

FUNCTIONAL REQUIREMENTS DOCUMENT FOR A MODEL WIC INFORMATION SYSTEM, WITH EBT

(FRED-E)

TABLE OF CONTENTS

SECTION 1: INTRODUCTION

1.0	FRED-E Introduction.....	1
1.1	General Information.....	1
1.2	Required Functions and Prioritization of Functions	2
1.2.1	Required Functions.....	2
1.2.2	Prioritization of Functions	3
1.3	Document Layout	3
1.4	Environment	5

SECTION 2: PROGRAM OVERVIEW

2.0	Program Overview.....	1
2.1	Background.....	1
2.2	Objectives	6
2.3	Summary of Functional Areas	7
2.4	Operating Environment	11
2.4.1	System Users	11
2.4.1.1	Local Agencies and Clinics	11
2.4.1.2	State Agencies	12
2.4.1.3	FNS - Headquarters and Regional Offices.....	12
2.4.2	WIC Participants.....	13
2.4.3	Other Health and Social Service Agencies	13
2.4.4	Financial Institutions and Intermediaries.....	13
2.4.5	Vendors.....	14
2.4.6	Food Manufacturers.....	14
2.5	Functional Distribution.....	14

SECTION 3: WIC INFORMATION SYSTEM FUNCTIONS

3.0	WIC Information System Functions	1
3.1	Certification	2
3.1.1	Manage Application Process.....	5
3.1.1.1	Schedule Certification Appointment.....	5
3.1.1.2	Maintain Waiting List.....	7
3.1.1.3	Maintain Basic Information on Applicant	8
3.1.1.4	Screen Applicant for Prior Enrollment	10
3.1.1.5	Determine Adjunct or Automatic Income Eligibility.....	12
3.1.1.6	Determine Documented Income Eligibility	13
3.1.1.7	Maintain Eligibility Documentation and Status.....	15
3.1.2	Determine Nutrition Risk of Applicant.....	18

3.1.2.1	Maintain Applicant Nutrition and Health Characteristics.....	18
3.1.2.2	Perform Dietary Assessment.....	20
3.1.2.3	Perform Measurements and Calculate Body Mass Index	22
3.1.2.4	Capture and Document Blood Test Results	23
3.1.2.5	Determine Nutrition Risk and Certify Applicant.....	26
3.1.2.6	Assess Applicant for Temporary Certification/Presumptive Eligibility Requirements ...	28
3.1.2.7	Conduct On-going Assessment of Bloodwork Needed.....	30
3.1.2.8	Maintain Participant Data	31
3.1.2.9	Issue Identification Card.....	32
3.1.3	Prescribe Food Package	34
3.1.3.1	Assess>Select Food Prescription	34
3.1.3.2	Tailor/Change Food Prescription	35
3.1.3.3	Schedule Appointment for Food Benefit Pick-up.....	37
3.1.4	Process Participant Changes and Transfers	39
3.1.4.1	Change Family/Household Grouping	39
3.1.4.2	Change Participation Status.....	40
3.1.4.3	Process In-State Transfers.....	41
3.1.4.4	Process Transfers to Other States or Overseas.....	42
3.1.5	Establish EBT/ESD Account and Authorize Benefits	44
3.1.5.1	Establish EBT/ESD Account	44
3.1.5.2	Authorize Benefits	45
3.1.5.3	Load EBT/ESD Data on Card.....	45
3.1.6	Conduct Certification Reporting	47
3.1.6.1	Generate Standard Reports	47
3.1.6.2	Conduct Ad Hoc Queries and Generate Reports.....	49
3.1.6.3	Maintain Data Warehouse	50
3.2	Nutrition Education, Health Surveillance and Referrals.....	51
3.2.1	Maintain Nutrition Education Data.....	53
3.2.1.1	Create Participant Care Plan	53
3.2.1.2	Schedule Nutrition Education Appointment	55
3.2.1.3	Track Nutrition Education Contacts and Topics Covered	56
3.2.1.4	Document Missed Nutrition Education Appointment.....	57
3.2.2	Assess Individual Participant Dietary Intake	59
3.2.2.1	Assess/Reassess Dietary Changes in Nutrition Risk.....	59
3.2.2.2	Maintain Information on Food Purchased (EBT/ESD System Only)	60
3.2.3	Perform Participant Referrals	62
3.2.3.1	Track Incoming and Outgoing Referrals	62
3.2.4	Provide Voter Registration Information	65
3.2.4.1	Provide Voter Registration Information	65
3.2.5	Provide WIC Health Statistics and Other Information to External Entities.....	66
3.2.5.1	Provide WIC Population Data to External Entities.....	67
3.2.5.2	Provide Participant Characteristics Minimum Data Sets to FNS	68
3.2.5.3	Provide WIC Participant Characteristics Health Data to the Centers for Disease Control and Prevention (CDC)	69
3.2.6	Determine Immunization Status	70
3.2.6.1	Screen and Refer Participant for Immunization Services	70
3.2.7	Conduct Nutrition Education, Health Surveillance, and Referrals Reporting.....	73
3.2.7.1	Generate Standard Reports	73
3.2.7.2	Conduct Ad Hoc Queries and Generate Reports.....	74
3.3	Food Benefit Issuance.....	75
3.3.1	Maintain Food Package Data	77
3.3.1.1	Maintain Approved Foods and Food Package Data.....	78
3.3.1.2	Record Food Package Variations and Food Instrument Types	79
3.3.1.3	Reduce Food Quantities for Late Pick-Up	81
3.3.1.4	Estimate Redemption Value	82
3.3.1.5	Maintain UPC Database for WIC Authorized Foods.....	84

