

# STATE ELIGIBILITY SYSTEM REVIEW TOOL



The 2008 Farm Bill in section 4121 reinforces the requirement that projects for new IS systems or projects involving significant enhancements to legacy systems be adequately tested by the state agency before implementation as a condition of continued FNS funding. The regulatory citations associated with review elements are to assist the reviewer in determining the proper functionality of the system design.

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## **i. Introduction - SNAP Eligibility Systems Review Tool**

### **1. About the form**

This review tool was designed to be used both by State and Federal staff. It may be used by States during their planning and design stages as a list of data elements and system functions desirable for an eligibility system and to conduct their own pre- and post-implementation review. It may also be used by Federal staff for pre- and post-implementation reviews.

### **2. Preparation for Federal on-site reviews**

For Federal reviews, the form should be sent to the State in advance of the on-site visit along with a transmittal letter notifying the state agency (SA) of the FNS review, alerting them to plans for entrance/exit conferences, and highlighting the need for availability of appropriate SA staff during the on-site review. A complete set of the State's latest FNS reports (see Section E11 chart) should be collected and sent by FNS to the SA along with the review tool. During the on-site review, Federal staff should ask what the source data is for the FNS reports, how the reports are compiled, how they are edited, and what the timeframes are for the reports. If FNS reports are not fully automated, the reviewer should ask whether the State plans to automate any or all FNS reports and the timeframes for doing so.

The Federal review team should include staff with strong program knowledge and experience. The reviewers should research State Implementation Advanced Planning Documents, policy options, waivers, and demonstration projects before going on-site. Examples of demonstration projects are SSI Combined Application Projects or Standard Medical Deduction Projects. These should be discussed at the entrance conference to ensure the reviewer's understanding is current and/or correct. The review tool should be modified, as appropriate, based on the State circumstances. The reviewer should also arrange in advance for appropriate State staff to be available, or on-call, during the visit to discuss all subject matter covered in the review tool, including program policy, systems, and reports.

### **3. Federal use of review tool**

The review tool contains both data elements commonly found in eligibility systems and questions about the system functionality. For data elements, the reviewer is expected to mark in the left column Yes or No as to whether or not the data element is collected by the system. For questions about the system, the left column may be similarly used when possible. If further explanations are necessary, the reviewer may use the appropriate section's Comments, or if need be, use remaining space on the back of the page. The item reference number should precede any explanations. Reviewers should ask follow-up questions when they are given incomplete or insufficient answers and the explanations should be recorded as well. Reviewers are also expected to validate the information provided through observation and demonstration.

### **4. State use of review tool**

The State may use this tool in their own evaluation of the system at the testing stage and to conduct their own post-implementation review. The State may also complete the form in preparation for a federal review.

## A. Eligibility & Benefits Determination

### A1. Initial Application Processing (273.2)

Y	N	
		AP-1 Does the system capture the application date?
		AP-2 Is eligibility for expedited service designated in system?
		AP-3 Does the system capture the expedited service determination date?
		AP-4 Does the system calculate destitute provisions for income of migrants?
		AP-5 Is the type of interview (face-to-face or/by phone) designated?
		AP-6 Does the system capture the interview date?
		AP-7 Is an internet application available?
		AP-8 Does the internet application have an electronic signature?
		AP-9 Does the internet application populate the eligibility system with data?
		AP-10 Does the internet application get filed electronically?
		AP-11 Does the system capture verification of identity types/sources?
		AP-12 Does the system apply program choices by individual household (HH) member?
		AP-13 Does the system check that each HH member is not in another active case?
		AP-14 If duplicate participation (in another county or state) is detected, does system prevent entry of the duplicate case?

A1 Comments:

