

EBT READINESS

WIC Information System (IS) Developing Functionality Needed to Support EBT

INTRODUCTION

Objective—EBT Readiness

This document is written as a companion piece to the Functional Requirements Document for a Model WIC Information System (with EBT) (Fred-E) by discussing the functions that are new or changed within a WIC IS when delivering WIC benefit via an electronic benefits transfer (EBT) system. All readers are encouraged to review FRED-E to be familiar with basic WIC EBT functionality. Section 3.0 of Fred-E contains specifics on EBT Functions.

This document is intended for use by all WIC State Agencies as they build or update WIC information systems (IS). It describes basic preparations needed in the WIC IS to be ready to use EBT. The document is organized according to logically related functions within the IS and attempts to outline most of the major functional changes that will be needed to accommodate WIC EBT.

The term “EBT Ready” refers to the full range of capability of a State’s WIC IS to issue benefits to an Electronic Benefit Account (EBA) for one or more individuals.

Background

The earliest EBT systems used smartcards for WIC purchases that carried an embedded computer chip in order to: 1) maintain available food prescription balances; and 2) calculate benefits purchased. Use of magnetic stripe cards to provide WIC food benefit access during a WIC purchase is now operating as well. Regardless of whether smartcards or magnetic stripe cards are used for EBT, certain changes to WIC IS will be required for either approach.

While WIC EBT pilots are few in number, WIC EBT States have gained substantial knowledge that can be used by other States to prepare for what is seen as WIC’s electronic future. Because all managers of WIC funds must maximize the return on their funds and their resources, FNS views it as essential that all WIC State agencies incorporate these basic changes when they develop new systems or modify existing systems so that they can become “EBT Ready.” This general and early preparation will minimize the costs of change and spread them across time so that migration to WIC EBT will be part of normal development and enhancement of WIC systems.

When EBT implementation occurs, the IS either activates the EBT Ready functional ability or makes use of it in functional sequences through interfaces unique to EBT implementation. The EBT system may be held internal to the State or may be provided by a contractor external to the State.

Scope

The scope of this document is focused on “what” needs to be addressed to be EBT Ready rather than “how.” The document discusses general implementation steps and points out issues associated with potential EBT

system design features since these will vary across WIC State agencies, depending on specific features of each State agency's IS and EBT system.

1.0 Food Benefit Issuance Functions

1.1 Establish and Maintain State WIC Food Category and Subcategory

The Food and Nutrition Service has adopted an FNS National Standard WIC Food Category and Subcategory coding framework, referred to herein as the FNS Food Cat/Subcategory Table, for use by all WIC State agencies. This document lists the generic WIC food types; identifies each food's unit of measure and container sizes available; and assigns a code to each food type. The standard coding scheme provides a major advantage to WIC in less costly software programming by State agencies, retailers, and IS and EBT system contractors over the long term. This coding scheme is needed regardless of whether the State agency chooses on-line or off-line EBT technology. It is the expectation that State systems will be able to report PCMDS foods issued according to the category/subcategory coding framework. For more information, see the FNS Food Cat/Subcategory Table.

As State agencies develop new or updated MIS, they need to have the capacity to relate food packages to the standard category/subcategory tables. This will enable the MIS to report benefits in the Participant Characteristics Minimum Database system according to a common coding scheme. For EBT, the capacity to relate each food item prescribed to a category/subcategory code can be activated once the State agency changes to electronic benefit delivery.

The FNS Food Cat/Subcategory Table will be updated by FNS as needed to reflect modifications in WIC food packages nationally. It is anticipated that most existing categories and subcategories will remain the same, since they are the basis for identifying and computing WIC food balances used in WIC EBT. Each infant formula will continue to have its own subcategory due to the diversity in the number and types of formula issued by the WIC Program. These separate subcategories for infant formula will also act with each store's scanning system and the approved UPC to prevent selection of an incorrect formula type for WIC infants. The UPC information will provide redemption tracking for infant formula and other product rebates.

Each State will need to incorporate a current FNS Food Cat/Subcategory Table into its IS to assure that a uniform national structure is maintained across all WIC State agencies as required by Congress. FNS is required by legislation to develop a national UPC database for use by all WIC State agencies. This database will utilize the FNS Food Cat/Subcategory Table. The target date for completion of the national UPC database is December 2006.

From the FNS Food Cat/Subcategory Table, each State agency will develop its own State Food Cat/Subcategory Table within its IS to limit specific food items and brands to those allowed by that particular State agency. For example, one State agency may authorize all calcium fortified juice to be purchased, while another State agency may be more restrictive.

Input: FNS Food Cat/Subcategory Table

Process:

- Record and maintain the FNS Food Cat/Subcategory Table in the IS.
- Develop and maintain a State Food Cat/Subcategory Table using the FNS Food Cat/Subcategory Table as the standard coding scheme.

Output: State-specific Food Cat/Subcategory Table

1.2 Assign Food Packages

Currently, some WIC systems stratify food package issuance information by food package type. For example, food instrument type 101 might represent a pregnant woman's package, while type 102 might represent a child's package. For EBT, food package issuance information is needed by food category/subcategory within a participant's food package. As always, the nutritional basis for food packages drives the selection of foods to include in the food package issued. EBT enables States to issue benefits and track food redemption by food type and individual food item. (See Functions 1.5 and 4.3 below for use of Universal Product Codes (UPCs) in controlling and monitoring actual food purchases. For discussion of a related, but different topic, one-to-one food item price reconciliation, see Function 4 Food Benefit Redemption and Reconciliation Functions .)

The IS system should record and display each food category/subcategory code and the number of units issued, even if benefits are issued as a "package". This will allow the issuance stored in the database to be 1) held in a family Electronic Benefit Account (EBA), 2) sent from the IS to an EBT Host, and 3) if applicable, written directly to a smartcard. The State food category/subcategory table provides a common and efficient communication with EBT processors and is also used with card-reader interfaces in the grocery store.

The FNS Food Cat/Subcategory Table is coded in a way that allows State agencies to control the issuance of specific foods to specific individuals. For example, States may want to issue low fat milk to certain participants while allowing other participants to purchase any kind of milk. Or States may want to conserve funds by restricting the purchase of products that come in smaller sizes and are, therefore, more expensive than larger container sizes. Moreover, the order in which foods or various unit sizes are purchased can have an impact on the participant's ability to maximize the purchase of all foods available.

Input: State-specific Food Cat/Subcategory Table

Process:

- Configure WIC food packages using the State's category/subcategory codes and standard units of measure.
- Record each participant's food prescription by food category/subcategory and quantity using standard units of measure
- Aggregate each participant's food issuance data into a unique and appropriate family EBA.
- Alternatively, States may assign food packages by aggregating the food packages first and then assign the category/subcategory codes.

Output: Participant's monthly food prescription by State food category/subcategory and quantity in standard units.

EBA monthly aggregated food prescription by State food category/subcategory and quantity in standard units for all participating family members.

1.3 Maintain UPC Code for Each Item Authorized

States need to have capability to add product information by Universal Product Code (UPC) for each item authorized by the State agency in their State Food Cat/Subcategory Table and maintain this file as their State UPC Database. Furthermore, they must ensure that the State UPC Database is kept up-to-date to reflect changes made by

- 1) State staff in managing food item approvals;
- 2) FNS in managing the FNS Food Cat/Subcategory Table;
- 3) Stores who change suppliers and Product/Price Look Up (PLUs); and
- 4) Manufacturers who change, initiate, and discontinue UPC codes.

NOTE: States still using checks would not want to expend the resources to maintain and update UPCs until they convert to EBT and would then hopefully be able to download an update to their template/original base data at that time.

The State UPC Database will need to be retained as an internal reference table as well as a file to interact with the National UPC Database. The State UPC Database will include only selected UPC items that the State agency allows as WIC approved food items. Stores sometimes establish a PLU number that is used like a UPC number in order to identify products that are unique to that store or that chain of stores. If these products are approved for WIC, a State will need to include these PLU numbers in their UPC Database.

The UPC table and associated category/subcategory Table must be related to the benefits aggregated by family at the time they are determined by the State IS.

The State UPC Database will need to be retained in history files in accordance with standard record keeping requirements in case of a later need for problem resolution. The IS should automatically record the date of a record/file change. When States make a change to a UPC; an effective date for the change could be required as a data entry field (will usually be the date of entry, but may allow WIC database changes in advance of product availability in stores); (NOTE: varies by store and often not known) and a date that WIC approval expires for a UPC (when a product is no longer available from manufacturers and/or no longer available in stores). States may also want to include date of data collection from vendors and associate the vendor peer group with the UPC and PLU data collection.

Input: UPC codes for each WIC-authorized food item within the State; and/or
PLU codes for each WIC-authorized food item within the State
Vendor peer group to which UPC or PLU applies
Date of UPC or PLU entry into file
Effective date for using UPC or PLU (scheduling date)
Date UPC or PLU expires (scheduling date)
Date of most recent change to the file
Staff ID of individual making change to file

Process:

- Populate the State UPC Database.
- Permit system entry of UPCs and PLUs.
- Maintain UPCs and PLUs for all State-authorized foods and incorporate updates to the FNS Food Cat/Subcategory Table.

- Provide administrative file-search capability by UPC/PLU number, manufacturer name, brand name, category/subcategory name, and name of food item or infant formula, etc.

Output: Read-only access to all food items, associated peer groups, and scheduling dates for general WIC staff
 Read-write access to all variables for designated administration staff
 Read-only access to UPCs and PLUs for EBT Host/Retailer reference file and scheduling dates for the EBT Host.
 Read-only access for upload of current UPCs and PLUs to the FNS National UPC Database.

Note: Recent changes by the Universal Code Council in the U.S. increased the 12 digit UPC to a global 14 digit code. Some States have added up to 17 digits to allow for future increases in the UPC lengths.

1.4 View Participant Food Prescription and EBA Issuance as Held by the IS

For use at the State and local levels, provide ability to view data for both paper and EBT issuance including EBT history files of changes to EBAs and participant food prescriptions.

