1 Deliverables

This section identifies tasks and deliverables of the project. The Contractor shall provide the required deliverables and shall work with the State to ensure timeframes outlined in Attachment Implementation Plan are achieved. These deliverables shall be the basis against which the Contractors performance shall be evaluated.

The State prefers an agile, or iterative, development process. Responders are encouraged to identify ways in which the required tasks and deliverables shall be accomplished using this methodology.

Table 1 Deliverables

Deliverable	Description
Project Initiation Meeting	The meeting shall include at a minimum the Contractor Project Manager and shall include a meeting with key Connecticut project team members and a visit to a local clinic site. The meeting shall be documented by the Contractor Project Manager.
Project Work Plan	The work plan shall be provided in MS Project and shall include all CMS Contractor tasks, activities, milestones, and deliverables. It shall also include any State activities that impact the project critical path, such as review periods or completing checklists.
Monthly Status Updates	Updates shall include percent complete for tasks and completion dates and shall be provided with monthly status reports.
Design Validation Sessions	The Contractor shall determine an adequate number of sessions to obtain the information needed for requirements documentation and design validation. The Contractor shall provide agendas for each session and shall work with the State Project Manager to schedule the sessions. After each session, the Contractor shall provide a single output from each session that documents the decisions and requirements, as well as any action items, for State review and comment. The Contractor and State Project Manager shall be responsible for following up on action items to ensure resolution.
System Gap Analysis/Modifications Document	This document shall present the final requirements and design decisions for any identified modifications. It shall identify any findings from the technical design sessions that require additional System modifications and shall document the parameters and settings the State needs to establish (such as drop down list values, user roles). This document provides a clear description of what needs to be changed by Connecticut and the Contractor to make the transfer System appropriate for use in Connecticut.

Table 1 Deliverables	
Deliverable	Description
Implementation Plan	This plan provides all of the detailed information the State needs to document how the implementation shall take place. It shall include a description of: UAT processes (including documented go/no go criteria established by the State), Pilot plans (including how many sites shall participate and any plans related to equipment or connectivity), Statewide Rollout (to include the rollout schedule, contingency plans). For each key milestone (UAT, Pilot, and Rollout), a readiness checklist shall be included to document activities that shall be performed, who needs to perform them, and when the activity shall take place. This plan shall require contributions from Connecticut and is anticipated to be updated as the project progresses.
Change Management Plan	This plan presents the change management process to include: the Contractor's approach to modifying the transfer System software and managing software changes, as well as documenting a change request process to be used for requesting and approving changes to the scope, cost, or schedule.
Training Plan	This plan shall present the Contractor's approach to training. It shall include sample training agendas, materials, course descriptions, and sample training evaluation tools for all types of training. It shall include a schedule of all training events.
Security Plan	This plan shall present the CMS approach to providing security of the software at all levels. It shall identify security procedures and processes in place and shall identify the State's responsibilities for maintaining security.
Final System Requirements Document	Using the documentation that already exists for the transfer System as a base, this transfer System document shall be updated with any identified changes from the Gap Analysis. It shall be updated if any requirements are refined during the project.
System Modification Initiation Meeting	The meeting shall include at a minimum the Contractor Project Manager. The meeting shall be documented by the Contractor Project Manager.
Detailed Design Document (Connecticut Changes incorporated into transfer System base documentation)	This document shall include all Connecticut changes to the transfer System at the same or greater level of detail as the transfer System documentation.

Table 1 Deliverables	
Deliverable	Description
Perform Baseline Test and Provide Report	The Contractor shall provide a report that certifies that the baseline test took place and identifies the findings, including any deficiencies. It shall present recommendations for addressing any deficiencies.
Provide UAT Readiness Certification Report	The certification shall address the readiness of all modifications to the System, as well as provide a summary of the tests performed and the outcomes of the tests. This certification shall not be delivered until the System has passed all tests and the System achieves the pre-determined performance criteria.
Perform Periodic Reviews and Provide Report	Sufficient periodic reviews shall be scheduled to support the iterative development process. The Contractor shall be responsible for working with the State to schedule the reviews, but the State shall provide equipment and facilities. Periodic reviews are expected to be hands-on opportunities for end users to review the System. After each periodic review, the Contractor shall provide a summary report documenting findings and recommendations for addressing bugs, identifying potential enhancements for State review (which may need to go through the change control process), and summarizing the outcome of the session.
Code Ready for UAT	When sufficient testing is complete and the Contractor feels that the System code is ready for a successful UAT, based on the pre-determined performance criteria, the code shall be delivered to the UAT environment and the State Project Manager notified that the software for UAT is available.
Site Readiness Checklist Template	The Contractor shall develop a checklist template to gauge readiness at each local agency clinic site. It shall include all areas of readiness, including equipment (including ensuring that all workstations have access to power and telecommunications lines), telecommunications, logistical and workflow readiness. The meeting shall be documented by the Contractor Project Manager.
Assist State in installing and Testing Transfer System Software in Connecticut Environment	CMS Contractor shall provide onsite and telephone support to the State to install the transfer System software on the State equipment.
Train Connecticut staff on central operations of transfer System	This knowledge transfer activity includes training Connecticut information technology staff on the maintenance and operations required for the transfer System. This onsite training shall be supplemented by telephone support through the contract and contracted warranty periods.

Table 1 Deliverables	
Deliverable	Description
Provide on-site assistance for the central operation during the UAT	The Contractor shall provide onsite support to Connecticut information technology staff from the start of UAT until such time that the State deems that support is no longer necessary, not to exceed the duration of UAT.
Provide Report Reviewing and Assessing the State's Security and Disaster Recovery Procedures for the Central Site	The Contractor shall provide a report that review's the State's Security and Disaster Recovery Procedures for the Central Site (related to the WIC software product environments) and provides recommendations for improving any deficiencies.
Perform pre-UAT Key Function Walkthrough	The Contractor shall perform a key function System walkthrough for the Steering Committee, WIC IT and BEST staff, and other WIC Program staff as appropriate, as described above.
Provide UAT Training to UAT Participants	The Contractor shall provide sufficient onsite training to UAT participants to all testers to perform test scripts and identify and report errors.
Set up and Prepare UAT Test Environment	The Contractor shall set up the UAT environment to allow testers to access the correct code base for testing.
Develop Testing Tools (including data set up, outcome tracking tools)	The Contractor shall generate (load or create) data required by the test scripts developed by the State or Project Coordinator. The data required shall be requested in sufficient time for the Contractor to generate the data and provide identification numbers to testers, as determined in the Implementation Plan (UAT section). The Contractor shall also provide a mechanism for tracking errors or bugs in the System. It is anticipated that this shall be an automated tool to allow testers to report deficiencies and track the outcome (such as "works as designed" enhancement request" or "fixed" for example) of each reported error. The tool shall allow for assigning priority to each error to determine the defect severity.
Provide Support During UAT	The Contractor shall be available on-site and/or in their development facilities for consultation and problem resolution during the entire test. Following the initial week of each round of UAT, the Contractor may be able to provide any additional assistance to the WIC Program remotely from their facility if all pre-determined success criteria have been satisfied..