**A2. HH Data (273.1; 273.3 through 273.6)**

Y	N	
		HH-1 Does the system allow for an unlimited number of household (HH) members?
		HH-2 Does the system capture the name of each HH member?
		HH-3 Does the system capture a Social Security Number (SSN) for each member?
		HH-4 Is more than one SSN for each HH member permitted by system?
		HH-5 Are HH members who still need to provide an SSN tracked?
		HH-6 Does the system provide temporary SSN if member doesn't have one? (Numident or similar process)
		HH-7 Does the system capture the date of birth for each member?
		HH-8 Does the system designate head of HH?
		HH-9 Does the system capture the relationship of each member to the head of HH?
		HH-10 Does the system capture whether the members purchase and prepare with head of HH?
		HH-11 Does the system capture the age of each member?
		HH-12 Does the system capture the sex of each member/
		HH-13 Does the system capture the racial/ethnic data for each member using FNS-101 categories?
		HH-14 Is racial/ethnic data automatically added to FNS-101?
		HH-15 Does the system capture the citizenship/alien status of each member?
		HH-16 Does the system capture the alien registration identification (ID) number of each member?
		HH-17 Does the system capture the residence address?
		HH-18 Does the system indicate that the address has been verified?
		HH-19 If residence is group facility, is that designation made?
		HH-20 Does the system have a designation for homeless?
		HH-21 Does the system capture the mailing address?
		HH-22 Does the system capture telephone number(s)?
		HH-23 Does the system capture whether any adult HH member speaks English proficiently?
		HH-24 Does the system capture the Primary language?
		HH-25 Does the system capture the translation needs?
		HH-26 Does the system capture the interpreter needs?
		HH-27 Are non-HH members (disqualified, fleeing felons, ineligible aliens, drug felons, students, strikers, others) identified in system?

A2 Comments:

### A3. Status of HHs

Y	N	
		S-1 Does the system identify a HH with all elderly/disabled members?
		S-2 Does the system identify a HH with all SSI recipients?
		S-3 Does the system identify a HH with all TANF/GA recipients?

A3 Comments:

### A4. Authorized Representative (throughout 273.2; specifically 273.2[n])

Y	N	
		AR-1 Does the system capture the authorized representative name?
		AR-2 Does the system capture the authorized representative address?
		AR-3 Does the system capture the authorized representative telephone number?
		AR-4 Does the system differentiate the roles of authorized representatives?

A4 Comments:

## A5. Earned Income (273.9)

Y	N	
		EI-1 Does the system capture the gross earned income total for HH?
		EI-2 Does the system capture the individual earned income by HH member?
		EI-3 Does the system capture the source of earned income?
		EI-4 Does the system capture the self-employment earned income (gross)?
		EI-5 Does the system capture the self-employment expenses (allowed/disallowed) or a self-employment expense standard?
		EI-6 Does the system capture the net earned income total of HH?
		EI-7 Does the system capture the individual net earned income by HH member?
		EI-8 Does the system capture the self-employment net earned income by HH member?
		EI-9 Does the system allow for net losses from farm self-employment to be offset from other earned income? (Note: See UI-6; offset may be made from unearned income also)
		EI-10 Does the system capture the frequency of earned income?
		EI-11 Does the system capture the verification of earned income types/sources?
		EI-12 Are sources of earned income identified, including training allowances, VISTA [Title 1], Work Incentive Act, roomer/boarder, striker, other, identified?
		EI-13 Does the system capture the earned income deduction?
		EI-14 Is earned income deduction disallowed if no income reported
		EI-15 Does the system capture the verification of earned income types/sources?
		EI-16 Does the system identify whether earned income is included/excluded based on program type?
		EI-17 Can the system attribute disqualified HH member earned income to HH?

A5 Comments:

## A6. Unearned Income (273.9)

Y	N	
		UI-1 Does the system capture the unearned income total for HH?
		UI-2 Does the system capture the individual unearned income by HH member?
		UI-3 Does the system capture the net unearned income for HH?
		UI-4 Does the system capture the sources of unearned income, including GA, RSDI, SSI, TANF, Unemployment, VA, alimony, child support, pension, scholarship, striker benefits, deemed sponsor's income, other unearned income?
		UI-5 Does the system capture the frequency of unearned income?
		UI-6 Does the system allow adjustments to unearned income?
		UI-7 Does the system allow offset from unearned income? (E.g. Net losses from farm self-employment.)
		UI-8 Does the system capture the verification of unearned income types/sources?
		UI-9 Does the system identify whether unearned income is included/excluded based on program type?
		UI-10 Can the system attribute disqualified HH member unearned income to HH?

A6 Comments:

## A7. Resources (273.8)

Y	N	
		R-1 Are total resources calculated correctly?
		R-2 Does the system capture individual resource ownership?
		R-3 Does the system capture joint resource ownership?
		R-4 Does the system capture HH vehicles?
		R-5 Does the system capture HH liquid resources (cash on hand, bank accounts, stocks, bonds)?
		R-6 Does the system capture HH real estate?
		R-7 Does the system capture IRA/Keogh Plans?
		R-8 Does the system capture other resources?
		R-9 Are transfers of resources (3 months prior) identified?
		R-10 Does the system capture the verification of resource types/sources?
		R-11 Does system identify whether resources are included/excluded based on program type?
		R-12 Can system attribute disqualified HH member resources to HH?

