

WIC Post-Implementation Review Checklist

GENERAL

- Purpose of Visit
- Proposed Activities

PROGRAM

- Automated Policy
- Certification
- Nutrition Education & Health Surveillance
- Food Instrument Production
- Payment and Reconciliation
- Vendor Management

MANAGEMENT

- Caseload Management
- Operations Management
- Integration, Information Sharing and Referrals
- Financial Management
- Training
- Systems Security
- Systems Maintenance
- System Documentation
- Data Center Controls
- Mainframe Security
- Hardware & Software Inventory Template

FUNDING

- ADP Cost Template

DOCUMENTATION

- Documentation Checklist

LOCAL AGENCIES

- Recommended Review Format

WIC POST-IMPLEMENTATION REVIEW

PURPOSE OF VISIT

- Evaluate the capabilities of the system.
- Does it reflect the same system described and approved in the APD?
- Are the equipment and services FNS provided with funding being properly used to

support FNS programs?

- Document any changes from the intent of the APD and their cause.
- Determine the accuracy and timeliness of reports and system responses.
- Determine actual cost and cost-effectiveness of the system.
- Evaluate the billing procedure used by the computer center if distributing costs to the users.
- Review system security. (Application Software)
- Evaluate data retention procedures.
- Review extent and effectiveness of procedures and standards and if program flow and interfaces are documented and work properly.
- Review input procedures - error or rejection rate analysis.

WIC POST-IMPLEMENTATION REVIEW

RECOMMENDED ACTIVITY

1. Entrance Conference
2. Overall System and Status interview
3. Policy/Certification Interview
4. System Demonstration/Question & Answer Period (*Access to the local agency system software with state person available*) .
5. Interview the help desk personnel
6. Vendor Management Review
7. Review Reports (*Need State staff who pulls reports to demonstrate what reports, when, who uses, etc.*)
8. Meet with the Nutrition Staff (*Need to Review Nutrition Reports*)
9. Management
 - Food Instrument Production
 - Payment and Reconciliation
 - Caseload Management
 - Operations Management
 - Integration, Information Sharing, Referrals
 - Financial Management
 - Training
10. Visit small Local Agency
11. Visit medium Local Agency
12. Visit large Local Agency
13. Meet with Information Technology staff and perform security review
14. Tour of Computer Center (*Review Security, Operational Documentation, Disaster Recovery Controls and Access Control*)
15. Review all Documentation
16. Exit conference

WIC POST-IMPLEMENTATION REVIEW

AUTOMATED POLICY

- ◇ Does the system allow for the issuance of FI's until the end of the month of expiration of a cert period? _
- ◇ Does the system allow for the updating of nutritional risk criteria and subsequent upgrading in priority during the middle of a certification period?
 - ◇ Change priority to a higher priority?_
 - ◇ Change priority to a lower priority?_
- ◇ Will the system prevent you from issuing an inappropriate food package for that category?_
- ◇ Does it bring up an error message?_
- ◇ Does the system allow for the change of a food package in the middle of the month?_
 - ◇ Is this for the entire month's food prescription?_
 - ◇ Is it prorated when the participant returns?
- ◇ Does the system allow you to override a prorated food package?
- ◇ Can the system determine a participant as adjunctively eligible even though they are merely a member of a family of a participant on TANF or Medicaid without the participant being considered as a recipient of those Program benefits?
- ◇ Will the system allow an TANF or Medicaid eligible participant to become WIC income eligible if they are over WIC income eligibility guidelines due to adjunctive eligibility?
- ◇ Does the system allow for other bordering State's names to be entered, overriding the State name for participants from other States to participate?_
- ◇ Does the system allow for a priority VII?_
- ◇ Does the participant have to know their ID number when it's an interstate transfer?
- ◇ How is this obtained?_
- ◇ Does the system generate a VOC card?_
- ◇ Does it meet USDA's requirements?_

- ◇ Is it used interstate as well as out-of-state?
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- ◇ Does the system allow for a certification form?
- ◇ Does it contain all USDA required information?
- ◇ Does the system allow for electronic signatures of CPA, Nutrition Clerk for determination of nutritional risk criteria, food prescription, and income determination?
- ◇ If not, is there a form for the signature and title of the staff person responsible for these functions?_
- ◇ Is access restricted by function?
- ◇ Is there a form for the participant/guardian to sign and date acknowledging the Rights and Responsibilities?_
- ◇ When the category changes in the middle of a certification period can the priority be changed to reflect the change?
- ◇ Change priority to a higher priority?_
- ◇ Change priority to a lower priority?
- ◇ Does the participant have to begin a new certification period for this status change?_
- ◇ Does the system allow for issued checks to be voided and reissued in the same month to accommodate changes in infant formula exchanges within a month?_
- ◇ Can the maximum amount of a check be varied to allow for high cost infant formulas? (Up to 9999.99)
- ◇ For reporting purposes, How does the system count infants? (At 11mos., 12mos., or 13mos?) (Definition of Infant - up to and including the month infant turns one year.)
- ◇ Does the system automatically change an infants food package to a child's? At what age?
- ◇ Does the system report participation category
- ◇ (infant vs. child) consistent with the food package issued for that particular month?
- ◇ 13 month old receiving an infants food package?
- ◇ How does the system maintain applicant information when the participant is not placed on the program at the time of application?
- ◇ What happens to the data of an applicant that never returns to the program to be certified?