Table 1 Deliverables	
Deliverable	Description
Provide UAT Outcome Metrics Report	Using the automated error tracking tool, the Contractor shall provide a report to the State describing all errors identified in the round and the severity and plan for resolution. A report shall be provided for each round of UAT until the State determines that the System has been accepted.
Convene Pilot Operations Initiation Meeting	The meeting shall include at a minimum the Contractor Project Manager and shall be scheduled at such time to allow for adequate pilot planning to take place.
Provide Central Operation Staff Training	The Contractor shall provide onsite training and shall supply all materials as documented in the approved Training Plan.
Provide State WIC Program Staff Training	The Contractor shall provide onsite training and shall supply all materials as documented in the approved Training Plan.
Develop Training Materials	The Contractor shall provide all materials for all attendees as documented in the approved Training Plan.
Provide Pilot User Training	The Contractor shall provide onsite training and shall supply all materials as documented in the approved Training Plan.
Provide Pilot User Training Evaluation/Competence Report	Upon completion of the Training Event, the Contractor shall survey training attendees (learners) to obtain feedback. This feedback, as well as observations from the Contractor, State, and Project Coordinator shall be included in a Pilot User Training Evaluation/Competence Report. This report shall identify deficiencies and provide a plan for addressing all deficiencies prior to future training events. As appropriate, the Training Plan shall be updated to reflect changes identified in the Pilot User Training Evaluation/Competence Report.
Provide Pilot Test Oversight and Consultation	CMS Contractor staff shall be onsite in Connecticut during the first week of pilot to provide support. Following the initial week of Pilot, the Contractor may be able to provide any additional assistance to the WIC Program remotely from their facility if all pre-determined success criteria have been satisfied.
Provide Pilot-Related Software Modifications and Testing	The Contractor shall make any requested modifications to the System that address errors in the software or approved change requests. Modifications shall be fully tested prior to release to the State.

Table 1 Deliverables	
Deliverable	Description
Prepare Pilot Evaluation Report	The Contractor shall prepare a Pilot Evaluation Report that reflects an assessment of pilot activities and identifies deficiencies, as well as action plans for addressing deficiencies.
Convene System Rollout Initiation Meeting	The meeting shall include at a minimum the Contractor Project Manager. The meeting shall be documented by the Contractor Project Manager.
Provide Statewide System Implementation Training and Materials	The Contractor shall provide knowledge transfer and support to trainers and shall supply all materials as documented in the approved Training Plan.
Provide System Rollout Oversight, Consultation, and Assistance	The Contractor shall provide onsite training and shall supply all materials as documented in the approved Training Plan.
Provide Comprehensive System Documentation Updated to Reflect Connecticut's System	The Contractor shall provide all System documentation for the transfer System that has been updated to reflect the final implementation of the System in Connecticut within 10 days of the final site rollout. These documents include: the Detailed Functional Design Document (DFDD), the Detailed Technical Specifications Document (DTSD), FSRD, source code, all forms/ letters/ report templates. Additionally, source code, documentation, database schema, and other supporting components shall be made available by the State and/or Vendor to other State agencies for Federal Government purposes such as System analysis and/or transfer.
System Maintenance	For one year from the successful completion of the rollout and receipt of final documentation and materials, the Contractor shall be responsible for the support and maintenance of the local agency/clinic and state office applications on the central site processor. Any required updates to System documentation based on these changes shall be made.
Follow-up Training Events	The Contractor shall provide up to two onsite training events for up to twenty (20) learners each to include training and training materials.
System Problem Fixes and Written Reports	The Contractor shall provide the Steering Committee with a written response to any reported System problem addressing the technical nature of the problem and the proposed plan to resolve the issue.
System Modifications	Optional
Warranty Services	Optional Years 2-4

1. Certification

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 1	**Create and Locate Data Records**			
CERT - 1.14	For participants whose last name has changed, a history of previously used name(s) shall be maintained and all name(s) used shall be tagged to the same participant ID. The system shall support searching by the previously used last names.	Mandatory		Screen and Database Enhancement
CERT - 1.18	System shall capture information on whether the participant is a) Permanent CT resident b) Homeless person c) Migrant.	Mandatory		Add additional selections for Permanent Resident and Migrant
CERT - 1.10	The Intake and Certification Process shall support the geocoding of the participant's address information	Moderate	Interface is needed to ESRI to return geocode information	Interface to DPH ESRI system to return Geocode for Participants address. Participant table shall need to be expanded to point to participant GeoCode table which shall contain the current and historical geocodes associated with the participants current and previous addresses
CERT - 1.11	The Intake and Certification Process shall support the capture of participant's SSN if the information is asked of and provided by the participant	Moderate		Add field to Screen and Database to capture SSN
CERT - 1.13	The Intake and Certification Process search function shall allow searches by current name and any previous or alias names.	Moderate		Enhance search function to include any name changes that are associated with the participant
CERT - 2	**Manage Application Process**			
CERT - 2.9	The Certification Process and system shall maintain the historical basis of participant eligibility. In the event there is a change to eligibility information, historical information shall be maintained and not overwritten.	Moderate	**7/3/13**-Refer to NUT 1.4	Eligibility records are needed to maintain history. Upon creation of a change in eligibility, a new record is created and populated to maintain new eligibility data and to retain previous eligibility data.

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 2.13	The system shall support the entry and maintenance of rules used in the determination of applicant eligibility	Moderate	Satisfied via Maintenance contract to maintain eligibility determination in line with USDA eligibility requirements.Check with Tc how eligibility rules are maintained.	
CERT - 4	**Determine Adjunct or Automatic Income Eligibility**		**E.G. Applicants receiving SNAP benefits are automatically eligible for WIC Benefits**	
CERT 4.6	Where the system interfaces with another health and/or social services system, the WIC IS shall permit the WIC staff to retrieve information to confirm the applicant's adjunct or automatic income eligibility for WIC. Where participant information is shared with other programs, federal regulations shall be followed regarding confidentiality.	Moderate	CT DSS maintains an eligibility system which can be used to verify participation in adjunct eligible programs.	Bi-Directional Interface (Interface with Husky and CT Medicaid) to verify participation. Screen and database enhancement is needed to capture returned participation status and Husky Number. Business rules regarding adjunct participation shall need to be enhanced to utilized returned stats to validate and process adjunct certification
CERT - 6	**Manage Waiting List**		**CT does not use a waiting list currently.**	
CERT - 6.6	The system shall maintain information on the number of participants enrolled in each agency for reporting to the State. If the State WIC office determines that a waitlist needs to be created based on the enrollment, the system shall support the creation of a waitlist.	Moderate	Reporting Function	Report of Participant Count and caseload factors
CERT - 6.7	At the State level, the system shall support the maintenance of information on the target and maximum caseload for each local agency in the State.	Moderate		Screen and database fields to capture target and maximum caseload data
CERT - 7	**Nutrition Risk Assessment**		**Support the assessment of Nutritional risk at time of certification**	