A7 Comments:

### A8. Medical Deduction (273.9[d][3])

Y	N	
		MD-1 Is eligibility for deduction (disabled or elderly) determined?
		MD-2 Does the system capture the total monthly medical expenses?
		MD-3 Does the system correctly calculate allowable individual monthly medical expenses?
		MD-4 Is medical deduction threshold (currently \$35) applied to each HH member's expenses?
		MD-5 Does the system capture the verification of medical expense types/sources?
		MD-6 Does system identify whether medical expenses are included/excluded based on program type?
		MD-7 Can system attribute disqualified HH member medical expenses to HH?

A8 Comments:

### A9. Dependent Care Deduction (273.9[d][4])

Y	N	
		DD-1 Does the system capture the total monthly dependent care expenses?
		DD-2 Does the system capture the individual monthly dependent care expenses?
		DD-3 Does the system capture the eligibility for dependent care deduction?
		DD-4 Does the system capture verification of dependent care expense types/sources?
		DD-5 Does system identify whether dependent care expenses are included/excluded based on program type?
		DD-6 Can system attribute disqualified HH member dependent care expenses to HH?

A9 Comments:

## A10. Shelter Deduction (273.9[d][6][ii])

Y	N	
		SD-1 Does the system capture the shelter expense total?
		SD-2 Does the system capture the rent or mortgage & frequency?
		SD-3 Does the system capture property taxes & frequency?
		SD-4 Does the system capture property insurance & frequency?
		SD-5 Does the system capture the utility expenses total?
		SD-6 Does the system capture the telephone expense & frequency?
		SD-7 Does the system capture the electricity expense & frequency?
		SD-8 Does the system capture the gas expense & frequency?
		SD-9 Does the system capture the oil expense & frequency?
		SD-10 Does the system capture the water/sewage expense & frequency?
		SD-11 Does the system capture the trash expense & frequency?
		SD-12 Does the system capture the heating/cooling expense & frequency?
		SD-13 Does the system capture vendor payments?
		SD-14 Does the system capture the receipt of LIHEAP?
		SD-15 Does the system capture subsidized Public Housing?
		SD-16 Does the system calculate correctly the Standard Utility Allowance (SUA)?
		SD-17 Does the system calculate correctly the Limited Utility Allowance (LUA)?
		SD-18 Does the system calculate correctly the Telephone Utility Allowance (TUA)?
		SD-19 Is the homeless standard allowed (if State has standard)?
		SD-20 Is the Maximum correctly allowed (for deductions with a maximum)?
		SD-21 Are disabled/elderly HH shelter expenses allowed?
		SD-22 Does the system correctly apply excess shelter cap for non-elderly/disabled HH members?
		SD-23 Does the system record what type of utility expense (actual or standard) was allowed?
		SD-24 Does the system capture the verification of shelter expense types/sources?
		SD-25 Does the system identify whether shelter expenses are included/excluded based on program type?
		SD-26 Can the system attribute disqualified HH member shelter expenses to HH?

A10 Comments

### A11. Other Deductions

Y	N	
		OD-1 Does the system calculate correctly the standard deduction (appropriate to HH size)?
		OD-2 Depending on State option, is child support payment treated as exclusion or deduction?
		OD-3 Does the system capture the verification of other deduction types/sources?

A11 Comments:

### A12. Categorical Eligibility (throughout 273.2; specifically 273.2[j][2])

Y	N	
		CAT-1 Is categorical eligibility designated in system?
		CAT-2 Does the system calculate correctly the resource disregard for eligible HHs?
		CAT-3 Does the system calculate correctly the gross income disregard for eligible HHs?
		CAT-4 Does system disregard net income limit for categorically eligible 1 and 2 person HHs?
		CAT-5 Depending on state option, are cases of categorically eligible HHs with 3 or more persons suspended or closed when eligible for zero benefits?

A12 Comments:

**A13. Work Registration (273.7[a])**

Y	N	
		WR-1 Does the system register HH members?
		WR-2 Does the system capture the reason for exemption?
		WR-3 Does the system identify correctly Employment & Training mandatory participants?
		WR-4 Does the system correctly handle voluntary quit or reduction in work hours?
		WR-5 Does the system correctly handle disqualification for non-compliance?
		WR-6 Does the system track number of disqualifications?
		WR-7 Does the system automatically feed the FNS-583, FS Employment & Training Activity Report?