WIC POST-IMPLEMENTATION REVIEW

CERTIFICATION

Does the system store the following basic eligibility information for each client:

- ◇ Date of Initial Visit
- ◇ Telephone Number_
- ◇ Annual Income or Range_
- ◇ Date of Birth_
- ◇ Nutritional Risk Factor
- ◇ Is there a limit to the number of risk factors
- ◇ Participation in TANF/Food Stamps/Medicaid_
- ◇ Family Members on Programs
- ◇ Participant on Programs_
- ◇ Residential Status_
- ◇ Initial Certification Date (Current Pregnancy for Women and First Ever for Infants and Children)
- ◇ Certification Date_
- ◇ Termination/Ineligibility Reason_
- ◇ Client Name_
- ◇ Address_
- ◇ Category Code
- ◇ Code for breastfed only infants
- ◇ Household Size (Total)_
- ◇ How many on WIC_
- ◇ Migrant Status_
- ◇ Racial Ethnic Code_
- ◇ Sex_
- ◇ Transfers_
- ◇ a) Interstate_
- ◇ b) Intrastate_
- ◇ Proxy Name(s)_
- ◇ End of Certification Date_
- ◇ Date of Anthropometric/Bloodwork (if different than certification date)_

Edit for:

- ◇ Day Timeframe from Health Data Collection to Certification
- ◇ Day Option for Pregnant Women?
- ◇ Employment Status_
- ◇ Language Spoken_

Does the system store the following information on each client:

- ◇ Identification (Client/Mother SSN)_
- ◇ Education Level_
- ◇ Marital Status_
- ◇ Public Health Assistance_
- ◇ Source of Health Care_
- ◇ Group/Family Code_

- ◇ Proof of Income_
- ◇ Referred From_
- ◇ Referred To
- ◇ Motor Voter (voter registration)

- ◇ Does the system automatically determine income eligibility?
- ◇ Does it sum all income sources?
- ◇ Does it convert weekly, biweekly, monthly to annual?
- ◇ Does it address irregular income?

- ◇ Does the system identify if a participant is income eligible based on adjunctive income eligibility?

- ◇ Does the system store waiting list data for each local agency by client priority level?
For how long?_____
- ◇ Can the system withhold benefits mid-certification?

- ◇ Can the system relate two or more WIC applicants and enrollees from the same family?_

- ◇ Does the system allow a category change from Breastfeeding to Post Partum, mid-certification?

Does the system store the following appointment information?

- ◇ Date_
- ◇ Time_
- ◇ Type_
- ◇ Maximum available Slots_

- ◇ Does the system automatically calculate and assign risk factors?
- ◇ Are all risk factors automated?
- ◇ Can additional risk factors be selected?

- ◇ Does the system make priority assignments?

Does the system provide the following nutritional risk information?_

- ◇ Assign risk codes by comparing client nutrition and health data in order to determine if the client is at nutritional risk_?
- ◇ Will the system analyze height and weight measurements and assign codes?
- ◇ Does it compute BMI?
- ◇ How many risk factors per client will be recorded in the system? _____
 - ◇ Displayed on the screen? _____
 - ◇ On the reports? _____
- ◇ Accurately rank all risk factors?
 - ◇ Ensuring clients are certified for highest risk conditions?_
- ◇ Print reports by risk code?_
 - ◇ By risk factor or code_
 - ◇ By participant group_
 - ◇ By client
- ◇ Can specific risk factors be tagged and summarized?
- ◇ Can the nutritional risk criteria be updated mid-certification?

- ◇ Does the system print an appointment notice for the applicant if the nutritional risk assessment is made for a subsequent visit?
- ◇ Does it produce Mailing labels

Does the system store the following nutrition and health characteristics for each client?

- ◇ Medical Data Date_
- ◇ Height/Length_
- ◇ Birth Length_
- ◇ Hemoglobin_
- ◇ Hematocrit_
- ◇ Weight
- ◇ Birth Weight_
- ◇ EDC Date_
- ◇ LMP Date_

Does the system store the following nutrition and health characteristics?

- ◇ Blood Pressure_
- ◇ EDC Verification_
- ◇ Cigarette Intervention_
- ◇ Medication_
- ◇ Date Last Pregnancy ended_
- ◇ Pregnancy Verification_
- ◇ Total Number of Pregnancies (including current)
- ◇ Pregnancy Outcome
- ◇ Source of Prenatal Care.
- ◇ Date Prenatal Care Began
- ◇ Weight at Labor_
- ◇ Weight Prepregnancy
- ◇ BMI value_
- ◇ Weight Gain During Pregnancy_
- ◇ Delivery Date-Actual_
- ◇ Infant Birth Verification
- ◇ Live Births (Current Pregnancy)_
- ◇ Previous Live Births
- ◇ Total Live Births_
- ◇ Breastfeeding Expectation_
- ◇ I/C-Breastfeeding Duration_
- ◇ I/C-Ever Breastfeeding_
- ◇ I/C-Currently Breastfeeding_
- ◇ I/C-First Formula At_
- ◇ Date of Last Routine checkup or Immunizations (Infants & Children)_

Does the system store any of the following elements?

- ◇ Blood Cholesterol_
- ◇ Blood Lead Value_
- ◇ Blood HIV Virus
- ◇ Cigarettes/Day_

- ◇ Cigarette Smoking
- ◇ HH Smokers
- ◇ Alcohol Use_
- ◇ Drinks/Day_
- ◇ Drink Days/Week_
- ◇ Drug Use_
- ◇ Dietary Deficiency Code_
- ◇ Drug Frequency_
- ◇ Vitamin/Mineral_

- ◇ Does the system retain historical data regarding nutrition and health characteristics?_For how long?_____

- ◇ Does the system include the capability of issuing an identification card?
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- ◇ Does the system issue a Verification of Certification card?
 - ◇ If yes, is it combined with the identification card?_

- ◇ Does the system generate notices for the applicant/enrollee about certification and termination decisions?

- ◇ Does the system notify the WIC staff of enrollees recertification dates?_

- ◇ Does the system provide a printed appointment notice for the enrollee of the scheduled appointment?

- ◇ Does the system produce a listing of dual enrollees?_

- ◇ Does the system produce a report listing dual participants?_

- ◇ If a client transfers between local agencies, is all data readily available to the transferee local agency?

- ◇ Does the system allow for the extension of 30 days of food package issuance beyond the 6-month certification period?

