



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.

A. 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:

#	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:

#	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:

B. 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:

#	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 appropriate 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:

#	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:

C. 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:

#	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:

D. 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:

E. 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:

F. 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:

G. 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:

H. 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:

I. 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:

J. 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 Local Agency and State Summary Reports	Lists how participants found out about the WIC Program. The report is to be used by agency staff to evaluate outreach efforts.
J4			Certification	Ineligibility Summary Reports for Local Agency 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 State Summary 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 Municipality Local 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 Agencies Summary Report	Lists all referrals from a WIC agency to any external agency.
J15			Certification	Referrals from WIC to Outside Agencies Local 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 and State 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 Participation and Expenditure Report (FNS-798)	Provides monthly participation data, sorted by category and expenditure data, sorted by food and administration. This report also reflects monthly food and NSA funds and costs, as well as the status of food and NSA grants as State agencies exercise spending options. The closeout FNS-798 records the final status of the State agency's WIC grant and costs for the report year.
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 By Program/Agency Report	Supports the analysis of referral program effectiveness by identifying those external health and social service agencies that refer Participants to WIC or receive referrals from WIC.
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 Characteristics Minimum and Supplemental Data sets for FNS (PC Report)	Data file for FNS.
J30			Nutrition Education, Health Surveillance, & Referrals	Report for Centers for Disease Control and Prevention – PedNSS60	Nutrition Education, Pediatric Nutrition Surveillance Set data file for CDC.
J31			Nutrition Education, Health Surveillance, & Referrals	Report for Centers for Disease Control and 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 Maximum Values	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 Food Instruments Issued	Lists by month of issue, all food instruments issued and their estimated redemption value by peer group. The system should array the data by local agency and total for the State agency. 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 By Local 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,	Food Instrument	Provides a listing of specific food instruments that the system has

			Settlement & Reconciliation	Rejection Reports by Vendor	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 and Redemption 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	Provides a breakout of total fiscal year NSA expenditures by category— Nutrition Education, Breastfeeding, Client Services and

				and Participation Report (FNS-798A)	Program Administration.
J55			Financial Management	WIC Local Agency Directory Report (FNS-648)	Provides the name and address of each local agency funded by the State agency or Indian Tribal Organization.
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			Operations Management	Complaints About Participants Report	List of participants for which complaints are filed and nature of complaint.
J74			Operations Management	Customer Service Calls and Outcomes Report	Provides a log of type of calls received and their disposition. Customer Service reports generated by an ARU can provide the number of calls handled by type (i.e., by provider, Participant, and vendor), average time to handle call, reason for call, number of automated versus operator assisted calls, and time to answer calls.
J75			Operations Management	Dual Enrollment/Dual Participation Report	Lists matches of demographic information (i.e. name, address, sex, start/end dates of certification) that could potentially show dual enrollment or dual participation.
J76			Operations Management	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			Operations Management	Inventory Status Report-Serialized Item Stock	Provides status of serialized items in storage and shipped to local agencies.

J78			Operations Management	Local Agency Food Instrument Inventory Status	Provides data on the food instrument serial numbers assigned to each local agency. It would also identify the status of each food instrument as unissued, redeemed, or void.
J79			Operations Management	Local Agency Card Inventory Status	Provides data on the card serial numbers assigned to each local agency. It would also identify the status of each card as unissued or void.
J80			Operations Management	Local Agency/Clinic Participant To Staff/Facility Statistics Report	Provides an analysis of ratio of local agency/clinic participant to staff type and square foot of space to enable State and local agencies to monitor and assess the workload of the Local Agency.
J81			Operations Management	Local Agency/Clinic Profile Data Report	Provides a snapshot of local agency or clinic operations for review by State agency or preparation for site visitation. Profile will include information that reflects the size, capacity, productivity, and operating costs of the local agency or clinic.
J82			Operations Management	NSA Cost Per Participant By Local Agency/Clinic Report	Provides a summary comparison of the NSA cost per participant among local agencies.
J83			Operations Management	Outreach Organizations Report	Enables local agencies to review outreach organization information and provide mailing labels in order to increase participation levels when additional caseload is assigned by the State agency.
J84			Operations Management	Participant Hearing Status Report	Provides a summary of participant hearings status.
J85			Operations Management	Participants Shopping Outside Their Neighborhoods Report	Lists participants that are shopping at vendors outside the normal geographic boundary of their addresses.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J86			Operations Management	Participant Violations, Sanctions, and Claims Report	Provides reports on participant violations, sanction imposed and any claims collected.

J87			Operations Management	Potential Clinic Abuse Indicators Report	Provides data on patterns that may indicate clinic abuse.
J88			Operations Management	Potential Participant Dual Participation Matches Report	Lists participants that may be participating in another local agency within the State or in other State agencies or CSFP.
J89			Vendor Management	Compliance Summary Report	Lists the vendors scheduled for compliance buys with data on the vendor's name, address, history of past violations, high risk indicators, past routine monitoring visits and date planned investigation and assigned investigator.
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 their food 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 the	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.

				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 Scores Report	Lists all vendors designated as high risk, the reason for high risk identification, their respective risk scores and the factors that support the risk scores. The report should array the vendors by location to facilitate the scheduling of compliance investigations.
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 Summary Report	Lists all vendors that the State agency has sanctioned and the vendor has appealed. It would have the date of appeal, status of appeal, hearing date, and outcome of the hearing.
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.	Tracks incidences of missed appointments.

				Missed Summary Report	
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 identify 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:

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:

Performance Test - To simulate system operation, and thereby project whether the system will meet the criteria in the IAPD for sizing, performance, and capacity;

Systems Test - To ensure that each component, as delivered by the contractor or SA systems staff, operates in accordance with the design specifications;

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?

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

Review Cover Sheet

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

System Name: _____

Reviewer(s):

SA: _____

FNS: _____

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