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 7.3	The Nutrition Assessment Function shall allow users to modify health and nutrition data only until benefits are issued.	Mandatory	Locking of health and nutrition information. **7/2/13**-Lock information for health, nutrition data, risks and nutrition education (unless incomplete notes) after checks issued. **7/3/13**-Refer to NUT 1.5, NUT 2.9.	New function that shall determine if benefits have been issued and if yes shall lock changes to health and nutrition data
Cert 7.9	The system shall allow for the capture of multiple referrals - from and to	Mandatory	**7/2/13**-Automatic referrals to TFA, SNAP, Medicaid and Child Support when information entered supports these. **7/3/13**-Refer to NUT 3.1, NUT 3.5.	Drop down that enable users to select multiple referrals (to and from the local agency)
CERT - 7.14	The Nutrition Assessment Function shall support the capture and maintenance of food allergy information.	Mandatory	Identification of Food allergies is needed to support the capturing of it and the filtering of foods during the food prescription process. Items needed include: Screen capture (eggs, milk, soy, peanut products); Filters on food prescription development, application when automatic changes in category dictate new food prescription; Identification of applicable allergy to a food item	See Major Gap - Food Allergies
CERT - 7.15	The Nutrition Assessment Function shall support the auto-assignment of risk priorities to participants and allow the nutritionist to modify the risk priorities based on specific participant's specific conditions.	Moderate	Over-ride option for some risks. Need to be determined during design. (need bus. Rules)	Auto assignment of risk priorities based on CT provided rule set and ability to override auto assigned risks

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 7.16	The Nutrition Assessment Function shall support the auto-assignment of risk priorities to participants and allow the nutritionist to modify the risk priorities based on specific participant's specific conditions.	Moderate	Over-ride option for some risks. Need to be determined during design. (need Bus. Rules)	Function to override assigned priority level and to enter manually assigned priority level and reason for overriding automatically assigned priority level. (Drop down list of values for override reason)
CERT - 8	**Create and track Anthropometric data**			
CERT - 8.7	The system shall account for gestational age when plotting growth charts for premature babies.	Moderate	The term "premature" would apply to any baby born prior to 38 weeks of gestation.	Add appropriate label to growth chart
CERT - 8.9	The system shall calculate gestational age when plotting growth charts.	Moderate		Gestational age needs to be calculated and populated for use when producing growth charts
CERT - 9	**Capture and Document Blood Test Results**			
CERT - 9.3	The Blood Test Function shall support the identification, display, and reporting of applicants that do not have blood test data entered and participants requiring blood work	Mandatory		Function shall search agency/clinic participants and display those who are missing blood test data or who's blood test data is out-of-date
CERT - 9.5	At the State agency's option, if an individual is eligible based on income and has at least one qualifying nutrition risk present at certification, the individual may be certified without a blood test for a period based on regulations. Participants who do not have blood test results within the applicable timeframe shall not be terminated by the system.	Mandatory	need to capture that this override has been done	Provide function for Nutritionist to override missing blood test requirement to certify applicant. Additional information shall need to be captured (reason for not providing, approval for overriding requirement - Coordinator approval?
CERT - 9.6	Only the nutritionist shall be allowed to alter a client's benefit pickup frequency.			Configure Role security so only Nutritionist can alter benefit pick-up frequency

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 9.7	The Blood Test Function shall identify, display, and report participants, by category, with missing blood test data after the applicable period and summarize this information for the State agency and by local agency within the State agency.	Mandatory	See Cert 9.4	System shall display list of applications, via a search mechanism that do not have blood test data entered.
CERT - 10	**Determine Nutrition Risk and Calculate Priority**			
CERT - 10.9	The system shall automatically assign the priority to a participant based on the participant category and risk factors and the system shall not allow users to modify the assigned priority.	Mandatory	Ref. SWIS Nutritional Risk Codes Business rules for priority assignment	Implement CT rule set to support the automatic assignment of priority
CERT - 10.10	Manual assignment of priority shall be allowed only for participants who are out of state transfers.	Mandatory		Enable the manual assignment of priority for participants transferring from other states
CERT - 11	**Assess Applicant for Conditional Certification/Presumptive Eligibility Requirements and Documentation Status**			
CERT - 11.3	The system shall maintain a drop down list of potential documents that may be used to establish proof of identity, income and residence.	Mandatory		Implement Dropdown lists to establish proof of Identity, Income, and Residence
CERT - 11.4	If any required documentation is missing, but the participant meets all the other criteria for being certified as a WIC participant, then the system shall allow the user to certify the applicant as usual but limit the benefit issuance frequency for the participant to one month. The benefit issuance frequency shall not be modifiable until the user confirms that all the necessary documentation was presented and verified.	Mandatory	7/2/13-Have to certify Day 1. Limiting the number of checks Day 1 but could be Day 2.	Allow user to certify applicant but limit benefits issuance frequency to one month

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 11.6	The system shall support the generation of a notice to participant(s) missing any documentation (ID, residence, income, blood work, etc.)	Mandatory	The notice shall be generated on paper in the clinic or sent via email or auto-dialer. Notice content "In order to continue participating in the WIC program, please bring the following documentation to your next appointment." (followed by the missing documentation type.)	Utilize General Notification Function to issue notification
CERT - 11.7	If any document(s) is to be scanned and attached to the participant record, the system shall prompt the user to select the document type from a dropdown list prior to saving the document and the saved document shall be available for view.	Mandatory	Contents of each drop down list to be determined at the time of design.	Screen and Database enhancement to capture and maintain document type information
CERT - 11.10	The system shall generate on an as-needed basis, a report with information on which participants are missing documentation, the certification ending date, and the participant category.	Mandatory		Report on participants missing documentation, cert date, and category
CERT - 11.11	The Assess Eligibility Function shall support monitoring of temporary or presumptively eligible participants and shall notify agency staff of needed documentation prior to the expiration of the certification period.	Moderate	Documents required for certification (residency, identity, income, e.g. utility bills, etc.)	Provide a report of participants with temporary certifications, participant ID, Date of expiration, reason for temporary cert, and documents needed
CERT - 12	**Certify Applicant**			
CERT - 12.4	The system shall support the display of a rights and responsibilities document, which the participant would review.	Mandatory	Creation of document at time of design.	Screen Enhancement to choose rights and responsibilities document
CERT - 12.5	The system would have the ability to interface with a digital signature pad to capture participant signatures for specific functions.	Mandatory	E.g. - Participant signature would have to be captured to indicate that the WIC Rights and Responsibilities document was presented to the client who then reviewed and understood it.	Digital Signature and Screen / Database Enhancement