- ◇ Does the system allow for a shortened certification period (i.e., less than 6 mos?)

- ◇ Does the system store the following data?
 - ◇ Client Language Spoken (English, If no Language needed)
 - ◇ Client Education Level

- ◇ Does the system store infant category by month? (So that breastfed only infants will still be counted when they are 4 months old and are receiving their food packages.) Example: In Jan. they are breastfed only infant, in April they are supplemented - When Jan. participation report is pulled in April, is the infant still counted in January?

- ◇ Does the system produce a listing of a participant's historical health data?_

- ◇ Does the system track dietary assessment data?_
 - ◇ Record dietary assessment data_

◇ Calculate dietary assessment data_

Does the system store the following dietary information

- ◇ Food Consumed Type
- ◇ Food Consumed Amount_
- ◇ Food Consumed Cooked_
- ◇ Food Group_

◇ Does the system summarize changes in the WIC population's health status indicators in order to report the overall effectiveness of the program?

◇ Is there ad-hoc reporting capabilities

NUTRITION EDUCATION & HEALTH SURVEILLANCE

Nutrition Education

◇ Does the system maintain a schedule of nutrition education class appointments?_

- ◇ By Class
- ◇ By Category

Does the system store the following data for each nutrition education contact?

- ◇ Appointment Type
- ◇ Appointment Time_
- ◇ Appointment Date
- ◇ Nutrition Education Type_
- ◇ Messages for Follow-up_
- ◇ Content_
- ◇ Who Provided_

Does the system allow for any aspect of care planning?_

- ◇ SOAP Noting
- ◇ Unlimited text
- ◇ Care Plan Outline
- ◇ Unlimited text

◇ Are the participants flagged as high risk for purposes of education?

Does the system maintain:

- ◇ Appointment schedule availability?
- ◇ Appointment Maximum Available Slots?_

- ◇ Does the system track participation in education
- ◇ Appointment Missed Reason?
- ◇ Inability to attend?
- ◇ Refusal-to-attend?
- ◇ Education offered?_
- ◇ Date Education Offered?_
- ◇ Actual Participants Attended?
- ◇ No-shows?_

- ◇ Does the system generate reports of the above?_

◇ Does the system provide a list of individuals and the number of nutrition education contacts they have been offered?

◇ Does the system provide a list of participants by group contacts?

◇ Can the system link participation in group classes back to the client individual file?_

Does the group contact list include the following?_

◇ Date_

◇ Topic_

◇ Instructor

◇ Does the system automatically count the initial visit as a core contact for nutrition education?_

Nutrition Monitoring

◇ Does the system perform individual client health monitoring?

◇ Is the system used to summarize client surveys?

◇ Is the system used to gather data on the client population dietary behavior in order to measure use of knowledge learned through WIC for daily meals?

◇ By Individual?_

◇ By Group?_

Is the system designed to provide compatible population data to any of the following agencies:

◇ Other state level health agencies?

Who? _____

◇ Other local level health agencies

Who? _____

◇ Center for Disease Control?

◇ Does the system capture pediatric (PedNSS) surveillance data for CDC?

◇ Does the system capture pregnancy (PNSS) surveillance data for CDC?

◇ Does the system gather data on the numbers of breastfeeding mothers? (e.g. through PNSS or other state specific systems)

◇ Can it report women up to 6 weeks post-partum as breastfeeding?

Can the system track both breastfeeding initiation and duration? e.g. PedNSS asks:

◇ Is infant breastfed?

◇ Ever breastfed?

◇ How long?

◇ Age in weeks?_

◇ Does the system gather numbers of infants who receive no food package? (Breastfed only infants)

- ◇ Does the system gather data on breastfeeding exclusivity? (For example, it may identify by food package issuance how many infants receive no formula supplementation, limited supplementation, or full formula feeding.)
- ◇ Does the system gather data for evaluation of the use of the food package for exclusively breastfeeding women?
- ◇ Can the system generate relevant Breastfeeding reports?

FOOD INSTRUMENT PRODUCTION

- ◇ Does the system permit on-demand printing of FIs?
- ◇ Does the system maintain a schedule for enrollee food instrument pick-up?
- ◇ Does the system allow a family to schedule the same date and time for food instrument pick-up as its clinic visit?

Does the system store the following information about foods approved by the WIC Program?

- ◇ Food Code_
- ◇ Food Unit Size_
- ◇ Food Name_
- ◇ Food Quantity_
- ◇ Package Identification_
- ◇ Instrument Type Identification_

Does the system store the following information?

- ◇ Package Name/Number
 - ◇ Package Days Late (Proration)
 - ◇ Package Type
 - ◇ Food Instrument Type Classification
 - ◇ Food Instrument Serial Number
 - ◇ Food Instrument Issue Date
 - ◇ Food Instrument Type Days Late
 - ◇ Food Instrument Valid Start Date/End Date
 - ◇ Food Instrument Submit Start and End Dates
 - ◇ Local Agency Receipt Date
 - ◇ Nutritional Risk Factor
 - ◇ Client Identification Number
- ◇ Does the system provide a display of food instrument types to staff to aid in prescribing the appropriate food instruments and defining/revising existing instruments?_
 - ◇ Does the system allow the tailoring of food packages?
 - ◇ Does the system automatically introduce cereal and juice to the infants food package at a specific age?
 - ◇ Does the system allow partial packages for breastfed infants?

- ◇ Does the system automatically reduce food quantities for late pickup?(prorate)_
- ◇ Does the system automatically prorate at the initial issuance?
- ◇ Does the system accommodate infant formula changes in the middle of the month?_
- ◇ Does the system initialize tracking of the serial numbers for preprinted stock using a new counter for each user session?_
- ◇ Does the system calculate the estimated value and maximum value of the food instrument?_
- ◇ Does the system consolidate all food instrument production data from all local agencies within 24 hours of the end of each working day?_
- ◇ Does the system provide the local and state agency with a register of printed food instruments?_
- ◇ Does the system provide the local agency with a hard copy record of issued food instrument, signed by the proxy or enrollee?_
- ◇ Does the system issue food instruments for more than one month?_
- ◇ Does the system stagger issuance dates for food instrument pickup?_
- ◇ Does the system produce any food instruments in advance of pick up?

