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**Special Supplemental Nutrition Program for Women, Infants and Children (WIC)**

**Management Information System**

**Integrity Review Tool**

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# Introduction – WIC Management Information System (MIS) Integrity Review Tool

## 1. About the tool

This review tool was designed to be used both by State Agency (SA) and Federal staff. It may be used by the SA during their planning and design stages as a list of data elements and system functions desirable for a WIC MIS and to conduct its own pre- and post-implementation review. It may also be used by FNS staff for pre- and post-implementation reviews.

## 2. Preparation for Federal on-site reviews

For FNS reviews, the tool should be sent to the SA approximately 60 days in advance of the on-site visit along with a transmittal letter notifying the SA of the FNS review, alerting the SA to plan for entrance/exit conferences, and highlighting the need for availability of appropriate SA staff during the on-site review. The SA should complete the tool and send it to the FNS Regional Office responsible for the review approximately 30 days prior to the review.

During the on-site review, FNS staff should ask the following:

|  |  |
| --- | --- |
| **Question** | **Comments** |
| What is the source data for reports? |  |
| How are reports compiled? |  |
| How are reports edited? |  |
| What are the timeframes for reports? |  |
| If reports are not fully automated, how does the State agency plan to automate any or all reports and what is the timeframe for automation? |  |

The FNS review team should include staff with strong program knowledge and experience. The reviewers should research SA Implementation Advanced Planning Documents, system status reports, related policies, etc. before going on-site. These should be discussed at the entrance conference to ensure the reviewer’s understanding is current and/or correct. The review tool should be modified, as appropriate, based on the SA circumstances. The reviewer should also arrange in advance for appropriate SA staff to be available, or on-call, during the visit to discuss all subject matter covered in the review tool, including program policy, systems and reports.

## 3. Federal use of review tool

The review tool contains both data elements commonly found in WIC MIS and questions about the MIS functionality. For data elements, the reviewer is expected to mark in the left column Yes or No as to whether or not the data element is collected by the MIS. For questions about the MIS, the left column may be similarly used when possible. If further explanations are necessary, the reviewer may use the appropriate section’s Comments, or if need be, use remaining space on the back of the page. The item reference number should precede any explanations. Reviewers should ask follow-up questions when they are given incomplete or insufficient answers, and the explanations should be recorded as well. Reviewers are also expected to validate the information provided through observation and demonstration. No answers to these questions do not automatically mean the item is a finding, a No answer means the the function is not automated. The reviewer will have to use WIC Regulations, the Functional Requirements Document (FReD) and other Program Guidance to determine if No answers are findings.

## 4. SA use of review tool

The SA may use this tool in its own evaluation of the MIS at the testing stage and to conduct its own post-implementation review. The SA may also complete the tool in preparation for a Federal review.

# Certification

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| A1 |  |  | Does the system store the participant name?  |
| A2 |  |  | Does the system store the participant address?  |
| A3 |  |  | Does the system store the participant Date of Birth?  |
| A4 |  |  | Does the system store the participant Telephone Number? |
| A5 |  |  | Does the system store the participant Date of Initial Contact? |
| A6 |  |  | Does the system store the participant Date of Initial Visit?  |
| A7 |  |  | Does the system store the participant Employment Status? |
| A8 |  |  | Does the system store the participant Annual Income or Range? |
| A9 |  |  | Does the system capture if the participant is on TANF/SNAP/Medicaid? |
| A10 |  |  | Does the system capture if each Family Member is on TANF/SNAP/Medicaid? |
| A11 |  |  | Does the system capture if the participant is on Other Programs?  |
| A12 |  |  | Does the system store the participant proof of residency? |
| A13 |  |  | Does the system store the participant Initial Certification Date? |
| A14 |  |  | Does the system store the participant Certification End Date? |
| A15 |  |  | Does the system store the participant Termination/Ineligibility Reason? |
| A16 |  |  | Does the system store the participant Category Code?  |
| A17 |  |  | Does the system store the Category Code for breastfed only infants?  |
| A18 |  |  | Does the system store the participant Household(HH) Size (Total)?  |
| A19 |  |  | Does the system store all the participants in the HH that are on WIC?  |
| A20 |  |  | Does the system store the participant Migrant Status?  |
| A21 |  |  | Does the system store the participant Racial Ethnic Code?  |
| A22 |  |  | Does the system store the participant Language Spoken? |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| A23 |  |  | Does the system store the participant Gender?  |
| A24 |  |  | Does the system store the participant Proof of Identity (participant/Mother)?  |
| A25 |  |  | Does the system store the participant Education Level? |
| A26 |  |  | Does the system capture whether the participant receives Public Health Assistance (State Program, Maternal Child Health Bureau, etc)? |
| A27 |  |  | Does the system store the participant Health Care provider?  |
| A28 |  |  | Does the system store the participant Family ID/Code? |
| A29 |  |  | Does the system store the participant Proof of Pregnancy (if required by State)? |
| A30 |  |  | Does the system store the participant Proof of Income?  |
| A31 |  |  | Does the system store if the participant is referred from another agency to WIC? |
| A32 |  |  | Does the system store if the participant is referred to another agency from WIC?  |
| A33 |  |  | Does the system store the participant voter registration information?  |
| A34 |  |  | Does the system have functionality for interstate (VOC) transfers?  |
| A35 |  |  | Does the system have functionality for intrastate transfers?  |
| A36 |  |  | Does the system store the Proxy Name(s)?  |
| A37 |  |  | Does the system store the participant Date of Anthropometric/Bloodwork (if different than certification date) |
| A38 |  |  | Does the system flag participants that have not submitted blood work within 90 day allotment after certification? (The policy is as follows: Allows the State agency to defer the collection of blood test data for up to 90 days after the date of certification, provided the applicant is determined to have at least one qualifying nutritional risk factor at the time of certification).  |
| A39 |  |  | Does the system capture the date and documentation for when a participant has declined bloodwork and why? |

## Comments:

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| **#** | **Yes** | **No** | **QUESTION** |
| A40 |  |  | Does the system distinguish bloodwork captured for infants at 6 months versus being captured between 9-12 months to determine inappropriate bloodwork assessment for infants? (Initial infant screening should occur between 9 - 12 months of age. Also, an infant enrolled in WIC must be tested prior to the end of their 12th month of life, unless initially certified at ≥ 10 months of age, and the 90-day deferral option is utilized). |
| A41 |  |  | Does the system capture when 2 blood tests for anemia per individual per certification period will be permitted, when deemed necessary, for health monitoring by the CPA? |
| A42 |  |  | Does the system allow edits for the date of Health Data Collection to Certification?  |
| A43 |  |  | Does the system allow edits for the estimated delivery date for Pregnant Women?  |
| A44 |  |  | Does the system allow edits for the participant Employment Status? |
| A45 |  |  | Does the system allow edits for the participant Language Spoken?  |
| A46 |  |  | Does the system allow for change in priority to a higher priority?  |
| A47 |  |  | Does the system allow for change in priority to a lower priority?  |
| A48 |  |  | Does the system allow for the updating of nutritional risk criteria and subsequent upgrading in priority during the middle of a certification period?  |
| A49 |  |  | Does the system automatically determine income eligibility? |
| A50 |  |  | Does the system sum all income sources? |
| A51 |  |  | Does the system have the capability to sum income to weekly, biweekly, monthly or annual? |
| A52 |  |  | Does the system address irregular income? |
| A53 |  |  | Does the system calculate the gross income used for eligibility?  |
| A54 |  |  | Does the clinic staff calculate the gross income used for eligibility?  |
| A55 |  |  | Does the system provide an output showing the income calculation? |

