA expenditures. The data needed for the FNS-798 involves the food and NSA grants, food budget obligation, and food and NSA expenditures. In essence, the data that FNS requires is the same data the State agency needs to manage its funds throughout the year.

The FNS-798 report provides FNS with the data needed to calculate unspent funds for reallocation to State agencies and prepare infant formula allocations. FNS needs this data to be on time and accurate to assure that all State agencies receive funding as quickly as possible; otherwise, funding for all State agencies is compromised.

### **3.6.2.1 Monitor NSA Expenditures**

*For the closeout report, the State agency must report NSA expenditures by State and local levels for the following categories: Program Management, Client Services, Nutrition Education, and Breastfeeding Promotion and Support. Refer to Federal guidance for information on NSA reporting requirements.*

The system should track State and local agency NSA expenditures against the amounts budgeted. If NSA expenditures are kept on a separate State accounting system, the system should interface with the State's accounting system for the transfer of actual NSA expenses.

The system should maintain data for Federal reporting purposes on total NSA expenditures per month and any unliquidated obligations that the State agency expects to spend on capital assets or procurements that have

not yet been paid. NSA expenditures and unliquidated obligations will include any breast pumps in the NSA budget and ordered or purchased with NSA funds.

**Inputs:**

Clinic Identification Number  
Local Agency Identification Number  
NSA Budget Program Income Expended  
NSA Budget Total Unliquidated NSA Obligations  
NSA Expenditure Beginning Grant Date  
NSA Expenditure Beginning Report Date  
NSA Expenditure Breast Pump  
NSA Expenditure Date  
NSA Expenditure Ending Grant Date  
NSA Expenditure Ending Report Date  
NSA Expenditure Expenditure Amount  
NSA Expenditure Expenditure Budget Code<sup>47</sup>  
NSA Expenditure Expenditure Type Code<sup>48</sup>  
NSA Expenditure Expenditure Type Total  
NSA Expenditure Federal Fiscal Year  
NSA Expenditure Level Indicator  
NSA Expenditure Program Income

**Process:**

- Calculate actual NSA expenditures from State and local agency expenditure reports
- Calculate any unliquidated NSA obligations for upcoming months
- Update expenditures to date in the NSA data store
- Compare expenditures as a proportion of the budget amounts for each category

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<sup>47</sup> Budget codes refer to items such as program management, client services, nutrition education, and breastfeeding promotion and support.

<sup>48</sup> Expenditure type codes refer to items such as Communications and Travel, Equipment, Indirect Costs, Information Systems, Other Direct Costs, Salaries and Benefits, and Space Utilization.

### Outputs:

Screen display or hard copy report showing NSA Expenditures Compared to Budget

Screen display or hard copy report showing NSA Expenditures to date (populating appropriate fields, as listed in the data dictionary)

### 3.6.2.2 Monitor Food Expenditures

*The State agency must maintain records of its estimated food obligations for current and future months as well as actual outlays for current and past months. These data are collected and compiled from various functions and data stores. When food benefits are issued to a participant, an estimated food redemption value, or obligation, is recorded. The obligation is calculated based on food price data maintained in the system.*

*An obligation is estimated each time that food benefits are issued and recorded as a food obligation. The total of all food benefit obligations is obtained to project the expenditures for a month. The system also tracks obligations for future months using food obligation estimates prepared under the Financial Modeling function. These data are used for Federal reporting and to help the State agency estimate future costs to stay within the grant.*

*The participant or caretaker usually has 30 days to purchase food and the vendor has 60 days from the first date of use. Therefore, for food benefits issued for any given month, actual food expenditures will occur over a period of time. Once all food benefits are paid or otherwise accounted for, the issue month is closed out. At this time, the actual expenditure, or outlay, is known and the original obligation is updated to reflect the actual outlay. These data are accumulated under the Benefit Redemption, Settlement, and Reconciliation function.*

For paper food instrument systems, the system should total the food instrument redemption value all food instruments redeemed in order to track expenditures. As food instruments issued must be matched against food instruments redeemed, the system should perform a reconciliation before the obligations are updated and outlays are recorded.

The system must also subtract all rebate estimates and amounts billed and collected and vendor collections, participant collections, program income collected, and other credits used to fund food costs from the obligations and outlays. All of the data are used to report to FNS on the FNS-798. Food expenditures and unliquidated food obligations may also include breast pumps ordered or purchased with food funds.

For systems issuing benefits via EBT, *the EBT system* maintains an ongoing balance of obligations (issued, unexpended benefits) and outlays

(benefit redemptions) as it is updated each time a transaction occurs. Data regarding benefit balances, redemptions, voids, adjustments, and expirations are maintained in *the EBT system* and reported back to the State agency through daily transaction history data as well as daily and monthly reports.

**Inputs:**

Future Obligation Date  
Future Obligation Federal Participation Estimate  
Future Obligation Food By Month  
Future Obligation Food Inflation Factor  
Future Obligation Food Package Cost Estimate  
Obligation Breast Pump Costs  
Obligation Date of Current Obligation  
Obligation Net Obligation  
Obligation Program Income Received  
Obligation Total Estimated Obligation  
Obligation Total Estimated Other Credits  
Obligation Total Estimated Participant Collections  
Obligation Total Estimated Rebates  
Obligation Total Estimated Vendor Collections  
Obligation Total Redemption Value per Month  
Obligation Value per Month  
Outlay Breast Pump Costs  
Outlay Date  
Outlay Net Federal Outlay  
Outlay Participant Collections Received  
Outlay Program Income Received  
Outlay Total Other Credits Received  
Outlay Total Rebates Billed  
Outlay Total Redemption Value per Month  
Outlay Vendor Collections Received

### **Process:**

#### **Obligations**

- Retrieve the estimate of future month food obligations from the Future Obligation By Month data store
- For systems issuing benefits via paper, retrieve the estimated food instrument redemption values for the month, and past months that are not closed out. For systems issuing benefits via EBT, retrieve the estimate of gross food obligations for the report month, and past months that are not closed out, from the monthly estimated redemption value of food issued for each household
- For each upcoming month, add any estimates for breast pump costs that will be purchased with food funds
- Retrieve any vendor collections, participant collections and program income from the Grants data store and subtract the estimated amount the State agency expects to use from the obligation amount
- Retrieve estimated rebates from the Rebate data store
- Subtract the estimated rebates, from the food obligation balance to get the net obligation (Note: The system should revise net obligations each month as actual outlay data are received)

#### **Outlays**

- For systems issuing benefits via paper, retrieve the total of all redemptions by issue month. For systems issuing benefits via EBT, retrieve actual food outlays from the EBT system
- Subtract any vendor or participant collections, other credits, and program income needed to fund food outlays for the month
- Add any food expenditures for breast pump costs to the outlays
- Retrieve the total value of rebates billed from the Rebate data store and subtract the rebates billed from actual outlays to arrive at the net federal outlays for each issue month

### **Outputs:**

Screen display or report of Federal Food Obligations and Outlays

Screen display or report of Federal Food Obligations and Outlays  
Compared to the Budget

### 3.6.2.3 Perform Financial Modeling

*The State agency must manage its WIC grant to spend as close to 100 percent as possible. If the State agency overspends, there are no federal funds to cover the overage (although some States do have State funds for such situations). The State agency may use back spent funds, but this diminishes funds the State agency will have in the future year. Alternatively, if the State agency under spends by more than three percent, its future grants could be permanently reduced. There are many variables that impact spending such as changes in food costs, changes in rebates, participation fluctuations, inflation, local agency capacity, unexpected increases or decreases in the federal grant and changes in the economic conditions of the WIC target population.*

The system should provide information to the State agency manager that assists in monitoring past, current and future costs.

If the previous function is implemented, the system already calculates obligations for the current month of issue and prior months based on food instruments or food benefits issued. However, the system should also support the State agency's preparation of food expenditure obligations for future months that do not yet have issuance data for its budget and for federal reporting purposes. In order to estimate obligations for upcoming months, information is needed on projected participation and projected food costs. Initially, the system should obtain expected participation from the federally projected participation estimate in the caseload management function. The system can refine this participation estimate as the financial modeling progresses.

#### **Inputs:**

For "what if" financial modeling, various parameters can be input to see the impact of the parameter on the projected outcome. These parameters include:

Food Inflation Factor

Food Package Cost Estimate

Participation Estimate

Other Factors as Appropriate (Inputs will vary for each model)

#### **Process:**

- Use projected participation and food cost data to estimate future months obligations
- Calculate an estimate of future expenditures under various scenarios using different food cost and/or participation variables

- Store future obligations by month in the Future Months Obligation data store

### Outputs:

Screen display or report of Estimated Future Obligations and Expenditures

#### Implementation Approaches

- ▶ To project food costs, the State agency can use actual food cost data for EBT, or historical redemption data from food instruments redeemed for paper food instrument systems. The system can estimate a food package cost by compiling average prices for each food in the food package or food instrument types. The system can estimate the average food package cost for each participant category and for the food instruments in the participant's package. The system should use the pre-rebate food cost for its projections as the estimated rebate is deducted at a later point to arrive at net obligations. It is important that the State agency include in its projections an appropriate inflation factor (if it differs from the Federal inflation factor estimate) as well as any future changes that may impact food costs such as an increase or decrease in rebates or food cost containment plans.
- ▶ Once the projected participation and food cost data are gathered, the system can then estimate obligations using several options for food costs:
  - The number of expected participants multiplied by the average food cost per participant.
  - The number of expected participants in each category (e.g., pregnant women, infants, etc.) multiplied by the corresponding category's average food package cost.
  - The number of expected redemptions by food or food instrument type multiplied by the average value per food or food instrument type.

This future monthly food obligation is then used for budget planning and federal reporting. If the State agency finds it will exceed its food budget, it can employ more stringent cost containment measures or plan gradual reductions of caseload to stay within its budget. Conversely, if the State agency finds it will under-spend, it can take steps to increase caseload. Once the State agency has determined a participation level it can support within the available funds, this becomes the State caseload estimate used in the Caseload Management function to do caseload allocations to local agencies.

► When a State agency is in an over or under spending situation, it is also helpful to prepare several “what-if” scenarios. The system should accept different variables for food package costs, participation trends, inflation projections and other variables to estimate future expenditures. In addition, it is important for the State agency to compare its final participation estimate with the FNS funding formula participation projections. If the State agency's participation estimates exceed the FNS estimate due to food cost savings achieved through cost containment initiatives, the State agency may elect to fund additional NSA costs associated with the additional participants through the conversion of food funds to NSA funds. The system should support the analysis required to make this decision and project the impact on food and NSA expenditures. Such financial modeling will assist the State agency in evaluating whether adjustments are needed in caseload allocations or food package cost containment strategies.

#### **3.6.2.4 Manage Cash Flow**

The system should enable the State agency to view the effect of actual NSA and food expenditures on the agency's cash position at any given time. This function is intended to provide the State agency with information on cash flows and balances. The system should record all cash inflows (grants, rebates, recoveries, etc.) as well as cash outflows (food vendor payments, NSA payments for costs, etc.). The State agency must anticipate cash needs to ensure proper cash draws are made against the Federal grant. If the State draws too much cash, it may be liable for interest costs to the Federal government, as required under the Cash Management Improvement Act (CMIA). When the fiscal year financial activity is closed out and reconciled, cash drawn from the Federal WIC grants must reconcile to the State agency's reported expenditures.

##### **Inputs:**

Cash Flow As Of Date  
Cash Flow Current Food Available  
Cash Flow Current Expenditures  
Cash Flow Previous Balance  
Grant Type Code

##### **Process:**

- Calculate the total cash inflows by adding Federal grants, State grants, manufacturer rebates, program income and vendor/participant collections from the Grants data store
- Calculate total cash outflows by adding vendor payments and NSA expenditures from the Outlays and NSA Expenditure data stores



- Calculate the current cash balances for NSA and food funds by adding total cash inflows to the previous cash balance for each and subtracting the total cash outflows

**Outputs:**

Screen display and hard copy Report of Cash Flows

**Implementation Approaches**

- ▶ The system should provide advance warning of potential problems with significant cash shortfalls or excesses so that the State agency may take appropriate action.
- ▶ The system should have the functionality to perform an ad hoc cash flow projection (quarterly and annual) of the financial status of a State agency WIC program. This can be critical in identifying funding shortfalls months before they occur thereby affording the State agency sufficient time to initiate corrective actions.

### 3.6.3 Process Manufacturer Rebates

As part of cost containment measures, most State agencies must contract with manufacturers to obtain rebates in return for the State's exclusive use of the manufacturer's product in the WIC Program (e.g., infant formula). Manufacturers agree to rebate a specific dollar amount per unit purchased through the WIC Program. The largest sum of rebates are collected from infant formula manufacturers, however some State agencies also collect rebates from manufacturers of other food products such as infant cereal, infant juice, and other juice.

Rebates are important because they can significantly reduce the food package cost and allow more participants to be served with Federal grant funds. However, rebates do require a considerable amount of planning and monitoring to ensure integrity in the invoicing and collection process.

For paper food instrument systems, one of the difficulties in assessing infant formula rebates is that State agency systems do not have access to the exact type and quantity of infant formula actually purchased by the participant because participants do not always purchase the entire quantity of units indicated on the food instrument and this information is not collected at the point of sale. Therefore, the system needs to adjust the number of units prescribed on food instruments based on the actual redeemed value of the infant formula food instruments when preparing infant formula rebate invoices.

Although infant formula rebates are generally the most prevalent type of rebate, some State agencies have negotiated rebates on other food items.

Thus, the system should be flexible enough to handle rebate calculations for items other than infant formula.

### **3.6.3.1 Estimate Total Annual Rebates**

*The expected rebate amount for infant formula is based on several factors: expected infant participation, number of units per infant, percentage of infants that do not receive infant formula, historical percentage breakdown of infant formula sold by product type and form, and rebate rate per product type and form.*

The system should support this function by allowing State agencies to maintain data on rebate manufacturers and to prepare an estimate of the rebate amount expected for each month of the coming year. This provides a rebate estimate for Federal reporting and expenditure management. This is especially important if the State agency expects a change in its rebates during the year. The data are also useful for preparing and evaluating rebate proposals.

To accurately assess the rebates for infant formula, the system must decrease the expected number of infants by the number of those infants that will receive non-contract infant formula or are exclusively breastfed.

#### **Inputs:**

Rebate Estimate Federal Fiscal Year

Rebate Estimate Number of Participants to Receive Type/Form

Rebate Estimate Product Type/Form Code

Rebate Estimate Product Type/Form Rate

Rebate Estimate Quantity of Product Type/Form per Participant per Time Period

Rebate Estimate Rate for Contract 1

Rebate Estimate Rate for Contract 2

Rebate Manufacturer Address- City

Rebate Manufacturer Address- State

Rebate Manufacturer Address- Street

Rebate Manufacturer Address- Zip Code

Rebate Manufacturer Contact Name

Rebate Manufacturer Contact Telephone Number

Rebate Manufacturer Contract End Date

Rebate Manufacturer Contract Number  
Rebate Manufacturer Contract Start Date  
Rebate Manufacturer Email Address  
Rebate Manufacturer Identification Number  
Rebate Manufacturer Name

**Process:**

- Capture information about Rebate manufacturer
- Calculate the number of infants estimated to receive each type and form of infant formula (estimated infant participation less the number of infants receiving non-contract and exempt infant formula and fully breastfed)
- Calculate the total number of units expected to be purchased by multiplying the estimated number of infants times an estimated number of units per infant by type and form of infant formula
- Calculate the estimated total rebate by multiplying the rebate for each type and form of infant formula by the estimated number of units for each infant formula by type and form
- Calculate the total estimated rebate amount from the sum of the rebates for all of the individual infant formula types and form and store in the Rebate data store

**Outputs:**

Screen display or report on Projected Total Rebate for Each Formula Type and Form

**3.6.3.2 Calculate Rebate and Prepare Invoice**

The system should use redemption data to determine the number of units of a rebated item redeemed and multiply the number of units by the rebate amount. The system should use this information, as well as issue date information<sup>49</sup>, to generate an itemized invoice that provides supporting detail on the rebate calculations. Once reviewed by the State agency, the invoice should be sent to the manufacturer for payment. The State agency should have a method to track the invoice in the system.

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<sup>49</sup> It is important to report rebate payments by the month of issue of the food benefit rather than the month of redemption. Contract effective and termination dates are linked to the issue date. Price increase and decrease clauses in contracts are also based on the issue date, therefore, it is possible to have two rebate levels in effect for a given redemption month

**Inputs:**

Rebate Actual Average Price  
Rebate Actual End Date  
Rebate Actual Product Type/Form Code  
Rebate Actual Product Type/Form Rate  
Rebate Actual Redeemed Quantity  
Rebate Actual Sale Identification Number  
Rebate Actual Start Date  
Rebate Invoice Bill Amount  
Rebate Invoice Identification Number  
Rebate Invoice Total Items Purchased Quantity  
Rebate Manufacturer Identification Number

**Process:**

- For systems that issue benefits via EBT, retrieve the food item transaction data for infant formula from the rebate data store and multiply the number of units purchased by the rebate rate for each type/form
- For systems that issue benefits via paper, retrieve redemption data and calculate number of units of each type and form of the rebated items that were redeemed using vendor peer group or shelf prices. The system must estimate the actual number of units of redeemed infant formula, taking into account the number of full versus partial infant formula packages, to ensure that the invoice for rebates is as close as possible to the actual number of units purchased
- Calculate the rebate for each product form and type by multiplying the rebate rate by the number of units of each type form purchased
- Prepare rebate invoice for the manufacturer and/or create electronic file with invoice data for submission to rebate manufacturer

**Outputs:**

Screen display of number of units redeemed during the rebate period  
Screen display and hard copy report on Rebate Amount for Each Product Type and Form  
Electronic file of invoice data

## Rebate Bill for Infant Formula Manufacturer

### Implementation Approaches

- ▶ In the paper environment, one method that the system might use to calculate an estimate of the number of units purchased is to divide the total value of all food instruments that include the rebated item redeemed by the average price of a unit of infant formula (as calculated from prices obtained from vendor price data on infant formula). If the estimated number of units purchased from this calculation is less than the quantity of units issued on the redeemed food instruments, the system should use the estimated number of units purchased to compute the rebate amount. To perform this computation, it is necessary to isolate the rebated item from all other types of food on the food instruments so that the redemption value is not distorted by the purchase of other food items, such as juice and cereal.
- ▶ Another method to estimate the actual number of units purchased in the paper environment is for the system to prepare an exception report which lists all food instruments with the rebated item that have a redemption value which is significantly less than what that food instrument type normally costs. After identifying food instruments with low redemption values, the system should divide these food instruments redemption values in a manner similar to the method above to determine an estimate of the number of units of the rebated item that were purchased.
- ▶ For systems issuing benefits via EBT, transaction data provides the number of units by brand, type, and form of each rebated item purchased. The number of units purchased is multiplied by the rebate for that rebated item type and form to determine the rebate amount to be invoiced.
- ▶ While most State agencies must contract with infant formula manufacturers for rebates, there are some exceptions. A common exception is for very small ITO State agencies that are not required to have a sole-source contract. These State agencies may instead have an open market contract that permits all manufacturers to pay a rebate (usually a much smaller rebate than in single-source contracts). It is possible that a State agency could use the open market system for other WIC foods. In an open market contract, the system should calculate the rebate amount due based on the total number of each type of infant formula purchased (as indicated by the total number of cans prescribed on redeemed food instruments) multiplied by the participating manufacturer's annual share of the infant formula market, multiplied by the rebate amount per can.

### 3.6.3.3 Monitor Rebate Collections

The system should track the invoicing and collection of manufacturer rebates. The system should record the actual invoice dates and amounts when they are generated by the system. The system should accommodate increases or decreases to the original rebate invoice amount that might arise due to subsequent adjustments.

**Inputs:**

Rebate Invoice Adjustment Reason Code

Rebate Invoice Amount Adjusted

Rebate Invoice Amount Collected

Rebate Invoice Bill Amount

Rebate Invoice Identification Number

**Process:**

- As rebate payments are received, enter the amount collected
- Enter any adjustments made and the reason code and update Rebate data store

**Outputs:**

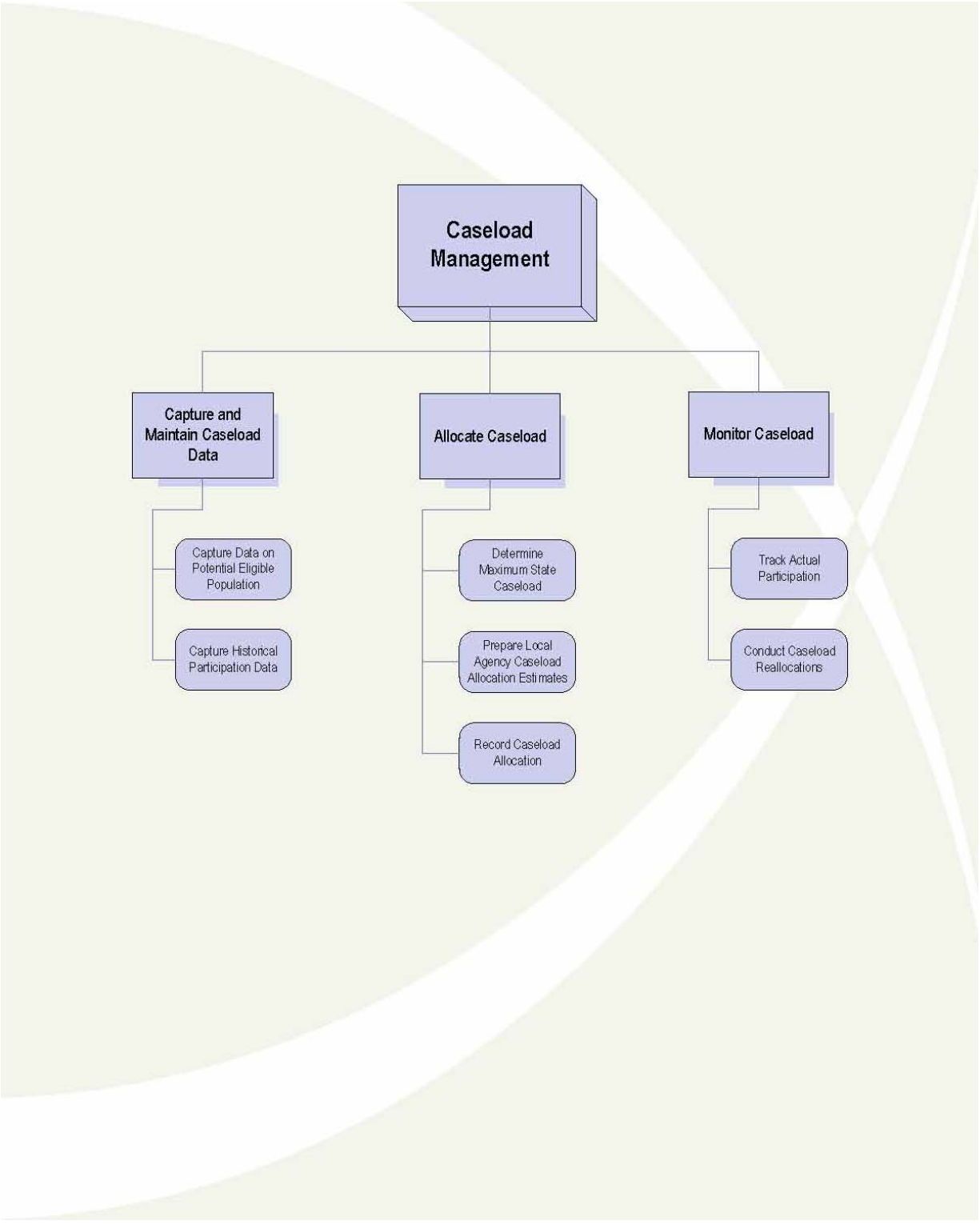
Screen display and report of Rebate Status

## 3.7 Caseload Management

The Caseload Management functional area is intended to support the tracking and analysis of caseload allocations and actual participation in the WIC Program. It collects and stores information on caseload allocations to local agencies, monitors actual participation against assigned caseloads, and conducts caseload reallocations. Caseload management functions can be part of the WIC IS, another State financial system, or a spreadsheet application.

Caseload Management is comprised of the following functions:

- Capture and Maintain Caseload Data
  - Capture Data on Potentially Eligible Population
  - Capture Historical Participation Data
- Allocate Caseload
  - Determine Maximum State Caseload
  - Prepare Local Agency Caseload Allocation Estimates
  - Record Caseload Allocations
- Monitor Caseload
  - Track Actual Participation
  - Conduct Caseload Reallocations



*Exhibit 3-7: Functional Decomposition Diagram – Caseload Management*



### 3.7.1 Capture and Maintain Caseload Data

In order to perform caseload allocations, the State agency needs State and local agency data on the potentially eligible population and historical participation. Under this function, the State agency determines the total number of caseload slots it can allocate to local agencies based on projected participation and expenditure data.

In some State agency systems, caseload allocation and assignment is maintained as part of the WIC IS. In other State agency systems, caseload allocation and assignment is maintained elsewhere but depends on the WIC IS for providing the data necessary to conduct the caseload allocation analysis. For example, data captured through the system may be extracted and exported into a PC-based spreadsheet application. The functionality described below for obtaining data required for caseload allocation analysis may occur in the WIC IS or an alternative system.

#### 3.7.1.1 Capture Data on Potentially Eligible Population

*FNS annually provides the State agency with its Federal food grant level and an estimate of the potentially income eligible infant and children population in the State. The State agency can use this data, along with data available from State data sources (e.g., the number of persons served by Medicaid, the Food Stamp Program, TANF, etc.), to estimate the number of persons that may apply for WIC in the State and its local agency service areas. The State agency needs to consider the impact of the Commodity Supplemental Food Program (CSFP) on its potentially eligible population in areas where both WIC and CSFP operate.*

*FNS also provides an estimate of the State agency's federally projected average monthly participation for the fiscal year based on the State agency's actual closed-out food package costs for April through March of the prior fiscal year adjusted for inflation. This participation estimate provides a benchmark for the State agency to use in its caseload estimates. In addition, if the State agency estimates that it can serve more participants than its federally projected average monthly participation, the State agency may submit a plan to convert food grant funds to NSA grant funds to cover the additional cost of serving more participants.*

The system should capture data on the potentially eligible WIC population.

#### **Inputs:**

Caseload- Local Agency Potentially Eligible Population

Caseload- State Agency Federal Participation Estimate

Caseload- State Agency FNS Potentially Eligible Population  
Caseload- State Agency State Potentially Eligible Population

**Process:**

- Add, update, or delete potentially eligible population data
- Update the Caseload - State Agency and Caseload - Local Agency data stores

**Outputs:**

Screen display or report of potentially eligible population data

**Implementation Approaches**

- ▶ The system could collect information from other programs to determine a potentially eligible population in a State or local agency service area.
- ▶ The system could use data, such as historical certification, enrollment, participation, and food instrument redemption rates, to determine what percentage of the potentially eligible population to use for caseload estimates.

**3.7.1.2 Capture Historical Participation Data**

*To prepare for allocations to local agencies, the State agency must consider historical participation data that may influence caseload allocations. These data may include each local agency's prior year caseload allocations, actual participation levels by participant category (pregnant, breastfeeding, postpartum, infant and child), priority levels served, applicants on waiting lists, and migrant participants.*

The system should have a way to capture historical caseload information to use in making caseload allocations/projections.

**Inputs:**

Participant Category Code  
Participant Priority Level Code  
Participant Residential Status Code  
Participant Status Code  
Participation Actual  
Participation Month  
Participation Projected

**Process:**

- Retrieve participation data for each local agency from the Caseload- Local Agency and Participation data stores
- Update the Caseload- Local Agency data store

**Outputs:**

Screen or report of local agency historical participation profile

**Implementation Approaches**

- ▶ The system could use a variety of data, such as Prior Year Caseload level, Participation by Participant Category, Waiting List Applicants, Participation by Priority Level, and Local Agency Migrant Participation, to calculate caseload estimates.

### 3.7.2 Allocate Caseload

The State agency must now assign the caseload levels based on greatest population need and the extent to which the local agency has reached the potential eligible population in its service area. The State agency may also want to consider the ability of the local agency to serve a particular caseload level given its current or anticipated staffing level and clinic capacity. Additionally, the State agency must ensure that enough caseload is allocated to expend at least 97 percent of its food funds without overspending its food grant.

During the year, the State agency may need to recalculate its caseload allocations and increase or decrease the caseload assignments of its local agencies in response to a variety of circumstances, such as unexpected increases in food costs or receipt of additional Federal food funds through periodic reallocations. The WIC IS should alert the State agency if it appears that significant underspending or overspending may occur, so the State agency may take appropriate actions to address the situation.

#### 3.7.2.1 Determine Maximum State Caseload

The system should calculate the maximum number of participants the State agency can serve on a monthly basis.

**Inputs:**

- Caseload- State Agency Caseload Achievement Rate
- Caseload- State Agency Caseload Growth or Reduction Rate
- Caseload- State Agency Month

## Caseload- State Agency Total Monthly Caseload

### Process:

- Adjust monthly State agency caseload with any caseload achievement rate factor
- Adjust monthly caseload to allow for participation levels fluctuations and/or targeted growth or reduction rates
- Store maximum State agency caseload level by month in Caseload-State Agency data store

### Outputs:

Screen showing monthly state caseload target

#### Implementation Approaches

- ▶ Local agencies often do not serve the full caseload allocation, so the State agency may wish to use a caseload achievement rate adjustment to inflate caseload slots allocated. For instance, if local agencies have reached a historical average of 95 percent of their caseload allocation, the State agency may wish to inflate the caseload allocation by a 5 percent caseload achievement rate adjustment to ensure that local agencies reach 100 percent of the caseload allocation.
- ▶ If the State agency expects fluctuations in month-to-month participation (e.g., due to serving migrant participants) or anticipates it will need to increase or decrease from its current participation level to fully use its food grant, the system could factor this into the monthly allocations. The system could then store the monthly State agency caseload for each month in the Federal fiscal year.
- ▶ The State agency could use the system to compare its caseload estimate with its federally projected average monthly participation.

### 3.7.2.2 Prepare Local Agency Caseload Allocation Estimates

*After its maximum monthly caseload level is determined, the State agency typically allocates the caseload among its local agencies so that they know how many participants they can serve each month. Local agency caseload allocations are typically determined by the State agency on the basis of a variety data, including current and historical participation, categorical participation, no-show rates, food instrument redemption rates, caseload target rates, historical and projected migrant participation, CSFP participation in the WIC service area, and the number of persons on waiting lists.*

*It should be noted that some State agencies choose to perform centralized caseload management without assigning specific caseload allocations to the local agencies. In these systems, local agencies generally are allowed to serve as many participants as they can support.*

*Participants may be accepted at all priority levels. The State agency monitors the total caseload and issues statewide directives to either increase outreach or stop accepting new cases according to the availability of funds. To operate the WIC Program in this manner, it is important for the State agency to have accurate and timely participation and expenditure data and to know, with relative precision, the lead times needed to achieve an increase or decrease in total caseload.*

*It is possible to automate the process by which the State agency determines its caseload allocations for each local agency by devising an allocation formula that accounts for all the factors in this process. Each State agency usually has a unique method of determining caseload allocations. Consideration is usually given to factors such as current local agency caseload allocation, percentage of assigned caseload served, historical participation trends, number of eligible participants in the local agency service area, coverage of potential eligibles, local agency participant growth rate, participant-to-staff ratios, current waiting list by category and priority, severity of health risk among the local agency's target population, and local agency staffing levels and clinic capacity.*

The system should automatically calculate local agency caseload allocations based on a formula that establishes the relationship between a set of factors determined by the State agency. If the system automatically allocates and assigns caseload to local agencies, it must be possible to manually override and update the formula and the caseload assignments to accommodate factors that may not be accounted for when the formula was initially built into the system.

Since Federal grant reallocations can occur at any time during the year, the system must permit updating of data for calculating caseload allocations upon request. The system should also have the flexibility to make adjustments that are required because of differences between the State and Federal fiscal years. The total sum of all local agency caseload allocations should not exceed the maximum caseload allocation for the State.

**Inputs:**

Caseload- Local Agency Caseload Achievement Rate

Caseload- Local Agency Caseload Growth or Reduction Rate

Caseload- Local Agency Monthly Caseload Assignment

Caseload- Local Agency Prior Year Caseload Level

Caseload- Local Agency Total Actual Local Agency Monthly Participation

Caseload- State Agency Total Monthly Caseload

Other Caseload Allocation Parameters to use "what if" capability

**Process:**

- Retrieve data from the Caseload- State Agency and Caseload- Local Agency data stores
- Assign caseload to local agencies according to the State caseload allocation formula
- Provide “what if” analysis capability to demonstrate the impact on caseload allocation by changing the formula and/or data used for calculating State and local caseload allocations

**Outputs:**

Screen display or report showing proposed caseload allocation by local agency

**3.7.2.3 Record Caseload Allocations**

*The division of the caseload allocation process into two steps, analysis and approval, provides State agencies with the flexibility to determine whether it is appropriate to modify caseload assignments on the basis of changes suggested by the system model. State agencies should make this decision before such changes are officially stored or announced to local agencies.*

After receiving State agency approval, the system should store the caseload allocation data either as recommended by the system or as manually entered by the State agency. This information will be used for notifying the local agencies of their individual allocations and tracking assigned caseload against actual participation.

**Inputs:**

Caseload- Local Agency Month  
Caseload- Local Agency Monthly Caseload Assignment  
Clinic Identification Number  
Local Agency Identification Number

**Process:**

- Collect and store local agency caseload allocation in Caseload- Local Agency data store
- Compare sum of local agency caseload allocations to maximum state allocation

- Update Caseload–Local Agency data store with monthly caseload assignment

**Outputs:**

Screen or report of caseload by local agency

Notification to each local agency of their allocated caseload

### 3.7.3 Monitor Caseload

After the caseload has been allocated, it is important to track actual participation levels against the assigned caseload levels so that the State or local agency can make adjustments in response to various changes or trends observed over the course of the year. The need for adjustments to assigned caseload levels may be due to local agency performance or to external trends that influence State expenditure patterns.

#### 3.7.3.1 Track Actual Participation

*This function addresses current enrollment (i.e., the number of persons authorized to receive benefits) and participation (i.e., the number of persons that actually received benefits) for the specified time period. Some State agencies use a calendar-month certification and food benefit issuance system,, while others use a rolling-month system, which assigns a rolling-month cycle (e.g., the 12<sup>th</sup> of one month to the 11<sup>th</sup> of the next month) to participants based on the day of the month that they are certified. The State agency WIC IS must count actual participation in a way that ensures that participants are only counted once during the report period.*

The system should retrieve assigned caseload data and compare it to actual participation data on a month-by-month and annual basis, in accordance with regulations.

**Inputs:**

Caseload- Local Agency Caseload Achievement Rate

Caseload- Local Agency Caseload Growth or Reduction Rate

Caseload- Local Agency Total Actual Local Agency Monthly Participation

Food Instrument Valid Start Date

Food Instrument Identification Number

Participant Certification Start Date

Participant Certification End Date

## Participant Identification Number

### Process:

The following analyses may be made for each local agency.

- Calculate caseload achievement rate and current rate of change (from previous months) in caseload achievement rate
- Store in Caseload- Local Agency data store
- Update Participation data store

### Outputs:

Screen display or report on local agency caseload utilization

#### Implementation Approaches

- ▶ The system must track participation by tracking food benefits issued to participants. For breastfed infants or breastfeeding mothers who receive no supplemental foods or food instruments, the system could produce a non-negotiable food instrument to trigger the participation count function.
- ▶ Regardless of whether the State agency uses a calendar-month or rolling-month certification and food benefit issuance cycle, the system must only count an individual participant once in the participation count for the report month.
- ▶ For State agencies using a rolling-month issuance cycle, the system would have to include date parameters that allow the State agency to track and report participation in accordance with Federal regulations, which require the State agency to report participation and expenditure data by calendar month for the Federal fiscal year.
- ▶ The system could notify the State agency if local agencies are above or below their average monthly caseload assignment by a certain percentage. When a local agency has reached its maximum caseload level, the system could automatically warn the agency against accepting additional applications. Alternatively, when a local agency is significantly below its caseload assignment, the State agency can consider reallocating a portion of its caseload to another local agency that needs additional caseload.
- ▶ The system also could provide information on key trends that may impact a State agency's decision to perform caseload reallocations among local agencies. Such data may include an increase or decrease in no-show or food instrument redemption rates, exceeding target participation for particular participant categories, trends in breastfeeding rates, or trends in certification expirations.

### 3.7.3.2 Conduct Caseload Reallocations

*The State agency needs to carefully monitor both State and local agency participation and expenditure trends throughout the year to ensure it does*



*not overspend or significantly underspend its food funds. If some local agencies are under or over performing, a reallocation of caseload may be warranted. Similarly, the State agency may need to adjust its caseload allocations due to funding and expenditure trends. Expenditures could be impacted by funding increases or decreases, infant formula rebate changes, significant changes in food prices, a decision to convert food funds to NSA funds, or shifts in the number of applicants in the various priority categories<sup>50</sup>.*

The system should support the reallocation of caseload as necessary.

**Inputs:**

Caseload- Local Agency Month

Caseload- Local Agency Monthly Caseload Assignment

Clinic Identification Number

Local Agency Identification Number

Participation Actual

Participation Month

**Process:**

- Monitor participation, food package costs, and expenditure data for significant changes from the original data used to allocate caseload
- If significant changes occur, input the necessary updated data and recalculate caseload allocations
- Collect and store local agency caseload allocation in Caseload-Local Agency data store
- Compare sum of local agency caseload allocations to the State agency total caseload allocation
- Update Caseload–Local Agency data store with monthly caseload assignment

**Outputs:**

Screen display or report with updated caseload allocations

**Implementation Approaches**

- ▶ The system could use the participant priority system to manage caseload.

<sup>50</sup> Some State agencies recommend that budgeting and caseload reallocation be done by a financial management system instead of the WIC IS because of the many external variables that impact caseload management decisions.

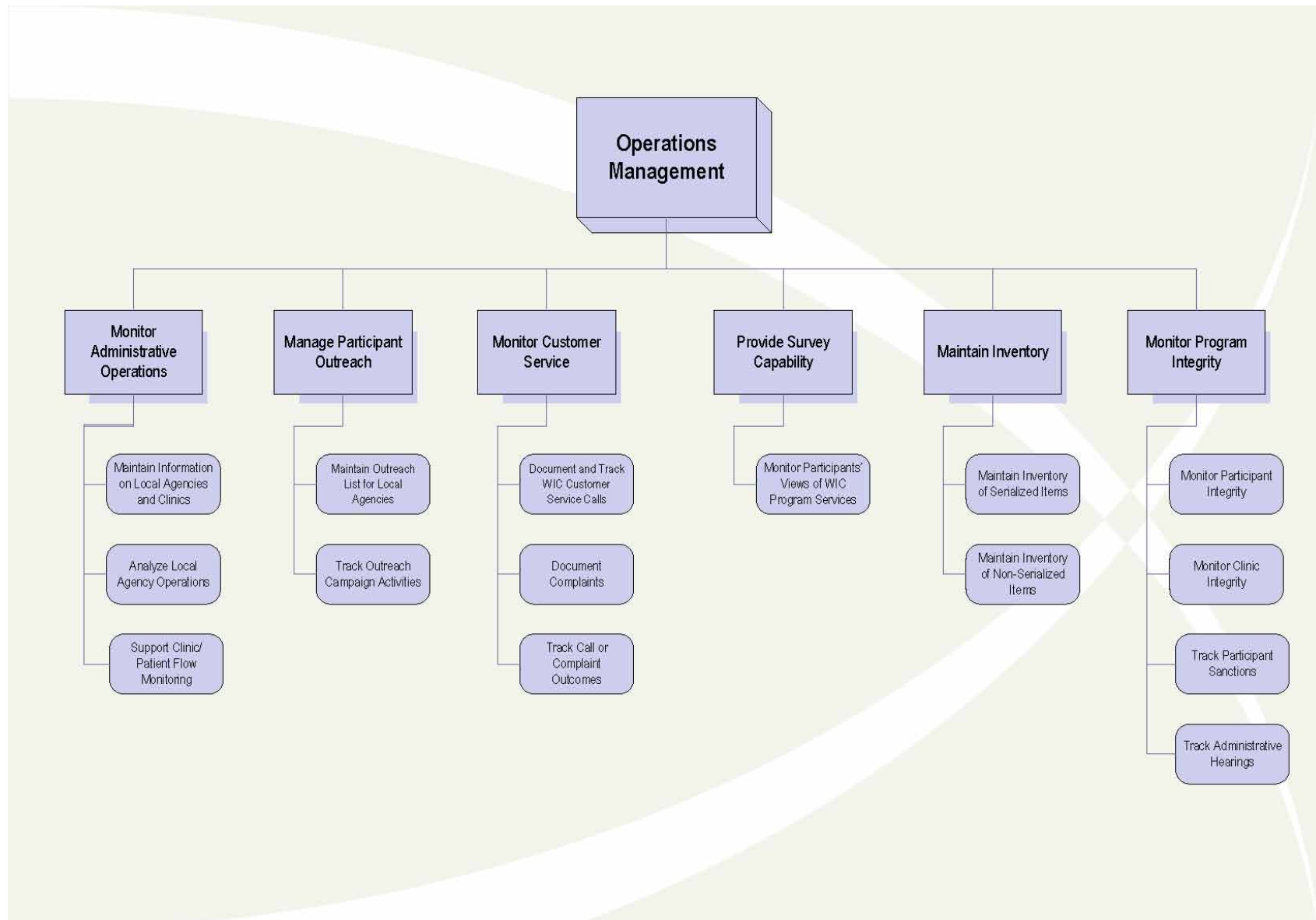
## 3.8 Operations Management

The Operations Management functional area is intended to provide general support to WIC local agencies and clinics for a variety of activities and provides program management support for the State agency. It automates administrative tasks and reports such as inventory control for serialized and non-serialized items. It captures contact information and statistics for local agencies and clinics for use in conducting outreach activities. It also provides customer service support and tracks WIC participant satisfaction with program services. Finally, it provides data to help the State assess participant and local agency integrity.

The functions described in this section could be performed by the WIC IS or by one or more non-WIC systems. In fact, in some cases, it may be more efficient and cost effective for the function to be performed outside of the WIC IS. In addition, adoption of some of the automated functions in this section may not be cost-effective for small State agencies.

- Monitor Administrative Operations
  - Maintain Information on Local Agencies and Clinics
  - Analyze Local Agency Operations
  - Support Clinic/Patient Flow Monitoring
- Manage Participant Outreach
  - Maintain Outreach List for Local Agencies
  - Track Outreach Campaign Activities
- Monitor Customer Service
  - Document and Track WIC Customer Service Calls
  - Document Complaints
  - Track Call or Complaint Outcomes
- Provide Survey Capability
  - Monitor Participants' Views of WIC Program Services
- Maintain Inventory
  - Maintain Inventory of Serialized Items
  - Maintain Inventory of Non-Serialized Items
- Monitor Program Integrity

- Monitor Participant Integrity
- Monitor Clinic Integrity
- Track Participant Sanctions
- Track Administrative Hearings



*Exhibit 3-8: Functional Decomposition Diagram – Operations Management*

### **3.8.1 Monitor Administrative Operations**

Periodically, State agencies assess the flow of operations at local agencies and clinics. The system should provide information to help administrators assess operations. This information could include the total number of education classes given, number of participants certified, and the number of benefits issued during each month. The State and local agency can compare this data to statistical information such as staffing levels and positions, participant-to-staff ratios, nutritionist-to-staff ratios, participants per square foot of space, and cost per participant figures. This information is helpful for improving participant service and clinic flow, and making funds allocation decisions based on local agency infrastructure and capability.

#### **3.8.1.1 Maintain Information on Local Agencies and Clinics**

The system should maintain basic data on each local agency.

##### **Inputs:**

- Local Agency
- Local Agency Address- County
- Local Agency Address- City
- Local Agency Address- State
- Local Agency Address- Street
- Local Agency Address- Zip Code
- Local Agency Contact Name
- Local Agency Contact Title
- Local Agency Email Address
- Local Agency Facsimile Number
- Local Agency Identification Number
- Local Agency Name
- Local Agency NSA Cost per Participant
- Local Agency Number of Certifying Staff
- Local Agency Number of Clerks
- Local Agency Number of Clinics
- Local Agency Number of Nutritionists
- Local Agency Number of Other Staff

Local Agency Participants per Square Foot

Local Agency Regional Identifier

Local Agency Space

Local Agency Staff to Participant Ratio

Local Agency Telephone Number

Clinic

Clinic Address- City

Clinic Address- County

Clinic Address- State

Clinic Address- Street

Clinic Address- Zip Code

Clinic Contact Name

Clinic Contact Title

Clinic Email Address

Clinic Facsimile Number

Clinic Identification Number

Clinic NSA Cost per Participant

Clinic Number of Certifying Staff

Clinic Number of Clerks

Clinic Number of Nutritionists

Clinic Number of Other Staff

Clinic Participants per Square Foot

Clinic Regional Identifier

Clinic Space

Clinic Staff to Participant Ratio

Clinic Status Code

Clinic Telephone Number

Local Agency Identification Number

**Process:**

- Input data on local agencies and clinics and store in Local Agency and Clinic data stores

- Save local agency and clinic data

**Outputs:**

Screen display or report on local agency/clinic profile data

**Implementation Approaches**

- ▶ Where a local agency operates several clinics, the State agency may wish to further break out the data by clinic. The system could use this data for mailing lists, productivity reporting, infrastructure assessment, and clinic efficiency.

**3.8.1.2 Analyze Local Agency Operations**

*In order to effectively manage local agency participant service, the State agency may wish to assess local agency and clinic staffing and facility resources. This information is useful for NSA funds allocation decisions, outreach campaigns and local agency/clinic reviews.*

The system should support the analysis of each local agency/clinic for factors such as the participants served, local agency/clinic space, appointment characteristics (e.g., no show rates and trends), and number of staff by type (e.g., certifying staff, clerks, nutritionists, other, bilingual).

**Inputs:**

Clinic Identification Number

Local Agency Identification Number

The actual data used in the assessment will vary based on the analyses performed. See Implementation Approaches for examples.

**Process:**

- Retrieve information on local agency and clinics from the Local Agency and Clinic data stores
- Retrieve data from other applicable data stores (e.g., number of participants served from the Participation data store, “no show” data from the Scheduled Appointment data store)
- Calculate applicable factors
- Prepare analysis report by local agency/clinic of participant to staff type and square foot of space

**Outputs:**

Screen display or report of local agency/clinic statistics

Updated data stores for factors being analyzed

#### Implementation Approaches

- ▶ The system could assess factors such as such as no show rate, participants per square foot, staff to participant ratio, or cost per participant.

### 3.8.1.3 Support Clinic/Patient Flow Monitoring

*Local agency/clinic administrators have to balance providing quality service with limited resources. Ideally, quantitative data could be used to make decisions to improve local agency/clinic operations. Administrative staff members may wish to use clinic and participant flow data to identify problems in clinic flow, determine staffing and space needs, or track clinic costs per participant visit. Using quantitative flow data may result in reduced waiting time in the clinic, more equitable distribution of staff workload, ability to serve more caseload, improvement in the quality of services provided, or reduced operating costs.*

The system should support the collection and analysis of patient and clinic flow data.

#### Inputs:

Clinic Identification Number

Local Agency Identification Number

Participant Identification Number

Additional inputs will vary depending on the type of clinic analyses conducted. See Implementation Approaches for examples.

#### Process:

- Retrieve data for the specific type of analysis being performed
- Calculate appropriate values for the type of analysis being performed
- Compare values to Statewide standards, if applicable

#### Outputs:

Screen display or report of clinic flow data

Graphical report of clinic flow data



### Implementation Approaches

- ▶ The system could provide timing data based on defined system functions. For example, the system could accept a “check in” data element to begin the appointment. Based on the appointment type, certain functions (anthropometric data entered, nutrition risks assigned, nutrition education topics recorded, food benefits prescribed, or food benefits issued) are expected to take place. Using screen access and saves (or another approach depending on design), the system could document times for activities and use that data to determine how much time was spent on each activity or waiting.
- ▶ The system could track flow through various data elements that would need to be included in the system. Inputs may include: check-in/check-out time, user activity in the record, number of people attending appointment, number of people being served by WIC at the appointment, or scheduled appointment time.
- ▶ Because each staff member logs in to the system using a unique username, staff productivity could be measured using a clinic analysis function. This may include the number of participants served during a period of time or the time spent on a certain activity, if applicable.
- ▶ If a State agency uses a patient flow analysis (PFA) tool, such as the CDC patient flow analysis software, the State agency could use data from the system to populate the PFA tool.
- ▶ The State could identify certain quality standards for clinic operations, such as an average range of the amount of time spent on a certification appointment for each participant category or maximum waiting time in the clinic. These standards could be loaded into the system and compared against individual clinic results.

### 3.8.2 Manage Participant Outreach

The State agency may ask local agencies to increase their caseloads to take advantage of an increased budget or to reach a particular type of participant group (such as migrants or pregnant women). Therefore, the system should maintain contact lists of organizations and individuals such as church groups or physicians that are in regular contact with families that may qualify for the WIC Program, as well as for health or social service organizations that serve individuals who might be WIC candidates. Additionally, outreach campaigns are often quite expensive, so the system might provide information to the State agency that assesses the cost benefit of particular campaigns.

As a part of ongoing operations, aggregate referrals to other health and social services organizations should be tracked. Since a part of WIC’s mission is to increase participant access to health care and other services, it is important to have access to data on referral activity.

### **3.8.2.1 Maintain Outreach List for Local Agencies**

The system should support this function by allowing the State agency or local agency to enter and update the information for organizations that may serve potential WIC participants. The system should also record the last time each outreach organization record was updated to help local agencies keep the contact information as current as possible.

#### **Inputs:**

Outreach Address- City  
Outreach Address- State  
Outreach Address- Street  
Outreach Address- Zip Code  
Outreach Contact Name  
Outreach Contact Title  
Outreach Email Address  
Outreach Facsimile Number  
Outreach Identification Number  
Outreach Organization Name  
Outreach Telephone Number

#### **Process:**

- Add, update or delete outreach organizations
- Store in Outreach data store

#### **Outputs:**

Screen display or report of outreach organizations

### **3.8.2.2 Track Outreach Campaign Activities**

*If a targeted outreach campaign is initiated at some expense (such as television or radio advertisements) the local agency should evaluate the success of the campaign and its cost benefit.*

*After the campaign has concluded, the State and local agency could review the data on additional participants attracted by the campaign and approximate a cost per participant by dividing the additional participants into the total campaign expense. This would provide State and local agencies with information on the success of the campaign and, if it was*

*successful, the approximate cost to conduct another campaign in the future.*

The system should allow the input of data that would help local agencies track and evaluate outreach activities.

**Inputs:**

Local Agency Identification Number

Outreach Activity Date

Outreach Activity Description

Outreach Activity Outcome Code

Outreach Activity Time

Outreach Campaign Cost

Outreach Campaign Description

Participant Source of Information About WIC Code

Participation Actual (for month prior to campaign and month following campaign)

**Process:**

- Retrieve Participant-Source of Info About WIC data from Participant data store
- Accept user input of Outreach Campaign Cost
- Retrieve data on the number of participants for each local agency involved in the campaign from the Participation data store for the month before and after the outreach campaign
- Compute the participation difference between the participation for the month before and after the outreach campaign
- Divide the cost by the participant difference to obtain a cost per participant

**Outputs:**

Screen display or report of outreach campaign cost benefit

**Implementation Approaches**

- ▶ The system could retrieve data on the additional participants in the area targeted by the campaign over the period of the campaign.

- ▶ The local agency could also ask the participant how he/she heard about the WIC Program as a part of the certification intake process and input this in the system.
- ▶ The system could capture narrative text about an outreach campaign. This capability would allow program staff to maintain notes about their campaign and provide "lessons learned" for other staff.

### **3.8.3 Monitor Customer Service**

Customer service is needed to support the WIC IS. Participants, vendors, and program providers all may need support from customer service when using the WIC IS. Vendors may need to call the State agency with questions about a WIC food sale or when there is an equipment malfunction. Program staff may need to call customer service when there is an equipment malfunction, system problem, or on-site customer problem.

State agencies may choose to provide customer service through outsourcing or in-house WIC personnel. Regardless of the provider of customer service, there is a need for a system to track the disposition of customer service contacts. Calls may be received manually or through an Automated Response Unit (ARU) that receives and routes calls.