Does the system store the following food instrument stock data?

- ◇ Stock Batch Number_
- ◇ Batch Starting Serial Number_
- ◇ Batch Ending Serial Number_
- ◇ Batch Local Agency Receipt Date_
- ◇ Batch State Receipt Date_
- ◇ Use/Disposition Date_
- ◇ Vendor Identification Number_
- ◇ Use/Disposition_
- ◇ Food Instrument Actual Cost_
- ◇ Instrument Reject Reason_

Does the system produce the following reports?

- ◇ Food Instrument Stock Inventory Report_
- ◇ Food Instrument Stock Reorder Report
- ◇ Food Instrument Issuance Report by Month
- ◇ Voided Food Instruments by Month
- ◇ How many food instruments does the system print in one certification period?

- ◇ Can this information be printed on a report?

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PAYMENT AND RECONCILIATION

Does the system automatically void food instruments:

- ◇ That have expired_
- ◇ That were unissued_
- ◇ That were unredeemed

- ◇ Does the system identify and account for voided food instruments?_

- ◇ Does the system capture information about manually voided instruments?

- Does the system produce:
 - ◇ A void exception report_
 - ◇ Reconciliation report_
 - ◇ Food instrument history report_
 - ◇ Redemption summary by vendor_
 - ◇ Rejection report/notification letter_
 - ◇ Redeemed but unissued report_
 - ◇ Payment details by vendor_

- ◇ If vendor-specific, does the system reconcile the redeeming vendor identification number against the food instrument vendor identification?

- ◇ Does the system identify those food instruments reported as lost/stolen?_

VENDOR MANAGEMENT

Does the system store the following authorized vendor data?

- ◇ Name_
- ◇ Mailing Address - City, State, Street, Zip_
- ◇ Authorization Start Date_
- ◇ Authorization Expiration Date_
- ◇ Authorization Status_
- ◇ Number of Cash Registers_
- ◇ Type_
- ◇ Food Stamp Identification Number_
- ◇ Other Owner Name - First, Last, MI_
- ◇ Outlet Address-City, State, Street, Zip_
- ◇ Other Owner Alias Name_
- ◇ Sales (Dollars)_
- ◇ Monthly Food Stamp Sales_
- ◇ Outlet Identification
- ◇ WIC Identification Number
- ◇ Food Code_
- ◇ Food Minimum Price_
- ◇ Food Maximum Price_
- ◇ Food Price Period_
- ◇ Food Unit Size_
- ◇ WIC Foods Inventory/Shelf Space_
- ◇ Vendor Peer Group Number_

Does the system produce the following reports?

- ◇ Report of Vendor Authorization Data Report of Authorized Vendors & Number

- of Enrollees by Location_
- ◇ Report of Authorized Vendors by Ownership_
- ◇ Vendor Compliance & Sanctions History_
- ◇ Vendor Food Prices Comparison_
- ◇ Status of Vendor Authorizations Report
- ◇ Report of Overdue Vendor Authorizations Milestones_
- ◇ Listing of Vendors in Clients' Geographical Areas?_

◇ Does the system automatically determine high risk vendors?

Does the system produce the following reports?

- ◇ Report of Vendor Risk Analysis_
- ◇ Report of Vendor Risk Rankings_
- ◇ High Means Value Report_
- ◇ Low Variance Report_
- ◇ Summary Food Instrument Reconciliation Report, By Vendor

◇ Does the system monitor vendor education?

Does the system store the following data:

- ◇ Compliance Activity Type_
- ◇ Compliance Activity Date_
- ◇ Compliance Activity Results_
- ◇ Compliance Activity Reason_
- ◇ Compliance Activity Tasks_
- ◇ Compliance Violation Indicators_
- ◇ Food Instrument Serial Numbers_
- ◇ Vendor Complaint Subject_
- ◇ Vendor Complaint Summary_
- ◇ Vendor Complaint Date_
- ◇ Vendor Complaint Source Type_
- ◇ Sanction Effective Date_
- ◇ Case Type Appeal Indicator_
- ◇ Case Appeal Outcome_
- ◇ Case Start Date_
- ◇ Case Appeal Indicator_
- ◇ Case Current Status
- ◇ Sanction Type_
- ◇ Referred to Food Stamps

Does the system produce the following reports?

- ◇ Compliance Summary Report_
- ◇ Vendor Compliance History_
- ◇ Report of Targeted Vendors for Routine Monitoring
- ◇ Vendor Sales Analysis Report_

◇ Does the system maintain data about completed investigation cases?

Does the system produce the following reports?

- ◇ Compliance Cases and Sanctions Summary Report_
- ◇ Vendor Compliance and Sanction History_

- ◇ Vendor Activity Monitoring Profile (VAMP)_
- ◇ Does the system/program exchange information about sanctions imposed with the Food Stamp agency?
- ◇ Is the system vendor specific?_

CASELOAD MANAGEMENT

Does the system store the following data elements?

- ◇ Federal Food Grant (current FFY)_
- ◇ Caseload Assignment (by month per local agency)
- ◇ Does the system determine the maximum caseload for the local agency based on funding?
- ◇ Does the system calculate the Annual Food Package Estimate for the next Federal FY?