## Comments:

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| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| A56 |  |  | Does the system identify if a participant is eligible based on adjunctive eligibility? |
| A57 |  |  | Does the system ensure that documented adjunctive eligibility takes precedence even if an applicant's household income is above the 185% of poverty (income limits)? |
| A58 |  |  | Does the system store waiting list data for each local agency by participant priority level? |
| A59 |  |  | Can a participant priority waitlist be produced on-demand? |
| A60 |  |  | Does the system suspend benefits mid-certification due to a participant violation? |
| A61 |  |  | Does the system generate an alert for other LAs to notify them that a participant has been suspended or terminated due to participant violations? |
| A62 |  |  | Does the system relate two or more WIC applicants and participants from the same family?  |
| A63 |  |  | Does the system allow a category change from Breastfeeding to Post Partum, mid-certification?  |
| A64 |  |  | Does the system capture the appointment date?  |
| A65 |  |  | Does the system capture the appointment time? |
| A66 |  |  | Does the system capture the appointment type? |
| A67 |   |   | Does the system ensure participants are certified for any risk factor? |
| A68 |  |  | Does the system generate immediate alerts for participant files that are missing assessment information? |
| A69 |  |  | Does the system generate immediate alerts for participant files that are missing the WIC category and priority level?  |
| A70 |  |  | Does the system generate immediate alerts for participant files that are missing the food package prescribed (to include medical documentation when required and rationale for food package tailoring, if done)? |
| A71 |  |  | Does the system generate immediate alerts for participant files that are missing nutrition education and referrals provided? |
| A72 |  |  | Does the system generate immediate alerts for participant files that are missing follow-up activity plans and future scheduled visits?  |
| A73 |  |  | Does the system generate immediate alerts for participant files that are missing an individual care plan for high risk participants (identified by the CPA, per State agency protocols)?  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| A74 |  |  | Does the system support follow-up communication with participant (emails, autodial, mailing labels, appt letters, etc)?  |
| A75 |  |  | Does the system initiate an immediate alert when the signature, date and contact information (or name, date and contact information) is needed if the initial medical documentation was received by telephone and the signed document is forthcoming, of the health care professional licensed by the State to write prescriptions in accordance with State laws? |
| A76 |  |  | Is there a system alert set for participants needing updated medical documentation due to the end of the prescription period?  |
| A77 |  |  | Does the system issue a Verification of Certification?  |
| A78 |  |  | Does the system print an End of Certification/Termination notice?  |
| A79 |  |  | Does the system notify the WIC staff of participant’s recertification dates?  |
| A80 |  |  | Does the system provide a printed appointment notice for the participant of the scheduled appointment?  |
| A81 |  |  | What data items does the system check to determine dual participation? |
| A82 |  |  | Are matches for dual participation done immediately on-line or by daily batch? |
| A83 |  |  | Does the system check for dual participation across State agencies? |
| A84 |  |  | Does the system check for dual participation between WIC and CSFP? |
| A85 |  |  | Does the WIC system link to other systems? Is so, what other systems?  |
| A86 |  |  | If a participant transfers between local agencies within a State agency, is all data readily available to the transferee local agency?  |
| A87 |  |  | Does the system allow for the extension of 30 days of food package issuance beyond the 6-month certification period?  |
| A88 |  |  | Does the system allow for a shortened certification period, i.e., less than 6 months? |
| A89 |  |  | Does the system capture participant category by month?  |
| A90 |  |  | Does the system determine that a member of a family in which a pregnant woman or infant (not a child) receives Medicaid is adjunctively eligible? |
| A91 |  |  | Can the system determine that a member of a family who receives TANF or SNAP is adjunctively eligible? |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| A92 |  |  | Will the system allow TANF, SNAP or Medicaid eligible participants to become WIC income eligible if they are over WIC income eligibility guidelines due to adjunctive eligibility?  |
| A93 |  |  | Does the system allow for a Priority VII? |
| A94 |  |  | Does the system record the physical presence of the participant at certification? |
| A95 |  |  | Does the system allow for electronic signatures and/or an audit log of CPA, Nutrition Clerk for determination of nutritional risk criteria, food prescription, and income determination? |
| A96 |  |  | Is there a signed form or electronic signature captured acknowledging that the participant/guardian understands the “Rights and Responsibilities.”  |
| A97 |  |  | For reporting purposes, how does the system count infants? (At 11-months, 12-months, or 13-months?)  |
| A98 |  |  | How does the system maintain applicant information when the participant is not placed on the program at the time of application? |
| A99 |  |  | Does the system track pending applicants?  |
| A100 |  |  | Does the system capture if an infant/child is in foster care? |

## Comments:

## Nutrition Education, Health Surveillance and Referrals

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| B1 |  |  | Does the system maintain a schedule of nutrition education class appointments?  |
| B2 |  |  | Does the system maintain a schedule of nutrition education appointments by class topics?  |
| B3 |  |  | Does the system maintain a schedule of nutrition education class appointments by category?  |
| B4 |  |  | Does the system store the data for each nutrition education contact by appointment type?  |
| B5 |   |   | Does the system store the data for each nutrition education contact by appointment date?  |
| B6 |   |   | Does the system store the data for each nutrition education contact by type of nutrition education delivery method: Computer Based \_\_\_\_, Third Party\_\_\_\_\_\_\_, Other (describe)\_\_\_ |
| B7 |   |   | Does the system contain a nutrition education follow-up text area?  |
| B8 |   |   | Does the system store the data of who provided the nutrition education contact? |
| B9 |   |   | Does the system support all aspects of care planning (SOAP Notes, Unlimited Text, Care Plan Outline) ?  |
| B10 |   |   | Does the system flag participants as high risk for purposes of education?  |
| B11 |  |  | Does the system maintain appointment schedule availability for nutrition education?  |
| B12 |  |  | Does the system maintain the number of maximum available slots for group nutrition education? |
| B13 |   |   | Does the system track and/or generate a report of participation in nutrition education? |
| B14 |   |   | Does the system track and/or generate a report of the reason for a missed appointment?  |
| B15 |   |   | Does the system track and/or generate a report of the date nutrition education was offered?  |
| B16 |   |   | Does the system track and/or generate a report of refusal-to-attend an appointment?  |
| B17 |   |   | Does the system track and/or generate a report of the actual numbers of participants attended?  |
| B18 |   |   | Does the system track and/or generate a report of No-shows?  |
| B19 |   |   | Does the system track the number of nutrition education contacts a participant has been offered?  |
| B20 |   |   | Does the system link participation in group classes back to the participant’s individual file?  |

## Comments:

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| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| B21 |   |   | Does the system automatically count the initial visit as a core contact for nutrition education?  |
| B22 |   |   | Does the system capture pediatric (PedNSS) surveillance data for CDC or other outside agencies?  |
| B23 |   |   | Does the system capture pregnancy (PNSS) surveillance data for CDC or other outside agencies?  |
| B24 |   |   | Does the system gather data on the numbers of breastfeeding mothers? (e.g. through PNSS or other state specific systems)  |
| B25 |   |   | Does the system report women up to 1 year post-partum as breastfeeding?  |
| B26 |   |   | Does the system track both breastfeeding initiation and duration?  |
| B27 |   |   | Does the system track if an infant is breastfed?  |
| B28 |   |   | Does the system track if an infant has ever breastfed?  |
| B29 |   |   | Does the system track how long an infant has breastfed?  |
| B30 |   |   | Does the system track the age in weeks an infant has breastfed?  |
| B31 |   |   | Does the system track/record the number of infants who receive no food package? (Breastfed only infants)  |
| B32 |   |   | Does the system track/record data on breastfeeding exclusivity? |
| B33 |   |   | Does the system generate the required Breastfeeding reports?  |
| B34 |  |  | Does the system store breast pump issuance date? |
| B35 |  |  | Does the system store the type of breast pump issued? |
| B36 |  |  | Does the system have an automated breast pump release form?  |
| B37 |  |  | Does the system store breastfeeding Peer Counselor contact/interventions? |
| B38 |  |  | Does the system store other Breastfeeding aids issued?  |
| B39 |  |  | Does the system generate appropiate reports for tracking breastfeeding equipment?  |
| B40 |  |  | Does the system establish an alert for children between ages 2-5 who have an abnormal hematocrit/hemoglobin test? |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| B41 |   |   | Does the system automatically calculate and assign risk factors?  |
| B42 |   |   | Does the system allow for additional risk factors to be added? |
| B43 |   |   | Does the system make priority assignments?  |
| B44 |  |  | Does the system assign risk codes by comparing participant nutrition and health data in order to determine if the participant is at nutritional risk (objective risk factors)?  |
| B45 |  |  | Does the system compute and store Body Mass Index (BMI)? |
| B46 |  |  | Does the system capture multiple risk factors?  |
| B47 |  |  | Does the system display the risk codes on the screen?  |
| B48 |  |  | Does the system display the risk codes on reports?  |
| B49 |  |  | Does the system accurately rank all risk factors?  |
| B50 |  |  | Does the system accurately rank risk factors on the reports?  |
| B51 |  |  | Does the system allow for nutritional risk criteria to be updated mid-certification? |
| B52 |  |  | Does the system store participant Height/Length?  |
| B53 |  |  | Does the system store participant weight? |
| B54 |  |  | Does the system store infant/child Birth Length?  |
| B55 |  |  | Does the system store infant/child Birth Weight?  |
| B56 |  |  | Does the system store participant Hemoglobin?  |
| B57 |  |  | Does the system store participant Hematocrit?  |
| B58 |  |  | Does the system assign the correct priority to the risk? |
| B59 |  |  | Does the system store participant Medical Data Date (blood test, prescription, anthro, etc)? |
| B60 |  |  | Does the system store the Estimated Delivery Date?  |