FUNCTIONAL REQUIREMENTS DOCUMENT FOR A MODEL WIC INFORMATION SYSTEM, WITH EBT
TABLE OF CONTENTS

3.3.2	Issue Paper Food Instruments (Paper Food Instrument Systems).....	86
3.3.2.1	Prepare Individual Food Instruments.....	86
3.3.2.2	Print Food Instruments.....	89
3.3.2.3	Process Food Instrument Changes	91
3.3.2.4	Maintain Inventory of Food Instruments Issued to Local Agency	92
3.3.3	Issue Electronic Benefit Card (EBT Systems).....	93
3.3.3.1	Prepare to Load Food Benefits on Card.....	94
3.3.3.2	Load Card and Print Food Prescription.....	96
3.3.3.3	Process Card Changes.....	97
3.3.3.4	Maintain Inventory of Cards Issued to Local Agency	98
3.3.4	Conduct Food Benefit Issuance Reporting	100
3.3.4.1	Generate Standard Reports	100
3.3.4.2	Conduct Ad Hoc Queries and Generate Reports.....	102
3.3.4.3	Maintain Data Warehouse	102
3.4	Food Benefit Redemption, Settlement and Reconciliation	103
3.4.1	Pay Vendor for Food Benefits Redeemed (Paper Food Instrument Systems)	108
3.4.1.1	Compile File of Transaction Data.....	108
3.4.1.2	Perform Edits and Authorize Vendor Payment.....	109
3.4.1.3	Pay Vendor	110
3.4.2	Pay Vendor for Food Benefits Redeemed (EBT Systems)	113
3.4.2.1	Verify WIC Card	114
3.4.2.2	Screen for Food Item Eligibility and Verify Available Balance	115
3.4.2.3	Approve Purchase	116
3.4.2.4	Compile File of Transaction Data and Upload to Processor	116
3.4.2.5	Conduct Settlement.....	117
3.4.3	Maintain Food Transaction Data (EBT Systems)	119
3.4.3.1	Maintain Family/Household Food Account Balance	119
3.4.3.2	Process Inquiries for Food Account Balance and Last Date to Spend.....	120
3.4.3.3	Track Food Purchases by Family/Household	121
3.4.3.4	Track Food Purchases and Price	122
3.4.4	Reconcile Food Instruments (Paper Food Instrument Systems)	124
3.4.4.1	Retrieve Food Issuance File.....	125
3.4.4.2	Reconcile Redeemed File with Issuance File.....	125
3.4.4.3	Reconcile Food Instruments	127
3.4.5	Conduct Food Benefit Payment, Settlement and Reconciliation Reporting	129
3.4.5.1	Generate Standard Reports	129
3.4.5.2	Conduct Ad Hoc Queries and Generate Reports.....	130
3.4.5.3	Maintain Data Warehouse	131
3.5	Financial Management.....	132
3.5.1	Manage Grants and Budgets	134
3.5.1.1	Track NSA and Food Grants.....	136
3.5.1.2	Maintain State Agency Budget Information	138
3.5.1.3	Maintain and Transmit Local Agency Budget Information	141
3.5.2	Monitor Program Expenditures.....	144
3.5.2.1	Monitor NSA Expenditures	145
3.5.2.2	Monitor Food Expenditures	147
3.5.2.3	Perform Financial Modeling	150
3.5.2.4	Manage Cash Flow	152
3.5.3	Process Manufacturer Rebates.....	155
3.5.3.1	Estimate Total Annual Rebates.....	155
3.5.3.2	Assess Rebates.....	157
3.5.3.3	Assess Rebate Alternatives	159
3.5.3.4	Monitor Rebate Collections	160
3.5.4	Conduct Financial Management Reporting	162
3.5.4.1	Generate Standard Reports	162
3.5.4.2	Conduct Ad Hoc Queries and Generate Reports.....	164