A13 Comments:

**A14. ABAWDS (273.7[c])**

Y	N	
		ABS-1 Are the months of participation tracked?
		ABS-2 Are exempt areas of State tracked (waivers)?
		ABS-3 Are the reason for exemptions captured?
		ABS-4 Does the system track 15% exemptions (if applicable)?
		ABS-5 Are fixed or rolling 36 month periods accommodated?
		ABS-6 Are the number of failures to comply tracked?
		ABS-7 Is 100% Federal funds spending tracked?
		ABS-8 Is 50% Federal funds spending tracked?
		ABS-9 Does the system automatically feed the FNS-583, FS Employment & Training Activity Report?

A14 Comments:

### A15. Students (273.5)

Y	N	
		S-1 Does the system capture the reason for disqualification/ineligibility?
		S-2 Does the system capture all exemption categories allowing students to be eligible?
		S-3 Is student eligibility established considering work status?
		S-4 Does the system address student eligibility based on school attendance?
		S-5 Does the system calculate student income and deductions for educational expenses?

A15 Comments:

### A16. Group Facility Residences/Homeless Meal providers

Y	N	
		GRP-1 Does the system identify HH member as resident of group facility?
		GRP-2 Does the system identify group facility classified by type (GLA, DA, Mental Health, Battered women/children)?
		GRP-3 Is the facility identified as authorized representative where applicable?
		GRP-4 Is the benefit allotment divided between facility & recipient in the month the recipient leaves?
		GRP-5 Is a second issuance in same month to battered women/children shelter resident allowed?
		GRP-6 Does the system identify cases permitted to use benefits at restaurants and/or homeless meal providers?

A16 Comments

## A17. Disaster SNAP

Y	N	
		DIS-1 Is there a system module to process applications, determine eligibility, and calculate benefits for SNAP Disaster Program?
		DIS-2 Does the system check for duplication of benefits with the regular SNAP?
		DIS-3 Does the system check applicants against Disaster SNAP denied applications? (See policy memo based on OIG audit)
		DIS-4 Does the system check for duplication against approved Disaster SNAP benefits?
		DIS-5 Does the system specifically identify and report Disaster SNAP benefits?
		DIS-6 Does the system track & report separately replacement amounts provided for food purchased with regular SNAP benefits but destroyed in a HH disaster?
		DIS-7 Does the system track & report separately supplemental benefits issued to already eligible HHs to bring their benefit level up to the maximum for their HH size?
		DIS-8 Does the system issue notices specifying Disaster SNAP eligibility and benefit amounts?
		DIS-9 Does the system check residence zip code against those within authorized disaster area (such as county, town, etc.)?

A17 Comments:

## B. Changes

### B1. Change Reporting (273.12)

Y	N	
		CHG-1 Does the system identify the type of reporting HH must do?
		CHG-2 Does the system allow change reporting?
		CHG-3 Does the system allow simplified reporting?
		CHG-4 For simplified reporting, does the system generate reports (if applicable)?
		CHG-5 Does the system allow monthly reporting?
		CHG-6 For monthly reporting, does the system generate reports?
		CHG-7 Does the system allow quarterly reporting?
		CHG-8 For Quarterly reporting, does the system generate reports?
		CHG-9 Does the system terminate issuance if no report is provided?
		CHG-10 Does the system track processing of client reports (monthly, quarterly, simplified)?
		CHG-11 Are case changes recorded in an audit trail which identifies the EW that made the change?
		CHG-12 Do positive database matches with wage-reporting systems initiate a notice to the EW?
		CHG-13 If the system receives info from a source considered "verified upon receipt", does it automatically update case, recalculate benefits, suspend/terminate case, notify EW?
		CHG-14 Does the system record origin of all reports causing case changes?
		CHG-15 If joint eligibility systems, does system automatically notify other programs of reported changes and new SNAP benefit amount?
		CHG-16 If joint eligibility system, are other program changes and new grant amounts automatically processed for SNAP case?