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 12.7	The system shall maintain different statuses for participants. E.g. - Active/ Inactive or disqualified for program abuse.	Mandatory	The complete list of all statuses would be determined at the time of design.	Expand table of participant status types
CERT - 13	**Maintain Proxy Information**			
CERT - 13.2	Historical information shall be maintained on the alternates and the caretakers along with information on effective dates and active/inactive flags	Moderate	7/2/13-Limit the # of applicants for a Caretaker/Alternate? Refer to NUT 1.4.	When adding new proxy/alternate create new record for same, set effective date to current date for same and end date last Proxy in table. Enhance screen to show history of proxies/alternates Add table for Proxy/alternates to maintain history
CERT - 15	**Issue Food Package**			
CERT - 15.1	The system shall pre-filter the food packages and the list of prescribable foods based on the participant category and the nutritional risk(s).	Mandatory	E.g. - Foods that are only allowed for children shall not be available in the food prescription screen for an infant.	
CERT - 15.2	The system shall pre-filter the prescribable foods for a participant based on nutritional risks and allergies, if any.	Mandatory	E.g. - If the participant has an allergy to milk products, all milk related products shall be eliminated from the prescribable foods and replaced with appropriate foods. Complete list of all allergies and business rules for elimination to be determined at the time of design.	

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 15.3	The system shall allow the nutritionist the option of starting with a core food package (based on participant category and nutritional risks) or building a food package item by item.	Mandatory	If the core package is selected, the system shall display the food sub-categories and the recommended quantities (as established in the core package) and allow the nutritionist to make appropriate changes. If the nutritionist chooses to build a package, the allowable broad food categories (based on the participant's category and nutritional risk) shall be displayed, and the nutritionist would then have to select the sub-category and the quantities.	
CERT - 15.4	The system shall provide the nutritionist the option of assigning the prior month's food prescription to the current and/or future months until the end of the certification period.	Mandatory		
CERT - 15.5	The system shall allow the nutritionist to assign a food package for each month of the certification period independently.	Mandatory		
CERT - 15.7	The system shall validate the prescription prepared for the participant to ensure that a) only allowable foods are prescribed and b) under-issuance is prevented. Under-issuance shall be allowed only with valid reasons. The reason shall be selected from a dropdown list.	Mandatory		
CERT - 15.8	The system shall include a "calculator" for milk related products. As dairy products are prescribed, the calculator shall display on the same screen, the number of quarts remaining that can be prescribed.	Mandatory		

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 15.9	The system shall support the handling of the "dangling quart" and alert the nutritionist if the participant needs to prescribe extra milk for a particular month.	Mandatory		
CERT - 15.24	The system shall allow the user to enter the reason why a medical food (special foods for children / special infant formula) was prescribed	Mandatory	The list of foods classified as Medical Foods and a drop-down list of reasons for the prescription would be determined at the time of design.	
CERT - 15.15	For foods that require a qualifying medical condition to be met, the system shall prompt the nutritionist to scan and attach a valid prescription from a physician.	Moderate	The list of foods classified as Medical Foods and a drop-down list of reasons for the prescription would be determined at the time of design.	
CERT - 15.15a	The system shall not allow the nutritionist to prescribe the foods until the appropriate documentation for the valid prescription is attached.	Moderate		
CERT - 16	**Participant Changes and Transfers**			
CERT - 16.9	The system shall allow the user to change the participant category without terminating the participant.		E.g. - there shall be no need to terminate and reinstate a participant solely because of a change in the category. **7/2/13- Currently, changing BF/NBF to Preg is an issue.**	Add function to change participant category while maintaining history of original participant certification (e.g. category, start date, end date)
CERT - 16.10	The Process Participant Changes Function shall automatically change the participant's category when applicable (e.g., when an infant becomes 1 year old, when a pregnant woman delivers her baby)	Moderate	E.G. Infants transitioning from infants to children within the certification period	Generate report for agency of participants that have changed category since the last report was run (PG to PP, BF to NBF or PBF, Inf to C (C1, C2, C3, C4)).
CERT - 16.12	The Process Participant Changes Function shall notify user of food package changes due to status change	Moderate	Alert mechanism is adequate to address requirement: Food prescription always requires nutritionist involvement	Utilize Alert function to document and schedule a notification alert that category change is upcoming

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 16.13	The Process Participant Changes shall remind the user of other specific changes needed due to the status change, such as food package changes or termination notifications.	Moderate	Alert mechanism is adequate to address requirement	Utilize Alert function to document and schedule a notification alert that category change is upcoming
CERT - 16.14	When status changes occur, the system shall automatically generate an appropriate notice of status change. For example, when an infant turns 1 year old and categorically changes from an infant to a child, a notice outlining the potential adjustments to the food package shall be sent to keep the infant's caretaker fully informed.	Moderate	Notification is supported by mail, email, and auto-dialer notification	Utilize Common communication function to issue message to participant of category change
CERT - 16.22	The Process Participant Transfer Function shall support the notification to old agency of the transfer	Moderate	Requires EBT implementation / Policy based implementation if using EBT. CT shall need to continue paper VOC process for out of state transfers, while agencies are using Paper Files.	Utilize Common communication function to send email to agency from which participant is transferring
CERT - 17	**Reports**			
CERT - 17.2	Disqualified Participants Report	Mandatory	Provides information needed to prevent re-enrollment and for sharing with other WIC agencies during sanction period.	
CERT - 17.4	Ineligibility Summary Reports for Local Agency and State	Mandatory	Reports applicants deemed ineligible.	
CERT - 17.5	Migrant Participation Report	Mandatory	Provides the average annual migrant participation (from July to June) for use on the FNS-798 form submitted in July.	
CERT - 17.15	Pending Applications	Mandatory	Reports the applications that are not yet completed, certified, or determined ineligible.	