#### **3.8.3.1 Document and Track WIC Customer Service Calls**

The system should record the type of call received and the outcome for quality assurance assessments. If calls are answered manually, the system may only track the type of call, problem, and final resolution.

##### **Inputs:**

Customer Service Identification Number  
Customer Service Representative Name  
Customer Service Request Code  
Customer Service Request Date

##### **Process:**

- Accept input of service requested code into the Customer Service data store or create new customer service record
- Assign appropriate call type and enter call information, including disposition if available
- Update Customer Service data store

### Outputs:

Report of assigned customer service issues

#### Implementation Approaches

- ▶ In a manual environment, when Customer Service receives a call, the person receiving the call could determine the nature of the request or question and provide the appropriate information, if possible, or log the call. The system should allow the call to be logged and assign a service code and staff (or a customer service team) to be responsible for resolving the issue. The system should provide a complete list of contacts and their area of specialty. Once the person answering calls has connected the caller with the proper staff, he/she should input the name of the person assisting the caller in the system. The person assisting with the call should enter into the system the nature of the problem.
- ▶ In an ARU environment, the ARU could answer the call, and provide a recorded message to triage the call (i.e., ask if the call is to receive basic program information, report an equipment/assistance failure, report lost card/benefits, etc.). The caller would then be prompted to enter a menu choice for the appropriate response and the IS should accept any applicable input to the Customer Service data store.

#### 3.8.3.2 Document Complaints

*Complaints provide a source of information about participants, vendors, or other applicable persons that have tried to violate or have violated WIC Program rules.*

The system should capture and maintain data on complaints about participants, vendors, or staff members from any source.

#### Inputs:

Complaint Date  
Complaint Identification Number  
Complaint Source Type  
Complaint Status Code  
Complaint Subject  
Complaint Summary  
Complaint Type Code

#### Process:

- Input complaint data on participant/vendor/staff member in the Complaint data store in a new complaint record or as an update to an existing complaint record

- Link the complaint data to the appropriate record using the participant/vendor/staff member unique identifier
- Generate report of complaints for follow-up action

**Outputs:**

Screen display or report of complaints

### **3.8.3.3 Track Call or Complaint Outcomes**

The system should track the outcomes of customer service calls and complaints.

**Inputs:**

Complaint Identification Number  
Complaint Resolution  
Customer Service Action Taken Code  
Customer Service Action Taken Date  
Customer Service Identification Number  
Customer Service Problem Description  
Customer Service Problem Resolution Code  
Customer Service Problem Resolution Date  
Customer Service Representative Name

**Process:**

- Accept staff input related to call or complaint
- Update data in Customer Service or Complaint data store

**Outputs:**

Screen display or report of customer service calls and outcomes

#### **Implementation Approaches**

- ▶ The system could track any actions to resolve the caller's problem. When the problem is resolved, the outcome of the call would be entered into the system.
- ▶ In an ARU environment, the receiving Customer Service Representative could update the call tracking entry with the disposition of the call. If necessary, standard escalation procedures would be followed to ensure that the call is routed to the intervention level needed to resolve the problem.

► If a separate ARU or other system is managing the call process, the WIC IS could link to that system to capture data about call outcomes.

### 3.8.4 Provide Survey Capability

States may wish to provide a generic capability to conduct surveys and track survey responses for various aspects of the WIC Program. The system may support fully automated collection of survey data (i.e., provide a survey form online for participants to complete) or manual entry of survey results (i.e., enrollees are asked to complete a manual questionnaire or are asked questions in a personal interview and their responses are entered into the system). Regardless of the degree of data collection automation, the system should capture the results for each survey participant and generate a summary assessment.

#### 3.8.4.1 Monitor Participants' Views of WIC Program Services

*The WIC Program periodically conducts surveys to obtain participant views of the services provided. Automating the collection and compilation of survey information would free staff from this time-consuming task. A survey may include questions about the participant's experience at certification, the usefulness of the nutrition education provided, whether he/she obtained the recommended health care service and satisfaction with shopping for food benefits. The State agency may assess the survey to obtain information on what is working well and what needs improvement.*

*The State agency may also wish to do periodic surveys of vendors to determine if there are problem areas in dealing with WIC participants or complying with requirements. Vendors may have suggestions on ways to make the shopping experience more positive for WIC participants.*

The system should collect and summarize data related to local and statewide surveys.

#### **Inputs:**

Clinic Identification Number

Local Agency Identification Number

Participant Identification Number

Survey Question Identification Number

Survey Question Text

Survey Question WIC Service Type Code

Survey Questionnaire Identification Number

Survey Questionnaire Question Sequence Number  
Survey Questionnaire Survey Name  
Survey Questionnaire Survey Type Code  
Survey Response Nutrition Education Size  
Survey Response Nutrition Education Type  
Survey Response Opinion Score  
Survey Response WIC Service Date  
Survey Response WIC Service Type Code  
Vendor Identification Number

**Process:**

- Design survey instrument and update Survey Questionnaire and Survey Question data stores
- Accept user entered survey results and update Survey Response data store
- Generate analyses of survey responses

**Outputs:**

Report of survey opinions

**Implementation Approaches**

- ▶ The system could accommodate statewide surveys (developed by the State agency and distributed throughout the State) and local surveys (created at the local level for use in only one local agency).

### 3.8.5 Maintain Inventory

State agencies maintain an inventory of many types of items needed for administration of the WIC Program. Some items, such as food instruments (checks, vouchers, coupons and EBT cards), are negotiable instruments that need to be safeguarded from misuse. Other items are capital assets, such as computer equipment and breast pumps. All of these items should have serial numbers to track their use and disposition.

There are many other stock items, such as publications, brochures, and reporting forms, that are routed to the proper location in adequate amounts and when supplies run low. The State agency also tracks the use of these non-serialized items.



### 3.8.5.1 *Maintain Inventory of Serialized Items*

*When the State agency orders and receives items such as EBT cards<sup>51</sup> or equipment, each item should have a unique number. These items can be tracked by the unique number for control purposes.*

The system should track serialized items. The system should track items at all levels (received at the State, shipped to local agencies, and received at local agencies), as well as items that are returned or no longer usable (e.g., broken, lost).

#### **Inputs<sup>52</sup>:**

Item Stock- Serialized Batch Beginning Serial Number  
Item Stock- Serialized Batch Ending Serial Number  
Item Stock- Serialized Card Stock Batch Number  
Item Stock- Serialized Card Stock Serial Number  
Item Stock- Serialized Date Received by Local Agency  
Item Stock- Serialized Date Received by State Agency  
Item Stock- Serialized Date Shipped to Local Agency  
Item Stock- Serialized Equipment Identification Number  
Item Stock- Serialized Equipment Retirement Date  
Item Stock- Serialized Food Instrument Identification Number  
Item Stock- Serialized Food Instrument Stock Batch Number  
Item Stock- Serialized Type Code  
Local Agency Identification Number

#### **Process:**

- Input serial numbers when shipments are received by State agency
- Input serial numbers or equipment identification numbers for items sent to a local agency

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<sup>51</sup> Agencies that use on demand MICR printing for food instruments will not be able to track their stock through a serialized tracking process; the stock will not contain any numbers. This blank food instrument stock should still be managed carefully to ensure appropriate inventory and security and ensure that duplicate check numbers are not issued in the State. Although MICR printing is preferred, agencies that use pre-printed food instrument stock will need to use an inventory function to track numbers on the paper stock and match that number to the numbering scheme in the system.

<sup>52</sup> Inputs will vary based on the type of inventory being tracked.

- Input local agency code for the local agency receiving the shipment
- Update Item Stock-Serialized data store

**Outputs:**

Display screen or report of serialized item stock inventory status

**Implementation Approaches**

- ▶ The system could record the shipments by the serial numbers of items in storage. When these items are shipped to local agencies for use, the system could record the beginning and ending serial numbers of the shipment and the local agency to receive the shipment. The system could calculate the number of days supply and have a projected date for replenishment based on typical usage. As serialized items are used, the stock remaining should be decremented.
- ▶ For equipment, each item should have an identification number. The system could maintain a list of all equipment, where the equipment is located, and the date of receipt. When equipment is no longer usable, the State agency could input the date of retirement in the record.

**3.8.5.2 Maintain Inventory of Non-Serialized Items**

*Non-serialized items such as forms, publications, or special formula are needed by local agencies to conduct the program. The State agency typically maintains an inventory of the amount of each item in storage.*

The system should track non-serialized item inventory to ensure that inventory levels remain appropriate.

**Inputs:**

Item Stock- Non-Serialized Entry Date

Item Stock- Non-Serialized Identification Number

Item Stock- Non-Serialized Number of Items Received by Local Agency

Item Stock- Non-Serialized Number of Items Received by State Agency

Item Stock- Non-Serialized Number of Items Shipped to State Agency

Item Stock- Non-Serialized Received by Local Agency Date

Item Stock- Non-Serialized Received by State Agency Date

Item Stock- Non-Serialized Shipped to Local Agency Date

Item Stock- Non-Serialized Type Code

## Local Agency Identification Number

### Process:

- Input number of items when shipments are received by State agency
- Input number of items for items sent to a local agency
- Input local agency code for the local agency receiving the shipment
- Update Item Stock-Non-Serialized data store

### Outputs:

Screen display or report of item stock non-serialized inventory status

#### Implementation Approaches

- ▶ The system should estimate the need for each item based on historical use, and project the date for replenishment based on historical use rates.
- ▶ The State agency could ship items when requested by the local agencies and maintain a supply on hand based on the number of days lead-time needed to obtain a shipment.
- ▶ The system could track formula inventory to document when formula is received, transferred, or destroyed.

### 3.8.6 Monitor Program Integrity

The system must maintain data that assists the State and local agency in monitoring program integrity. For participant integrity, this includes a system for reviewing data to determine if false eligibility information was provided (e.g., household size, or income). It also reviews for the fraudulent use of benefits (e.g., substituting foods, selling foods) and for dual participation<sup>53</sup>.

For clinic integrity, data related to suspicious patterns should be reviewed. The most likely fraudulent activity is creating fictitious records to obtain benefits or applying lenient eligibility determinations for friends and relatives. Special attention should be paid to local agencies or clinics where limited separation of duties, which make fraudulent behavior easier to perform, exist.

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<sup>53</sup> Dual participation and dual enrollment checks should also be performed at certification and benefit issuance.

### 3.8.6.1 Monitor Participant Integrity

*The State agency may wish to determine if any participants are routinely shopping at a vendor some distance from their home. This pattern might indicate a preference for a vendor that is willing to permit abusive behavior.*

The system should support the analysis of activities that could indicate fraud or abuse by accepting the input of data and providing reports. The system should support reporting violations and the claims imposed and collected.

#### **Inputs**<sup>54</sup>:

Dual Participation Potential Match Applicant  
Dual Participation Potential Match Certified  
Dual Participation Potential Match Program Code  
Participant Address- Apartment  
Participant Address- City  
Participant Address- State  
Participant Address- Street  
Participant Address- Zip Code  
Participant Identification Number  
Vendor Address- City  
Vendor Address- State  
Vendor Address- Street  
Vendor Address- Zip Code  
Vendor Identification Number

#### **Process:**

- Retrieve data from the appropriate data store
- Separate clinics into peer groups according to caseload size to set baseline trend data for differing clinic caseloads
- Calculate results (as applicable) and store in the appropriate data store
- Monitor reports based on the baseline trend data

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<sup>54</sup> Inputs will vary based on the specific analysis being performed.

**Outputs:**

Screen display or report on potentially fraudulent activities

Screen display or report of participant sanctions and claims status

**Implementation Approaches**

- ▶ The system could access/retrieve participant data from other State agencies or CSFP and match that participant data against the State's participant data to determine if there are any matches.
- ▶ Using data in the Food Instrument or Food Benefit Household Account and Participant data stores, the system could determine the vendor where the participant redeemed food benefits. The system could then compare vendor and participant addresses to determine how many participants are shopping at vendors outside the normal geographic radius of the participant's address

**3.8.6.2 Monitor Clinic Integrity**

*Clinic integrity reviews should compare each local agency's data related to clinic abuse indicators to all local agencies to determine if the particular local agency is outside the normal range. Suspicious patterns could include low no-show rates, low attendance rate at nutrition education classes, disproportionate number of infants (who have high redemption value food benefits), unusually high number of certifications, production of food instruments or issuance of EBT cards at unusual hours or a large number of participants with no reported income.*

The system should have the ability to create reports that provide data about clinic trends that could indicate fraudulent activity. The system should also identify potential conflicts of interest that may develop when an employee is responsible for both certifying eligibility and issuing benefits or when an employee is also a WIC participant.

**Inputs<sup>55</sup>:**

Clinic Identification Number

Local Agency Identification Number

**Process:**

- Retrieve data for all local agencies the specific type of analysis being performed.
- Calculate data for the clinic abuse indicators for each local agency in the State

<sup>55</sup> Additional inputs will vary depending on the type of clinic analyses conducted.

- Calculate an average for all local agencies
- Compare each local agency average to the average with all local agencies

**Outputs:**

Screen display or report of potential clinic abuse indicators

**3.8.6.3 Track Participant Sanctions**

*When a participant has abused the program and the local agency has imposed a sanction or claim, the local and State agency must track the type of abuse and action taken.*

The system should track sanctions against participants.

**Inputs:**

Participant Identification Number  
Sanction Case Appeal Indicator  
Sanction Case Appeal Outcome Code  
Sanction Case Status  
Sanction Case Identification Number  
Sanction Case Start Date  
Sanction Case Type Code  
Sanction Effective Date  
Sanction Type Code

**Process:**

- Input data on participant violations, sanctions and claims imposed and claims collected along with the corresponding date
- Update the Sanction data store

**Outputs:**

Screen display or report of participant sanctions and claims status

### 3.8.6.4 Track Administrative Hearings

*When abuses are identified, the WIC Program may take sanction action. In the case of such actions, the sanctioned party may appeal the action and the State must conduct administrative hearings.*

The system should be able to track sanctions and the disposition of the administrative hearings process to maintain a history of each program integrity case and its eventual outcome.

#### Inputs:

Administrative Hearing Date  
Administrative Hearing Description  
Administrative Hearing Identification Number  
Administrative Hearing Outcome Code  
Administrative Hearing Outcome Date  
Administrative Hearing Outcome Description  
Administrative Hearing Type Code  
Clinic Identification Number  
Local Agency Identification Number  
Participant Identification Number  
Vendor Identification Number

#### Process:

- Add, update, and delete Administrative Hearings data store
- Generate report on Status of Administrative Hearings

#### Outputs:

Screen display or report on hearing status

#### Implementation Approaches

- ▶ The system could aggregate sanction and administrative hearing data to track historical trends in program abuse.

## 3.9 Vendor Management

The Vendor Management functional area is intended to support the management of the retail vendor aspect of the WIC Program. It tracks the vendor authorization process; captures information about authorized vendors; captures vendor pricing information and supports cost containment, monitors vendor training and communications, helps identify potentially abusive vendor practices for which additional monitoring or investigation is needed; supports record audits; maintains a comprehensive vendor profile, including information about compliance activities, and supports coordination of sanctions with the Food Stamp Program (FSP). In addition, the data collected under this function supports the annual electronic transmission to FNS of The Integrity Profile (TIP) Report.

In some State agency systems, vendor management data is maintained as part of the WIC IS. In other State agencies, it is maintained elsewhere but depends on the WIC IS for providing the data necessary to support vendor management tasks. Therefore, the functionality described below for vendor management activities may occur in the WIC IS or an alternative system.

Vendor Management consists of the following functions:

- Manage Vendor Peer Groups
  - Establish Vendor Peer Groups
  - Update Vendor Peer Group/Criteria
- Create and Locate Data Records
  - Create New Applicant Record
  - Search for Applicant/Vendor Record
- Maintain Vendor Authorizations
  - Maintain Vendor Application Data
  - Track Vendor Authorization Process
  - Maintain Vendor Price Survey Data
  - Authorize Vendors
  - Maintain Authorized Vendor Data
- Monitor Vendor Training
  - Track Scheduled Vendor Training



- Track Attendance at Vendor Training and Technical Assistance Conducted
- Support Vendor Communications
  - Produce Correspondence to Vendors
- Perform Confidential High Risk Vendor Analysis
- Track Compliance Investigations
  - Maintain Special Investigator Record for Compliance Buys
  - Maintain Food Benefit Redemption Data from Compliance Buys
  - Maintain Compliance Buy Data
  - Support Inventory Audits
- Track Routine Monitoring
  - Maintain Routine Monitoring Data
- Monitor Sanctions and Appeals
  - Manage Vendor Sanctions
  - Monitor and Track CMP Payments
  - Maintain Vendor Appeal Data
- Coordinate with Food Stamp Program
  - Maintain Food Stamp Program Violation Data
  - Report WIC Sanctions to the Food Stamp Program

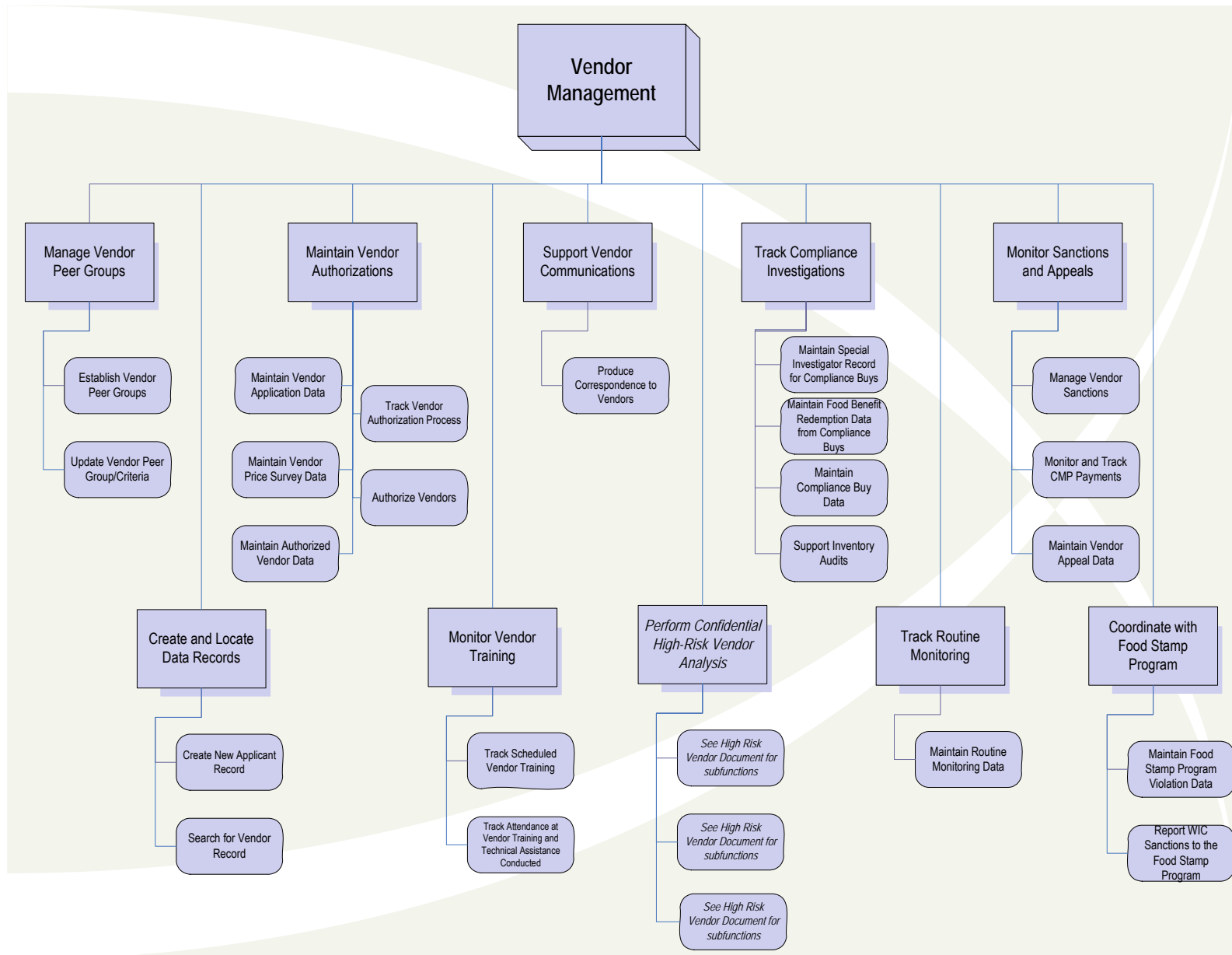


Exhibit 3-9: Functional Decomposition Diagram – Vendor Management

### 3.9.1 Manage Vendor Peer Groups

In support of cost containment, State agencies must be able to classify vendors into peer groups – groups of vendors with similar characteristics as defined by the State agency – unless FNS has granted an exemption to the State agency from the peer group requirement. The goal is to group vendors who should be charging comparable prices for WIC foods. State agencies should use two or more criteria, with one being geographic location (e.g., urban or rural), to establish peer groups. (FNS may also grant an exemption from the geographic peer group criterion.) Other examples of characteristics used to group vendors include WIC sales volume, store type, or number of cash registers. Peer groups are the basis for calculating food instrument or food item maximum allowed amounts.

Another area of consideration in peer grouping is cost neutrality for those vendors whose WIC sales are more than 50 percent of their total food sales (A50 vendors). Please refer to the guidance that has been developed by FNS providing options for assigning A50 vendors to peer groups.

#### 3.9.1.1 Establish Vendor Peer Groups

The system shall support the establishment of vendor peer groups to be used in categorizing vendors based on specific criteria.

##### **Inputs:**

Vendor Peer Group Description

Vendor Peer Group Code

Examples of vendor characteristics<sup>56</sup> that could be considered in establishing peer groups are:

- Geographic Location
- Monthly WIC Redemptions
- Number of Cash Registers
- Vendor Type Code (e.g., neighborhood store, chain, pharmacy)
- A50 Indicator

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<sup>56</sup> The data elements used to identify peer group characteristics will vary based on design and State agency peer grouping analysis results. States will need to define data elements based on the characteristics they choose to consider.

- Type of Ownership (e.g., sole proprietorship, corporate)

**Process:**

- Establish multiple peer groups in the system and store results in the Vendor Peer Group data store

**Outputs:**

List of vendor peer groups

**Implementation Approach**

- ▶ An approach to peer grouping is to assign specific criteria to each peer group such as a list of zip codes, sale volume range, or number of cash registers to be used in auto-assigning vendors to peer groups based on applicant data. These criteria can also be used to automatically adjust a vendor's peer group based on data collected about the vendor after authorization such as actual WIC sales or if there are any changes to the vendor demographics such as the addition of cash registers.

**3.9.1.2 Update Vendor Peer Group/Criteria**

Once established, peer groups may remain stable, however there may be changes occur in the State agency that require updates to be made to peer groups. Refer to FNS policy regarding the required frequency for reassessing established peer groups.

The system shall support the addition or deletion of peer group as well as changes to peer group assigned criteria (if used).

**Inputs:**

Vendor Peer Group Description

Vendor Peer Group Code

Examples of vendor characteristics<sup>57</sup> that could be considered in updating peer groups are:

- Geographic Location
- Monthly WIC Redemptions
- Number of Cash Registers
- Vendor Type Code (e.g., neighborhood store, chain, pharmacy)

<sup>57</sup> The data elements used to identify peer group characteristics will vary based on design and State agency peer grouping analysis results.

- A50 Indicator
- Type of Ownership (e.g., sole proprietorship, corporate)

**Process:**

- Add or delete peer groups and store results in the Vendor Peer Group store
- Update peer group characteristics and store results in the Vendor Peer Group store

**Outputs:**

List of vendor peer groups

### 3.9.2 Create and Locate Data Records

When a vendor applies for authorization that is not already in the system, a user must create a new data record to capture and maintain information. Each record should have a unique identification number. This identification number is used to identify the vendor when its records are needed. After a record is created or to determine if a data record exists in the system, staff members should have to have the ability to locate the record for viewing or data entry.

#### 3.9.2.1 Create New Applicant Record

The system should support the creation of new records into which data will be entered. When creating new records, the system should assign a unique identifier (identification number) to each record.

**Inputs<sup>58</sup>:**

Vendor Address- City  
Vendor Address- State  
Vendor Address- Street  
Vendor Address- Zip Code  
Vendor Contact Name- First  
Vendor Contact Name- Last  
Vendor Contact Name- MI  
Vendor Contact Telephone Number

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<sup>58</sup> The required data elements to create a record will vary based on design.

Vendor Contact Title

Vendor FSP Identification Number

Vendor Name

**Process:**

- Accept user entry of minimum data record data elements
- Assign vendor identification number
- Maintain record for search, view, and update

**Outputs:**

Vendor Identification Number

New database record

**Implementation Approaches**

- ▶ The system should assign one unique identification number to each record (vendor) in the system. For reporting and tracking purposes there must be a way to identify vendor status (i.e. applicant, authorized, de-authorized). This identification number does not need to be changed based on status; different statuses can be handled through a separate data element (for example, a status code indicator) associated with the record.
- ▶ The identification number should be either a sequential number (the next sequential number available) or a coded (codes could be based on location or store type).
- ▶ The system may require a complete or partial application to be completed before a new record could be created. Additional data elements would be required in this approach.
- ▶ Prior to creating a record, the system could perform search the database to see if the vendor already exists in the system. This would likely take place after entering basic information, such as vendor name, address, or Vendor FSP Identification Number, but before the system assigns a unique identification number.

**3.9.2.2 Search for Vendor Record<sup>59</sup>**

The system should have the capability to search for records using predefined criteria.

<sup>59</sup> This function serves the same purpose as *3.1.1.2 Search for Applicant/Vendor Record*. It is included here to ensure that the system's search function allows for location of vendor records, which may require different search criteria than applicant/participant record searches.

### Inputs:

Data elements included in a search function will vary based on design and State agency preferences. See Implementation Approaches for examples.

### Process:

- Compare data search criteria with existing database records
- Display records that match search criteria
- Allow user to access the data record(s) matching search criteria

### Outputs:

Screen display of matching records

Screen display of selected record

#### Implementation Approaches

- ▶ Various data elements should be included in the search, such as identification number, vendor name, address, phone number, zip code, county, local agency, clinic, statewide, authorization status, FSP Identification Number, or peer group. Combinations of data elements should be allowed.
- ▶ The system should have a method for searching for names that allows for variations in spellings, such as a search for similar sounding names (Smith, Smyth, Smythe) or the use of a wildcard character.

### 3.9.3 Maintain Vendor Authorizations

The State agency selects and uses authorized vendors to provide WIC-approved foods to participants in retail-based food delivery systems. Authorized vendors provide supplemental foods to WIC participants and are reimbursed with WIC funds. Vendors must apply to become authorized WIC vendors and periodically must reapply to maintain WIC authorization. State agencies may authorize individual vendors on a continuing basis or may authorize all vendors at the same time according to a designated schedule. Each outlet of a chain is a separate vendor.

State WIC agencies may limit their authorized vendors to a number that ensures adequate participant access and that they can effectively manage. They determine which vendors to authorize based on whether vendors meet or exceed the State agency's selection criteria. State agencies must use the mandatory selection criteria stated in the Federal regulations. State agencies consider several factors in determining whether to authorize a vendor such as the varieties and quantities of WIC-approved foods an

applicant vendor stocks, prices of WIC authorized foods, prior WIC and Food Stamp Program compliance history, FSP identification number, and the vendor's business integrity. State agencies may deny a vendor authorization, and the vendor may appeal such denials.

The system should capture information on vendors applying for WIC authorization, including: information submitted on the WIC vendor application, historical data regarding the vendor's prior WIC authorization, and information collected during preauthorization or other monitoring visits, as applicable. This information includes basic reference data about the vendor, as well as food price data that are used by this and other functional areas within the system. Additionally, the system should support assignment of the vendor to a peer group based on established criteria. The WIC IS may also track the progress of the vendor authorization process for individual vendors.

### **3.9.3.1 Maintain Vendor Application Data**

The system should capture and maintain data about the vendors that apply for WIC authorization. These data include reference data such as the vendor's name, location, ownership, business volume and, if applicable, FSP identification number.

To assist in vendor authorization determinations, the system should provide a history of vendor compliance, including any warnings or sanctions imposed against a particular vendor and its outlets and a history of a vendor's participation in required training. The data regarding vendors' prior WIC compliance and onsite monitoring visits are captured and maintained by other functions within the Vendor Management functional area.

The system should provide information that will help the State agency determine the appropriate number of WIC vendors to authorize in specific locations, and provide vendor characteristics to help determine the best vendors to authorize.

#### **Inputs:**

- Vendor Address- City
- Vendor Address- State
- Vendor Address- Street
- Vendor Address- Zip Code
- Vendor Authorization Expiration Date
- Vendor Authorization Start Date



Vendor Authorization Status Code  
Vendor Business Year End Month/Year  
Vendor Business Year Start Month/Year  
Vendor Chain Code  
Vendor Contact Email Address  
Vendor Contact Name- First  
Vendor Contact Name- Last  
Vendor Contact Name- MI  
Vendor Contact Telephone Number  
Vendor Contact Title  
Vendor Days of Operation  
Vendor Federal Tax Identification Number  
Vendor Food Inventory Shelf Space  
Vendor FSP Identification Number  
Vendor FSP Sanctions  
Vendor Hours of Operation  
Vendor Identification Number  
Vendor Infant Formula Sources  
Vendor Mailing Address- City  
Vendor Mailing Address- State  
Vendor Mailing Address- Street  
Vendor Mailing Address- Zip Code  
Vendor Name  
Vendor Number of Cash Registers  
Vendor Owner Name- Last  
Vendor Owner Name- First  
Vendor Owner Name- MI  
Vendor Owner Telephone Number  
Vendor Peer Group Code  
Vendor Sales Food  
Vendor Sales Food Stamps  
Vendor Sales Non-Foods  
Vendor Sales WIC

Vendor Scanner Availability

Vendor Scanner Screens WIC Purchases

Vendor Type Code

Vendor A50 Indicator

**Process:**

- Input vendor characteristics data from vendor applications for new and currently authorized vendors and store results in Vendor data store
- Assign vendor peer group based on specified peer group criteria

**Outputs:**

Screen display or report of vendor applications

**Implementation Approach**

- ▶ The collection of vendor data can be automated using a web-based vendor application. The vendor can access a web site to apply to be a WIC authorized vendor. A web application can support applicant screening based on State agency established vendor limiting criteria. For example, if the location from which the vendor is applying already provides sufficient access to participants (based on specified criteria), then the applicant would be denied authorization and, therefore, would not have to complete the entire application. In another example, the web application can screen vendor price information based on the vendor's peer group to determine if the applicant's prices are consistent with its peers. Once the screening process is completed, the web application provides the applicant data for those vendors passing the initial screening.

**3.9.3.2 Track Vendor Authorization Process**

Some State agencies may use the system to provide a simple tracking capability of the vendor authorization process. This capability is especially useful for State agencies that process vendor authorizations throughout the year rather than all at one time. This process can last several weeks, with a number of processing steps required to consider and decide on each vendor application. This could include issuing requests for applications, assessing all applications for completeness and obtaining any missing information, and conducting on-site visits to assess whether the vendor meets WIC requirements.

**Inputs:**

Vendor Authorization Activity Code

Vendor Authorization Activity Complete Date  
Vendor Authorization Activity Scheduled Date  
Vendor Authorization Expiration Date  
Vendor Authorization Ineligibility Reason Code  
Vendor Authorization Start Date  
Vendor Authorization Status Code  
Vendor Identification Number

**Process:**

- Input activities scheduled and completed for each vendor and store results in Vendor Authorization Progress data store

**Outputs:**

Screen display or report on vendor authorizations actions scheduled and completed

**Implementation Approach**

- ▶ To support vendor authorization tracking, the system should record the steps in the authorization process for each vendor, including scheduled and actual completion dates. The system should produce a screen display or report showing the status of all vendor authorizations, as well as an exception report showing only actions overdue.
- ▶ The system could produce a contract renewal list for State agencies that authorize vendors throughout the year and also produce customized notifications and other correspondence.

**3.9.3.3 Maintain Vendor Price Survey Data**

The system should support the entry and maintenance of data on vendor reported prices for WIC-authorized foods. These data are captured during the vendor application process to compare the vendor's prices to other vendors seeking authorization. Once authorized, a vendor must update its prices by submitting revised price lists in accordance with its State agency requirements. These updates vary from monthly submissions to a single submission covering the entire authorization period. In an EBT environment, it is possible to have automatic, continuous food price updates based on ongoing transaction data that contains the shelf price for each UPC purchased.

As part of the vendor authorization, vendor price survey information is collected. The system should support the entry, maintenance, and ongoing updates of vendor shelf prices.

**Inputs:**

Vendor Identification Number  
Vendor Price Survey Date  
Vendor Price Survey Food Item Name  
Vendor Price Survey Food Item Shelf Price

**Process:**

- Input vendor prices for each vendor and store results in Vendor Price Survey data store

**Outputs:**

Screen display or report on vendor prices  
Output to setting food instrument and/or food item maximum allowed amounts

**Implementation Approach**

- ▶ Applications, such as web sites that feed data to the WIC IS, could be used by the vendors to report prices.
- ▶ Vendors could submit electronic files, such as spreadsheets, containing vendor price data in a format specified by the State agency.

**3.9.3.4 Authorize Vendors**

Once the State agency has assembled all vendor application data, it must evaluate the information to determine which vendors best meet the State agency's needs. The system shall support the selection process and authorization or denial of vendor applicants.

**Inputs:**

Food UPC/PLU Code  
Food UPC/PLU Peer Group UPC Average Price  
Vendor Authorization Status Code  
Vendor Compliance Activity Violation Indicator Code  
Vendor Food Inventory Shelf Space  
Vendor FSP Sanctions  
Vendor Monthly Redemptions  
Vendor Peer Group Code  
Vendor Price Survey Date

Vendor Price Survey Food Item Name  
Vendor Price Survey Food Item Shelf Price  
Vendor Sales Food  
Vendor Sales FSP  
Vendor Sales Non-Foods  
Vendor WIC Sanctions to Date

**Process:**

- Retrieve history of violations on vendors who are seeking authorization/reauthorization from the Vendor Compliance Activity Store
- Retrieve a compliance history on vendors who are seeking authorization/reauthorization from the Sanction data store
- Retrieve vendor application data from the Vendor data store
- Calculate the food package price for each vendor applicant using the food price survey data collected in the Vendor data store perform price for comparison with peer group maximum allowed amounts
- Array vendors by price for each location
- Select the required number of vendors for authorization
- For competitive bid systems, store the vendors contract price for food as the maximum allowed amount value in the Food/UPC data store
- Update vendor authorization status

**Outputs:**

Screen display or report of all violations and compliance activities for the vendor within a user specified timeframe

Screen display or report of vendor's food prices by location

Screen display or report of participant to applicant vendor ratio by location

List of authorized vendors (based on authorization status)

Data for TIP Report

### Implementation Approaches

- ▶ Prior to selecting authorized vendors, the State agency may choose to use limitation criteria for vendors in a certain area. For example, this may be done by calculating a participant to vendor ratio for a certain area (e.g., zip code or county) to determine an optimum number of vendors to ensure participant access to food benefits. The first component of this is to evaluate whether the applicant vendors meet the basic qualifying criteria for WIC authorization. This evaluation could include noting any vendors with a history of insufficient varieties or quantities of WIC-approved foods in stock or WIC and/or FSP noncompliance or sanctions. For the second component, the system can compare vendor prices by area and/or peer groups. The system could array the vendors that met the basic qualifications by location and list the vendor applicants in order of prices. Based on the desired number of vendors, the system would highlight the vendors needed for each area or peer group from among the vendors with the lowest prices. Once the list of selected vendors is established, the system should generate notices to these vendors for mailing vendor agreements and other material, as well as denial notices for applicant vendors not selected for WIC authorization.
- ▶ Some State agencies use a competitive bid system for selecting vendors. In these systems, the same steps as previously discussed occur, but vendors commit to charging WIC a specific contract price for all WIC-authorized food items sold during the contract period. For such systems, the system should store the contract price as a maximum allowed amount price for each vendor. When food benefits are redeemed, the vendor would charge the shelf price. However, when the vendor requests payment, the contract price is compared to the redemption price. If the contract price is less than the redemption amount, the vendor is billed for the difference.

#### **3.9.3.5 Maintain Authorized Vendor Data**

Throughout the authorization period, the system should maintain vendor status and update demographic information.

##### **Inputs:**

Vendor Authorization Status Code

Vendor Identification Number

##### **Process:**

- Update Vendor Authorization Status to authorized
- Update Vendor Authorization Start Date and Vendor Authorization Expiration Date

##### **Outputs:**

List of authorized vendors by identification number

Data for TIP Report

### **3.9.4 Monitor Vendor Training**

The State agency must provide training annually to at least one representative of each vendor. Prior to or at the time of a vendor's initial authorization, and at least once every three years thereafter, the training must be in an interactive format that includes a contemporaneous opportunity for questions and answers, such as a meeting or video teleconferencing. For the annual training requirement, the State agency must document that it provided training materials (e.g., a newsletter) to each vendor (i.e., each chain store location). For the interactive training requirement, the State agency may provide interactive training to a chain store's trainer, provided the State agency receives documented assurances that at least one representative of each vendor will receive interactive training covering the required content (§ 246.12(i)(2)) during the current year.

The annual training must include instruction on the purpose of the Program, the supplemental foods authorized by the State agency, the minimum varieties and quantities of authorized supplemental foods that must be stocked by vendors, the procedures for transacting and redeeming food instruments, the vendor sanction system, the vendor complaint process, the claims procedures, and any changes to program requirements since the last training.

Vendor training is vital because it helps ensure that vendors understand their WIC responsibilities, including maintaining sufficient varieties and quantities of WIC-authorized foods, providing supplemental foods to certified participants (or proxies), ensuring that participants use their food instruments properly, and redeeming food instruments in accordance with WIC policy. Vendor training also ensures that vendors are aware of vendor rules and procedures, so that if program noncompliance or violations occur, vendors cannot claim they were unaware of program rules and procedures.

The system should support vendor training by recording and reporting on scheduled training sessions, and the vendor's attendance at or receipt of required training. The system should enable WIC staff to identify which vendors have not fulfilled their training requirements. The system should also document the training conducted by sending training materials to vendors; see *Section 3.9.5: Support Vendor Communications*.

#### **3.9.4.1 Track Scheduled Vendor Training**

The system should capture and maintain data necessary for tracking vendor training and attendance to avoid duplication of data entry.

**Inputs:**

Education/Training Offer Date  
Education/Training Offer Topics Covered Code  
Event Slot Identification Number  
Master Calendar Identification Number  
Resource Identification Number  
User Identification Number  
Vendor Identification Number

**Process:**

- Input scheduled vendor training dates, locations and vendor, which should attend and record in Education/Training Offer and Event Slot data store

**Outputs:**

Vendor training schedule  
Vendor training notice  
Data for TIP Report

**Implementation Approach**

- ▶ For each training session, the data should reflect the scheduled date, location (e.g., whether on site or at WIC offices or some other central location conducive to group training), the subjects covered, and the expected number of attendees for each vendor.

**3.9.4.2 Track Attendance at Vendor Training and Technical Assistance Conducted**

The system should capture, maintain, and report data about each vendor's attendance at the scheduled vendor training.

**Inputs:**

Education/Training Offer Status Code  
Education/Training Offer Topics Covered Code  
Event Slot Identification Number  
Scheduled Appointment Date  
Scheduled Appointment Identification Number  
Scheduled Appointment Missed Reason



Scheduled Appointment Number of Actual Attendees

Scheduled Appointment Outcome Code

Scheduled Appointment Time

Vendor Identification Number

**Process:**

- Input vendors' attendance at training sessions or appointments and record in Education/Training Offer and Scheduled Appointment data store

**Outputs:**

Screen display or report of vendor attendance at training and subjects covered

### **3.9.5 Support Vendor Communications**

State agencies periodically send notices and other correspondence to vendors. These communications include sending training materials to vendors, requests for food prices, notifications of rejected food instruments, and other periodic and ad hoc communications. The system can automate the production of communications.

#### **3.9.5.1 Produce Correspondence to Vendors**

The system should support staff correspondence to vendors including mail and/or email.

**Inputs:**

Vendor Identification Number

Vendor Address- City

Vendor Address- State

Vendor Address- Street

Vendor Address- Zip Code

Vendor Contact Email Address

Vendor Contact Name- First

Vendor Contact Name- Last

Vendor Contact Name- MI

Vendor Contact Telephone Number

Vendor Contact Title

Vendor Name

**Process:**

- Input selection of authorized vendors to receive information or correspondence
- Retrieve name and address information from Vendor data store

**Outputs:**

Mailing labels

Individual emails/mass emails

Customized correspondence

**Implementation Approach**

- ▶ The system should enable users to produce mailing labels for individual vendors, and to produce labels in bulk for mass mailing of notifications. The system should enable the user to enter specific vendor identification numbers to produce short batch runs of labels.
- ▶ The system should merge vendor data with text entered using a word processor to produce vendor correspondence.
- ▶ The system should support electronic correspondence by email to include mass emailing to all vendors and emailing to individual vendors, chains, or peer groups.

### **3.9.6 Perform Confidential High Risk Vendor Analysis**

An important function of vendor management is to identify vendors that have a high probability of violating program requirements. A description of the automated functions pertaining to this area of vendor management are available in the following, confidential addendum to the FReD. When requesting a copy of these functional descriptions, please refer to FReD *Section 3.9.6: Perform Confidential High Risk Vendor Analysis*.

### 3.9.7 Track Compliance Investigations

FNS requires the State agency to conduct compliance investigations of a minimum of five percent of the number of vendors authorized by the State agency as of October 1 of each fiscal year. The State agency must conduct compliance investigations on all high-risk vendors up to the five percent minimum. A compliance investigation of a high-risk vendor may be considered complete when the State agency determines that a sufficient number of compliance buys have been conducted to provide evidence of program noncompliance, when two compliance buys have been conducted in which no program violations are found, or when an inventory audit has been completed.

If fewer than five percent of the State agency's authorized vendors are identified as high-risk, the State agency must randomly select additional vendors on which to conduct compliance investigations sufficient to meet the five-percent requirement. A compliance investigation of a randomly selected vendor may be considered complete when the State agency determines that a sufficient number of compliance buys have been conducted to provide evidence of program noncompliance, when two compliance buys are conducted in which no program violations are found, or when an inventory audit has been completed.

Compliance investigations are conducted as undercover compliance buys in which an investigator poses as a WIC participant or proxy and performs a WIC transaction to determine whether the vendor is committing program violations, such as overcharging for supplemental foods, accepting WIC benefits as payment for unauthorized foods, or exchanging food instruments for cash.

Compliance buys visits are a vital part of vendor management in the WIC Program. They serve to identify vendor non-compliance and provide evidence needed to sanction vendors. The extent to which compliance buys result in the detection of violations also helps the State agency to refine high risk criteria.

The system should record data about investigations as part of a comprehensive profile of vendors' WIC practices. This is necessary for imposing sanctions, responding to appeals of sanctions, and targeting future compliance activities.

### **3.9.7.1 Maintain Special Investigator Record for Compliance Buys**

When a State agency conducts compliance buys, it needs a way to identify and track food benefits issued to compliance investigators. Because the WIC IS issues food benefits only to individuals recorded in the database, the system should enable the addition, modification, and deletion of investigator data as a special category of participant.

The system should capture compliance investigator data and produce an official WIC participant identification card for investigators who visit vendors to perform compliance buys (if that State issues participant identification cards). To protect the investigator's identity, all of the information on the card should be fictitious. The system should not use the real name and address of the investigator, or any other real personal identifiers of the investigator, in any caseload reports or in summary statistics regarding food benefit issued and redeemed. Likewise, the fictitious name should be used on the food instruments issued to the investigator.

#### **Inputs:**

Local Agency Identification Number

Participant Address- Apartment

Participant Address- City

Participant Address- State

Participant Address- Street

Participant Address- Zip Code

Participant Category Code

Participant Certification Date

Participant Certification End Date

Participant Health Nutrition Risk Code

Participant Identification Number

Participant Name- First

Participant Name- Last

Participant Name- MI

#### **Process:**

- Add or update a participant record for the investigation the Participant data store to enable the issuance of food benefits

**Outputs:**

Participant identification card

Listing of investigator participant records

**Implementation Approach**

- ▶ The State Agency may choose to add investigator accounts via a separate clinic accessible by State Agency office staff.

**3.9.7.2 Maintain Food Benefit Redemption Data from Compliance Buys**

Once the investigator has completed a compliance buy, the system must retrieve the data for the food benefits redeemed as a result of the compliance buy.

**Inputs:**

*Paper Environment*

Food Instrument Amount Billed to Vendor (postpayment)

Food Instrument Amount Collected From Vendor (postpayment)

Food Instrument Amount Not Paid (prepayment)

Food Instrument Estimated Value

Food Instrument Identification Number

Food Instrument Issuance Date

Food Instrument Maximum Allowed Amount

Food Instrument Redemption Batch

Food Instrument Redemption Value

Food Instrument Reject Count

Food Instrument Reject Reason Code

Food Instrument Use/Disposition Date

Food Instrument Valid End Date

Food Instrument Valid Start Date

Food Instrument Vendor Redemption Date

Food Instrument Void Date

Participant Family/Household Identification Number

Participant Identification Number

Vendor Identification Number

*EBT Environment*

Category/Subcategory Category Code

Category/Subcategory Subcategory Code

Food Item Prescribed Unit Quantity

Food Benefit Prescription Date

Food Item Prescribed First Date to Spend

Food Item Prescribed Last Date to Spend

Food UPC/PLU Code

Food UPC/PLU Description

Food UPC/PLU Exchange Value

Food UPC/PLU Price Paid

Food UPC/PLU Shelf Price

Participant Family/Household Identification Number

Participant Identification Number

Transaction History Data

Vendor Credit Amount

Vendor Identification Number

**Process:**

- Retrieve the food benefit redemption data for the vendor under investigation using the investigator's Participant Identification Number

**Outputs:**

Food benefit redemption prices for supplemental foods purchased during a compliance buy

**Implementation Approach**

- ▶ The vendor redemption data are compared to data collected by the investigator during the compliance buy to determine whether the vendor transacted and redeemed the food investigator's instruments in accordance with program rules. This analysis would include whether the vendor redeemed the food benefits for more than the shelf price recorded by the investigator or any other irregularities. The food instruments or records of the transaction may be used as evidence in the event that a vendor is sanctioned for program non-compliance.

► It is recommended that investigator data (or accounts) be segregated or secured from other participant data. Investigator redemptions should be tracked and reported separately from participant redemptions.

### **3.9.7.3 Maintain Compliance Buy Data**

The system should capture, maintain, and report data about investigation activities based on State-defined user access roles. The data should include the dates the compliance buys or investigations were conducted and the tasks performed as part of each activity, a summary of any noted violations, and cross references to food instruments if used by investigators.

#### **Inputs:**

Complaint Date

Complaint Identification Number

Complaint Resolution

Complaint Source Type

Complaint Status Code

Complaint Subject

Complaint Summary

Complaint Type Code

Local Agency Identification Number

Participant Identification Number

Vendor Compliance Activity Date

Vendor Compliance Activity Investigator

Vendor Compliance Activity Food Instrument Identification Numbers

Vendor Compliance Activity Food Item Disposition

Vendor Compliance Activity Food Purchase Value

Vendor Compliance Activity Reason Code

Vendor Compliance Activity Task Code

Vendor Compliance Activity Type Code

Vendor Compliance Activity Violation Indicator Code

Vendor Identification Number

Vendor Monthly Redemptions

Vendor Risk Factor Type Code



**Process:**

- Input data about the compliance activity and record in Vendor Compliance Activity data store
- Provide correspondence to vendors regarding investigations as required by federal guidance

**Outputs:**

Compliance summary report  
Vendor compliance history  
Correspondence to vendors regarding investigations  
Data for TIP Report

**3.9.7.4 Support Inventory Audits**

*An inventory audit is a form of compliance investigation. An inventory audit is the examination of food invoices or other proofs of purchase to determine whether a vendor has purchased sufficient quantities of supplemental foods to provide participants the quantities specified on food instruments redeemed by the vendor during a given period of time. This kind of violation is subject to mandatory sanctions.*

The system should assist State agencies in preparing for inventory audits. These audits include comparing a vendor's redemptions of food instruments with the vendor's internal inventory and sales records.

**Inputs:**

Vendor Identification Number  
Vendor Monitoring Activity Date  
Vendor Monitoring Activity Food Inventory Value  
Vendor Monitoring Activity Food Redemption Value  
Vendor Monitoring Activity Investigator  
Vendor Monitoring Activity Reason Code  
Vendor Monitoring Activity Type Code  
Vendor Risk Factor Type Code

**Process:**

- For each supplemental food item (e.g., gallon of milk), compare the total amount of that item the vendor purchased for sale in its store to the total amount of redemptions for that item

- Flag any food items for which the vendor had redemptions that exceeded the store's documented inventory and store in Monitoring Activity data store

**Outputs:**

Vendor sales analysis report

Data for TIP Report

**Implementation Approach**

- ▶ The system should support inventory audits by calculating for a selected vendor the quantities of supplemental foods sold based on the vendor's redemption of food instruments to compare with inventory records that show the quantities of foods purchased for a corresponding period of time.

### 3.9.8 Track Routine Monitoring

Routine monitoring means overt, onsite monitoring during which program representatives identify themselves to vendor personnel. The State agency must conduct routine monitoring visits on a minimum of five percent of the number of vendors authorized by the State agency as of October 1 of each fiscal year in order to survey the types and levels of abuse and errors among authorized vendors and to take corrective actions, as appropriate. The State agency must develop criteria to determine which vendors will receive routine monitoring visits and must include such criteria in its State Plan.

Routine monitoring usually includes an examination of vendor facilities to ensure all WIC-approved foods are available in sufficient variety and quantity, confirming price survey data, and observing whether cashiers are following required procedures for accepting and processing food instruments. The system should record data about monitoring visits as part of a comprehensive profile of vendors' WIC practices.

#### 3.9.8.1 Maintain Routine Monitoring Data

The system should capture, maintain, and report data about monitoring activities.

**Inputs:**

Local Agency Identification Number

Vendor Monitoring Activity Date

Vendor Monitoring Activity Investigator

Vendor Monitoring Activity Reason Code  
Vendor Monitoring Activity Task Code  
Vendor Monitoring Activity Type Code  
Vendor Monitoring Activity Violation Indicator Code  
Vendor Identification Number  
Vendor Monthly Redemptions  
Vendor Risk Factor Type Code

**Process:**

- Input data about the compliance activity and record in Vendor Monitoring Activity data store

**Outputs:**

Monitoring summary report  
Vendor monitoring history  
Data for TIP Report

### **3.9.9 Monitor Sanctions and Appeals**

Sanctions include disqualification, Civil Money Penalties (CMP) in lieu of disqualification, and administrative fines. Actions in addition to sanctions include remedial training, warning letters, and sanction points. For the most serious violations, Federal regulations prescribe the sanctions which the State agency must impose (mandatory sanctions). The State agency may establish sanctions for other violations, within certain limitations set forth in Federal regulations. All sanctions must be imposed in accordance with the State agency's sanction schedule.

After a sanction is imposed, the vendor may appeal the sanction through an administrative hearing and/or judicial proceedings except for a disqualification resulting from an FSP disqualification. For mandatory sanctions, the State agency must document in the vendor file whether a disqualification would result in inadequate participant access to supplemental foods, and the State agency must impose a CMP instead of a disqualification if the disqualification would result in inadequate participant access, with a few rare exceptions. Also, the State agency must notify a vendor in writing when an investigation reveals an initial violation for which a pattern of violations must be established in order to impose a sanction, before another such violation is documented, unless the State agency determines that notifying the vendor would compromise an investigation and documents this in the vendor file.

Retaining records of compliance investigations and vendor sanctions is important to support other WIC functions, in particular identifying and scheduling vendors for future compliance investigations, and selecting vendors for WIC authorization. The system should also support the reporting requirements related to compliance buys and sanctions.

Occasionally, vendors disqualified by one State agency will relocate to another State, open a store, and apply for authorization as a WIC vendor. The sharing of compliance and sanction information among WIC State agencies is useful to help identify vendors that have a history of WIC abuse and should not be selected for WIC authorization because of this history.

The system should support this function by retaining a complete history of compliance investigations and vendor sanctions, including those investigations that resulted in sanctions and those for which sanctions were not imposed or not upheld on administrative or judicial review.