NOTE: EBT “talk” can get confusing relative to “card issuance” and “benefit issuance”. For better clarity in communications regarding food benefit provision in the IS via EBT, Wyoming suggests use of the following three terms delineating the 3 steps involved in “issuance”:

- 1) Card setup: refers to any new or replacement card setup;
- 2) Benefit Authorization or Benefit Assignment: refers to the identification of the prescription food package by the CPA and the entering of the food package number into the IS data field;
- 3) Benefit processing: refers to the function (a separate step in the IS) of combining the food packages for the family group/household into a single EBT issuance for the month and placing them onto a card or into a batch and/or sending them to the EBT host to be combined into one.

Input: Participant’s monthly food prescription by food item and quantity in standard units.
 EBA for family’s monthly aggregated food benefits by food item and quantity in standard units.
 Search may require a family ID or card number.

Process:

- View food categories/subcategories and quantities issued to each participant by begin and end dates of benefit period (up to a maximum number of months issued as selected by the State).
- View food categories/subcategories and quantities issued to the FID (please define acronym) or EBA for the participant’s family household. (A participant may be part of only one FID or EBA at a time.)

Output: Screen display of participant’s monthly food prescription by State food category/subcategory and quantity in standard units in IS.
 Screen display of EBA for family’s monthly aggregated food prescription by State food category/subcategory and quantity in standard units.

1.5 Produce and/or Process Reports Relating Food Benefit Issuance and History of Food Prescription Changes and History of EBA Issuance as Recorded by the IS

For use at the State and local levels, produce and manage reports to include information from both paper and EBT issuance and EBT history of current-month and future-month prescription changes.

The WIC IS should be capable of producing issuance reports that capture for each food category/subcategory code, the food quantity issued. This will allow the issuance stored in the IS database to be held in an EBA for use by the EBT processor, and if applicable, to be written to a smartcard by providing a common communication stream for card readers in clinics and grocery stores.

This information will also facilitate State reporting through the biennial WIC Minimum Data Set, detailed information on food issuance. FNS is frequently asked by Congress to supply information on the foods that State agencies are issuing to participants. (NOTE: more important to see what they actually purchase.) This information will continue to be needed for policy decision making on WIC food package issues.

Because of the number of factors that may be analyzed in relation to food redemptions, it is recommended that IS reports provide variable search and selection capabilities. Data warehouse tools may allow States to optimize production of various reports.

Input: Current and history files from IS for EBT issuance
Issuance site ID
WIC staff member ID (for staff who made issuance changes)

Process:

- Use food category/subcategory and standardized units of measure to report WIC EBT issuance for participants and their EBAs
- Exclude issuance for EBT tests, store certification transactions, and compliance buys
- Develop IS Reports to monitor trends in EBT issuance of WIC food benefits
- Develop IS Reports to project WIC EBT food issuance by WIC participant category and estimate future WIC EBT food cost obligations
- Develop IS Reports to summarize food issuance patterns by selected WIC participant characteristics. For example, foods issued to teenage women under WIC EBT (The WIC Minimum Data Set has some key characteristics that can be used as selecting criteria for reports.) NOTE: Once you aggregate food packages on the EBT Host, you can't tell which "common" benefits were purchased from which food package except infant formula and enhanced breastfeeding tuna and carrots.

Output: Screen displays and printed reports as specified by the State for use at State and local levels
Search and selection criteria for report variables

1.6 View from the Clinic the Current EBT Host Record for Each EBA's Food Item Balance and Future Months for Each EBA/EBT Host Record

Through EBT system reporting or EBT system interface, allow authorized clinic staff to view the EBT Host issuance for current and future months held by the EBT Host. This is also referred to as the EBA balance information. If applicable, use the clinic card device to display the current balance of food benefits held on a smartcard. (These balances can be observed via the host for online systems.)

Input: Searchable report from or access to EBT Host EBA balances
Report of food category/subcategory balances by benefit start and end dates as provided by software for a smartcard reader

Process:

- View the currently reconciled food categories/subcategories and quantities remaining in the EBA as provided by or accessed through the EBT Host. NOTE: EBT Host may contain/display a previously issued current-month benefit balance not yet updated by today's purchase info in an offline system.
- Read benefits remaining on a smartcard for the current and/or specified future benefit periods

Output: Screen display of the EBA shopping list for the current, prior, or future benefit period from either EBT Host or smartcard reader. NOTE: Current month benefits only are recommended; printing prior or future month shopping lists could be too confusing to the participant.

1.7 Print at the Clinic the Current EBA Balance (Monthly Shopping List), and/or Future or Past Benefits Held on the EBT Host and/or Written to a Smartcard

In order to issue, void, and reissue benefits or to assist WIC clients in researching problems with issuance, WIC staff will occasionally need to print the currently available EBA balance (shopping list) and past or future benefits as held by the EBT Host. Depending on the EBT design, EBT Host balances may be accessed through a report submitted to the IS by the EBT Host or through an EBT Host interface. It is a read-only report and does not provide the ability to adjust benefits. The extent of history available for this report will need to be determined for this capability.¹

Input: EBT Host reports for current, future, and past EBA balances
EBT Host interfaces for current, future, and past EBA balances

Process:

- Print on-demand the currently available food categories/subcategories and quantities and/or those for future benefit period for any EBA held by the EBT Host.
- Print on-demand food items and quantities for selected past EBA issuances as available through EBA history files maintained by the IS and/or the EBT Host.² USDA suggests a 6-12 month history be available at minimum to a State employee.
- Add a confirmation to instruct the authorized user to type a PIN after the card is inserted into the device.
- Print the shopping list
- Add a confirmation to instruct the authorized user to remove the card.

Output: Printed monthly food balance (shopping list) for selected WIC benefit start and end dates (or benefit periods).

*Note*¹: The need to view prior benefit periods should be discussed since the amount of data required to be held in historic files will need to be sized and costs considered.

*Note*²: The format for this family shopping list should match the client balance inquiry format printed at the retailer. The data elements to be included on the WIC shopping receipt are likely to become standardized.

1.8 Set Up a Card Account and Assign the EBT Card to a Family Household

The management of cards for EBT may be done within the IS or may be delegated to the EBT processor. States with most experience in this card management say that incorporating card management functions within the IS becomes more efficient and economical over the long term. Some IS systems may contain this capability as an option that can be activated when EBT is implemented.

EBT card stock has a PAN recorded on each EBT card. The card inputs the PAN automatically when entered into a card reading device. (Card reader operating systems are not addressed in this document.) NOTE: Wyoming has received two batches of new cards where the PAN on the outside of the card was not programmed correctly to the smart chip. (The numbers were “off”.) Therefore, especially with an automated card inventory management system, it is important to have the user confirm with a keystroke in the IS that each PAN about to be associated with a household matches the one on the outside of the card that is about to be set up.

Input: EBT card PAN
Software allowing PIN selection
Participant selected PIN (never visibly displayed)
FID or EBA

Process:

- Initiate communication with the card device to confirm/accept that a card has been placed in the card device and the card’s PAN has been read and can be displayed, and confirm that the PAN displayed on the screen in the IS matches the PAN embossed on the outside of the card.
- Instruct the client to insert the card into the reader.
- Prompt the client to choose and type a new Personal Identification Number (PIN)--usually 4 digits.
- Initiate communication with the card device to record the PIN on the card for the authorized user (FNS considers card security provisions for PINs to be outside the scope of the IS and a proper part of the EBT processor functions.)
- View completion message on the card reader that PIN has been successfully been put on the card.
- Assign a card to the family/household by recording the card number (PAN) and associating it with the family/household receiving benefits (family ID (FID) or EBA). PANs and FIDs or EBA numbers will typically not be reused except in the case of card reassignment to a new EBA. State agencies may choose to issue multiple cards for a family household using the same FID/EBA.
- Confirm EBA and PAN as ready to send to the EBT processor. {and, if using a smartcard, request card device to write EBA number to the card. NOTE: Based on Wyoming’s experience, it is not necessary to write the EBA to the card; the EBA number has been used to link the benefit issuance from the WIC IS to the EBT Host WIC PAN Maintenance Account. In this scenario, the account # is the PAN. Also, because of dissolution-of-family-group and foster-child situations, there have been instances where the State has needed the ability to change/control/manipulate the Recipient/EBA # on the EBT Host from the State/clinic level.} (Control of the ability to write benefits to a smartcard typically remains with the EBT processor and software for the card reader/writer and is outside the scope of the IS. Significant security considerations are involved in writing to a smartcard.)
- View completion message that EBA has been received by the EBT Host or view pending transmissions to the EBT host. For smartcards, completion message may be the card device writing to the card and when complete, displaying a request to remove the card.
- Prompt the client to remove the card from the card device.

- NOTE: A unique benefit ID# should be assigned by the IS to accommodate communication breakdowns mid-transaction to the EBT Host to assure that benefits are not duplicated on the EBT Host.

Output: IS Record of FID or EBA and PAN.

If using a smartcard, the IS messages the card device to read card and/or print shopping list to view benefit as present and correct on the card.

1.9 Deactivate EBT Card

Depending on EBT system design decisions, either the IS or the EBT Host or both may maintain a current status and status history on cards introduced into the WIC EBT system. If cards are exclusively tracked within the IS, then only EBA updates and card associations are needed by the EBT Host. If the EBT Host provides card tracking and history functions, then reason codes for changes in card status will need to be shared with, or resident on, the EBT Host. The ability to track reason codes within the IS for card status changes is represented by a set of optional data fields. NOTE: Data synchronization must be up to date. Screen displays or printed reports generated from data entered in these fields would be activated upon EBT implementation.

Online EBT systems control card access to the account at the EBT Host. Hot card lists for smartcards are transmitted to stores at the time of store settlement with the EBT Host. The EBT system's hot card file allows PANs for lost or stolen cards to be sent to EBT retailers within 24 hours or earlier – basically at the next settlement. Through smartcard terminal software, the lost/stolen smartcard is blocked if entered into the grocer's EBT smartcard reader.

Input: EBT card PAN
FID or EBA

Process:

- Identify the EBA and the card PAN assigned to the family account using IS search parameters.
- Communicate with the EBT Host to view the current EBA balances for food categories/subcategories assigned to the PAN.
- Access the EBT card PAN history for this EBA. (See PAN history under 4. Settlement and Reconciliation for the PAN history table required to track cards issued to a household EBA for purposes of matching redeemed benefits during reconciliation.)
- Deactivate card by entering the PAN and reason code for card deactivation into IS PAN history table. If card tracking is also done by EBT Host, send deactivation notice to EBT Host.
- Void and reissue/automatically move unredeemed food benefits to another card as appropriate.