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 17.17	Subsequent Certifications Due Summary Report	Mandatory	Reports participants in need of next certification visit.	
CERT - 17.18	Termination Report	Mandatory	Reports all participants terminated from the program or found ineligible.	
CERT - 17.20	WIC Priority Participation Report	Mandatory	Provides monthly participation by priority level. Categories include pregnant women, breastfeeding women, postpartum women, infants, and children. This information is part of the Minimum Data Set for the PC Report.	
CERT - 17.22	The Certification Process shall support the creation of Data for PC Report	Mandatory	Participant Characteristic	
CERT - 17.23	Creation of CDC PEDs Report	Mandatory		
CERT - 17.24	The Certification Process shall support the creation of Data for PNSS	Mandatory		
CERT - 17.1	Blood work Needed	Moderate	Lists individuals who need a follow-up appointment for a blood test.	
CERT - 17.3	How Participant Heard About WIC Local Agency and State Summary Reports	Moderate	Lists how participants found out about the WIC Program. The report is to be used by agency staff to evaluate outreach efforts.	
CERT - 17.6	Nutrition Risk Assessment Needed (Certification)	Moderate	Lists individuals who need an appointment for nutrition risk assessment.	

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
CERT - 17.7	Outstanding Delayed Blood Work Report	Moderate	Lists outstanding blood tests for reference by local staff. Staff members can then schedule the required blood work or remind the participant to bring in referral data by the specific due date.	
CERT - 17.9	Participant Services Summary Report	Moderate	Summarizes WIC services provided to a participant.	
CERT - 17.10	Participant Source of Health Care Report	Moderate	Reports the providers where the participant receives health/prenatal care.	
CERT - 17.14	Participants by County and Municipality Local Agency and State Summary Reports	Moderate	Lists participants by geographical grouping as specified (i.e. county, state, etc.).	
CERT - 17.16	Referrals from WIC to External Agencies Summary Report	Moderate	Lists all referrals from a WIC agency to any external agency. See NUT 6.5.	
CERT - 17.21	Special Formula/Medical Foods Received	Moderate	Lists participants who are receiving special formula/medical foods and the reason.	
CERT - 17.12	CT WIC Participant Visit Report		**7/2/13-Duplicate of 17.9**	
CERT - 17.13	CT WIC Productivity Report			
CERT - 17.19	Waiting List Local Agency Report and State Summary Reports			

2. Nutrition

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
NUT - 1	**Care Plan Development**			

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
NUT - 1.4	The system shall maintain viewable historical information on the following - income, family size, alternate, caretaker, nutritional information (including prescriptions) and all anthropometric data.	Mandatory	Refer to Cert 2.9, Cert 13.2	Enhance database and edit functionality to maintain history of changes
NUT - 1.5	The system shall allow authorized users to modify the nutrition education documentation for only up to 72 hours after the data was first entered and shall subsequently allow read only access only.	Mandatory	Refer to Cert 7.3	Implement function that shall lock nutrition education data after 72 hours from data entry
NUT - 2	**Education**			
NUT - 2.1	The system shall allow the State users to determine which topics would apply at the individual and family level.	Mandatory		Add screen and database elements to education topic record. Code education topics as relevant for individual, family, or both
NUT - 2.2	System shall support the tracking of staff training provided at the State and the local agency level. This would include the dates, topics covered, staff attending the training, etc.	Mandatory		Capture and maintain trainings (date and topic) for staff
NUT - 2.6	The system shall produce a report listing the number of nutrition education contacts received by participants to enable the WIC staff to know which participants need additional education contacts.	Mandatory	Provided mechanisms are adequate to provide staff knowledge of education history	Data is available to generate needed report
NUT - 2.9	For participants who need nutrition education, the benefit issuance shall be locked until the nutrition education is completed. In case an override is needed, the user shall select from one of the following reasons - a) Participant refused Education b) Education not provided due to participant issues and c) Education not provided due to office issues.	Mandatory	Refer to Cert 7.3	New function controlling the issuance of benefits. Function to lock issuance of benefits if assigned education has not been completed, function shall need to allow for override.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
NUT - 2.10	In all instances where nutrition education is not provided, the system shall send an email to the site coordinator and the program nutritionist with the following information - the participant ID, the reason for not providing the nutrition, the staff member who entered the reason and the date and time.	Mandatory		
NUT - 3	**Participant Referrals**			
NUT - 3.1	The system shall allow the users to maintain a statewide as well as a local agency specific list of useful resources such as offices of other health-related and public assistance programs (e.g., Medicaid, Food Stamp Program, Child support, Temporary Family Assistance). When appropriate, refer them to such programs and local resources for drug and other harmful substance abuse counseling and treatment.	Mandatory	7/3/13-Refer to Cert 7.9. Need to capture Statewide/Local Agency Referral To in system: Day 1. The staff shall continue to print a word document with the referral information (name of program and contact information)	Add State-Wide Referral To Category to allow users to select from
NUT - 3.5	Once a referral is made, at the time of the next benefit issuance, the user shall be prompted to enter a note indicating through a dropdown whether the participant a) enrolled b) declined c) pending and a general note for additional details. The CPA issuing the benefits shall track the outcomes of the referrals.	Mandatory	Refer to Cert 7.9	Capture Status of Referral (enrolled, declined, pending and a general note for additional details)
NUT - 4	**Voter Registration**			
NUT - 4.2	The system shall allow the users to capture information on whether the payee was offered voter registration services and if the payee a) registered to vote that day b) Already registered c) Ineligible or d) Declined to vote	Mandatory	7/3/13-Tie the voter registration offering, decision to an electronic signature.	Capture information on Voter Registration screen through a dropdown on whether the payee was offered voter registration services and if the payee was a) registered to vote that day b) Already registered c) Ineligible or d) Declined to vote.
NUT - 4.3	Every time an address change is made, the system shall alert the user that a new voter registration form may be needed.	Mandatory		Alert user about Voter Registration if Participant Address is changed

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
NUT- 4.3a	Every time a name change is made, the system shall alert the user that a new voter registration form may be needed.	Mandatory		Alert user about Voter Registration if Participant Name is changed
NUT - 6	**Reports**			
NUT - 6.5	Participant Referral Report	Moderate	Lists participants referred and agency or program to which they were referred. See CERT 17.16.	
NUT - 6.7	Voter Registration Report	Moderate	Reports participants assisted in voter registration.	
NUT- 6.11	Voter Registration Offered Report	Moderate	Reports the number of participants who were offered the voter registration and the number who actually did.	
NUT - 6.12	BPC Program Tracking Report		8/6/13-BFC Tracking Log-BPC Program paper form	
NUT - 6.13	Peer Counselor Weekly Activity Report		8/6/13-data from Weekly Activity Report	
NUT - 6.14	BPC Data Tool Report		8/6/13-data from WIC BPC Data Report	
NUT - 6.15	Quarterly Program Activity Report		8/6/13-data from Quarterly Program Activity Report paper form	
NUT - 7	**Breastfeeding Peer Counseling Program**			
NUT - 7.1	When a Participant is referred to the BFPCP, the system shall support the intake of the Participant's prenatal and breastfeeding information.			
NUT - 7.2	Provide the functionality to create a Consent and Service Agreement that can be automatically filled with specific information related to the participant, as necessary and printed out for the participant.			
NUT - 7.3	The system shall allow an electronic signature of the Consent and Service Agreement.			
NUT - 7.4	When the Participant has not reached a year in the program and the file is closed, the system shall allow the entry of a reason.			