## Comments:

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| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| B61 |  |  | Does the system store participant Last Menstrual Period (LMP) Date?  |
| B62 |  |  | Does the system store participant Medication?  |
| B63 |  |  | Does the system store Date Last Pregnancy ended? |
| B64 |  |  | Does the system store Pregnancy Verification? |
| B65 |  |  | Does the system store Total Number of Previous Pregnancies? |
| B66 |  |  | Does the system store Pregnancy Outcome?  |
| B67 |  |  | Does the system store Source of Prenatal Care?  |
| B68 |  |  | Does the system store pre-pregnancy weight?  |
| B69 |  |  | Does the system store weight gain during pregnancy?  |
| B70 |  |  | Does the system store delivery date-actual? |
| B71 |  |  | Does the system store Infant Birth Verification? |
| B72 |  |  | Does the system store Live Births (Current Pregnancy)?  |
| B73 |  |  | Does the system store previous Live Births?  |
| B74 |  |  | Does the system store Total Live Births?  |
| B75 |  |  | Does the system store Breastfeeding Expectation?  |
| B76 |  |  | Does the system store Infant/Child (I/C)-Breastfeeding Duration?  |
| B77 |  |  | Does the system store I/C-Ever Breastfeeding?  |
| B78 |  |  | Does the system store I/C-Currently Breastfeeding?  |
| B79 |  |  | Does the system store I/C-First Formula at how many weeks? |
| B80 |  |  | Does the system store immunization data (Infants & Children)? |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| B81 |  |  | Does the system store participant Blood Lead Value?  |
| B82 |  |  | Does the system store participant HIV status? |
| B83 |  |  | Does the system capture the number of cigarettes/day? |
| B84 |  |  | Does the system capture whether there is cigarette smoking in the household? |
| B85 |  |  | Does the system store participant Alcohol Use?  |
| B86 |  |  | Does the system store the number of alcoholic drinks per day?  |
| B87 |  |  | Does the system store the number of alcoholic drinks per week? |
| B88 |  |  | Does the system store participant drug use?  |
| B89 |  |  | Does the system store participant drug frequency?  |
| B90 |  |  | Does the system store participant Vitamin/Mineral supplement use? |
| B91 |  |  | Does the system initiate an alert when the name of the authorized WIC formula, including amount needed, is not present (infant formula, exempt infant formula, WIC-eligible medical food)?  |
| B92 |  |  | Does the system initiate an alert when the prescription appropriate for the qualifying condition(s) and their prescribed amounts is needed? |
| B93 |  |  | Does the system initiate an alert when the length of time the prescribed WIC formula and/or supplemental food is about to expire? |

## Comments:

## Food Management, Food Benefit Issuance, Food Benefit Reconciliation

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| C1 |   |   | Does the system store the Category/Subcategory for foods approved by the WIC Program? |
| C2 |  |  | Does the system store the Food Unit Size for foods approved by the WIC Program? |
| C3 |  |  | Does the system store the Food Name for foods approved by the WIC Program?  |
| C4 |  |  | Does the system store the Food Quantity for foods approved by the WIC Program?  |
| C5 |  |  | Does the system store the Packaging Description (box, can, carton, etc) for foods approved by the WIC Program? |
| C6 |  |  | Does the system store the WIC Food Package name/number/type?  |
| C7 |  |  | Does the system store the Number of food benefit days (Proration)?  |
| C8 |  |  | Does the system store the FI Number? |
| C9 |  |  | Does the system store the FI Issue Date? |
| C10 |  |  | Does the system capture late FI issuance by participant category? |
| C11 |  |  | Does the system store the Food Instrument Valid Start Date/End Date? |
| C12 |  |  | Does the system store the participant Identification Number? |
| C13 |   |   | 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?  |
| C14 |   |   | Does the system allow for the issuance of FIs until the end of the month of expiration of a certification period?  |
| C15 |   |   | Does the system allow the tailoring of food packages for nutrition reasons?  |
| C16 |   |   | Does the system automatically introduce cereal and baby food to the infant’s food package when the infant is past 6 months of age? |
| C17 |  |  | Does the system allow partial packages for breastfed infants? |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| C18 |   |   | Does the system automatically reduce food quantities for late pickup? (prorate)  |
| C19 |   |   | Does the system automatically prorate at the initial FI issuance?  |
| C20 |   |   | Does the system accommodate infant formula changes in the middle of the month?  |
| C21 |   |   | Does the system initialize tracking of the serial numbers for preprinted stock using a new counter for each user session?  |
| C22 |   |   | Does the system calculate the estimated value and maximum value of the food instrument?  |
| C23 |   |   | Does the system consolidate all food instrument production data from all local agencies within 24 hours of the end of each working day?  |
| C24 |   |   | Does the system support collection of participant/proxy signature for receipt of printed food instruments?  |
| C25 |   |   | Does the system issue food instruments for more than one month?  |
| C26 |   |   | Does the system allow for staggering issuance dates for food benefits?  |
| C27 |   |   | Does the system produce any food instruments in advance of pick up?  |
| C28 |   |   | Does the system automatically void food instruments appropriately?  |
| C29 |   |   | Does the system identify and account for voided food instruments?  |
| C30 |   |   | Does the system capture information about manually voided food instruments?  |
| C31 |   |   | Does the system produce a void exception report? |
| C32 |  |  | Does the system produce a reconciliation report?  |
| C33 |  |  | Does the system produce a food instrument history report? |
| C34 |  |  | Does the system produce a redemption summary by vendor report?  |
| C35 |  |  | Does the system produce a redemption rate report (number of FIs issued/number of FIs redeemed, FI paid amount/FI obligation amount, redemption rate by LA, etc.)? |

## Comments:

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| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| C36 |  |  | Does the system produce a rejection report/notification letter? |
| C37 |  |  | Does the system produce a redeemed but unissued report?  |
| C38 |   |   | Does the system identify those food instruments reported as lost/stolen/expired/duplicate/not matching issuance data? |
| C39 |  |  | Does the system prevent you from issuing an inappropriate food package for that category?  |
| C40 |  |  | Does the system produce an error message when you try to issue an inappropriate food package for that category?  |
| C41 |  |  | Does the system allow for changing a food package in the middle of the month?  |
| C42 |  |  | When a food package is changed during a month does the system allow for proration of the new food package?  |
| C43 |  |  | Does the system allow you to override a prorated food package?  |
| C44 |  |  | Does the system allow for issued food instruments to be voided and reissued in the same month to accommodate changes in infant formula exchanges within a month? |
| C45 |  |  | Does the system allow for minimum and/or maximum dollar amount thresholds for food instruments to allow for high cost infant formulas? |
| C46 |  |  | Does the system automatically change an infant’s food package to a child’s? At what age?  |
| C47 |  |  | Does the system report participation category (infant vs. child) consistent with the food package issued for that particular month? |
| C48 |  |  | Can a 13-month old receive a tailored food package to include formula to address nutritional needs?  |

## Comments:

## Financial Management

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| D1 |   |  | Does the SA have a separate Financial Management system or is it maintained as part of the WIC MIS system?  |
| D2 |   |  | Does the system interface with other State financial systems? |
| D3 |  |  | Does the system record/track the Federal Financial Management Fiscal Year? |
| D4 |  |  | Does the system track/record the WIC Food Grant? |
| D5 |   |  | Does the system track/record the WIC Nutrition Service Administration (NSA) Grant? |
| D6 |   |  | Does the system track/record Operational Adjustment(OA) projects separate from the NSA Grant? |
| D7 |   |  | Does the system track/record general Infrastructure grant data? |
| D8 |   |  | Does the system track/record BreastFeeding Peer Counselor grant data? |
| D9 |   |  | Does the system track/record State-to-State Technical Assistance grant data? |
| D10 |   |  | Does the system track/record any other grants awarded by FNS to the State agency?  |
| D11 |   |  | What other grants does the system track/record? |
| D12 |   |  | Does the system track/record State funds from their own State WIC appropriated Fund?  |
| D13 |  |  | Does the system track/record FTE-Other Budget information? |
| D14 |  |  | Does the system track/record Salaries & Benefits - General Admin Budget information? |
| D15 |  |  | Does the system track/record Salaries & Benefits - Client Services/Food Delivery System Budget information?  |
| D16 |  |  | Does the system track/record Salaries & Benefits - Nutrition Education Budget information? |
| D17 |  |  | Does the system track/record Salaries & Benefits - Breast Feeding Budget information? |
| D18 |  |  | Does the system track/record Salaries & Benefits - Other Budget information? |
| D19 |   |  | What other budget information is being tracked/recorded? |
| D20 |   |  | Does the system track/record Administrative Budget for State & Local Agency?  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| D21 |  |  | Does the system track/record the Space Utilization Budget for State & LA (Cost Allocation)? |
| D22 |  |  | Does the system track/record the Equipment Budget for State & LA?  |
| D23 |  |  | Does the system track/record the Supply Budget for State & LA?  |
| D24 |  |  | Does the system track/record the Travel Budget for State & LA?  |
| D25 |   |  | Does the system track/record the Telecommunications budget for State & LA? |
| D26 |  |  | Does the system track/record Other Direct Costs Budget? |
| D27 |  |  | Does the system track/record the LA Nutrition Services & Program Admin Budgets?  |
| D28 |  |  | Does the system track/record Full Time Equivalent (FTE) - General Admin Budget? |
| D29 |  |  | Does the system track/record FTE-Nutrition Education Budgets at both the State & LA levels? |
| D30 |  |  | Does the system track/record Indirect Costs Budget (should match with Indirect Cost Rate Agreement on file)?  |
| D31 |  |  | Does the system calculate the Annual Food Package Estimate for the next FFY?  |
| D32 |   |   | Does the system track Food Expenditures? |
| D33 |   |   | Does the system track NSA Expenditures? |
| D34 |  |  | Does the system track/record the Percentage of Formula Sold for each product type?  |
| D35 |  |  | Does the system track/record the Percentage of Non-Rebate Prescriptions?  |
| D36 |  |  | Does the system track/record Rebate Rate for each product type?  |
| D37 |  |  | Does the system track/record Rebate Invoice Number?  |
| D38 |  |  | Does the system track/record Rebate Invoice Amount?  |
| D39 |  |  | Does the system track/record Rebate Amount Adjusted?  |
| D40 |  |  | Does the system track/record Rebate Amount Collected?  |

Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Yes** | **No** | **QUESTION** |
| D41 |  |  | Does the system track/record Rebate Adjustment Reason Code?  |
| D42 |  |  | Does the system track/record Rebate Manufacturer's ID? |
| D43 |  |  | Does the system track/record Rebate Manufacturer Rebate Estimates?  |
| D44 |  |  | Does the system produce an Infant Formula Rebate Report (based on redemption count)?  |
| D45 |  |  | Does the system produce a Rebate Manufacturer Rebate Collection Status Report?  |
| D46 |  |  | Does the system produce WIC Grant reports?  |
| D47 |  |  | Does the system produce a Food & Nutrition Services & Program Administration Grant Report? |
| D48 |  |  | Does the system produce an Infant Formula Rebate Report (based on market share)? |
| D49 |  |  | Does the system produce the FNS-798 WIC Monthly Financial Management and Participation Report?  |
| D50 |  |  | Does the system track/record the WIC Cash Management Statement?  |

Comments:

## Caseload

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| E1 |   |  | Does the system track/record caseload? |
| E2 |   |  | Does the system track/record Maximum State Caseload that can be served monthly? |
| E3 |   |  | Does the system track/record Local Agency Caseload allocation estimates? |
| E4 |   |  | Does the system track/record Caseload allocation by Local Agency? |
| E5 |   |  | Does the system transmit Caseload allocation data to Local Agencies? |
| E6 |   |  | Does the system report total available funds and caseload by month for staffing and resource allocation purposes? |
| E7 |   |  | Does the system track/record Caseload achievement rate? |
| E8 |   |  | Does the system track/record Caseload growth or reduction rate? |
| E9 |   |  | Does the system assign caseload allocations and reassign allocations as necessary? |
| E10 |  |  | Does the system track/record the Caseload Assignment (by month per local agency)?  |
| E11 |  |  | Does the system determine the maximum caseload for the local agency based on funding?  |
| E12 |  |  | Does the system produce a State Agency Caseload Allocation Report? |
| E13 |  |  | Does the system produce a Local Agency Caseload Allocation Target? |
| E14 |  |  | Does the system produce a Local Agency Actual Caseload Allocation?  |
| E15 |  |  | Does the system track/record actual participation? |
| E16 |   |  | Does the system track/record Local Agency's prior year caseload allocations? |
| E17 |   |  | Does the system track/record and produce a report based on actual participation levels by participant category? |
| E18 |   |  | Does the system track/record the various priority levels served? |
| E19 |   |  | Does the system produce a waiting list based on priority?  |
| E20 |   |  | Does the system produce a report based on racial/ethnic category? |

Comments:

## Operations Management

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| F1 |  |  | Does the system store LA Name?  |
| F2 |  |  | Does the system store LA Address - Street, City, State, Zip? |
| F3 |  |  | Does the system store LA Identification? |
| F4 |  |  | Does the system store LA Point of Contact?  |
| F5 |  |  | Does the system store LA Telephone Number?  |
| F6 |  |  | Does the system store LA Fax Number?  |
| F7 |  |  | Does the system store LA Space (square footage)?  |
| F8 |  |  | Does the system store the number of clinics?  |
| F9 |  |  | Does the system store Regional/Agency level ID (if used by State)? |
| F10 |   |  | Does the system store the number of Nutritionists assigned to the LA? |
| F11 |   |  | Does the system store the number of CPAs/Educators/etc? |
| F12 |   |  | Does the system store clinic NSA cost per participant? |
| F13 |  |  | Does the system store total money spent on Redeemed Food Instruments by Issuance Month? |
| F14 |  |  | Does the system produce a Local Agency Profile report? |
| F15 |  |  | Does the system produce Local Agency Mailing Labels?  |
| F16 |  |  | Does the system produce a State Agency Activity Report?  |
| F17 |  |  | Does the system produce Local Agency Activity Report?  |
| F18 |   |  | Does the system have the capability to accept mass changes such as income eligibility guidelines, food package changes, etc? |
| F19 |   |  | Does the system store data on participant violations and sanctions? |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| F20 |   |  | Does the system store data on participant complaints? |
| F21 |   |  | Does the system identify Fair Hearing request date? |
| F22 |   |  | Does the system identify Fair Hearing decision date? |
| F23 |   |  | Does the system identify Fair Hearing decision type? |
| F24 |   |  | Does the system print a notice of adverse action along with appeal rights? |
| F25 |   |  | Does the system have components built to make the system EBT ready? |
| F26 |  |  | Does the system have clinic outreach management capabilities?  |
| F27 |  |  | Does the system track referrals to other health and social services? (SNAP, TANF, Medicaid, substance abuse)?  |
| F28 |  |  | Does the system track immunization status, progress and follow-up?  |
| F29 |  |  | Does the system allow WIC staff to access and enter immunization data?  |
| F30 |  |  | Does the system interface with any other Programs' systems for sharing participant data? |
| F31 |   |  | Does the system print a report by risk factor or code?  |
| F32 |   |  | Does the system print risk factor reports by participant category? |
| F33 |   |  | Does the system print risk factor reports by participant? |
| F34 |   |  | Does the system retain all historical data pertaining to the participant for a minimum of 3 years?  |
| F35 |   |  | Does the system include the capability of issuing an identification card?  |
| F36 |   |  | What happens to the data of an applicant that never returns to the program to be certified?  |
| F37 |   |  | Is the system designed to provide compatible population data to other state level health agencies? Who? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