Output: Reason code for card deactivation (Optional IS data fields)

Screen display of card PAN, active EBA/PAN, previous EBAs/PANs, confirmation of card status change by EBT Host

Printed reports of current card status and EBA association

Printed reports of previous card EBA associations and status history

Confirmation of receipt for card deactivation from EBT Host if appropriate

1.10 Replace Card for the Family Benefit Account

A replacement EBT card would be set up after the initial card was reported as lost, stolen, or damaged beyond use. State policies on EBT card replacement must be developed and followed to assure EBT system integrity. If current EBA balances are held exclusively on the EBT Host, no reconciliation of account balances is needed prior to replacing the card. However, if WIC purchases are only reflected on the card and/or in store servers until settlement occurs, card balances should only be moved to the new PAN when an authenticated balance can be determined. Reassignment of an existing card to a new family grouping can be done in some systems on a case-by-case basis.

NOTE: Two different approaches to card replacements have been used: Wyoming sets up the card and allows the participant to take the card with her. When the EBT Host receives the card setup, it starts a 48-hour “hold” on the remaining current-month benefits to allow any outstanding purchases to apply before creating a transfer of value to the new PAN account. Once the transfer of value for the current month has moved to the new PAN account on the EBT Host and is downloaded to the cardholder’s designated loading site POS through retailer settlement, the cardholder can then access the remaining unspent current-month benefit balance. The current-month transfer of value will not take place the last two days of the benefit month. State IS needs the ability to provide these benefits to the cardholder (if the state policy is to replace current-month benefits for a card replacement). Future issuances transfer automatically to the new account and are loadable as of the first day of that month. Also, Wyoming understands that there is a Federal requirement that the card must be replaced within 10 calendar days of notification to WIC that the card is missing/damaged.

A card must be replaced if it cannot be read by the vendor or clinic card device to produce a shopping list, print balance inquiry, load a benefit, or make a purchase or has been “diagnosed” as damaged via the WIC card management system or must be replaced to accommodate weaknesses in the EBT Host system. NOTE: Situations exist where the participant is unable to load because no benefits were issued because participant failed to attend benefit pickup. On-line systems may allow for manual key-entry of the card number or PAN in some circumstances. Regardless of reason for replacement, benefits balances must be automatically moved from old to new card.

If participants report lost, stolen, or damaged cards, WIC IS must be capable of verifying through the EBT processor the EBA balance (types and amounts of unredeemed benefits) associated with the card. This EBA balance must be associated with a new card. The IS card record should include the old card, its status and the new card and its status. Once a card has changed status from active to lost, stolen, or damaged, the IS function sequencing should prevent reinstating the card (up to the point of replacement) without reexamination of properly available benefits. If card has been replaced, no reinstatement is allowed.

When using smartcards for EBT, vendor redemptions are usually required to be processed by the EBT Host within 24 hours to reduce the opportunity for fraud and to simplify EBT Host and card balance reconciliation. Retailers are typically required to retrieve hot card lists for smartcards daily or within a maximum timeframe of no more than 48 hours or the hot card redemptions will not be honored. NOTE: In the Wyoming system, this is automatic w/ a successful nightly retailer settlement.

To address system failures at the POS, at the retailer’s risk, a contract can be established to allow manual purchases of certain WIC items up to a maximum limit of food items/transaction and up to a maximum specified dollar amount/day as long as sufficient benefit balance remains on the host for the category/subcategory. Telephone authorization of the transaction is required for the retailer to be paid for the purchase. To accommodate this type of situation ONLY, benefits for the previous month are retained in a holding place on the EBT Host until the 5th of the following month.

State policies will need to be determined as part of designing the EBT system. A rule may be that the balance on a damaged smartcard, if it is readable, is all that can be replaced on a new card. If the smartcard is not readable, then the current available EBT Host balance after the waiting period will be used to issue a replacement card.

Depending on the length of the waiting period, State agencies may wish to provide some limited benefits in the interim. NOTE: How do you not “over issue” and reconcile to the EBT account? States will need to provide participants, vendors and WIC staff members with policy guidance in this area.

Input: EBT card PAN

Software allowing PIN selection (Optional to IS, as decided by EBT System Design)

PIN

FID or EBA

Process:

- Identify the EBA and the card PAN assigned to the family account using IS search parameters.
- Communicate with the EBT Host to view the current EBA balances for food categories/subcategories assigned to the PAN.
- Access the EBT card PAN history for this EBA. (See PAN history under 4. Settlement and Reconciliation for the PAN history table required to track cards issued to a household EBA for purposes of matching redeemed benefits during reconciliation.)
- Replace card by entering the PAN to be removed in the PAN history table indicating its removal from use and an appropriate reason code. This blocks the PAN from future use.
- Void and reissue/transfer/move unredeemed food benefits from old to new account/PAN as appropriate.
- To reassign the card to another EBA, enter the PAN into the PAN history table and recording its past EBA and its newly assigned EBA. If a reason code is required by the IS or the EBT processor, enter the appropriate reason code. NOTE: Not sure what’s happening here: Wyoming can read a PAN into a new family/group on the WIC IS, OR change the Recipient # on the EBT Host where the PAN is the account #.
- Confirm EBA benefit amounts and PAN designation and end to the EBT Processor
- If applicable, follow normal card read/write procedures to request card device to write benefits to the smartcard

Output: IS screen display or printed record of FID or EBA and PAN.

If using a smartcard, the IS interfaces with the card reader to write the current balance to the smartcard, and to read and/or print new balance present on the smartcard.

1.11 Reassign Card for the Family Benefit Account

Magnetic stripe cards can be reassigned to other EBAs if needed although this is not typical in on-line design that mirrors banking processes where a card cannot move to another account. It is possible to re-use a returned smartcard and issue it to another family. If a State chooses to do this, added protections must be in place to assure that private data for participants previously served are entirely removed or restricted prior to re-issuance. Updates to the EBT Host will be needed to remove the PAN from any Hot Card List files (specific to Smartcards). PANs do not change, so provision for reassigning the PAN without current duplication will be needed. Newer card types may allow greater flexibility. Software for cleaning data from smartcards would

need to be developed and implemented in cooperation with the EBT processor. Wyoming tried this and found it to be cumbersome and not worth the effort.

Input: EBT card PAN

Software allowing PIN selection (Optional to IS, as decided by EBT System Design)

Participant selected PIN (never visibly displayed)

FID or EBA

Process:

- Initiate communication with the card device to confirm/accept that a card has been placed in the card device and the card's PAN has been read and can be displayed.
- Instruct the client to insert the card into the reader.
- Prompt the client to choose and type a new Personal Identification Number (PIN)--usually 4 digits.
- Initiate communication with the card device to record the PIN on the card for the authorized user (FNS considers card security provisions for PINs to be outside the scope of the IS and a proper part of the EBT processor functions.)
- View completion message on the card reader that PIN has been successfully recorded on the card.
- Assign a card to the family/household by recording the card number (PAN) and associating it with the family/household receiving benefits (FID or EBA). PANs and FIDs or EBA numbers will typically not be reused except in the case of card reassignment to a new EBA. Is this recycling of cards to new households? Please clarify.
- Confirm EBA and PAN as ready to send to the EBT processor and, if using a smartcard, request card device to write EBA number to the card. (Control of the ability to write benefits to a smartcard typically remains with the EBT processor and software for the card reader/writer and is outside the scope of the IS. Significant security considerations are involved in writing to a smartcard.)
- View completion message that EBA has been received by the EBT Host or view pending transmissions to the EBT host. For smartcards, completion message may be the card device writing to the card and when complete, displaying a request to remove the card.
- Prompt the client to remove the card from the card device.

Output: IS Record of FID or EBA and PAN.

If using a smartcard, the IS messages the card device to read card and/or print shopping list to view WIC benefit as present and correct on the card.

1.12 Reinstate Card for the Family Benefit Account

Depending on EBT system design, if a card is found before it is replaced and/or blocked, it can be reinstated at the clinic and a request sent to the EBT processor to remove the block on the card's EBA or to remove the card from the hot card list. There is no wait time required for card reinstatement in online EBT systems since card access to the account is controlled at the EBT Host. (**Note: on-line cards are not reinstated in current designs**).

If EBT uses smartcards offline, policies regarding updating benefits on the smartcard will need to be determined as a first step to reinstatement. The purpose of these policies is to allow any outstanding retailer redemptions to be processed. Typically there is a three-day policy in effect regarding the replacement of a lost or damaged smartcard. NOTE: See Wyoming comments in Section 1.10 above denoting that Wyoming follows a "within-10-calendar-days" policy for card replacement setups from the point of notification to WIC and then the card setup transaction

begins the 48-hour benefit transfer process to the new PAN account. When the EBT card is replaced, remaining issuance for the entire family group is reexamined, and if applicable, moved to the new account/written to the smartcard.

Input: EBT card PAN

Software allowing PIN selection (Optional to IS, as decided by EBT System Design)
Participant selected PIN (never visibly displayed)
FID or EBA

Process:

- Initiate communication with the card device to confirm/accept that a card has been placed in the card device and the card's PAN has been read and can be displayed.
- Instruct the client to insert the card into the reader.
- Prompt the client to choose and type a new Personal Identification Number (PIN)--usually 4 digits. NOTE: Wyoming's is 5.
- Initiate communication with the card device to record the PIN on the card for the authorized user (FNS considers card security provisions for PINs to be outside the scope of the IS and a proper part of the EBT processor functions.)
- View completion message on the card reader that PIN has been successfully been put on the card.
- Assign a card to the family/household by recording the card number (PAN) and associating it with the family/household receiving benefits (FID or EBA). PANs and FIDs or EBA numbers will typically not be reused except in the case of card reassignment to a new EBA.
- Confirm EBA and PAN as ready to send to the EBT processor and, if using a smartcard, request card device to write EBA number to the card. (Control of the ability to write benefits to a smartcard typically remains with the EBT processor and software for the card reader/writer and is outside the scope of the IS. Significant security considerations are involved in writing to a smartcard.)
- View completion message that EBA has been received by the EBT Host or view pending transmissions to the EBT host. For smartcards, completion message may be the card device writing to the card and when complete, displaying a request to remove the card.
- Prompt the client to remove the card from the card device.