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
NUT - 7.5	Provide functionality for the user to identify the Contact with the Participant		Prenatal Intake, Postpartum Intake, Prenatal Progress, Postpartum Progress, Postpartum Assessment	
NUT - 7.6	Provide the functionality to indicate the Contact type for each Appointment		Office Visit, Phone Call	
NUT - 7.7	After each Prenatal Contact, the system shall support the user entering the educational topics discussed.		Data from the Prenatal Progress note form	
NUT - 7.8	Provide the functionality to capture the breastfeeding status at each Contact		Data from the Postpartum Assessment and Progress Note forms.	
NUT - 7.9	After each Prenatal Contact, the system shall support the user entering the educational tools used.		Data from the Prenatal Progress note form	
NUT - 7.10	The system shall support entering free form Notes specific to each Prenatal Contact			
NUT - 7.11	After each Postpartum Contact, the system shall support the user entering the educational topics discussed.		6 appts. Data from the PP progress and PP assessment forms	
NUT - 7.12	The system shall support entering free form Notes specific to each Postpartum Contact			
NUT - 7.13	The system shall support entering Office Notes separate from Contact Notes for the Postpartum Contact.		data from PP progress and PP assessment forms	
NUT - 7.14	Provide the functionality to allow the user to indicate when a Peer Mentor has reviewed the note		date, initials	
NUT - 7.15	If the Participant has discontinued breastfeeding, the system shall support capturing the date and the reason at each Postpartum Contact		Reasons on PP assessment and PP progress note forms	
NUT - 7.16	The system shall support the entry of time for each activity performed by the Peer Counselor on a weekly basis		data taken from the Weekly Activity Report Breastfeeding Peer Counseling Program form	
NUT - 7.17	The system shall support the entry of program activity and report out on it on a quarterly basis		data taken from the Quarterly Program Activity Report	

3. Food Management

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FM - 2.3	**Determine Food Package Proration Schedule**			
FM - 2.3.2	The Food Proration Process shall utilize a rolling calendar for determining prorated food amounts	Mandatory	7/3/13-Refer to FI 1.1	
FM - 3.2	Establish Food Instrument Maximum Allowed Price	Mandatory		
FM - 3.2.1	System shall calculate a maximum allowed value for each food instrument type for each peer group. The maximum value of the food instrument-type / peer group shall be the sum of the maximum peer group prices for all items contained on the food instrument	Mandatory		
FM - 3.3	**Peer Group Maximum Item Pricing**			
FM - 3.3.1	Peer Group Maximum Item Price Process shall utilize food item prices submitted by peer group vendor in their most current price stock survey to calculate the peer group maximum price for each authorized food item		CT Max Price Algorithm: Peer Group Item Max Price = Avg. Max Price + n* Std. Dev. Of items max price	
FM - 3.3.2	Peer Group Max Price per food item shall be maintained in the Peer Group Max Price / Food Item table			
FM - 5	**Reports**			
FM - 5.1	Approved Foods	Moderate	Lists and describes all foods authorized for use in the State agency's WIC Program. This shall include approved infant formulas.	
FM - 5.2	Approved Food Packages	Moderate	Lists and describes the food packages for each category of participant.	
FM - 5.3	Food Category/Subcategory Table	Moderate	List of all food categories and subcategories.	
FM - 5.4	Food Price List	Moderate	Lists foods at the Category/Subcategory level and their maximum prices	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
			allowed by peer group.	
FM - 5.5	Estimated Food Redemption Values	Moderate	Provides data at the Category/Subcategory level on the estimated value for each food type by peer group.	
FM - 5.6	List of State Approved Food Instrument Types	Moderate	Lists all food instrument types. (N/A for EBT)	
FM - 5.7	Estimated Food Instrument and Maximum Values	Moderate	Provides data on the estimated value for each food instrument type and the maximum value for that food instrument by peer group. (N/A for EBT)	
FM - 5.8	Estimated Redemption Value for Food Instruments Issued.	Moderate	Lists by month of issue, all food instruments issued and their estimated redemption value by peer group. The system shall array the data by local agency and total for the State agency. (N/A for EBT)	
FM - 5.9	UPC Database for WIC Authorized Foods	Moderate	Lists and describes all foods with their UPCs that are authorized for issuance according to the standard category/ subcategories. The system shall provide a hard copy and electronic file.	
FM - 5.10	Food Item List with Maximum Allowed Amounts	Moderate	Lists all approved foods maintained in the UPC database and their maximum prices allowed by peer group.	

4. Food Benefit Issuance

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FI - 1	**Prepare Individual Food Instruments**	**Mandatory**		
FI -1.1	The system shall allow a user to find the participant record(s) and make any prorating adjustment required.	Mandatory	See Food Management Tab - Determine Food Package Proration Schedule for requirements associated with the determination of prorated food item values. 7/3/13-FM 2.3.2 says to use rolling calendar. Prorate for categorical terminations otherwise rolling calendar.	Modify proration schedule to support the implementation of CT's Proration Calculation
FI - 2	**Print Food Instruments**	**Mandatory**		
FI - 2.2	System shall allow the users to issue benefits only for participants once they are in the clinic and have been determined to be eligible to receive benefits by the nutritionist / CPA.	Mandatory	7/3/13-Possible e-sign for benefits.	New function to support the issuance of benefits. Inhibit issuance of benefits unless participant is present
FI - 2.6	At the time when a participant comes into the agency to pick up checks, the system shall validate that the participant has adequate number of months left in the certification period prior to check printing.	Moderate	If a participant is too close to the end of the certification period, the system shall alert the agency staff to complete the recertification process and issue checks for a complete month, instead of prorating benefits for the remainder of the certification period and then going through the recertification process.	check remaining time on certification and if it meets defined criteria alert user to see if participant wants to be recertified at this time
FI - 4	**Check Stock Inventory Maintenance**			
FI - 4.1	The system shall maintain an inventory of EBT Cards issued and remaining	Moderate		Support the entry of items for which inventory is to be maintained at the State and Agency level and support the updating of inventory amounts. Also, maintain reorder points and alert users that item is at or below the reorder point.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FI - 4.2	Support the entry of EBT Card stock item information	Moderate		Support the entry of items for which inventory is to be maintained at the State and Agency level and support the updating of inventory amounts. Also, maintain reorder points and alert users that item is at or below the reorder point.
FI - 4.3	Support the input of delivered EBT Card information, including serial numbers, and the updating of inventory levels	Moderate	Food items, equipment, date of receipt, description, amount received	Support the entry of items for which inventory is to be maintained at the State and Agency level and support the updating of inventory amounts. Also, maintain reorder points and alert users that item is at or below the reorder point.
FI - 4.4	Support the issuance and tracking of EBT Card quantities sent to local agencies.	Moderate		Support the entry of items for which inventory is to be maintained at the State and Agency level and support the updating of inventory amounts. Also, maintain reorder points and alert users that item is at or below the reorder point.
FI - 4.5	Support the issuance of warning messages that reorder point has been reached.	Moderate		Support the entry of items for which inventory is to be maintained at the State and Agency level and support the updating of inventory amounts. Also, maintain reorder points and alert users that item is at or below the reorder point.
FI - 4.6	Support the generation of inventory displays and reports (Items, current inventory levels, reorder points, vendor, shelf life, etc.)	Moderate		Support the entry of items for which inventory is to be maintained at the State and Agency level and support the updating of inventory amounts. Also, maintain reorder points and alert users that item is at or below the reorder point.
FI - 6	**Reports**			
FI - 6.1	502 Report - T and U. The report shows per check type the number of food instruments issued, average redemption, state-wide totals, etc.	Mandatory		