### **3.9.9.1 Manage Vendor Sanctions**

Vendors who violate the WIC Program are sanctioned in accordance with State and Federal policy and regulations. (Refer to the current federal guidance for the information on sanctions for vendor violations and CMPs.) Vendors who are disqualified cannot accept WIC food instruments for the duration of their disqualification period. When a vendor is disqualified, the system should store the disqualification information in the Sanction data store and update the Vendor Authorization data store to reflect a change in vendor status.

#### **Inputs:**

Sanction Case Identification Number

Sanction Case Start Date

Sanction Case Status

Sanction Case Type Code

Sanction Date of Notice of Initial Violation

Sanction Determination that Notice Will Compromise an Investigation Indicator

Sanction Effective Date

Sanction Points Number

Sanction Type Code

Sanction Length of Disqualification

Sanction Vendor CMP Amount Assessed  
Sanction Vendor CMP Amount Assessed Date  
Sanction Vendor CMP Due Date  
Sanction Violation Code  
Vendor Identification Number  
Vendor Participant Access Determination Indicator

**Process:**

- Input the violation code for each vendor that commits a violation
- Assign a corresponding sanction for the particular violation
- Calculate the number of points for each vendor violation
- Determine sanction type and dollar amount of CMP, if CMP is assessed
- Prepare notice to vendor of sanction imposed, including the name of the vendor, address, identification number, the type of violation(s), and the length of disqualification or the length of the disqualification corresponding to the violation for which the civil money penalty was assessed, the procedures to follow to obtain a full administrative review, and the effective date of the action.
- When a vendor is disqualified due in whole or in part to violations subject to mandatory sanctions, such notification must include the following statement: “This disqualification from WIC may result in disqualification from the Food Stamp Program. Such disqualification is not subject to administrative or judicial review under the Food Stamp Program.”
- Update Sanction data store

**Outputs:**

Vendor sanction summary report  
Notice to vendor of sanction imposed  
Summary of CMPs due and paid to date  
Data for TIP Report

### Implementation Approaches

- ▶ The system should support the use of a point system for State agency-established sanctions. The system should automatically determine the number of points to be assigned for specific types of violations and maintain a tally of points accumulated by each vendor. When the point threshold is reached, the system would alert the State agency to sanction the vendor.
- ▶ The system should support the imposition of sanctions by automatically assigning the correct sanction for each type of violation. If a CMP is imposed in lieu of disqualification, the system should set up an account receivable.

#### **3.9.9.2 Monitor and Track CMP Payments**

Once a vendor is assessed a CMP, the system should support the capability to monitor the CMP status and track CMP payments. The system should also support the creation of an installment plan to allow the vendor to pay the CMP incrementally if needed.

##### **Inputs:**

Sanction Case Identification Number  
Sanction Vendor CMP Amount Assessed  
Sanction Vendor CMP Amount Assessed Date  
Sanction Vendor CMP Amount Collected  
Sanction Vendor CMP Due Date  
Sanction Vendor CMP Installment Amount  
Sanction Vendor CMP Installment Term  
Vendor Identification Number

##### **Process:**

- Maintain CMP account receivable data and store in Grants data store
- Create installment plans for vendor payment
- Track vendor payments
- Update Sanction data store

##### **Outputs:**

Notices to vendor regarding CMP status  
Receipts to vendors for payments made

## Report of outstanding/unpaid CMPs

### **3.9.9.3 Maintain Vendor Appeal Data**

Vendors have the right to appeal adverse actions, including sanctions. When vendors appeal sanctions, the system should capture and maintain data about vendor appeals, including tracking appeals from initial request through the final decision. For completed appeals, the system should maintain data regarding the decision and outcome of the appeal.

#### **Inputs:**

Sanction Case Appeal Indicator  
Sanction Case Appeal Outcome Code  
Sanction Case Identification Number  
Sanction Case Start Date  
Sanction Case Status  
Sanction Case Type Code  
Vendor Identification Number

#### **Process:**

- Input data on vendor sanctions initiated in the Sanctions data store
- Update data on vendor sanctions that are resolved in the Sanctions data store

#### **Outputs:**

Vendor appeal summary report  
Vendor appeal history  
Notice to vendor indicating outcome of appeal

### **3.9.10 Coordinate with Food Stamp Program**

The WIC State agency and the Food Stamp Program (FSP) must exchange information about mandatory sanctions imposed on vendors/retailers. If a vendor is disqualified by FSP, the WIC Program must disqualify the vendor, unless participant access would be jeopardized by the disqualification. Conversely, FSP must disqualify the vendor based on most mandatory WIC disqualifications, except in cases of participant hardship. Timely exchange of information between WIC and FSP accelerates the disqualification of abusive vendors, reducing the risk of

fraud and abuse in both programs, as well as increasing the effectiveness of investigative resources.

The system should support this data exchange by accepting as input information about FSP sanctions, and by producing reports of WIC sanctions for use by FSP. If the State agency needs a hard copy of the FSP disqualification notice for legal reasons, or if electronic data exchange is not available, at a minimum the WIC IS should support manual entry of FSP sanction data into vendor records. A PDF file may be acceptable as a hard copy.

### **3.9.10.1 Maintain Food Stamp Program Violation Data**

The system should capture data from FSP regarding sanctions imposed against vendors that are also authorized by the WIC Program. When the WIC State agency receives notification that vendors have been disqualified from FSP, the WIC State agency should use the FSP ID number to determine if this vendor is WIC-authorized. If so, the State agency can initiate disqualification action.

#### **Inputs:**

Sanction Referred from Food Stamps  
Vendor Food Stamp Identification Number  
Vendor Food Stamp Sanctions  
Vendor Identification Number

#### **Process:**

- Search the list of authorized WIC vendors by FSP identification number
- List vendors with matches

#### **Outputs:**

Listing of WIC vendors that have been disqualified from FSP  
Notice to WIC vendors of disqualification due to FSP disqualification

#### **Implementation Approach**

- ▶ An electronic file of sanctioned FSP vendors could be used by the WIC IS to automatically identify any WIC vendors that are a match to the sanctioned FSP vendors, although many State agencies require a hard copy of the FSP disqualification notice for legal reasons in order to follow up with a WIC disqualification. A PDF file may be acceptable as a hard copy.



► The WIC IS could also automatically disqualify matching vendors and produce a disqualification notice.

### **3.9.10.2 Report WIC Sanctions to the Food Stamp Program**

The system shall provide a method for notifying the Food Stamp Program of any WIC vendor sanctions and disqualifications. (Refer to the current federal guidance for the specific information on when to notify FSP and what information is required to be included in the FSP notice.) At a high level, the system should:

- Produce a notice of disqualification or CMP to vendors who abuse WIC and the length of the disqualification periods corresponding to the vendor's violations, with a copy sent to FSP for reciprocal action.
- Produce a notice to FSP of WIC vendors that have been assessed CMPs in lieu of disqualification.
- Produce a notice to FSP with the vendor's name, identification number, type of violation(s), and length of disqualification when WIC imposes a mandatory sanction on a vendor.

#### **Inputs:**

Sanction Effective Date  
Sanction Referred to Food Stamps  
Sanction Type Code  
Sanction Violation Code  
Vendor Food Stamp Identification Number  
Vendor Identification Number  
Vendor Referred to Food Stamps

#### **Process:**

- Produce a notice of the mandatory WIC sanction including the required vendor information

#### **Outputs:**

Notice to vendors and FSP of WIC vendors receiving mandatory sanctions  
Data for TIP Report

### Implementation Approach

- ▶ Information and notices to FSP regarding vendor sanctions could be created and transmitted to FSP electronically.

## 3.10 Scheduling

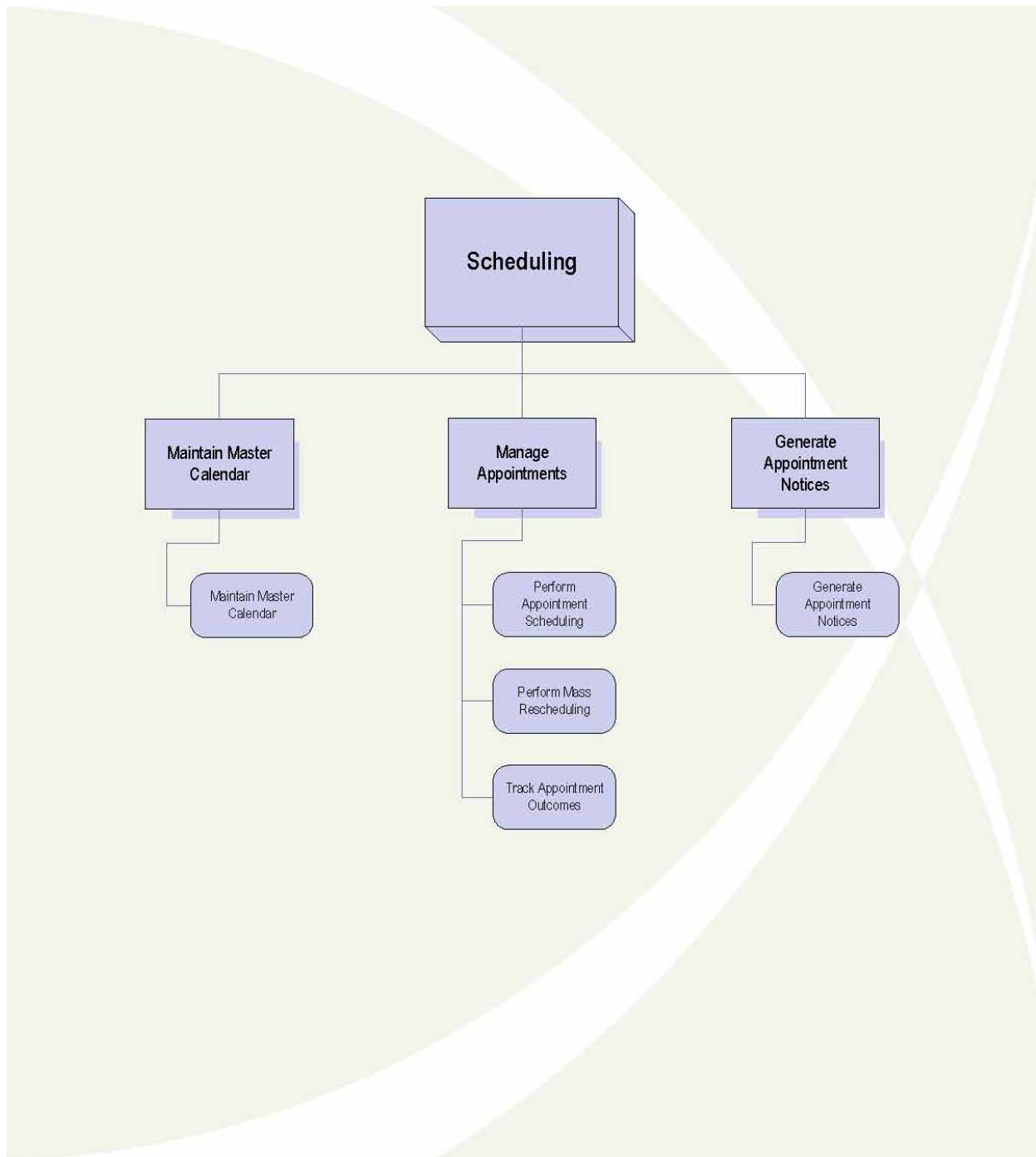
Automated scheduling capability allows WIC staff to operate and see participants more efficiently. Appointments and nutrition education classes can be scheduled months in advance and available openings can be easily identified. Scheduling functionality can also allow participants to choose a time that best meets their needs and allows WIC staff time to be managed more effectively.

A generic scheduling function can be used for numerous activities in the local agencies and clinics in addition to scheduling applicant and participant appointments. Agency personnel can schedule staff shifts, outreach activities, in-service training, and other administrative tasks using a generic scheduling function. The scheduler can also be used to track resources associated with providing customer service such as meeting rooms, audio-visual equipment, and clinic mobile units.

While the scheduling function is critical in the local agencies and clinics, it is also helpful for other areas of the WIC Program. The Vendor Management function can schedule vendor education classes, monitoring investigations, price survey visits, record audits, and rebate contract negotiations. The Customer Service area can schedule routine equipment maintenance, system training, and vendor/provider visits. State personnel can use this for planning local agency audits, meetings, and in-service training.

The Scheduling functions are:

- Maintain Master Calendar
  - Maintain Master Calendar
- Manage Appointments
  - Perform Appointment Scheduling
  - Perform Mass Rescheduling
  - Track Appointment Outcomes
- Generate Appointment Notices
  - Generate Appointment Notices



*Exhibit 3-10: Functional Decomposition Diagram – Scheduling*

### **3.10.1 Maintain Master Calendar**

The master calendar establishes the appointment days, times, and availability for the entire clinic or local agency.

#### **3.10.1.1 Maintain Master Calendar**

The system should maintain a master calendar for scheduling purposes.

##### **Inputs:**

Clinic Identification Number  
Event Slot Date  
Event Slot Description  
Event Slot Duration  
Event Slot Identification Number  
Event Slot Language Code  
Event Slot Maximum Number of Slots  
Event Slot Required Resource Type Code  
Event Slot Time  
Event Slot Type Code  
Local Agency Identification Number  
Master Calendar Create Date  
Master Calendar End Date  
Master Calendar Identification Number  
Master Calendar Start Date  
Master Calendar Type Code  
Resource Description  
Resource Identification Number  
Resource Type Code

##### **Process:**

- Accept user input specific parameters
- Generate calendar with available characteristics and slots based on these parameters

- Assign needed resources from the available resource list and remove the resource from the list for that slot
- Update the Master Calendar and Event Slot data stores

### Outputs:

Master calendar

#### Implementation Approaches

- ▶ The master calendar could be used by a local agency or individual clinic. A WIC staff person can build the master calendar by specifying the maximum available slots, the available staff, and other appointment dates, types, and durations. Additional parameters for other characteristics of appointments, such as the language of the class, can be added into the calendar. Based on these parameters, the system could create a calendar in advance. Calendars could be set-up at different levels (e.g., staff member, clinic, local agency, State agency staff, etc.). The user could be able to define event types for easy scheduling and set up. WIC staff could be able to add, update, and delete information from the calendar as necessary. The time period covered by a specific master calendar could be parameter driven so that it can also vary according to user needs.
- ▶ For each event slot on the calendar, the staff member constructing the calendar could enter the event type, responsible staff, meeting room location (if applicable), needed resources, duration, and the number of available slots for the event. The specific information associated with the event depends on the type of event.
- ▶ When scheduling an event, needed resources could be associated with the event. Meeting rooms, audio visual equipment, furniture, pamphlets/publications, and other resources could be assigned to a given slot on the calendar. As available resources are assigned to specific slots on the master calendar, the resources could be deleted from the available resource list so that they can no longer be scheduled. Once the resources are again available after the event, they could be added back to the available resources list.

## 3.10.2 Manage Appointments

### 3.10.2.1 Perform Appointment Scheduling

The system should be able to maintain an appointment schedule and allow users to schedule appointments for individual or group appointments. Using the master calendar, WIC staff should be able to track the availability of a particular date and time to ensure that a particular appointment slot is available when scheduling an appointment. Each time an appointment is scheduled for a specific slot, the system should decrement the number of available slots.

### Inputs:

Education/Training Offer Class Code  
Event Preference Preferred Day  
Event Preference Preferred Language Code  
Event Preference Preferred Time  
Participant Family/Household Identification Number  
Participant Identification Number  
Scheduled Appointment Date  
Scheduled Appointment Number of Expected Attendees  
Scheduled Appointment Time  
Scheduled Appointment Type Code

### Process:

- Accept user entered appointment preferences and store in Event Preference data store
- Check for appointment availability at particular time and date that meet preference parameters and present viable options or allow staff members to search the available schedule
- Collect and store daily appointment schedule data and applicant appointment data in the Scheduled Appointment data store
- Decrement the Appointment Maximum Available Slots (the maximum number of slots available for a particular day and time or for a particular class) each time a new appointment is made

### Outputs:

Screen display of appointment schedule availability  
Screen display of individual/family appointment schedule  
Daily schedule of clinic appointments by event type

#### Implementation Approaches

- ▶ When all the slots are full (meaning the date and time is full or all class slots are filled for a particular class time), the system could notify the WIC staff of this condition. The system could allow the staff to select another time and/or date or add an appointment even when all schedule slots are full (e.g., allow overbooking to compensate for expected no shows).

- ▶ The system could allow for a variety of appointment management functions, such as searching for the next available appointment, searching for an existing appointment, printing rosters for classes, and blocking non-working time on the schedule.
- ▶ The system could allow scheduling of appointments for various types of clinic events, such as certification appointments, nutrition education visits and classes, and food benefit pick-up appointments. The system could also allow the provision of extra time slots to accommodate walk-in applicants.
- ▶ The system could accept preferences for an appointment. The preferences may include such parameters as time of day, day of week, language, linkage with other family members, and linkage with other services (such as a prenatal or well-child appointment). Once the preferences are entered, the appointment scheduler could suggest available appointments that match the preference criteria.
- ▶ The system could be flexible enough to accommodate the scheduling needs for different target audiences and levels of the WIC Program. For example, the appointment scheduler could be capable of scheduling vendor events, customer service events, and outreach activities. In some cases, as in a nutrition education or vendor training class, a staff member scheduling the appointment may need to keep track of the number of anticipated attendees.
- ▶ The system should remind users to maintain proper processing timeframes (10/20 days) by alerting staff if an appointment being scheduled does not meet the standard for the participant category.
- ▶ The system should be able to coordinate appointments for multiple members of a family/household.

### ***3.10.2.2 Perform Mass Rescheduling***

Clinics may need to reschedule all appointments on a certain day or at a certain time due to conflict, availability of staff, or adverse weather conditions. The system should have the capability to accommodate this type of situation. The system should allow the user to select a day, time, or event and reschedule all appointments for another day, time, or event.

#### **Inputs:**

Education/Training Offer Class Code

Scheduled Appointment Date

Scheduled Appointment Outcome Code

Scheduled Appointment Time

#### **Process:**

- Retrieve appointment schedule for the selected day, time, or event



- Update Scheduled Appointment Outcome Code to indicate the appointment or event is rescheduled
- Update Scheduled Appointment Date and Scheduled Appointment Time with new appointment information in the Scheduled Appointment data store

**Outputs:**

List of rescheduled appointments

**Implementation Approaches**

- ▶ The system should generate a list of applicants, participants, vendors, or other parties that have been rescheduled.
- ▶ The system should generate a notice to each applicant, participant, vendor, or other party who has had an appointment rescheduled.
- ▶ The system should generate a file of applicants, participants, vendors, or other parties that have been rescheduled to send to an autodialer.

**3.10.2.3 Track Appointment Outcomes**

The system should track attendance (or non-attendance) at scheduled events.

**Inputs:**

Education/Training Offer Class Code

Participant Family/Household Identification Number

Participant Identification Number

Scheduled Appointment Date

Scheduled Appointment Missed Reason

Scheduled Appointment Number of Actual Attendees

Scheduled Appointment Number of Expected Attendees

Scheduled Appointment Outcome Code

Scheduled Appointment Time

Scheduled Appointment Type Code

**Process:**

- Access appointment for individual, family/household, or group
- Update appointment outcome

### Outputs:

Updated appointment outcome

#### Implementation Approaches

- ▶ The user may manually enter the outcome of an appointment (e.g., attended, rescheduled, no-show) into the system.
- ▶ At the end of a clinic day, a process could run to update appointment statuses based on other actions that have taken place. For example, if a participant is certified or issued food benefits that day, then the appointment status could automatically update to “attended/kept.” If no specified actions have taken place on that participant on that day (for example, no food instruments have been issued and the appointment has not been rescheduled or cancelled), then the appointment could be marked “missed.”
- ▶ For group classes, appointment outcomes could be entered for the entire group, rather than by accessing and updating individual or family/household records.
- ▶ Appointment information for all members of the family/household could be updated simultaneously (i.e., the system could accept the status update once and apply it to all applicable people in the family/household).
- ▶ If appointment types for events such as nutrition education are established, topics covered at the event could be linked to the appointment type and captured upon marking a participant “attended” at the event/appointment.

## 3.10.3 Generate Appointment Notices

### 3.10.3.1 Generate Appointment Notices

The system should print a notice for a scheduled appointment; this should accommodate any appointment type, such as certification appointments, nutrition education visits and classes, and food benefit pick-up appointments. The notice should include information necessary to remind the individual or family of the appointment, such as the name of the person(s) with the appointment, the type of appointment, the date, and the time of the appointment.

#### Inputs:

Participant Identification Number

Scheduled Appointment Date

Scheduled Appointment Document Code

Scheduled Appointment Time

**Process:**

- Accept user request to generate an appointment notice
- Retrieve data from the Scheduled Appointment and Participant data stores
- Create appointment and reschedule notices

**Outputs:**

Appointment and reschedule notices

**Implementation Approaches**

- ▶ The system could print mailing labels to expedite the postage of notices to participants.
- ▶ The system could produce notices by individual or family.
- ▶ The system could have the ability to produce appointment reminder notices for all appointments during a period of time based on user-entered parameters. For example, a user could print appointment notices for all appointments scheduled for the following week.
- ▶ The system could have the ability to maintain appointment notice templates that can be rapidly filled with specific information related to a participant, as necessary.
- ▶ The system could have the ability to download a file into an automated dialer (autodialer), so participants could be reminded in advance of their appointments or notified that they need to reschedule a missed appointment.
- ▶ The system could have the ability to produce appointment reminders that could be sent via email.

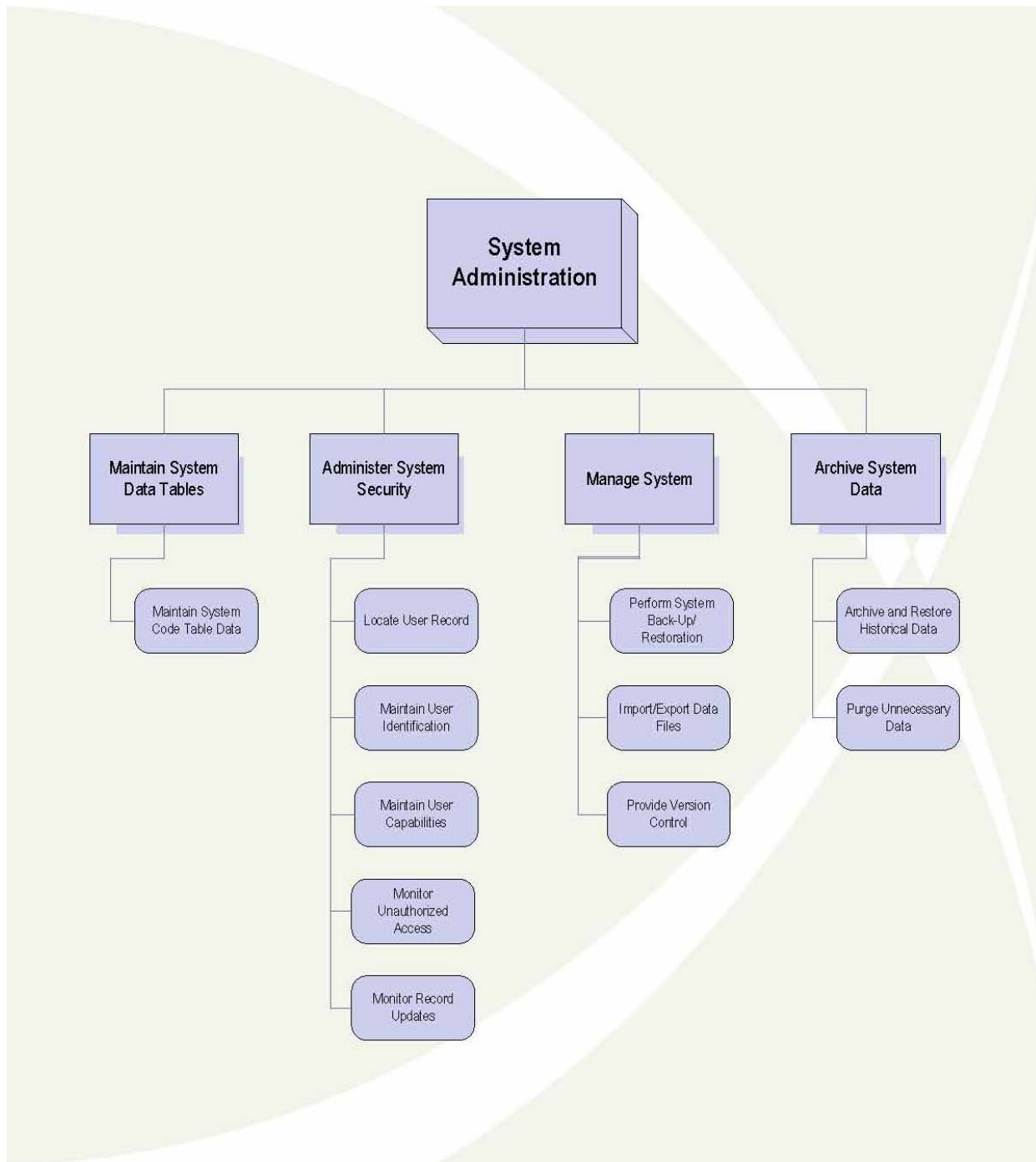
### 3.11 System Administration

The System Administration functional area is intended to contribute to the overall flexibility, efficiency, and security required for operating and maintaining the system. Depending on the architecture of the system, system administration functions may vary. This section represents a base level of functions used to support system administration activities.

This functional area provides the capabilities to maintain information contained in system data (reference) tables, to control general access to the system as well as the ability to perform specific functions, to perform system “housekeeping” and maintenance functions, and to move certain files to off-line storage for increased system efficiency. Additionally, this functional area includes reports that are relevant to monitoring system operation and performance.

System Administration is made up of the following functions:

- Maintain System Data Tables
  - Maintain System Code Table Data
- Administer System Security
  - Locate User Record
  - Maintain User Identification
  - Maintain User Capabilities
  - Monitor Unauthorized Access
  - Monitor Record Updates
- Manage System
  - Perform System Back-Up/Restoration
  - Import/Export Data Files
  - Provide Version Control
- Archive System Data
  - Archive and Restore Historical Data
  - Purge Unnecessary Data



*Exhibit 3-11: Functional Decomposition Diagram – System Administration*

### 3.11.1 Maintain System Data Tables

State must have the flexibility to adapt to periodic changes in food packages, nutrition measurement, vendor risk, and other elements of the WIC Program. In an automated system, many of these data elements are stored in data code tables used for data validation and other internal system processes. For the sake of efficiency, many of these data elements are stored as one- or two-digit codes. Each code typically has a full text translation. These codes and accompanying text are established by the State agency. Data elements contained in data code tables could be shared with one or more data stores.

This data code approach to maintaining information becomes useful for entering data entered into the system. For example, when a participant's racial or ethnic origin is recorded during enrollment processing, the racial/ethnic code entered into the system is compared to the legitimate codes contained in the Racial/Ethnic Code data code table. If the code is located in the table, the information is accepted and stored by the system. If, however, the code does not exist in the table, the system returns an error message to the user.

The ability to maintain the system's data code tables is critical to allow the system to easily adapt to changes in the WIC Program. The information in these tables must be current and accurate to ensure the accuracy of the data validation processes that take place in the system. Incomplete or erroneous data in the data tables may permit the entry of invalid data, or prevent the entry of legitimate information.

The system must allow authorized users to review and update the data contained in the system data code tables. It is recommended that the update of data code table elements occur in a real-time mode so that changes can be accessed by the data validation process immediately. This implies that data code tables are shared outside the application programs. However, some tables (e.g., tables unique to a single process) could be hard coded within programs. While this is a design issue, it is important to note it in this discussion.

The suggested data code tables for an automated State system and their definitions are listed in *Section 4.2: Data Tables*.

#### 3.11.1.1 Maintain System Code Table Data

The system should support this function by allowing authorized users to add, delete, or change data elements in the defined tables via the application (i.e., screen).

### Inputs:

The system should allow addition, deletion, or update of any unrestricted data element contained in the data code table. Most data code tables consist of a code and a description of the data that each code represents. The individual data elements for each of the suggested data tables are contained in *Section 4.2, Data Tables*.

### Process:

- Edit new and updated data elements
- Store edited data in appropriate data code table

### Outputs:

Screen display and report of data code table

#### Implementation Approaches

- ▶ When values may change regularly (such as income guidelines), data tables could be easily updateable by non-technical users. If drop down lists are used, authorized non-technical staff should be able to update the values as needed.
- ▶ Non-programming users must not be allowed to change any of the characteristics of the data elements, such as field length or field type, through this function. Those types of changes necessitate programming modifications by programming staff (e.g., IT resources or contractor programming engineers).

### 3.11.2 Administer System Security

Federal regulations require that only authorized individuals have access to WIC information. Access to sensitive health and income information must be limited to those individuals at State and local agencies that require such information to serve WIC participants and administer the Program. The issuance of food benefits is another sensitive area that requires tighter controls than most other management information or participant processing functions. The various controls placed on access to the system in general and these areas in particular, constitute a large part of system security.

Administering system security is important because it protects the access to information in the system. System security prevents unauthorized individuals from entering or updating WIC information. It also provides a means of ensuring that only those individuals that have been adequately trained in system operations can access any of the system's functions. Finally, accurate identification of the users enables the system to create a complete audit trail of all transactions in the system.

In general, the system should support standard security features such as system generated user codes, passwords, timed logouts, and access lockout after a given number of unsuccessful system access attempts. The system must be able to distinguish between those capabilities that can be performed by a State agency user and those that can be performed by a local agency user. For example, enrollment processing is usually performed at the local level, while food management is primarily the domain of the State agency. In this specific function, the WIC IS should allow authorized users to add, delete, or update user access and identification information in the system.

Optimally, the system should provide the ability to record and control the specific capabilities of each user at a level defined by the State agency. State and local agencies might also want the capability to record and review attempts at unauthorized access to the system.

### **3.11.2.1 Locate User Record**

*After a record is created or to determine if a data record exists in the system, staff members have to have the ability to locate the record for viewing or data entry.*

The system should have the capability to search for user records using predefined criteria.

#### **Inputs:**

Data elements included in a search function will vary based on design and State agency preferences. See Implementation approaches for examples.

#### **Process:**

- Compare data search criteria with existing database records
- Display records that match search criteria
- Allow user to access the data record(s) matching search criteria

#### **Outputs:**

Screen display of matching records

Screen display of selected record



#### Implementation Approaches

- ▶ Various data elements could be included in the search, such as identification number, name, user type (e.g., clerk, super user), or local agency.

### **3.11.2.2 Maintain User Identification**

The system should allow authorized users (usually the system administrator) at the State agency level to add, delete, or update users in the system. When a new user is entered, the system should assign a User Identification that uniquely identifies the user.

#### **Inputs:**

User Identification End Date  
User Identification Number  
User Identification Start Date  
User Name  
User Organization Supervisor  
User Password (Encrypted)  
User Social Security Number  
User Supervisor Telephone Number  
User Telephone Number  
User Title/Role

#### **Process:**

- Create User Identification (if not entered)
- Store edited user data in the User data store

#### **Outputs:**

User ID confirmation notice  
Screen display of all users

#### Implementation Approaches

- ▶ Users could be assigned to specific local agencies/clinics or to statewide access.
- ▶ The system could produce a notice to be sent to the user, which provides the new User ID and a temporary password to gain initial entry into the system. The user could be required to change their temporary password upon initial login.

- ▶ Users could be required to change their passwords on a regular basis (30 to 60 day intervals are suggested). The system should prompt users to change their passwords 7 to 14 days in advance of password expiration.
- ▶ The system could maintain a list of the last few (10 to 12) used passwords so that the user cannot select a password that they recently used.
- ▶ The system could require strong passwords (combinations of letters, numbers, and special characters).
- ▶ In the future, advanced technologies may be used to more securely verify a user's identity before access is granted to the system. Such technologies may include the use of an integrated circuit chip (smart card) to maintain a user's password or a digital certificate. When a user logs onto the system, the security application may read the smart card and retrieve either a password or a digital certificate for verification. The identity of the cardholder could then be verified prior to granting access to the system. This technology would operate similarly to the use of passwords.

### **3.11.2.3 Maintain User Capabilities**

The system should control access to specific functions within the system. Access to these functions should be controlled for each user by indicating which functions the user is authorized to perform. For example, a clerk may be allowed to enter eligibility data, but not allowed to assign risk codes.

The system should enable authorized users (e.g., System Administrator) to update these indicators for each user. The system should provide a display screen that identifies the authorized capabilities, and print a listing with the names of all users at a site authorized to perform a specific function.

#### **Inputs:**

User Access Function Code  
User Access Function Privilege  
User Identification Number

#### **Process:**

- Accept user-entered user access function and function privileges
- Validate User Identification and capability data
- Store or update capability data in the User Access data store

#### **Outputs:**

User capability profile

## Audit file

### Implementation Approaches

- ▶ The system could have a series of roles that are comprised of various functions or access rights. Users could be assigned to applicable roles based on their function in WIC.
- ▶ Users could be set up with differing access rights depending on which clinic data set they are accessing (if the State separates data set access by clinic). For example, a CPA may have one set of access rights at Clinic A and another set of rights at Clinic B.

### 3.11.2.4 Monitor Unauthorized Access

The system should monitor attempts to access the system. Unsuccessful attempts should be logged for follow-up, if necessary.

#### Inputs:

Unauthorized Access Date

Unauthorized Access Function Code

Unauthorized Access Terminal Identification Number/IP Address

Unauthorized Access Time

User Identification Number

#### Process:

- Record user ID, date, time, and terminal location or IP address for each unauthorized access attempt
- Generate Unauthorized Access Report upon request

#### Outputs:

Unauthorized access report

### Implementation Approaches

- ▶ The system could monitor attempts by users (who have access to the system) to gain access to specific functions for which they are not authorized according to their assigned capabilities. The system could produce a report, upon request, that lists individuals who have attempted to gain unauthorized access to WIC functions.

### **3.11.2.5 Monitor Record Updates**

To support detailed auditing of system usage, the system should capture the user who has updated system records. Each time a user enters or changes a data element, the system should associate a user ID with the modified data field, as well as a date for the data element change. If there is any need to trace changes to the database, system audit files produced as a result of this function could be reviewed. The system should produce a report that lists specific changes and the user and date associated with these changes. This is especially important for tracking certification functions that must be performed by different entities.

#### **Inputs:**

Created Date  
Created User  
Last Modified Date  
Last Modified User  
User Identification Number

#### **Process:**

- Record user ID, date, and time each change to system data
- Create Audit File

#### **Outputs:**

Modified data element audit file/report

### **3.11.3 Manage System**

The system should automatically monitor and support the ongoing operation of the system and its components.

#### **3.11.3.1 Perform System Back-Up/Restoration**

*The system should be backed-up at least daily so that data can be restored in the event of a system outage. The method for back-up may vary from system to system. Typically in centralized systems the data are backed-up at the data center. If a system failure occurs, the backed-up data are used to restore the database to its existing state just prior to the failure.*

The system should have the capability to perform an automated data back-up at a scheduled time without user intervention. To restore the database, the data should be copied from the back-up file to the database tables.

**Inputs:**

All newly entered data since last back-up

**Process:**

To back-up the data, the system should:

- Initiate timed back-up procedure
- Create Back-Up File

To restore the data, the system should:

- Load Back-Up File
- Copy Back-Up File to Database

**Outputs:**

Screen display confirming completion of successful data back-up/restoration

**Implementation Approaches**

- ▶ A mirrored back-up on a back-up drive could provide redundancy for quick recovery in case of drive failure.
- ▶ Data could also be “striped” across more than two back-up drives.
- ▶ Offsite storage of the application and vital programs at a remote hot site could be addressed in case of disaster.

**3.11.3.2 Import/Export Data Files**

*Some functionality needed to support WIC business processes may be automated but performed outside the main system. This functionality is provided through stand-alone applications that operate on separate hardware platforms, but require the use of data collected and maintained through the main system. For example, some states perform caseload management and financial analyses in Commercial-Off-the-Shelf (COTS) spreadsheet packages. These generic packages need financial and participation data collected through the WIC IS to perform this functionality.*

*Alternatively, legacy applications may create data that is needed for processing within the WIC IS. For example, a WIC IS may use*

*information imported from the state Medicaid files to determine adjunct income eligibility.*

The WIC system should be able to import data from other systems as well as to extract data to be exported to external systems.

**Inputs:**

Required data elements depend upon the type of data being exported/imported.

**Process:**

To export the data, the system should:

- Retrieve Data
- Format Data
- Create export file

To import the data, the system should:

- Receive import file
- Update system database with data from import file

**Outputs:**

Required data elements depend upon the export file type

### **3.11.3.3 Provide Version Control**

*The requirements for configuration management vary according to the architecture of the system. In a centralized web-based system, software version control is relatively easy to manage. The data center staff controls the version of software running on the central host to which all sites are linked. When an update to software is made, the software is replaced on the central processor*

The system should accept version updates at the central host.

**Inputs:**

Software Updates

**Process:**

- Log software version release
- Install new software at the host

**Outputs:**

Updated software

Updated version indicator in software

### **3.11.4 Archive System Data**

WIC Program requirements stipulate that program records be kept for a period of time. To satisfy this requirement while preserving efficient system operation, it may be necessary to remove information that is not required for the day-to-day processing in the system. Historical WIC data can be stripped from the system and stored off-line (archived) for potential future use.

#### **3.11.4.1 Archive and Restore Historical Data**

The system should archive historical WIC participant records according to parameters specified by the State agency. It should be possible to specify different periods for different types of records since it is important to retain some types of data for longer periods than other data. The system should leave some type of indicator that informs a user that a record was previously stored in the system and is now located in the system archives. The system must also be able to retrieve those files for user access within a specified period of time (e.g., 24 hours), upon request.

**Inputs:**

Archive End Date

Archive File Number

Archive Location

Archive Name

Archive Parameters to select data for archiving

Archive Record Type Code

Archive Start Date

**Process:**

To archive historical data, the system should:

- Copy historical data to storage medium based on user-provided date parameters
- Strip archived data from the system

To restore archived data, the system should:

- Load data files or individual records according to user-specified parameters

**Outputs:**

Archive files

Restored data

**Implementation Approaches**

- ▶ Operating procedures could be established at local agencies and clinics to request retrieval of this information so that participants are not turned away because their files are not available on line.

**3.11.4.2 Purge Unnecessary Data**

*This process is identical to the archive process described above, with the exception that the data are not stored before they are stripped from the system. State agencies may collect some types of information that are of no use after the period that they are needed online.*

The system should allow this information to be purged completely.

**Inputs:**

Purge Parameters

**Process:**

- Retrieve data that meets the purge parameters
- Strip data to be purged from the system

**Outputs:**

Purge file

Purge report



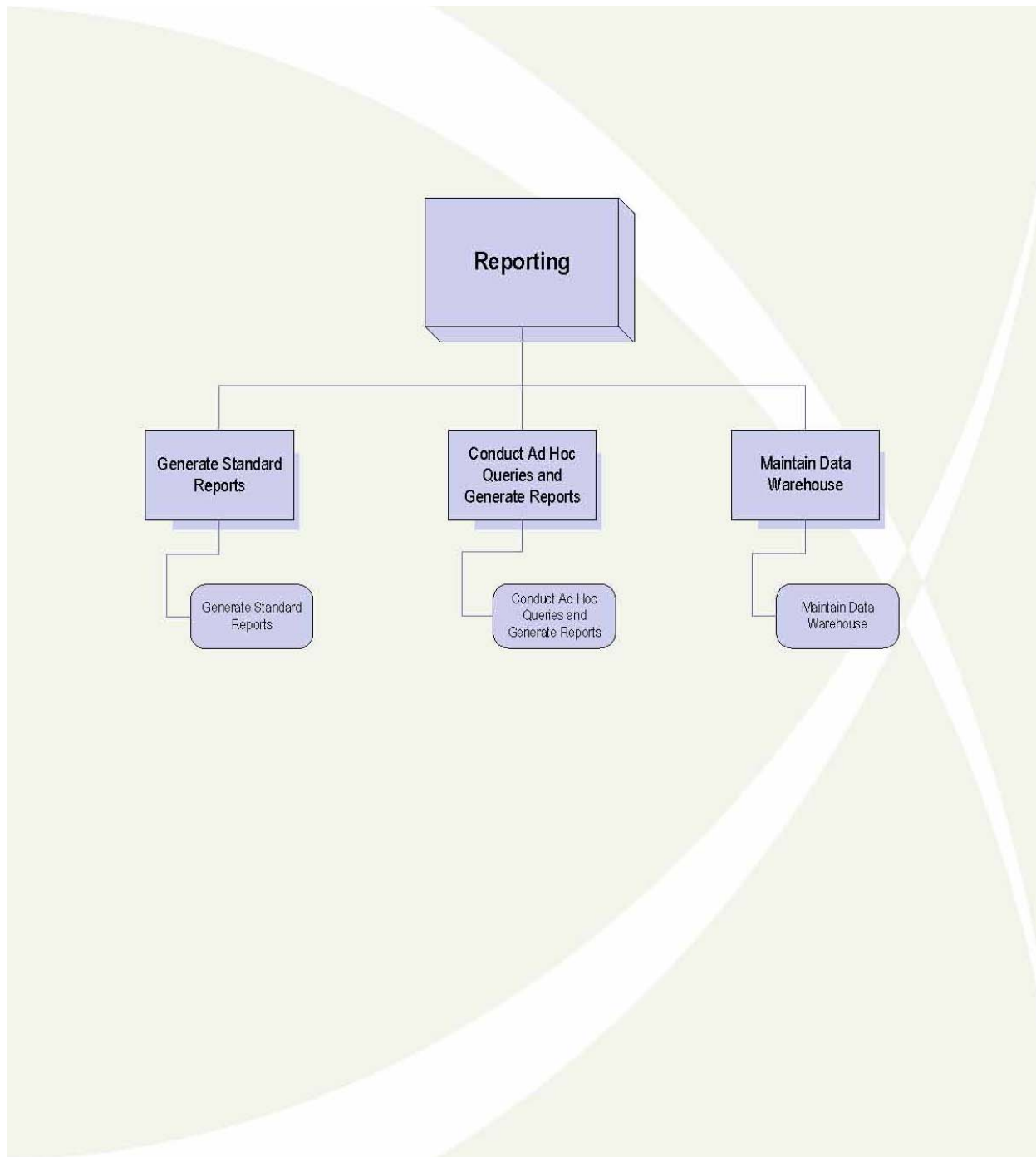
## 3.12 Reporting

The system should produce reports for State and local agencies to use in managing their systems, as well as for information that has to be submitted to FNS or CDC. While standard reports are necessary, particularly for reports such as the FNS-798, ad hoc reports allow for flexibility in accessing information on an as needed or one-time-only basis.

The reporting function uses data from all of the other functional areas to provide information that can be used for monitoring, management, planning, and evaluation.

Reporting is comprised of the following functions:

- Generate Standard Reports
  - Generate Standard Reports
- Conduct Ad Hoc Queries and Generate Reports
  - Conduct Ad Hoc Queries and Generate Reports
- Maintain Data Warehouse
  - Maintain Data Warehouse



*Exhibit 3-12: Functional Decomposition Diagram – Reporting*

## 3.12.1 Generate Standard Reports

### 3.12.1.1 Generate Standard Reports

Standard reports provide pre-defined data sets in a consistent format. These recurring reports should be able to be displayed on the screen, printed in hard copy, or saved to an electronic file for later printing or import into another software product. To allow for some limited customization of standard reports, the system may allow users to enter data selection or sort parameters to limit the scope of data included in the report or method of presenting the data.

States vary substantially in their reporting capabilities and needs. The following list is a sampling of some standard reports that may be used by States; the ability to produce these reports depends on design decisions, such as data elements capturing data needed for the specific report. The listing of reports has been provided by functional area as well as alphabetical. To assist readers looking for reports related to EBT, a column has been included in the Reports by Functional Area to identify those reports that exist in a system with EBT issuance capabilities.

While the functionality of the reports may be common across States, the specific data elements that would be included in the reports will depend on State needs and system design decisions. This listing is not intended to be exhaustive, but rather to provide ideas for States initiating the report design process; the samples below are primarily to serve as a guide for States wishing to automate their system's reporting functionality.

#### **Inputs:**

Inputs vary based on report requested

#### **Processes:**

- Accept user input of selected report
- Generate report

#### **Outputs:**

Requested standard report

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Certification	Bloodwork Needed	Lists individuals who need a follow-up appointment for a blood test.	
Certification	Disqualified Participants Report	Provides information needed to prevent re-enrollment and for sharing with other WIC agencies during sanction period.	
Certification	How Participant Heard About WIC Local Agency and State Summary Reports	Lists how participants found out about the WIC Program. The report is to be used by agency staff to evaluate outreach efforts.	
Certification	Ineligibility Summary Reports for Local Agency and State	Reports applicants deemed ineligible.	
Certification	Migrant Participation Report	Provides the average annual migrant participation (from July to June) for use on the FNS-798 form submitted in July.	
Certification	Nutrition Risk Assessment Needed	Lists individuals who need an appointment for nutrition risk assessment.	
Certification	Outstanding Delayed Blood Work Report	Lists outstanding blood tests for reference by local staff. Staff members can then schedule the required bloodwork or remind the participant to bring in referral data by the specific due date.	
Certification	Participant Local WIC Agency and State Summary Reports	Various participant summary reports at State and local levels.	
Certification	Participant Services Summary Report	Summarizes WIC services provided to a participant.	
Certification	Participant Source of Health Care Report	Reports the providers where the participant receives health/prenatal care.	
Certification	Participant Summary Document	Summarizes case information for a participant for reference by local staff. May include Current or current and historical case information.	
Certification	Participants by County and Municipality Local Agency and State Summary Reports	Lists participants by geographical grouping as specified (i.e. county, state, etc).	
Certification	Pending Applications	Reports the applications that are not yet completed, certified, or determined ineligible.	
Certification	Referrals from WIC to External Agencies Summary Report	Lists all referrals from a WIC agency to any external agency.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Certification	Referrals from WIC to Outside Agencies Local Agency and State Reports	Lists referrals of WIC participants to specific outside agencies.	
Certification	Subsequent Certifications Due Summary Report	Reports participants in need of next certification visit.	
Certification	Termination Report	Reports all participants terminated from the program or found ineligible.	
Certification	Waiting List Local Agency Report and State Summary Reports	Reports the number of applicants on the waiting list and their priorities.	
Certification	WIC Priority Participation Report	Provides monthly participation by priority level. Categories include pregnant women, breastfeeding women, postpartum women, infants, and children. This information is part of the Minimum Data Set for the PC Report.	
Certification	Special Formula/Medical Foods Received	Lists participants who are receiving special formula/medical foods and the reason.	
Certification, Financial Management	WIC Program State Agency Participation and Expenditure Report (FNS-798)	Provides monthly participation data, sorted by category and expenditure data, sorted by food and administration. This report also reflects monthly food and NSA funds and costs, as well as the status of food and NSA grants as State agencies exercise spending options. The closeout FNS-798 records the final status of the State agency's WIC grant and costs for the report year.	
Nutrition Education, Health Surveillance, & Referrals	Aggregate Health and Social Service Program Referrals Report	Displays frequency of referrals made and outcomes and referrals from other programs.	
Nutrition Education, Health Surveillance, & Referrals	High Risk Participants Report	Lists high risk participants and should include high risk indicators to aid in follow up.	
Nutrition Education, Health Surveillance, & Referrals	Participant Care Plan	This report is a plan that maintains the progress toward attaining nutrition and health goals over time. It tracks various aspects of a participant's case history including nutrition education provided and referrals to other programs.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Nutrition Education, Health Surveillance, & Referrals	Participant Percentile Change Report	Displays participant growth over time in tabular format.	
Nutrition Education, Health Surveillance, & Referrals	Participant Referral Report	Lists participants referred and agency or program to which they were referred.	
Nutrition Education, Health Surveillance, & Referrals	Referrals to/from WIC By Program/Agency Report	Supports the analysis of referral program effectiveness by identifying those external health and social service agencies that refer Participants to WIC or receive referrals from WIC.	
Nutrition Education, Health Surveillance, & Referrals	Voter Registration Report	Reports participants assisted in voter registration.	
Nutrition Education, Health Surveillance, & Referrals	WIC Program Participant Characteristics Minimum and Supplemental Data sets for FNS (PC Report)	Data file for FNS.	
Nutrition Education, Health Surveillance, & Referrals	Report for Centers for Disease Control and Prevention – PedNSS <sup>60</sup>	Pediatric Nutrition Surveillance Set data file for CDC.	
Nutrition Education, Health Surveillance, & Referrals	Report for Centers for Disease Control and Prevention – PNSS <sup>61</sup>	Pregnancy Nutrition Surveillance Set data file for CDC.	
Food Management	Approved Foods	Lists and describes all foods authorized for use in the State agency's WIC Program. This will include approved infant formulas.	
Food Management	Approved Food Packages	Lists and describes the food packages for each category of participant.	

<sup>60</sup> Readers should refer to CDC documentation for ideal features and data elements as preferred by the CDC for PedNSS reporting. Links to the CDC website and reference information can be found in Appendix F: Policy and Data References.

<sup>61</sup> Readers should refer to CDC documentation for ideal features and data elements as preferred by the CDC for PNSS reporting. Links to the CDC website and reference information can be found in Appendix F: Policy and Data References.

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Food Management	Food Category/Subcategory Table	List of all food categories and subcategories.	
Food Management	Food Price List	Lists foods at the Category/Subcategory level and their maximum prices allowed by peer group.	✓
Food Management	Estimated Food Redemption Values	Provides data at the Category/Subcategory level on the estimated value for each food type by peer group.	✓
Food Management	List of State Approved Food Instrument Types	Lists all food instrument types.	
Food Management	Estimated Food Instrument and Maximum Values	Provides data on the estimated value for each food instrument type and the maximum value for that food instrument by peer group.	
Food Management	Estimated Redemption Value for Food Instruments Issued	Lists by month of issue, all food instruments issued and their estimated redemption value by peer group. The system should array the data by local agency and total for the State agency.	
Food Management	UPC Database for WIC Authorized Foods	Lists and describes all foods with their UPCs that are authorized for issuance according to the standard category/subcategories. The system should provide a hard copy and electronic file.	✓
Food Management	Food Item List with Maximum Allowed Amounts	Lists all approved foods maintained in the UPC database and their maximum prices allowed by peer group.	✓
Food Benefit Issuance	Participants to Date by Local Agency	Lists all participants issued food benefits for the month to date.	
Food Benefit Issuance	Lost And Stolen Food Instruments By Local Agency	Provides a list of food instruments that have been reported as lost or stolen.	
Food Benefit Issuance	Food Instruments Issued (Monthly)	A list of food instruments issued during a month period for use in reconciliation.	
Food Benefit Issuance	Electronic Benefits Issued (Monthly)	A list of benefits via EBT issued during a month period for use in reconciliation.	✓
Food Benefit Payment, Settlement & Reconciliation	Rebate Report	Lists all redeemed foods that are eligible for a rebate (e.g., infant formula or infant cereal).	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Food Benefit Payment, Settlement & Reconciliation	Infant Formula Purchases	Totals the amount and value of all redeemed infant formula food instruments by type and form.	
Food Benefit Payment, Settlement & Reconciliation	Food Instrument Reconciliation Report	Lists the disposition of all food instruments issued and final redeemed value or designation as void – unissued, void-expired, or void-unclaimed.	
Food Benefit Payment, Settlement & Reconciliation	Food Instrument Rejection Reports by Vendor	Provides a listing of specific food instruments that the system has rejected for payment and the reason for each rejection. The report would include all rejections for both pre-payment and/or post-payment screens.	
Food Benefit Payment, Settlement & Reconciliation	Redeemed But Not Issued	Lists all food instruments without an issuance record by local agency for use in locating a certification record for investigation.	
Food Benefit Payment, Settlement & Reconciliation	Redemption Value by Issue Month	Provides the actual redemption value by month of issuance for all food instruments.	
Food Benefit Payment, Settlement & Reconciliation	Summary Food Instrument Redemptions by Vendor	Provides the value of food instrument redemption broken out by vendor.	
Food Benefit Payment, Settlement & Reconciliation	Redemption Value by Issue Month	Provides the outstanding estimated redemption values and actual redemption value by month of issuance for all household food benefits.	
Food Benefit Payment, Settlement & Reconciliation	EBT Reconciliation Report	Lists the issued food benefits (by food category/subcategory) versus the redeemed food benefits (by food category/subcategory) by month.	✓
Food Benefit Payment, Settlement & Reconciliation	Monthly Food Obligations and Redemption Report	Lists monthly food obligations (by food category/subcategory) versus monthly food redemptions (by food category/subcategory) by local agency.	