Does the system produce the following reports:

- ◇ State Agency Caseload Allocation Report?_
- ◇ Local Agency Caseload Allocation Recommendation?_
- ◇ Local Agency Caseload Allocation Confirmation?_
- ◇ Caseload Allocation Notices?_
- ◇ Does the system track actual participation?_
 - ◇ Is this defined by issuance?_
 - ◇ Is this defined by redemption?
- ◇ What data fields are used to capture participation rate?
- ◇ Is the participation data captured by the number of food instruments issued (Not redeemed) plus breastfeeding only infants (Receiving no food package) Needs to capture both in order to get correct counts. Calculating participation by number of FI's issued: Food Instruments issued, Adjusted by the participants who redeemed FI's

OPERATIONS MANAGEMENT

Does the system store data about local agencies and clinics, such as:

- ◇ LA Name_
- ◇ LA Address - Street, City, State, Zip_
- ◇ LA Identification_
- ◇ LA Contact_
- ◇ LA Telephone Number_
- ◇ LA Fax Number_
- ◇ LA Space (square footage)_
- ◇ # of Clerks by month_
- ◇ # of Clinics_
- ◇ # of CPAs by month_
- ◇ Staff Size by month_
- ◇ Regional ID_

Does the system produce the following reports?

- ◇ Local Agency Profile_
- ◇ Local Agency Mailing Labels_
- ◇ Local Agency Activity Report_
- ◇ State Agency Activity Report_

INTEGRATION, INFORMATION SHARING AND REFERRALS

- ◇ Does the system have client outreach management capabilities?
- ◇ Does the system track referrals to other health and social services? (FS, TANF, Medicaid, substance abuse)?_
- ◇ Does the system track immunization status, progress and follow-up?_
 - ◇ Is WIC staff responsible for entering the data?
- ◇ Does the system allow for the collection of PC-00 minimum/optional data sets?_
- ◇ Does the system interface with any other Programs' systems for sharing participant data?
- ◇ Are there MOU's in place for information generated by the system being shared with other programs?_

FINANCIAL MANAGEMENT

Does the system record the following Administrative and Food Grant data?

- ◇ FY
- ◇ Federal Food Grant_
- ◇ Federal Administrative Grant_
- ◇ FTE-General Admin Budget_
- ◇ FTE-Food Delivery System Budget_
- ◇ FTE-Nutrition Education Budget for State & LA_
- ◇ FTE-Certification Assessments Budget_
- ◇ FTE-Other Budget_
- ◇ Salaries & Benefits - General Admin Budget_
- ◇ Salaries & Benefits - Food Delivery System Budget_
- ◇ Salaries & Benefits - Nutrition Education Budget_
- ◇ Salaries & Benefits - Certification Assessments Budget_
- ◇ Salaries & Benefits - Other Budget_
- ◇ Administrative Management System Budget for State & Local Agency_
- ◇ Space Utilization Budget for State & LA_
- ◇ Equipment Budget for State & LA_
- ◇ Supply Budget for State & LA_
- ◇ Communications & Travel Budget for State & LA_
- ◇ Other Direct Costs Budget_
- ◇ Indirect Costs Budget
- ◇ Participation Estimate by Category by month_
- ◇ # of Infants Not Receiving Formula (Fully Breast-fed_
- ◇ Total Money Spent on Redeemed Food Instruments by Issuance Month

Does the system track the following rebate information?

- ◇ % of Formula Sold for each product type_
- ◇ % of Non-Rebate Prescriptions_
- ◇ Rebate Rate for each product type
- ◇ Rebate Invoice Number_
- ◇ Rebate Invoice Amount_
- ◇ Rebate Amount Adjusted_
- ◇ Rebate Rate by product type_
- ◇ Rebate Amount Collected_
- ◇ Rebate Adjustment Reason Code_
- ◇ Manufacturer's ID_

Does the system produce the following reports?

- ◇ Food & Nutrition Services & Program Administration Grant Report_
- ◇ LA Nutrition Services & Program Admin Budget_
- ◇ WIC Nutrition Services & Program Admin Budget_
- ◇ Financial Status Report_
- ◇ WIC Cash Management Statement_
- ◇ Manufacturer Rebate Estimate_
- ◇ Infant Formula Rebate Report (based on redemption count)_
- ◇ Manufacturer Rebate Collection Status Report_
- ◇ Infant Formula Rebate Report (based on market share)_

Does the system produce the following FNS reports?

- ◇ FNS-227 WIC Program Annual Closeout report_
- ◇ FNS-227A Addendum to WIC Program Annual Closeout Report_
- ◇ FNS-498 WIC Monthly Financial Management and Participation Report
- ◇ Does the system store historical participation data by category?

TRAINING

- ◇ Are standard procedure manuals available for the staff?_
- ◇ Was training provided in a timely basis to allow for smooth implementation of the system?_
- ◇ Are provisions made for on-going training of new user staff? (Provide listing of times and locations)_
- ◇ Is management staff provided data for performance monitoring and to focus on areas where training may be necessary_
- ◇ Is there a system in place to get user feedback ?
- ◇ Are staff members informed timely of policy changes and the effective date of those changes in the system? How? (Attach Narrative)_
- ◇ Are the users manuals updated in a timely fashion?_
- ◇ Who is responsible for changes to the manuals? (Attach Narrative)

- ◇ Describe the training which user staff receives to prepare them to use the system. (Attach Narrative)
- ◇ Describe the training which technical staff received to enable them to operate and maintain the system.(Attach Narrative)

SYSTEMS SECURITY

- ◇ Describe the procedures used to store, retrieve, maintain, and control data. (Attach Narrative)
- ◇ Are all changes to the data base prevented unless authorized and initiated by persons independent of the data processing function?
- ◇ Are all persons prevented from overriding or bypassing data validation on editing problems?_
- ◇ Is the override function restricted to supervisory personnel in a limited number of circumstances?
- ◇ Are all system overrides automatically logged by the application so that these actions can be analyzed for appropriateness and correctness?_
- ◇ Are account codes, authorization codes, passwords, etc. controlled to prevent unauthorized usage_
- ◇ Does the agency use automated methods (e.g., file management system) to restrict access to computerized files?
- ◇ Has a formal change procedure for computer programs been established which requires supervisory authorization before implementation_
- ◇ Do programmers test modifications against test data as opposed to live_
- ◇ Does the same programmer make code changes to programs as well as test these changes?_
- ◇ Is an audit trail of all operating system actions maintained either on the console log or on the system's job accounting file_
- ◇ Is access to system utility programs denied to computer operators_

Does the program library do the following:

- ◇ Restrict access to application programs?_
- ◇ Control movement of programs from test to production modes_
- ◇ Provide an audit trail of all changes made to programs
- ◇ Remove obsolete programs on a regular basis from
 - ◇ the source libraries_
 - ◇ The object libraries_
- ◇ Deny access to program libraries maintained by the system to computer operators_
- ◇ Is access to negotiable or sensitive forms restricted during processing?
- ◇ Are there documented procedures for password assignment, maintenance, and

cancellation?