3.5.4.3	Maintain Data Warehouse	164
3.6	Caseload Management.....	165
3.6.1	Capture and Maintain Caseload Data	167
3.6.1.1	Capture Data on Potential Eligible Population	167
3.6.1.2	Capture Historical Participation Data	168
3.6.2	Allocate Caseload	169
3.6.2.1	Determine Maximum State Caseload	169
3.6.2.2	Prepare Local Agency Caseload Allocation Estimates	170
3.6.2.3	Record Caseload Allocation	172
3.6.2.4	Transmit Caseload Allocation Data to Local Agencies	173
3.6.3	Monitor Caseload.....	174
3.6.3.1	Track Actual Participation	174
3.6.3.2	Conduct Caseload Reallocations.....	175
3.6.4	Conduct Caseload Management Reporting.....	177
3.6.4.1	Generate Standard Reports	177
3.6.4.2	Conduct Ad Hoc Queries and Generate Reports.....	177
3.6.4.3	Maintain Data Warehouse	178
3.7	Operations Management.....	179
3.7.1	Monitor Administrative Operations.....	181
3.7.1.1	Maintain Information on Local Agencies and Clinics	181
3.7.1.2	Track Staff Time Allocation	183
3.7.2	Manage Participant Outreach.....	184
3.7.2.1	Maintain Outreach List for Local Agencies.....	184
3.7.2.2	Track Outreach Campaign Activities.....	185
3.7.3	Monitor Customer Service for Participants, Vendors and Providers	187
3.7.3.1	Receive and Route WIC Customer Service Calls	187
3.7.3.2	Track Call Outcomes	189
3.7.4	Provide Survey Capability	190
3.7.4.1	Monitor Participants' Views of WIC Program Services	190
3.7.5	Maintain Inventory	192
3.7.5.1	Maintain Inventory of Serialized Items	192
3.7.5.2	Maintain Inventory of Non-Serialized Items	193
3.7.6	Monitor Program Integrity	195
3.7.6.1	Monitor Participant Integrity	195
3.7.6.2	Monitor Clinic Integrity	197
3.7.6.3	Track Administrative Hearings	198
3.7.7	Conduct Operations Management Reporting	200
3.7.7.1	Generate Standard Reports	200
3.7.7.2	Generate Ad Hoc Queries and Generate Reports	201
3.7.7.3	Maintain Data Warehouse	202
3.8	Vendor Management	203
3.8.1	Maintain Vendor Authorizations	206
3.8.1.1	Maintain Vendor Application Data.....	206
3.8.1.2	Track Vendor Authorization Process	209
3.8.1.3	Select Authorized Vendors	210
3.8.1.4	Maintain Authorized Vendor Data	211
3.8.2	Monitor Vendor Training	213
3.8.2.1	Track Scheduled Vendor Training	213
3.8.2.2	Track Attendance at Vendor Training and Technical Assistance Conducted	214
3.8.3	Support Vendor Communications	215
3.8.3.1	Produce Correspondence to Vendors	215
3.8.4	Perform Confidential High-Risk Vendor Analysis	216
3.8.5	Track Compliance Investigations and Routine Monitoring	217
3.8.5.1	Maintain Special Investigator Record for Compliance Investigations	218
3.8.5.2	Maintain Food Benefit Redemption Data	219
3.8.5.3	Maintain Compliance Investigation and Routine Monitoring Data	220