*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Financial Management, Certification	WIC Program State Agency Participation and Expenditure Report (FNS-798)	Provides monthly participation data, sorted by category and expenditure data, sorted by food and administration. This report reflects monthly food and NSA funds and costs, as well as the status of food and NSA grants as State agencies exercise spending options. The closeout FNS-798 records the final status of the State agency's WIC grant and costs for the report year.	
Financial Management	Addendum to WIC Financial Management and Participation Report (FNS-798A)	Provides a breakout of total fiscal year NSA expenditures by category— Nutrition Education, Breastfeeding, Client Services and Program Administration.	
Financial Management	WIC Local Agency Directory Report (FNS-648)	Provides the name and address of each local agency funded by the State agency or Indian Tribal Organization.	
Financial Management	Breast Pump Budget and Expenditures	Provides data on each local agency's breast pump expenditures and compare expenditures to their budget.	
Financial Management	Cash Flow	Shows cash inflows and outflows on a daily basis.	
Financial Management	Local Agency NSA Expenditures	Provides data on each local agency's expenditures and compare expenditures to their budget.	
Financial Management	NSA Budget by Local Agency	Provides the local level NSA budgets by function and line item.	
Financial Management	Rebate Status	Provides data on rebate estimates, rebates billed and rebates collected. Rebate billing invoices should include: month/date that the food instrument was issued to the participant, date the food instrument was transacted by the participant, redeemed dollar amount, number of cans listed on the food instrument, WIC food instrument number, and the infant formula type/form.	
Financial Management	State Agency NSA Budget	Provides the State level NSA budget by function and line item.	
Financial Management	Summary of Food Expenditures	Provides data on total obligations and outlays for the year to date.	
Financial Management	Summary of Funds Receipts	Provides data on the receipt and use of program income, vendor and participant collections, and any other funds that increase the grant or reduce expenditures.	
Financial Management	Summary of Grants	Provides data on the Federal (and State if applicable) grants received for the year to date as well as spendforward or backspend funds applied to the grant.	
Caseload Management	Caseload by Local Agency	Shows caseload by local agency.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Caseload Management	Local Agency Caseload Utilization	Shows caseload, participation, and percent of caseload reached. This report could include a graphical component.	
Caseload Management	Local Agency Participation Profile	Shows each local agency's participation characteristics.	
Caseload Management	Monthly State Caseload Target	Shows the caseload target and the assumptions used to arrive at the caseload level.	
Caseload Management	No-Show Report	Shows rates and performance statistics by local agency or clinic for missed appointments.	
Caseload Management	Potential Eligibles Data	Displays the potential eligibles for the State agency and by local agency.	
Operations Management	Clinic/Patient Flow Report	Provides a summary of factors studied in clinic or patient flow analysis.	
Operations Management	Complaints About Participants Report	List of participants for which complaints are filed and nature of complaint.	
Operations Management	Customer Service Calls and Outcomes Report	Provides a log of type of calls received and their disposition. Customer Service reports generated by an ARU can provide the number of calls handled by type (i.e., by provider, Participant, and vendor), average time to handle call, reason for call, number of automated versus operator assisted calls, and time to answer calls.	
Operations Management	Dual Enrollment/Dual Participation Report	Lists matches of demographic information (i.e. name, address, sex, start/end dates of certification) that could potentially show dual enrollment or dual participation.	
Operations Management	Inventory Status Report-Non-Serialized Item Stock	Provides the status of non-serialized items in storage and shipped to local agencies.	
Operations Management	Inventory Status Report- Serialized Item Stock	Provides status of serialized items in storage and shipped to local agencies.	
Operations Management	Local Agency Food Instrument Inventory Status	Provides data on the food instrument serial numbers assigned to each local agency. It would also identify the status of each food instrument as unissued, redeemed, or void.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Operations Management	Local Agency Card Inventory Status	Provides data on the card serial numbers assigned to each local agency. It would also identify the status of each card as unissued or void.	
Operations Management	Local Agency/Clinic Participant To Staff/Facility Statistics Report	Provides an analysis of ratio of local agency/clinic participant to staff type and square foot of space to enable State and local agencies to monitor and assess the workload of the Local Agency.	
Operations Management	Local Agency/Clinic Profile Data Report	Provides a snapshot of local agency or clinic operations for review by State agency or preparation for site visitation. Profile will include information that reflects the size, capacity, productivity, and operating costs of the local agency or clinic.	
Operations Management	NSA Cost Per Participant By Local Agency/Clinic Report	Provides a summary comparison of the NSA cost per participant among local agencies.	
Operations Management	Outreach Organizations Report	Enables local agencies to review outreach organization information and provide mailing labels in order to increase participation levels when additional caseload is assigned by the State agency.	
Operations Management	Participant Hearing Status Report	Provides a summary of participant hearings status.	
Operations Management	Participants Shopping Outside Their Neighborhoods Report	Lists participants that are shopping at vendors outside the normal geographic boundary of their addresses.	
Operations Management	Participant Violations, Sanctions, and Claims Report	Provides reports on participant violations, sanction imposed and any claims collected.	
Operations Management	Potential Clinic Abuse Indicators Report	Provides data on patterns that may indicate clinic abuse.	
Operations Management	Potential Participant Dual Participation Matches Report	Lists participants that may be participating in another local agency within the State or in other State agencies or CSFP.	
Vendor Management	Compliance Summary Report	Lists the vendors scheduled for compliance buys with data on the vendor's name, address, history of past violations, high risk indicators, past routine monitoring visits and date planned investigation and assigned investigator.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Vendor Management	List of Authorized Vendors By Identification Number	Lists all vendors authorized by the program with key information (e.g. name, address, type, date authorized, etc.).	
Vendor Management	List of Authorized Vendors By Peer Group	Lists all vendors authorized by the program with key information (e.g. name, address, type, date authorized, etc.) grouped by peer group.	
Vendor Management	List of WIC A50 Vendors	List of all vendors will WIC sales equal to or in excess of 50 percent of their food sales.	
Vendor Management	Average Food Instrument Redemption Values Excluding WIC A50 Vendors	Provides data on the average redemption value of food instruments for all authorized vendors excluding WIC A50 vendors.	
Vendor Management	Average Food Instrument Redemption Values WIC A50 Vendors Only	Provides data on the average redemption value of food instruments for all authorized WIC A50 vendors.	
Vendor Management	Average Food Instrument Redemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding the WIC A50 Vendors	Provides data on the average redemption value of food instruments for all authorized vendors excluding WIC A50 vendors compared to all authorized WIC A50 vendors.	
Vendor Management	Average Food Item Redemption Values Excluding WIC A50 Vendors	Provides data on the average redemption value of UPCs for all authorized vendors excluding WIC A50 vendors.	✓
Vendor Management	Average Food Item Redemption Values WIC A50 Vendors Only	Provides data on the average redemption value of UPCs for all authorized WIC A50 vendors.	✓
Vendor Management	Average Food Item Redemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding the WIC A50 Vendors	Provides data on the average redemption value of food items for all authorized vendors excluding WIC A50 vendors compared to all authorized WIC A50 vendors.	
Vendor Management	Listing of WIC/Food Stamp Program Dual Disqualification Report	Lists all vendors that FSP has disqualified and sent to WIC and the action taken by WIC. It would also list the vendors WIC disqualified and sent to FSP.	
Vendor Management	High Risk Vendors and Their Risk Scores Report	Lists all vendors designated as high risk, the reason for high risk identification, their respective risk scores and the factors that support the risk scores. The report should array the vendors by location to facilitate the scheduling of compliance investigations.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Vendor Management	Routine Monitoring Schedule Report	Lists the vendors scheduled for monitoring visits with data on the vendor's name, address, history of past violations, high risk indicators, past routine monitoring visits and date planned for the visit.	
Vendor Management	Summary of CMPs Due and Paid to Date	Tracks all vendors that were issued CMPs, the date of the CMP, the reason for the CMP in lieu of another sanction, and the amount collected from the vendor.	
Vendor Management	The Integrity Profile (TIP) Report	Provides required data for annual TIP report. FNS requires that all State agencies submit an annual TIP report, which provides vendor characteristics, training, compliance activities, and sanctions.	
Vendor Management	Vendor Applications Report	Lists all vendors that have applied for and are under consideration for WIC authorization. This report would display the basic vendor characteristics provided on the vendor application.	
Vendor Management, Scheduling	Vendor Attendance at Training Sessions	Provides a listing of vendor training activities and the vendors that attended as well as those that did not and need to reschedule training.	
Vendor Management	Vendor Authorizations Actions Scheduled and Completed	Outlines the steps needed to complete vendor authorization and whether each step has been completed for each applicant vendor.	
Vendor Management	Vendor Complaint Log	Logs all complaints received about vendors, date received, complainant information and action taken.	
Vendor Management	Vendor Compliance History	Consolidates all education, monitoring, and compliance activities for each vendor.	
Vendor Management	Vendor Sales Analysis Report	Summarizes the data from a record audit. It would list the foods audited, the vendor food purchase invoices for those foods, and the total WIC redemptions for those foods.	
Vendor Management	Vendor Sanction and Appeal Summary Report	Lists all vendors that the State agency has sanctioned and the vendor has appealed. It would have the date of appeal, status of appeal, hearing date, and outcome of the hearing.	
Vendor Management	Vendor Sanction Summary Report	Lists all vendors with sanctions and describe the violation, the sanction imposed (warning, disqualification, CMP) and date the vendor was advised of the sanction.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Vendor Management	Vendor Selection Assessment	Lists all applicant vendors and the selection factors used to determine authorization, including shelf/bid prices of supplemental foods.	
Vendor Management, Scheduling	Vendor Training Schedule	Provides a calendar of upcoming vendor training activities and the vendors scheduled to attend.	
Vendor Management	Vendors By Peer Groups	Lists all vendors according to their peer group assignment.	
Scheduling	Appointment Listing by Date Report	Lists appointments scheduled for a certain date for use by local staff in managing resources.	
Scheduling	Appointments Kept vs. Missed Summary Report	Tracks incidences of missed appointments.	
Scheduling	Appointment Schedule	Although appointment scheduling is anticipated to be performed online, there may be some instances in which a report of available appointments would be helpful. This report is used to display the appointment schedule for a particular day to aid WIC staff in confirming the availability of a requested appointment slot. Could be provided by appointment type or other parameters.	
Scheduling	Clinic Calendar Report	Provides a report or the clinic calendar, showing appointments, availability, and staff commitment.	
Scheduling	Individual/Family Appointment Schedule	Provides a listing of appointments by person (applicant/participant) or family. This report can be used to aid WIC staff in confirming the person's appointment schedule. By printing out the participant's appointment schedule, the WIC staff can give the participant a hard copy to take home as a reminder.	
Scheduling	Missed Appointments- Pregnant	Reports pregnant women who miss their first certification appointment. Should include contact information so that staff can try to reschedule/make contact.	
Scheduling	Missed Appointment Report	Lists the participants who missed an appointment and can be used for follow-up. Can be individual or aggregate.	
Scheduling	Nutrition Education Class Attendance Report	Reports attendance at specific nutrition education class.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
Scheduling	Nutrition Education Class Report	Reports information about a specific class, related to certification period and as a percent of caseload, by group or individual contacts. Provides detail and summary information.	
Scheduling	Upcoming Appointments Report	Lists upcoming clinic appointments for use by WIC staff in order to schedule resources appropriately.	
Scheduling	Upcoming High Risk Appointments Report	Lists upcoming high risk appointments for the use of WIC staff in order to schedule resources appropriately.	
System Administration	Authorized User Report	Provides a list of all authorized users at a specified site to assist the system administrator.	
System Administration	Code Table Change Report	Allows users to identify when changes have been made to the content of data tables and who has made these changes.	
System Administration	Code Table Report	Allows users to verify the current content of data tables to be used in preparing inputs to the system and in reading output reports. The Code Table Report is generally requested by the System Administrator as needed to verify code table updates.	
System Administration	Communications Exception Report	Provides detailed information about transactions that were not completed satisfactorily. It can identify sources of transmission errors or patterns of transmission problems.	
System Administration	Modified Data Element Report	Provides detailed audit information about changes to the system data. It can be used to report information to identify any fraudulent patterns of system usage by entering a particular location, period of time, or user to show types of changes made.	
System Administration	New User ID Report	Confirms the establishment of new users in the system and provides the new ID and temporary password to that user.	
System Administration	System Access Log Listing Report	Lists who has logged into the system during a specified period.	
System Administration	System Back-up/Restoration Report	Provides detailed information about files that were backed-up or restored at a local clinic.	

*Exhibit 3-13: Standard Reports (By Functional Area)*

<i>Functional Area</i>	<i>Report Name</i>	<i>Description</i>	<i>EBT</i>
System Administration	Transaction Processing Report	Provides detailed information about batch transmissions sent to the host. It shows the last upload by terminal, number of transactions in a batch, and counts of transactions by type. This would be applicable if there is a disconnected component to the online system.	
System Administration	Unauthorized Access Report	Provides detailed information about attempts to gain access to the system (invalid entry of PIN/password) or to specific functions for which a user is not authorized. It is used by State or local agencies to verify a specific user's unauthorized access and help detects user fraud.	
System Administration	User Profile Report	Provides a listing of the functional capabilities for a user in the system. It is used on demand by State and local agencies to verify user privileges.	

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Addendum to WIC Financial Management and Participation Report (FNS-798A)	Financial Management	Provides a breakout of total fiscal year NSA expenditures by category—Nutrition Education, Breastfeeding, Client Services and Program Administration.
Aggregate Health and Social Service Program Referrals Report	Nutrition Education, Health Surveillance, & Referrals	Displays frequency of referrals made and outcomes and referrals from other programs.
Appointment Listing by Date Report	Scheduling	Lists appointments scheduled for a certain date for use by local staff in managing resources.



*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Appointment Schedule	Scheduling	Although appointment scheduling is anticipated to be performed online, there may be some instances in which a report of available appointments would be helpful. This report is used to display the appointment schedule for a particular day to aid WIC staff in confirming the availability of a requested appointment slot. Could be provided by appointment type or other parameters.
Appointments Kept vs. Missed Summary Report	Scheduling	Tracks incidences of missed appointments.
Approved Food Packages	Food Management	Lists and describes the food packages for each category of participant.
Approved Foods	Food Management	Lists and describes all foods authorized for use in the State agency's WIC Program. This will include approved infant formulas.
Authorized User Report	System Administration	Provides a list of all authorized users at a specified site to assist the system administrator.
Average Food Instrument Redemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding the WIC A50 Vendors	Vendor Management	Provides data on the average redemption value of food instruments for all authorized vendors excluding WIC A50 vendors compared to all authorized WIC A50 vendors.
Average Food Instrument Redemption Values WIC A50 Vendors Only	Vendor Management	Provides data on the average redemption value of food instruments for all authorized WIC A50 vendors.
Average Food Instrument Redemption Values Excluding WIC A50 Vendors	Vendor Management	Provides data on the average redemption value of food instruments for all authorized vendors excluding WIC A50 vendors.
Average Food Item Redemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding the WIC A50 Vendors	Vendor Management	Provides data on the average redemption value of food items for all authorized vendors excluding WIC A50 vendors compared to all authorized WIC A50 vendors.
Average Food Item Redemption Values Excluding WIC A50 Vendors	Vendor Management	Provides data on the average redemption value of UPCs for all authorized vendors excluding WIC A50 vendors.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Average Food Item Redemption Values WIC A50 Vendors Only	Vendor Management	Provides data on the average redemption value of UPCs for all authorized WIC A50 vendors.
Bloodwork Needed	Certification	Lists individuals who need a follow-up appointment for a blood test.
Breast Pump Budget and Expenditures	Financial Management	Provides data on each local agency's breast pump expenditures and compare expenditures to their budget.
Caseload by Local Agency	Caseload Management	Shows caseload by local agency.
Cash Flow	Financial Management	Shows cash inflows and outflows on a daily basis.
Clinic Calendar Report	Scheduling	Provides a report of the clinic calendar, showing appointments, availability, and staff commitment.
Clinic/Patient Flow Report	Operations Management	Provides a summary of factors studied in clinic or patient flow analysis.
Code Table Change Report	System Administration	Allows users to identify when changes have been made to the content of data tables and who has made these changes.
Code Table Report	System Administration	Allows users to verify the current content of data tables to be used in preparing inputs to the system and in reading output reports. The Code Table Report is generally requested by the System Administrator as needed to verify code table updates.
Communications Exception Report	System Administration	Provides detailed information about transactions that were not completed satisfactorily. It can identify sources of transmission errors or patterns of transmission problems.
Complaints About Participants Report	Operations Management	List of participants for which complaints are filed and nature of complaint.
Compliance Summary Report	Vendor Management	Lists the vendors scheduled for compliance buys with data on the vendor's name, address, history of past violations, high risk indicators, past routine monitoring visits and date planned investigation and assigned investigator.
Customer Service Calls and Outcomes Report	Operations Management	Provides a log of type of calls received and their disposition. Customer Service reports generated by an ARU can provide the number of calls handled by type (i.e., by provider, Participant, and vendor), average time to handle call, reason for call, number of automated versus operator assisted calls, and time to answer calls.
Disqualified Participants Report	Certification	Provides information needed to prevent re-enrollment and for sharing with other WIC agencies during sanction period.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Dual Enrollment/Dual Participation Report	Operations Management	Lists matches of demographic information (i.e. name, address, sex, start/end dates of certification) that could potentially show dual enrollment or dual participation.
EBT Reconciliation Report	Food Benefit Payment, Settlement & Reconciliation	Lists the issued food benefits (by food category/subcategory) versus the redeemed food benefits (by food category/subcategory) by month.
Electronic Benefits Issued (Monthly)	Food Benefit Issuance	A list of benefits via EBT issued during a month period for use in reconciliation.
Estimated Food Instrument and Maximum Values	Food Management	Provides data on the estimated value for each food instrument type and the maximum value for that food instrument by peer group.
Estimated Food Redemption Values	Food Management	Provides data at the Category/Subcategory level on the estimated value for each food type by peer group.
Estimated Redemption Value for Food Instruments Issued	Food Management	Lists by month of issue, all food instruments issued and their estimated redemption value by peer group. The system should array the data by local agency and total for the State agency.
Food Category/Subcategory Table	Food Management	List of all food categories and subcategories.
Food Instrument Reconciliation Report	Food Benefit Payment, Settlement & Reconciliation	Lists the disposition of all food instruments issued and final redeemed value or designation as void – unissued, void-expired, or void-unclaimed.
Food Instrument Rejection Reports by Vendor	Food Benefit Payment, Settlement & Reconciliation	Provides a listing of specific food instruments that the system has rejected for payment and the reason for each rejection. The report would include all rejections for both pre-payment and/or post-payment screens.
Food Instruments Issued (Monthly)	Food Benefit Issuance	A list of food instruments issued during a month period for use in reconciliation.
Food Item List with Maximum Allowed Amounts	Food Management	Lists all approved foods maintained in the UPC database and their maximum prices allowed by peer group.
Food Price List	Food Management	Lists foods at the Category/Subcategory level and their maximum prices allowed by peer group.
High Risk Participants Report	Nutrition Education, Health Surveillance, & Referrals	Lists high risk participants and should include high risk indicators to aid in follow up.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
High Risk Vendors and Their Risk Scores Report	Vendor Management	Lists all vendors designated as high risk, the reason for high risk identification, their respective risk scores and the factors that support the risk scores. The report should array the vendors by location to facilitate the scheduling of compliance investigations.
How Participant Heard About WIC Local Agency and State Summary Reports	Certification	Lists how participants found out about the WIC Program. The report is to be used by agency staff to evaluate outreach efforts.
Individual/Family Appointment Schedule	Scheduling	Provides a listing of appointments by person (applicant/participant) or family. This report can be used to aid WIC staff in confirming the person's appointment schedule. By printing out the participant's appointment schedule, the WIC staff can give the participant a hard copy to take home as a reminder.
Ineligibility Summary Reports for Local Agency and State	Certification	Reports applicants deemed ineligible.
Infant Formula Purchases	Food Benefit Payment, Settlement & Reconciliation	Totals the amount and value of all redeemed infant formula food instruments by type and form.
Inventory Status Report- Serialized Item Stock	Operations Management	Provides status of serialized items in storage and shipped to local agencies.
Inventory Status Report-Non-Serialized Item Stock	Operations Management	Provides the status of non-serialized items in storage and shipped to local agencies.
List of Authorized Vendors By Identification Number	Vendor Management	Lists all vendors authorized by the program with key information (e.g. name, address, type, date authorized, etc.).
List of Authorized Vendors By Peer Group	Vendor Management	Lists all vendors authorized by the program with key information (e.g. name, address, type, date authorized, etc.) grouped by peer group.
List of State Approved Food Instrument Types	Food Management	Lists all food instrument types.
List of WIC A50 Vendors	Vendor Management	List of all vendors with WIC sales equal to or in excess of 50 percent of their food sales.
Listing of WIC/Food Stamp Program Dual Disqualification Report	Vendor Management	Lists all vendors that FSP has disqualified and sent to WIC and the action taken by WIC. It would also list the vendors WIC disqualified and sent to FSP.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Local Agency Card Inventory Status	Operations Management	Provides data on the card serial numbers assigned to each local agency. It would also identify the status of each card as unissued or void.
Local Agency Caseload Utilization	Caseload Management	Shows caseload, participation, and percent of caseload reached. This report could include a graphical component.
Local Agency Food Instrument Inventory Status	Operations Management	Provides data on the food instrument serial numbers assigned to each local agency. It would also identify the status of each food instrument as unissued, redeemed, or void.
Local Agency NSA Expenditures	Financial Management	Provides data on each local agency's expenditures and compare expenditures to their budget.
Local Agency Participation Profile	Caseload Management	Shows each local agency's participation characteristics.
Local Agency/Clinic Participant To Staff/Facility Statistics Report	Operations Management	Provides an analysis of ratio of local agency/clinic participant to staff type and square foot of space to enable State and local agencies to monitor and assess the workload of the Local Agency.
Local Agency/Clinic Profile Data Report	Operations Management	Provides a snapshot of local agency or clinic operations for review by State agency or preparation for site visitation. Profile will include information that reflects the size, capacity, productivity, and operating costs of the local agency or clinic.
Lost And Stolen Food Instruments By Local Agency	Food Benefit Issuance	Provides a list of food instruments that have been reported as lost or stolen.
Migrant Participation Report	Certification	Provides the average annual migrant participation (from July to June) for use on the FNS-798 form submitted in July.
Missed Appointment Report	Scheduling	Lists the participants who missed an appointment and can be used for follow-up. Can be individual or aggregate.
Missed Appointments- Pregnant	Scheduling	Reports pregnant women who miss their first certification appointment. Should include contact information so that staff can try to reschedule/make contact.
Modified Data Element Report	System Administration	Provides detailed audit information about changes to the system data. It can be used to report information to identify any fraudulent patterns of system usage by entering a particular location, period of time, or user to show types of changes made.
Monthly Food Obligations and Redemption Report	Food Benefit Payment, Settlement & Reconciliation	Lists monthly food obligations (by food category/subcategory) versus monthly food redemptions (by food category/subcategory) by local agency.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Monthly State Caseload Target	Caseload Management	Shows the caseload target and the assumptions used to arrive at the caseload level.
New User ID Report	System Administration	Confirms the establishment of new users in the system and provides the new ID and temporary password to that user.
No-Show Report	Caseload Management	Shows rates and performance statistics by local agency or clinic for missed appointments.
NSA Budget by Local Agency	Financial Management	Provides the local level NSA budgets by function and line item.
NSA Cost Per Participant By Local Agency/Clinic Report	Operations Management	Provides a summary comparison of the NSA cost per participant among local agencies.
Nutrition Education Class Attendance Report	Scheduling	Reports attendance at specific nutrition education class.
Nutrition Education Class Report	Scheduling	Reports information about a specific class, related to certification period and as a percent of caseload, by group or individual contacts. Provides detail and summary information.
Nutrition Risk Assessment Needed	Certification	Lists individuals who need an appointment for nutrition risk assessment.
Outreach Organizations Report	Operations Management	Enables local agencies to review outreach organization information and provide mailing labels in order to increase participation levels when additional caseload is assigned by the State agency.
Outstanding Delayed Blood Work Report	Certification	Lists outstanding blood tests for reference by local staff. Staff members can then schedule the required bloodwork or remind the participant to bring in referral data by the specific due date.
Participant Care Plan	Nutrition Education, Health Surveillance, & Referrals	This report is a plan that maintains the progress toward attaining nutrition and health goals over time. It tracks various aspects of a participant's case history including nutrition education provided and referrals to other programs.
Participant Hearing Status Report	Operations Management	Provides a summary of participant hearings status.
Participant Local WIC Agency and State Summary Reports	Certification	Various participant summary reports at State and local levels.
Participant Percentile Change Report	Nutrition Education, Health Surveillance, & Referrals	Displays participant growth over time in tabular format.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Participant Referral Report	Nutrition Education, Health Surveillance, & Referrals	Lists participants referred and agency or program to which they were referred.
Participant Services Summary Report	Certification	Summarizes WIC services provided to a participant.
Participant Source of Health Care Report	Certification	Reports the providers where the participant receives health/prenatal care.
Participant Summary Document	Certification	Summarizes case information for a participant for reference by local staff.
Participant Violations, Sanctions, and Claims Report	Operations Management	Provides reports on participant violations, sanction imposed and any claims collected.
Participants by County and Municipality Local Agency and State Summary Reports	Certification	Lists participants by geographical grouping as specified (i.e. county, state, etc).
Participants Shopping Outside Their Neighborhoods Report	Operations Management	Lists participants that are shopping at vendors outside the normal geographic boundary of their addresses.
Participants to Date by Local Agency	Food Benefit Issuance	Lists all participants issued food benefits for the month to date.
Pending Applications	Certification	Reports the applications that are not yet completed, certified, or determined ineligible.
Potential Clinic Abuse Indicators Report	Operations Management	Provides data on patterns that may indicate clinic abuse.
Potential Eligibles Data	Caseload Management	Displays the potential eligibles for the State agency and by local agency.
Potential Participant Dual Participation Matches Report	Operations Management	Lists participants that may be participating in another local agency within the State or in other State agencies or CSFP.
Rebate Report	Food Benefit Payment, Settlement & Reconciliation	Lists all redeemed foods that are eligible for a rebate (e.g., infant formula or infant cereal).

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Rebate Status	Financial Management	Provides data on rebate estimates, rebates billed and rebates collected. Rebate billing invoices should include: month/date that the food instrument was issued to the participant, date the food instrument was transacted by the participant, redeemed dollar amount, number of cans listed on the food instrument, WIC food instrument number, and the infant formula type/form.
Redeemed But Not Issued	Food Benefit Payment, Settlement & Reconciliation	Lists all food instruments without an issuance record by local agency for use in locating a certification record for investigation.
Redemption Value by Issue Month	Food Benefit Payment, Settlement & Reconciliation	Provides the actual redemption value by month of issuance for all food instruments.
Redemption Value by Issue Month	Food Benefit Payment, Settlement & Reconciliation	Provides the outstanding estimated redemption values and actual redemption value by month of issuance for all household food benefits.
Referrals from WIC to External Agencies Summary Report	Certification	Lists all referrals from a WIC agency to any external agency.
Referrals from WIC to Outside Agencies Local Agency and State Reports	Certification	Lists referrals of WIC participants to specific outside agencies.
Referrals to/from WIC By Program/Agency Report	Nutrition Education, Health Surveillance, & Referrals	Supports the analysis of referral program effectiveness by identifying those external health and social service agencies that refer Participants to WIC or receive referrals from WIC.
Report for Centers for Disease Control and Prevention – PedNSS <sup>62</sup>	Nutrition Education, Health Surveillance, & Referrals	Pediatric Nutrition Surveillance Set data file for CDC.

<sup>62</sup> Readers should refer to CDC documentation for ideal features and data elements as preferred by the CDC for PedNSS reporting. Links to the CDC website and reference information can be found in Appendix F: Policy and Data References.



*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Report for Centers for Disease Control and Prevention – PNSS <sup>63</sup>	Nutrition Education, Health Surveillance, & Referrals	Pregnancy Nutrition Surveillance Set data file for CDC.
Routine Monitoring Schedule Report	Vendor Management	Lists the vendors scheduled for monitoring visits with data on the vendor's name, address, history of past violations, high risk indicators, past routine monitoring visits and date planned for the visit.
Special Formula/Medical Foods Received	Certification	Lists participants who are receiving special formula/medical foods and the reason.
State Agency NSA Budget	Financial Management	Provides the State level NSA budget by function and line item.
Subsequent Certifications Due Summary Report	Certification	Reports participants in need of next certification visit.
Summary Food Instrument Redemptions by Vendor	Food Benefit Payment, Settlement & Reconciliation	Provides the value of food instrument redemption broken out by vendor.
Summary of CMPs Due and Paid to Date	Vendor Management	Tracks all vendors that were issued CMPs, the date of the CMP, the reason for the CMP in lieu of another sanction, and the amount collected from the vendor.
Summary of Food Expenditures	Financial Management	Provides data on total obligations and outlays for the year to date.
Summary of Funds Receipts	Financial Management	Provides data on the receipt and use of program income, vendor and participant collections, and any other funds that increase the grant or reduce expenditures.
Summary of Grants	Financial Management	Provides data on the Federal (and State if applicable) grants received for the year to date as well as spendforward or backspend funds applied to the grant.
System Access Log Listing Report	System Administration	Lists who has logged into the system during a specified period.
System Back-up/Restoration Report	System Administration	Provides detailed information about files that were backed-up or restored at a local clinic.
Termination Report	Certification	Reports all participants terminated from the program or found ineligible.

<sup>63</sup> Readers should refer to CDC documentation for ideal features and data elements as preferred by the CDC for PNSS reporting. Links to the CDC website and reference information can be found in Appendix F: Policy and Data References.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
The Integrity Profile (TIP) Report	Vendor Management	Provides required data for annual TIP report. FNS requires that all State agencies submit an annual TIP report, which provides vendor characteristics, training, compliance activities, and sanctions.
Transaction Processing Report	System Administration	Provides detailed information about batch transmissions sent to the host. It shows the last upload by terminal, number of transactions in a batch, and counts of transactions by type. This would be applicable if there is a disconnected component to the online system.
Unauthorized Access Report	System Administration	Provides detailed information about attempts to gain access to the system (invalid entry of PIN/password) or to specific functions for which a user is not authorized. It is used by State or local agencies to verify a specific user's unauthorized access and help detects user fraud.
UPC Database for WIC Authorized Foods	Food Management	Lists and describes all foods with their UPCs that are authorized for issuance according to the standard category/subcategories. The system should provide a hard copy and electronic file.
Upcoming Appointments Report	Scheduling	Lists upcoming clinic appointments for use by WIC staff in order to schedule resources appropriately.
Upcoming High Risk Appointments Report	Scheduling	Lists upcoming high risk appointments for the use of WIC staff in order to schedule resources appropriately.
User Profile Report	System Administration	Provides a listing of the functional capabilities for a user in the system. It is used on demand by State and local agencies to verify user privileges.
Vendor Applications Report	Vendor Management	Lists all vendors that have applied for and are under consideration for WIC authorization. This report would display the basic vendor characteristics provided on the vendor application.
Vendor Attendance at Training Sessions	Vendor Management, Scheduling	Provides a listing of vendor training activities and the vendors that attended as well as those that did not and need to reschedule training.
Vendor Authorizations Actions Scheduled and Completed	Vendor Management	Outlines the steps needed to complete vendor authorization and whether each step has been completed for each applicant vendor.
Vendor Complaint Log	Vendor Management	Logs all complaints received about vendors, date received, complainant information and action taken.
Vendor Compliance History	Vendor Management	Consolidates all education, monitoring, and compliance activities for each vendor.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
Vendor Sales Analysis Report	Vendor Management	Summarizes the data from a record audit. It would list the foods audited, the vendor food purchase invoices for those foods, and the total WIC redemptions for those foods.
Vendor Sanction and Appeal Summary Report	Vendor Management	Lists all vendors that the State agency has sanctioned and the vendor has appealed. It would have the date of appeal, status of appeal, hearing date, and outcome of the hearing.
Vendor Sanction Summary Report	Vendor Management	Lists all vendors with sanctions and describe the violation, the sanction imposed (warning, disqualification, CMP) and date the vendor was advised of the sanction.
Vendor Selection Assessment	Vendor Management	Lists all applicant vendors and the selection factors used to determine authorization, including shelf/bid prices of supplemental foods.
Vendor Training Schedule	Vendor Management, Scheduling	Provides a calendar of upcoming vendor training activities and the vendors scheduled to attend.
Vendors By Peer Groups	Vendor Management	Lists all vendors according to their peer group assignment.
Voter Registration Report	Nutrition Education, Health Surveillance, & Referrals	Reports participants assisted in voter registration.
Waiting List Local Agency Report and State Summary Reports	Certification	Reports the number of applicants on the waiting list and their priorities.
WIC Local Agency Directory Report (FNS-648)	Financial Management	Provides the name and address of each local agency funded by the State agency or Indian Tribal Organization.
WIC Priority Participation Report	Certification	Provides monthly participation by priority level. Categories include pregnant women, breastfeeding women, postpartum women, infants, and children. This information is part of the Minimum Data Set for the PC Report.
WIC Program Participant Characteristics Minimum and Supplemental Data sets for FNS (PC Report)	Nutrition Education, Health Surveillance, & Referrals	Data file for FNS.

*Exhibit 3-14: Standard Reports (Alphabetical)*

<i>Report Name</i>	<i>Functional Area</i>	<i>Description</i>
WIC Program State Agency Participation and Expenditure Report (FNS-798)	Certification,	Provides monthly participation data, sorted by category and expenditure data, sorted by food and administration. This report also reflects monthly food and NSA funds and costs, as well as the status of food and NSA grants as State agencies exercise spending options. The closeout FNS-798 records the final status of the State agency's WIC grant and costs for the report year.
WIC Program State Agency Participation and Expenditure Report (FNS-798)	Financial Management, Certification	Provides monthly participation data, sorted by category and expenditure data, sorted by food and administration. This report reflects monthly food and NSA funds and costs, as well as the status of food and NSA grants as State agencies exercise spending options. The closeout FNS-798 records the final status of the State agency's WIC grant and costs for the report year.

## 3.12.2 Conduct Ad Hoc Queries and Generate Reports

### 3.12.2.1 Conduct Ad Hoc Queries and Generate Reports

Sometimes WIC Program staff members need specific information that does not exist in a usable format in any standard report. The analysis required to generate such information may entail the synthesis of data elements that are not typically associated with each other. Such information gathering often must be customized to the needs of a particular individual or organization at a specific point in time. Such requests generally are needed only once and usually do not recur over time. The most effective approach to meeting these “on demand” reporting requirements is through an ad hoc reporting tool. Therefore, the system should enable the user to perform ad hoc reporting.

An ad hoc reporting capability allows the requestor to enter query parameters, which are then used to select and retrieve only the data that meet the specified criteria. Usually, the user can also enter parameters to control the formatting of the data on the resulting report. Typically, an ad hoc query capability is provided through a commercial software package that is able to work with the existing database product. Most commercial ad hoc reporting tools provide menu driven search queries that enable the requestor to formulate a search strategy by selecting criteria from a pre-defined search screen. Depending on the architecture, technical environment, and characteristics of the system, the ad hoc reporting tool may be used either with the production database of the WIC transaction processing system or with a separate reporting database that presents an extract of the data in the transaction processing system.

The ad hoc reporting tool should provide the capability for the user to enter selection parameters that would be used to retrieve data that meets the entered criteria. The ad hoc tool then should display the results to the screen, generate a hard copy report, or create a data extract file.

Generally, if the tools are to be used by non-technical employees with only minimal training, then menu driven ad hoc query tools are preferable to those tools requiring structured query commands. However, they are more limited in capability to produce more complex reports. Many tools have at least some capability to operate in either mode. Most of these tools are intended to enable relatively inexperienced and non-technical users to quickly produce simple, relational reports. More complex reports require more complex understanding and training, regardless of the tool.

If possible, it is often useful to defer selection of an ad hoc reporting tool until after the new database is constructed and in prototype or pilot use.

The various tool vendors can then provide blind test the product to demonstrate how well and how quickly their tools can produce actual, user-desired reports. In this case, it is absolutely essential that users, and not vendors' personnel, execute these tests.

**Inputs:**

Inputs vary based on query/report requested

**Processes:**

- Accept user input of selection parameters and query system
- Display results and generate reports

**Outputs:**

Requested ad hoc report

### **3.12.3 Maintain Data Warehouse**

#### ***3.12.3.1 Maintain Data Warehouse***

The most complex level of reporting requires synthesis of data from multiple systems over extended periods of time. The requestor is often attempting sophisticated research to identify trends in data over historical periods. For this type of multifaceted data analysis, a data warehouse may be the most effective tool. A data warehouse is a collection of data in support of management's decision-making process that is subject-oriented, integrated, time-variant, and non-volatile. The data warehouse is focused on a business concept (for example, claims statements) rather than a business process (for example, paying claims), and contains all the relevant information on the concept gathered from multiple processing systems. This information is collected and represented at consistent periods of time, and is not changing rapidly. Thus, a data warehouse generally includes data extracted periodically from multiple legacy systems, combined in a single, separate reporting database.

The fundamental basis of any useful data warehouse is that it retains similar data from many sources, over a long period of time, in a single format that is effective when used in their intended manner. However, a data warehouse can be burdensome and inefficient if misused as a general purpose tool.

Building the data warehouse requires a set of tools for describing the logical and physical design of the data sources and their destinations in the

data warehouse. Operational data must pass through a cleansing and transformation stage before being placed into the data warehouse in order to conform to the definitions laid out during the design stage. End user tools, including desktop productivity products, specialized analysis products, and custom programs are used to gain access to the information in the data warehouse. Ideally, user access is through a directory facility that enables the user to search for appropriate and relevant data to resolve business questions, and provides a layer of security between the users and the back-end systems. The structure of the database for the data warehouse is quite different from the structure for a transaction management system. The data warehouse utilizes Online Analytical Processing (OLAP) technologies that allow the user to construct queries “on-the-fly” that build upon preceding queries and are modified in real time depending on the results of the previous analysis.

**Inputs:**

Inputs vary based on information requested

**Processes:**

- Transmit and store appropriate information in the data warehouse
- Accept user input of data selection parameters and query system
- Display results and generate report

**Outputs:**

Requested information

## **SECTION 4: DATA**



## 4 DATA

The Data section of this document describes the data stores, data code tables, transaction files, and data elements proposed for the State agency Information System (IS) described in this document. Data stores are groups of data elements that have a common focus and relate to a common entity. These entities represent the persons, places, things, and events that pertain to the WIC Program, and the data elements represent the characteristics of the entities. For example, the Participant data store relates to the entity "WIC Participants" is comprised of participant-related data elements such as the participant's name, address, and proxies. Hereafter, when the term "data store" is used in this document, it is synonymous with the term "code table" in a relational database. Data code tables are a subset of data stores, but they are not modified as frequently as other data stores and are often referenced as "code" tables.

Section 4.1 identifies each of the data stores, describes the purpose of the data store, and lists all the data elements contained in the data store. The data elements used as record keys to uniquely identify the records in each data store are indicated by an asterisk (\*). For some data stores, there is a combination of data elements that uniquely identify a record. For these stores, multiple elements are designated with an asterisk. The data elements that are used as foreign record keys are indicated by two asterisks (\*\*). A foreign key is the identifier of a data store to which the foreign key refers. It is used to establish a relationship between the data store containing the foreign key and the data store to which the foreign key refers.

For example, to uniquely identify a participant in a nutrition education class, the record will include the Participant Identification Number (Participant data store) and the Education/Training Offer Class Code (Education/Training Offer data store). Because the class information is maintained in the Education/Training Offer Class data store, this data element would be the primary key (\*). To identify the participant in the class, the Participant Identification Number would be used. Because this data element resides in the Participant data store, it would be the secondary key (\*\*).

Section 4.2 identifies each of the data code tables in much the same way as Section 4.1. Sample data are listed to provide a clearer understanding of the function of the table. The samples offered are illustrative, although not exhaustive. State agencies should carefully review each of the data code tables to determine the complete list of acceptable data values for their State IS.

Data elements are characteristics of data entities for which the WIC Program needs information. Examples of data elements include Participant Identification Number, Food Instrument Printed Date, Vendor Name, Participant Blood Pressure, Food Group, and State Food Grant. Data elements for the State agency IS system are described in Section 4.3. Each data element is defined briefly. Section 4.3 also indicates for each data element its format type (alphanumeric, numeric, or date type), edit or validation processes needed to ensure data accuracy, and the data stores and data code tables that contain the data element.

Numerical data that are calculated for reports or screens but not stored in the WIC information system are not included in this section. In certain cases, calculated data may be stored for historical purposes. Such data may be useful for trend analysis and therefore are included in a data warehouse. When such data are stored, they are included in the description of relevant data stores. Because data stores are related, one data element may appear in multiple data stores. For example, the Participant Identification Number data element is a key element within the Participant and the Participant Health data stores. If the Participant Identification Number is not included in each of these data stores, the system will not relate the participant health data to a particular participant.

## 4.1 Data Stores

The data stores identified for a State agency IS system are meant to convey only the logical data requirements rather than the specific tables in a physical implementation of a system's database. FNS understands that the physical database structure of each State agency's system may differ substantially from the logical scheme suggested in this section.

Constraints of a particular database product, processing considerations, and existing system environments may impact the actual design of the physical database. Furthermore, to more clearly convey a programmatic view of the data, the data have not been normalized as they would be in a physical database design. Consequently, this section is meant only to provide a sample of the types of data stores required. The actual grouping of data elements into specific physical tables is purposely left to the individual State's system designer.

Additionally, because State agency systems vary so widely in the functionality they support, not all data stores or data elements included in this section will be required by every state. However, to allow for maximum flexibility for States to tailor their systems to individual needs, the intent of this section is to be as inclusive as possible. It is anticipated that few States will require as broad a range of data elements as are included in following data store descriptions.

This section fuses data requirements for systems that issue benefits via both paper and EBT. Data elements may be required for paper only, EBT only, or both EBT and paper environments. Where relevant, the description of the data store addresses those divergences.

### 4.1.1 Administrative Hearing

**Description:** The Administrative Hearing data store is comprised of data elements used to describe the various factors involved in tracking administrative hearings involving vendors, participants, or WIC staff.

**Data Elements:**

Administrative Hearing Create Date

Administrative Hearing Create User

Administrative Hearing Date

Administrative Hearing Description

Administrative Hearing Identification Number\*

Administrative Hearing Last Modified Date

Administrative Hearing Last Modified User  
Administrative Hearing Outcome Code  
Administrative Hearing Outcome Date  
Administrative Hearing Outcome Description  
Administrative Hearing Type Code  
Participant Identification Number\*\*  
User Identification Number\*\*  
Vendor Identification Number\*\*

#### 4.1.2 Archive

**Description:** The Archive data store provides a log of data that has been archived. In addition to the archive management data listed below, the actual contents of the archive data store is dependent upon the archive policies of a particular State agency. State agencies may vary in the type of data that they select to archive.

**Data Elements:**

Archive Create Date  
Archive Create User  
Archive End Date  
Archive File Number\*  
Archive Last Modified Date  
Archive Last Modified User  
Archive Location  
Archive Name  
Archive Record Type Code  
Archive Start Date

### 4.1.3 Breastfeeding

**Description:** The Breastfeeding data store is comprised of data elements related to a participant's breastfeeding history. The elements are used for various purposes, including determining food packages and measuring health outcomes.

**Data Elements:**

- Breastfeeding Create Date
- Breastfeeding Create User
- Breastfeeding Data Collected Date
- Breastfeeding Discontinued Reason Code
- Breastfeeding Duration
- Breastfeeding Infant Currently Breastfeeding
- Breastfeeding Infant Ever Breastfeeding
- Breastfeeding Last Modified Date
- Breastfeeding Last Modified User
- Breastfeeding Status Code
- Breastfeeding Supplemental Formula Received
- Local Agency Identification\*\*
- Participant Identification Number\*\*

### 4.1.4 Caseload- Local Agency

**Description:** The Caseload- Local Agency data store is composed of data elements used to support the management of monthly caseloads for local agencies.

**Data Elements:**

- Caseload- Local Agency Caseload Achievement Rate
- Caseload- Local Agency Caseload Growth or Reduction Rate
- Caseload- Local Agency Create Date
- Caseload- Local Agency Create User
- Caseload- Local Agency Last Modified Date
- Caseload- Local Agency Last Modified User
- Caseload- Local Agency Month\*

Caseload- Local Agency Monthly Caseload Assignment  
Caseload- Local Agency Potentially Eligible Population  
Caseload- Local Agency Prior Year Caseload Level  
Caseload- Local Agency Total Actual Local Agency Monthly Participation  
Clinic Identification Number\*\*  
Local Agency Identification Number\*\*

#### 4.1.5 Caseload- State Agency

**Description:** The Caseload- State Agency data store is composed of data elements used to support the management of monthly caseloads for the State agency.

**Data Elements:**

Caseload- State Agency Caseload Achievement Rate  
Caseload- State Agency Caseload Growth or Reduction Rate  
Caseload- Local Agency Create Date  
Caseload- Local Agency Create User  
Caseload- State Agency Federal Participation Estimate  
Caseload- State Agency FNS Potentially Eligible Population  
Caseload- State Agency Last Modified Date  
Caseload- State Agency Last Modified User  
Caseload- State Agency Month\*  
Caseload- State Agency Potentially Eligible Population  
Caseload- State Agency Total Monthly Caseload

#### 4.1.6 Cash Flow

**Description:** The Cash Flow data store comprises data elements that describe the current cash position of the State WIC Program at a specific point in time.

**Data Elements:**

Cash Flow As Of Date\*  
Cash Flow Create Date

Cash Flow Create User  
Cash Flow Current Expenditures  
Cash Flow Current Funds Available  
Cash Flow Last Modified Date  
Cash Flow Last Modified User  
Cash Flow Previous Balance  
Grant Type Code\*\*

#### 4.1.7 Category/Subcategory

**Description:** The Category/Subcategory data store is comprised of data elements related to the characteristics of the food item category and subcategory. Each food item is associated with a specific category and subcategory.

**Data Elements:**

Category/Subcategory Category Code\*  
Category/Subcategory Category Name  
Category/Subcategory Create Date  
Category/Subcategory Create User  
Category/Subcategory Last Modified Date  
Category/Subcategory Last Modified User  
Category/Subcategory Standard Unit of Measure  
Category/Subcategory Subcategory Code\*  
Category/Subcategory Subcategory Name  
Category/Subcategory Quantity – Redemption  
Category/Subcategory Quantity – Expired  
Category/Subcategory Quantity – Voided  
Category/Subcategory Quantity – Adjusted Credit  
Category/Subcategory Quantity – Adjusted Debit

### 4.1.8 Clinic

**Description:** The Clinic data store is comprised of data elements related to the characteristics of a clinic. One or more clinics may be associated with a specific local agency.

**Data Elements:**

- Clinic Address- City
- Clinic Address- County
- Clinic Address- State
- Clinic Address- Street
- Clinic Address- Zip Code
- Clinic Contact Name
- Clinic Contact Title
- Clinic Create Date
- Clinic Create User
- Clinic Email Address
- Clinic Facsimile Number
- Clinic Identification Number\*
- Clinic Last Modified Date
- Clinic Last Modified User
- Clinic NSA Cost per Participant
- Clinic Number of Certifying Staff
- Clinic Number of Clerks
- Clinic Number of Nutritionists
- Clinic Number of Other Staff
- Clinic Participants per Square Foot
- Clinic Regional Identifier
- Clinic Space
- Clinic Staff to Participant Ratio
- Clinic Status Code
- Clinic Telephone Number
- Local Agency Identification Number \*\*



### 4.1.9 Comment

**Description:** The Comment data store is comprised of data elements that are related to textual comments about a record. The comment data store is meant to be generic so that it can provide supplemental textual information associated with a variety of events in the case history of a given participant.

**Data Elements:**

- Comment Create Date
- Comment Create User
- Comment Date
- Comment Description
- Comment Identification Number\*
- Comment Last Modified Date
- Comment Last Modified User
- Participant Care Plan Identification Number\*\*
- Participant Identification Number\*\*

### 4.1.10 Complaint

**Description:** The Complaint data store is comprised of data elements describing complaints received about vendors, participants, or WIC staff.

**Data Elements:**

- Complaint Create Date
- Complaint Create User
- Complaint Date
- Complaint Identification Number\*
- Complaint Last Modified Date
- Complaint Last Modified User
- Complaint Resolution
- Complaint Source Type
- Complaint Status Code
- Complaint Subject
- Complaint Summary

Complaint Type Code  
Participant Identification Number\*\*  
User Identification Number \*\*  
Vendor Identification Number\*\*

#### 4.1.11 Customer Service

**Description:** The Customer Service data store is comprised of data elements that relate to calls received from participants, applicants, vendors and others requesting assistance or seeking information. It is meant to support customer service in both ARU and non-ARU environments.

**Data Elements:**

Customer Service Create Date  
Customer Service Create User  
Customer Service Action Taken Code  
Customer Service Action Taken Date  
Customer Service Identification Number\*\*  
Customer Service Last Modified Date  
Customer Service Last Modified User  
Customer Service Problem Description  
Customer Service Problem Resolution Code  
Customer Service Problem Resolution Date  
Customer Service Representative Name  
Customer Service Request Code  
Customer Service Request Date  
User Identification Number\*\*

#### 4.1.12 Dual Participation Potential Match

**Description:** The Dual Participation Potential Match data store contains data elements that are used to make comparisons between new participant records and existing records to check for dual participation among clinics within the State agency or between CSFP and other WIC State agencies.

**Data Elements:**

Dual Participation Potential Match Applicant

Dual Participation Potential Match Certified  
Dual Participation Potential Match Create Date  
Dual Participation Potential Match Create User  
Dual Participation Potential Match Last Modified Date  
Dual Participation Potential Match Last Modified User  
Dual Participation Potential Match Program Code

#### **4.1.13 EBT**

**Description:** The EBT data store is comprised of data elements that describe EBT transaction information.

**Data Elements:**

EBT Total Requested Amount – Transaction  
EBT Total Requested Amount – Daily Total  
EBT Total Paid Amount – Transaction  
EBT Total Paid Amount – Daily Total

#### **4.1.14 Education/Training Offer**

**Description:** The Education/Training Offer data store is comprised of data elements that describe the offer of education to participants, vendors, and WIC staff. It may record instances of nutrition education classes, individual counseling, vendor education and training, and staff in-service training. When offered education/training is attended, the attendance is tracked through a scheduled appointment.

**Data Elements:**

Education/Training Offer Class Code\*  
Education/Training Offer Class Description  
Education/Training Offer Create Date  
Education/Training Offer Create User  
Education/Training Offer Date\*  
Education/Training Offer Last Modified Date  
Education/Training Offer Last Modified User  
Education/Training Offer Materials Provided  
Education/Training Offer Status Code

Education/Training Offer Topics Covered Code  
Education/Training Offer Type Code  
Participant Care Plan Identification Number\*\*  
Participant Identification Number\*\*  
Scheduled Appointment Identification Number\*\*  
User Identification Number\*\*  
Vendor Identification Number\*\*

#### 4.1.15 Event Preference

**Description:** The Event Preference data store is comprised of data elements that describe a participant's preferences for scheduled appointments.

**Data Elements:**

Event Preference Create Date  
Event Preference Create User  
Event Preference Last Modified Date  
Event Preference Last Modified User  
Event Preference Preferred Day  
Event Preference Preferred Language Code  
Event Preference Preferred Time  
Participant Family/Household Identification Number\*\*  
Participant Identification Number\*\*

#### 4.1.16 Event Slot

**Description:** The Event Slot data store is comprised of data elements that describe an event that is set on a local agency or clinic's master calendar. The event slot describes a particular type of event that is available at a given time and date. Events can be for participant appointments or training for vendors or clinic staff.