- ◇ Is the delegation and maintenance of the password system limited to a select number of people?
- ◇ Is a mechanism in place to notify those responsible for maintaining the password system of personnel changes?
- ◇ How frequently are passwords changed?_
- ◇ Is the responsibility for issuing and storing magnetic tapes, disk packs, or other storage media assigned to a librarian?
- ◇ Are library procedures documented?_
- ◇ Are sensitive files (such as security classification, participant data, or privacy act restrictions) properly identified as such and appropriately secured?_
- ◇ Has an overall agency-wide responsibility for conducting periodic risk analyses been formally assigned?_
- ◇ Does the risk analysis measure vulnerability related to fraud or theft or loss of proprietary data and harm to agency activities?
- ◇ How often are risk analyses conducted?
- ◇ Are they required to be conducted whenever there is a significant change to the physical facility, hardware, or operating system software?_
- ◇ Attach a list of all available access levels for the system and what can/cannot be done at each level. Have these been tested?_
- ◇ Has the agency assigned responsibility for computer security at each office?_

When an employee is terminated, are the following tasks completed:

- ◇ Is the employee denied access to the data processing department?_
- ◇ Denied access to any data, program listings, procedure manuals?_
- ◇ Other employees informed of the employee's termination?_
- ◇ Is the password delete from the system?
- ◇ Do "combination locks", security badges, or other means restrict access to the computer room or spaces where computer equipment is available for use?
- ◇ Are combination locks or equivalent periodically changed?
- ◇ If terminals provide access to the system, are they adequately secured to prevent unauthorized usage?
- ◇ Are personnel trained to challenge improperly identified visitors?
- ◇ Is access to the computer area limited to necessary personnel?
- ◇ Are inventory records of all tapes and disks maintained?

- ◇ Are status records of tapes and disks maintained?
- ◇ Have external labeling procedures been documented?
- ◇ Are work or scratch tapes or disk packs kept in a separate area of the library?
- ◇ Does the system provide for the eventual capability to electronically transmit data to FNS?

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SYSTEMS MAINTENANCE

- ◇ Is the system designed in such a way that it is easily modifiable and expandable?_
- ◇ Can major policy changes be incorporated into the system without major reprogramming?_
- ◇ Explain your plans for the maintenance of the system. (Attach Narrative)

SYSTEM DOCUMENTATION

- ◇ Does a procedures manual cover the preparation of all source documents?_
- ◇ Is there an overall narrative description of the system?

Does program documentation include:

- ◇ General narrative description of the program_
- ◇ Original specifications plus any modifications
- ◇ Detailed narrative description of the program
- ◇ Detailed logic diagram or decision table_
- ◇ Input record formats_
- ◇ Input record descriptions_
- ◇ Output record formats_
- ◇ Output record descriptions_
- ◇ Master file formats_
- ◇ Master file description_
- ◇ List of constants, codes, and tables used_
- ◇ Source program listing_
- ◇ Object program listing_
- ◇ Operating instructions_
- ◇ Description of test data used to test program_
- ◇ Is access to program documentation restricted to persons who do not operate the equipment?_
- ◇ Are program listings inaccessible to computer operators?_
- ◇ Are copies of all documentation stored off-site?_
- ◇ Is stored program documentation periodically updated to match that being used?_

- ◇ Is there written evidence of who performed the systems and programming work?_
- ◇ Are all program changes and their effective dates recorded in run books in a manner which preserves an accurate chronological record of the system?_
- ◇ How often is documentation reviewed to ensure it is current?_

DATA CENTER CONTROLS

- ◇ Is the data center operation independent from other agency operations?

Are all of the following functions performed by different individuals?

- ◇ Systems Design_
- ◇ Programming_
- ◇ Acceptance Testing_
- ◇ Accepting programs and changes_
- ◇ Handling source documents (data entry)_

- ◇ Are users denied access to programmer run books and other system design and programming documentation?_
- ◇ Are formal change procedures for computer programs in that require supervisory authorization prior to implementation?
- ◇ Is access to program documentation restricted to persons who do not operate the equipment?

Do operators run manuals contain the following:

- ◇ Define input date, source and format
- ◇ Describe setup procedures
- ◇ Describe halt conditions and actions to be taken
- ◇ Delineate file output and disposition
- ◇ Include copy of normal console sheets to run.

- ◇ Are program listings inaccessible to computer users?
- ◇ Are all application programs and their effective dates recorded in run books to reflect an accurate chronological record?
- ◇ Are program listings inaccessible to computer users?
- ◇ Have documented procedures been established covering the operations of the data center?_
- ◇ Are daily equipment operating logs maintained?_
- ◇ Is downtime shown and explained?_
- ◇ Is there an error log or report for each program run?
- ◇ Are I/O, equipment, and error logs reviewed daily by the ADP operations manager?
- ◇ Does the ADP manager initial each log to indicate that it has been reviewed?