## Comments:

## Vendor Management

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| G1 |  |  | Does the system store the vendor's name? |
| G2 |  |  | Does the system store the vendor's mailing address - Street, City, State, Zip? |
| G3 |  |  | Does the system store the vendor's authorization start date? |
| G4 |  |  | Does the system store the vendor's authorization expiration date?  |
| G5 |  |  | Does the system store the vendor's authorization status?  |
| G6 |  |  | Does the system store the vendor's number of cash registers?  |
| G7 |  |  | Does the system store the type of vendor (retail, pharmacy, commissary, above 50%, etc)? |
| G8 |  |  | Does the system store the vendor's WIC identification number? |
| G9 |  |  | Does the system store the vendor's SNAP Identification Number? |
| G10 |  |  | Does the system store the vendor's other owner name - First, Last, MI? |
| G11 |  |  | Does the system store the vendor's outlet address- Street, City, State, Zip?  |
| G12 |  |  | Does the system store the vendor's other owner alias name? |
| G13 |  |  | Does the system store the vendor's annual sales in dollars?  |
| G14 |  |  | Does the system store the vendor's monthly SNAP sales?  |
| G15 |  |  | Does the system store the vendor's outlet identification?  |
| G16 |  |  | Does the system store food pricing data? |
| G17 |  |  | Does the system store the food pricing time period?  |
| G18 |  |  | Does the system store the food unit size?  |
| G19 |  |  | Does the system store the vendor's application? |
| G20 |  |  | Does the system store the signed vendor's agreement or contract? |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| G21 |   |   | Does the system produce the peer grouping report (Does it meet your objectives?) |
| G22 |  |  | Does the system store the vendor's peer group number? |
| G23 |  |  | Does the system automatically assign a peer group? |
| G24 |  |  | Does the system automatically determine high risk vendors? |
| G25 |  |  | Does the system store high risk vendor criteria? |
| G26 |  |  | Does the system produce the report of vendor risk analysis?  |
| G27 |  |  | Does the system produce the report of vendor risk rankings?  |
| G28 |  |  | Does the system store the vendor selection criteria? |
| G29 |  |  | Does the system store the vendor limiting criteria? |
| G30 |  |  | Does the system produce the report of vendor authorization data?  |
| G31 |  |  | Does the system produce the report of authorized vendors?  |
| G32 |  |  | Does the system produce the number of Food Instruments redeemed by month by location report? |
| G33 |  |  | Does the system produce the report of authorized vendors by ownership?  |
| G34 |  |  | Does the system produce the vendor compliance & sanctions history report?  |
| G35 |  |  | Does the system produce the vendor food prices comparison report? |
| G36 |  |  | Does the system produce the status of vendor authorizations report?  |
| G37 |  |  | Does the system produce the vendor authorizations milestones report?  |
| G38 |  |  | Does the system produce the report of vendors in participants’ geographical areas?  |
| G39 |  |  | Does the system produce the vendor compliance summary report?  |
| G40 |  |  | Does the system produce the vendor compliance history report?  |
| G41 |  |  | Does the system produce the report of targeted vendors for routine monitoring?  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| G42 |  |  | Does the system maintain data about completed routine monitoring visits?  |
| G43 |  |  | Does the system produce the vendor sales analysis report?  |
| G44 |  |  | Is the system capable of exporting vendor data for The Integrity Profile (TIP) Report to FNS? |
| G45 |  |  | Does the system produce the compliance investigations and sanctions summary report?  |
| G46 |  |  | Does the system produce the high mean value report?  |
| G47 |  |  | Does the system produce the low variance report?  |
| G48 |  |  | Does the system produce the summary Food Instrument reconciliation report by vendor?  |
| G49 |  |  | Does the system capture the date of vendor training?  |
| G50 |  |  | Does the system capture the type of vendor training (annual versus interactive)? |
| G51 |  |  | Does the system store the vendor compliance investigation type?  |
| G52 |  |  | Does the system store the vendor compliance investigation activity date?  |
| G53 |  |  | Does the system store the vendor compliance investigation activity results?  |
| G54 |  |  | Does the system store the vendor compliance investigation reason?  |
| G55 |  |  | Does the system maintain data about completed compliance investigations?  |
| G56 |  |  | Does the system store the vendor compliance investigation violation indicators?  |
| G57 |  |  | Does the system store the vendor compliance investigation Food Instrument serial numbers?  |
| G58 |  |  | Does the system store the vendor complaint subject? |
| G59 |  |  | Does the system store the vendor complaint summary? |
| G60 |  |  | Does the system store the vendor complaint date?  |
| G61 |  |  | Does the system store the vendor complaint source type?  |
| G62 |  |  | Does the system store the vendor's sanction effective date?  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| G63 |  |  | Does the system store the vendor's administrative hearing outcome?  |
| G64 |  |  | Does the system store the vendor's administrative hearing start date?  |
| G65 |  |  | Does the system store the vendor's administrative hearing current status?  |
| G66 |  |  | Does the system store the vendor's administrative hearing sanction type? |
| G67 |  |  | Does the system store whether the vendor was referred to SNAP?  |
| G68 |  |  | Does the system/program exchange information about sanctions imposed with the SNAP agency?  |
| G69 |  |  | Does the system store inventory audit/invoice audit data, status, and results? |
| G70 |  |  | Does the system produce reports on inventory audit/invoice audit data, status, and results? |
| G71 |  |  | Does the system store sanction points associated with sanctionable violations by vendor? |
| G72 |  |  | Does the system produce summary reports on sanction points accumulated by vendor? |

## Comments:

## System Administration

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| H1 |  |  | Describe the procedures used to store, retrieve, maintain, and control data.  |
| H2 |  |  | Is there is separation of duties between those who enter/process data (ie. SA/LA users) and those with the authority to modify the database (ie. System Administrator)? |
| H3 |  |  | Are all persons prevented from overriding or bypassing data validation on editing problems?  |
| H4 |  |  | Who has system override capabilities and what is their assigned role?  |
| H5 |  |  | Are all system overrides automatically logged by the application so that these actions can be analyzed for appropriateness and correctness?  |
| H6 |  |  | Are account codes, authorization codes, passwords, etc. controlled to prevent unauthorized usage? |
| H7 |   |  | Does the system provide confidentiality of access to WIC information to only personnel directly responsible for WIC administration and operations, with proper credentials signifying the "need to know" the content/data being accessed? |
| H8 |  |  | Does the agency use automated methods (e.g., file management system) to restrict access to computerized files?  |
| H9 |  |  | Has a formal change procedure for computer programs been established which requires management authorization before implementation? |
| H10 |  |  | Do programmers test modifications against test data as opposed to live? |
| H11 |  |  | Does the same programmer make code changes to programs as well as test these changes?  |
| H12 |  |  | Is an audit trail of all operating system actions maintained? |
| H13 |  |  | Is access to system utility programs denied to end users? |
| H14 |  |  | Does the system management function restrict access to application programs? |
| H15 |  |  | Does the system management function control movement of programs from test to production modes?  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| H16 |  |  | Does the system management function provide an audit trail of all changes made to programs? |
| H17 |  |  | Does the system management function remove obsolete programs on a regular basis from the source libraries?  |
| H18 |  |  | Does the system management function maintain object libraries?  |
| H19 |  |  | Does the system management function deny access to program libraries maintained by the system to computer operators? |
| H20 |  |  | Are there documented procedures for password assignment, maintenance, and cancellation?  |
| H21 |  |  | Is the delegation and maintenance of the password system limited to a select number of people?  |
| H22 |  |  | How many people have rights to delegate and maintain passwords? |
| H23 |  |  | Does the system have the capability to alert system administrators when there are personnel changes? |
| H24 |  |  | How frequently are passwords changed? |
| H25 |  |  | Who is assigned the responsibility for data storage?  |
| H26 |  |  | Are data storage procedures documented?  |
| H27 |  |  | Are sensitive files (such as security classification, participant data, or privacy act restrictions) properly identified as such and appropriately secured?  |
| H28 |  |  | Has an overall agency-wide responsibility for conducting periodic risk analyses been formally assigned?  |
| H29 |  |  | Does the risk analysis measure vulnerability related to fraud or theft or loss of proprietary data and harm to agency activities?  |
| H30 |  |  | How often are risk analyses conducted?  |
| H31 |  |  | Is a risk analysis required to be conducted whenever there is a significant change to the physical facility, hardware, or operating system software?  |
| H32 |  |  | Is there a list of all available access levels for the system and what can/cannot be done at each level? |
| H33 |  |  | Has the agency assigned responsibility for computer security at each office?  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| H34 |  |  | When an employee is terminated are appropriate measures taken to deny access to the system promptly?  |
| H35 |  |  | Do means exist to restrict access to the computer room or spaces where computer equipment is available for use?  |
| H36 |  |  | Is access to the computer area limited to necessary personnel?  |
| H37 |  |  | Is there proper management of data storage? |
| H38 |  |  | Does the system provide capability to transmit data to FNS?  |
| H39 |   |  | Is the system designed in such a way that it is easily expandable?  |
| H40 |  |  | Can major policy changes be incorporated into the system without major reprogramming?  |
| H41 |  |  | Explain your plans for the maintenance of the system.  |
| H42 |  |  | Is there a standard operating procedure that guides the preparation and maintenance of all source documents?  |
| H43 |  |  | Does program documentation include the original DFDD and any change orders or modifications?  |
| H44 |  |  | Does program documentation include detailed logic diagram or decision table?  |
| H45 |  |  | Does program documentation include Input record formats?  |
| H46 |  |  | Does program documentation include input record descriptions?  |
| H47 |  |  | Does program documentation include output record formats?  |
| H48 |  |  | Does program documentation include output record descriptions?  |
| H49 |  |  | Does program documentation include master file formats?  |
| H50 |  |  | Does program documentation include master file description? |
| H51 |  |  | Does program documentation include list of constants, codes, and tables used? |
| H52 |  |  | Does program documentation include source program listing?  |
| H53 |  |  | Does program documentation include object program listing?  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| H54 |  |  | Does program documentation include operating instructions?  |
| H55 |  |  | Does program documentation include a description of test data and protocols used to test system? |
| H56 |  |  | Is access to program documentation restricted?  |
| H57 |  |  | Are copies of all documentation stored off-site?  |
| H58 |  |  | How is stored program documentation periodically updated to match that being used?  |
| H59 |  |  | Is there written evidence of who performed the systems and programming work?  |
| H60 |  |  | Are all program changes and their effective dates recorded in a manner which preserves an accurate chronological record of the system?  |
| H61 |  |  | How often is documentation reviewed to ensure it is current?  |
| H62 |  |  | Is the WIC system operation independent from other agency operations?  |
| H63 |  |  | Have documented procedures been established covering the operations of the data center?  |
| H64 |  |  | Is downtime shown and explained?  |
| H65 |  |  | Is there an error log or report for each program run?  |
| H66 |  |  | Is there a procedure to prevent superseded programs from being used by mistake?  |
| H67 |  |  | Does the State have a list of retention periods for each type of transaction and record it maintains?  |
| H68 |  |  | Is a 3 year automated history kept on all records?  |
| H69 |  |  | Have emergency procedures been documented?  |
| H70 |  |  | Do the emergency procedures include steps to take in the event of a natural disaster?  |
| H71 |  |  | Are employees familiar with the emergency procedures?  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| H72 |  |  | Describe the process used on a periodic basis to purge records from the active file. How often? |
| H73 |  |  | Describe how disaster recovery arrangements have been planned, performed, and tested by the state. (Attach Narrative) |
| H74 |  |  | Is the computer center backed up by an uninterruptible power supply?  |
| H75 |   |   | Do you have an inventory of computer hardware available? |
| H76 |   |  | What is the system’s data capacity and what do you expect usage to be at full implementation?  |
| H77 |   |   | During stress testing, what was the number of concurrent users that could use the system without negatively impacting system performance? |
| H78 |   |   | How many concurrent users are now or are expected to be using the system? |
| H79 |   |   | What are the save points in the eligibility system that protect loss of data? |
| H80 |  |  | Does the system contain system user manual/guides?  |
| H81 |  |  | Is system training provided in a timely basis to allow for smooth implementation?  |
| H82 |  |  | Are provisions made for on-going system training of new user staff? (Provide listing of times and locations)  |
| H83 |  |  | Is management staff provided data for performance monitoring?  |
| H84 |  |  | Is management staff provided data to enable them to focus on areas where training may be necessary? |
| H85 |  |  | Is there a system in place to get users’ feedback?  |
| H86 |  |  | Are staff members informed timely of policy changes and the effective date of those changes in the system? How? (Attach Narrative)  |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| H87 |  |  | Are the users manuals updated in a timely fashion?  |
| H88 |  |  | Who is responsible for changes to the manuals? (Attach Narrative)  |
| H89 |  |  | Describe the training which user staff receives to prepare them to use the system. (Attach Narrative)  |
| H90 |  |  | Describe the training which technical staff received to enable them to operate and maintain the system. (Attach Narrative)  |
| H91 |   |  | What are average response times for administrative actions: Inquiry? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Processing of Data entry?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Screen Refresh?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Other Actions?\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  |