**Data Elements:**

Clinic Identification Number\*\*  
Event Slot Create Date  
Event Slot Create User

Event Slot Date  
Event Slot Description  
Event Slot Duration  
Event Slot Identification Number\*  
Event Slot Language Code  
Event Slot Last Modified Date  
Event Slot Last Modified User  
Event Slot Maximum Number of Slots  
Event Slot Required Resource Type Code  
Event Slot Time  
Event Slot Type Code  
Master Calendar Identification Number\*\*  
Resource Identification Number\*\*

#### **4.1.17 Food Benefit Prescription**

**Description:** The Food Benefit Prescription data store is comprised of data elements related to the food benefit prescription for an individual participant for a specified period of time in an EBT or paper environment. In an EBT environment, if the participant is a member of a family/household, the individual's prescription is aggregated into a family/household account at the point of benefit issuance. Individual food items for each participating family member are aggregated into a total amount of the food item for the family/household. The food prescription, however, keeps links to the individual participant's prescribed amounts of each food item. The food prescription is based on a given food package that is tailored to meet an individual's needs. In a paper environment, the food benefit prescription keeps the food package prescribed at a specific point in time.

#### **Data Elements:**

Clinic Identification Number\*\*  
Food Benefit Prescription Adjustment Reason  
Food Benefit Prescription Create Date  
Food Benefit Prescription Create User  
Food Benefit Prescription Date\*  
Food Benefit Prescription Identification Number\*

Food Benefit Prescription Last Modified Date  
Food Benefit Prescription Last Modified User  
Food Benefit Prescription Obligation Value  
Food Benefit Prescription Proration Amount  
Food Package Identification Number\*\*  
Local Agency Identification Number\*\*  
Participant Identification Number\*\*  
User Identification Number\*\*  
Vendor Identification Number\*\*

#### **4.1.18 Food Instrument**

**Description:** The Food Instrument data store is comprised of data elements that identify individual food instruments and describe their processing from initial issuance through redemption (or voiding) and destruction.

##### **Data Elements:**

Food Instrument Create Date  
Food Instrument Create User  
Food Instrument Amount Billed to Vendor (post-edit)  
Food Instrument Amount Collected from Vendor (post-edit)  
Food Instrument Amount Not Paid (pre-edit)  
Food Instrument Estimated Value  
Food Instrument Identification Number\*  
Food Instrument Issuance Date  
Food Instrument Last Modified Date  
Food Instrument Last Modified User  
Food Instrument Maximum Allowed Amount  
Food Instrument Number of Months  
Food Instrument Pick up Date  
Food Instrument Printed Date  
Food Instrument Redemption Batch  
Food Instrument Redemption Value  
Food Instrument Reject Count

Food Instrument Reject Reason Code  
Food Instrument Repayment Date  
Food Instrument Type Identification Number\*\*  
Food Instrument Use/Disposition Code  
Food Instrument Use/Disposition Date  
Food Instrument Valid End Date  
Food Instrument Valid Start Date  
Food Instrument Vendor Redemption Date  
Food Instrument Void Date  
Food Instrument Void Reason Code  
Local Agency Identification Number\*\*  
Participant Family/Household Identification Number\*\*  
Participant Identification Number\*\*  
User Identification Number\*\*  
Vendor Identification Number\*\*

#### 4.1.19 Food Instrument Type

**Description:** The Food Instrument Type data store is comprised of data elements that identify the set of foods included on a specific food instrument. Multiple approved foods may be included within a food instrument type. Food instrument types are combined to define food packages.

**Data Elements:**

Food Instrument Type Category Code  
Food Instrument Type Classification  
Food Instrument Type Create Date  
Food Instrument Type Create User  
Food Instrument Type Description  
Food Instrument Type Identification Number\*  
Food Instrument Type Last Modified Date  
Food Instrument Type Last Modified User  
Food Instrument Type Maximum Allowed Amount  
Food Instrument Type Name

Food Instrument Type Peer Group Average Value  
Food Instrument Type Quantity Allowed  
Food Package Identification Number\*\*  
Participant Category Code\*\*  
Participant Health Nutrition Risk Code\*\*

#### 4.1.20 Food Item

**Description:** The Food Item data store is comprised of data elements that relate to individual food items associated with a given food package, food instrument (in a paper system) or with a given food prescription (in an EBT system). It includes both descriptive and price information calculated from composite information received from all vendors.

**Data Elements:**

Category/Subcategory Category Code\*\*  
Category/Subcategory Subcategory Code\*\*  
Food Item Average Composite Price  
Food Item Create Date  
Food Item Create User  
Food Item Description  
Food Item Inflation Factor  
Food Item Last Modified Date  
Food Item Last Modified User  
Food Item Maximum Quantity  
Vendor Price Survey Food Item Name\*\*  
Food Item Standard Amount Prescribed



#### 4.1.21 Food Item Prescribed

**Description:** The Food Item Prescribed is comprised of data elements that describe the individual food items that are prescribed for a particular individual in either an EBT or paper environment. These prescribed food items are associated with a specific food prescription for a specific period of time.

**Data Elements:**

- Food Benefit Prescription Identification Number\*\*
- Food Instrument Type Identification Number\*\*
- Food Item Prescribed Create Date
- Food Item Prescribed Create User
- Food Item Prescribed Date
- Food Item Prescribed First Date to Spend
- Food Item Prescribed Identification Number\*
- Food Item Prescribed Last Date to Spend
- Food Item Prescribed Last Modified Date
- Food Item Prescribed Last Modified User
- Food Item Prescribed Unit Quantity
- Food Item Prescribed Unit Size
- Food Item Prescribed Standard Amount Prescribed

#### 4.1.22 Food Package

**Description:** The Food Package data store is comprised of data elements that identify the set of food items that make up a package. In a paper environment, there may be multiple food instrument types in a given food package, and there may be multiple occurrences of the same food instrument type. In an EBT environment, individual food items are associated with each food package. For each food item, a standard amount to be prescribed is provided. However, when a food package is prescribed for a specific individual, it may be tailored to fit an individual participant's needs. The prescribed amount of a food item in a food prescription may vary from the standard amount associated with a food package.

**Data Elements:**

- Food Instrument Type Identification Number\*\*

Food Package Create Date  
Food Package Create User  
Food Package Identification Number\*  
Food Package Last Modified Date  
Food Package Last Modified User  
Food Package Name  
Food Package Type Code  
Participant Category Code\*\*  
Food Item Standard Amount Prescribed\*\*

#### 4.1.23 Food UPC/PLU

**Description:** The Food UPC/PLU data store contains details about authorized WIC foods including price and Universal Product Codes (UPC). Each vendor may have its own Food UPC table that includes the UPC/PLUs appropriate to the individual vendor's environment. In a paper environment, the price data comes from price surveys and is not likely to include UPCs. In an EBT environment, the vendor provides store specific UPC/PLUs and accompanying price data.

**Data Elements:**

Food UPC/PLU Authorization Date\*  
Food UPC/PLU Code\*  
Food UPC/PLU Create Date  
Food UPC/PLU Create User  
Vendor Identification Number \*\*  
Food UPC/PLU Description  
Food UPC/PLU Exchange Value  
Food UPC/PLU Last Modified Date  
Food UPC/PLU Last Modified User  
Food UPC/PLU Peer Group UPC Average Price  
Food UPC/PLU Peer Group UPC Maximum Allowed Price  
Food UPC/PLU Price Paid  
Food UPC/PLU Shelf Price

#### 4.1.24 Future Obligation

**Description:** The Future Obligation data store is used to maintain the data used to calculate food obligation projections for expenditure reporting and caseload projections.

**Data Elements:**

- Future Obligation Create Date
- Future Obligation Create User
- Future Obligation Date\*
- Future Obligation Federal Participation Estimate
- Future Obligation Food by Month
- Future Obligation Food Inflation Factor
- Future Obligation Food Package Cost Estimate
- Future Obligation Last Modified Date
- Future Obligation Last Modified User

#### 4.1.25 Grant

**Description:** The Grant data store is comprised of data elements needed to record or update State and Federal grant amounts and to record or update other types of revenue and program income.

**Data Elements:**

- Grant Adjusted Available Funds
- Grant Backspend Funds
- Grant Beginning Grant Date
- Grant Converted Food Funds
- Grant Converted NSA Funds
- Grant Create Date
- Grant Create User
- Grant Discretionary NSA Grant
- Grant Ending Food Grant
- Grant Estimated Annual Rebate
- Grant Estimated Breast Pump Costs
- Grant Estimated Conversion

Grant Estimated Medicaid Reimbursements  
Grant Estimated Monthly Rebate  
Grant Estimated Other Credits  
Grant Estimated Participant Collections  
Grant Estimated State Grant  
Grant Estimated Vendor Collections  
Grant Federal Fiscal Year\*  
Grant Food Reallocations  
Grant Last Modified Date  
Grant Last Modified User  
Grant Letter of Credit Number  
Grant Medicaid Reimbursements  
Grant NSA Reallocations  
Grant Original Federal Food Grant  
Grant Other Adjustments  
Grant Other Credits  
Grant Other Grant Income  
Grant Other Program Income  
Grant Participant Collections  
Grant Percent SAG1  
Grant Percent SAG2  
Grant Percent SFG1  
Grant Percent SFG2  
Grant Program Income  
Grant Report Type Code  
Grant Report Type Description  
Grant SNPIIS Code  
Grant Spend Forward Funds  
Grant State Agency Identification Number  
Grant State Fiscal Year  
Grant State Grant  
Grant State Grant FFY  
Grant State Grant SFY1

Grant State Grant SFY2  
Grant State Name  
Grant Total Available Funds  
Grant Total Available Revenues  
Grant Type Code  
Grant Unspent Funds  
Grant Vendor Collections  
Grant Vendor Postpayment Collections  
Grant Vendor Prepayment Collections

#### **4.1.26 Income Guideline**

**Description:** The Income Guideline data store is comprised of data elements describing the various maximum income amounts by household/economic unit size.

**Data Elements:**

Income Guideline Create Date  
Income Guideline Create User  
Income Guideline End Date  
Income Guideline Household Income Limit- Annual  
Income Guideline Household Income Limit- Biweekly  
Income Guideline Household Income Limit- Monthly  
Income Guideline Household Income Limit- Twice Monthly  
Income Guideline Household Income Limit- Weekly  
Income Guideline Household Size\*  
Income Guideline Last Modified Date  
Income Guideline Last Modified User  
Income Guideline Start Date

#### 4.1.27 Item Stock- Non-Serialized

**Description:** The Item Stock- Non-Serialized data store is comprised of data elements that identify non-serialized items like publications, training materials, forms and other such items used for nutrition education, vendor management, and general program management.

**Data Elements:**

Clinic Identification Number\*\*  
Item Stock- Non-Serialized Create Date  
Item Stock- Non-Serialized Create User  
Item Stock- Non-Serialized Entry Date\*  
Item Stock- Non-Serialized Identification Number\*  
Item Stock- Non-Serialized Last Modified Date  
Item Stock- Non-Serialized Last Modified User  
Item Stock- Non-Serialized Number of Items Received by Local Agency  
Item Stock- Non-Serialized Number of Items Received by State Agency  
Item Stock- Non-Serialized Number of Items Shipped to State Agency  
Item Stock- Non-Serialized Received by Local Agency Date  
Item Stock- Non-Serialized Received by State Agency Date  
Item Stock- Non-Serialized Shipped to Local Agency Date  
Item Stock- Non-Serialized Type Code  
Local Agency Identification Number\*\*  
User Identification Number\*\*

#### 4.1.28 Item Stock- Serialized

**Description:** The Item Stock- Serialized data store is comprised of data elements that identify serialized items, including batches of EBT cards or blank stock used to print food instruments, equipment with serial numbers, and the shipping of batches of serialized items to local agencies.

**Data Elements:**

Clinic Identification Number\*\*  
Item Stock- Serialized Batch Beginning Serial Number

Item Stock- Serialized Batch Ending Serial Number  
Item Stock- Serialized Card Stock Batch Number  
Item Stock- Serialized Card Stock Serial Number\*  
Item Stock- Serialized Create Date  
Item Stock- Serialized Create User  
Item Stock- Serialized Date Received by Local Agency  
Item Stock- Serialized Date Received by State Agency  
Item Stock- Serialized Date Shipped to Local Agency  
Item Stock- Serialized Equipment Identification Number\*  
Item Stock- Serialized Equipment Retirement Date  
Item Stock- Serialized Food Instrument Identification Number\*  
Item Stock- Serialized Food Instrument Stock Batch Number  
Item Stock- Serialized Last Modified Date  
Item Stock- Serialized Last Modified User  
Item Stock- Serialized Type Code  
Local Agency Identification Number\*\*  
User Identification Number\*\*

#### 4.1.29 Local Agency

**Description:** The Local Agency data store is comprised of data elements listing the various characteristics of a local agency.

**Data Elements:**

Local Agency Address- City  
Local Agency Address- County  
Local Agency Address- State  
Local Agency Address- Street  
Local Agency Address- Zip Code  
Local Agency Contact Name  
Local Agency Contact Title  
Local Agency Create Date  
Local Agency Create User  
Local Agency Email Address

Local Agency Facsimile Number  
Local Agency Identification Number\*  
Local Agency Last Modified Date  
Local Agency Last Modified User  
Local Agency Name  
Local Agency NSA Cost per Participant  
Local Agency Number of Certifying Staff  
Local Agency Number of Clerks  
Local Agency Number of Clinics  
Local Agency Number of Nutritionists  
Local Agency Number of Other Staff  
Local Agency Participants per Square Foot  
Local Agency Regional Identifier  
Local Agency Space  
Local Agency Staff to Participant Ratio  
Local Agency Telephone Number

#### **4.1.30 Master Calendar**

**Description:** The Master Calendar data store is comprised of data elements that relate to the set up of a master calendar in a clinic or local agency. The master calendar can also be used in other parts of the WIC organization, including the vendor management or any WIC office that needs a generic calendaring function.

**Data Elements:**

Clinic Identification Number\*\*  
Local Agency Identification Number\*\*  
Master Calendar Create Date  
Master Calendar Create User  
Master Calendar End Date  
Master Calendar Identification Number\*  
Master Calendar Last Modified Date  
Master Calendar Last Modified User  
Master Calendar Start Date



## Master Calendar Type Code

### 4.1.31 NSA Budget

**Description:** The NSA data store is comprised of data elements listing the annual budgeted items for NSA and total expenditures to date for a State Agency or a Local Agency.

**Data Elements:**

- NSA Budget Beginning Grant Date
- NSA Budget Beginning Report Date
- NSA Budget Breast Pump
- NSA Budget Expenditure Amount
- NSA Budget Expenditure Budget Code
- NSA Budget Expenditure Type Code
- NSA Budget Expenditure Type Total
- NSA Budget Create Date
- NSA Budget Create User
- NSA Budget Ending Grant Date
- NSA Budget Ending Report Date
- NSA Budget Federal Fiscal Year\*
- NSA Budget Last Modified Date
- NSA Budget Last Modified User
- NSA Budget Level Indicator\*
- NSA Budget Local NSA Budget- Total
- NSA Budget Program Income Expended
- NSA Budget Program Income Received
- NSA Budget Spending Target
- NSA Budget Total Unliquidated NSA Obligations

### 4.1.32 NSA Expenditure

**Description:** The NSA Expenditure data store is comprised of data elements listing the actual monthly NSA expenditures for the State agency and local agencies.

**Data Elements:**

- Clinic Identification\*\*
- Local Agency Identification\*\*
- NSA Expenditure Beginning Grant Date
- NSA Expenditure Beginning Report Date
- NSA Expenditure Breast Pump
- NSA Expenditure Create Date
- NSA Expenditure Create User
- NSA Expenditure Date
- NSA Expenditure Ending Grant Date
- NSA Expenditure Ending Report Date
- NSA Expenditure Expenditure Amount
- NSA Expenditure Expenditure Budget Code
- NSA Expenditure Expenditure Type Code
- NSA Expenditure Expenditure Type Total
- NSA Expenditure Federal Fiscal Year\*
- NSA Expenditure Last Modified Date
- NSA Expenditure Last Modified User
- NSA Expenditure Level Indicator \*
- NSA Expenditure Program Income

### 4.1.33 Obligation

**Description:** The Obligation data store is comprised of data elements that track estimated and actual obligations in food funds at a specified period in time. It includes the data elements that are used to calculate the changes that impact the net amount of obligated food funds.

**Data Elements:**

- Local Agency Identification Number\*\*

Obligation Breast Pump Costs  
Obligation Create Date  
Obligation Create User  
Obligation Date of Current Obligation\*  
Obligation Last Modified Date  
Obligation Last Modified User  
Obligation Net Obligation  
Obligation Program Income Received  
Obligation Total Estimated Obligation  
Obligation Total Estimated Other Credits  
Obligation Total Estimated Participant Collections  
Obligation Total Estimated Rebates  
Obligation Total Estimated Vendor Collections  
Obligation Total Redemption Value per Month  
Obligation Value for Month

#### 4.1.34 Outlay

**Description:** The Outlay data store is comprised of data elements that track estimated and actual outlays. It includes the data elements that are used to calculate the changes in outlays and impact the net outlay for a given period.

**Data Elements:**

Local Agency Identification Number\*\*  
Outlay Breast Pump Costs  
Outlay Create Date  
Outlay Create User  
Outlay Date\*  
Outlay Last Modified Date  
Outlay Last Modified User  
Outlay Net Federal Outlay  
Outlay Participant Collections Received  
Outlay Program Income Received  
Outlay Total Other Credits Received

Outlay Total Rebates Billed  
Outlay Total Redemption Value per Month  
Outlay Vendor Collections Received

#### **4.1.35 Outreach**

**Description:** The Outreach data store is comprised of data elements describing the characteristics of outreach organizations.

**Data Elements:**

Outreach Address- City  
Outreach Address- State  
Outreach Address- Street  
Outreach Address- Zip Code  
Outreach Campaign Cost  
Outreach Campaign Description  
Outreach Contact Name  
Outreach Contact Title  
Outreach Create Date  
Outreach Create User  
Outreach Email Address  
Outreach Facsimile Number  
Outreach Identification Number\*  
Outreach Last Modified Date  
Outreach Last Modified User  
Outreach Organization Name  
Outreach Telephone Number

#### **4.1.36 Outreach Activity**

**Description:** The Outreach Activity data store is comprised of data elements that track actual versus planned outreach activities.

**Data Elements:**

Outreach Activity Create Date  
Outreach Activity Create User

Outreach Activity Date\*  
Outreach Activity Description  
Outreach Activity Last Modified Date  
Outreach Activity Last Modified User  
Outreach Activity Outcome Code  
Outreach Activity Time  
Outreach Identification Number\*\*

#### 4.1.37 Participant

**Description:** The Participant data store is comprised of data elements that describe applicants, and participants of the WIC Program. The elements are used in various functions throughout the applicant or participant's history in the WIC information system.

**Data Elements:**

Clinic Identification Number\*\*  
Food Package Identification Number\*\*  
Local Agency Identification Number\*\*  
Participant Actual Date of Delivery  
Participant Address- Apartment  
Participant Address- City  
Participant Address- State  
Participant Address- Street  
Participant Address- Zip Code  
Participant Adjunct or Automatic Income Eligibility Code  
Participant Age  
Participant Alias Name  
Participant Application Date  
Participant Card Replacement Date  
Participant Card Replacement Reason Code  
Participant Category Code  
Participant Certification End Date  
Participant Certification Start Date  
Participant Certification Status Code

Participant Create Date  
Participant Create User  
Participant Data Sharing Consent  
Participant Data Sharing Entity  
Participant Date of Birth  
Participant Date of First Certification  
Participant Date of Initial Contact  
Participant Date of Last Checkup/Immunization- Infants & Children  
Participant Education Level Code  
Participant Employment Status Code  
Participant Expected Date of Delivery  
Participant Family/Household Identification Number\*  
Participant Family/Household Size  
Participant Guardian Name  
Participant Identification Card Number  
Participant Identification Number\*  
Participant Identity Documentation Code  
Participant Income Documentation Code  
Participant Income Documentation Date  
Participant Income per Period  
Participant Income Period  
Participant Income Range per Period  
Participant Income Self-declared Indicator  
Participant Ineligibility Date  
Participant Ineligibility Reason Code  
Participant Language Spoken Code  
Participant Last Modified Date  
Participant Last Modified User  
Participant Marital Status Code  
Participant Name- First  
Participant Name- Last  
Participant Name- MI  
Participant Number of Infants Resulting from Current Pregnancy

Participant Number of Live Births  
Participant Parent/Head of Household Address- Apartment  
Participant Parent/Head of Household Address- City  
Participant Parent/Head of Household Address- State  
Participant Parent/Head of Household Address- Street  
Participant Parent/Head of Household Address- Zip Code  
Participant Parent/Head of Household Date of Birth  
Participant Parent/Head of Household Indicator  
Participant Parent/Head of Household Name- First  
Participant Parent/Head of Household Name- Last  
Participant Parent/Head of Household Name- MI  
Participant Parent/Head of Household Telephone Number  
Participant Participation in Other Programs Code  
Participant Physical Presence Exception Code  
Participant Physical Presence Indicator (Y/N)  
Participant Priority Level Code  
Participant Proxy Authorization Date  
Participant Proxy Name  
Participant Racial/Ethnic Ethnicity Code  
Participant Racial/Ethnic Race Code  
Participant Residency Documentation Code  
Participant Residential Status Code  
Participant Self-declared Income Eligibility Code  
Participant Sex  
Participant Source of Information About WIC Code  
Participant Exempt Infant Formula/Medical Foods Prescription on File  
Participant Exempt Infant Formula/Medical Foods Received  
Participant Exempt Infant Formula/Medical Foods Received Reason Code  
Participant Status Code  
Participant Telephone Number  
Participant Termination Date  
Participant Termination Reason Code

Participant Voter Registration Assistance Provided  
Vendor Identification Number\*\*

#### 4.1.38 Participant Care Plan

**Description:** The Participant Care Plan data store is comprised of data elements that describe an individualized care plan set up for a participant.

**Data Elements:**

Comment Identification Number\*\*  
Participant Care Plan Create Date\*  
Participant Care Plan Create User  
Participant Care Plan High Risk Indicator  
Participant Care Plan Identification Number\*  
Participant Care Plan Last Modified Date  
Participant Care Plan Last Modified User  
Participant Care Plan Nutrition Goal Date  
Participant Care Plan Nutrition Goal Outcome Code  
Participant Care Plan Nutrition Goal Outcome Date  
Participant Care Plan Nutrition Goals  
Participant Care Plan Template Type Code  
Participant Identification Number\*\*

#### 4.1.39 Participant Health

**Description:** The Participant Health data store is comprised of data elements that store anthropometric measures of a participant, as well as health and lifestyle activities. These data elements may change over time and track the history of the measurements to determine the health status of the participant.

**Data Elements:**

Participant Care Plan Identification Number\*\*  
Participant Health Anthropometric Date\*  
Participant Health Bloodwork  
Participant Health Bloodwork Change Code



Participant Health Bloodwork Date  
Participant Health Bloodwork Type Code  
Participant Health BMI  
Participant Health Cigarette Smoking  
Participant Health Cigarettes per Day  
Participant Health Create Date  
Participant Health Create User  
Participant Health Dietary Supplement During Pregnancy  
Participant Health Dietary Supplement Prepregnancy  
Participant Health Drink  
Participant Health Drink per Week- 3 Months Prepregnancy  
Participant Health Drink per Week- Last Trimester  
Participant Health Drug  
Participant Health Drug Frequency  
Participant Health Environmental Tobacco Smoke Exposure  
Participant Health Gestational Diabetes  
Participant Health Head Circumference  
Participant Health Height/Length  
Participant Health Height/Length Change Code  
Participant Health High Blood Pressure During Pregnancy  
Participant Health Immunization Status Code  
Participant Health Infant Birth Length  
Participant Health Infant Birth Weight  
Participant Health Infant Gestational Age  
Participant Health Introduction to Supplementary Feeding  
Participant Health Last Modified Date  
Participant Health Last Modified User  
Participant Health LMP Date  
Participant Health Multiple Fetuses  
Participant Health Multiple Fetuses Number of Live Births  
Participant Health Multivitamin Consumption  
Participant Health Nutrition Assessment  
Participant Health Nutritional Risk Code

Participant Health Parent BMI (Father)  
Participant Health Parent BMI (Mother)  
Participant Health Parent Height (Father)  
Participant Health Parent Height (Mother)  
Participant Health Parent Weight (Father)  
Participant Health Parent Weight (Mother)  
Participant Health Pregnancy Outcome Code  
Participant Health Pregnancy Weight Gain  
Participant Health Previous Pregnancy  
Participant Health Previous Pregnancy End Date  
Participant Health Source of Prenatal Care  
Participant Health Source of Prenatal Care Begin Date  
Participant Health Trimester  
Participant Health Trimester of First WIC Visit  
Participant Health TV/Video Viewing  
Participant Health Weight  
Participant Health Weight at Labor  
Participant Health Weight Change Code  
Participant Health Weight Prepregnancy  
Participant Identification Number\*\*

#### **4.1.40 Participation**

**Description:** The Participation data store is comprised of data elements that relate to monthly participation projections and actual participation by participant type.

**Data Elements:**

Caseload- State Agency Month\*\*  
Clinic Identification Number\*\*  
Local Agency Identification Number\*\*  
Participant Category Code\*\*  
Participation Actual  
Participation Create Date

Participation Health Create User  
Participation Last Modified Date  
Participation Last Modified User  
Participation Month\*  
Participation Projected

#### **4.1.41 Rebate Actual**

**Description:** The Rebate Actual data store is comprised of data elements that relate to rebates billed and the actual quantity of food purchased for which a rebate is paid. The rebated amount is calculated for each rebate product and form.

**Data Elements:**

Rebate Actual Average Price  
Rebate Actual Create Date  
Rebate Actual Create User  
Rebate Actual End Date  
Rebate Actual Last Modified Date  
Rebate Actual Last Modified User  
Rebate Actual Product Type/Form Code  
Rebate Actual Product Type/Form Rate  
Rebate Actual Redeemed Quantity  
Rebate Actual Sale Identification Number\*  
Rebate Actual Start Date  
Rebate Invoice Identification Number\*\*  
Rebate Manufacturer Identification Number\*\*

#### **4.1.42 Rebate Estimate**

**Description:** The Rebate Estimate data store is comprised of data elements that are used to calculate estimated rebates.

**Data Elements:**

Rebate Estimate Create Date  
Rebate Estimate Create User

Rebate Estimate Federal Fiscal Year\*

Rebate Estimate Last Modified Date

Rebate Estimate Last Modified User

Rebate Estimate Number of Participants to Receive Product/Type Form

Rebate Estimate Product/Type Form Code

Rebate Estimate Product/Type Form Rate

Rebate Estimate Quantity of Product/Type Form per Participant per Time Period

Rebate Estimate Rate for Contract 1

Rebate Estimate Rate for Contract 2

#### **4.1.43 Rebate Invoice**

**Description:** The Rebate Invoice data store is comprised of data elements that describe the rebate invoice.

**Data Elements:**

Rebate Invoice Adjustment Reason Code

Rebate Invoice Amount Adjusted

Rebate Invoice Amount Collected

Rebate Invoice Bill Amount

Rebate Invoice Create Date

Rebate Invoice Create User

Rebate Invoice Identification Number\*

Rebate Invoice Last Modified Date

Rebate Invoice Last Modified User

Rebate Invoice Total Items Purchased Quantity

Rebate Manufacturer Identification Number\*\*

#### 4.1.44 Rebate Manufacturer

**Description:** The Rebate Manufacturer data store is comprised of data elements that describe a manufacturer who offers product rebates.

**Data Elements:**

- Rebate Manufacturer Address- City
- Rebate Manufacturer Address- State
- Rebate Manufacturer Address- Street
- Rebate Manufacturer Address- Zip Code
- Rebate Manufacturer Contact Name
- Rebate Manufacturer Contact Telephone Number
- Rebate Manufacturer Contract End Date
- Rebate Manufacturer Contract Number
- Rebate Manufacturer Contract Start Date
- Rebate Manufacturer Create Date
- Rebate Manufacturer Create User
- Rebate Manufacturer Email Address
- Rebate Manufacturer Identification Number\*
- Rebate Manufacturer Last Modified Date
- Rebate Manufacturer Last Modified User
- Rebate Manufacturer Name

#### 4.1.45 Referral

**Description:** The Referral data store is comprised of data elements that describe referrals to and from the WIC program. The data store is also used to track the results of referrals to and from other agencies.

**Data Elements:**

- Participant Care Plan Identification Number\*\*
- Participant Identification Number\*\*
- Referral Create Date
- Referral Create User
- Referral Date\*
- Referral Declined

Referral From Organization Code\*  
Referral Last Modified Date  
Referral Last Modified User  
Referral Results  
Referral To Organization Code\*

#### 4.1.46 Resource

**Description:** The Resource data store is comprised of data elements that describe resources (e.g., meeting rooms, equipment, etc.) used in clinics and local agencies. These resources are scheduled using the generic scheduling function.

**Data Elements:**

Resource Create Date  
Resource Create User  
Resource Description  
Resource Identification Number\*  
Resource Last Modified Date  
Resource Last Modified User  
Resource Type Code

#### 4.1.47 Sanction

**Description:** The Sanction data store is comprised of data elements describing specific enforcement actions (commonly referred to as sanctions) imposed on vendors or WIC participants, such as suspension, termination and civil money penalties (CMPs).

**Data Elements:**

Participant Identification Number\*\*  
Sanction Case Appeal Indicator  
Sanction Case Appeal Outcome Code  
Sanction Case Identification Number\*  
Sanction Case Start Date  
Sanction Case Status  
Sanction Case Type Code

Sanction Create Date  
Sanction Create User  
Sanction Date of Notice of Initial Violation  
Sanction Determination that Notice Will Compromise an Investigation Indicator  
Sanction Effective Date  
Sanction Last Modified Date  
Sanction Last Modified User  
Sanction Length of Disqualification  
Sanction Points Number  
Sanction Referred from Food Stamps  
Sanction Referred to Food Stamps  
Sanction Type Code  
Sanction Vendor CMP Amount Assessed  
Sanction Vendor CMP Amount Assessed Date  
Sanction Vendor CMP Amount Collected  
Sanction Vendor CMP Due Date  
Sanction Vendor CMP Installment Amount  
Sanction Vendor CMP Installment Term  
Sanction Violation Code  
User Identification Number\*\*  
Vendor Identification Number\*\*

#### **4.1.48 Scheduled Appointment**

**Description:** The Scheduled Appointment data store is comprised of data elements that describe characteristics of an appointment. It can be used to schedule various types of events (e.g., nutrition education, certification appointment, food instrument pick-up appointment, vendor education, outreach activities, etc.) This data store also tracks attendance at appointments.

##### **Data Elements:**

Comment Identification Number\*\*  
Education/Training Offer Class Code\*\*

Event Slot Identification Number\*\*  
Participant Family/Household Identification Number\*\*  
Participant Identification Number\*\*  
Scheduled Appointment Create Date  
Scheduled Appointment Create User  
Scheduled Appointment Date  
Scheduled Appointment Document Code  
Scheduled Appointment Identification Number\*  
Scheduled Appointment Last Modified Date  
Scheduled Appointment Last Modified User  
Scheduled Appointment Missed Reason  
Scheduled Appointment Number of Actual Attendees  
Scheduled Appointment Number of Expected Attendees  
Scheduled Appointment Outcome Code  
Scheduled Appointment Time  
Scheduled Appointment Type Code

#### **4.1.49 Survey Question**

**Description:** The Survey Question data store is comprised of data elements describing individual survey questions.

**Data Elements:**

Survey Question Create Date  
Survey Question Create User  
Survey Question Identification Number\*  
Survey Question Last Modified Date  
Survey Question Last Modified User  
Survey Question Text  
Survey Question WIC Service Type Code



#### 4.1.50 Survey Questionnaire

**Description:** The Survey Questionnaires data store is comprised of survey questions given to a participant, a group of participants or vendors. It allows the survey functionality to assess various WIC services.

**Data Elements:**

- Survey Question Identification Number\*\*
- Survey Questionnaire Create Date
- Survey Questionnaire Create User
- Survey Questionnaire Identification Number\*
- Survey Questionnaire Last Modified Date
- Survey Questionnaire Last Modified User
- Survey Questionnaire Question Sequence Number
- Survey Questionnaire Survey Name
- Survey Questionnaire Survey Type Code

#### 4.1.51 Survey Response

**Description:** The Survey Response data store is comprised of data elements listing various results of WIC services, based on participant, vendor, or staff responses.

**Data Elements:**

- Clinic Identification Number\*\*
- Local Agency Identification Number\*\*
- Participant Identification Number\*\*
- Survey Question Identification Number\*\*
- Survey Response Create Date
- Survey Response Create User
- Survey Response Last Modified Date
- Survey Response Last Modified User
- Survey Response Nutrition Education Size
- Survey Response Nutrition Education Type
- Survey Response Opinion Score
- Survey Response WIC Service Date

Survey Response WIC Service Type Code

User Identification\*\*

Vendor Identification\*\*

#### 4.1.52 Transfer

**Description:** The Transfer data store is comprised of data elements related to the transfer into and out of the State agency WIC Program, as well as in-state transfers. Additional data elements used for the transfer are calculated using data resident in the IS.

**Data Elements:**

Local Agency Identification Number\*\*

Participant Identification Number\*\*

Participant Family/Household Identification Number\*\*

Transfer Create Date

Transfer Create User

Transfer Date\*

Transfer From

Transfer Last Modified Date

Transfer Last Modified User

Transfer To

#### 4.1.53 Unauthorized Access

**Description:** The Unauthorized Access data store is comprised of data elements that contain details of a user's unsuccessful attempts to gain access to the system or to access a specific function in the system.

**Data Elements:**

Unauthorized Access Date

Unauthorized Access Function Code

Unauthorized Access Terminal Identification Number/IP Address

Unauthorized Access Time

User Identification Number\*

#### 4.1.54 User

**Description:** The User data store is comprised of data elements describing individual users of the WIC information system.

**Data Elements:**

- Clinic Identification Number\*\*
- Local Agency Identification Number\*\*
- User Create Date
- User Create User
- User Identification End Date
- User Identification Number\*
- User Identification Start Date
- User Last Modified Date
- User Last Modified User
- User Name
- User Organization Supervisor
- User Password (Encrypted)
- User Social Security Number
- User Supervisor Telephone Number
- User Telephone Number
- User Title/Role

#### 4.1.55 User Access

**Description:** The User Access data store is comprised of data elements describing access privileges of individual users of the WIC information system.

**Data Elements:**

- User Access Create Date
- User Access Create User
- User Access Function Code
- User Access Function Privilege
- User Access Last Modified Date
- User Access Last Modified User

User Identification Number\*

#### 4.1.56 Vendor

**Description:** The Vendor data store is comprised of data elements describing characteristics of vendors providing food to WIC participants.

**Data Elements:**

Vendor A50 Indicator  
Vendor Address- City  
Vendor Address- State  
Vendor Address- Street  
Vendor Address- Zip Code  
Vendor Business Year End Month/Year  
Vendor Business Year Start Month/Year  
Vendor Chain Code  
Vendor Contact Email Address  
Vendor Contact Name- First  
Vendor Contact Name- Last  
Vendor Contact Name- MI  
Vendor Contact Telephone Number  
Vendor Contact Title  
Vendor Create Date  
Vendor Create User  
Vendor Days of Operation  
Vendor Federal Tax Identification Number  
Vendor Food Inventory Shelf Space  
Vendor FSP Identification Number  
Vendor FSP Sanctions  
Vendor High Risk Peer Group Code  
Vendor Hours of Operation  
Vendor Identification Number\*  
Vendor Infant Formula Sources  
Vendor Last Modified Date

Vendor Last Modified User  
Vendor Mailing Address- City  
Vendor Mailing Address- State  
Vendor Mailing Address- Street  
Vendor Mailing Address- Zip Code  
Vendor Monthly Redemptions  
Vendor Name  
Vendor Number of Cash Registers  
Vendor Participant Access Determination Indicator  
Vendor Price Survey Date  
Vendor Price Survey Food Item Name  
Vendor Price Survey Food Item Shelf Price  
Vendor Referred to Food Stamps  
Vendor Sales Food  
Vendor Sales FSP  
Vendor Sales Non-Foods  
Vendor Sales WIC  
Vendor WIC Sanctions to Date  
Vendor Scanner Availability  
Vendor Scanner Screens WIC Purchases  
Vendor Type Code

The following data elements are repeated for each type of vendor risk in the Vendor data store:

Vendor Risk Factor Flag  
Vendor Risk Factor Type Code  
Vendor Risk Level

#### **4.1.57 Vendor Authorization**

**Description:** The Vendor Authorization data store is comprised of data elements related to the process of becoming an authorized WIC vendor.

**Data Elements:**

Vendor Authorization Activity Code

Vendor Authorization Activity Complete Date  
Vendor Authorization Activity Scheduled Date  
Vendor Authorization Create Date  
Vendor Authorization Create User  
Vendor Authorization Expiration Date  
Vendor Authorization Ineligibility Reason Code  
Vendor Authorization Last Modified Date  
Vendor Authorization Last Modified User  
Vendor Authorization Start Date  
Vendor Authorization Status Code  
Vendor Identification Number\*

#### **4.1.58 Vendor Compliance Activity**

**Description:** The Compliance Activity data store is comprised of data elements that describe monitoring and compliance activities conducted by States with regard to vendors. Examples of these activities are compliance buys and vendor record audits.

**Data Elements:**

Local Agency Identification\*\*  
Participant Identification Number\*\*  
Vendor Compliance Activity Create Date  
Vendor Compliance Activity Create User  
Vendor Compliance Activity Date\*  
Vendor Compliance Activity Food Instrument Identification Numbers  
Vendor Compliance Activity Food Item Disposition  
Vendor Compliance Activity Investigator  
Vendor Compliance Activity Last Modified Date  
Vendor Compliance Activity Last Modified User  
Vendor Compliance Activity Reason Code  
Vendor Compliance Activity Task Code  
Vendor Compliance Activity Type Code  
Vendor Compliance Activity Violation Indicator Code  
Vendor Identification Number\*\*

#### 4.1.59 Vendor Monitoring Activity

**Description:** The Monitoring Activity data store is comprised of data elements that describe monitoring and compliance activities conducted by States with regard to vendors.

**Data Elements:**

- Local Agency Identification\*\*
- Participant Identification Number\*\*
- Vendor Monitoring Activity Create Date
- Vendor Monitoring Activity Create User
- Vendor Monitoring Activity Date\*
- Vendor Monitoring Activity Investigator
- Vendor Monitoring Activity Food Inventory Value
- Vendor Monitoring Activity Food Redemption Value
- Vendor Monitoring Activity Last Modified Date
- Vendor Monitoring Activity Last Modified User
- Vendor Monitoring Activity Reason Code
- Vendor Monitoring Activity Task Code
- Vendor Monitoring Activity Type Code
- Vendor Monitoring Activity Violation Indicator Code
- Vendor Identification Number\*\*

#### 4.1.60 Vendor Peer Group

**Description:** The Vendor Peer Group data store is comprised of data elements that describe the peer groups used to categorize vendors.

**Data Elements:**

- Vendor Peer Group Code\*
- Vendor Peer Group Create Date
- Vendor Peer Group Create User
- Vendor Peer Group Description
- Vendor Peer Group Last Modified Date
- Vendor Peer Group Last Modified User
- Vendor Identification Number\*\*

## 4.2 Data Code Tables

The Data Code Tables listed below are not intended to be exhaustive, but rather suggest the types of code tables that may be useful within a WIC IS. The design of the system will determine the specific requirements for code tables. To increase a system's flexibility and adaptability for different State environments, it is highly recommended that code tables be used to the fullest extent possible. The values associated with the code tables may be determined either at the State level or at the local level depending on the policies of the individual States.

The following data code tables have been identified for the proposed State WIC information system:

### 4.2.1 Adjustment Reason

**Description:** The Adjustment Reason code table is comprised of data elements describing reasons rebate invoices are adjusted (e.g., error, formula returned).

**Data Elements:**

Rebate Invoice Adjustment Reason Code

Rebate Invoice Adjustment Reason Description

### 4.2.2 Administrative Hearing Type

**Description:** The Administrative Hearing Type code table is comprised of data elements listing the types of entities that participate in administrative hearings, (e.g., participants, vendors, users/staff).

**Data Elements:**

Administrative Hearing Type Code

Administrative Hearing Type Description



### 4.2.3 Annual Income

**Description:** The Annual Income code table lists the maximum allowable income level of a WIC Program enrollee based on the number of individuals living in the same economic unit with the enrollee.

**Data Elements:**

Participant Income per Period  
Allowable Family/Household Size

### 4.2.4 Appointment Type

**Description:** The Appointment Type code table is comprised of data elements listing the types of appointments participants have with WIC staff (e.g., (re) certification, nutrition education, food instrument pick-up).

**Data Elements:**

Scheduled Appointment Type Code  
Scheduled Appointment Type Description

### 4.2.5 Appointment Document

**Description:** The Appointment Document code table is comprised of data elements listing the types of appointment letter templates that are available.

**Data Elements:**

Scheduled Appointment Document Code  
Scheduled Appointment Document Description

### 4.2.6 Archive Record Type

**Description:** The Archive Record Type code table is comprised of data elements that describe the type of record being archived.

**Data Elements:**

Archive Record Type Code  
Archive Record Type Description

#### 4.2.7 Bloodwork Type

**Description:** The Bloodwork Type code table is comprised of data elements that describe type of bloodwork test performed (e.g., Hematocrit, hemoglobin, or erythrocyte protoporphyrin).

**Data Elements:**

Participant Health Bloodwork Type Code

Participant Health Bloodwork Type Description

#### 4.2.8 Breastfeeding Discontinued Reason

**Description:** The Breastfeeding Discontinued Reason code table is comprised of data elements listing the reason(s) breastfeeding stopped (e.g., went back to work, baby's age, no support from family/friends).

**Data Elements:**

Breastfeeding Discontinued Reason Code

Breastfeeding Discontinued Reason Description

#### 4.2.9 Breastfeeding Status

**Description:** The Breastfeeding Status code table is comprised of data elements listing the breastfeeding status of a participant (e.g., currently breastfeeding, discontinued breastfeeding).

**Data Elements:**

Breastfeeding Status Code

Breastfeeding Status Description

#### 4.2.10 Budget Code

**Description:** The Budget Code code table is comprised of data elements that describe different types of budget categories (e.g., Breastfeeding, Client Services, Nutrition Education, or Program Administration). These codes are used by the NSA Budget and NSA Expenditure data stores.

**Data Elements:**

Expenditure Budget Code

Expenditure Budget Description

#### 4.2.11 Card Replacement Reason

**Description:** The Card Replacement Reason code table is comprised of data elements listing the reasons a participant's card is replaced.

**Data Elements:**

- Participant Card Replacement Reason Code
- Participant Card Replacement Reason Description

#### 4.2.12 Care Plan Template Type

**Description:** The Care Plan Template Type code table is comprised of data elements listing the types of care plan templates available for a participant.

**Data Elements:**

- Participant Care Plan Template Type Code
- Participant Care Plan Template Type Description

#### 4.2.13 Category/Subcategory Category

**Description:** The Category/Subcategory Category code table is comprised of data elements listing the categories to which a food item can belong (e.g., milk, cheese, cereal).

**Data Elements:**

- Category/Subcategory Category Code
- Category/Subcategory Category Description

#### 4.2.14 Category/Subcategory Subcategory

**Description:** The Category/Subcategory Subcategory code table is comprised of data elements listing the subcategories to which a food item can belong (e.g., 2% milk, cheddar cheese).

**Data Elements:**

- Category/Subcategory Subcategory Code
- Category/Subcategory Category Code
- Category/Subcategory Subcategory Description

#### 4.2.15 Certification Status

**Description:** The Certification Status code table is comprised of data elements used to describe levels of certification, as well as to set up compliance investigator participants (e.g., applicant, certified, waiting list, compliance investigator, ineligible).

**Data Elements:**

Participant Certification Status Code  
Participant Certification Status Code Description

#### 4.2.16 Clinic Status

**Description:** The Clinic Status code table is comprised of data elements listing the possible status of a clinic (open, closed, temporary, seasonal).

**Data Elements:**

Clinic Status Code  
Clinic Status Description

#### 4.2.17 Complaint Source Type

**Description:** The Complaint Source Type code table is comprised of data elements listing the types of entities that file complaints (e.g., participants, vendors, users/staff).

**Data Elements:**

Complaint Source Type Code  
Complaint Source Type Description

#### 4.2.18 Complaint Status

**Description:** The Complaint Status code table is comprised of data elements listing the possible status of a complaint (e.g., resolved, pending).

**Data Elements:**

Complaint Status Code  
Complaint Status Description

#### 4.2.19 Complaint Type

**Description:** The Complaint Type code table is comprised of data elements listing the types of entities against whom complaints are filed (e.g., participants, vendors, users/staff).

**Data Elements:**

Complaint Type Code  
Complaint Type Description

#### 4.2.20 Compliance Activity Reason

**Description:** The Compliance Activity Reason code table is comprised of data elements listing the types of reasons for compliance activities (e.g., response to complaint, routine monitoring, high risk monitoring).

**Data Elements:**

Vendor Compliance Activity Reason Code  
Vendor Compliance Activity Reason Description

#### 4.2.21 Compliance Activity Task

**Description:** The Compliance Activity Task code table is comprised of data elements listing the method by which WIC staff will check for compliance (e.g., safe buy, food substitution).

**Data Elements:**

Vendor Compliance Activity Task Code  
Vendor Compliance Activity Task Description

#### 4.2.22 Compliance Activity Type

**Description:** The Compliance Activity Type code table is comprised of data elements listing the ways WIC staff can monitor compliance (e.g., compliance buy, record audit).

**Data Elements:**

Vendor Compliance Activity Type Code  
Vendor Compliance Activity Type Description

#### 4.2.23 Compliance Activity Violation Indicator

**Description:** The Compliance Activity Violation Indicator code table is comprised of data elements listing a vendor's violations (e.g., allowed food substitution, invoice values do not match purchase prices).

**Data Elements:**

Vendor Compliance Violation Indicator Code  
Vendor Compliance Violation Indicator Description

#### 4.2.24 Customer Service Action Taken

**Description:** The Customer Service Action Taken code table is comprised of data elements listing the types of actions taken in response to a customer service call (e.g., referred to specialist, site visit).

**Data Elements:**

Customer Service Action Taken Code  
Customer Service Action Taken Description

#### 4.2.25 Customer Service Problem Resolution

**Description:** The Customer Service Problem Resolution code table is comprised of data elements listing the possible resolutions to a customer service call issue (e.g., resolved, pending).

**Data Elements:**

Customer Service Problem Resolution Code  
Customer Service Problem Resolution Description

#### 4.2.26 Customer Service Request

**Description:** The Customer Service Request code table is comprised of data elements listing the types of entities that request customer service assistance (e.g., participants, vendors, users/staff).

**Data Elements:**

Customer Service Request Code  
Customer Service Request Description

#### 4.2.27 Dual Participation Potential Match Program

**Description:** The Dual Participation Potential Match Program code table is comprised of data elements listing the types of programs to which a participant may have applied or is participating that would constitute dual participation (e.g., WIC, CSFP).

**Data Elements:**

Dual Participation Potential Match Program Code

Dual Participation Potential Match Program Description

#### 4.2.28 Education Level

**Description:** The Education Level code table is comprised of data elements listing the level of education completed by a participant (e.g., some high school, high school graduate, some college, college graduate).

**Data Elements:**

Participant Education Level Code

Participant Education Level Description

#### 4.2.29 Education/Training Offer Class

**Description:** The Education/Training Offer Class code table is comprised of data elements listing types of classes offered to participants, vendors, and users/staff (e.g., breastfeeding class, vendor training).

**Data Elements:**

Education/Training Offer Class Code

Education/Training Offer Class Description

#### 4.2.30 Education/Training Offer Status

**Description:** The Education/Training Offer Status code table is comprised of data elements listing status of classes offered to participants, vendors, and users/staff (e.g., scheduled, pending, refused).

**Data Elements:**

Education/Training Offer Status Code

Education/Training Offer Status Description

#### 4.2.31 Education/Training Offer Topics Covered Code

**Description:** The Education/Training Offer Topics Covered code table is comprised of data elements listing the topics covered.

**Data Elements:**

Education/Training Offer Topics Covered Code  
Education/Training Offer Topics Covered Description

#### 4.2.32 Education/Training Offer Type

**Description:** The Education/Training Offer Type code table is comprised of data elements listing the types of entities that are offered education (e.g., participants, vendors, users/staff).

**Data Elements:**

Education/Training Offer Type Code  
Education/Training Offer Type Description

#### 4.2.33 Employment Status

**Description:** The Employment Status code table is comprised of data elements listing levels of employment status for participants (e.g., employed full time, employed part time, unemployed).

**Data Elements:**

Participant Employment Status Code  
Participant Employment Status Description

#### 4.2.34 Event Day Preference

**Description:** The Event Day Preference code table is comprised of data elements listing the days of the week that a participant prefers to schedule events.

**Data Elements:**

Event Preference Preferred Day Code  
Event Preference Preferred Day Description



#### 4.2.35 Event Time Preference

**Description:** The Event Time Preference code table is comprised of data elements listing the time of day that a participant prefers to schedule events.

**Data Elements:**

Event Preference Preferred Time Code  
Event Preference Preferred Time Description

#### 4.2.36 Event Type

**Description:** The Event Type code table is comprised of data elements describing various types of events that can be set on a master calendar (e.g., nutrition education class, staff meeting, holiday).

**Data Elements:**

Event Slot Type Code  
Event Slot Type Description

#### 4.2.37 Expenditure Type

**Description:** The Expenditure Type code table is comprised of data elements describing various types of expenditure categories (e.g., Communications and Travel, Equipment, Indirect Costs, Information Systems, Other Direct Costs, Salaries and Benefits, and Space Utilization). These codes are used by the NSA Budget and NSA Expenditure data stores.

**Data Elements:**

Expenditure Type Code  
Expenditure Type Description

#### 4.2.38 Food Instrument Type Category

**Description:** The Food Instrument Type Category code table is comprised of data elements listing food instruments types (e.g., milk only, infant cereal, and infant formula).

**Data Elements:**

Food Instrument Type Category Code  
Food Instrument Type Category Description

#### 4.2.39 Food Item Disposition

**Description:** The Food Item Disposition code table is comprised of data elements listing the types of dispositions for the food items purchased during a compliance activity (e.g., donated, destroyed, held for evidence).

**Data Elements:**

Food Item Disposition Code  
Food Item Disposition Description

#### 4.2.40 Food Package Type

**Description:** The Food Package Type code table is comprised of data elements listing the types of food packages that are determined (e.g., breastfeeding mother food package, Infant under 6 months food package).

**Data Elements:**

Food Package Type Code  
Food Package Type Description

#### 4.2.41 Grant Type

**Description:** The Grant Type code table is comprised of data elements that describe different types of grants (e.g., Food, NSA, State, OA).

**Data Elements:**

Grant Type Code  
Grant Type Description

#### 4.2.42 Health Change

**Description:** The Health Change code table is comprised of data elements listing the ways in which health data can change (e.g., increase, decrease, no change). Health data elements that use this code table include: Participant Health Weight/Length Change, Participant Health Blood Change, and Participant Health Weight Change.

**Data Elements:**

Health Change Code  
Health Change Description

#### 4.2.43 Identity Documentation

**Description:** The Identity Documentation code table is comprised of data elements listing the types of documents an applicant can provide as proof of identity.

**Data Elements:**

Participant Identity Documentation Code  
Participant Identity Documentation Description

#### 4.2.44 Immunization Status

**Description:** The Immunization Status code table is comprised of data elements listing a participant's immunization status (e.g., immunizations up to date, needs immunization).

**Data Elements:**

Participant Health Immunization Status Code  
Participant Health Immunization Status Description

#### 4.2.45 Income Documentation

**Description:** The Income Documentation code table is comprised of data elements listing the various acceptable sources to verify an applicant's income (e.g., W2, pay stub, participation in other program).

**Data Elements:**

Participant Income Documentation Code

## Participant Income Documentation Description

### 4.2.46 Income Eligibility Programs

**Description:** The Income eligibility code table is comprised of data elements describing types of programs in which an applicant is income eligible. Data Elements that use this data code table include: Participant Adjunct or Automatic Income Eligibility Code and Participant Self-declared Income Eligibility Code.

**Data Elements:**

Income Eligibility Code  
Income Eligibility Description

### 4.2.47 Ineligibility Reason (Participant)

**Description:** The Ineligibility Reason (Participant) code table is comprised of data elements that describe the reasons why an applicant cannot be certified with the WIC Program (e.g., improved health, does not meet residency requirements, does not meet income requirements, does not meet age requirements, six month postpartum and not breastfeeding, one year postpartum, and no nutritional need).