- ◇ Are all processes and operator decisions recorded in a daily log?
- ◇ Is all time accounted for from the time the computer is turned on each day until it is shut down?
- ◇ Are disposition notes entered on the console log showing corrective actions taken when unscheduled program halts occur?
- ◇ Are reruns shown on the console log?
- ◇ Is the reason for each rerun recorded?
- ◇ Is the log reviewed and signed at the end of the day by the supervisor and filed as a permanent record?
- ◇ Are the console printouts independently examined to detect operator problems and unauthorized intervention?
- ◇ Are provisions adequate to prevent unauthorized entry of program changes and/or data through the console or any other device?
- ◇ Is there a procedure to prevent superseded programs from being used by mistake?
- ◇ Are programs revised only after written requests approved by user department management?
- ◇ Do these requests describe the proposed changes and reasons for them?
- ◇ Are changes in the master file authorized in writing by the initiating departments?
- ◇ Is approval for each application supported by a study of costs and benefits?
- ◇ Are departments that initiate changes in master file or programs furnished with notices or a register showing changes actually made?
- ◇ Are changes reviewed to ensure that they were made properly?
- ◇ Are program revisions always tested?

ACCESS CONTROL

A. Computer Room

- ◇ Is access to the computer area limited to necessary personnel?_
- ◇ Do combination locks, security badges, or other means restrict access to the computer room?_
- ◇ Are combination locks or similar devices periodically changed?_
- ◇ Is the responsibility for issuing and storing tapes and/or disk packs assigned to a tape librarian?

- ◇ Is this duty the person's chief responsibility_
- ◇ Are library procedures documented_
- ◇ Is access to the library limited to the responsible personnel_
- ◇ Are all data files logged in and out to prevent release to unauthorized personnel_
- ◇ Are inventory records of tapes and disks maintained_
- ◇ Are status records of tapes and disks maintained_
- ◇ Are external labels affixed to all active tapes and/or disks_
- ◇ Have external labeling procedures been documented?_

B. Application Software and Data Security

- ◇ Are account codes, authorization codes, password, etc. controlled to prevent unauthorized usage?
- ◇ If workstations provide access to the system, are they adequately secured to prevent unauthorized usage?
- ◇ Does the agency use automated methods to restrict access to computerized files?
- ◇ Are there documented procedures for controlling computer programs_
- ◇ Are programs protected from unauthorized access_
- ◇ Are daily transactions saved for backup in case of machine malfunction_

MAINFRAME SECURITY

What type of security package do you use?_____

- ◇ Do you have a security officer?

Explain the security profile procedures.

What procedures do you use for implementing changes to computer programs?

What security procedures are followed when hiring new employees?

What procedures are followed when employees quit?

How often are passwords changed? How is this accomplished?

How many technical people are assigned to WIC-Access?

Provide audit trail of operating system and changes to application programs.

Provide documentation for security officer, such as duties and responsibilities.

Provide copy of system security and user procedures.

Provide a copy of risk analysis study.

Describe off-site back up arrangements.

- ◇ Does the State have a list of retention periods for each type of transaction and record it maintains?_
- ◇ Is a 3 year automated history kept on all records?
- ◇ Are daily transactions saved to backup in case of machine malfunction?_
- ◇ Do procedures exist so that data can be reconstructed in a reasonable period of time? (grandfather-father-son tape routine)_
- ◇ Is a duplicate set of files, programs, documentation, and systems files stored off-site and restricted from unauthorized access?_
- ◇ Is at least one generation of files maintained in a location other than tape storage area?_

How often are these updated to reflect most current data/programs?

- ◇ Have emergency procedures been documented?_
- ◇ Do they include steps to take in the event of a natural disaster?_
- ◇ Are employees familiar with the emergency procedures?_
- ◇ Are heat and smoke detectors installed?_

Describe the process used on a periodic basis to purge records from the active file.

How often is this done? (Attach Narrative)

Describe the procedures in place to backup the data base and processing capability in case of a disaster or machine malfunction. (Attach Narrative)

Describe how disaster recovery arrangements have been planned, performed, and tested by the state.(Attach Narrative)

- ◇ Are proper portable fire extinguishers located in strategic and accessible areas?
- ◇ Are they periodically tested?
- ◇ Is the computer center backed up by an uninterruptible power supply?
- ◇ Is there backup computer capacity within the computer center?
- ◇ Is there backup capacity at an off-site location?
- ◇ Have backup arrangements been documented?

- ◇ Are backup procedures periodically tested at the backup data center?

ACCESS CONTROL

A. Computer Room

- ◇ Is access to the computer area limited to necessary personnel?
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- ◇ Are combination locks or similar devices periodically changed?_
- ◇ Is the responsibility for issuing and storing tapes and/or disk packs assigned to a tape librarian?
- ◇ Is this duty the person's chief responsibility?_
- ◇ Are library procedures documented?
- ◇ Is access to the library limited to the responsible personnel?
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- ◇ Are inventory records of tapes and disks maintained?
- ◇ Are status records of tapes and disks maintained?
- ◇ Are external labels affixed to all active tapes and/or disks?_
- ◇ Have external labeling procedures been documented?_
- ◇ Are work or scratch tapes or disk packs kept in a separate area of the library?_

Application Software and Data Security

- ◇ Are Account codes, authorization codes, password, etc. controlled to prevent unauthorized usage?_
- ◇ If workstations provide access to the system, are they adequately secured to prevent authorized usage?
- ◇ Does the agency use automated methods to restrict access to computerized programs?_
- ◇ Area there documented procedures for controlling computer programs?_
- ◇ Are programs protected from unauthorized access?

Are daily transactions saved for backup in case of machine malfunction

BACKUPS/PURGING/RECOVERY PROCEDURES

- ◇ Are proper portable fire extinguishers located in strategic and accessible

areas?

- ◇ Are they periodically tested?
- ◇ Is the file server backed up by an uninterruptible power supply?
- ◇ Is there backup computer capacity within the computer center?
- ◇ Is there backup capacity at an off-site location?
- ◇ Have backup arrangements been documented?
- ◇ Are backup procedures periodically tested at the backup data center?

WIC POST-IMPLEMENTATION REVIEW

(THE FOLLOWING LIST CAN BE USED OR IF YOU HAVE YOUR OWN INVENTORY LIST IT CAN BE SUBSTITUTED.)