Output: IS Record of FID or EBA and PAN.

If using a smartcard, the IS messages card device to read card and/or print shopping list to view benefits as present and correct on the card.

1.13 Use IS Search Criteria to Find, Read and/or Access EBA Member and Benefits Displays

WIC staff will need the capability to search for an individual client and other EBA members under a current, future, and/or previously existing EBA and to determine benefits issued. The details of this will depend on the EBT system design chosen. For example, issuing 2 or 3 benefit months under EBT will have implications for how far back in history a staff member might have to research a change in family composition and benefits issued. Transaction data may become too large to store beyond one year unless archived or put into a separate data warehouse. Access may depend on State rules relating to disputes that could require research into older data and there is no requirement beyond the federal three year requirement.

Input: WIC staff member ID (Access authorization)

WIC staff member PIN (if appropriate)
Participant name
Social Security Number (if collected), or system generated EBT Host Recipient #
Participant ID
FID
EBA number
Name of authorized card user/caregiver (other than WIC participant) – HOH? Proxy?
Authorized caregiver ID
Requested benefit start and end dates (or benefit period)

Process:

- Find,
- Read, and/or
- Access (according to State Rules) EBA member and benefit information by selecting or typing:
 - Participant name
 - Social Security Number (if collected), or system generated EBT Host Recipient #
 - Participant ID
 - FID
 - EBA number
 - EBT Host account reference number (if different from EBA)
 - Primary account number (PAN) for the EBT card
 - Name of authorized caregiver/card user (other than a WIC participant)
 - Authorized caregiver ID
 - Requested benefit begin and end dates

Output: Screen display of EBA member

- name
- ID
- participant category
- status as authorized caregiver
- authorized caregiver ID
- food categories/subcategories
- food quantities
- benefit start and end dates (or benefit period)
- other participant characteristics chosen by State

2.0 WIC Certification and EBT

The EBT family account (EBA) setup needs to be sent by the IS to the EBT Host to allow the Host to account for WIC purchases and if applicable, to maintain reconciled totals with an EBT smartcard. The WIC IS and the EBT system may or may not use the same numbering/ID system for this account. However, if the accounts are tracked differently, a means of associating the two sets of IDs for problem research and resolution will be needed.

NOTE: The following paragraph is too general. For states using a static benefit month, all benefit issuances become available on the first day of the month. However, a household could have an existing household issuance for a given month and mid month a new baby could be born for whom benefits would need to be added to the family account for that month. That baby's benefits might be a prorated package for the current month (if formula and not breast-fed), but would show a start date of the first of the month regardless of food package content. Also, credits to the household account might be made to change card balances. These credits would also show a start date of the first of the month regardless of the date processed.

For EBT, all members of a family group should have the same benefit period start date. Although it is possible to have a "start" and "end" date for each individual's separate benefits, this adds complexity to account management and requires added memory on a smartcard. It also negates the convenience in shopping that an EBT card offers the WIC client. There may be issues that need to be resolved regarding State rules for moving a household's benefit start date. Preferably, a new member may be added to a family household using the existing household start date while issuing a partial package.

Reports will need to be altered or created to support information related to card issuance; EBT benefits at the food item level; benefit period issuance and redemption; to track PAN numbers to transactions; card issue dates; card deactivation dates; changing family household benefits; benefit period start and end dates; card voids; EBT obligations/de-obligations and redemptions at the food-item rather than the food-instrument-type level. Table(s) and reports within, or accessible to, IS will need to reflect reasons for actions on the account and dates; etc.

2.1 Authorize EBT Food Prescription

The difference between an EBT-ready and an EBT-enabled system is that an EBT-ready system does not actually issue EBT benefits. This description assumes that the following must be added as part of an FNS tested and approved EBT system:

- 1) an EBT Host with WIC EBT software;
- 2) EBT cards (either magnetic stripe or smartcards);
- 3) WIC clinic card devices, interfaces, and software, potentially including an Automated Control Office (ACO) to enhance participant training, to serve as a mock POS to ascertain card balances and for benefit inquiry in the clinic;
- 4) retailer WIC EBT Point of Sale capability including software, hardware and communications connectivity;
- 5) security implementations appropriate to all EBT system components,
- 6) a means of processing retailer EBT settlement files, and
- 7) a means of paying retailer EBT claims.

2.1.1 Aggregating Food Benefits to EBT Household/ Electronic Benefit Accounts

Within the EBT-ready IS each individual WIC participant will continue to receive a food prescription. One electronic food record will be issued for each individual for each monthly benefit period. Prescribed individual food items for each member of a family household will be aggregated into a separately identifiable EBT family benefit record commonly called an Electronic Benefit Account (EBA). All foods prescribed to individuals are aggregated by food category and subcategory in standard units of measure and are recorded for the entire family household group in preparation for benefits to be sent to the EBT Host and/or written to an EBT smartcard. An existing Family/Household ID (FID) for WIC participants can be used to track EBT benefits for the family or a separate EBA number can be created.

An EBA with only one individual member can be established when needed. For example, by Federal Regulations, foster children must be considered a family of one individual and issued a card individually rather than moving from one EBT household to another. (Foster siblings must each be set up as a separate family group/household and hold one card each.) Each WIC participant is assigned *only* to one household account (EBA) at a time. In certain circumstances, the State may choose to issue more than one EBT card to those in a biological family. A household head for the EBA account may be an authorized caregiver rather than a WIC participant. Examples include a biological mother who is not an active WIC participant or who has never been a WIC participant, foster mother, grandmother, father, etc.

The State should consider whether it would be useful to be able to link EBAs for certain family groups if multiple EBAs are needed across biological families. NOTE: Do not understand what is being said here.

Each EBT card has its own unique Primary Account Number (PAN). This PAN will be associated with a separate household ID or EBA number to identify one or more individuals associated with that card, or link benefit issuance to the PAN. Should the card be damaged or otherwise deactivated, the EBA number could remain the same and a new card's PAN could be assigned to the existing account. (For additional discussion of tracking numbers needed for EBT accountability see Appendix B. Appendix C provides answers by those experienced with WIC EBT to specific questions posed by the Food and Nutrition Service (FNS)).

Input: EBA and/or FID numbering framework
Food package/food item selection framework
Number of months to issue this selected food package
Certification date
Certification effective date
Card Primary Account Number (PAN) recording format

Process:

- If this location issues benefits through both paper and EBT, select EBT issuance as the benefit delivery type.
- Choose the package of food categories/subcategories prescribed to each individual.
- Record in the system the participant's food prescription for the current month and the number of future months (and benefit periods) relevant to this State.
- Assign the participant's prescription to a family EBA and aggregate quantities by food category/subcategories. (This may be a newly established EBA or an already established EBA.)
- View either the participant prescription and/or the aggregated EBT household benefits for the family by name of food category/subcategory and quantity. (Coding of food categories and subcategories may be handled differently by various EBT processors. The result must meet the needs of the State.)
- View participant or EBT prescriptions for each EBT benefit period that are already confirmed and that do not require repeated message.

- Confirm issuance as needed for the participant and family EBA database and to prepare the EBA for use by the EBT processor and card read/write software.

Output: Family’s monthly aggregated food prescription.

EBA for head of household or designated cardholder for monthly aggregated food prescription

2.1.2 Issuing Benefits

Because benefits are aggregated by household on the EBT system, several States operating EBT pilots have found it useful to align benefit periods for the members of a family group to have the same benefit period start and end dates. Some States have shifted from a standard 30 day benefit period to actual beginning and ending dates for each month.

As in paper issuance, food package prorating can be used to synchronize family appointments and benefits. Food package prorating is based on the days in the benefit period and this capability should be included in all future IS modifications.

Some States have chosen to place several months of WIC family benefits into an EBA at one time. The benefits are sent to an EBT Host and: 1) written to a smartcard with begin and end dates for each benefit period; or 2) used to transact on-line WIC purchases within appropriate begin and end dates; or 3) are periodically downloaded to stores for remote WIC smartcard replenishment. Regardless of the number of months held in the EBA, the “first date to use” and “last date to use” will be recorded in the EBA for benefits within each month and become effective only within that period.

In order to ease certification schedules and prevent any lapse in benefit delivery, some EBT States have added a “certification effective date” which allows certification appointments to be conducted ahead of the scheduled expiration of the previous certification period and avoid creating any overissuance.

Input: EBA and/or FID numbering framework
 Food package/food item selection framework
 Number of months to issue this selected food package
 Certification date
 Certification effective date
 Card Primary Account Number (PAN) recording format

Process:

- If this location issues benefits through both paper and EBT, select EBT issuance as the benefit delivery type.
- Choose the package of food prescribed to each individual.
- Record in the system the participant’s food prescription for the current month and the number of future months (and benefit periods) relevant to this State.
- Assign the participant’s prescription to a family EBA and aggregate quantities. (This may be a newly established EBA or an already established EBA.)
- View either the participant prescription and/or the aggregated EBT household benefits for the family by name of food and quantity. (Coding of food categories and subcategories may be handled differently by various State implementations. The result must meet the needs of the State.)
- View participant or EBT prescriptions for each EBT benefit period that are already confirmed and that do not require repeated confirmation.

- Confirm issuance as needed for the participant and family EBA database and to prepare the EBA for use by the EBT processor and card read/write software.

Output: Participant’s monthly food prescription by food quantity in standard units.

EBA for participant’s monthly aggregated food prescription by food quantity in standard units and standard PAN format.

2.2 Void/Reissue EBT Benefits

If an individual’s food package is changed or an EBT card is reassigned to a different family grouping, the EBT benefits must be reissued in a corrected amount subject to the current remaining EBA balance left on the EBT Host, or if smartcards are used, the balance on the card. Already redeemed benefits must not be replaced or reloaded back on the card. If they are, the settlement/reconciliation process is obligated to approve the redemption and over issuance can occur. If an infant formula issued for the current period is not suitable, the unredeemed formula for the current period may be voided and reissued. Because the EBA is held as a family balance, it may not be possible to determine which person’s foods have been redeemed. Rules for determining how and when to void or reissue personal benefits must be developed by the State as part of the EBT system design process.