## Comments:

## Local Agency

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| I1 |   |  | How long does it take to certify a participant? (Total time) |
| I2 |   |  | Does the same individual do certification and food instrument issuance? |
| I3 |   |  | Does the system produce the necessary reports for the functional area?  |
| I4 |   |  | Are there any issues with the reports that you use? If yes, explain. |
| I5 |   |  | The above 2 questions should be asked of each LA functional area. |
| I6 |   |  | Does the system perform to your expectations?  |
| I7 |   |  | Are you experiencing any down time? Explain. |
| I8 |   |  | Do you have procedures in place in the event of downtime? (especially prolonged downtime) Explain. |
| I9 |   |  | Was the training for system use helpful? |
| I10 |   |  | Is the system user manual/on-line help useful? |
| I11 |   |  | Is there a designated contact or help-desk at the State agency for computer problems? |
| I12 |   |  | When changes are made to the computer programs, are they implemented smoothly? |
| I13 |   |  | Have you ever experienced any communications problems? If so, explain? |
| I14 |   |  | Are you generating any written notices/form/letters with the system? If so, which ones and how? |

## Comments:

|  |  |  |  |
| --- | --- | --- | --- |
| # | **Yes** | **No** | **QUESTION** |
| I15 |   |  | To what extent do you use the system to support nutrition education (scheduling, class roster, type of class, etc.)? |
| I16 |   |  | Should the system be expanded to better support nutrition education? In what ways? |
| I17 |   |  | Has the State explained to you how to generate and use reports in the development of the nutrition education plan? |
| I18 |   |  | Are you tracking immunizations? If so, to what extent? |
| I19 |   |  | Do you think the system has reduced errors? |
| I20 |   |  | What changes would you make to the system, if any? |
| I21 |   |  | Any other concerns, questions, etc. you would like to discuss concerning system operation? |