3.8.5.4	Support Inventory Audits.....	221
3.8.6	Monitor Sanctions and Appeals	222
3.8.6.1	Manage Vendor Sanctions	222
3.8.6.2	Maintain Vendor Appeal Data.....	225
3.8.7	Coordinate with Food Stamp Program.....	226
3.8.7.1	Maintain Food Stamp Program Violation Data	226
3.8.7.2	Report WIC Sanctions to the Food Stamp Program	227
3.8.8	Conduct Vendor Management Reporting	228
3.8.8.1	Generate Standard Reports	228
3.8.8.2	Conduct Ad Hoc Queries and Generate Reports.....	230
3.8.8.3	Maintain Data Warehouse	230
3.8.8.4	High Risk Vendor Analysis Reports.....	230
3.9	Scheduling	231
3.9.1	Maintain Master Calendar	233
3.9.2	Schedule Appointments	235
3.9.2.1	Perform Appointment Scheduling	235
3.9.2.2	Perform Mass Rescheduling	236
3.9.3	Generate Appointment Notices.....	238
3.9.4	Conduct Scheduling Reporting.....	239
3.9.4.1	Generate Standard Reports	239
3.9.4.2	Conduct Ad Hoc Queries and Generate Reports.....	239
3.9.4.3	Maintain Data Warehouse	240
3.10	System Administration	241
3.10.1	Maintain System Data Tables	244
3.10.1.1	Maintain System Code Table Data	245
3.10.2	Administer System Security	246
3.10.2.1	Maintain User Identification	247
3.10.2.2	Maintain User Capabilities	248
3.10.2.3	Monitor Unauthorized Access	248
3.10.2.4	Monitor Record Updates	249
3.10.3	Manage System.....	250
3.10.3.1	Manage System Sites	250
3.10.3.2	Manage Communications	250
3.10.3.3	Perform System Back-Up/Restoration.....	252
3.10.3.4	Perform End-of-Day Processing	253
3.10.3.5	Import/Export Data Files	254
3.10.3.6	Create/Rebuild Clinic System	255
3.10.3.7	Provide Version Control/Distribute Updates	256
3.10.4	Archive System Data	258
3.10.4.1	Archive and Restore Historical Data	258
3.10.4.2	Purge Unnecessary Data	259
3.10.5	Conduct System Administration Reporting	260
3.10.5.1	Generate Standard Reports	260
3.10.5.2	Conduct Ad Hoc Queries and Generate Reports.....	261
3.10.5.3	Maintain Data Warehouse.....	261

SECTION 4: DATA

4.0	Data.....	1
4.1	Data Stores.....	4
4.2	Data Code Tables.....	40
4.3	Data Transaction Files	61
4.4	Data Dictionary.....	70

APPENDICES

- A. Requirements Traceability Matrix (RTM)
- B. NWA/FNS WIC Strategic Planning Core/Future MIS Functions
- C. Electronic Benefits Transfer/Electronic Service Delivery Systems
- D. Technology Considerations
- E. Comparison of State Systems Matrix
- F. Sample Analysis Tools
- G. Hardware, Software, and Alternative Architecture Considerations
- H. Glossary of Acronyms and Terms
- I. Report Descriptions