Whether to require the presence of the card and use of PIN to void/reissue EBT benefits (necessary for an online smartcard transaction) is a State agency policy decision. Except in the case of EBT systems providing remote loading of benefits to smartcards, smartcards must be present for an online smartcard prescription change or issuance because they physically carry the current benefit. If a smartcard is not present, the change or issuance can be processed offline. Magnetic stripe cards may not need to be present to change food benefit accounts. EBA security issues must be addressed either by requiring the card to be present for benefit changes or by tracking benefit changes by WIC staff ID and date of change. The most secure system is to require both. However, client convenience may be a consideration.

A balance on a smartcard must be known in order to account for both Host reconciled redemptions and benefits already redeemed from the card but not yet reconciled with the EBT Host. If the smartcard is present, currently available card benefits are confirmed for the family group. The smartcard is reloaded (overwritten) with the correctly reissued benefits or the balance of the current-month benefits is adjusted via debits and/or credits. When a smartcard is damaged or lost and cannot be read for re-issuance, policies for waiting for redemption reconciliation to occur should be followed and a new smartcard issued.

For on-line systems, this change may be made immediately if transactions are reconciled at the time of the WIC purchase. If batch processing of settlement files is used, a waiting period will be needed. (Future months should require no wait time, as none of the balances have been used.)

Input:

- PIN
- FID or EBA number
- EBT Card PAN (Read from smartcard present or from IS after required wait time)
- Current month food categories/subcategories not yet redeemed in EBA
- Method for prorating remaining benefits among household members
- Future month food categories/subcategories pending EBT issuance
- Participant special formula/medical foods received
- Reason code for participant special formula/medical foods received

Process:

- Prompt client to place the WIC EBT card in card reader and enter the PIN
- View the EBA food categories/subcategories and the card PAN assigned to the family account using IS search parameters.
- If using a smartcard, initiate communication with the card device to read the family benefits remaining on the card prior to benefit reissue.
- Void (delete and de-obligate) selected food items for each individual member in a family household receiving a re-issuance.
- Add (obligate) the replacement food items for each individual member in a family household receiving a re-issuance.
- Confirm prescription changes and aggregate to EBA for release to EBT processor,
- Upon confirmation above, modify databases to support participation counts, obligations, etc.
- View completion message that EBA has been received by the EBT Host or view pending transmissions to the EBT Host. For smartcards, completion message may be the card device writing to the card and when complete, displaying a request to remove the card.
- Record all deletions and additions in individual prescription and EBA history files,
- Instruct the client to remove the WIC EBT card from the card device if appropriate.

Output: File with correct EBA food categories/subcategories and quantities sent to (or pending for) EBT Host
Correct EBA food categories/subcategories and quantities submitted for writing to EBT smartcard if applicable (Actual card activation and writing to card occurs only when EBT has been implemented)

Screen display of participant food category/subcategory data
Printed report of food benefits prescribed
Updated history files – viewable by the user

2.3 Transfer a Member from the Family Household (EBT to EBT) Membership

Members may transfer between family households and unredeemed benefits may need to be removed from one EBA (and smartcard) and reissued to another EBA (and smartcard).

Rather than requiring new system functions, member transfers require a sequence of specially selected existing functions.

Use existing functions to read, void, and reissue participant food prescriptions and the aggregated benefits contained in the relevant EBAs when a WIC member is transferred out of the family household. If the transferred member is moved to an existing WIC family EBA, the correct card association will have to be established. If using a smartcard, both old and new cards will also need to be reloaded to carry the correct aggregation of benefits. A State policy of waiting several days to allow retailer redemptions may need to be applied to avoid overpayment of issuance. Depending on the EBT system design, all redeemed benefits may not yet be settled by the retailer and recorded on the EBT Host. Ideally, a smartcard containing unused benefits should be in hand before moving a member from one household into another household. States should give special consideration to their policies regarding transfer of benefits and reassigning EBT cards.

NOTE: Wyoming was approved by USDA to adopt the Ohio protocol of leaving the current month balance alone on the former card and issue ½ month's food package to the participant account for the new card; thus no voiding is necessary. Future month participant benefits are removed from the old participant account and reissued to the new one.

Follow established procedures to void previously issued benefits and set-up a new EBA and card if the member is transferred to a family household of one. For a transfer to an existing WIC EBA, follow the steps to void previous EBA benefits and reissue benefits to the newly assigned EBA and card. Aggregated benefits in both old and new EBA's must be adjusted for each affected member in the household to avoid over issuance.

Input:

PIN
FID or EBA number
EBT Card PAN (Read from smartcard present or from IS after required wait time)
Current month food categories/subcategories not yet redeemed in EBA
Method for prorating remaining benefits among household members
Future month food categories/subcategories pending EBT issuance
Participant special formula/medical foods received
Reason code for participant special formula/medical foods received

Process:

- Prompt client to place the WIC EBT card in card reader and enter the PIN
- View the EBA food categories/subcategories and the card PAN assigned to the family account using IS search parameters.
- If using a smartcard, initiate communication with the card device to read the family benefits remaining on the card prior to benefit reissue.
- Void (delete and de-obligate) selected future food items for each individual member in a family household receiving a re-issuance.
- Add (obligate) the replacement future food items for each individual member in a family household receiving a re-issuance.
- Confirm prescription changes and aggregate to EBA for release to EBT processor,
- Upon confirmation above, modify databases to support participation counts, obligations, etc.
- View completion message that EBA has been received by the EBT Host or view pending transmissions to the EBT Host. For smartcards, completion message may be the card device writing to the card and when complete, displaying a request to remove the card.
- Record all deletions and additions in individual prescription and EBA history files,
- Instruct the client to remove the WIC EBT card from the card device if appropriate.

Output: File with correct EBA food categories/subcategories and quantities sent to (or pending for) EBT Host
Correct EBA food categories/subcategories and quantities submitted for writing to an EBT smartcard if applicable (Actual card activation and writing to card occurs only when EBT has been implemented)
Screen display of participant food package data
Printed report of food benefits prescribed
Updated history files viewable by the user

2.4 Transfer a Member or Entire Household from the Family Household (EBT to Non- EBT) Membership

Individual members or entire EBT households may transfer between clinics that are EBT-Enabled (issuing benefits through EBT) to a clinic that is Non-EBT (EBT-Disabled so that system is not set to issue benefits through EBT).

Rather than requiring new system functions, EBA member/household transfers may require a sequence of specially selected existing functions within the IS. It may be necessary to provide Non-EBT sites the ability to view remaining balances from EBT through the IS in order to proceed with paper issuance if a transfer from one clinic to another.

Upon notice of transfer, an EBA and EBT card can be deactivated/blocked/locked at any time. Once the current WIC EBA balance is recorded by the EBT Host and viewed by the IS, remaining benefits will need to be voided from the EBA and reissued to the individual participant using paper food instruments.

It is easiest to void and reissue unredeemed EBT benefits onto paper food instruments at the EBT clinic if possible. Coordination between the EBT and Non-EBT WIC offices will be needed to 1) check the current EBA/card balance; 2) void, or if necessary, block access to the remaining EBA balance; 3) reissue a portion of appropriate food types to the card for remaining WIC family members who will continue to hold the EBA (using the same card); and 4) to issue paper benefits as appropriate to the transferred participant(s).

For example, a child leaves an EBT clinic to reside with divorced father with service by a Non-EBT clinic. A WIC infant and mother continue to use EBT card through the original EBT-Enabled clinic.

If the only WIC member on the card plans to transfer back to the EBT-Enabled clinic, State policy may provide for the card to be retained, blocked or locked and later reactivated. This scenario may apply to children spending a summer with a parent in a Non-EBT area.

State policy may allow the EBT card to be used in *any* area in which EBT retailers are certified by the State Agency. For example, for partial or full family transfers, the EBA and card may be used up in another area where WIC vendors are already EBT certified but clinics are not yet issuing benefits through EBT. This scenario might apply as WIC EBT is being expanded across geographic areas within a State. *Note:* The capability to prorate prescriptions for individuals and households will be important in providing this flexibility.

Input:

PIN
FID or EBA number
EBT Card PAN (Read from smartcard present or from IS after required wait time)
Current month food categories/subcategories not yet redeemed in EBA
Method for prorating remaining benefits among household members
Future month food categories/subcategories pending EBT issuance
Participant special formula/medical foods received
Reason code for participant special formula/medical foods received

Process:

- Prompt client to place the WIC EBT card in card reader and enter the PIN

- Obtain the EBA food categories/subcategories and the card PAN assigned to the family account using IS search parameters – this could be done via screen access to EBT information or via other means.
- If using a smartcard, initiate communication with the card device to read the family benefits remaining on the card prior to benefit reissue.
- Void (delete and de-obligate) selected food items for each individual member in a family household receiving a re-issuance. This may not be needed if no benefits have been redeemed.
- Add (obligate) the replacement food items for each individual member in a family household receiving a re-issuance. NOTE: See Wyoming comment in Section 2.3: Leave current-month alone; void/reissue future months; reissue ½ package for current month to new account.
- Confirm prescription changes and aggregate to EBA for release to EBT processor,
- Upon confirmation above, modify databases to support participation counts, obligations, etc.
- View completion message that EBA has been received by the EBT Host or view pending transmissions to the EBT Host. For smartcards, completion message may be the card device writing to the card and when complete, displaying a request to remove the card.
- Record all deletions and additions in individual prescription and EBA history files,
- Instruct the client to remove the WIC EBT card from the card device if appropriate.

Output: File with correct EBA food categories/subcategories and quantities sent to (or pending for) EBT Host
 Correct EBA food categories/subcategories and quantities submitted for writing to EBT smartcard if applicable (Actual card activation and writing to card occurs only when EBT has been implemented)
 Screen display or printed report of participant food category/subcategory data
 Printed report of food benefits prescribed
 Updated history files viewable to the user

2.5 Transfer a Member into the Family Household (Non-EBT to EBT) Membership

Participants may transfer between clinics that are Non-EBT to a clinic that is EBT-Enabled. A State policy could be in place to have the participants use already-issued paper food instruments until the next WIC benefits pickup visit as long as retailers in the new area still accept WIC paper issuance. {Wyoming’s experience was that when retailers moved to EBT, they no longer accepted paper. EBT changeover in a region was “turn-key”.) At that time benefits could be issued using EBT. Alternatively, participants could surrender unredeemed paper instruments and have those items reissued at the EBT clinic. Since EBT implementation will likely take place gradually within a State, it is important that policies necessary for this transition are established.