B1 Comments

**B2. Mass Changes (273.12[e])**

Y	N	MC-1 Is the system capable of computing changes and adjusting benefits as needed for:
		<input type="checkbox"/> Thrifty Food Plan? <input type="checkbox"/> Gross eligibility limit? <input type="checkbox"/> Net eligibility limit? <input type="checkbox"/> Standard deduction? <input type="checkbox"/> Shelter deduction? <input type="checkbox"/> Utility standards?
		MC-2 Are changes made to update SNAP income with actual increased amounts of TANF grants, SSA benefits, and SSI benefits?
		MC-3 Can the system issue reduced allotments for entire caseload, if necessary?
		MC-4 Can the restorations for the reduced month be made at a later date, if necessary?
		MC-5 Does the system possess facilities to assure changes in program specifications regarding eligibility and benefit calculation can be affected without major modification to system?

B2 Comments:

## C. Claims & Restoration

### C1. Claims (273.18)

Function - Does the system:	Eligibility system	Separate system
Calculate claim?		
Identify claim amount?		
Identify type claim?		
Determine reduction based on type of claim?		
Identify retention percentages based on type of claim?		
Disallow earned income deduction when IPV?		
Proportion to each program according to 7 CFR 273.18(g)(9)?		
Display the date of payment agreement?		
Display the discovery date?		
Display the referral date?		
Generate demand letters?		
Display the client notification date?		
Suspend or terminate claims?		
Permit change to claim type & date?		
Determine the claim amount?		
Determine the recoupment rate (minimum amount)?		
Calculate the amount recouped to date?		
Offset claims against restoration amounts?		
Track Treasury Offset Program (TOP) timeframes?		
Track payments by cash, check, TOP offset, recoupment, EBT transaction?		
Calculate the outstanding balance?		

## C2. Restoration of Lost Benefits (273.17)

Y	N	
		RST-1 Does the system capture the restoration determination date? ( date the State received HH request for restoration, date that the State discovered a loss had occurred, or date of Fair Hearing restoration determination date)
		RST-2 Does the system calculate the restoration benefit amount?
		RST-3 Does the system identify restoration amounts within the benefit history?
		RST-4 Does the system designate the month(s) for which the benefit is restored?
		RST-5 Does the system issue retroaction/restored benefits?
		RST-6 If not captured under Claims, does the system offset restoration against pending HH claims amounts?
		RST-7 Does the system allow for currently ineligible HHs to receive restoration amounts?
		RST-8 Does the system generate client notices of restoration?
		RST-9 Does the system capture the Fair Hearing request date?
		RST-10 Does the system edit restoration benefits so that none are restored for a period of more than 12 months?

C1 -2 Comments:

## D. Certification Notices

### D1. Certification Notices

Y	N	CN-1 Does the system automatically generate client notices for:
		<input type="checkbox"/> Notice of Approval? <input type="checkbox"/> Notice of Denial? <input type="checkbox"/> Notice of Pending Status? <input type="checkbox"/> Notice of Suspension? <input type="checkbox"/> Notice of Expiration? <input type="checkbox"/> Notice of Adverse Action (reduction or termination of benefits)? <input type="checkbox"/> Notice of Change (positive or negative)? <input type="checkbox"/> Notice of Mass Change? <input type="checkbox"/> Notice of Disqualification? <input type="checkbox"/> Request of Required Verifications? <input type="checkbox"/> Request for Contact? <input type="checkbox"/> Reminder/Incomplete Report? <input type="checkbox"/> Monthly Report-Adequate Notice with Computation Sheet?
		CN-2 Can ad hoc client notices be generated from the system?
		CN-3 Does the system maintain certification notice history?
		CN-4 Does the system make copies of client notices (with complete notice verbiage) available?
		CN-5 Does the system produce and provide client notices in languages other than English?
		CN-6 Can notices be edited?
		CN-7 Can notices be printed locally?

D1 Comments

## E. System Operations

### E1. Edits & Pending Cases

Y	N	
		ED-1 Does the system automatically terminate the case at the end of the certification period if not recertified?
		ED-2 Does the system allow for retrospective budgeting where appropriate?
		ED-3 Does the system identify errors needing resolution?
		ED-4 Does the system track pending cases
		ED-5 Does the system track pending verifications?
		ED-6 Does the database prevent duplication of case numbers?
		ED-7 Does the system assign unique HH member identifier?
		ED-8 Does the system prevent duplicate HH member identifiers?

E1 Comments:

## E2. Staff Alerts

Y	N	STA-1 Are staff alerts generated for:
		___ Pending applications? ___ Pending Changes? ___ Data matches? ___ Recertification? ___ Work registration renewal? ___ SNAP recertification when TANF cases are terminated? ___ Monthly reports for suspended Households? ___ Significant birthdays (18 yr, 60 yr)? ___ End of disqualification period?
		STA-2 Are staff alerts provided for management?
		STA-3 Is the system capable of disabling staff alerts?