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FI - 6.3	Lost And Stolen Food Instruments By Local Agency	Mandatory	Provides a list of food instruments that have been reported as lost or stolen.	
FI - 6.5	Electronic Benefits Issued (Monthly)	Mandatory	A list of benefits via EBT issued during a month period for use in reconciliation.	
FI - 6.6	Check Stock Inventory Reconciliation Report	Moderate	Quantity on hand at start of reconciliation period. Quantity on hand at end of reconciliation period, total amount issued to agencies during reconciliation period, variance	

5. Benefit Redemptions

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FR - 1.1	**Compile File of Transaction Data**			**Included in Interface Gaps**
FR - 1.1.2	System shall support the creation of the Food Instrument or EBT benefit file that is forwarded to the Food Instrument or EBT Processor for their use in validating payment transactions.	Mandatory	Format shall conform to CT file formats	Create file in format specified by 3rd party processor
FR - 1.1.5	System shall support the importing of redemption data provided by the Food Instrument or EBT Processor	Mandatory	Format shall conform to CT file formats	Create import function to support file format specified by 3rd party processor and provide table to maintain imported and historical data
FR - 2.3	**Reconcile Voided, Expired, and Redeemed but Unissued Food Instruments**			
FR - 2.3.4	The Reconciliation Process shall compare the sum of the daily redemptions with the monthly redemptions and alert the user of any discrepancies.	Moderate		Enhance reconciliation process to compare daily redemptions with issued benefit and alert user of possible anomalies
FR - 5	**Reports**			

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FR - 5.3	Food Instrument Reconciliation Report	Mandatory	Lists the disposition of all food instruments issued and final redeemed value or designation as void – unissued, void-expired, or void-unclaimed.	
FR - 5.4	Food Instrument Rejection Reports by Vendor	Mandatory	Provides a listing of specific food instruments that the system has rejected for payment and the reason for each rejection. The report would include all rejections for both pre-payment and/or post-payment screens.	
FR - 5.5	Redeemed But Not Issued	Mandatory	Lists all food instruments without an issuance record by local agency for use in locating a certification record for investigation.	
FR - 5.7	Summary Food Instrument Redemptions by Vendor	Mandatory	Provides the value of food instrument redemption broken out by vendor.	

6. Finance

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FIN - 1	**Manage Grants**			
FIN - 1.1	Post federal grants received throughout the year for Food and NSA expenditures	Mandatory		Implement a set of functions that shall address the need to enhance the MI-WIC/MD-WOW NSA cost accounting. Function and database to support the establishment of an NSA grant and the posting of interim grants and revenues that can be used to fund NSA costs.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FIN - 1.2	Post State funds allocated to WIC for food and NSA expenditures and to maintain distinction from federal funds	Mandatory		Capture and post state and other revenues to NSA Grant.
FIN - 1.3	Allocate grant NSA funds to Local Agency programs based on a schedule defined by the state	Mandatory	At this time, the State funds local agencies on a bi-weekly basis.	Data entry function to capture NSA funding allocated to an Agency. Debit the NSA fund to obtain remaining balance. Data tables are needed to support the maintenance of NSA funds.
FIN - 1.4	Post and track changes to Federal Grants and State Allocation, which may fluctuate throughout the year	Mandatory		Data entry function to capture change to NSA funding and to debit or credit the NSA fund to obtain remaining balance. Data tables are needed to support the maintenance of NSA funds
FIN - 1.5	Maintain current balance of funding levels in all grant categories through the year	Mandatory		Display / Report of funding transactions and available balance. Maintain available funding and provide screen for display of available funding in identified FFY or SFY
FIN - 1.6	Track grants by federal and state fiscal years and to apply state funding to the appropriate Federal Fiscal Year	Moderate		Data entry function to capture change to NSA funding and to debit or credit the NSA fund to obtain remaining balance. Data tables are needed to support the maintenance of NSA funds. Function needed to enter changes to NSA funds for identified grant year and to post it to the NSA Grant
FIN - 2	**Maintain State and Local Agency Budgets**			
FIN - 2.1	The system shall provide the ability to retrieve State agency grant and budget data and retrieve local agency budget detail	Moderate		Data entry and data structures that allow the State and Agencies to enter an NSA budget for a given fiscal year by selecting the appropriate account and entering an amount for the fiscal year. Function to establish an agency / state NSA budget using standard NSA account categories

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
				(e.g. labor, labor overtime, office rental, office supplies, telecommunications, etc.)
FIN - 2.2	Support the manual entry and maintenance of State and Local Agency Budget information	Moderate		Data entry and data structures that allow the State and Agencies to enter an NSA budget for a given fiscal year by selecting the appropriate account and entering an amount for the fiscal year. Function to establish an agency / state NSA budget using standard NSA account categories (e.g. labor, labor overtime, office rental, office supplies, telecommunications, etc.)
FIN - 2.3	Support the development of State and Local agency budgets using USDA mandated categories	Moderate		Data entry and data structures that allow the State and Agencies to enter an NSA budget for a given fiscal year by selecting the appropriate account and entering an amount for the fiscal year. Function to establish an agency / state NSA budget using standard NSA account categories (e.g. labor, labor overtime, office rental, office supplies, telecommunications, etc.)
FIN - 2.4a	Support the import of State Budget and expenses from CORE to MIS	Moderate		Major - Export / Import function that shall map CORE budget and Expense fields to WIC-MIS and populate WIC MIS tables with budget and cost information for State WIC Program (e.g. Admin Expenses & Special Food Costs)
FIN - 2.5	Support the import of Local Agency Budget information using a standard format and process that is available to all Local Agencies	Moderate		Data entry and data structures that allow the State and Agencies to enter an NSA budget for a given fiscal year by selecting the appropriate account and entering an amount for the fiscal year. Function to establish an agency / state NSA budget using standard NSA account categories (e.g. labor, labor overtime,