No unique IS functions are needed to accept newly transferred participants into the EBT-Enabled clinic. It is the sequencing of existing functions that will need to be established for clinic staff.

Input:

PIN
 FID or EBA number
 EBT Card PAN (Read from smartcard present or from IS after required wait time)
 Current month food categories/subcategories not yet redeemed in EBA
 Method for prorating remaining benefits among household members
 Future month food categories/subcategories pending EBT issuance
 Participant special formula/medical foods received

Reason code for participant special formula/medical foods received
Updated history files viewable to the user

Process:

- Prompt client to place the WIC EBT card in card reader and enter the PIN
- View the EBA food categories/subcategories and the card PAN assigned to the family account using IS search parameters.
- If using a smartcard, initiate communication with the card device to read the family benefits remaining on the card prior to benefit reissue.
- Void (delete and de-obligate) selected food items for each individual member in a family household receiving a re-issuance.
- Add (obligate) the replacement food items for each individual member in a family household receiving a re-issuance.
- Confirm prescription changes and aggregate to EBA for release to EBT processor,
- Upon confirmation above, modify databases to support participation counts, obligations, etc.
- View completion message that EBA has been received by the EBT Host or view pending transmissions to the EBT Host. For smartcards, completion message may be the card device writing to the card and when complete, displaying a request to remove the card.
- Record all deletions and additions in individual prescription and EBA history files,
- Instruct the client to remove the WIC EBT card from the card device if appropriate.

Output: File with correct EBA food categories/subcategories and quantities sent to (or pending for) EBT Host
Correct EBA food categories/subcategories and quantities submitted for writing to EBT smartcard if applicable (Actual card activation and writing to card occurs only when EBT has been implemented)
Screen display of participant food category/subcategory data
Printed report of food benefits prescribed

2.6 Removing a WIC Participant from an EBT Family/EBA

Reasons for removing a participant from EBT family membership will need to be recorded consistent with State policies for removing participants from WIC enrollment in non-EBT offices. The date of the staff action, the staff member's ID providing action, and an effective date of participant removal (if not the date of the staff action) are likely to be needed in addition to reasons for removal. These reasons and dates should be built into the EBA member change screens. If any of the reasons are associated with required client notifications, entries must be linked to appropriate notice generation routines.

There will be new issues to resolve regarding terminating an individual's EBT family (EBA) membership and when to keep an EBT card active versus place it on a Hot Card List. A Hot Card List is a file listing EBT card PANs for which EBAs (and smartcard debit ability) should be blocked by the EBT Host (and if applicable by EBT vendors). Use of this list is called hot listing. NOTE: Wyoming has not used a Hot Card List at the clinic level and has been reluctant to add this responsibility to those of clinic staff. Because we share our card with Food Stamps, we do not have the option of arbitrarily deactivating a card and depriving a participant of Food Stamps even if the situation on the WIC side has changed for some reason. We do have a "Program lock" that prevents use of one Program's benefits but allows the use of the other's. Such a Program Lock needs to be detectable by the Card Management System Diagnostics feature and reversible if need be.

For example, a determination of participant abuse may call for removal from the EBA and hot listing/blocking an EBA and its assigned card immediately. Removing a five year old would not necessarily affect the EBA or EBT card at all. Additional State policy/business rules may be required to allow such distinction in the functional sequence chosen.

Removing an individual from an EBT WIC family grouping (EBA) or setting a member to categorically ineligible should not automatically change the EBT card status. The EBT card should be deactivated and/or hot listed as separate processes. This prevents benefits for the last valid benefit period from being accidentally made unavailable.

Input: Date of the staff action
Staff member's ID
Participant name
Participant ID
Framework of reason codes for removing participants from EBAs
EBA number

Process:

- View and Access EBA membership detail
- Identify/Select Participant by name and/or participant ID
- Enter effective date of participant removal (if different from the date of this staff action)
- Record the reason code for removing participant from this EBA into EBA detail
- Record current EBA membership list into history file or set recording to occur at designated effective date
- Remove participant and participant ID from EBA detail or set removal to occur at designated effective date.
- View updated EBA membership as needed

Output: Screen display and on-demand printed reports for:

- History of EBA membership with reason codes and effective dates for member deletions
- Updated EBA member detail

EBA member update file ready to send to EBT system

3.0 Nutrition Education Functions

3.1 Produce and Process Nutrition Education Reports for EBT Issuance

For use at the State and local levels, produce and process reports related to nutrition education and prescribing food packages to include information from both paper and the EBT issuance and redemption formats. As EBT is implemented, additional detail on foods issued and redeemed will be available from the EBT system. Existing paper issuance reporting will need to be maintained until EBT becomes fully implemented statewide.

Input: UPC/PLU/WIC settlement/payment files provided by the EBT Host
Current and history files from IS for EBT issuance
Participant ID
EBA number
Issuance site ID
Search and selection criteria for available reports

Process:

- View and print selected IS and/or EBT Host reports to monitor trends in redemption of WIC food benefits by participant EBA membership
- View and print selected IS and/or EBT Host reports to exceptions in redemption of WIC food benefits
- View and print selected IS or EBT Host reports to assess formula or medical food use
- View and print selected IS or EBT Host reports to associate WIC payments with lost/stolen cards
- View and print selected IS or EBT Host reports to summarize food purchase patterns by selected vendor and/or WIC participant characteristics. For example, various ad hoc reports may be created such as migrant food purchases by vendor and selected issuance site

Output: Screen displays and printed reports as specified by the State for use at the State and local levels
Standard format exception reports

4.0 Food Benefit Redemption and Reconciliation Functions

4.1 Determine Maximum Price to be Paid by WIC for Each WIC Approved Food Item

Under paper benefit delivery, maximum WIC payment is often controlled at a voucher or check level according to vendor peer group. Sometimes the food prescriptions on these food instruments will contain only one food type on the food instrument and sometimes the food instrument will include a variety of food types. The degree to which individual food products are purchased is often not known. Nor is the price charged for an individual food item.

Under EBT, WIC food prescriptions are associated with individual State-approved UPCs so that only food items approved by WIC may be purchased. Control of WIC payment by individual food product by peer group is newly possible. EBT designs in operation have moved from a basic 'sanity check' to avoid over charging to making individual store adjustments to daily claim files before paying vendors.

In order to implement EBT, the IS must be able to establish and track pricing limits for individual food items within vendor peer groups. To the extent that paper and EBT issuance is operated simultaneously by a State, the IS must be able to channel EBT transactions to the relevant set of maximum price controls.

Input: Peer group classifications

UPCs

PLUs

Transaction sales data from EBT Processor or State IS by individual UPCs by vendor used to determine the maximum price allowable for individual peer groups (Wyoming does not use price lists or surveys to determine the maximum allowable except at authorization)

Store price lists/surveys

Calculation of average store food prices for each UPC, PLU in per peer group

Algorithms for calculating maximum WIC payment for each UPC, PLU by peer group

Process: Page 26: Section 4.1 – Determine Maximum Price to be Paid by WIC

- Determine the total number of store peer groupings that will be addressed in setting State food price controls under EBT.
- Enter UPCs and PLUs specific to stores within each peer group.
- For each peer group, upload price lists/surveys for the UPCs and PLUs.
- Calculate average price and maximum price for each food item for each peer group (this can also be determined by the EBT Processing or State IS system using existing transaction sales data and can be updated/kept current on a monthly and possibly daily basis).
- Add percentage or other State-calculated amount to determine the maximum WIC payment/not-to-exceed price.
- Pay vendor entered price, up to the maximum price.
- Provide a means to update the complete file or individual file elements and record dates that changes are made.

Output: Screen displays of maximum WIC payment prices per UPC, PLU by peer group

Printed on-demand reports of maximum WIC payment prices per UPC, PLU by peer group

4.2 Associate Food Categories/Sub-Categories, UPCs, and Maximum Price Controls for Use in Settlement; and Provide Up-to-Date Files to the EBT System

The IS should allow State agency users to easily associate each of the food categories and sub-categories with all of the State approved UPC (and PLU) numbers for WIC. Subject to established IS security rules, authorized State staff members should be able to access, add, modify or delete information to keep files current and to associate WIC approved payment maximums for each State-approved WIC food item. Regardless of whether EBT processing is done within a State or by an EBT Contractor, a current file of approved UPCs and PLUs with maximum payment values will need to be made available to the EBT processing system.

There are two methods used by EBT pilot projects for price controls.

1) The State agency maintains maximum prices for each vendor and peer group within the IS (and upon EBT implementation provides maximum prices by vendor peer group for use by the EBT Host). These prices are determined through ongoing price surveys or other methods previously agreed upon by the State and the vendor as part of vendor authorization. A key difference in being EBT Ready within this cost containment process is the ability to associate food prices with individual UPCs for each vendor peer group rather than just a food type such as cheese or milk.

Once EBT is implemented, if a product is purchased that exceeds the UPC price agreed to by the vendor, the participant is allowed to purchase the food. When the vendor submits an electronic claim each night, the State agency adjusts the payment to the food vendor, only paying the agreed upon amount. This method relieves the State agency and EBT Host from distributing store-specific maximum price databases to each vendor location. It also relieves the store managers from incorporating State maximum prices within each vendor location.

NOTE: Wyoming still does post-payment adjustments but wants to move in this direction!

2) For EBT systems designed to validate purchases of WIC eligible UPCs in the store (rather than directly at the EBT Host), the State UPC Database of approved foods and their UPCs is used by WIC vendors as a reference file to electronically identify valid WIC approved food items. A maximum price database may be appended to the store-specific WIC UPC/PLU listings in order to facilitate vendor price entry, and assist in settlement, reconciliation and payment. If State Agency policies allow, retailers may be provided a UPC/PLU vendor reference file containing the maximum price, not-to-exceed (NTE) WIC payment amount, for each UPC/PLU item by vendor and peer group. NOTE: Would not want the vendor to be able to read/view the max price allowable!!!