**Data Elements:**

Participant Ineligibility Reason Code  
Participant Ineligibility Reason Description

### 4.2.48 Ineligibility Reason (Vendor)

**Description:** The Ineligibility Reason (Vendor) code table is comprised of data elements that describe the reasons why a vendor cannot be authorized with the WIC Program (e.g., prices exceed maximum prices, no caseload in area).

**Data Elements:**

Vendor Authorization Ineligibility Reason Code  
Vendor Authorization Ineligibility Reason Description

#### 4.2.49 Language

**Description:** The Language code table is comprised of data elements listing the languages, other than English, that a participant fluently speaks (e.g., Spanish). Language codes are used in participant records, to indicate preferences and determine appropriate classes when scheduling appointments, and when setting up event slot types. Data stores that use the Language code table include: Event Preference, Event Slot, and Participant.

**Data Elements:**

Language Code

Language Description

#### 4.2.50 Marital Status

**Description:** The Marital Status code table is comprised of data elements that describe the participant's present marital situation (e.g., not married, married, and unknown).

**Data Elements:**

Participant Marital Status Code

Participant Marital Status Description

#### 4.2.51 Master Calendar Type

**Description:** The Master Calendar Type code table is comprised of data elements that describe the types of calendars that can be set by clinics, local agencies, or the state agency (e.g., clinic, vendor management classes, nutrition education classes, staff calendar).

**Data Elements:**

Master Calendar Type Code

Master Calendar Type Description

#### 4.2.52 Monitoring Activity Reason

**Description:** The Monitoring Activity Reason code table is comprised of data elements listing the types of reasons for compliance activities (e.g., response to complaint, routine monitoring, high risk monitoring).

**Data Elements:**

Vendor Monitoring Activity Reason Code

Vendor Monitoring Activity Reason Description

#### 4.2.53 Monitoring Activity Task

**Description:** The Monitoring Activity Task code table is comprised of data elements listing the method by which WIC staff will conduct monitoring activities.

**Data Elements:**

Vendor Monitoring Activity Task Code

Vendor Monitoring Activity Task Description

#### 4.2.54 Monitoring Activity Type

**Description:** The Monitoring Activity Type code table is comprised of data elements listing the ways WIC staff can perform monitoring visits.

**Data Elements:**

Vendor Monitoring Activity Type Code

Vendor Monitoring Activity Type Description

#### 4.2.55 Monitoring Activity Violation Indicator

**Description:** The Monitoring Activity Violation Indicator code table is comprised of data elements listing a vendor's violations (e.g., insufficient quantity of WIC foods, issues with store cleanliness).

**Data Elements:**

Vendor Monitoring Violation Indicator Code

Vendor Monitoring Violation Indicator Description

#### **4.2.56 Nutrition Goal Outcome**

**Description:** The Nutrition Goal Outcome code table is comprised of data elements that describe the possible outcomes of nutrition goals set by the participant and nutritionist (e.g., goal achieved).

**Data Elements:**

Nutrition Goal Outcome Code  
Nutrition Goal Outcome Description

#### **4.2.57 Nutrition Risk Code**

**Description:** The Nutrition Risk code table is comprised of data elements that describe a participant's nutrition risk (e.g., low maternal weight gain, anemia, hypertension, maternal smoking). Standard codes were determined by FNS in conjunction with State and local WIC experts.

**Data Elements:**

Participant Health Nutrition Risk Code  
Participant Health Nutrition Risk Description

#### **4.2.58 Organization**

**Description:** The Organization code table is comprised of data elements that describe the organizations that impact WIC participants (e.g., Immunization Program, Medicaid, homeless shelters). Organizations can include: outreach organizations, referral organizations, and out of state organizations from which participants transfer.

**Data Elements:**

Organization Code  
Organization Description

#### 4.2.59 Other Programs

**Description:** The Other Programs code table is comprised of data elements that describe the programs in which WIC participants may also participate (e.g., Food Stamp Program, TANF, Medicaid, Food Distribution Programs on Indian Reservations).

**Data Elements:**

Participant Participation in Other Programs Code  
Participant Participation in Other Programs Description

#### 4.2.60 Outcome

**Description:** The Outcome code table is comprised of data elements that describe the types of outcomes to various events (e.g., rescheduled, cancelled, held/attended). Data stores that utilize this code table include: Administrative Hearing, Sanction, and Scheduled Appointment.

**Data Elements:**

Outcome Code  
Outcome Description

#### 4.2.61 Participant Category

**Description:** The Participant Category code table is comprised of data elements listing the categories to which a participant must belong in order to be certified with the WIC Program (e.g., pregnant woman, breastfeeding woman, postpartum non-breastfeeding woman, infant, or child).

**Data Elements:**

Participant Category Code  
Participant Category Description



#### 4.2.62 Participant Status

**Description:** The Participant Status code table is comprised of data elements listing the possible status levels for a participant (e.g., active, inactive, terminated, transferred, suspended, on waiting list).

**Data Elements:**

Participant Status Code  
Participant Status Description

#### 4.2.63 Peer Group

**Description:** The Peer Group code table is comprised of data elements listing the band or peer group to which a vendor can belong. This is determined by factors such as vendor type, vendor location, etc.

**Data Elements:**

Vendor Peer Group Code  
Vendor Peer Group Description

#### 4.2.64 Physical Presence Exception

**Description:** The physical presence exception code table is comprised of data elements listing the acceptable reasons physical presence exceptions can be made.

**Data Elements:**

Participant Physical Presence Exception Code  
Participant Physical Presence Exception Description

#### 4.2.65 Pregnancy Outcome

**Description:** The Pregnancy Outcome code table is comprised of data elements describing the outcome of a woman's current pregnancy (e.g., live birth, stillborn, miscarriage, neonatal death).

**Data Elements:**

Participant Pregnancy Outcome Code  
Pregnancy Outcome Description

#### **4.2.66 Priority Level**

**Description:** The Priority Level code table is comprised of data elements listing the possible priority levels for a participant (based on participant category and risk factor)

**Data Elements:**

Priority Level Code  
Priority Level Description

#### **4.2.67 Product Type/Form**

**Description:** The Product Type /Form code table is comprised of data elements describing the forms of packaging or state in which a food product is authorized (e.g., concentrated formula, powered formula, frozen juice). Product Type /Form codes are used in the Rebate Actual and Rebate Estimate data stores.

**Data Elements:**

Product Type/Form Code  
Product Type/Form Description

#### **4.2.68 Racial/Ethnic Ethnicity**

**Description:** The Racial/Ethnic Ethnicity code table is comprised of data elements that list the types of ethnic backgrounds to which a participant may belong. The categories are: “Hispanic or Latino” or “Not Hispanic or Latino.”

**Data Elements:**

Participant Racial/Ethnic Ethnicity Code  
Participant Racial/Ethnic Ethnicity Code Description

#### 4.2.69 Racial/Ethnic Race

**Description:** The Racial/Ethnic Race code table is comprised of data elements that list the race(s) to which a participant may belong. For race, the categories are: American Indian or Alaska Native; Asian; Black or African American; Native Hawaiian or Other Pacific Islander; or White.

**Data Elements:**

Participant Racial/Ethnic Race Code  
Participant Racial/Ethnic Race Code Description

#### 4.2.70 Reject Reason

**Description:** The Reject Reason code table is comprised of data elements describing reasons why food instruments or transactions are rejected during redemption activities (e.g., exceeded maximum value, past expiration date). Data stores that use the Reject Reason code table includes: Food Instrument.

**Data Elements:**

Reject Reason Code  
Reject Reason Description

#### 4.2.71 Report Type

**Description:** The Report Type code table is comprised of data elements identifying a report as a monthly or annual (closeout) report. The Grant data store uses the Report Type code table.

**Data Elements:**

Report Type Code  
Report Type Description

#### 4.2.72 Residency Documentation

**Description:** The Residency Documentation code table is comprised of data elements listing the sources used to document the participant's current residency.

**Data Elements:**

Participant Residency Documentation Code  
Participant Residency Documentation Description

#### 4.2.73 Residential Status

**Description:** The Residential Status code table is comprised of data elements listing the current living situation of the participant (e.g., domiciled, migrant, and homeless).

**Data Elements:**

Participant Residential Status Code  
Participant Residential Status Description

#### 4.2.74 Resource Type

**Description:** The Resource Type code table is comprised of data elements listing the types of resources available to a clinic or local agency (e.g., equipment, classroom). Data stores that use this code table include: Event Slot (Event Slot Required Resource) and Resource.

**Data Elements:**

Resource Type Code  
Resource Type Description

#### 4.2.75 Sanction Case Type

**Description:** The Sanction Case Type code table is comprised of data elements listing the types of entities that have sanctions brought against them (e.g., participants, vendors, users/staff).

**Data Elements:**

Sanction Case Type Code  
Sanction Case Type Description

#### 4.2.76 Sanction Type

**Description:** The Sanction Type code table is comprised of data elements listing the various types of sanctions that can be brought against a participant or vendor (e.g., suspension, fine).

**Data Elements:**

Sanction Type Code  
Sanction Type Description

#### 4.2.77 Sanction Violation

**Description:** The Sanction Violation code table is comprised of data elements listing the various types of violations made by a participant or vendor (e.g., food substitution).

**Data Elements:**

Sanction Violation Code  
Sanction Violation Description

#### 4.2.78 Source of Information About WIC

**Description:** The Source of Information About WIC code table is comprised of data elements listing the possible places/ways in which a participant learned about WIC (e.g., friend, radio advertisement).

**Data Elements:**

Participant Source of Information About WIC Code  
Participant Source of Information About WIC Description

#### 4.2.79 Self-declared Income

**Description:** The Self-declared Income code table is comprised of data elements listing a source of Self-declared income (e.g., participation in TANF, Food Stamps, etc.).

**Data Elements:**

Self-declared Income Eligibility Code  
Self-declared Income Eligibility Description

Self-declared Income

#### **4.2.80 Special Formula/Medical Foods Received Reason**

**Description:** The Special Formula/Medical Foods Received Reason code table is comprised of data elements listing the reasons a participant receives special formula or medical foods (e.g., allergies).

**Data Elements:**

Special Formula/Medical Foods Received Reason Code  
Special Formula/Medical Foods Received Reason Description

#### **4.2.81 State Postal Abbreviation**

**Description:** The State Postal Abbreviations code table is comprised of data elements listing the approved abbreviation for each state and WIC geographic area (e.g., Alabama, Alaska, American Samoa, and Northern Mariana Islands).

**Data Elements:**

State Name  
State Postal Abbreviation

#### **4.2.82 Stock Type**

**Description:** The Stock Type code table is comprised of data elements listing the various types of serialized and non-serialized stock that can be tracked by a clinic, local agency, or State agency (e.g., food instruments, video equipment, card stock). Data stores that use the Stock Type code table are Item Stock- Non-Serialized and Item Stock- Serialized.

**Data Elements:**

Stock Type Code  
Stock Type Description

### 4.2.83 Survey Opinion

**Description:** The Survey Opinion code table is comprised of data elements listing the responses given by a participant, vendor, or user/staff when responding to a survey (e.g., agree, disagree, undecided).

**Data Elements:**

- Survey Response Opinion Score (Code)
- Survey Response Opinion Description

### 4.2.84 Survey Type

**Description:** The Survey Type code table is comprised of data elements listing the type of survey given (e.g., new participant, subsequent certification, new vendor).

**Data Elements:**

- Survey Questionnaire Survey Type Code
- Survey Questionnaire Survey Type Description

### 4.2.85 Termination/Suspension Reason

**Description:** The Termination/Suspension Reason code table is comprised of data elements that list the various reasons why a participant is no longer certified with the WIC Program (e.g., deceased, dual participation, error, voluntary withdrawal, and transfer to another clinic).

**Data Elements:**

- Participant Termination/Suspension Reason
- Participant Termination/Suspension Reason Description

### 4.2.86 Title/Role

**Description:** The Title/Role code table is comprised of data elements that describe the level of a WIC staff member (e.g., nutritionist, certification clerk).

**Data Elements:**

- User Title/Role Code
- User Title/Role Description

#### **4.2.87 UPC/PLU**

**Description:** The UPC/PLU code table is comprised of data elements listing the UPC/PLUs stored for a vendor.

**Data Elements:**

- Food UPC/PLU Code
- Food UPC/PLU Description

#### **4.2.88 Use/Disposition**

**Description:** The Use/Disposition code table is comprised of data elements that describe the possible dispositions of a food instrument (e.g., redeemed, replaced, voided).

**Data Elements:**

- Food Instrument Use/Disposition Code
- Food Instrument Use/Disposition Description

#### **4.2.89 User Function**

**Description:** The User Function code table is comprised of data elements that describe the system functions assigned to users (e.g., certification, food instrument issuance). Data stores that use this code table include: Unauthorized Access and User Access.

**Data Elements:**

- User Function Code
- User Function Description

#### **4.2.90 Vendor Authorization Activity**

**Description:** The Vendor Authorization Activity code table is comprised of data elements listing the possible status of a WIC vendor's application (e.g., submitted, in review, pending clarification, suspended, withdrawn).

**Data Elements:**

- Vendor Authorization Activity Code
- Vendor Authorization Activity Description



#### 4.2.91 Vendor Authorization Status

**Description:** The Vendor Authorization Status code table is comprised of data elements listing the types of vendor authorization statuses available (pending, authorized, terminated).

**Data Elements:**

Vendor Authorization Status Code  
Vendor Authorization Status Description

#### 4.2.92 Vendor Risk Factor Type

**Description:** The Vendor Risk Factor Type code table is comprised of data elements listing the various risk factors associated with a vendor (e.g., low variance).

**Data Elements:**

Vendor Risk Factor Type Code  
Vendor Risk Factor Type Description

#### 4.2.93 Vendor Type

**Description:** The Vendor Type code table is comprised of data elements listing the types of vendors (e.g., supermarket, convenience store, pharmacy).

**Data Elements:**

Vendor Type Code  
Vendor Type Description

#### 4.2.94 Void Reason

**Description:** The Void Reason code table is comprised of data elements describing reasons food instruments or family/household accounts are voided (e.g., error, lost, stolen). Data stores that use this code table include Food Instrument.

**Data Elements:**

Void Reason Code  
Void Reason Description

#### **4.2.95 Weight Status Classification**

**Description:** The Weight Status Classification code table is comprised of data elements listing the classifications of weight status for a participant (e.g., normal, underweight, overweight, obese).

**Data Elements:**

Weight Status Classification Code  
Weight Status Classification Description

#### **4.2.96 WIC Service Type**

**Description:** The WIC Service Type code table is comprised of data elements listing the types of services provided by WIC to various entities (e.g., vendor monitoring, participant nutrition education).

**Data Elements:**

WIC Service Type Code  
WIC Service Type Description

#### **4.2.97 Zip Code**

**Description:** The Zip Code table is comprised of data elements listing the zip codes within the state.

**Data Elements:**

City Name  
Zip Code

### 4.3 Data Dictionary

<i>Data Element</i>	<i>Description</i>
Administrative Hearing Date	Format Type: Date Data Stores: Administrative Hearing Edit/Validation: Valid date format Definition: Date that an Administrative Hearing is held.
Administrative Hearing Description	Format Type: Alphanumeric Data Stores: Administrative Hearing Edit/Validation: None Definition: Free form text describing the Administrative Hearing.
Administrative Hearing Identification Number	Format Type: Alphanumeric Data Stores: Administrative Hearing Edit/Validation: State-defined code. May be system generated. Definition: Uniquely distinguishes Administrative Hearings.
Administrative Hearing Outcome Code	Format Type: Alphanumeric Data Stores: Administrative Hearing Edit/Validation: Must be a valid code from the Outcome code table. Definition: Code for outcome of Administrative Hearing event (e.g., rescheduled, cancelled).
Administrative Hearing Outcome Date	Format Type: Date Data Stores: Administrative Hearing Edit/Validation: Valid date format Definition: Date that the outcome of an Administrative Hearing was determined.
Administrative Hearing Outcome Description	Format Type: Alphanumeric Data Stores: Administrative Hearing Edit/Validation: None Definition: Free form text describing the outcome of an Administrative Hearing.
Administrative Hearing Type Code	Format Type: Alphanumeric Data Stores: Administrative Hearing Edit/Validation: Must be a valid code from the Administrative Hearing Type code table. Definition: Code for the type of hearing being held.
Archive End Date	Format Type: Date Data Stores: Archive Edit/Validation: Valid date format Definition: Last date of records that have been archived.
Archive File Number	Format Type: Alphanumeric Data Stores: Archive Edit/Validation: State- defined code. Definition: Identifies and organizes archived files.
Archive Location	Format Type: Alphanumeric Data Stores: Archive Edit/Validation: None Definition: Location of archived files.

<i>Data Element</i>	<i>Description</i>
Archive Name	Format Type: Alphanumeric Data Stores: Archive Edit/Validation: None Definition: Descriptive name for archived data file.
Archive Record Type Code	Format Type: Alphanumeric Data Stores: Archive Edit/Validation: Must be a valid code from the Archive Record Type code table. Definition: Code for type of records being archived.
Archive Start Date	Format Type: Date Data Stores: Archive Edit/Validation: Valid date format Definition: First date of records that have been archived.
Breastfeeding Data Collected Date	Format Type: Date Data Stores: Breastfeeding Edit/Validation: Valid date format Definition: Date on which breastfeeding data were collected.
Breastfeeding Discontinued Reason Code	Format Type: Alphanumeric Data Stores: Breastfeeding Edit/Validation: Must be a valid code from the Breastfeeding Discontinued Reason code table. Definition: Defines the reason why breastfeeding was stopped.
Breastfeeding Duration	Format Type: Alphanumeric Data Stores: Breastfeeding Edit/Validation: None Definition: Length of time breastfeeding took place.
Breastfeeding Infant Currently Breastfeeding	Format Type: Alphanumeric Data Stores: Breastfeeding Edit/Validation: None Definition: Current infant breastfeeding status.
Breastfeeding Infant Ever Breastfeeding	Format Type: Alphanumeric Data Stores: Breastfeeding Edit/Validation: None Definition: Historical infant breastfeeding status.
Breastfeeding Status Code	Format Type: Alphanumeric Data Stores: Breastfeeding Edit/Validation: Must be a valid code from the Breastfeeding Status code table. Definition: Current infant Breastfeeding status.
Breastfeeding Supplemental Formula Received	Format Type: Alphanumeric Data Stores: Breastfeeding Edit/Validation: None Definition: Indicates if the participant received supplemental formula.
Caseload- Local Agency Caseload Achievement Rate	Format Type: Numeric Data Stores: Caseload- Local Agency Edit/Validation: None Definition: The percentage of assigned caseload actually served by an agency in prior months.

<i>Data Element</i>	<i>Description</i>
Caseload- Local Agency Caseload Growth or Reduction Rate	Format Type: Numeric Data Stores: Caseload- Local Agency Edit/Validation: None Definition: Rate of growth or reduction of caseload.
Caseload- Local Agency Month	Format Type: Alphanumeric Data Stores: Caseload- Local Agency Edit/Validation: None Definition: Month for which caseload allocation activities are being managed.
Caseload- Local Agency Monthly Caseload Assignment	Format Type: Numeric Data Stores: Caseload- Local Agency Edit/Validation: None Definition: Amount of caseload assigned to a local agency per month.
Caseload- Local Agency Potentially Eligible Population	Format Type: Numeric Data Stores: Caseload- Local Agency Edit/Validation: None Definition: Number of potentially eligible participants for the local agency.
Caseload- Local Agency Prior Year Caseload Level	Format Type: Numeric Data Stores: Caseload- Local Agency Edit/Validation: None Definition: Amount of caseload assigned to a local agency for the previous year.
Caseload- Local Agency Total Actual Local Agency Monthly Participation	Format Type: Numeric Data Stores: Caseload- Local Agency Edit/Validation: None Definition: Actual participation for a local agency for a caseload month.
Caseload- State Agency Caseload Achievement Rate	Format Type: Numeric Data Stores: Caseload- State Agency Edit/Validation: Must be less than or equal to 100% Definition: The percentage of total assigned caseload actually served by all agencies in prior months.
Caseload- State Agency Caseload Growth or Reduction Rate	Format Type: Numeric Data Stores: Caseload- State Agency Edit/Validation: None Definition: Composite rate of growth or reduction of caseload for all agencies.
Caseload- State Agency Federal Participation Estimate	Format Type: Numeric Data Stores: Caseload- State Agency Edit/Validation: None Definition: Total estimate of participation for a State.
Caseload- State Agency FNS Potentially Eligible Population	Format Type: Numeric Data Stores: Caseload- State Agency Edit/Validation: None Definition: FNS-determined number of potentially eligible participants for a State.

<i>Data Element</i>	<i>Description</i>
Caseload- State Agency Month	Format Type: Alphanumeric Data Stores: Caseload- State Agency, Participation Edit/Validation: None Definition: Month for which caseload allocations are being managed.
Caseload- State Agency State Potentially Eligible Population	Format Type: Numeric Data Stores: Caseload- State Agency Edit/Validation: None Definition: State-determined number of potential eligibles for a state.
Caseload- State Agency Total Monthly Caseload	Format Type: Numeric Data Stores: Caseload- State Agency Edit/Validation: None Definition: Actual caseload for all local agencies within the State agency.
Cash Flow As Of Date	Format Type: Date Data Stores: Cash Flow Edit/Validation: Valid date format Definition: Date cash flow analysis is performed.
Cash Flow Current Expenditures	Format Type: Numeric Data Stores: Cash Flow Edit/Validation: None Definition: Amount of current food expenditures made.
Cash Flow Current Funds Available	Format Type: Numeric Data Stores: Cash Flow Edit/Validation: None Definition: Amount of cash available for food.
Cash Flow Previous Balance	Format Type: Numeric Data Stores: Caseload- State Agency Edit/Validation: None Definition: Previous balance of food funds.
Cash Flow Previous Balance	Format Type: Numeric Data Stores: Cash Flow Edit/Validation: None Definition: Previous balance of NSA funds.
Category/Subcategory Category Code	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item, Food Benefit Family/Household Account Balance, Food Item Prescribed, Food Package, Food UPC Edit/Validation: Must be on FNS standard list of categories. Must be a valid code from the Category/Subcategory Category code table. Definition: Category to which a food item belongs (e.g., milk, cheese, cereal).

<i>Data Element</i>	<i>Description</i>
Category/Subcategory Category Name	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item, Food Benefit Family/Household Account Balance, Food Item Prescribed, Food Package, Food UPC Edit/Validation: Must be on FNS standard list of categories. Definition: Standard category name description.
Category/Subcategory Subcategory Code	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item, Food Benefit Family/Household Account Balance, Food Item Prescribed, Food Package, Food UPC Edit/Validation: Must be on FNS standard list of subcategories. Must be a valid code from the Category/Subcategory Subcategory code table. Subcategory must fall under proper category (i.e., subcategory 2% milk cannot fall under the cereal category). Definition: Subcategory to which a food item belongs (e.g., non-fat milk, cheddar cheese).
Category/Subcategory Subcategory Name	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item, Food Benefit Family/Household Account Balance, Food Item Prescribed, Food Package, Food UPC Edit/Validation: Must be on FNS standard list of subcategories. Definition: Standard subcategory name description
Category/Subcategory Quantity – Redemption	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item Edit/Validation: None. Definition: Amount of the item redeemed.
Category/Subcategory Quantity – Expired	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item Edit/Validation: None. Definition: Amount of the item expired.
Category/Subcategory Quantity – Voided	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item Edit/Validation: None. Definition: Amount of the item voided.
Category/Subcategory Quantity – Adjusted Credit	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item Edit/Validation: None. Definition: Amount of the item adjusted as a credit.
Category/Subcategory Quantity – Adjusted Debit	Format Type: Alphanumeric Data Stores: Category/Subcategory, Food Item Edit/Validation: None. Definition: Amount of the item adjusted as a debit.
Clinic Address- City	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: None Definition: City in which clinic is located.

<i>Data Element</i>	<i>Description</i>
Clinic Address- County	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: None Definition: County in which clinic is located.
Clinic Address- State	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: Must be a valid State from the State Postal Code Abbreviation code table. Definition: State in which clinic is located.
Clinic Address- Street	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: None Definition: Street address of the clinic.
Clinic Address- Zip Code	Format Type: Numeric Data Stores: Clinic Edit/Validation: Must be a valid Zip code from the zip code table Definition: Zip code of the clinic.
Clinic Contact Name	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: None Definition: Name of clinic contact person.
Clinic Contact Title	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: None Definition: Title or role of clinic contact person.
Clinic Email Address	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: None Definition: Electronic mail address for clinic or clinic contact person.
Clinic Facsimile Number	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Fax number of the clinic.
Clinic Identification Number	Format Type: Alphanumeric Data Stores: Clinic, Caseload- Local Agency, Event Slot, Food Benefit Prescription, Item Stock- Non- Serialized, Item Stock- Serialized, Master Calendar, Participant, Participation, Survey Response, User Edit/Validation: State-defined code. May be system generated. Definition: Number that uniquely identifies a clinic.
Clinic NSA Cost per Participant	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: NSA cost for each participant.
Clinic Number of Certifying Staff	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Number of staff that perform certification tasks.



<i>Data Element</i>	<i>Description</i>
Clinic Number of Clerks	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Number of clerical staff.
Clinic Number of Nutritionists	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Number of Nutritionists.
Clinic Number of Other Staff	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Number of other staff.
Clinic Participants per Square Foot	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Number of participants serviced at the WIC clinic per square foot of space.
Clinic Regional Identifier	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: State- defined code. Definition: Identifies region in which the clinic is located.
Clinic Space	Format Type: Numeric Data Stores: Clinic Edit/Validation: Must be in square feet Definition: Physical clinic space measured in square feet.
Clinic Staff to Participant Ratio	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Number of clinic staff per participant.
Clinic Status Code	Format Type: Alphanumeric Data Stores: Clinic Edit/Validation: Must be a valid code from the Clinic Status Code table. Definition: Status of the clinic (e.g., open, closed, temporary).
Clinic Telephone Number	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Main telephone number for clinic.
Comment Date	Format Type: Date Data Stores: Comment Edit/Validation: Valid date format. Definition: Date the comment was made.
Comment Description	Format Type: Alphanumeric Data Stores: Comment Edit/Validation: None Definition: Free form text included in a record.

<i>Data Element</i>	<i>Description</i>
Comment Identification Number	Format Type: Alphanumeric Data Stores: Comment, Participant Care Plan, Scheduled Appointment Edit/Validation: State-defined code. May be system generated. Definition: Number that uniquely identifies a comment.
Complaint Date	Format Type: Date Data Stores: Complaint Edit/Validation: Valid date format. Definition: Date the complaint was filed.
Complaint Identification Number	Format Type: Alphanumeric Data Stores: Complaint Edit/Validation: State-defined code. May be system generated. Definition: Number that uniquely identifies a complaint.
Complaint Resolution	Format Type: Alphanumeric Data Stores: Complaint Edit/Validation: None Definition: Free form text describing the resolution of a complaint.
Complaint Source Type	Format Type: Alphanumeric Data Stores: Complaint Edit/Validation: Must be a valid code in the Complaint Source Type code table. Definition: Type of person or organization filing the complaint.
Complaint Status Code	Format Type: Alphanumeric Data Stores: Complaint Edit/Validation: Must be a valid code in the Complaint Status code table. Definition: Status of the complaint.
Complaint Subject	Format Type: Alphanumeric Data Stores: Complaint Edit/Validation: None Definition: Free form text describing the subject of the complaint.
Complaint Summary	Format Type: Alphanumeric Data Stores: Complaint Edit/Validation: None Definition: Free form text describing the relevant details about a complaint.
Complaint Type Code	Format Type: Alphanumeric Data Stores: Complaint Edit/Validation: Must be a valid code from the Complaint Type code table. Definition: Entity against whom a complaint was made.
Customer Service Action Taken Code	Format Type: Alphanumeric Data Stores: Customer Service Edit/Validation: Must be a valid code from the Customer Service Action Taken code table. Definition: Code to indicate what actions have been taken on a customer service request.

<i>Data Element</i>	<i>Description</i>
Customer Service Action Taken Date	Format Type: Date Data Stores: Customer Service Edit/Validation: Valid date format. Definition: Date action was taken on a customer service request.
Customer Service Identification Number	Format Type: Alphanumeric Data Stores: Customer Service Edit/Validation: State-defined code. May be system generated. Definition: Number that uniquely identifies a customer service request.
Customer Service Problem Description	Format Type: Alphanumeric Data Stores: Customer Service Edit/Validation: None Definition: Free form text describing the nature of the customer service request.
Customer Service Problem Resolution Code	Format Type: Alphanumeric Data Stores: Customer Service Edit/Validation: Must be a valid code from the Customer Service Problem Resolution code table. Definition: Code indicating the resolution of a customer service request.
Customer Service Problem Resolution Date	Format Type: Date Data Stores: Customer Service Edit/Validation: Valid date format. Definition: Date on which the customer service problem was resolved.
Customer Service Representative Name	Format Type: Alphanumeric Data Stores: Customer Service Edit/Validation: None Definition: Name of the customer service representative taking the service request.
Customer Service Request Code	Format Type: Alphanumeric Data Stores: Customer Service Edit/Validation: Must be a valid code from the Customer Service Request code table. Definition: Code describing type of entity requesting customer service.
Customer Service Request Date	Format Type: Date Data Stores: Customer Service Edit/Validation: Valid date format Definition: Date on which customer service request was made.
Dual Participation Potential Match Applicant	Format Type: Alphanumeric Data Stores: Dual Participation Potential Match Edit/Validation: None Definition: Indicates if the participant is an applicant for the indicated Program.

<i>Data Element</i>	<i>Description</i>
Dual Participation Potential Match Certified	Format Type: Alphanumeric Data Stores: Dual Participation Potential Match Edit/Validation: None Definition: Indicates if the participant is certified on the indicated Program.
Dual Participation Potential Match Program Code	Format Type: Alphanumeric Data Stores: Dual Participation Potential Match Edit/Validation: Must be a valid code from the Dual Participation Potential Match Program code table. Definition: Indicates the program to which the participant has applied or is certified.
EBT Total Requested Amount – Transaction	Format Type: Alphanumeric Data Stores: EBT Edit/Validation: None Definition: Indicates the total requested amount per transaction.
EBT Total Requested Amount – Daily Total	Format Type: Alphanumeric Data Stores: EBT Edit/Validation: None Definition: The sum of transaction requested amounts per day.
EBT Total Paid Amount – Transaction	Format Type: Alphanumeric Data Stores: EBT Edit/Validation: None Definition: Indicates the total paid amount per transaction.
EBT Total Paid Amount – Daily Total	Format Type: Alphanumeric Data Stores: EBT Edit/Validation: None Definition: The sum of transaction paid amounts per day.
Education/Training Offer Class Code	Format Type: Alphanumeric Data Stores: Education/Training Offer, Scheduled Appointment Edit/Validation: Must be a valid code from the Education/Training Offer Class code table. Class code must be consistent with offer type (i.e., vendors should not be offered nutrition education classes). Definition: Code defining class offered.
Education/Training Offer Class Description	Format Type: Alphanumeric Data Stores: Education/Training Offer Edit/Validation: None Definition: Free form text describing the class offered.
Education/Training Offer Date	Format Type: Date Data Stores: Education/Training Offer Edit/Validation: Valid date format Definition: Date the education/training offer was made.
Education/Training Offer Materials Provided	Format Type: Alphanumeric Data Stores: Education/Training Offer Edit/Validation: None Definition: Free form text describing the various types of materials provided (pamphlets, brochures, etc.)

<i>Data Element</i>	<i>Description</i>
Education/Training Offer Status Code	<p>Format Type: Alphanumeric</p> <p>Data Stores: Education/Training Offer</p> <p>Edit/Validation: Must be a valid code from the Education/Training Offer Status code table. If an appointment is scheduled, this should always indicate that the status is appointment scheduled.</p> <p>Definition: Indicates the status of an education/training offer (e.g., appointment scheduled, rejected).</p>
Education/Training Offer Topics Covered Code	<p>Format Type: Alphanumeric</p> <p>Data Stores: Education/Training Offer</p> <p>Edit/Validation: Must be a valid code from the Education/Training Offer Topics code table.</p> <p>Definition: Indicates the topics included in an education/training event.</p>
Education/Training Offer Type Code	<p>Format Type: Alphanumeric</p> <p>Data Stores: Education/Training Offer</p> <p>Edit/Validation: Must be a valid code from the Education/Training Offer Type code table. Type code must be consistent with class type (i.e., participants should not be scheduled for vendor education classes).</p> <p>Definition: Describes the type of entity (e.g. participant, vendor, staff) receiving the education/training offer.</p>
Event Preference Preferred Day	<p>Format Type: Alphanumeric</p> <p>Data Stores: Event Preference</p> <p>Edit/Validation: Must be a valid code from the Event Day Preference code table. Must be a day of the week during which the clinic or local agency scheduled appointments.</p> <p>Definition: Participant's preferred day of the week for scheduled appointments.</p>
Event Preference Preferred Language Code	<p>Format Type: Alphanumeric</p> <p>Data Stores: Event Preference</p> <p>Edit/Validation: Must be a valid code from the Language code table.</p> <p>Definition: Participant's preferred language for scheduled appointments.</p>
Event Preference Preferred Time	<p>Format Type: Alphanumeric</p> <p>Data Stores: Event Preference</p> <p>Edit/Validation: Must be a valid code from the Event Time Preference code table. Must be a time of day during which the clinic or local agency scheduled appointments.</p> <p>Definition: Participant's preferred time of day for scheduled appointments.</p>
Event Slot Date	<p>Format Type: Date</p> <p>Data Stores: Event Slot</p> <p>Edit/Validation: Valid date format</p> <p>Definition: Date for which an event is scheduled.</p>

<i>Data Element</i>	<i>Description</i>
Event Slot Description	Format Type: Alphanumeric Data Stores: Event Slot Edit/Validation: None Definition: Free form text describing the type of event being scheduled.
Event Slot Duration	Format Type: Numeric Data Stores: Event Slot Edit/Validation: Cannot be less than 1 minute. Definition: Length of time the event will last.
Event Slot Identification Number	Format Type: Alphanumeric Data Stores: Event Slot, Scheduled Appointment Edit/Validation: State-defined code. May be system generated. Definition: Number that uniquely identifies an event slot.
Event Slot Language Code	Format Type: Alphanumeric Data Stores: Event Slot Edit/Validation: Must be a valid code from the Language code table. Definition: Defines language in which the event will take place.
Event Slot Maximum Number of Slots	Format Type: Numeric Data Stores: Event Slot Edit/Validation: None Definition: Defines the maximum number of persons that can be scheduled for the event.
Event Slot Required Resource Type Code	Format Type: Alphanumeric Data Stores: Event Slot Edit/Validation: Must be a valid code from the Resource Type code table. Definition: Defines the type of resource required (e.g., TV, VCR, Classroom).
Event Slot Time	Format Type: Numeric Data Stores: Event Slot Edit/Validation: None Definition: Time at which the event begins.
Event Slot Type Code	Format Type: Alphanumeric Data Stores: Event Slot Edit/Validation: Must be a valid code from the Event Type code table. Definition: Defines the nature of the event (nutrition education class, staff meeting).
Food Benefit Prescription Adjustment Reason	Format Type: Numeric Data Stores: Food Benefit Prescription Edit/Validation: None Definition: Reason the food benefit prescription is adjusted/changed.
Food Benefit Prescription Date	Format Type: Date Data Stores: Food Benefit Prescription Edit/Validation: Valid date format. Definition: Date food benefit prescription is made.

<i>Data Element</i>	<i>Description</i>
Food Benefit Prescription Identification Number	Format Type: Numeric Data Stores: Food Benefit Prescription, Food Item Prescribed Edit/Validation: None Definition: Number that uniquely identifies a food benefit prescription issuance to a participant.
Food Benefit Prescription Number of Months	Format Type: Numeric Data Stores: Food Benefit Prescription Edit/Validation: None Definition: Number of months for which prescription is made.
Food Benefit Prescription Obligation Value	Format Type: Numeric Data Stores: Food Benefit Prescription Edit/Validation: None Definition: Value of the obligation for the food benefit prescription.
Food Benefit Prescription Proration Amount	Format Type: Numeric Data Stores: Food Benefit Prescription Edit/Validation: None Definition: Amount the food benefit prescription is prorated/reduced. Used to make appropriate adjustments to prescription.
Food Instrument Amount Billed to Vendor (post-edit)	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: None Definition: Amount billed to vendor for improperly paid food redemptions for this instrument.
Food Instrument Amount Collected from Vendor (post-edit)	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: None Definition: Amount collected from vendor for improperly paid food redemptions for this instrument.
Food Instrument Amount Not Paid (pre-edit)	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: None Definition: Amount not paid for rejected food instrument.
Food Instrument Average Redemption Amount	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: None Definition: Average redemption amount for the food item.
Food Instrument Estimated Value	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: None Definition: Total estimated value of all items on the food instrument.
Food Instrument Identification Number	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: State- defined code. Definition: Identification number preprinted on food instrument stock. May be the food instrument serial number.

<i>Data Element</i>	<i>Description</i>
Food Instrument Issuance Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date format. Definition: Date the food instrument was issued to the participant.
Food Instrument Maximum Allowed Amount	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: None Definition: Value which food instrument cannot exceed.
Food Instrument Number of Months	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: Must be less than six months (and possibly three months). Definition: Number of months of food instruments to be issued to the participant.
Food Instrument Pick Up Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date format. Definition: Date on which the participant picks up the food instrument.
Food Instrument Printed Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date format. Definition: Date on which food instruments were printed.
Food Instrument Redemption Batch	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: Range check. Definition: Identification number of food instrument batch within which food instrument was processed for redemption and reconciliation.
Food Instrument Redemption Value	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: None Definition: Actual amount for which a food instrument is redeemed.
Food Instrument Reject Count	Format Type: Numeric Data Stores: Food Instrument Edit/Validation: Range check. Definition: Indicates the number of times food instrument rejected by redemption processing.
Food Instrument Reject Reason Code	Format Type: Alphanumeric Data Stores: Food Instrument Edit/Validation: Must be a valid code from the Reject Reason code table. Definition: Reason why the food instrument was rejected by redemption processing.



<i>Data Element</i>	<i>Description</i>
Food Instrument Repayment Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date. Definition: Date on which a previously rejected and resubmitted food instrument is paid.
Food Instrument Type Category Code	Format Type: Alphanumeric Data Stores: Food Instrument Type Edit/Validation: Must be a valid code from the Food Instrument Type Category code table. Definition: Code describing type of food instrument.
Food Instrument Type Classification	Format Type: Alphanumeric Data Stores: Food Instrument Type Edit/Validation: None Definition: Code for indicating whether a food instrument type is a standard instrument, tailored for special nutritional needs, or reflects an adjustment of food quantities for late pickup.
Food Instrument Type Description	Format Type: Alphanumeric Data Stores: Food Instrument Type Edit/Validation: None Definition: Description of whether a food instrument type is a standard instrument, tailored for special nutritional needs, or reflects an adjustment of food quantities for late pickup.
Food Instrument Type Identification Number	Format Type: Alphanumeric Data Stores: Food Instrument Type, Food Instrument, Food Item Prescribed, Food Package Edit/Validation: State- defined code. May be system generated. Definition: Number that uniquely identifies the food instrument type (e.g. set of foods and quantities that are printed on food instruments).
Food Instrument Type Name	Format Type: Alphanumeric Data Stores: Food Instrument Type Edit/Validation: None Definition: Short English name of the food instrument type.
Food Instrument Type Maximum Allowed Amount	Format Type: Numeric Data Stores: Food Instrument Type Edit/Validation: None Definition: Maximum price for all items associated with the food instrument type.
Food Instrument Type Peer Group Average Value	Format Type: Numeric Data Stores: Food Instrument Type Edit/Validation: None Definition: Average price for all items associated with the food instrument type.

<i>Data Element</i>	<i>Description</i>
Food Instrument Type Quantity Allowed	Format Type: Numeric Data Stores: Food Instrument Type Edit/Validation: None Definition: Maximum quantity of a food instrument that can be prescribed.
Food Instrument Use/Disposition Code	Format Type: Alphanumeric Data Stores: Food Instrument Edit/Validation: Must be a valid code from the Use/Disposition code table. Definition: Description of the disposition of the food instrument.
Food Instrument Use/Disposition Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date format. Definition: Date the Food Instrument was used/disposed.
Food Instrument Valid End Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date format. Definition: Last date food instrument is authorized to be used to purchase food.
Food Instrument Valid Start Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date format. Definition: First date food instrument is authorized to be used to purchase food.
Food Instrument Vendor Redemption Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date format. Definition: Date on which vendor redeemed food instrument for payment.
Food Instrument Void Date	Format Type: Date Data Stores: Food Instrument Edit/Validation: Valid date format. Definition: Date food instrument was voided.
Food Instrument Void Reason Code	Format Type: Alphanumeric Data Stores: Food Instrument Edit/Validation: Must be a valid code from the Void Reason code table. Definition: Reason a food instrument was voided.
Food Item Description	Format Type: Alphanumeric Data Stores: Food Item Edit/Validation: None Definition: Free form text describing food item.
Food Item Inflation Factor	Format Type: Numeric Data Stores: Food Item Edit/Validation: None Definition: A numeric rate by which an average food price for a food item is multiplied to estimate future food obligations.

<i>Data Element</i>	<i>Description</i>
Food Item Maximum Quantity	Format Type: Numeric Data Stores: Food Item Edit/Validation: None Definition: The maximum quantity of a food item that can be prescribed.
Food Item Prescribed Date	Format Type: Date Data Stores: Food Item Prescribed Edit/Validation: Valid date format Definition: Date a food item was prescribed.
Food Item Prescribed First Date to Spend	Format Type: Date Data Stores: Food Item Prescribed Edit/Validation: Valid date format Definition: First date that prescribed food items can be purchased.
Food Item Prescribed Identification Number	Format Type: Numeric Data Stores: Food Item Prescribed Edit/Validation: State- defined code. May be system generated. Definition: Number that uniquely identifies prescribed food items.
Food Item Prescribed Last Date to Spend	Format Type: Date Data Stores: Food Item Prescribed Edit/Validation: Valid date format. Definition: Last date prescribed food items can be purchased.
Food Item Prescribed Unit Quantity	Format Type: Numeric Data Stores: Food Item Prescribed Edit/Validation: None Definition: Quantity of prescribed food item.
Food Item Prescribed Unit Size	Format Type: Alphanumeric Data Stores: Food Item Prescribed Edit/Validation: None Definition: Unit size of prescribed food item that must be converted into standard unit of measure for aggregation of family household food account.
Food Item Standard Amount Prescribed	Format Type: Numeric Data Stores: Food Item, Food Package Edit/Validation: None Definition: Standard amount of a food item usually prescribed.
Food Package Identification Number	Format Type: Numeric Data Stores: Food Package, Food Benefit Prescription, Food Instrument Type, Participant Edit/Validation: State- defined code. May be system generated. Definition: Number that uniquely identifies a food package.
Food Package Name	Format Type: Alphanumeric Data Stores: Food Package Edit/Validation: None Definition: Free form text for name of food package.

<i>Data Element</i>	<i>Description</i>
Food Package Type Code	Format Type: Alphanumeric Data Stores: Food Package Edit/Validation: Must be a valid code from the Food Package Type code table. Definition: Define food package. Indicates whether the food package is a standard pack, adjusted for late pickup, etc.
Food UPC/PLU Authorization Date	Format Type: Date Data Stores: Food UPC Edit/Validation: Valid date format Definition: Date the UPC or PLU became accepted as an authorized WIC food.
Food UPC/PLU Code	Format Type: Alphanumeric Data Stores: Food UPC/PLU Edit/Validation: Must be a valid code from the UPC/PLU code table. Definition: A standard bar code for the food item that indicates type of food, brand, and package size. UPCs are generally standard for national brands. PLUs are generally used for store packaged items (e.g., produce, etc.) and vary from store to store.
Food UPC/PLU Description	Format Type: Alphanumeric Data Stores: Food UPC/PLU Edit/Validation: None Definition: Free form text describing the food item associated with the UPC or PLU.
Food UPC/PLU Exchange Value	Format Type: Numeric Data Stores: Food UPC/PLU Edit/Validation: None Definition: Size of an item described in quantity and associated with a standard unit of measure (i.e., the exchange value of milk is four where the purchase of one gallon of milk is exchanged into four units to be deducted from the balance.)
Food UPC/PLU Peer Group UPC Average Price	Format Type: Numeric Data Stores: Food UPC/PLU Edit/Validation: None Definition: The average price of this food item charged by a particular vendor.
Food UPC/PLU Peer Group UPC Maximum Allowed Price	Format Type: Numeric Data Stores: Food UPC/PLU Edit/Validation: None Definition: Price that a food item UPC/PLU cannot exceed for a particular vendor.
Food UPC/PLU Price Paid	Format Type: Numeric Data Stores: Food UPC/PLU Edit/Validation: None Definition: The actual price paid for the food item by a particular vendor.

<i>Data Element</i>	<i>Description</i>
Food UPC/PLU Shelf Price	Format Type: Numeric Data Stores: Food UPC/PLU Edit/Validation: None Definition: The shelf price charged for the food item by a particular vendor.
Future Obligation Date	Format Type: Date Data Stores: Future Obligation Edit/Validation: Valid date format Definition: Date the future obligation was calculated.
Future Obligation Federal Participation Estimate	Format Type: Numeric Data Stores: Future Obligation Edit/Validation: None Definition: The Federal estimate of current year supportable participation.
Future Obligation Food By Month	Format Type: Numeric Data Stores: Future Obligation Edit/Validation: None Definition: The month of a projected future food obligation.
Future Obligation Food Inflation Factor	Format Type: Numeric Data Stores: Future Obligation Edit/Validation: None Definition: Inflation factor used to determine future obligations for a particular month.
Future Obligation Food Package Cost Estimate	Format Type: Numeric Data Stores: Future Obligation Edit/Validation: None Definition: Estimated cost of a food package as used to determine future obligations.
Grant Adjusted Available Funds	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of funds available after adjustments due to reallocations and other adjustments over time.
Grant Backspend Funds	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of current year funds used to support prior year over expenditures.
Grant Beginning Grant Date	Format Type: Date Data Stores: Grant Edit/Validation: Valid date format. Definition: First date grant is available.
Grant Converted Food Funds	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Funds converted from food funds to NSA funds.

<i>Data Element</i>	<i>Description</i>
Grant Converted NSA Funds	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Funds converted from NSA funds to food funds.
Grant Discretionary NSA Grant	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of NSA discretionary grant funds for the current year.
Grant Ending Food Grant	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of food funds remaining in grant at grant end date.
Grant Estimated Annual Rebate	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Estimated amount of annual rebate.
Grant Estimated Breast Pump Costs	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Estimated amount of food funds to spend on breast pumps.
Grant Estimated Conversion	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount estimated to be converted from food to NSA funds to cover increased caseload.
Grant Estimated Medicaid Reimbursements	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Estimated amount of annual Medicaid reimbursements.
Grant Estimated Monthly Rebate	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of rebate estimated to be collected for the month.
Grant Estimated Other Credits	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of other credits (e.g., dairy compact funds) estimated to be collected for the month.
Grant Estimated Participant Collections	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Estimated amount of money received from participants to compensate for improper food benefits received.

<i>Data Element</i>	<i>Description</i>
Grant Estimated State Grant	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of funds received from State.
Grant Estimated Vendor Collections	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Estimated amount of money received from vendors to compensate for overpayment of redeemed food benefits.
Grant Federal Fiscal Year	Format Type: Date Data Stores: Grant Edit/Validation: Valid date format. Definition: Federal Fiscal Year in which grant is awarded.
Grant Food Reallocations	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of reallocated Food funds added to the State agency's Federal grant.
Grant Letter of Credit Number	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The Federal identifying number for the State Letter of Credit.
Grant Medicaid Reimbursements	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The actual amount of annual Medicaid reimbursements provided to State agency.
Grant NSA Reallocations	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of reallocated NSA funds added to the State agency's Federal grant.
Grant Original Federal Food Grant	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The amount of the Federal Food Grant before any adjustments.
Grant Other Adjustments	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Adjustments made to Grant funds.
Grant Other Credits	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Adjustments made to Grant funds for funds received such as for dairy compacts.

<i>Data Element</i>	<i>Description</i>
Grant Other Grant Income	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Income other than from State or Federal government.
Grant Other Program Income	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of additional income received from non-Federal sources.
Grant Participant Collections	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The amount of revenue generated from participant collections.
Grant Percent SAG1	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Percentage of State NSA Grant over first State fiscal year.
Grant Percent SAG2	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Percentage of State NSA Grant over second State fiscal year.
Grant Percent SFG1	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Percent of State Food Grant over State's first fiscal year.
Grant Percent SFG2	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Percent of State Food Grant over State's second fiscal year.
Grant Program Income	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of Program Income used to adjust food or NSA expenditures.
Grant Report Type Code	Format Type: Alphanumeric Data Stores: Grant Edit/Validation: Must be a valid code from the Report Type code table. Definition: Code for federal report as monthly or annual.
Grant Report Type Description	Format Type: Alphanumeric Data Stores: Grant Edit/Validation: None Definition: Description of report as monthly or annual.



<i>Data Element</i>	<i>Description</i>
Grant SNPIIS Code	Format Type: Alphanumeric Data Stores: Grant Edit/Validation: None Definition: 7-digit code used to identify the State agency submitting a federal report.
Grant Spend Forward Funds	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of prior year unspent funds supporting current year expenditures.
Grant State Agency Identification Number	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The identifying number the State agency assigns to State grants.
Grant State Fiscal Year	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Fiscal Year of State Grant.
Grant State Grant	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Actual Amount of State Grant.
Grant State Grant FFY	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Total Amount of State Food Grant over the Federal Fiscal Year.
Grant State Grant SFY1	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of funds provided by the State Government for Food during the State's first fiscal year.
Grant State Grant SFY2	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of funds provided by the State Government for Food during the State's second fiscal year.
Grant State Name	Format Type: Alphanumeric Data Stores: Grant Edit/Validation: None Definition: Name of State submitting electronic report.
Grant Total Available Funds	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Total amount of funds from both State and Federal grants.

<i>Data Element</i>	<i>Description</i>
Grant Total Available Revenues	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The total amount of revenue from vendor collections, participant collections, and program income.
Grant Type Code	Format Type: Alphanumeric Data Stores: Grant Edit/Validation: Must be a valid code from the Grant Type code table. Definition: Describes the type of grant (e.g., food, NSA).
Grant Unspent Funds	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: Amount of unspent funds for the current year.
Grant Vendor Collections	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The amount of revenue generated from vendor collections.
Grant Vendor Postpayment Collections	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The amount of funds generated from vendor postpayment collections.
Grant Vendor Prepayment Collections	Format Type: Numeric Data Stores: Grant Edit/Validation: None Definition: The amount of funds generated from vendor prepayment collections.
Income Guideline End Date	Format Type: Date Data Stores: Income Guideline Edit/Validation: Valid date format. Definition: Last date the income guideline should be used.
Income Guideline Household Income Limit- Annual	Format Type: Numeric Data Stores: Income Guideline Edit/Validation: None Definition: The maximum annual income for the household.
Income Guideline Household Income Limit- Biweekly	Format Type: Numeric Data Stores: Income Guideline Edit/Validation: None Definition: The maximum biweekly income for the household.
Income Guideline Household Income Limit- Monthly	Format Type: Numeric Data Stores: Income Guideline Edit/Validation: None Definition: The maximum monthly income for the household.

<i>Data Element</i>	<i>Description</i>
Income Guideline Household Income Limit- Twice Monthly	Format Type: Numeric Data Stores: Income Guideline Edit/Validation: None Definition: The maximum twice monthly income for the household.
Income Guideline Household Income Limit- Weekly	Format Type: Numeric Data Stores: Income Guideline Edit/Validation: None Definition: The maximum weekly income for the household.
Income Guideline Household Size	Format Type: Numeric Data Stores: Income Guideline Edit/Validation: None Definition: Number of people in the economic unit (household).
Income Guideline Start Date	Format Type: Date Data Stores: Income Guideline Edit/Validation: Valid date format. Definition: First date the income guideline should be used.
Item Stock- Non-Serialized Entry Date	Format Type: Date Data Stores: Item Stock- Non-Serialized Edit/Validation: Valid date format Definition: Date non-serialized item stock was entered.
Item Stock- Non-Serialized Identification Number	Format Type: Numeric Data Stores: Item Stock- Non-Serialized Edit/Validation: None Definition: Number that uniquely identifies non-serialized item stock.
Item Stock- Non-Serialized Number of Items Received by Local Agency	Format Type: Numeric Data Stores: Item Stock- Non-Serialized Edit/Validation: None Definition: Number of non-serialized item stock items received by the local agency.
Item Stock- Non-Serialized Number of Items Received by State Agency	Format Type: Numeric Data Stores: Item Stock- Non-Serialized Edit/Validation: None Definition: Number of non-serialized item stock items received by the State agency.
Item Stock- Non-Serialized Number of Items Shipped to State Agency	Format Type: Numeric Data Stores: Item Stock- Non-Serialized Edit/Validation: None Definition: Number of non-serialized item stock items shipped to the State agency.
Item Stock- Non-Serialized Received by Local Agency Date	Format Type: Date Data Stores: Item Stock- Non-Serialized Edit/Validation: Valid date format Definition: Date non-serialized item stock was received at the local agency.