## Comments:

## Reports

Below is a list of suggested reports from the FNS Functional Requirements Document (FReD) for a Model WIC System, *Updated Jan 2009.* This list is provided as a reference. Some of these reports may be identified in the specific functional areas of this tool.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J1 |  |  | Certification | Bloodwork Needed | Lists individuals who need a follow-up appointment for a blood test. |
| J2 |  |  | Certification | Disqualified Participants Report | Provides information needed to prevent re-enrollment and for sharing with other WIC agencies during sanction period. |
| J3 |  |  | Certification | How Participant Heard About WIC LocalAgency 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. |
| J4 |  |  | Certification | Ineligibility Summary Reports for LocalAgency and State | Reports applicants deemed ineligible. |
| J5 |  |  | Certification | Migrant Participation Report | Provides the average annual migrant participation (from July to June) for use on the FNS-798 form submitted in July. |
| J6 |  |  | Certification | Nutrition Risk Assessment Needed | Lists individuals who need an appointment for nutrition risk assessment. |
| J7 |  |  | 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. |
| J8 |  |  | Certification | Participant Local WIC Agency and StateSummary Reports | Various participant summary reports at State and local levels. |
| J9 |  |  | Certification | Participant Services Summary Report | Summarizes WIC services provided to a participant. |
| J10 |  |  | Certification | Participant Source of Health Care Report | Reports the providers where the participant receives health/prenatal care. |
| J11 |  |  | Certification | Participant Summary Document | Summarizes case information for a participant for reference by local staff. May include current and historical case information. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J12 |  |  | Certification | Participants by County and MunicipalityLocal Agency and State Summary Reports | Lists participants by geographical grouping as specified (i.e. county, state, etc). |
| J13 |  |  | Certification | Pending Applications  | Reports the applications that are not yet completed, certified, or determined ineligible. |
| J14 |  |  | Certification | Referrals from WIC to External AgenciesSummary Report | Lists all referrals from a WIC agency to any external agency. |
| J15 |  |  | Certification | Referrals from WIC to Outside AgenciesLocal Agency and State Reports | Lists referrals of WIC participants to specific outside agencies. |
| J16 |  |  | Certification | Subsequent Certifications Due Summary Report | Reports participants in need of next certification visit. |
| J17 |  |  | Certification | Termination Report | Reports all participants terminated from the program or found ineligible. |
| J18 |  |  | Certification | Waiting List Local Agency Report andState Summary Reports | Reports the number of applicants on the waiting list and their priorities. |
| J19 |  |  | 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. |
| J20 |  |  | Certification | Special Formula/Medical Foods Received | Lists participants who are receiving special formula/medical foods and the reason. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J21 |  |  | Certification, Financial management | WIC Program State Agency Participationand 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. |
| J22 |  |  | 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. |
| J23 |  |  | Nutrition Education,Health Surveillance, &Referrals | High Risk Participants Report | Lists high risk participants and should include high risk indicators to aid in follow up. |
| J24 |  |  | 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. |
| J25 |  |  | Nutrition Education,Health Surveillance, &Referrals | Participant Percentile Change Report | Displays participant growth over time in tabular format. |
| J26 |  |  | Nutrition Education,Health Surveillance, &Referrals | Participant Referral Report | Lists participants referred and agency or program to which they were referred. |
| J27 |  |  | Nutrition Education,Health Surveillance, &Referrals | Referrals to/from WIC ByProgram/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. |
| J28 |  |  | Nutrition Education,Health Surveillance, &Referrals | Voter Registration Report | Reports participants assisted in voter registration. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J29 |  |  | Nutrition Education,Health Surveillance, &Referrals | WIC Program Participant CharacteristicsMinimum and Supplemental Data sets forFNS (PC Report) | Data file for FNS. |
| J30 |  |  | Nutrition Education,Health Surveillance, &Referrals | Report for Centers for Disease Controland Prevention – PedNSS60 | Nutrition Education, Pediatric Nutrition Surveillance Set data file for CDC. |
| J31 |  |  | Nutrition Education,Health Surveillance, &Referrals | Report for Centers for Disease Controland Prevention – PNSS61 | Pregnancy Nutrition Surveillance Set data file for CDC. |
| J32 |  |  | 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. |
| J33 |  |  | Food Management | Approved Food Packages | Lists and describes the food packages for each category of participant. |
| J34 |  |  | Food Management | Food Category/Subcategory Table | List of all food categories and subcategories. Food Price List Lists foods at the Category/Subcategory level and their maximum prices allowed by peer group. |
| J35 |  |  | Food Management | Estimated Food Redemption Values | Provides data at the Category/Subcategory level on the estimated value for each food type by peer group. |
| J36 |  |  | Food Management | Food Management List of State Approved Food Instrument Types | Lists all food instrument types. |
| J37 |  |  | Food Management | Estimated Food Instrument and MaximumValues | Provides data on the estimated value for each food instrument type and the maximum value for that food instrument by peer group. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J38 |  |  | Food Management | Estimated Redemption Value for FoodInstruments 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. 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. |
| J39 |  |  | 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. |
| J40 |  |  | Food Benefit Issuance | Participants to Date by Local Agency | Lists all participants issued food benefits for the month to date. |
| J41 |  |  | Food Benefit Issuance | Lost And Stolen Food Instruments ByLocal Agency | Provides a list of food instruments that have been reported as lost or stolen. |
| J42 |  |  | Food Benefit Issuance | Food Instruments Issued (Monthly) | A list of food instruments issued during a month period for use in reconciliation. |
| J43 |  |  | Food Benefit Issuance | Electronic Benefits Issued (Monthly) | A list of benefits via EBT issued during a month period for use in reconciliation. |
| J44 |  |  | Food Benefit Payment,Settlement &Reconciliation | Rebate Report | Lists all redeemed foods that are eligible for a rebate (e.g., infant formula or infant cereal). |
| J45 |  |  | Food Benefit Payment,Settlement &Reconciliation | Infant Formula Purchases | Totals the amount and value of all redeemed infant formula food instruments by type and form. |
| J46 |  |  | 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. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J47 |  |  | Food Benefit Payment,Settlement &Reconciliation | Food Instrument Rejection Reports byVendor | 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. |
| J48 |  |  | 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. |
| J49 |  |  | Food Benefit Payment,Settlement &Reconciliation | Redemption Value by Issue Month | Provides the actual redemption value by month of issuance for all food instruments. |
| J50 |  |  | Food Benefit Payment,Settlement &Reconciliation | Summary Food Instrument Redemptions by Vendor | Provides the value of food instrument redemption broken out by vendor. |
| J51 |  |  | 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. |
| J52 |  |  | 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. |
| J53 |  |  | Food Benefit Payment,Settlement &Reconciliation | Monthly Food Obligations andRedemption Report | Lists monthly food obligations (by food category/subcategory) versus monthly food redemptions (by food category/subcategory) by local agency. |
|  |  |  |  |  |  |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J54 |  |  | 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. |
| J55 |  |  | Financial Management | WIC Local Agency Directory Report (FNS-648) | Provides the name and address of each local agency funded by the Stateagency or Indian Tribal Organization. |
| J56 |  |  | Financial Management | Breast Pump Budget and Expenditures | Provides data on each local agency’s breast pump expenditures and compare expenditures to their budget. |
| J57 |  |  | Financial Management | Cash Flow | Shows cash inflows and outflows on a daily basis. |
| J58 |  |  | Financial Management | Local Agency NSA Expenditures | Provides data on each local agency’s expenditures and compare expenditures to their budget. |
| J59 |  |  | Financial Management | NSA Budget by Local Agency | Provides the local level NSA budgets by function and line item. |
| J60 |  |  | 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. |
| J61 |  |  | Financial Management | State Agency NSA Budget | Provides the State level NSA budget by function and line item. |
| J62 |  |  | Financial Management | Summary of Food Expenditures | Provides data on total obligations and outlays for the year to date. |
| J63 |  |  | 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. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J64 |  |  | 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. |
| J65 |  |  | Caseload Management | Caseload by Local Agency | Shows caseload by local agency. |
| J66 |  |  | Caseload Management | Caseload by Local Agency | Shows caseload by local agency. |
| J67 |  |  | Caseload Management | Local Agency Caseload Utilization | Shows caseload, participation, and percent of caseload reached. This report could include a graphical component. |
| J68 |  |  | Caseload Management | Local Agency Participation Profile | Shows each local agency’s participation characteristics. |
| J69 |  |  | Caseload Management | Monthly State Caseload Target | Shows the caseload target and the assumptions used to arrive at the caseload level. |
| J70 |  |  | Caseload Management | No-Show Report | Shows rates and performance statistics by local agency or clinic for missed appointments. |
| J71 |  |  | Caseload Management | Potential Eligibles Data | Displays the potential eligibles for the State agency and by local agency.  |
| J72 |  |  | Operations Management | Clinic/Patient Flow Report | Provides a summary of factors studied in clinic or patient flow analysis. |
| J73 |  |  | OperationsManagement | Complaints About Participants Report | List of participants for which complaints are filed and nature of complaint. |
| J74 |  |  | OperationsManagement | 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. |
| J75 |  |  | OperationsManagement | 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. |
| J76 |  |  | OperationsManagement | Inventory Status Report-Non-Serialized Item Stock | Provides the status of non-serialized items in storage and shipped to local agencies. |
|  | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J77 |  |  | OperationsManagement | Inventory Status Report- Serialized Item Stock | Provides status of serialized items in storage and shipped to local agencies. |
| J78 |  |  | OperationsManagement | Local Agency Food Instrument InventoryStatus | 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. |
| J79 |  |  | OperationsManagement | Local Agency Card Inventory Status | Provides data on the card serial numbers assigned to each local agency. Itwould also identify the status of each card as unissued or void. |
| J80 |  |  | OperationsManagement | Local Agency/Clinic Participant ToStaff/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. |
| J81 |  |  | OperationsManagement | 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. |
| J82 |  |  | OperationsManagement | NSA Cost Per Participant By LocalAgency/Clinic Report | Provides a summary comparison of the NSA cost per participant among local agencies. |
| J83 |  |  | OperationsManagement | 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. |
| J84 |  |  | OperationsManagement | Participant Hearing Status Report | Provides a summary of participant hearings status. |
| J85 |  |  | OperationsManagement | Participants Shopping Outside TheirNeighborhoods Report | Lists participants that are shopping at vendors outside the normal geographic boundary of their addresses. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J86 |  |  | OperationsManagement | Participant Violations, Sanctions, andClaims Report | Provides reports on participant violations, sanction imposed and any claims collected. |
| J87 |  |  | OperationsManagement | Potential Clinic Abuse Indicators Report | Provides data on patterns that may indicate clinic abuse. |
| J88 |  |  | OperationsManagement | Potential Participant Dual ParticipationMatches Report | Lists participants that may be participating in another local agency within theState or in other State agencies or CSFP. |
| J89 |  |  | Vendor Management | Compliance Summary Report | Lists the vendors scheduled for compliance buys with data on the vendor’sname, address, history of past violations, high risk indicators, past routinemonitoring visits and date planned investigation and assigned investigator. |
| J90 |  |  | 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.). |
| J91 |  |  | 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. |
| J92 |  |  | Vendor Management | List of WIC A50 Vendors | List of all vendors will WIC sales equal to or in excess of 50 percent of theirfood sales. |
| J93 |  |  | 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. |
| J94 |  |  | 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. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J95 |  |  | Vendor Management | Average Food Instrument Redemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding theWIC 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. |
| J96 |  |  | 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. |
| J97 |  |  | 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. |
| J98 |  |  | Vendor Management | Average Food Item edemption 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. |
| J99 |  |  | 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. |
| J100 |  |  | Vendor Management | High Risk Vendors and Their Risk ScoresReport | 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. |
| J101 |  |  | 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. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J102 |  |  | 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. |
| J103 |  |  | 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. |
| J104 |  |  | 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. |
| J105 |  |  | 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. |
| J106 |  |  | 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. |
| J107 |  |  | Vendor Management | Vendor Complaint Log | Logs all complaints received about vendors, date received, complainant information and action taken. |
| J108 |  |  | Vendor Management | Vendor Compliance History | Consolidates all education, monitoring, and compliance activities for each vendor. |
| J109 |  |  | 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. |
| J110 |  |  | Vendor Management | Vendor Sanction and Appeal SummaryReport | Lists all vendors that the State agency has sanctioned and the vendor has appealed. It would have the date of ppeal, status of appeal, hearing date, and outcome of the hearing. |
| J111 |  |  | 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. |
| J112 |  |  | Vendor Management | Vendor Selection Assessment | Lists all applicant vendors and the selection factors used to determine authorization, including shelf/bid prices of supplemental foods. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J113 |  |  | Vendor Management | Scheduling Vendor Training Schedule | Provides a calendar of upcoming vendor training activities and the vendors scheduled to attend. |
| J114 |  |  | Vendor Management | Vendors By Peer Groups | Lists all vendors according to their peer group assignment. |
| J115 |  |  | Scheduling | Appointment Listing by Date Report | Lists appointments scheduled for a certain date for use by local staff in managing resources. |
| J116 |  |  | Scheduling | Appointments Kept vs. Missed Summary Report | Tracks incidences of missed appointments. |
| J117 |  |  | 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. |
| J118 |  |  | Scheduling | Clinic Calendar Report | Provides a report or the clinic calendar, showing appointments, availability, and staff commitment. |
| J119 |  |  | 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. |
| J120 |  |  | 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. |
| J121 |  |  | Scheduling | Missed Appointment Report | Lists the participants who missed an appointment and can be used for followup. Can be individual or aggregate. |
| J122 |  |  | Scheduling | Nutrition Education Class Attendance Report | Reports attendance at specific nutrition education class. |
| J123 |  |  | 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. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J124 |  |  | Scheduling | Upcoming Appointments Report | Lists upcoming clinic appointments for use by WIC staff in order to schedule resources appropriately. |
| J125 |  |  | Scheduling | Upcoming High Risk Appointments Report | Lists upcoming high risk appointments for the use of WIC staff in order to schedule resources appropriately. |
| J126 |  |  | System Administration | Authorized User Report | Provides a list of all authorized users at a specified site to assist the system administrator. |
| J127 |  |  | System Administration | Code Table Change Report | Allows users to identity when changes have been made to the content of data tables and who has made these changes.  |
| J128 |  |  | 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. |
| J129 |  |  | System Administration | 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. |
| J130 |  |  | 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. |
| J131 |  |  | 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. |
| J132 |  |  | System Administration | System Access Log Listing Report | Lists who has logged into the system during a specified period. |
| J133 |  |  | System Administration | System Back-up/Restoration Report | Provides detailed information about files that were backed-up or restored at a local clinic. |
| J134 |  |  | 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. |
| **#** | **YES** | **NO** | **FUNCTIONAL AREA** | **REPORT NAME** | **DESCRIPTION** |
| J135 |  |  | 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. |
| J136 |  |  | 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. |