COMPUTER SOFTWARE INVENTORY

<u>Release</u>	<u>Name</u>	<u>Version</u>
Operating System		
Enterprise (ERP) Software		
CRM		
Security		
Firewall		
Programming Language(s)		
Change/Process Control		
Utilities		
Data Communications		
Data Base Management		
Performance Monitoring		
Help Desk		
Specialized Software		

Please list any additional software used in conjunction with the WIC system.

COMPUTER HARDWARE INVENTORY

CPU Manufacturer and Model Number (mainframes, servers, desktops)
Date of Installation_
CPU Physical Location (mainframes, servers)
Total Internal Storage Capacity (mainframes, servers)
Total Direct Access Storage Capacity_
Console Model Number_
Number of Mag Tape/Cartridge Drives_
Number of Disk Drives
Communications Controllers_

Is this equipment dedicated to the WIC system or shared with other State Agencies?

WIC POST-IMPLEMENTATION REVIEW

APD COSTS

These costs should reflect all the costs associated with the WIC project. Financial Management will be doing an in-depth review of all costs of the WIC project.

Total cost for the WIC project_

Total funding per federal fiscal year:

Fiscal year 1 Total project_

Fiscal year 2 Total project_

Fiscal year 3 Total project_

Fiscal year 4 Total project_

Fiscal year 5 Total project_

Fiscal year 6 Total project_

Fiscal year 7 Total project_

Direct personnel costs Total project_

Indirect personnel costs Total project_

State Central Data Processing Facilities: Total project

Cost of purchase or lease of hardware (PC's, Printers, Modems, etc) Total project_

Cost of purchase or lease of operating software: Total project_

Training costs Total project_

Operational costs (estimated for Fiscal Year x)_

WIC POST-IMPLEMENTATION REVIEW

The following documentation should be organized in a central library and/or someplace where they are easily accessible by all parties concerned with the project.

DOCUMENTATION LIBRARY INDEX

◇ Project Work Plan Report

Project Master Plan

Functional Requirements Report

General System Design

Modification Requirements Report

Data Processing Systems Manual

Full Program Documentation Manual

Hardware Analysis Report
Training Plan
Acceptance Test Plan
Acceptance Test Report
Implementation Installation Plan
Pilot Implementation Report
Training Manuals
User Manuals

FINANCIAL DOCUMENTATION

Software and Hardware Bid Proposals
Software and Hardware Contracts

INPUT AND OUTPUT

Edit Messages (examples)
On-line Screens
Forms
Notices

TECHNICAL DOCUMENTATION

ORACLE Program Documentation
Data Element Dictionary
Disaster Plan
Operations Manual
Problem Inventory
Recovery and Restart Procedure
Software Inventory
Hardware Inventory

MANUALS

State Policy
Pre-Conversion Handbook

Local Agency Name: _____

WICPOST-IMPLEMENTATION REVIEW

QUESTIONS TO ASK LOCAL STAFF

1. How long have you worked with WIC?
2. When was the system implemented at this local agency?
3. Were you working in your present position before the new system was implemented?
4. What will your password allow you to do?
5. How many WIC users?
6. Are there any non WIC users? In what capacity?
7. Does any other non WIC program staff have access to the system at the local agency? For what?
8. What is the WIC participation at this local agency?
9. What forms are used for certification? Are they computer generated?
10. What is the WIC participation per user?
11. How many new participants per month are certified?
12. How many recertifications do you do per month?
13. How long does it take to certify a participant? (Total time)
14. How much time do you spend on the computer per WIC family?
15. Do you have your own workstation?
16. Do you use your workstation to certify participants? If not, do you enter it later or does somebody else do it?
17. Does the same individual do certification and food instrument issuance?
18. Do you have on demand food instrument printing capabilities?
19. Do you do any manual voucher issuance?
20. How many voids does the local agency do per month?
21. How do you transfer participant files between local agencies within the State?
22. What is the procedure for transferring participants from out of state into the state?
23. What reports are generated by the computer system and used by local agency staff?
24. How are they used?
25. Is management information adequate?
26. How do you use management information?
27. Are you aware of the system's reporting capabilities?
28. How do you feel about response time?
29. What is your feeling about the training you received?
30. Was it adequate?
31. How do you feel about the users manual and do you use it regularly?
32. Is there a designated contact at the State Agency for computer problems?
33. What procedures are set up for users to get help if they need it?
34. When changes are made to the computer programs, are they implemented smoothly?
35. Are you experiencing any down time? Explain.
36. Do you have procedures in place in the event of downtime? (especially prolonged downtime) Explain.
37. Have you ever experienced any communications problems?
38. Have you ever had any equipment problems (Workstation, etc.)?
39. Are you generating any written notices/form/letters with the system? If so, which ones and how?
40. To what extent do you use the system to support nutrition education?
41. Should the system be expanded to better support nutrition education? In what ways?
42. Has the state explained to you how to generate and use reports in the development of the nutrition education plan?
43. Are you tracking immunizations? If so, to what extent?
44. Would it be beneficial to automate your diet assessment component?
45. Do you think computerization has reduced errors?
46. Do you submit participation figures to the State?
47. Does the system generate reports so that you can accurately report participation? For example, can you pull a report in August to get participation figures for June?
48. Do the participation figures reflect FI's issued or redeemed?

49. Does the system provide you data so that you can get the correct participation figures, i.e. issued and redeemed data?
50. Now that the system is up and operating and you have had time to use it, how do you feel about it?
51. Is it doing everything you had hoped for?
52. What changes would you make to the system, if any?
53. Do you have any other software on the system? If so, what?
54. Any other concerns, questions, etc. you would like to discuss?

NEED TO REVIEW IN LOCAL OFFICES

Access to office (Security Measures.)

General layout of the office.

Location of workstations.

Issuance office.

Where are food instruments stored?