There are two acceptable approaches to updating the State UPC/PLU Database listings: 1) The entire file may be replaced for all users and viewing locations when it is updated; or 2) Only changes are distributed for each current listing with users responsible for consolidating correct listings. Each method has pros and cons. Full file replacements are easier to manage by both the EBT Host and individual vendors since they facilitate data matching to the store's existing UPC databases, if only changes are distributed at settlement stores may have problems with UPCs and a full download must be requested anyway (Wyoming does a full file replacement monthly around the 15th of every month to every store). Exchange of full files can increase the length of transmission, which can be problematic in some areas where telephone lines are of poor quality. Particularly in integrated multi-store grocery chains, management of larger sized files increases demands on telecommunications networks.

Input: State food cat/sub cat table

Maximum WIC payment prices per UPC, PLU by vendor peer group

Process:

- Enter staff name/ID as required by IS security rules for changes to State UPC database
- Enter maximum WIC payment prices into the State's UPC database (This may be done through IS file merge/transfer)
- Send UPC database with maximum prices to EBT processor (as appropriate for EBT enabled vendors and clinics)
- View receipt confirmation for State UPC database from EBT processor
- Request screen prints or reports of UPC database as needed (these reports should be readily available to the state user and should not have to be requested)

Output: State UPC database with maximum price edits via

- Current file, previous history files (as defined by State)
- Screen display
- On-demand printed reports

4.3 Produce and Process Reports on WIC Food Items Redeemed

For use at the State and local levels, produce and process food redemption reports to include information from both paper and the EBT issuance redemption formats. Because of the number of factors that may be analyzed in relation to food redemptions, it is recommended that IS reports provide variable selection and search capabilities. Note the unit of analysis may differ between paper (individual) and EBT (household).

Ohio has provided sample reports and software to generate EBT reports using commonly available software. These may be obtained on CD by contacting the WIC national office of FNS. Wyoming can provide a CD to FNS of a month's worth of reports we get from SVS and those created by State IT staff also, as we have created some very usable reports that others may find helpful. Utilizing a data warehouse/adhoc report generation tool would be the optimal way to produce the reports referenced in this section

Input: UPC/PLU/WIC settlement/payment files provided by the EBT Host
Current and History Files from IS for EBT issuance
Issuance site ID

Process:

- Incorporate EBT system redemption reports and file transfers into IS generated reports
- Develop IS Reports (or accept reports from the EBT Host) to monitor trends in redemption of WIC food benefits (looking also to detect fraud and for determining cost containment measures)
- Develop IS Reports to project WIC food purchasing and estimate future WIC food expenditures
- Develop IS Reports (or accept reports from the EBT Host) to associate WIC payments with lost/stolen cards if smart cards are used (Exclude and/or separate EBT tests, store certification transactions, and compliance buys)
- Develop IS Reports (and/or accept reports from the EBT Host) to summarize food purchase patterns by selected vendor and/or WIC participant characteristics. For example, migrant food purchases by vendor.

Output: Screen displays and printed reports as specified by the State for use at the State and local levels
Search and selection criteria for report variables

5.0 Financial Management and Reporting Functions

5.1 Produce and Process Financial Management Reports for EBT

For use at the State level, produce and process financial reports to include information from both paper and EBT issuance and redemption formats. EBT food costs will be linked to food categories/subcategories and UPCs. Reports for costs of paper food instruments are recommended to be reconfigured to also address State food categories and subcategories contained on these food instruments. NOTE: You still may not know what is redeemed in paper system except infant formula that is generally on separate checks. EBT food item level cost reports will need to be used in addition to paper issuance reports.

Since UPC/PLU and food category/subcategory combination captures manufacturer name, brand, food description, package size, product description, category/subcategory, quantity, food item/formula code, formula class, and redemption price per unit redeemed, this may create many new opportunities for food cost monitoring and control.

Input: UPC/PLU/WIC vendor settlement/payment files provided by the EBT Host
EBT Host/card balance reconciliation files provided by the EBT Host
Current and history files from IS for EBT issuance
Vendor ID
EBT issuance site ID

Process:

- Configure financial reporting processes to support both paper food instrument and EBT issuance and redemption
- Exclude EBT testing, store certification transactions, and compliance buys. NOTE: How will this be reported on 798?
- Address EBT issuance and redemptions as well as paper issuance in financial management reports
- Include EBT data in invoice and/or State payments processing
- Use EBT redemption and reconciliation reports from EBT processor to pay vendors if consistent with EBT system design. (Often EBT contractors handle WIC vendor claims and payments to vendors. WIC then immediately reimburses the EBT contractor for payments made.)

Output: Screen displays and printed reports as specified by the State for use at the State level

Examples of paper issuance reports that may be expanded to include or created to separately reflect EBT:

Obligations and Expenditures Closeout
Obligations and Expenditures 30-Day
Obligations and Expenditures Issue Month
Obligations and Expenditures Early
Obligations and Expenditures Late
Redemption Summary
Obligation Value Outstanding
Average Cost per FI
FNS-798 Spreadsheet

5.2 Produce and Process Manufacturer Rebate Reports for EBT

For use at the State level, produce and process rebate reports to include information from both paper and EBT issuance and redemption formats. The EBT items included for rebate will be linked to actual redemption by UPCs, but rebates for paper food instruments will continue to be reported under rules for paper issuance.

Since UPC/PLU and food category/subcategory combination captures manufacturer name, brand, food description, package size, product description, category/subcategory, quantity, food item/formula code, formula class, and redemption price per unit redeemed, this will improve the accuracy of rebate billing and upon implementation of EBT, may allow rebates to be based on actual redemptions.

Input: EBT system transaction data for UPCs subject to State rebate contracts
Estimated paper-based issuance for food items subject to State rebate contracts

Process:

- Configure rebate processes to support both paper food instrument and EBT issuance and redemption
- Exclude EBT testing, store certification transactions, and compliance buys since these would not be submitted for rebates to a formula or product manufacturer
- Address EBT issuance and redemptions as well as paper issuance in rebate supplier reports
- Include EBT data in rebate supplier invoice processing

Output: Screen displays and printed reports as specified by the State for use at the State level

6.0 Caseload Management Functions

6.1 Produce and Process Enrollment Reports for EBT

For use by State and local levels, produce and process reports to include information from both paper and the EBT issuance formats.

Input: The same IS data elements used for paper issuance are now used for EBT excluding “clients” created for specialized EBT testing, EBT store certifications, and compliance buys done through EBT.

Process:

- Address duplicate enrollment/participation
- Exclude EBT testing, store certification transactions, and compliance buys NOTE: Again, how should this be accounted for on 798?

Output: Screen displays and printed reports as specified by the State for use at State and local levels

6.2 Produce and Process Caseload Management Reports for EBT

For State and local levels, produce and process reports to include information from both paper and the EBT issuance and redemption formats.

Input: The same IS data elements used for paper issuance are now used for EBT excluding “clients” created for specialized EBT testing, EBT store certifications, and compliance buys done through EBT. Redemption data from the EBT Host indicating redemption activity by EBA number and Membership via WIC Participant IDs

Process:

- Address duplicate enrollment/participation
- Exclude EBT testing, store certification transactions, and compliance buys
- Account for EBT redemption activity/inactivity

Output: Screen displays and printed reports as specified by the State for use at State and local levels such as:

- Caseload-Local Agency Caseload Achievement Rate
- Caseload-Local Agency Caseload Growth or Reduction Rate
- Caseload-Local Agency Monthly Caseload Assignment
- Caseload-Local Agency Prior Year Caseload Level
- Caseload-Local Agency Total Actual Local Agency Monthly Participation
- Caseload-State Agency Total Monthly Caseload
- Caseload Allocation Parameters to use “what if” capability

7.0 Vendor Management Functions

7.1 Produce and Process Vendor Reports for EBT

Produce and process vendor reports to include information from both paper and the new EBT issuance and redemption formats. Some paper issuance reports will only need to expand to include EBT. EBT food item level reports should be used as part of or in addition to the paper food instrument reports listed below where it is reasonable. In some States, the more specific EBT food item information will not reflect a food instrument level any longer (e.g., Food instruments redeemed within \$5 of maximum vs. food items redeemed subject to a WIC maximum payment per food item). Other modified reports may be needed, for example to replace high risk vendor identification and reporting to include both paper and EBT.

Input: Data from EBT processor as available from WIC EBT Message Format
 Data from IS WIC vendor authorization detail
 IS maximum price control data

Process:

- Develop vendor reports to include EBT Redemption
- Exclude EBT testing, store certification transactions, and compliance buys NOTE: How to report?
- To the extent possible, make these comparable or directly link these to paper instrument reports
- Capture new detail provided by EBT in searchable screens and printable summation reports (e.g. UPCs, PLUs, maximum food item prices, manufacturer/supplier Names, transactions by time and vendor, etc.)

Example of possible EBT detailed reports:

Detail of Food Item Prices Claimed and payments by Vendor and Peer Group
High Risk Report :Vendor Transaction Frequency
High Risk Report : Low Price Vendor Summary
Vendor Transactions Summary By Vendor: Time/Date/Volume/Food Item/ Quantity/Total Purchase Price
Vendor Transactions Summary By Peer Group: Time/Date/Volume/Food Item/Quantity/Total Purchase Price
Vendors Whose Food Average Package Cost is more than 10% Above Peer Group Average (States set different percentages).
Vendors with no EBT redemptions in last X days – suggest 10 days
High Cost Vendor Summary by Food Instrument Type, High Cost Vendor Summary by Vendor, Small Volume Vendors – but need to define “high cost” and “small”
Fraud Indication reports, i.e., transactions occurring outside of store hours, a high number of PIN attempts, large number of manual transactions

7.2 Provide Compliance Buy Capability for EBT

Produce and manage compliance buy reports to include information from both paper and the EBT issuance and redemption formats. Some paper issuance reports will only need to expand to include EBT.

Input: Use the same inputs, processes and outputs needed for basic EBT-Ready Functions.