<i>Data Element</i>	<i>Description</i>
Item Stock- Non-Serialized Received by State Agency Date	Format Type: Date Data Stores: Item Stock- Non-Serialized Edit/Validation: Valid date format Definition: Date non-serialized item stock was received at the state agency.
Item Stock- Non-Serialized Shipped to Local Agency Date	Format Type: Date Data Stores: Item Stock- Non-Serialized Edit/Validation: Valid date format. Definition: Date non-serialized item stock was shipped to the local agency.
Item Stock- Non-Serialized Type Code	Format Type: Alphanumeric Data Stores: Item Stock- Non-Serialized Edit/Validation: Must be a valid code from the Stock Type code table. Definition: Code indicating type of non-serialized stock.
Item Stock- Serialized Batch Beginning Serial Number	Format Type: Numeric Data Stores: Item Stock- Serialized Edit/Validation: None Definition: Beginning serial number in a serialized batch.
Item Stock- Serialized Batch Ending Serial Number	Format Type: Numeric Data Stores: Item Stock- Serialized Edit/Validation: None Definition: Ending serial number in a serialized batch.
Item Stock- Serialized Card Stock Batch Number	Format Type: Numeric Data Stores: Item Stock- Serialized Edit/Validation: None Definition: Batch number for card stock.
Item Stock- Serialized Card Stock Serial Number	Format Type: Numeric Data Stores: Item Stock- Serialized Edit/Validation: None Definition: Serial number of the card stock.
Item Stock- Serialized Date Received by Local Agency	Format Type: Date Data Stores: Item Stock- Serialized Edit/Validation: Valid date format. Definition: Date on which serialized item stock was received by the local agency.
Item Stock- Serialized Date Received by State Agency	Format Type: Date Data Stores: Item Stock- Serialized Edit/Validation: Valid date format. Definition: Date on which serialized item stock was received by the State agency.
Item Stock- Serialized Date Shipped to Local Agency	Format Type: Date Data Stores: Item Stock- Serialized Edit/Validation: Valid date format. Definition: Date on which serialized item stock was shipped to the local agency.

<i>Data Element</i>	<i>Description</i>
Item Stock- Serialized Equipment Identification Number	Format Type: Alphanumeric Data Stores: Item Stock- Serialized Edit/Validation: State- defined code. Definition: Number that uniquely identifies serialized item stock equipment.
Item Stock- Serialized Equipment Retirement Date	Format Type: Date Data Stores: Item Stock- Serialized Edit/Validation: Valid date format. Definition: Date after which serialized equipment can no longer be used.
Item Stock- Serialized Food Instrument Identification Number	Format Type: Alphanumeric Data Stores: Item Stock- Serialized Edit/Validation: None Definition: Food instrument identification number (may be serial number).
Item Stock- Serialized Food Instrument Stock Batch Number	Format Type: Numeric Data Stores: Item Stock- Serialized Edit/Validation: None Definition: Batch number of food instrument stock.
Item Stock- Serialized Type Code	Format Type: Alphanumeric Data Stores: Item Stock- Serialized Edit/Validation: Must be a valid code from the Stock Type code table. Definition: Code indicating type of serialized stock.
Local Agency Address- City	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: None Definition: City in which Local Agency is located.
Local Agency Address- County	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: None Definition: County in which Local Agency is located.
Local Agency Address- State	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: Must be a valid code form the State Postal Abbreviation code table. Definition: State in which Local Agency is located.
Local Agency Address- Street	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: None Definition: Street address of the Local Agency.
Local Agency Address- Zip Code	Format Type: Numeric Data Stores: Local Agency Edit/Validation: Must be a valid Zip code from the zip code table. Definition: Zip code of the Local Agency.
Local Agency Contact Name	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: None Definition: Name of Local Agency contact person.

<i>Data Element</i>	<i>Description</i>
Local Agency Contact Title	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: None Definition: Title or role of Local Agency contact person.
Local Agency Email Address	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: None Definition: Electronic mail address for Local Agency or Local Agency contact person.
Local Agency Facsimile Number	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Fax number of the Local Agency.
Local Agency Identification Number	Format Type: Alphanumeric Data Stores: Local Agency, Breastfeeding, Caseload- Local Agency, Clinic, Food Benefit Prescription, Food Instrument, Item Stock- Non- Serialized, Item Stock- Serialized, Master Calendar, Participant, Participation, Survey Response, User, Vendor Compliance Activity Edit/Validation: State-defined code. May be system generated. Definition: Number that uniquely identifies a Local Agency.
Local Agency Name	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: None Definition: Short name for the local agency.
Local Agency NSA Cost per Participant	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Local Agency NSA cost per participant.
Local Agency Number of Certifying Staff	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Number of staff that perform certification tasks.
Local Agency Number of Clerks	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Number of clerical staff.
Local Agency Number of Clinics	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Number of clinics associated with the Local Agency.
Local Agency Staff to Participant Ratio	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Number of clinic staff for a certain number of participants.

<i>Data Element</i>	<i>Description</i>
Local Agency Number of Nutritionists	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Number of Nutritionists.
Local Agency Number of Other Staff	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Number of other staff.
Local Agency Participants per Square Foot	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Number of participants serviced at the WIC local agency per square foot of space.
Local Agency Regional Identifier	Format Type: Alphanumeric Data Stores: Local Agency Edit/Validation: State- defined code. Definition: Identifies the region in which the local agency is located.
Local Agency Space	Format Type: Numeric Data Stores: Local Agency Edit/Validation: Must be in square feet. Definition: Physical Local Agency space measured in square feet.
Local Agency Staff to Participant Ratio	Format Type: Numeric Data Stores: Clinic Edit/Validation: None Definition: Number of Local Agency staff per participant.
Local Agency Telephone Number	Format Type: Numeric Data Stores: Local Agency Edit/Validation: None Definition: Telephone number of the local agency.
Master Calendar Create Date	Format Type: Date Data Stores: Master Calendar Edit/Validation: Valid date format Definition: Date on which the master calendar was created.
Master Calendar End Date	Format Type: Date Data Stores: Master Calendar Edit/Validation: Valid date format Definition: Last date of master calendar range.
Master Calendar Identification Number	Format Type: Numeric Data Stores: Master Calendar, Event Slot Edit/Validation: State-defined code. May be system generated. Definition: Number that uniquely identifies a master calendar.
Master Calendar Start Date	Format Type: Date Data Stores: Master Calendar Edit/Validation: Valid date format Definition: First date of master calendar range.

<i>Data Element</i>	<i>Description</i>
Master Calendar Type Code	Format Type: Alphanumeric Data Stores: Master Calendar Edit/Validation: Must be a valid code from the Master Calendar Type code table. Definition: Type of calendar being set up.
NSA Budget Beginning Grant Date	Format Type: Date Data Stores: NSA Budget Edit/Validation: Valid date format. Definition: Beginning date of grant.
NSA Budget Beginning Report Date	Format Type: Date Data Stores: NSA Budget Edit/Validation: Valid date format. Definition: Beginning date of report.
NSA Budget Breast Pump	Format Type: Numeric Data Stores: NSA Budget Edit/Validation: None Definition: Budgeted total amount of money by the State or local agency for breast pumps.
NSA Budget Expenditure Amount	Format Type: Numeric Data Stores: NSA Budget Edit/Validation: None Definition: Budgeted amount of State or local NSA funds used for this expenditure type.
NSA Budget Expenditure Budget Code	Format Type: Alphanumeric Data Stores: NSA Budget Edit/Validation: Must be a valid code from the Budget Code code table. Definition: Budget code for the budget item (e.g., Breastfeeding, Nutrition Education, Client Services, Program Administration).
NSA Budget Expenditure Type Code	Format Type: Alphanumeric Data Stores: NSA Budget Edit/Validation: Must be a valid code from the Expenditure Type code table. Definition: Expenditure type for the budget item (e.g., Communications and Travel, Equipment, Indirect costs, etc.).
NSA Budget Expenditure Type Total	Format Type: Numeric Data Stores: NSA Budget Edit/Validation: None Definition: Total Budgeted amount of State or local NSA funds for the expenditure type.
NSA Budget Ending Grant Date	Format Type: Date Data Stores: NSA Budget Edit/Validation: Valid date format. Definition: Ending date of grant.



<i>Data Element</i>	<i>Description</i>
NSA Budget Ending Report Date	Format Type: Date Data Stores: NSA Budget Edit/Validation: Valid date format. Definition: Ending date of report.
NSA Budget Federal Fiscal Year	Format Type: Numeric Data Stores: NSA Budget Edit/Validation: None Definition: Federal fiscal year for which NSA budget was created.
NSA Budget Level Indicator	Format Type: Alphanumeric Data Stores: NSA Budget Edit/Validation: None Definition: A letter code used to indicate whether the budget information associated with this instance of the data store is for a State agency or local agency.
NSA Budget Local NSA Budget- Total	Format Type: Numeric Data Stores: NSA Budget Edit/Validation: None Definition: Total budgeted amount for the entire NSA budget for a local agency to date.
NSA Budget Program Income Expended	Format Type: Numeric Data Stores: NSA Budget Edit/Validation: None Definition: Actual amount of program income expended.
NSA Budget Program Income Received	Format Type: Numeric Data Stores: NSA Budget Edit/Validation: None Definition: Actual amount local program income funds received to date.
NSA Budget Spending Target	Format Type: Numeric Data Stores: NSA Budget Edit/Validation: None Definition: Amount of money to be targeted by the state or a local agency for breastfeeding support.
NSA Budget Total Unliquidated NSA Obligations	Format Type: Numeric Data Stores: NSA Edit/Validation: None Definition: Total amount of NSA obligations over the reporting period that remain unliquidated.
NSA Expenditure Beginning Grant Date	Format Type: Date Data Stores: NSA Expenditure Edit/Validation: Valid Date format Definition: Beginning date of the grant for expenditure tracking.
NSA Expenditure Beginning Report Date	Format Type: Date Data Stores: NSA Expenditure Edit/Validation: Valid Date format Definition: Beginning date of the reporting period for expenditure tracking.

<i>Data Element</i>	<i>Description</i>
NSA Expenditure Breast Pump	Format Type: Numeric Data Stores: NSA Expenditure Edit/Validation: None Definition: Actual expenditures on breast pumps over the reporting period.
NSA Expenditure Expenditure Amount	Format Type: Numeric Data Stores: NSA Expenditure Edit/Validation: None Definition: Actual amount of State or local NSA funds used for this expenditure type.
NSA Expenditure Expenditure Budget Code	Format Type: Alphanumeric Data Stores: NSA Expenditure Edit/Validation: Must be a valid code from the Budget Code code table. Definition: Budget code for the item (e.g., Breastfeeding, Nutrition Education, Client Services, Program Administration).
NSA Expenditure Expenditure Type Code	Format Type: Alphanumeric Data Stores: NSA Expenditure Edit/Validation: Must be a valid code from the Expenditure Type code table. Definition: Expenditure type for the item (e.g., Communications and Travel, Equipment, Indirect costs, etc.).
NSA Expenditure Expenditure Type Total	Format Type: Numeric Data Stores: NSA Expenditure Edit/Validation: None Definition: Total Budgeted amount of State or local NSA funds for the expenditure type.
NSA Expenditure Date	Format Type: Date Data Stores: NSA Expenditure Edit/Validation: Valid Date Format Definition: Date a NSA expenditure was made.
NSA Expenditure Ending Grant Date	Format Type: Date Data Stores: NSA Expenditure Edit/Validation: Valid Date Format Definition: Ending date of the grant for expenditure tracking.
NSA Expenditure Ending Report Date	Format Type: Numeric Data Stores: NSA Expenditure Edit/Validation: Valid Date Format Definition: Ending date of the reporting period for expenditure tracking.
NSA Expenditure Federal Fiscal Year	Format Type: Date Data Stores: NSA Expenditure Edit/Validation: Valid Date Format Definition: Federal Fiscal Year date for expenditure tracking.

<i>Data Element</i>	<i>Description</i>
NSA Expenditure Level Indicator	Format Type: Alphabetic Data Stores: NSA Expenditure Edit/Validation: S for State agency or L for local agency Definition: A letter code used to indicate whether the expenditure information associated with this instance of the data store is for a State agency or for a local agency.
NSA Expenditure Program Income	Format Type: Numeric Data Stores: NSA Expenditure Edit/Validation: None Definition: Program Income received over the reporting period.
Obligation Breast Pump Costs	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: Amount of food obligations expected to be spent on breast pump costs during report period.
Obligation Date of Current Obligation	Format Type: Date Data Stores: Obligation Edit/Validation: Valid date format Definition: Date of current obligation.
Obligation Net Obligation	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Net obligation amount.
Obligation Program Income Received	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Amount of Program Income received and obligated for food or NSA costs.
Obligation Total Estimated Obligation	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Amount of total estimated obligation.
Obligation Total Estimated Other Credits	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Amount of total estimated other credits the State agency will use to offset obligations.
Obligation Total Estimated Participant Collections	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Amount of total estimated obligation for participant collections.
Obligation Total Estimated Rebates	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Estimated amount of total rebates.

<i>Data Element</i>	<i>Description</i>
Obligation Total Estimated Vendor Collections	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Estimated amount of total vendor collections.
Obligation Total Redemption Value per Month	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Total of all months redemption value.
Obligation Value for Month	Format Type: Numeric Data Stores: Obligation Edit/Validation: None Definition: Obligation value for the month.
Outlay Breast Pump Costs	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: Amount of food obligations actually spent on breast pump costs during report period.
Outlay Date	Format Type: Date Data Stores: Outlay Edit/Validation: Valid date format Definition: As of date for outlays.
Outlay Net Federal Outlay	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: The net Federal outlay equals the total redemption items minus the vendor collections, participant collections, and program income needed to fund food obligations for the reporting period. To this number is added any food expenditures for breast pump costs. Subtracted from this number is the total of rebates billed for the reporting period.
Outlay Participant Collections Received	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: Amount of money received from participant fines etc. that contributes to net Federal outlays for the reporting period.
Outlay Program Income Received	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: Amount of money received from program income that contributes to net Federal outlays for the reporting period.
Outlays Total Other Credits Received	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: Total amount of other credits received that is subtracted from the outlays in calculating the net Federal outlays for the reporting period.

<i>Data Element</i>	<i>Description</i>
Outlay Total Rebates Billed	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: Total amount of billed rebates that is subtracted from the outlays in calculating the net Federal outlays for the reporting period.
Outlay Total Redemption Value per Month	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: Total amount of redemptions (calculated from the Vendor Transaction Detail File in an EBT system or from redeemed food instruments in a paper system) that is used to calculate net Federal outlays for the reporting period.
Outlay Vendor Collections Received	Format Type: Numeric Data Stores: Outlay Edit/Validation: None Definition: Total amount of money received from vendors in fines and/or repayments that is used to calculate net Federal outlays for the reporting period.
Outreach Activity Date	Format Type: Date Data Stores: Outreach Activity Edit/Validation: Valid date format. Definition: Date of planned outreach activity.
Outreach Activity Description	Format Type: Alphanumeric Data Stores: Outreach Activity Edit/Validation: None Definition: Description of outreach activity.
Outreach Activity Outcome Code	Format Type: Alphanumeric Data Stores: Outreach Activity Edit/Validation: Must be a valid code from the Outcome code table. Definition: Outcome of outreach activity.
Outreach Activity Time	Format Type: Numeric Data Stores: Outreach Activity Edit/Validation: None Definition: Time of planned outreach activity.
Outreach Address- City	Format Type: Alphanumeric Data Stores: Outreach Edit/Validation: None Definition: City in which the outreach organization is located.
Outreach Address- State	Format Type: Alphanumeric Data Stores: Outreach Edit/Validation: Must be a valid state in the State Postal Abbreviation code table. Definition: State in which the outreach organization is located.
Outreach Address- Street	Format Type: Alphanumeric Data Stores: Outreach Edit/Validation: None Definition: Street address for outreach organization.

<i>Data Element</i>	<i>Description</i>
Outreach Address- Zip Code	Format Type: Numeric Data Stores: Outreach Edit/Validation: Must be a valid Zip code from Zip code table. Definition: Zip code for the outreach organization.
Outreach Campaign Cost	Format Type: Numeric Data Stores: Outreach Edit/Validation: None Definition: Cost of outreach campaign.
Outreach Campaign Description	Format Type: Alphanumeric Data Stores: Outreach Edit/Validation: None Definition: Free form text describing outreach campaign.
Outreach Contact Name	Format Type: Alphanumeric Data Stores: Outreach Edit/Validation: None Definition: Name of contact person at the outreach organization.
Outreach Contact Title	Format Type: Alphanumeric Data Stores: Outreach Edit/Validation: None Definition: Title or role of outreach organization contact person.
Outreach Email Address	Format Type: Alphanumeric Data Stores: Outreach Edit/Validation: None Definition: Electronic mail address of outreach organization or outreach organization contact.
Outreach Facsimile Number	Format Type: Numeric Data Stores: Outreach Edit/Validation: None Definition: Fax number for the outreach organization.
Outreach Identification Number	Format Type: Numeric Data Stores: Outreach, Outreach Activity Edit/Validation: State-defined code. May be system generated. Definition: Number that uniquely identifies an outreach organization.
Outreach Organization Name	Format Type: Alphanumeric Data Stores: Outreach Edit/Validation: None Definition: Name of outreach organization.
Outreach Telephone Number	Format Type: Numeric Data Stores: Outreach Edit/Validation: None Definition: Telephone number for outreach organization or contact person.
Participant Actual Date of Delivery	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format Definition: Actual date the participant gave birth.

<i>Data Element</i>	<i>Description</i>
Participant Address- Apartment	Format Type: Numeric Data Stores: Participant Edit/Validation: None Definition: Participant's apartment number.
Participant Address- City	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: City in which the participant lives.
Participant Address- State	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid state from the State Postal Abbreviation code table. Definition: State in which then participant lives.
Participant Address- Street	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Current street address of participant.
Participant Address- Zip Code	Format Type: Numeric Data Stores: Participant Edit/Validation: Must be a valid Zip code from the Zip code table. Definition: Zip code in which the participant lives.
Participant Adjunct or Automatic Income Eligibility Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Income Eligibility Programs code table. Definition: The program used to determine WIC income eligibility.
Participant Age	Format Type: Numeric Data Stores: Participant Edit/Validation: May be system generated using the date of birth and current date. Definition: Current age of the participant.
Participant Alias Name	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Free form text to capture alias or previous participant names.
Participant Application Date	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format Definition: Date on which participant applied for WIC. Necessary for 10/20 day timeframe rules.
Participant Card Replacement Date	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format Definition: Date a participant card is replaced.

<i>Data Element</i>	<i>Description</i>
Participant Card Replacement Reason Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Card Replacement Reason code table. Definition: Reason why a participant card is replaced.
Participant Care Plan Create Date	Format Type: Date Data Stores: Participant Care Plan Edit/Validation: Valid date format. Definition: Date the care plan was created.
Participant Care Plan High Risk Indicator	Format Type: Alphanumeric Data Stores: Participant Care Plan Edit/Validation: State-defined code Definition: Flag that indicates a high risk participant.
Participant Care Plan Identification Number	Format Type: Numeric Data Stores: Participant Care Plan, Comment, Education Offer, Participant Health, Referral Edit/Validation: State- defined code. May be system generated. Definition: Number that uniquely identifies a participant care plan.
Participant Care Plan Nutrition Goal Date	Format Type: Date Data Stores: Participant Care Plan Edit/Validation: Valid date format. Definition: Date on which a nutrition goal was set.
Participant Care Plan Nutrition Goal Outcome Code	Format Type: Alphanumeric Data Stores: Participant Care Plan Edit/Validation: Must be a valid code from the Nutrition Goal Outcome code table. Definition: Code describing the outcome of a nutrition goal.
Participant Care Plan Nutrition Goal Outcome Date	Format Type: Date Data Stores: Participant Care Plan Edit/Validation: Valid date format. Definition: Date on which a nutrition goal outcome was achieved.
Participant Care Plan Nutrition Goals	Format Type: Alphanumeric Data Stores: Participant Care Plan Edit/Validation: None Definition: Free form text describing nutrition goals.
Participant Care Plan Template Type Code	Format Type: Alphanumeric Data Stores: Participant Care Plan Edit/Validation: Must be a valid code from the Care Plan Template Type code table. Definition: Defines the care plan template type.
Participant Category Code	Format Type: Alphanumeric Data Stores: Participant, Food Instrument Type, Food Package, Participation Edit/Validation: Must be a valid category from the Participant Category code table. Definition: WIC category to which the participant belongs (e.g., breastfeeding woman, child).



<i>Data Element</i>	<i>Description</i>
Participant Certification End Date	Format Type: Date Data Stores: Participant Edit/Validation: System generated, valid date format. Definition: Date on which a participant's certification ends.
Participant Certification Start Date	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format. Definition: Date on which a participant is certified.
Participant Certification Status Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Certification Status code table. Definition: Status of a participant's certification (applied, certified, wait listed).
Participant Data Sharing Consent	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be yes or no. Definition: Indicates if a participant has given consent for data to be shared with other entities.
Participant Data Sharing Entity	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None. Definition: Free form text indicating the entities to which consent has been granted or a description of entities to which information should not be shared.
Participant Date of Birth	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format. Definition: Participant's actual date of birth.
Participant Date of First Certification	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format. Definition: Date of the participant's first WIC certification.
Participant Date of Initial Contact	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format. Definition: Date contact was first made with the participant. Required for 10/20 day timeframe rule.
Participant Date of Last Checkup/Immunization-Infants and Children	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format. Definition: Date the infant or child's last medical checkup or immunization.
Participant Education Level Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Education Level code table. Definition: Level of education completed by the participant.

<i>Data Element</i>	<i>Description</i>
Participant Employment Status Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Employment Status code table. Definition: Employment status of the participant.
Participant Expected Date of Delivery	Format Type: Date Data Stores: Valid date format Edit/Validation: None Definition: Expected date a participant will deliver her baby.
Participant Family/Household Identification Number	Format Type: Alphanumeric Data Stores: Participant, Event Preference, Food Instrument, Scheduled Appointment Edit/Validation: State defined code. Definition: Used to identify family/household groupings.
Participant Family/Household Size	Format Type: Numeric Data Stores: Participant Edit/Validation: None Definition: Number of persons in family or economic unit.
Participant Guardian Name	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Name of the participant's guardian, if applicable.
Participant Health Anthropometric Date	Format Type: Date Data Stores: Participant Health Edit/Validation: Valid date format. Definition: Date anthropometric data were gathered.
Participant Health Bloodwork	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Participant's blood test level.
Participant Health Bloodwork Change Code	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: Must be a valid code from the Health Change code table. Definition: Indicates change in participant's blood test level.
Participant Health Bloodwork Date	Format Type: Date Data Stores: Participant Health Edit/Validation: Valid date format Definition: Date the blood test reading was taken.
Participant Health Bloodwork Type Code	Format Type: Numeric Data Stores: Participant Health Edit/Validation: Must be a valid code from the Blood Test Type code table. Definition: Type of bloodwork test being performed.
Participant Health BMI	Format Type: Numeric Data Stores: Participant Health Edit/Validation: System should calculate BMI based on CDC requirements. Definition: Indicates a participant's body mass index.

<i>Data Element</i>	<i>Description</i>
Participant Health Cigarette Smoking	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if a participant has smoked cigarettes three months prior to pregnancy.
Participant Health Cigarettes per Day	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Average number of cigarettes a participant smoked the three months prior to pregnancy.
Participant Health Dietary Supplement During Pregnancy	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if the participant took any dietary supplements during pregnancy.
Participant Health Dietary Supplement Prepregnancy	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if the participant took any dietary supplements before pregnancy.
Participant Health Drink	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if a participant has consumed alcohol three months prior to pregnancy.
Participant Health Drink per Week- 3 Months Prepregnancy	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Average number of alcohol drinks a participant has consumed per week within the three months prior to pregnancy.
Participant Health Drink per Week- Last Trimester	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Average number of alcohol drinks a participant has consumed per week within the last three months of pregnancy.
Participant Health Drug	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if a participant currently uses illegal drugs.
Participant Health Drug Frequency	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Frequency and amount of illegal drug a participant uses.

<i>Data Element</i>	<i>Description</i>
Participant Health Environmental Tobacco Smoke Exposure	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if the participant has had exposure to smoke from tobacco products inside the home.
Participant Health Folic Acid Consumption	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if the participant takes any Folic Acid supplements.
Participant Health Gestational Diabetes	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if the participant has gestational diabetes.
Participant Health Head Circumference	Format Type: Numeric Data Stores: Participant Edit/Validation: Must be a valid head circumference measurement. Definition: Captures measurement of infant's head circumference.
Participant Health Height/Length	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Height or length of participant.
Participant Health Height/Length Change Code	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: Must be a valid code from the Health Change code table. Definition: Indicates change in participant's height/length.
Participant Health High Blood Pressure During Pregnancy	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None. Definition: Indicates whether the participant has high blood pressure during pregnancy.
Participant Health Immunization Status Code	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: Must be a valid code from the Immunization Status code table. Definition: Indicates the participant's immunization status.
Participant Health Infant Birth Length	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Infant's length at birth.
Participant Health Infant Birth Weight	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Infant's weight at birth.

<i>Data Element</i>	<i>Description</i>
Participant Health Infant Gestational Age	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Infant's gestational age in weeks.
Participant Health Introduction to Supplementary Feeding	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates when the infant was introduced to formula or cereal and other food.
Participant Health LMP Date	Format Type: Date Data Stores: Participant Health Edit/Validation: None Definition: Date of participant's last menstrual period.
Participant Health Multiple Fetuses	Format Type: Numeric Data Stores: Participant Edit/Validation: None Definition: Indicates the number of fetuses being carried by a pregnant woman.
Participant Health Multiple Fetuses Number of Live Births	Format Type: Numeric Data Stores: Participant Health Edit/Validation: Must be less than the number in Participant Health Multiple Fetus. Definition: Indicates the number of infants born alive from a multiple birth.
Participant Health Multivitamin Consumption	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Indicates if the participant takes any multivitamins.
Participant Health Nutrition Assessment	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None. Definition: This data element will vary by State based on VENA implementation approaches. There will likely be multiple data elements associated with nutrition assessments under VENA.
Participant Health Nutrition Risk Code	Format Type: Alphanumeric Data Stores: Participant Health, Food Instrument Type Edit/Validation: Must be a valid code from the Nutrition Risk code table. Definition: Assigned risk factor based on nutrition risk assessment and/or dietary assessment score.
Participant Health Parent BMI (Father)	Format Type: Numeric Data Stores: Participant Health Edit/Validation: System should calculate BMI based on CDC requirements. Definition: Indicates a participant's father's body mass index.

<i>Data Element</i>	<i>Description</i>
Participant Health Parent BMI (Mother)	Format Type: Numeric Data Stores: Participant Health Edit/Validation: System should calculate BMI based on CDC requirements. Definition: Indicates a participant's mother's body mass index.
Participant Health Parent Height (Father)	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Height of the participant's father.
Participant Health Parent Height (Mother)	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Height of the participant's mother.
Participant Health Parent Weight (Father)	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Weight of participant's father.
Participant Health Parent Weight (Mother)	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Weight of participant's mother.
Participant Health Pregnancy Outcome Code	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: Must be a valid code from the Pregnancy Outcome code table. Definition: Represents the outcome of a participant's pregnancy.
Participant Health Pregnancy Weight Gain	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Number of pounds a participant gained during pregnancy.
Participant Health Previous Pregnancy	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Total number of previous pregnancies a participant has had.
Participant Health Previous Pregnancy End Date	Format Type: Date Data Stores: Participant Health Edit/Validation: Valid date format Definition: End date of participant's previous pregnancy.
Participant Health Source of Prenatal Care	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: None Definition: Source of health care of the participant (e.g., private physician, clinic).
Participant Health Source of Prenatal Care Begin Date	Format Type: Date Data Stores: Participant Health Edit/Validation: Valid date format Definition: Date on which participant's health care began.

<i>Data Element</i>	<i>Description</i>
Participant Health Trimester	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Participant's current pregnancy trimester.
Participant Health Trimester of First WIC Visit	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Trimester during which the participant first visited WIC.
Participant Health TV/Video Viewing	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Amount of time an infant or child spends watching television or videos.
Participant Health Weight	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Weight of participant.
Participant Health Weight at Labor	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Participant's weight when she gave birth.
Participant Health Weight Change Code	Format Type: Alphanumeric Data Stores: Participant Health Edit/Validation: Must be a valid code from the Health Change code table. Definition: Indicates change in participant's weight.
Participant Health Weight Prepregnancy	Format Type: Numeric Data Stores: Participant Health Edit/Validation: None Definition: Weight of participant before pregnancy.
Participant Health Weight Status Classification Code	Format Type: Numeric Data Stores: Participant Health Edit/Validation: Must be a valid code from the Weight Status Classification code table. Definition: Calculated field that displays a participant's weight status (e.g., overweight, obese).
Participant Identification Card Number	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Unique code to aid in tracking identification card(s) issued to a participant (typically used in a paper environment).

<i>Data Element</i>	<i>Description</i>
Participant Identification Number	<p>Format Type: Numeric</p> <p>Data Stores: Participant, Administrative Hearing, Breastfeeding, Comment, Complaint, Education Offer, Event Preference, Food Benefit Prescription, Food Instrument, Participant Care Plan, Participant Health, Referral, Sanction, Scheduled Appointment, Survey Response, Transfer, Vendor Compliance Activity.</p> <p>Edit/Validation: State-defined code. May be system generated.</p> <p>Definition: Number that uniquely identifies a participant.</p>
Participant Identity Documentation Code	<p>Format Type: Alphanumeric</p> <p>Data Stores: Participant</p> <p>Edit/Validation: Must be a valid code from the Identity Documentation code table.</p> <p>Definition: Indicates source of identity documentation.</p>
Participant Income Documentation Code	<p>Format Type: Alphanumeric</p> <p>Data Stores: Participant</p> <p>Edit/Validation: Must be a valid code from the Income Documentation code table.</p> <p>Definition: Textual description of source of income (e.g., job, child support, etc.).</p>
Participant Income Documentation Date	<p>Format Type: Date</p> <p>Data Stores: Participant</p> <p>Edit/Validation: Valid date format</p> <p>Definition: Indicates date when income documentation was reviewed.</p>
Participant Income per Period	<p>Format Type: Numeric</p> <p>Data Stores: Participant</p> <p>Edit/Validation: Must be within the State- defined range for family/household size.</p> <p>Definition: Current income of participant for a specified time period.</p>
Participant Income Period	<p>Format Type: Alphanumeric</p> <p>Data Stores: Participant</p> <p>Edit/Validation: None</p> <p>Definition: Defined period of time used for income eligibility determination.</p>
Participant Income Range per Period	<p>Format Type: Numeric</p> <p>Data Stores: Participant</p> <p>Edit/Validation: State- defined code</p> <p>Definition: Income range into which the participant falls for a specified period (e.g., \$0-4999, \$5000-9999).</p>
Participant Income Self-declared Indicator	<p>Format Type: Alphanumeric</p> <p>Data Stores: Participant</p> <p>Edit/Validation: Must be yes or no.</p> <p>Definition: Indicates if the reported income is from a Self-declared source, rather than through other documentation, such as paystubs or tax returns.</p>



<i>Data Element</i>	<i>Description</i>
Participant Ineligibility Date	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format Definition: Date on which a participant became ineligible.
Participant Ineligibility Reason Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Ineligibility Reason (Participant) code table. Definition: Reason a participant was deemed ineligible.
Participant Language Spoken Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Language Code table. Definition: Primary language spoken by the participant.
Participant Marital Status Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Marital Status code table. Definition: Marital status of the participant.
Participant Mother's Time on WIC- Infant	Format Type: Numeric Data Stores: Participant Edit/Validation: None. Definition: Indicates the length of time an infant's mother was on WIC during her pregnancy. Can be calculated from Mother's certification date or Participant Health Trimester of First WIC Visit.
Participant Name- First	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Participant's first name.
Participant Name- Last	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Participant's last name.
Participant Name- MI	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Participant's middle initial.
Participant Number of Infants Resulting from Current Pregnancy	Format Type: Numeric Data Stores: Participant Edit/Validation: None Definition: Number of infants that were born of this pregnancy (live or stillborn).
Participant Number of Live Births	Format Type: Numeric Data Stores: Participant Edit/Validation: None Definition: Number of a participant's pregnancies that ended with a live birth.

<i>Data Element</i>	<i>Description</i>
Participant Parent/Head of Household Address- Apartment	Format Type: Numeric Data Stores: Participant Edit/Validation: None Definition: Parent/Head of Household's apartment number.
Participant Parent/Head of Household Address- City	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: City in which the Parent/Head of Household lives.
Participant Parent/Head of Household Address- State	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid state from the State Postal Abbreviation code table. Definition: State in which then Parent/Head of Household lives.
Participant Parent/Head of Household Address- Street	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Current street address of Parent/Head of Household.
Participant Parent/Head of Household Address- Zip Code	Format Type: Numeric Data Stores: Participant Edit/Validation: Must be a valid Zip code from the Zip code table. Definition: Zip code in which the Parent/Head of Household lives.
Participant Parent/Head of Household Date of Birth	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format. Definition: Parent/Head of Household's date of birth.
Participant Parent/Head of Household Indicator	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be yes or no Definition: Indicates if the record belongs to a parent/head of household. May trigger edits that allow only certain data elements to be completed (e.g., name, address).
Participant Parent/Head of Household Name- First	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Parent/Head of Household first name.
Participant Parent/Head of Household Name- Last	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Parent/Head of Household's last name.
Participant Parent/Head of Household Name- MI	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Parent/Head of Household's middle initial.
Participant Parent/Head of Household Telephone Number	Format Type: Numeric Data Stores: Participant Edit/Validation: None Definition: Telephone number of Parent/Head of Household.

<i>Data Element</i>	<i>Description</i>
Participant Participation in Other Programs Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code in the Other Programs code table. Definition: Indicates the program(s) in which a participant is participating.
Participant Physical Presence Exception Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code in the Physical Presence Exception code table. Definition: Indicates reason why a participant was not present at certification.
Participant Physical Presence Indicator (Y/N)	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be yes or no Definition: Indicates whether a participant was present during certification.
Participant Priority Level Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Priority Level code table Definition: Ranking of participant based on category and assigned risk factor.
Participant Proxy Authorization Date	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format. Definition: Date a participant's proxy was authorized.
Participant Proxy Name	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Should be able to handle multiple proxies in certification process. Definition: Name of the participant's proxy.
Participant Racial/Ethnic Ethnicity Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Racial/Ethnic Ethnicity code table. Definition: Defines the participant's ethnicity.
Participant Racial/Ethnic Race Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Racial/Ethnic Race code table. Definition: Defines the participant's race.
Participant Residency Documentation Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Residency Documentation code table. Definition: Source of residency documentation.

<i>Data Element</i>	<i>Description</i>
Participant Residential Status Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code on the Residential Status code table. Definition: Status of a participant's residency verification (e.g., migrant).
Participant Self-declared Income Eligibility Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code on the Self-declared Income code table. Definition: Indicates a source of Self-declared income, such as participation in TANF, Food Stamps, etc.
Participant Sex	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Indicates the participant's sex.
Participant Source of Information About WIC Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Source of Information about WIC code table. Definition: Indicates how participant learned about WIC.
Participant Exempt Infant Formula/Medical Foods Prescription on File	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Indicates whether a prescription is on file for the special formula/medical food.
Participant Exempt Infant Formula/Medical Foods Received	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: None Definition: Free form text that describes type, amount, and cost of special formula.
Participant Exempt Infant Formula/Medical Foods Received Reason Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Special Formula Received Reason code table. Definition: Code describing why a participant received special formula.
Participant Status Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Participant Status code table. Definition: Participant's WIC status (e.g., active, inactive).
Participant Telephone Number	Format Type: Numeric Data Stores: Participant Edit/Validation: None Definition: Telephone number of participant.

<i>Data Element</i>	<i>Description</i>
Participant Termination Date	Format Type: Date Data Stores: Participant Edit/Validation: Valid date format. Definition: Date a participant was terminated from the WIC program.
Participant Termination Reason Code	Format Type: Alphanumeric Data Stores: Participant Edit/Validation: Must be a valid code from the Termination/Suspension code table. Definition: Reason why a participant was terminated from the WIC program.
Participant Voter Registration Assistance Provided	Format Type: Alphanumeric Data Stores: Voter Registration Edit/Validation: None Definition: Indicates whether voter registration information/assistance was provided.
Participation Actual	Format Type: Numeric Data Stores: Participation Edit/Validation: None Definition: Actual participation for the month.
Participation Month	Format Type: Alphanumeric Data Stores: Participation Edit/Validation: Must be a valid month. Definition: Month for which participation counts are collected.
Participation Projected	Format Type: Numeric Data Stores: Participation Edit/Validation: None Definition: Projected participation for the month.
Rebate Actual Average Price	Format Type: Numeric Data Stores: Rebate Actual Edit/Validation: None Definition: Price at which rebate items are being redeemed.
Rebate Actual End Date	Format Type: Date Data Stores: Rebate Actual Edit/Validation: Valid date format Definition: End date of the rebate period being tracked.
Rebate Actual Product Type/Form Code	Format Type: Alphanumeric Data Stores: Rebate Actual Edit/Validation: Must be a valid code from the Product Type/Form code table. Definition: Type and form of the product (e.g., concentrated soy formula, powdered milk formula).
Rebate Actual Product Type/Form Rate	Format Type: Alphanumeric Data Stores: Rebate Actual Edit/Validation: None Definition: Rate of rebate for product type/form.

<i>Data Element</i>	<i>Description</i>
Rebate Actual Redeemed Quantity	Format Type: Numeric Data Stores: Rebate Actual Edit/Validation: None Definition: Quantity of product/type of rebated food item actually purchased during the specified rebate period.
Rebate Actual Sale Identification Number	Format Type: Numeric Data Stores: Rebate Actual Edit/Validation: None Definition: Number that uniquely identifies redemption information for rebated items over the specified rebate period.
Rebate Actual Start Date	Format Type: Date Data Stores: Rebate Actual Edit/Validation: Valid date format. Definition: First date of rebate period being tracked.
Rebate Estimate Federal Fiscal Year	Format Type: Numeric Data Stores: Rebate Estimate Edit/Validation: None Definition: Federal fiscal year for which a rebate estimate is being made.
Rebate Estimate Number of Participants to Receive Type/Form	Format Type: Numeric Data Stores: Rebate Estimate Edit/Validation: None Definition: Number of participants estimated to receive the type/form of the rebate product.
Rebate Estimate Product Type/Form Code	Format Type: Alphanumeric Data Stores: Rebate Estimate Edit/Validation: Must be a valid code from the Product Type/Form code table. Definition: Type and form of the product (e.g., concentrated soy formula, powdered milk formula).
Rebate Estimate Product Type/Form Rate	Format Type: Alphanumeric Data Stores: Rebate Estimate Edit/Validation: None Definition: Rate of rebate for product type/form.
Rebate Estimate Quantity of Product/Type Form per Participant per Time Period	Format Type: Numeric Data Stores: Rebate Estimate Edit/Validation: None Definition: Estimated quantity of the product type/form for each participant for a specified time period.
Rebate Estimate Rate for Contract 1	Format Type: Numeric Data Stores: Rebate Estimate Edit/Validation: None Definition: The rebate rate under the first contract when the rebate contract is replaced during a single fiscal year.

<i>Data Element</i>	<i>Description</i>
Rebate Estimate Rate for Contract 2	Format Type: Numeric Data Stores: Rebate Estimate Edit/Validation: None Definition: The rebate rate under the second contract when the rebate contract is replaced during a single fiscal year.
Rebate Invoice Adjustment Reason Code	Format Type: Alphanumeric Data Stores: Rebate Invoice Edit/Validation: Must be a valid code from the Adjustment Reason code table. Definition: Reason a rebate invoice was adjusted.
Rebate Invoice Amount Adjusted	Format Type: Numeric Data Stores: Rebate Invoice Edit/Validation: None Definition: Amount by which a rebate invoice was adjusted.
Rebate Invoice Amount Collected	Format Type: Numeric Data Stores: Rebate Invoice Edit/Validation: None Definition: Amount collected on a rebate invoice.
Rebate Invoice Bill Amount	Format Type: Numeric Data Stores: Rebate Invoice Edit/Validation: None Definition: Amount billed on a rebate invoice.
Rebate Invoice Identification Number	Format Type: Numeric Data Stores: Rebate Invoice, Rebate Actual Edit/Validation: None Definition: Number that uniquely identifies a rebate invoice.
Rebate Invoice Total Items Purchased Quantity	Format Type: Numeric Data Stores: Rebate Invoice Edit/Validation: None Definition: Quantity of rebate items purchased.
Rebate Manufacturer Address- City	Format Type: Alphanumeric Data Stores: Rebate Manufacturer Edit/Validation: None Definition: City in which the rebate manufacturer is located.
Rebate Manufacturer Address- State	Format Type: Alphanumeric Data Stores: Rebate Manufacturer Edit/Validation: Must be a valid state in the State Postal Abbreviation code table. Definition: State in which the rebate manufacturer is located.
Rebate Manufacturer Address- Street	Format Type: Alphanumeric Data Stores: Rebate Manufacturer Edit/Validation: None Definition: Street address of the rebate manufacturer.
Rebate Manufacturer Address- Zip Code	Format Type: Numeric Data Stores: Rebate Manufacturer Edit/Validation: Must be a valid Zip code from the Zip code table. Definition: Zip code of the rebate manufacturer.

<i>Data Element</i>	<i>Description</i>
Rebate Manufacturer Contact Name	Format Type: Alphanumeric Data Stores: Rebate Manufacturer Edit/Validation: None Definition: Rebate manufacturer's contact person.
Rebate Manufacturer Contact Telephone Number	Format Type: Alphanumeric Data Stores: Rebate Manufacturer Edit/Validation: None Definition: Telephone number for rebate manufacturer's contact.
Rebate Manufacturer Contract End Date	Format Type: Date Data Stores: Rebate Manufacturer Edit/Validation: Valid date format Definition: Rebate contract end date.
Rebate Manufacturer Contract Number	Format Type: Alphanumeric Data Stores: Rebate Manufacturer Edit/Validation: State- defined code Definition: Number of the rebate contract.
Rebate Manufacturer Contract Start Date	Format Type: Date Data Stores: Rebate Manufacturer Edit/Validation: Valid date format Definition: Rebate contract start date.
Rebate Manufacturer Email Address	Format Type: Alphanumeric Data Stores: Rebate Manufacturer Edit/Validation: None Definition: Electronic mail address of the rebate manufacturer or the rebate manufacturer contact.
Rebate Manufacturer Identification Number	Format Type: Numeric Data Stores: Rebate Manufacturer, Rebate Actual, Rebate Invoice Edit/Validation: None Definition: Number that uniquely identifies a rebate manufacturer.
Rebate Manufacturer Name	Format Type: Alphanumeric Data Stores: Rebate Manufacturer Edit/Validation: None Definition: Name of the rebate manufacturer.
Referral Date	Format Type: Date Data Stores: Referral Edit/Validation: Valid date format. Definition: Date referral was made.
Referral Declined	Format Type: Alphanumeric Data Stores: Referral Edit/Validation: None Definition: Indicates if an offered referral was declined by the participant.
Referral From Organization Code	Format Type: Alphanumeric Data Stores: Referral Edit/Validation: Must be a valid code from the Organization code table. Definition: Organization from which a participant was referred.



<i>Data Element</i>	<i>Description</i>
Referral Results	Format Type: Alphanumeric Data Stores: Referral Edit/Validation: None Definition: Free form text capturing results of referral (e.g., appointment made, participant received services).
Referral To Organization Code	Format Type: Alphanumeric Data Stores: Referral Edit/Validation: Must be a valid code from the Organization code table. Definition: Organization to which a participant was referred.
Resource Description	Format Type: Alphanumeric Data Stores: Resource Edit/Validation: None Definition: Description of resource.
Resource Identification Number	Format Type: Alphanumeric Data Stores: Resource, Event Slot Edit/Validation: None Definition: Number that uniquely identifies a resource.
Resource Type Code	Format Type: Alphanumeric Data Stores: Resource, Event Slot Edit/Validation: Must be a valid code from the Resource Type code table. Definition: Indicates type of resource (e.g., VCR, classroom).
Sanction Case Appeal Indicator	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: None Definition: Indicates if an appeal to the sanction has been filed.
Sanction Case Appeal Outcome Code	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: Must be a valid code from the Outcome code table. Definition: Describes outcome of a sanction appeal case and must include pending, upheld, overturned, modified, judicial review.
Sanction Case Identification Number	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: State- defined code. May be system generated. Definition: Number that uniquely identifies a sanction case.
Sanction Case Start Date	Format Type: Date Data Stores: Sanction Edit/Validation: None Definition: Date sanction case began.
Sanction Case Status	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: None Definition: Status of sanction case.

<i>Data Element</i>	<i>Description</i>
Sanction Case Type Code	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: Must be a valid code from the Sanction Case Type code table. Definition: Entity against which sanctions are made.
Sanction Date of Notice of Initial Violation	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: Must be a valid date. Definition: Date the notice of the initial violation was sent. Either this or "Sanction Date of Notice of Initial Violation" must be completed.
Sanction Determination that Notice Will Compromise an Investigation Indicator	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: None Definition: Indicates that a notice will not be sent because it could compromise the investigation. Either this or "Sanction Date of Notice of Initial Violation" must be completed.
Sanction Effective Date	Format Type: Date Data Stores: Sanction Edit/Validation: Valid date format Definition: Date a sanction goes into effect.
Sanction Length of Disqualification	Format Type: Numeric Data Stores: Sanction Edit/Validation: None Definition: Length of time for which the vendor is disqualified.
Sanction Points Number	Format Type: Numeric Data Stores: Sanction Edit/Validation: None Definition: Number of sanction points assessed for the case.
Sanction Referred from Food Stamps	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: None Definition: Indicates if sanction information was obtained from the Food Stamp Program.
Sanction Referred to Food Stamps	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: None Definition: Indicates if sanction information was provided to the Food Stamp Program.
Sanction Type Code	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: Must be a valid code form the Sanction Type code table. Definition: Type of sanction brought against a participant or vendor.

<i>Data Element</i>	<i>Description</i>
Sanction Vendor CMP Amount Assessed	Format Type: Numeric Data Stores: Sanction Edit/Validation: None Definition: Amount of civil monetary penalties assessed to a vendor.
Sanction Vendor CMP Amount Assessed Date	Format Type: Date Data Stores: Sanction Edit/Validation: Valid date format Definition: Date civil monetary penalties were assessed to a vendor.
Sanction Vendor CMP Amount Collected	Format Type: Numeric Data Stores: Sanction Edit/Validation: None Definition: Amount of civil monetary penalties collected from a vendor.
Sanction Vendor CMP Due Date	Format Type: Date Data Stores: Sanction Edit/Validation: Valid Date Format Definition: Date a vendor's civil monetary penalties is due.
Sanction Vendor CMP Installment Amount	Format Type: Numeric Data Stores: Sanction Edit/Validation: None Definition: Amount of civil monetary penalties installment payment to be collected from a vendor.
Sanction Vendor CMP Installment Term	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: None Definition: Term of a vendor's civil monetary penalties installment payments.
Sanction Violation Code	Format Type: Alphanumeric Data Stores: Sanction Edit/Validation: Must be a valid code from the Sanction Violation code table. Definition: Violation for which sanctions are being made.
Scheduled Appointment Date	Format Type: Date Data Stores: Scheduled Appointment Edit/Validation: Valid date format Definition: Date on which an appointment is scheduled.
Scheduled Appointment Document Code	Format Type: Alphanumeric Data Stores: Scheduled Appointment Edit/Validation: Valid code from the Appointment Document code table. Definition: Indicates which type of appointment document is being produced.
Scheduled Appointment Identification Number	Format Type: Alphanumeric Data Stores: Scheduled Appointment, Education Offer Edit/Validation: None Definition: Number that uniquely identifies a scheduled appointment.

<i>Data Element</i>	<i>Description</i>
Scheduled Appointment Missed Reason	Format Type: Alphanumeric Data Stores: Scheduled Appointment Edit/Validation: None Definition: Free form text describing the reason a scheduled appointment was missed.
Scheduled Appointment Number of Actual Attendees	Format Type: Numeric Data Stores: Scheduled Appointment Edit/Validation: None Definition: Number of people who actually attended the scheduled appointment.
Scheduled Appointment Number of Expected Attendees	Format Type: Numeric Data Stores: Scheduled Appointment Edit/Validation: None Definition: Number of people expected to attend the scheduled appointment.
Scheduled Appointment Outcome Code	Format Type: Alphanumeric Data Stores: Scheduled Appointment Edit/Validation: Must be a valid code from the Outcome code table. Definition: Outcome of the scheduled appointment.
Scheduled Appointment Time	Format Type: Numeric Data Stores: Scheduled Appointment Edit/Validation: None Definition: Time of scheduled appointment.
Scheduled Appointment Type Code	Format Type: Numeric Data Stores: Scheduled Appointment Edit/Validation: Must be a valid code from the Appointment Type code table. Definition: Type of scheduled appointment.
Survey Question Identification Number	Format Type: Alphanumeric Data Stores: Survey Question, Survey Questionnaire, Survey Response Edit/Validation: None Definition: Number that uniquely identifies a survey question.
Survey Question Text	Format Type: Alphanumeric Data Stores: Survey Question Edit/Validation: None Definition: Free form text survey question.
Survey Question WIC Service Type Code	Format Type: Alphanumeric Data Stores: Survey Question Edit/Validation: Must be a valid code form the WIC Service Type code table. Definition: Type of WIC service referred to in the survey question.
Survey Questionnaire Identification Number	Format Type: Alphanumeric Data Stores: Survey Questionnaire Edit/Validation: State- defined code. May be system generated. Definition: Number that uniquely identifies a survey questionnaire.

<i>Data Element</i>	<i>Description</i>
Survey Questionnaire Question Sequence Number	Format Type: Numeric Data Stores: Survey Questionnaire Edit/Validation: None Definition: Sequence in which a particular survey question falls on a survey questionnaire.
Survey Questionnaire Survey Name	Format Type: Alphanumeric Data Stores: Survey Questionnaire Edit/Validation: None Definition: Descriptive name of a survey.
Survey Questionnaire Survey Type Code	Format Type: Alphanumeric Data Stores: Survey Questionnaire Edit/Validation: Must be a valid code from the Survey Type code table. Definition: Type of survey being given.
Survey Response Nutrition Education Size	Format Type: Numeric Data Stores: Survey Response Edit/Validation: None Definition: Size of nutrition education class about which survey questions are being asked.
Survey Response Nutrition Education Type	Format Type: Alphanumeric Data Stores: Survey Response Edit/Validation: None Definition: Type of nutrition education class about which survey questions are being asked.
Survey Response Opinion Score	Format Type: Alphanumeric Data Stores: Survey Response Edit/Validation: State- defined code Definition: Score/ranking of responses to survey questions.
Survey Response WIC Service Date	Format Type: Date Data Stores: Survey Response Edit/Validation: Valid date format Definition: Date on which WIC services were received.
Survey Response WIC Service Type Code	Format Type: Alphanumeric Data Stores: Survey Response Edit/Validation: Must be a valid code from the WIC Service Type code table. Definition: Type of WIC service referred to on survey to which entity responding.
Transfer Date	Format Type: Date Data Stores: Transfer Edit/Validation: Valid date format Definition: Date of transfer.
Transfer From	Format Type: Alphanumeric Data Stores: Transfer Edit/Validation: Must be a valid clinic/local agency identification number or a valid code from the Organization code table. Definition: Clinic, local agency, or other organization from which a participant transferred.