E2 Comments:

### E3. Eligibility & Benefit Actions (273.10)

Y	N	
		EB-1 Does the system perform automatic determination of financial ineligibility?
		EB-2 Does the system perform automatic determination of non-financial ineligibility?
		EB-3 For ineligibility, does the system provide information to support the determination?
		EB-4 Does the system show budget to support the benefit allotment?
		EB-5 Does the system show proration amount?
		EB-6 Does the system: <input type="checkbox"/> Identify HH size? <input type="checkbox"/> Calculate retroactive benefits to the month of application? <input type="checkbox"/> Convert income to monthly? <input type="checkbox"/> Average income/expenses over certification period, where appropriate? <input type="checkbox"/> Authorize/prevent changes between actual utility costs and LUA/SUA/TUA during cert period? <input type="checkbox"/> Suspend case for one month due to temporary circumstances? <input type="checkbox"/> Identify Fair Hearing request date? <input type="checkbox"/> Identify Fair Hearing decision date? <input type="checkbox"/> Continue benefits after an adverse action if a Fair Hearing is requested? <input type="checkbox"/> Allow for "transitional benefits" when TANF income ends? <input type="checkbox"/> Prohibit an increase in benefits if HH's income is reduced due to failure to comply with means-tested program (i.e. TANF)? <input type="checkbox"/> Reduce allotment by a percentage not to exceed 25% for failure to comply with means-tested programs?
		EB-7 Will system issue combined allotments?
		EB-8 Does the system capture the benefits determination date?
		EB-9 Is the certification period captured?
		EB-10 Can the system print eligibility summary or completed application for client review?

E3 Comments:

#### E4. QC (275)

Y	N	
		QC-1 Does the system provide for monthly selection of active cases and negative actions for QC?
		QC-2 Does the system include all required cases in sampling frame?
		QC-3 When is sampling frame available?
		QC-4 When is sample selection made?
		QC-5 What are sources of sampling frames?
		QC-6 Is there a system in place that can replicate the sampling frame and selection for any given month?
		QC-7 Is systematic selection design used? If not, what type of selection?
		QC-8 Does the system provide random start whether self-generated or user provided?
		QC-9 What options does the system have for changing intervals and random starts?
		QC-10 Does the system select records for ME, supervisory, or Quality Assurance review?
		QC-11 Does the system provide FNS on-line access for QC?

E4 Comments:

## E5. Case Records

Y	N	
		CR-1 Is a complete audit trail for each transaction captured by the system that includes the action, the date action was taken, effective date of the action, and the caseworker who did it?
		CR-2 How long are case history records available on-line?
		CR-3 How long are case history records available off-line?
		CR-4 Can off-line records be accessed electronically?
		CR-5 Does the system contain a section for Case Notes?

E5 Comments:

## E6. Policy Manuals

Y	N	
		PM-1 Is the current State policy manual accessible within the eligibility system for caseworkers?
		PM-2 Is an online help linked by specific eligibility factors to the eligibility system? Describe.
		PM-3 Are older versions of State policy manuals available online for caseworkers?
		PM-4 Is the current eligibility system's user guide available online for caseworkers?

E6 Comments:

## E7. System Performance

	<p>SYS-1 What are average response times for administrative actions:</p> <p>Inquiry? _____</p> <p>Processing of Data entry? _____</p> <p>Screen Refresh? _____</p> <p>Other Actions? _____</p>
	SYS-2 What is the system's data capacity and what do you expect usage to be at full implementation?
	SYS-3 During stress testing, what was the number of concurrent users that could use the system without negatively impacting system performance?
	SYS-4 How many concurrent users are now or are expected to be using the system?
	SYS-5 What are the save points in the eligibility system that protect loss of data?

E7 Comments:

## E8. Management Information

Y	N	
		MI-1 Complete CHART in Section E9.
		MI-2 Are reports generated from the eligibility system or from a separate database?
		MI-3 Can reports be subdivided by office?
		MI-4 Can reports be subdivided by caseworker?