Process:

- Create a tracking mechanism for EBA's and cards used for Compliance Buys
- Develop formats and request from EBT processor reports needed to examine and analyze compliance buy data. (These may be different from paper-based reports since added detail will be available from the EBT processor.)

Output: Display screens and printed reports on

- Food items purchased
- Times of transactions
- Vendor prices
- Vendor authorization histories
- Other data needed for audit and establishment of vendor claims

8.0 Operations Management and System Administration Functions

8.1 Enable/Disable Clinic EBT Card Issuance Status

Document each clinic's completion of EBT staff training and equipment certification and whether the clinic has been enabled to issue WIC benefits through an EBT card; as opposed to or in combination with issuance by 1) Check; or 2) Voucher; or 3) facilitating Direct Food Distribution based on State business rules. (Appendix A provides additional detail on needs for issuing and tracking EBT cards.)

8.1.1 Document Clinic EBT Training and Card Issuance Status

Input: Written or verbal reports from EBT implementation staff

- Date parameters
- Staff entry of applicable dates of completion

Process:

- Record date clinic staff completed training to issue WIC EBT cards.
- Record date that clinic equipment was certified as able to issue WIC EBT cards.
- Record date the clinic was Enabled to generate (or receive services from EBT system for) WIC EBT card issuance
- Produce Clinic EBT Status Report to provide summary of EBT status for WIC issuance sites as of date requested.

Output: Screen displays of selected data elements

Screen display or printed summary report of EBT status for WIC issuance sites

8.1.2 Enable/Disable EBT Card Issuance

Input: EBT System has entered Production status

Process:

- Enable and Disable EBT card issuance
 - by designated issuance sites, and/or
 - by portions of a clinic's caseload (ability to locally select to issue by electronic or paper means).
- If a choice in type of issuance is permitted by the State EBT design within local clinics, allow WIC staff to select EBT issuance for each participant. *Note:* This may be needed in partial State EBT implementations or when EBT is mixed with other benefit delivery modes within one clinic or jurisdiction. **NOTE:** Cannot imagine MIXING within a clinic!!!!

Output: Send EBA data to EBT Host
Assign Cards to EBAs
Use all EBT-Ready Functions

8.2 Produce and/or Process Operations and System Administration Reports that Reflect EBT Activity at Clinic and State Offices

For clinic integrity reviews, the system should compare each local agency's data to all local agencies to determine if the particular local agency is outside the norm.

To support detailed auditing of system usage, the system should capture the specific user who has updated system records. The IS must be capable of providing this information for EBT activity.

Input: Last modified date
Last modified user
User ID
Local agency ID
Issuance site ID
IS audit file
Variables selected on ad hoc basis (ad hoc reporting is a core function for WIC IS.)

Process:

- Provide framework for State level ad hoc search and selection of operational and system administration data elements relating to WIC EBT
- Produce and process standard and ad hoc reports such as:
 - Report of key IS interactions with the EBT Host
 - Report of potential clinic abuse indicators – Provide data on patterns that may indicate clinic abuse.
 - Report on a profile 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.
 - Clinic redemption rates (if they are increasing, there may be a problem)
 - Clinics serving a greater number of participants than the service area shows as eligible (especially in the infant category)
 - Decrease in the number of voids or unusual patterns among clinic staff
 - Fluctuations in infant caseload within a given clinic

- Illogical sequencing in food instrument redemption patterns (Participant IDs, FIDs/EBAs, PANs, etc.)

Output: Modified data element IS audit file/reports
Screen display or report of potential clinic abuse indicators
Ad Hoc reports

8.3 Track State and Local Agency EBT Card Stock Received, Issued, Deactivated, Hot listed, Reassigned, Replaced or Reinstated (*Optional for Control by IS or EBT System*)

In order to provide accountability and security, either (or both) the IS or the EBT system must track and manage EBT card stock and card status.

Note: Actual implementation of hot card lists typically resides outside of an IS system and is handled by the EBT Host computer that interfaces with retailers in accounting for WIC EBT purchases, receiving retailer claims and preparing retailer payments. Confirmation from the EBT Processor for Hot Card List requests could be retained within the IS.

Input: Data generated by IS or EBT system for card management

Process:

- Create an EBT card stock table for each issuance location to track and count cards received in stock using staff member name and/or ID as required by the State
- Track cards that are checked out
- Check to make sure card is in clinic's inventory during card setup
- Change the status of the card in the EBT card table when the status changes such as new card setup or replacement card setup
- Create a card status table for current and past card issuance with dates and staff IDs for all card status changes. In addition to damaged, lost, and stolen cards record card status as assigned, reassigned, replaced, reinstated, or other conditions identified by the State
- Link the card replacement history to both individual participant ID and Family ID or EBA number
- Search/View EBT card stock and card status

Output: Screen displays and/or printed reports generated either by the IS or received from the EBT system

8.4 Document Types of WIC Program Abuse Related to EBT

Provide capability to record and track WIC EBT abuse/misuse/misrepresentation. While abuse may not necessarily be tracked to individual members within a household EBA, membership may vary across EBAs across time and may suggest sources of abuse at a level lower than a household. State policies will determine the nature of analyses conducted using EBT data.

Input: Codes designated by State to represent selected types of participant abuse as related to WIC EBT.

Process:

- Provide framework of family member (EBA) abuse tracking codes for EBT
- Allow entry/selection of codes by WIC staff
- Provide reports to link EBA members, PAN, and UPC, PLU, and price transaction data as required by the State

Output: Screen displays and printed reports as selected by the State.

The following sections are available upon request.

Section A: Issuing and Managing EBT Cards

Section B: Suggestions for Tracking WIC Benefits under EBT

Section C: Experiences in EBT Readiness

Notes:

Changes Needed to Make IS Ready for WIC EBT

Changes to functions and processes needed in migrating from paper to electronic issuance are presented below as part of Functions that have previously been presented in FRED-E. The major IS Functions presented are: 1) Food Benefits Issuance; 2) Clinic Certification; 3) Nutrition Education; 4) Food Benefit, Redemption, and Reconciliation; 5) Financial Management; 6) Caseload Management; 7) Vendor Management; and 8) Operations Management and System Administration.

Additional detail is provided in three Appendices to this document: Appendix A -- Issuing and Managing EBT Cards; Appendix B -- Suggestions for Tracking WIC Benefits under EBT; and Appendix C -- Experiences in EBT Readiness.

Changes that May Be Made Through Either the IS or the WIC EBT System

Depending on the EBT system design selected, some functions may lie either within the IS or may be solely or additionally provided by the EBT system. These functions are presented as *optional to the IS*, depending on the design choices made by the State. These *optional* functions (addressed below) include: 1.8 Set Up a Card Account and Assign an EBT Card to a Family Household; 1.9 Deactivate EBT Card; and 8.3 Track State and Local Agency EBT Card Stock Received, Issued, Deactivated, Hot listed, Reassigned, Replaced or Reinstated.

Changes to the IS that Can Be Made In Advance of EBT Design and Implementation

Some functions within the IS may be implemented early in IS development even though considerable time may remain before a companion WIC EBT system will be implemented. This approach should prove more cost effective by avoiding the need for subsequent redesign or modification to the IS at the time of EBT implementation. These include:

- 1.1 Establish and Maintain State WIC Food Category and Subcategory Table
in Relation to the FNS Food Cat/Subcategory Table
- 1.2 Assign Food Packages Based on Food Types Included in the
State's Food Category/Subcategory Codes
- 1.3 Maintain UPC Code for Each Food Item Authorized Within the State
Agency as Part of State Food Cat/Subcategory Table
- 1.4 View Participant/Household Food Prescription and Electronic Benefit Account (EBA) Issuance as Held by the IS
- 2.1 Authorize EBT Food Prescription
- 2.3 Transfer a Member from the Family Household (EBT to EBT)
- 2.4 Transfer a Member from the Family Household (EBT to Non-EBT)
- 2.5 Transfer a Member into the Family Household (Non-EBT to EBT)
- 4.1 Determine Maximum Price to be Paid by WIC for Each WIC Approved Food Item

Changes to the IS that Should Be Made in Coordination with EBT Implementation

Other EBT Ready functions should be added to the IS closer to the time of EBT implementation. Since time brings changes in software and communication protocols, a State should be sure that changes made to the IS will not age in a manner that may become incompatible with its envisioned WIC EBT system. Some of these functions or reports will already be included to support the paper system; however, they may require modification or refinement as a State agency implements EBT. These functions include:

- 1.5 Produce and/or Process Reports Relating Food Benefit Issuance and History of Food Prescription Changes and History of EBA Issuance as Recorded by the IS
- 1.6 View from the Clinic the Current EBT Host Record for Each EBA's Food Item Balance and Future Months for Each EBA/EBT Host Record
- 1.7 Print at the Clinic the Current EBA Balance (Monthly Shopping List), and/or Future or Past Benefits Held on the EBT Host and/or Written to a Smartcard
- 1.10 Replace Card for the Family Benefit Account
- 1.11 Reassign Card for the Family Benefit Account/Change HOH and/or Recipient #
- 1.12 Reinstate Card for the Family Benefit Account
- 1.13 Use IS Search Criteria to Find, Read and/or Access EBA Member and Benefits Displays
 - 2.2 Void/Reissue EBT Benefits
 - 2.6 Removing a WIC Participant from an EBT Family/EBA Membership
 - 3.1 Produce and/or Process Nutrition Education Reports for EBT Issuance
 - 4.2 Associate Food Categories/Sub-Categories, UPCs, and Maximum Price Controls; and Provide Up-to-Date Files to the EBT System
 - 4.3 Produce and/or Process Reports on WIC Food Items Redeemed
 - 5.1 Produce and/or Process Financial Management Reports for EBT
 - 5.2 Produce and/or Process Manufacturer Rebate Reports for EBT
 - 6.1 Produce and/or Process Enrollment Reports for EBT
 - 6.2 Produce and/or Process Caseload Management Reports for EBT
 - 7.1 Produce and/or Process Vendor Reports for EBT
 - 7.2 Provide Compliance Buy Capability for EBT
 - 8.1 Enable/Disable Clinic EBT Card Issuance Status
 - 8.2 Produce and/or Process Operations and System Administration Reports that Reflect EBT Activity at Clinic and State Offices
 - 8.4 Document Types of WIC Program Abuse Related to EBT