<i>Data Element</i>	<i>Description</i>
Transfer To	Format Type: Alphanumeric Data Stores: Transfer Edit/Validation: Must be a valid clinic/local agency identification number or a valid code from the Organization code table. Definition: Clinic, local agency, or other organization to which a participant is transferred.
Unauthorized Access Date	Format Type: Date Data Stores: Unauthorized Access Edit/Validation: System supplied. Definition: Date on which access attempts were made.
Unauthorized Access Function Code	Format Type: Alphanumeric Data Stores: Unauthorized Access Edit/Validation: Must be a valid code from the User Function code table. Definition: Function to which unauthorized access was attempted
Unauthorized Access Terminal Identification Number/IP Address	Format Type: Alphanumeric Data Stores: Unauthorized Access Edit/Validation: System supplied. Definition: Terminal or IP Address from which access attempts were made.
Unauthorized Access Time	Format Type: Numeric Data Stores: Unauthorized Access Edit/Validation: System supplied. Definition: Time at which access attempts were made.
User Access Function Code	Format Type: Alphanumeric Data Stores: User Edit/Validation: Must be a valid code from the User Function code table. Definition: Determines the system functions to which a user can access.
User Access Function Privilege	Format Type: Alphanumeric Data Stores: User Edit/Validation: Must be “C” for create, “R” for Read, “U” for Update, and “D” for delete Definition: Defines user access privileges associated with job functions (e.g. authorization to create, read, update, and delete in a function).
User Identification End Date	Format Type: Date Data Stores: User Edit/Validation: Valid date format Definition: Date after which the user identification number is no longer valid.

<i>Data Element</i>	<i>Description</i>
User Identification Number	Format Type: Alphanumeric Data Stores: User, Administrative Hearing, Complaint, Customer Service, Education Offer, Food Benefit Prescription, Food Instrument, Item Stock- Non- Serialized, Item Stock- Serialized, Sanction, Survey Response, Unauthorized Access, User Access Edit/Validation: May be system generated Definition: Number that uniquely identifies a user.
User Identification Start Date	Format Type: Date Data Stores: User Edit/Validation: Valid date format Definition: Date on which the user identification number becomes active.
User Name	Format Type: Alphanumeric Data Stores: User Edit/Validation: None Definition: Name of the user.
User Organization Supervisor	Format Type: Alphanumeric Data Stores: User Edit/Validation: None Definition: User's supervisor.
User Password (Encrypted)	Format Type: Alphanumeric Data Stores: User Edit/Validation: Encrypted Definition: Secret code used to authenticate the user trying to access the system.
User Social Security Number	Format Type: Numeric Data Stores: User Edit/Validation: Must follow social security number format XXX-XX-XXXX. Definition: User's social security number.
User Supervisor Telephone Number	Format Type: Numeric Data Stores: User Edit/Validation: None Definition: Telephone number of user's supervisor.
User Telephone Number	Format Type: Numeric Data Stores: User Edit/Validation: None Definition: Telephone number of the user.
User Title/Role	Format Type: Alphanumeric Data Stores: User Edit/Validation: Must be a valid code from the Title/Role code table. Definition: User's title or role selected from the User Title/Role code table (e.g., nutritionist, certification clerk).
Vendor A50 Indicator	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Indicates if more than 50% of a vendor's food sales are WIC sales.

<i>Data Element</i>	<i>Description</i>
Vendor Address- City	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's physical address city.
Vendor Address- State	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: Must be a valid code from the State Postal Abbreviation code table. Definition: Vendor's physical address state.
Vendor Address- Street	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's physical street address.
Vendor Address- Zip Code	Format Type: Numeric Data Stores: Vendor Edit/Validation: Must be a valid zip code from Zip code table. Definition: Vendor's physical address zip code.
Vendor Authorization Activity Code	Format Type: Alphanumeric Data Stores: Vendor Authorization Edit/Validation: Must be a valid code in the Vendor Authorization Activity code table. Definition: Identifies processing step in the vendor authorization process.
Vendor Authorization Activity Complete Date	Format Type: Date Data Stores: Vendor Authorization Edit/Validation: Valid date format. Definition: Indicates the completion date of a milestone/activity in the vendor authorization process.
Vendor Authorization Activity Scheduled Date	Format Type: Date Data Stores: Vendor Authorization Edit/Validation: Valid date format Definition: Indicates the scheduled date for completion of a vendor authorized milestone/activity.
Vendor Authorization Expiration Date	Format Type: Date Data Stores: Vendor Authorization Edit/Validation: Valid date format Definition: Date the vendor's authorization expires.
Vendor Authorization Ineligibility Reason Code	Format Type: Alphanumeric Data Stores: Vendor Authorization Edit/Validation: Must be a valid code in the Ineligibility Reason (Vendor) code table. Definition: Defines the reasons why a vendor was determined ineligible to participate in WIC.
Vendor Authorization Start Date	Format Type: Date Data Stores: Vendor Authorization Edit/Validation: Valid date format. Definition: Start date for authorized vendor participation in WIC.



<i>Data Element</i>	<i>Description</i>
Vendor Authorization Status Code	Format Type: Alphanumeric Data Stores: Vendor Authorization Edit/Validation: Must be a valid code in the Vendor Authorization Status code table. Definition: Status of the vendor's WIC authorization.
Vendor Business Year End Month/Year	Format Type: Date Data Stores: Vendor Edit/Validation: None Definition: Ending month and year of vendor's business year.
Vendor Business Year Start Month/Year	Format Type: Date Data Stores: Vendor Edit/Validation: None Definition: Beginning month and year of a vendor's business year.
Vendor Chain Code	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: State- defined code. Definition: Code indicating the vendor chain.
Vendor Compliance Activity Date	Format Type: Date Data Stores: Vendor Compliance Activity Edit/Validation: Valid date format. Definition: Date compliance activity took place.
Vendor Compliance Activity Food Instrument Identification Numbers	Format Type: Numeric Data Stores: Vendor Compliance Activity Edit/Validation: None Definition: Food instrument identification/serial number involved in the compliance activity.
Vendor Compliance Activity Food Item Disposition	Format Type: Alphanumeric Data Stores: Vendor Compliance Activity Edit/Validation: Must be a valid code in the Food Item Disposition code table. Definition: Indicates what happened to the food items purchased in the compliance activity.
Vendor Compliance Activity Food Inventory Value	Format Type: Numeric Data Stores: Vendor Compliance Activity Edit/Validation: None Definition: Dollar value of food items in the vendor's inventory.
Vendor Compliance Activity Food Redemption Value	Format Type: Numeric Data Stores: Vendor Compliance Activity Edit/Validation: None Definition: Dollar value of food items redeemed during compliance activity.
Vendor Compliance Activity Investigator	Format Type: Alphanumeric Data Stores: Vendor Compliance Activity Edit/Validation: None Definition: Name of agent performing the compliance activity.

<i>Data Element</i>	<i>Description</i>
Vendor Compliance Activity Reason Code	Format Type: Alphanumeric Data Stores: Vendor Compliance Activity Edit/Validation: Must be a valid code from the Compliance Activity Reason code table. Definition: Reason for compliance activity.
Vendor Compliance Activity Task Code	Format Type: Alphanumeric Data Stores: Vendor Compliance Activity Edit/Validation: Must be a valid code from the Compliance Activity Task code table. Definition: Defines how compliance is going to be checked (e.g., clerk interview, cleanliness check).
Vendor Compliance Activity Type Code	Format Type: Alphanumeric Data Stores: Vendor Compliance Activity Edit/Validation: Must be a valid code from the Compliance Activity Type code table. Definition: Indicates method by which compliance is checked (e.g., record audit).
Vendor Compliance Activity Violation Indicator Code	Format Type: Alphanumeric Data Stores: Vendor Compliance Activity Edit/Validation: Must be a valid code from the Compliance Activity Violation Indicator code table. Definition: Designates the type of violations that were encountered during compliance activities.
Vendor Contact Email Address	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Electronic mail address for the vendor contact person.
Vendor Contact Name- First	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: First name of the vendor's contact person.
Vendor Contact Name- Last	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Last name of the vendor's contact person.
Vendor Contact Name- MI	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Middle initial of the vendor's contact person.
Vendor Contact Telephone Number	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Vendor contact person's telephone number.
Vendor Contact Title	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Title of vendor's contact person.

<i>Data Element</i>	<i>Description</i>
Vendor Days of Operation	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Days on which a vendor operates.
Vendor Federal Tax Identification Number	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's Federal tax identification number.
Vendor Food Inventory Shelf Space	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Amount of shelf space available for food inventory.
Vendor FSP Identification Number	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's Food Stamp Identification number.
Vendor FSP Sanctions	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Code indicating sanctions taken by the Food Stamp program against the vendor.
Vendor Geographic Location	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Description of the physical location of the vendor such as urban, rural, upstate, costal, bush, or island. Used in peer grouping.
Vendor High Risk Peer Group Code	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: A code assigned to a vendor identifying their inclusion in a specific peer group used as part of the high-risk vendor analysis process. These are different peer group codes than the codes used for grouping vendors for cost containment and competitive pricing analysis.
Vendor Hours of Operation	Format Type: Number Data Stores: Vendor Edit/Validation: None Definition: Indicates a vendor's hours of operation.
Vendor Identification Number	Format Type: Alphanumeric Data Stores: Vendor, Administrative Hearing, Complaint, Education Offer, Food Benefit Prescription, Food Instrument, Food UPC, Participant, Sanction, Survey Response, Vendor Authorization, Vendor Compliance Activity Edit/Validation: State- defined code. May be system generated. Definition: Number that uniquely identifies a vendor.

<i>Data Element</i>	<i>Description</i>
Vendor Infant Formula Sources	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Indicates the wholesaler(s), distributor(s), and/or retailer(s) from which the vendor obtains infant formula.
Vendor Geographic Location	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Location of vendor site in terms of geographic position within the state (i.e., urban, rural, suburban)
Vendor Mailing Address-City	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's mailing address city.
Vendor Mailing Address-State	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: Must be a valid state on the State Postal Abbreviation code table. Definition: Vendor's mailing address state.
Vendor Mailing Address-Street	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's mailing address street address.
Vendor Mailing Address-Zip Code	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: Must be a valid Zip code on the Zip code table. Definition: Vendor's mailing address zip code.
Vendor Monitoring Activity Date	Format Type: Date Data Stores: Vendor Monitoring Activity Edit/Validation: Valid date format. Definition: Date activity took place.
Vendor Monitoring Activity Food Inventory Value	Format Type: Numeric Data Stores: Vendor Monitoring Activity Edit/Validation: None Definition: Amount of a specify food type found in a vendor's inventory.
Vendor Monitoring Activity Food Redemption Value	Format Type: Numeric Data Stores: Vendor Monitoring Activity Edit/Validation: None Definition: Dollar value of food benefits redeemed during the activity.
Vendor Monitoring Activity Investigator	Format Type: Alphanumeric Data Stores: Vendor Monitoring Activity Edit/Validation: None Definition: Name of agent performing the monitoring activity.

<i>Data Element</i>	<i>Description</i>
Vendor Monitoring Activity Reason Code	Format Type: Alphanumeric Data Stores: Vendor Monitoring Activity Edit/Validation: Must be a valid code from the Monitoring Activity Reason code table. Definition: Reason for activity.
Vendor Monitoring Activity Task Code	Format Type: Alphanumeric Data Stores: Vendor Monitoring Activity Edit/Validation: Must be a valid code from the Monitoring Activity Task code table. Definition: Defines how compliance is checked (e.g., clerk interview, cleanliness check).
Vendor Monitoring Activity Type Code	Format Type: Alphanumeric Data Stores: Vendor Monitoring Activity Edit/Validation: Must be a valid code from the Monitoring Activity Type code table. Definition: Indicates method by which compliance is checked (e.g., record audit).
Vendor Monitoring Activity Violation Indicator Code	Format Type: Alphanumeric Data Stores: Vendor Monitoring Activity Edit/Validation: Must be a valid code from the Monitoring Activity Violation Indicator code table. Definition: Designates the type of violations that were encountered during monitoring activities.
Vendor Monthly Redemptions	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Amount of vendor's monthly redemptions.
Vendor Name	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Name of the vendor.
Vendor Number of Cash Registers	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Number of cash registers at the vendor store.
Vendor Owner Name- First	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: First name of owner of vendor organization.
Vendor Owner Name- Last	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Last name of owner of vendor organization.
Vendor Owner Name- MI	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Middle initial of owner of vendor organization.

<i>Data Element</i>	<i>Description</i>
Vendor Participant Access Determination Indicator	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Indicates if participant access/hardship is a consideration for this vendor.
Vendor Peer Group Code	Format Type: Alphanumeric Data Stores: Vendor Peer Group Edit/Validation: Must be a valid code in the Peer Group code table. Definition: Indicates the peer group to which a vendor has been assigned for risk analysis.
Vendor Peer Group Description	Format Type: Alphanumeric Data Stores: Vendor Peer Group Edit/Validation: None Definition: Description of the peer group (e.g., Supermarket, Small Vendors, Pharmacy).
Vendor Price Survey Date	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: The date the vendor price survey was submitted.
Vendor Price Survey Food Item Name	Format Type: Alphanumeric Data Stores: Vendor, Food Item Edit/Validation: None Definition: Name of a particular food item used for price analysis (could be a specific brand name or more generic description of a food type).
Vendor Price Survey Food Item Shelf Price	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Shelf price for the food item used for price analysis.
Vendor Referred to Food Stamps	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Indicates whether a WIC violation/sanction has been reported to the Food Stamp program.
Vendor Risk Factor Flag	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Indicates whether a vendor risk factor flag has flagged the vendor as high risk.
Vendor Risk Factor Type Code	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: Must be a valid code in the Vendor Risk Factor Type code table. Definition: Risk factor type codes that indicate high risk vendors.

<i>Data Element</i>	<i>Description</i>
Vendor Risk Level	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: State- defined code. May be system generated. Definition: Risk level of the vendor based on risk factors and algorithms used by the State agency.
Vendor Sales Food	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's annual amount of food sales.
Vendor Sales FSP	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's annual amount of food stamp sales.
Vendor Sales Non-Foods	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's annual amount of non- food sales.
Vendor Sales WIC	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: Vendor's annual amount of WIC food sales.
Vendor WIC Sanctions to Date	Format Type: Numeric Data Stores: Vendor Edit/Validation: None Definition: For State agencies that assign points for WIC violations, represents the total number of points to date for a specific vendor within the WIC authorization period.
Vendor Scanner Availability	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Indicates if a vendor has a scanner to scan prices at check out.
Vendor Scanner Screens WIC Purchases	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: None Definition: Indicates if a vendor uses a scanner to screen WIC purchases.
Vendor Type Code	Format Type: Alphanumeric Data Stores: Vendor Edit/Validation: Must be a valid code in the Vendor Type code table. Definition: Type of vendor (e.g., WIC only, Mom & Pop, etc.).

The following data elements appear in each data store for auditing purposes:

<i>Data Element</i>	<i>Description</i>
Create Date	Format Type: Date Data Stores: All Edit/Validation: System supplied. Definition: Date stamp at the time a record was created.
Create User	Format Type: Alphanumeric Data Stores: All Edit/Validation: System supplied. Definition: User ID stamp for the user that created a record.
Last Modified Date	Format Type: Date Data Stores: All Edit/Validation: System supplied. Definition: Date stamp at the time a record was last modified.
Last Modified User	Format Type: Alphanumeric Data Stores: All Edit/Validation: System supplied. Definition: User ID stamp for the last user to modify a record.





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## **APPENDIX B: GLOSSARY OF ACRONYMS AND TERMS**

## APPENDIX B: GLOSSARY OF ACRONYMS AND TERMS

<b>A</b>	<b>ACH</b>	<i>See Automated Clearinghouse Transaction</i>
	<b>ADP</b>	Automated Data Processing.
	<b>API</b>	<i>See Application Program Interface</i>
	<b>Application Program Interface</b>	A formal specification of a collection of procedures and functions available to a client application programmer. These specifications describe the available commands, the arguments (or parameters) that must be provided when calling the command, and the types of return values when the command execution is completed.
	<b>ARU</b>	<i>See Automated Response Unit</i>
	<b>Automated Clearinghouse Transaction</b>	A method for transferring funds from one bank account to another.

**Automated Response Unit** A designated system for answering telephone calls and providing information to callers via recorded messages, or transferring calls to a customer service center. An automated telephone answering system can provide voice answers to questions using data from the WIC information system. For example, it can be used to remind clients of appointments, respond to client inquiries, and record problem inquiries. The technology is easily adaptable to multi-language use.

**B Backspend** A financial management strategy that supports prior year over expenditures with the use of current year funds.

**BMI** Body Mass Index

**C Caseload** The number of WIC participants that can be supported by a given food grant amount. Generally, caseload management processing includes the translation of food grant dollars into caseload estimates, the collection, and storage of information on caseload allocations to local agencies, and the tracking of actual participation against assigned caseloads.



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<b>Cash-value Voucher</b>	Cash-value voucher means a fixed dollar amount check, voucher, electronic benefit (accessed via EBT card) or other document which is used by a participant to obtain authorized fruits and vegetables.
<b>Category/Subcategory Table</b>	A table that contains the category and subcategory codes used for identifying foods. The category/sub category is a convenient way to electronically identify generic types of food items and link them to specific vendor supplied UPC codes. For example, 18 ounces of JIF Peanut Butter would be category Legumes (Category 06), subcategory Peanut Butter (Subcategory 002), and size 18 ounces. FNS has defined a national category/subcategory table and code structure.
<b>CDC</b>	Centers for Disease Control and Prevention

**Centralized Processing**

A data processing architecture in which the mechanism for processing data (i.e., the Central Processing Unit (CPU)) is located in a single, central environment such as a data center. Typically, various PCs are used to access the processing capability maintained in the central location. The geographically dispersed PCs collect data/transactions locally but send these transactions over a network to be processed by the central CPU. No processing is performed locally on the PC.

**Certification**

The implementation of criteria and procedures to assess and document each applicant's eligibility (categorical; residential; income, including adjunct or automatic income eligibility; and, nutritional risk) for the Program.

**CHIP**

Children's Health Insurance Program

**Civil Money Penalties**

State agencies may assess claims for misuse of program funds against vendors. Monetary payments received from vendors because of assessed sanctions by the vendor management or program integrity staff may be used for food or NSA expenditures.

**Clinic**

A facility in which applicants are certified to participate in WIC.

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<b>CMIA</b>	Cash Management Improvement Act
<b>CMP</b>	<i>See Civil Money Penalties</i>
<b>Compliance Monitoring</b>	The investigation of WIC vendors to ensure that they adhere to WIC regulations. Compliance monitoring may include compliance buys, routine monitoring visits, and vendor record reviews.
<b>Conversions</b>	If approved by FNS, use of food funds for NSA costs. A State agency may also use NSA funds for food funds at any time.
<b>CPA</b>	Competent Professional Authority
<b>CPU</b>	Central Processing Unit
<b>CSE</b>	Child Support Enforcement
<b>CSFP</b>	Commodity Supplemental Food Program
<b>CSHCN</b>	Children with Special Health Care Needs

**CSR** *See Customer Service Representative*

**Customer Service Representative** Customer Service Representatives are responsible for taking telephone calls and providing information and services to clients as needed.

**CVV** *See Cash-Value Voucher*

**D Data Warehouse** A data warehouse is a collection of data in support of management's decision-making process that is subject-oriented; integrated; time-variant; and non-volatile. A data warehouse is generally focused on a business concept (for example, claims statements) rather than a business process (for example, paying claims), and contains all the relevant information on the concept gathered from multiple processing systems. This information is collected and represented at consistent periods of time, and is not changing rapidly (except that new data is added). A data warehouse is a copy of transaction data specifically structured for query and analysis.

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<b>Digitized Signature</b>	A written signature that has been read by a computer scanner and converted into digital data. It is a capability for recording signatures on an electronic device in a digital format. The most common publicly visible use at present is in capturing signature images for credit card purchases in retail stores. More expensive units can be used as one means of electronic identification.
<b>Distributed Processing</b>	A data processing architecture in which the mechanism for processing data (i.e., the CPU) is located at dispersed geographic locations. Both the data collection and the data processing are performed locally. Data for a single system may be processed at many locations. Some systems allow data to be processed locally, but uploaded to a central storage capacity.
<b>DTaP</b>	Diphtheria and Tetanus Toxoids and Acellular Pertussis
<b>DTR</b>	Registered Dietetic Technician.
<b>Dual Participation</b>	Simultaneous participation in the WIC Program in one or more WIC clinic, or participation in the WIC Program and in the CSFP during the same period of time.

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<b>E</b>	<b>EBT</b>	<i>See Electronic Benefits Transfer</i>
	<b>EBT System</b>	For the purposes of the FReD, the term “ <i>the EBT system</i> ” has been used as a generic, technology neutral description to represent the specific system, module, component, API or contracted processor that the State agencies used to support EBT account management, card management, transaction processing, and settlement.
	<b>EDC</b>	Estimated Date of Confinement
	<b>EFNEP</b>	Expanded Food and Nutrition Education Program
	<b>Electronic Benefits Transfer</b>	The use of electronic mechanism to transfer value from a program to a benefit recipient.
	<b>Electronic Cash Register (ECR) System</b>	A system used in retail stores to perform transactions. A typical ECR is composed of various component parts and is networked to a central server maintained at the store or in another location for the chain. The system electronically scans items for purchase, obtains the UPC code and price for the item, adds the item to the cash register receipt, and totals the entire purchase to arrive at a purchase total.

**Encryption**

The method used to protect PIN data by transforming it into cryptographic form. The translation of data by hardware devices or software programs that renders transmitted data unintelligible, thereby protecting the privacy of information.

**Enrollee**

An applicant who has been certified as eligible for WIC benefits, but to whom food benefits have not yet been issued.

**EPSDT**

Early and Periodic Screening, Diagnosis, and Treatment Program

**F**

**FI**

*See Food Instrument*

**FNS**

Food and Nutrition Service

**FNS-798**

The WIC Financial Management and Participation Report (FNS-798) is a report submitted from State agencies to FNS on a monthly basis and for the fiscal year closeout. For closeout, the State agency must report its spending option elections (spendforward/backspend) and also provide a report on categories of NSA expenditures. The data needed for the FNS-798 involves the food and NSA grants, food budget obligation and food and NSA expenditures. In essence, the data that FNS requires is the same data the State agency needs to manage its funds throughout the year.

The FNS-798 report provides FNS with the data needed to calculate unspent funds for reallocation to State agencies and prepare infant formula allocations. FNS needs this data to be on time and accurate to assure that all State agencies receive funding as quickly as possible; otherwise, funding for all State agencies is compromised.

**Food Benefit Prescription**

The specific set of foods prescribed by a nutritionist for an individual WIC participant for a specified period of time.

**Food Instrument**

The printed paper vouchers or food checks that document the specified WIC foods and the amounts of these foods for a specified period of time that have been prescribed for a WIC participant and that can be redeemed at an authorized WIC vendor.



**Food Package** The set of foods recommended for specific categories of WIC participants and/or risk factors. Food packages may be adjusted for individual participants because of special nutritional needs, incomplete benefit periods, etc.

**FSP** Food Stamp Program

**FTE** Full Time Equivalent

**G** **Geographic Information System** A system that processes geographic information such as mapping of geographic points or areas or using mathematical algorithms for measuring distance

**GIS** *See Geographic Information System*

**Graphical User Interface** A user interface to a computer that is graphics-based, rather than textual or command-based.

**GUI** *See Graphical User Interface*

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<b>H</b>	<b>Head of Household</b>	An adult assigned to the family/household that is typically the main point of contact. This may be a participant, caregiver, or proxy.
	<b>High Risk Participant</b>	A WIC participant with specific nutrition risks that require additional monitoring and education.
	<b>High Risk Vendor</b>	A vendor identified as having a high probability of committing a vendor violation through application of the criteria established in Sec. 246.12(j)(3) and any additional criteria established by the State agency.
	<b>HOH</b>	<i>See Head of Household</i>
<b>I</b>	<b>Information System</b>	The information system is the software application that automates WIC processing.
	<b>Integrated Circuit Chip/Smart Card</b>	A card into which one or more integrated circuits is inserted. A smart card with an integrated circuit chip is able to perform data processing such as calculations or data storage and retrieval on-board the card.
	<b>IS</b>	<i>See Information System</i>

**K Kiosk**

A public access terminal, located at various locations within the community, at which users may access one or more computer applications. The kiosk may provide access to an application housed in a central data processing facility, based on the Internet, or resident locally in the central processing unit of the kiosk. A kiosk typically has an enclosure with light box, a touch screen display, a printer, a PIN pad, card reader (if used for a card application), a CPU or PC, and a power supply. Both freestanding and desktop versions may be used. Often touch-screen technology that prompts the client to select a function by touching an option displayed on the screen is used. To be effective, kiosk applications must be straightforward, easily learned and understood without training, and usable by most or all of the intended audience with little or no training.

**L LMP**

Last Menstrual Period

**Local Agency**

(a) A public or private, nonprofit health or human service agency which provides health services, either directly or through contract, in accordance with Sec. 246.5; (b) an IHS service unit; (c) an Indian tribe, band or group recognized by the Department of the Interior which operates a health clinic or is provided health services by an IHS service unit; or (d) an intertribal council or group that is an authorized representative of Indian tribes, bands or groups recognized by the Department of the Interior, which operates a health clinic or is provided health services by an IHS service unit.

**M** **Magnetic Ink Character Recognition**

Ink that has a magnetic content used on documents that can be scanned into a reader to recognize characters. For example, used on personal checks, food instrument checks/vouchers.

**Magnetic Stripe Cards**

Consist of a card, usually with human-readable characters and/or imprinted characters on the front and a machine-readable magnetic stripe on the back. The magnetic stripe usually contains identification and security information. Sometimes also contains other very limited information. Normally requires that the card device have real-time access to a host system if it is to function properly. Credit cards are the most commonly seen form.

**MDS**

Minimum Data Set

**MICR**

*See Magnetic Ink Character  
Recognition*

**N**

**NTE**

Not to Exceed amount

**NSA Grant**

Nutrition Services and Administration  
Grant



## **Offline**

A technology used for WIC EBT in which participants' WIC prescriptions are stored directly on the EBT card in the memory of an integrated silicon chip, or smart card. All transaction processing occurs at the vendor location. The participant's WIC prescription is obtained directly from the client's card during transaction processing, and information regarding the transaction is stored onsite on a server within the vendor location. The remaining balance on the participant's WIC EBT card is updated following the completion of the transaction. On a daily basis, a batch file containing the details of the WIC transactions performed at the vendor for the day is transmitted to the EBT host system for payment processing.

No telecommunications setup is necessary for in-lane transactions; however telecommunications are required for regular batch processing to upload transaction data and download approved UPC data and hot card information. WIC vendors will require equipment to read smart cards if not already installed.

## **OLAP**

*See Online Analytical Processing*

## **Online Analytical Processing**

Technologies that allow the user to construct queries "on-the-fly" that build upon preceding queries and are modified in real time depending on the results of the previous analysis.

## **Online**

A technology used for WIC EBT in which the WIC prescription is stored in a household account in a central database (the EBT host system). A magnetic stripe card, similar to a debit card, is issued to the participant to access their account balance on the EBT host system online, real-time in the checkout lane.

To complete a purchase transaction, UPCs, quantities, and prices of food items being purchased are transmitted to the EBT host system, where the processing occurs. Because of the complex nature of a WIC transaction, several messages between the card reader and the host occur as part of the completion of a single purchase transaction. Online WIC EBT transactions require a telecommunications connection between the store and the host system at the time of the transaction.

## **P**

### **PAN**

*See Primary Account Number*

### **Participant**

[A] pregnant woman, breastfeeding woman, postpartum woman, infant, or child who is receiving supplemental foods or food instruments under the Program, the breastfed infant of a participating breastfeeding woman, and a breastfeeding woman who did not receive supplemental foods or food instruments but whose infant received supplemental foods or food instruments.

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<b>Participant Care Plan</b>	An individualized plan set up for each WIC participant that tracks health and nutrition goals, suggested nutrition education, and desired outcomes from the WIC program for individual participants over time.
<b>Password</b>	Confidential authentication information, usually composed of a string of characters used to provide access to a computer resource.
<b>Patient Flow Analysis</b>	An analysis of participant flow data to identify problems in clinic flow, determine staffing and space needs, or track clinic costs per participant visit. Using quantitative flow data may result in reduced waiting time in the clinic, more equitable distribution of staff workload, ability to serve more caseload, improvement in the quality of services provided, or reduced operating costs.
<b>PC Report</b>	Federal Participant Characteristics Report that is prepared every two years from a Minimum and Supplemental data set transmitted by the State agency to FNS. The data set contains a census of specific participant data items for the month of April.
<b>PedNSS</b>	Pediatric Nutrition Surveillance Systems. A CDC system to which participant data is transmitted.



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<b>Peer Group</b>	A vendor peer group is a subset of approved vendors of similar characteristics (size, location, or client population).
<b>PFA</b>	<i>See Patient Flow Analysis</i>
<b>PLU</b>	Price Look Up code
<b>PNSS</b>	Pregnancy Nutrition Surveillance System. A CDC system to which participant data is transmitted.
<b>Point of Sale Terminal</b>	An electronic hardware device used at the retail point of sale and designated to accept cards, that, when activated by a cardholder through use of an EBT card, is capable of initiating a request for authorization of a purchase or balance inquiry from an WIC EBT card or account.
<b>POS</b>	<i>See Point of Sale Terminal</i>
<b>Post-edit</b>	A method for screening redeemed food instruments for validity in which a screening is performed after the vendor is paid. If errors are found, the vendor is billed for any food instruments that are deemed to be invalidly transacted or, when the NTE has been exceeded, for the amount in excess of the NTE.

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<b>Potentially Eligible</b>	A person that may be eligible to participate on WIC.
<b>PP</b>	Postpartum Woman
<b>Pre-edit</b>	A method for screening redeemed food instruments for validity in which the screening is usually performed before the vendor is paid, and the vendor is only paid for valid food instruments. In cases where the NTE has been exceeded, the vendor typically is paid for the food instrument, but only up to the NTE amount. The vendor is notified of any food instruments that were not paid and the reason, and given an opportunity to resubmit the food instrument with an explanation.
<b>Primary Account Number</b>	A unique identifying number used to reference a financial account.
<b>Proxy</b>	Any person designated by a woman participant, or by a parent or caretaker of an infant or child participant, to obtain and transact food instruments or to obtain supplemental foods on behalf of a participant. Parents or caretakers applying on behalf of child or infant participants are not proxies. Proxies must be designated consistent with the State agency's procedures established according to the WIC Program regulations.

## R

**RD**

Registered Dietician

**Rebate**

A discounted amount of the purchase price of a WIC item that is returned to the State Agency on each item for which there is a rebate contract in place with a given manufacturer. The State Agency bills the manufacturer either for the estimated or actual amount of rebated products purchased (usually monthly), depending on the capabilities of the WIC information system.

**RN**

Registered Nurse

**Rolling Month**

A method for tracking dates in the system (such as certification period or food benefit availability dates) in which the period starts on any date of the month and continues through to the same or similar (depending on the number of days in the month) date the next month.

## S

**Sanction**

An action taken against a party (vendor, participant) who is not in compliance with WIC regulations.

**S&B**

Salaries and Benefits

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<b>SAM</b>	State Agency Model
<b>SDS</b>	Supplemental Data Set
<b>SCHIP</b>	State Children's Health Insurance Program
<b>Smart Card/Integrated Circuit Chip</b>	A card into which one or more integrated circuits is inserted. A smart card with an integrated circuit chip is able to perform data processing such as calculations or data storage and retrieval on-board the card.
<b>SNP</b>	Special Nutrition Programs
<b>SOAP</b>	Subjective, Objective Assessment Plan
<b>Spendforward</b>	A financial management strategy that supports current year expenditures by using prior year unspent funds.
<b>Static Month</b>	A method for tracking dates in the system (such as certification period or food benefit availability dates) in which the period starts on the first of the month each month.

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<b>T</b>	<b>TANF</b>	Temporary Assistance for Needy Families
	<b>TIP Report</b>	The Integrity Profile, an annual report about WIC vendors required by FNS that includes vendor characteristics, training, compliance activities, and sanctions.
<b>U</b>	<b>Universal Product Code</b>	The code used to identify retail items, including WIC approved items. It is represented by a bar code, which can be scanned to obtain the UPC.
	<b>UPC</b>	<i>See Universal Product Code</i>
	<b>UPC Table</b>	The database at that contains the UPCs of all items authorized for WIC purchase. A local UPC table can be maintained on POS or ECR terminals.
<b>V</b>	<b>Vendor</b>	A retailer authorized by the WIC program to sell WIC foods and redeem WIC food benefits.

**Verification of Certification**

A VOC is a paper or electronic document that carries a participant's certification data to be used to verify that the participant has already been certified by another local agency when the participant moves to a new location. A VOC provides proof of certification so that the new local agency can immediately serve the participant until the end of his/her certification period.

**VOC**

*See Verification of Certification*

**W**

**Web-Based Data Collection**

A computer application that presents a data entry form via the Internet. A web browser is used to present the web page containing the data collection form to the user who can then enter data directly into the form displayed on the web page. The data collected through this form can be reformatted or translated and transmitted via a network to other data processing systems.

**WIC**

Special Supplemental Nutrition Program for Women, Infants and Children.

**WIC A50 Vendor**

Vendors Whose WIC Sales Are More Than 50 Percent of Their Total Food Sales

## **APPENDIX C: REQUIREMENTS TRACEABILITY MATRIX**

#	Requirement	Base Function	EBT Ready Function
<b>3.1</b>	<b>Certification</b>		
<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		
<b>3.2</b>	<b>Nutrition Education, Health Surveillance, and Referrals</b>		
<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		
<b>3.3</b>	<b>Food Management</b>		
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
<b>3.4</b>	<b>Food Benefit Issuance</b>		
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
<b>3.5</b>	<b>Food Benefit Redemption, Settlement and Reconciliation</b>		
<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
<b>3.6</b>	<b>Financial Management</b>		
<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		
<b>3.7</b>	<b>Caseload Management</b>		
<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		
<b>3.7.2</b>	<b><i>Allocate Caseload</i></b>		
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		
<b>3.7.3</b>	<b><i>Monitor Caseload</i></b>		
3.7.3.1	Track Actual Participation	X	
3.7.3.2	Conduct Caseload Reallocations		
<b>3.8</b>	<b>Operations Management</b>		
<b>3.8.1</b>	<b><i>Monitor Administrative Operations</i></b>		
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		
<b>3.8.2</b>	<b><i>Manage Participant Outreach</i></b>		
3.8.2.1	Maintain Outreach List for Local Agencies		
3.8.2.2	Track Outreach Campaign Activities		
<b>3.8.3</b>	<b><i>Monitor Customer Service</i></b>		
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		
<b>3.8.4</b>	<b><i>Provide Survey Capability</i></b>		
3.8.4.1	Monitor Participants' Views of WIC Program Services		
<b>3.8.5</b>	<b><i>Maintain Inventory</i></b>		
3.8.5.1	Maintain Inventory of Serialized Items		
3.8.5.2	Maintain Inventory of Non-Serialized Items		
<b>3.8.6</b>	<b><i>Monitor Program Integrity</i></b>		
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		
<b>3.9</b>	<b>Vendor Management</b>		
<b>3.9.1</b>	<b><i>Manage Vendor Peer Groups</i></b>		
3.9.1.1	Establish Vendor Peer Groups		

#	Requirement	Base Function	EBT Ready Function
3.9.1.2	Update Vendor Peer Group/Criteria		
<b>3.9.2</b>	<b>Create and Locate Data Records</b>		
3.9.2.1	Create New Applicant Record		
3.9.2.2	Search for Vendor Record		
<b>3.9.3</b>	<b>Maintain Vendor Authorizations</b>		
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	
<b>3.9.4</b>	<b>Monitor Vendor Training</b>		
3.9.4.1	Track Scheduled Vendor Training	X	
3.9.4.2	Track Attendance at Vendor Training and Technical Assistance Conducted		
<b>3.9.5</b>	<b>Support Vendor Communications</b>		
3.9.5.1	Produce Correspondence to Vendors		
<b>3.9.6</b>	<b>Perform Confidential High Risk Vendor Analysis</b>		
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
<b>3.9.7</b>	<b>Track Compliance Investigations</b>		
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		
<b>3.9.8</b>	<b>Track Routine Monitoring</b>		
3.9.8.1	Maintain Routine Monitoring Data	X	
<b>3.9.9</b>	<b>Monitor Sanctions and Appeals</b>		
3.9.9.1	Manage Vendor Sanctions		
3.9.9.2	Monitor and Track CMP Payments		
3.9.9.3	Maintain Vendor Appeal Data		
<b>3.9.10</b>	<b>Coordinate with Food Stamp Program</b>		
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
<b>3.10</b>	<b>Scheduling</b>		
<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		
<b>3.11</b>	<b>System Administration</b>		
<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		
<b>3.12</b>	<b>Reporting</b>		
<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		

## **APPENDIX D: WIC INFORMATION SYSTEM BASE FUNCTIONALITY**

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Point of Certification Data Entry	The information that makes up the participant's certification record is entered directly onto the computer. Optimally, no information is handwritten on paper for data entry onto the computer at a later time, except for when information is collected off-site (i.e. in a nonpermanent location such as a mobile van or other temporary clinic location) where a computer may not be available. A computer is readily available to all staff that has a need to enter information into a participant's certification record.	Certification	3.1.2.1 Maintain Basic Information on Applicant/Participant  3.1.2.3 Determine Adjunct or Automatic Income Eligibility  3.1.2.4 Determine Documented Income Eligibility  3.1.3.1 Maintain Applicant Nutrition and Health Characteristics  3.1.3.3 Capture and Document Blood Test Results

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Associate Family Members	Clinic staff enters information that applies to all family members into the system only once. The system automatically updates or modifies the participant records of all associated family members by linking the common family ID. The statewide family ID is used to facilitate coordination of certification periods for family members, transferring families within the system, and food package tailoring when several family members are eligible to receive the full package.	Certification	3.1.2.1 Maintain Basic Information on Applicant/Participant
Dual Participation Reporting	The local worker has access to statewide data to determine whether a duplicate record exists on an individual who is newly certified for WIC. In an on-line system, the information is available immediately. In a distributed system, preliminary demographic data is recorded in the system. The information is matched against the database periodically to identify clinics where the applicant may already be participating.	Certification Reporting	3.1.2.2 Screen Applicant for Prior Enrollment  3.12.1.1 Generate Standard Reports
Income Eligibility	Based on information provided by applicants and established income eligibility guidelines, the system calculates the applicant's income and flags individuals whose income exceeds program standards. For those determined to be eligible, the system automatically stores the information in the participant's certification record. Where the applicant is determined eligible based on adjunctive income eligibility, this information is also stored in the system.	Certification	3.1.2.3 Determine Adjunct or Automatic Income Eligibility  3.1.2.4 Determine Documented Income Eligibility



<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Source of Income	The system is used to document the source of income information (i.e. pay stubs, letter from Medicaid, etc.).	Certification	3.1.2.3 Determine Adjunct or Automatic Income Eligibility  3.1.2.4 Determine Documented Income Eligibility
Automated Growth Charts	Height, weight, and head circumference (for infants) are entered into the system and the system graphically plots the individual's growth and/or provides the nutritionist with the calculated percentiles.	Certification	3.1.3.2 Calculate Body Mass Index and Produce Automated Growth Chart
Nutrition Risk and Priority Status	Based on the nutrition and health information entered into the system by the CPA, and the priority system established by Program regulations, the system assigns the participant a nutrition risk code and assigns a priority level. Where multiple risk factors exist, the system stores risk factors for each participant and assigns the highest applicable priority. At the State agency's discretion, the CPA may override the code generated by the system.	Certification	3.1.3.4 Determine Nutrition Risk and Calculate Priority
Certification Period	The system automatically calculates the date the certification is due to expire for each participant.	Certification	3.1.4.2 Certify Applicant

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Assign a Food Prescription	The system supports this function by allowing the CPA to select a food package for issuance to a participant from a table of standard, pre-defined packages. However, the certifying official has the flexibility to tailor a standard package or develop a new package from scratch by quickly selecting food items from a table to construct the package. The system is programmed with edits that prevent the user from issuing foods that are disallowed or quantities of food that exceed the regulatory limit based on participant category.	Certification  Food Management	3.1.5.1 Select and Tailor Food Prescription  3.3.2.2 Set up and Maintain Food Package Data
Transfer of Certification	The system enables local staff to easily transfer the participant from one agency to another. To facilitate transfers within the State, the system maintains statewide data on all certified participants. The staff at the participant's new location are able to access the participant's file via the statewide family identification number to find out what foods were issued at the former local agency and when they were last issued as well as other information useful in providing continued health and nutrition related services.	Certification	3.1.6.3 Process In-State Transfers
Track Nutrition Education Contacts and Topics Covered	The system captures the nutrition education provided to each program participant throughout the certification period as well as nutrition education topics covered during nutrition education training.	Nutrition Education, Health Surveillance, and Referrals	3.2.1.2 Track Nutrition Education Contacts and Topics Covered

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Track Referrals To Other Programs	The system captures the name of the programs to which the participant was referred.	Nutrition Education, Health Surveillance, and Referrals	3.2.2.1 Track Incoming and Outgoing Referrals
Price Editing For Excessive Charges	The system assigns a maximum value for each food instrument type. Once the food instrument is redeemed, the system automatically checks the redeemed price against the maximum value and rejects any food instrument exceeding the maximum amount.	Food Management  Food Benefit Redemption, Settlement and Reconciliation	3.3.3.2 Establish Food Instrument Not-to-Exceed Amounts  3.5.1.2 Perform Edits and Authorize Vendor Payment
Print All Food Instruments for All Members Within a Family	The system allows the user to print all of the food instruments for all members within a family when the parent or guardian is present for pickup. This is possible because the system is programmed to associate all family members with a family group ID. Upon command, the computer sorts the food instruments by family, grouping instruments for each individual within the family, and prints those food instruments associated with the family when they are present for pickup.	Food Benefit Issuance	3.4.1.2 Print Food Instruments

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Issue Benefits on-Demand	<p>Printing is done for each participant at the time the participant is present to pick up the food instruments. With this system there is no need to fill out a food instrument by hand or to print any food instruments in advance. The printing of food instruments on-demand reflects the most recent food package prescribed for the participant, and may include adjustments to the food package recorded in the system before printing to reflect late pickup of the instruments, as well as other anticipated changes such as category change (i.e., infant to child). This approach to printing food instruments is also used to reissue food instruments that are lost or stolen from the client.</p> <p>To support this function, the WIC information system prints the food instruments corresponding to the selected participant's food package, identifies the valid period for the instrument, and maintains a record of food instruments issued. Each food instrument issued (with the exception of prorated food instruments) is valid for one month that, depending on State program policy, may be either a calendar month, or a month that starts with the issue date of the instrument. The system also retains internal records of all food instruments issued to support subsequent food instrument reconciliation and provides a complete audit trail.</p>	Food Benefit Issuance	<p>3.4.1.1 Prepare Individual Food Instruments</p> <p>3.4.1.2 Print Food Instruments</p> <p>3.4.1.3 Process Food Instrument Changes</p>

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Perform Reconciliation	<p>Issuance information includes the name of the participant, the participant’s ID, the food instrument serial number, the food package prescribed, the date the food instrument was issued, the date the food instrument expires, and the estimated value of the food instrument. Redeemed food instruments are processed through regular banking channels or through the State payment system for payment to the vendor’s account. Each food instrument redeemed is matched with the issuance data maintained in the system, and a monthly report is produced that shows a summary of the disposition of food instruments and expenditures.</p> <p>The summary shows the number of food instrument redeemed, voided because they expired, were never issued, or because they were replaced; unclaimed because the participant failed to pick up the food instrument at the clinic, issued but unredeemed because the participant failed to redeem the food instrument they received, or unmatched because the serial number did not match with the serial number of the food instrument issued. The unmatched food instruments appear in an exception file, and the State agency must follow up on each one to ensure it was properly issued. With the use of on-demand food instrument printing, these unclaimed, voided, and unmatched food instruments are significantly reduced. On-demand benefit issuance enables greater food instrument control and accountability. With this system nearly all food instruments redeemed can be reconciled with issuance information.</p>	<p>Food Benefit Issuance</p> <p>Food Benefit Redemption, Settlement and Reconciliation</p>	<p>3.4.1.1 Prepare Individual Food Instruments</p> <p>3.4.1.2 Print Food Instruments</p> <p>3.5.2.1 Retrieve Food Issuance File</p> <p>3.5.2.2 Retrieve the Food Instruments Redeemed File and Reconcile with Issuance File</p>

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Identify Redeeming Vendor	The system is designed to accept basic transaction information pertaining to each authorized retailer either at the time of issuance (i.e., vendor-specific food instruments) or at the time of payment. Transactions are related to the vendor performing the redemption.	Food Benefit Redemption, Settlement and Reconciliation	3.5.1.1 Compile File of Transaction Data
Rebate Billing Report(S)	Based on redemption data, the system produces a report that shows the number of cans of formula purchased by brand name and by type, and the month the food instrument was valid for participant use. In addition, the number of full versus partial infant formula packages can be identified. The system also provides rebate billing reports for rebated foods other than infant formula.	Financial Management  Reporting	3.6.3.2 Calculate Rebate and Prepare Invoice  3.12.1.1 Generate Standard Reports
Participation Report(S)	The system produces reports that summarize the number of participants served during a specified time period, (e.g., month) and for a specified area (e.g., statewide, agency, clinic). This information is used for caseload management and funds management.	Caseload Management  Reporting	3.7.3.1 Track Actual Participation  3.12.1.1 Generate Standard Reports

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FRd Section</i>
The Integrity Profile (TIP)	The WIC information system produces report data in accordance with the existing specifications, and produces other vendor management reports deemed necessary by the State agency.	Vendor Management  Reporting	3.9.3.4 Authorize Vendors  3.9.3.5 Maintain Authorized Vendor Data  3.9.4.1 Track Scheduled Vendor Training  3.9.7.3 Maintain Compliance Investigation Data  3.9.8.1 Maintain Routine Monitoring Data  3.12.1.1 Generate Standard Reports
High Risk Vendor Detection System	The system supports this function by flagging high-risk vendors based on suspicious redemption patterns. See functional description in Section 3 of the FRD.	Vendor Management	3.9.6 Perform Confidential High Risk Vendor Analysis
Participant Health Datasets	The system produces data tapes for use in the biennial report to Congress on WIC Program and Participant Characteristics and files for use in the CDC Pediatric Nutrition Surveillance System (PedNSS) and Pregnancy Nutrition Surveillance System (PNSS).	Reporting	3.12.1.1 Generate Standard Reports

<b>WIC INFORMATION SYSTEM BASE FUNCTIONALITY</b>			
<i>Base Function</i>	<i>Description</i>	<i>Functional Area(s)</i>	<i>FReD Section</i>
Ad Hoc Reporting	<p>The system is designed so data can be easily accessed. State agencies archive static information that does not need to be stored on the WIC information system but will be needed for future program management. Data systems are designed to store, retrieve and analyze data along a number of dimensions, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Caseload management</li> <li>• Budget forecasting</li> <li>• Employee and participant fraud detection</li> <li>• Nutrition Monitoring</li> </ul>	Reporting	3.12.2.1 Conduct Ad Hoc Queries and Generate Reports
Certification Data Maintained in a Central System	Participant certification data are sent to the central computer facility electronically either in real time or batched mode. Paper forms are not sent through the mail.		



## **APPENDIX E: ELECTRONIC BENEFITS TRANSFER SYSTEMS**

**Appendix E is coming soon!**

## **APPENDIX F: POLICY/DATA REFERENCE INFORMATION**

<b>FEDERAL POLICY AND DATA REQUIREMENTS REFERENCED</b>		
<i>Topic</i>	<i>Policy or Requirements Documentation</i>	<i>Location/Website Address</i>
Blood work requirements	CFR Title 7 Part 246.7 - Certification of Participants	<a href="http://www.access.gpo.gov/nara/cfr/waisidx_07/7cfr246_07.html">http://www.access.gpo.gov/nara/cfr/waisidx_07/7cfr246_07.html</a>
Food Package Interim Rule	CFR Title 7 Part 246.7 - Revisions in the WIC Food Packages (12/06/2007)	<a href="http://www.fns.usda.gov/wic/regspublished/foodpackages-interimrule.htm">http://www.fns.usda.gov/wic/regspublished/foodpackages-interimrule.htm</a>
Nutrition risk codes	CFR Title 7 Part 246.7 - Certification of Participants	<a href="http://www.access.gpo.gov/nara/cfr/waisidx_07/7cfr246_07.html">http://www.access.gpo.gov/nara/cfr/waisidx_07/7cfr246_07.html</a>
EBT electronic VOC specifications		Policy is available upon request
National Category/Subcategory List		Reference docs and presentations available upon request
National UPC Database		Reference docs and presentations available upon request
WIC 50 % and above vendors/cost neutrality	WIC Vendor Cost Containment - Interim Rule	<a href="http://www.fns.usda.gov/wic/regspublished/vendorcostcontainmentinterimrule.htm">http://www.fns.usda.gov/wic/regspublished/vendorcostcontainmentinterimrule.htm</a>

<b>FEDERAL POLICY AND DATA REQUIREMENTS REFERENCED</b>		
<i>Topic</i>	<i>Policy or Requirements Documentation</i>	<i>Location/Website Address</i>
Rules related to flexibilities that impact State budget and expenditure planning	Back Spend and Spend Forward Authority – 7 CFR 246.16(b)(3) 1/6 <sup>th</sup> Nutrition Education and Breastfeeding Promotion and Support Spending Requirements – 7 CFR 246.14(c) NSA 10% and food 97% Performance Standards – 7 CFR 246.16(e)(2) Conversion authority – 7 CFR 246.16(f) through 7 CFR 246.16(h)	<a href="http://www.access.gpo.gov/nara/cfr/waisidx_06/7cfr246_06.html">http://www.access.gpo.gov/nara/cfr/waisidx_06/7cfr246_06.html</a>
Information on NSA reporting requirements	7 CFR 246.25(b)(1) and 7 CFR 246.25(b)(2)(ii)	<a href="http://www.access.gpo.gov/nara/cfr/waisidx_06/7cfr246_06.html">http://www.access.gpo.gov/nara/cfr/waisidx_06/7cfr246_06.html</a>
Vendor peer groups	WIC Vendor Cost Containment - Interim Rule	<a href="http://www.fns.usda.gov/wic/regspublished/vendorcostcontainmentinterimrule.htm">http://www.fns.usda.gov/wic/regspublished/vendorcostcontainmentinterimrule.htm</a>

<b>FEDERAL POLICY AND DATA REQUIREMENTS REFERENCED</b>		
<i>Topic</i>	<i>Policy or Requirements Documentation</i>	<i>Location/Website Address</i>
Correspondence to vendors regarding investigations	Discretionary Vendor Provisions of the Child Nutrition and WIC Reauthorization Act of 2004, P.L. 108-265 - Proposed Rule	<a href="http://www.fns.usda.gov/wic/regspublished/discretionaryvendorprovisions-proposedrule.htm">http://www.fns.usda.gov/wic/regspublished/discretionaryvendorprovisions-proposedrule.htm</a>
Information on sanctions for vendor violations and CMPs	Discretionary Vendor Provisions of the Child Nutrition and WIC Reauthorization Act of 2004, P.L. 108-265 - Proposed Rule	<a href="http://www.fns.usda.gov/wic/regspublished/discretionaryvendorprovisions-proposedrule.htm">http://www.fns.usda.gov/wic/regspublished/discretionaryvendorprovisions-proposedrule.htm</a>
Requirements for The Integrity Profile (TIP) Report	The Integrity Profile (TIP) report	<a href="http://www.fns.usda.gov/wic/resources/">http://www.fns.usda.gov/wic/resources/</a>
WIC Program Participant Characteristics Minimum and Supplemental Data sets for FNS (PC Report)	Guidance For States Providing Participant Data	<a href="http://www.fns.usda.gov/wic/resources/">http://www.fns.usda.gov/wic/resources/</a>
Reports for Centers for Disease Control and Prevention – PedNSS, and PNSS	PedNSS and PNSS User's Guides	<a href="http://www.cdc.gov/pednss/additional_tools/pnss_users_guide/index.htm">http://www.cdc.gov/pednss/additional_tools/pnss_users_guide/index.htm</a> and <a href="http://www.cdc.gov/pednss/additional_tools/pednss_users_guide/index.htm">http://www.cdc.gov/pednss/additional_tools/pednss_users_guide/index.htm</a>

## **APPENDIX G: COMPARISON OF WIC INFORMATION SYSTEM**

**Appendix G is coming soon!**