## Comments:

**Appendix K-1**

**System Testing Guidance**

The MIS Integrity Review Tool can be a valuable instrument for both SA and FNS WIC staff to evaluate whether the MIS delivered meets all WIC functional requirements.

This paper discusses three go/no-go points in the System Development Life Cycle (SDLC) when the SA and Federal staff must evaluate whether a system is meeting expectations. The first point is prior to/during/after User Acceptance Testing (UAT). The next point is prior/during/after the Pilot Test. The third point is after the system has been rolled out Statewide and is ready to transition from implementation to the operations stage. This review tool was designed so it can be used during pre- or post-implementation reviews conducted by SA and/or Federal reviewers.

**User Acceptance Testing (UAT)**

The objective of systems development is to design a system that meets the needs of the user, not just the system specifications. User Acceptance Testing (UAT) is necessary to confirm that the developed system meets all user requirements. During and at the completion of the development phase of the project the SA should be prepared to participate in intensive UAT. UAT is a crucial part of the integration and testing phase of the SDLC. A common mistake is to assume testing is at the end of the system’s lifecycle development process and that it requires minimal attention. This can result in project delays since testing was not thoroughly conducted. Testers should work with users early in the project to define system criteria for meeting user needs, incorporate them into the acceptance test plan and create detailed test scripts. Once the acceptance criteria have been established, the testers should incorporate them into all aspects of development as much as possible.

UAT should be conducted in a simulated “real” user environment in which the users use simulated or real target platforms and infrastructures. This environment should be separate from the development or production environments, but as similar to the production environment as possible. Typically, a separate test environment is set up for testing by developers. An additional test environment is set up for UAT. The system should be tested from end-to-end, including both normal and abnormal conditions such as user mistakes. SAs should develop a formal UAT plan that includes real-life scenarios and establishes severity levels, error tracking software, results reporting and regression testing traceable to requirements or functionality documents. These scenarios should have detailed scripts, developed by SA project staff and/or consultants independent of the development contractor, so that any errors found can be easily replicated and regression tested, so that as errors are reported the developers will have a period of time to fix the errors and testers will have an opportunity to retest. To avoid a conflict of interest, it is critical that development and implementation team resources do not perform UAT testing. FNS strongly recommends that SA and local users participate in the UAT. At the end of the UAT testing, an acceptance decision must be made based on the results of this testing, followed by users sign-off upon successful completion of the UAT plan.

**Pilot Testing**

The goal of the Pilot Test is to achieve a high probability that the implemented system will meet the objectives specified in the approved Implementation Advance Planning Document (IAPD). The Pilot Test is a key milestone in project development and occurs when a fully functional prototype system is available for testing, but before statewide implementation. When a contractor is used for system development, the contract should clearly state that the SA’s approval of the Pilot Test results is a condition of project continuation. This provision ensures that SAs have control of the development process. SAs are responsible for defining go/no-go criteria, and FNS may also establish go/no-go points for continuation of the project. Successful UAT and Pilot testing are commonly used decision points.

Pilot acceptance testing may be performed by the State and/or by an independent contractor, but not by the contractor developing or transferring the system. This will ensure the testing results are not biased as a result of a conflict of interest. Optionally, FNS may participate in the Pilot Test to assist and corroborate the findings of the SA. If the SA intends to use an independent contractor for contract monitoring or Quality Assurance (QA), those activities must be incorporated into the project schedule and budget.

In some cases, prior approval of funds by FNS may be conditional on the results of the Pilot Test; therefore, SAs must plan to secure this approval before rollout of the system beyond the pilot area. In particular, SAs should submit documentation of the results and findings of their pilot tests to FNS.

In planning for the Pilot Test, the SA should ensure that the test, at a minimum, includes the following elements:

1. **Performance Test** - To simulate system operation, and thereby project whether the system will meet the criteria in the IAPD for sizing, performance, and capacity;
2. **Systems Test** - To ensure that each component, as delivered by the contractor or SA systems staff, operates in accordance with the design specifications;
3. **End-to-End Test** - To ensure that the interactions between each component and interface perform in accordance with the design specifications. This must include reconciliation between the SA’s banking contractor or EBT processor and the SA’s system.

The Pilot Test needs to be completed or conducted on the entire system in a “live” environment to ensure that it will meet the objectives of the IAPD after implementation. If a legacy system exists, this test will involve parallel processing of data (e.g., calculation of benefits based on household or participant information) through the current and pilot system, and then comparing the results.

Results of the Pilot Test must be evaluated to determine if the system is ready to be rolled out to the rest of the Geographic State or Indian Tribal Organization (ITO). As stated earlier, this is another significant go/no-go point for continuation of the project.

More information on testing and other system-related information can be found in FNS Handbook 901 located at: <http://www.fns.usda.gov/apd/Handbook_901_2007/HB901_2007.htm>

When evaluating the plan for system testing, pilot and implementation, the following information should be gathered and questions asked if not specified in the SA’s planning documents:

1. What is the projected timeframe for each of these phases; UAT, pilot, rollout?
2. What are the go/no-go criteria for determining when to move from one phase to the next?
3. What scenarios are being tested during UAT?
4. Are these scenarios scripted?
5. Who identified the scenarios to be tested and developed the scripts?
6. What is the profile and number of staff involved in UAT?
7. When errors are found, how are they prioritized?
8. Are fixes regression tested and validated by UAT staff?
9. How is the conversion process being tested?
10. Is an interface being built between the legacy and new system so they can run in parallel during the pilot?
11. Will the new system become the “system of record” during the pilot?
12. What is the plan for rolling the new system out to the rest of the Geographic State or ITO? Is it a phased rollout?

# Appendix K-2

# Acronyms

|  |  |
| --- | --- |
| APD | Advance Planning Document  |
| BF | Breast Feeding |
| CDC | Centers for Disease Control |
| CPA | Competent Professional Authority |
| CSFP | Commodity Supplemental Food Program |
| CVV | Cash Value Voucher |
| DFDD | Detailed Functional Design Document |
| EBT | Electronic Benefit Transfer |
| FFY | Federal Fiscal Year |
| FI | Food Instrument |
| FNS | Food and Nutrition Service |
| FTE | Full Time Equivalent  |
| HH | Household |
| HIV | Human Immunodeficiency Virus |
| IAPD | Implementation Advance Planning Document |
| ID | Identification |
| ITO | Indian Tribal Organization |
| LA | Local Agency |
| LMP | Last Menstrual Period |
| MIS | Management Information System |
| NSA | Nutrition Services & Administration |
| PedNSS | Pediatric Nutrition Surveillance System |
| PIR | Post or Pre Implementation Review |
| PM | Policy Manual |
| PNSS | Pregnancy Nutrition Surveillance System |

# Acronyms

|  |  |
| --- | --- |
| QA | Quality Assurance |
| SA | State Agency |
| SDLC | Systems Development Life Cycle |
| SNAP | Supplemental Nutrition Assistance Program |
| SOAP | Subjective Objective Assessment Plan |
| TANF | Temporary Assistance to Needy Families |
| TIP | The Integrity Profile |
| UAT | User Acceptance Testing |
| USDA | United States Department of Agriculture |
| VENA | Value Enhanced Nutrition Assessment |
| VOC | Verification of Certification |
| WIC | Special Supplemental Nutrition Program for Women, Infants & Children |

# Appendix K-3

# Review Cover Sheet

**STATE:** **Review Date(s**)

 **System Name**:

**Reviewer(s):**

**SA:**

**FNS:**

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