E8 Comments:

## E9. Management Information Reporting

Case Reports	Standard	Ad hoc	Frequency	Comments
New cases				
Expedited cases				
Apps pending				
Recerts Due				
Recerts pending				
Verifications pending				
Denied				
Closed cases				
Suspended cases				
Changes processed				
Claims established				
Late expedited actions				
Late certification actions				
Cases certified this period				
Client reports (monthly, quarterly, simplified)				
Benefit Reports	Standard	Ad Hoc	Frequency	Comments
Initial				
Supplemental				
Replacements				
Retroactive				
Restored				

<b>Data Items</b>	<b>Standard</b>	<b>Ad Hoc</b>	<b>Frequency</b>	<b>Comments</b>
Demographics				
Client Income				
HH Characteristics				
Error Prone Profiles				
<b>Trends</b>	<b>Standard</b>	<b>Ad Hoc</b>	<b>Frequency</b>	<b>Comments</b>
Applications				
Denied apps				
SNAP Benefits				
Caseload				
Fraud referrals				
Claims referrals				
E&T referrals				
ABAWDs				
Fair hearings				
<b>Performance &amp; Monitoring</b>	<b>Standard</b>	<b>Ad hoc</b>	<b>Frequency</b>	<b>Comments</b>
Real-time reports for staff to monitor their work (explain in comments column)				
Caseloads by worker				
Timeliness				

E9 Additional Comments:

## E10. Data Matching

Y	N	
		DM-1 What data items does the system check to determine duplicate participation?
		<input type="checkbox"/> Name <input type="checkbox"/> Phonetic Name <input type="checkbox"/> Nickname <input type="checkbox"/> Date of Birth <input type="checkbox"/> Address <input type="checkbox"/> Case Number <input type="checkbox"/> SSN <input type="checkbox"/> Other
		DM-2 Are matches for duplicate participation done immediately on-line or by daily batch?
		DM-3 Is intra-jurisdictional (counties, regions, other states) information regarding multiple applications & duplicate participation available on-line? Or through daily batches?
		DM-4 Does the system provide for automatic notices to the School Lunch Program for direct certification based on SNAP eligibility? What is frequency of the notices?
		DM-5 Can the system be queried for School Lunch Program eligibility?
		DM-6 Can the system be queried on-line by local school districts and/or the State Department of education regarding SNAP participation?

E10 Comments:

## E10. Data Matching

State Data Matches	Source	Online (Y/N)	Batch (Y/N)	Frequency	Staff Alerts (Y/N)	Comments
State Wages						
State Unemployment						
State Taxes						
Child Support						
LIHEAP						
Medicaid						
TANF						
Other						

E10 Additional Comments:

Federal Data Matches	Source	Online (Y/N)	Batch (Y/N)	Frequency	Staff Alerts (Y/N)	Comments
Federal RSDI (BENDEX)						
Federal SSI (SDX)						
SSN						
Federal Taxes						
Immigration (SAVE, ASVI)						
IRS unearned income (BEERS)						
Disqualified HH members (eDRS)						
Other						

E10 Additional Comments:

## E11. FNS Reports

<b>FNS Report</b>	<b>Frequency</b>	<b>Data Source</b>	<b>Comments</b>
FNS-46 Issuance Reconciliation			
FNS-101 Participation by Race			
FNS-209 Recipient Claims			
FNS-292 Disasters & Commodities			
FNS-366a Budget Projection			
FNS-366b Project Activity			
FNS-388 Issuance & Participation			
FNS-388a Project Area Issuance & Participation			
FNS-583 Quarterly E&T			

E11 Additional Comments:

## F. Issuance & Reconciliation

### F1. Issuance (274.12)

Y	N	
		ISS-1 What demographic data is sent to the EBT system for EBT account set-up?
		ISS-2 When is demographic data sent to EBT system? (date of filing, date of eligibility determination, or on some other date)?
		ISS-3 Does the system provide demographic data and benefit issuance record to EBT with sufficient time to meet expedited processing timeframes and regular processing timeframes?
		ISS-4 When is the monthly benefit file for ongoing HHs sent to EBT?
		ISS-5 Does the system uniquely identify each benefit record?
		ISS-6 Does each monthly benefit record contain an availability date so that HHs may access their monthly benefit on the same day each month?
		ISS-7 Does each benefit record identify the month for which the benefit is issued?
		ISS-8 Does system identify each benefit as: <input type="checkbox"/> Initial issuance? <input type="checkbox"/> Regular issuance? <input type="checkbox"/> Supplemental issuance? <input type="checkbox"/> Replacement issuance (for HH disaster situations)? <input type="checkbox"/> Retroactive issuance? <input type="checkbox"/> Restoration of lost benefits?
		ISS-9 Does the system differentiate between the month of availability and month for which the amount is issued in cases of restored and retroactive benefits?

F1 Comments:

## F2. Reconciliation (274.12[k])

Y	N	
		RCN-1 Has the interface with the EBT contractor been tested?
		RCN-2 Does the State send all benefit records via overnight batch to the EBT contractor?
		RCN-3 If not, how else (e.g. online or daily file) are benefit records sent to EBT contractor?
		RCN-4 For benefit records not sent via overnight batch, does the State ensure that the issuance amounts authorized by the eligibility system are reconciled to those posted in the EBT system?
		RCN-5 If a benefit record is rejected by EBT, what data is returned to the eligibility system?
		RCN-6 If a benefit record is rejected by EBT, when is it returned to the eligibility system?
		RCN-7 What actions are taken to rectify the situation for cases with rejected benefit records?
		RCN-8 Are daily issuance totals reconciled to amounts posted and available for clients to spend? What is the tolerance for error?
		RCN-9 Does the eligibility system use EBT transaction daily history file to track EBT transactions (debits and credits) back to each benefit record?

F2 Comments:

## Appendix G1.

### System Testing Guidance

The State Eligibility Systems Review Instrument can be a valuable tool for both State agency and Federal Supplemental Nutrition Assistance Program (SNAP) staff to evaluate whether the system delivered meets all SNAP functional requirements.

The 2008 Farm Bill in section 4121 reinforces the requirement that projects for new Information Systems (IS) or projects involving significant enhancements to legacy systems be adequately tested by the State agency before implementation as a condition of continued FNS funding.

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

#### User Acceptance Testing (UAT)

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

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

## Pilot Testing

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

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

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

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

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

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

**End-to-End Test** - To ensure that the interactions between each component and interface perform in accordance with the design specifications. This must include reconciliation between the State's EBT processor and the State's system.

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

Results of the Pilot Test must be evaluated to determine if the system is ready to be rolled out to the rest of the state. As stated earlier this is another significant go/no-go point for continuation of the project.

More information on testing and other system-related information can be found in FNS Handbook 901 located at:

[http://www.fns.usda.gov/apd/Handbook\\_901\\_2007/HB901\\_2007.htm](http://www.fns.usda.gov/apd/Handbook_901_2007/HB901_2007.htm)

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

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

## Appendix G2. Acronyms

AB	Able-Bodied Adults Without Dependents
ABAWDS	Able-Bodied Adults Without Dependents
AP	Application Processing
AR	Authorized Representative
ASVI	Alien Status Verification Index
BENDEX	Benefit Evidentiary Data Exchange
CAT	Categorical Eligibility
CLM	Claims
CLR	Client Record
CN	Client Notices
CR	Change Reporting
DD	Dependent care Deduction
DIS	Disaster
DM	Data Match
EB	Eligibility and Benefits
EBT	Electronic Benefit Transfer
ED	Edits
eDRS	Electronic Disqualification Recipient System
EI	Earned Income
EID	Earned Income Deduction
E&T	Employment and Training
EW	Eligibility Worker
FNS	Food and Nutrition Service
GA	General Assistance
GLA	Group Living Arrangement
GRP	Group facility
HH	Household
ID	Identification
IPV	Intentional Program Violation
IRA	Individual Retirement Accounts

ISS	Issuance
LUA	Limited Utility Allowance
MC	Mass Change
MD	Medical Deductions
MI	Management Information
OD	Other Deductions
PA	Public Assistance
PM	Policy Manual
QC	Quality Control
R	Resources
RCN	Reconciliation
RSDI	Retired, Survivors, and Disability Insurance
RST	Restoration of Lost Benefits
S	Students
SA	State Agency
SAVE	Systematic Alien Verification for Entitlements
SD	Shelter Deduction
SDX	Supplemental Data Exchange
SNAP	Supplemental Nutrition Assistance Program
SSA	Social Security Administration
SSI	Supplemental Security Income
SSN	Social Security Number
STA	Staff Alerts
SUA	Standard Utility Allowance
SYS	System
TANF	Temporary Assistance to Needed Families
TOP	Treasury Offset Program
TUA	Telephone Utility Allowance
UE	Unearned Income
VA	Veterans Administration
VISTA	Volunteers in Service to America

**Appendix G3. Review Cover Sheet**

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

**System Name:** \_\_\_\_\_

**Reviewer(s):**

**SA:** \_\_\_\_\_

**FNS:** \_\_\_\_\_