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
				office rental, office supplies, telecommunications, etc.)
FIN - 2.6	Support the establishment of new revenue and expense budget categories , e.g. Salary categories, Information Systems, etc	Moderate		An administrative function that shall enable an administrative user to add new cost categories, modify, or delete existing cost categories and related information
FIN - 2.7	Support the ability to view or report available monthly, year to date, and annually budget based on Federal and Sate Fiscal Years	Moderate		Report shall present budget of State or Agency based on SFY and FFY
FIN - 2.8	Support the ability to view or report budget variance (Budget - Expense) on a monthly, year to date, and annual basis and based on Federal and State Fiscal Years	Moderate		Report shall provide and display actual vs. budget variance report for NSA (Agency & State) and Food (State) expenditures
FIN - 2.9	Determine and process spend forward and spend back amounts	Moderate		Function to enable user to select grant and would display the amount available to spend forward or back. User would identify type of transaction and amount. Amount would be applied to the identified grant and debited from the current grant
FIN - 2.10	Support the creation of notes entered to document financial transitions	Moderate		Data entry field on the transaction screen to capture user notes and database field to maintain the transaction note
FIN - 2.11	Attach and retrieve documentary evidence supporting a given transaction	Moderate		Enhance document attachment functionality to support the attachment of documents to budgets, grants, and transaction. Data fields needed to support maintain and store saved documents
FIN - 2.12	Restrict viewing of local agency budgets to the owning Local or State Agency	Mandatory		Enhance security to limit access to accounting information to only authorized users (agency member, financial responsibility)
FIN - 2.13	Create a copy of the State and/or local agency NSA budget upon request and change date for a new fiscal year	Moderate	Mechanism to create a new budget based on current or previous budget	Function to support the "copying" of a budget and updating of category budgets prior to saving the budget for a new fiscal year.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
				Saving to a new fiscal year shall result in the adding of the new FY budget to the database
FIN - 2.14	Calculate total available Federal, State, and Local Agency funds for Food and NSA budgets	Moderate		Agency Report or State Report of consolidated budget and cost information
FIN - 2.15	Calculate total NSA budget for State and Local Agencies	Moderate		Agency Report or State Report of consolidated budget and cost information
FIN - 2.16	Support State Agency review and approval of Local agency budgets at time of submittal or update	Moderate		Screen / report to review submitted budget and mechanism to approve submitted budget
FIN - 2.17	Support notification to the State that a Local Agency has modified its budget	Moderate		Email to state that local agency budget has been modified and is available for review and approval
FIN - 2.18	Generate of acceptance or rejection notification to local agency of approval or rejection of said budget via email	Moderate		Email notification that budget is accepted or rejected with reasons for rejection
FIN - 2.19	Support the development and tracking of capital items	Moderate		Establish an expense category for Capital Items
FIN - 2.20	Support the ability of Local Agencies to electronically sign budget submittals	Moderate		Enable local agency user to electronically sign the budget submittal for State review and approval
FIN - 2.21	The system shall support the analysis of how much of the agency fund is being utilized for each area of operation	Moderate	General Admin, Client Services, Nutrition Ed, Breastfeeding etc.	Function to monitor and view % spent on various categories (Admin, Breastfeeding & Education, etc.
FIN - 3	**Monitor State and Local Agency Food and NSA Expenditures and Funds**		**Support the monitoring of food and NSA expenditures and comparison of actual costs and to budgets for submittal of reports required by USDA and the State.**	
FIN - 3.1	Capture, track, view, and report on the rate of expenditure of program funds at the State and Local Agency level	Mandatory		Capture and Track NSA Expenditures
FIN - 3.2	Provide advance warning of surpluses or shortages of line items / categories by setting threshold levels and generating warning messages (reports & on-screen alerts) when threshold limits are met or exceeded	Moderate	Funds monitoring at State and Local Level	Budget Variance Report can address this requirement

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FIN - 3.4	Support a monthly and annual close-out processes of NSA and Food accounts	Mandatory		Monthly and Annual Closeout of expense period
FIN - 3.5	Support the calculation of available funds for viewing and/or reporting	Moderate		Budget Variance Report can address this requirement
FIN - 3.6	Support the entry of State and Local Agency NSA expenditures and track against the amounts budgeted for expenditure categories	Moderate		Capture and Track NSA Expenditures
FIN - 3.7	Support the capture and maintenance of NSA expense obligations (e.g. purchases) and the deobligation of the expense once the actual expense has been incurred.	Mandatory		Capture and Track NSA Expense obligations (e.g. Purchase Order Commitments)
FIN - 3.8	NSA expenditures and obligations shall include any breast pumps in the NSA budget	Mandatory		Expense Category for Breast Pumps
FIN - 3.9	Calculate for reporting or viewing actual and unliquidated obligated NSA expenditures compared to budget by State and Local Agencies	Mandatory		Capture and Track NSA liquidation of Expense obligations (e.g. Purchase Order Commitments / payments)
FIN - 3.10	Update expenditures as needed - provide interface to State CORE system for updating of State Expenditures and a common mechanism and Format for local agencies to use in conjunction with their local system for updating expenditures	Moderate		Export function for generating file for importing into 3rd party financial systems
FIN - 3.10a	Provide mechanism to enter estimate of Local Agency Costs when Monthly report has not been submitted	Moderate	E.g. use last three months to calculate an estimated cost and enable financial user to accept the calculated cost for current month. Cost shall need to be flagged as estimated due to missing submittal from Local Agency	
FIN - 3.11	Support the display and reporting of expenditures to date for State and Local Agencies (FFY to Date, SFY to Date, Month to Date)	Moderate		
FIN - 5	**Manage Cash Flow at the State and Local Agency**		**The following requirements illustrate how information captured and maintained by**	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
			financial management processes shall be used to monitor and access cash flow at the State and Local Agency levels	
FIN - 5.1	Support the bi-weekly distribution of funding to local agencies	Moderate	Funds are allocated and distributed to local agencies on a bi-weekly basis. Process is needed to enable the user to identify the periodic NSA funding allocated to agencies and updating of account balances to reflect the transfer of funds to agencies	Create and Post transactions that support the periodic funding of local agencies
FIN - 5.2	Support the preparation of a "Funding File" that shall be processed by "CORE" to distribute funds to each agency	Moderate		Export file for Core to process funding transactions
FIN - 5.3	Support the posting of other revenues, e.g. Civil penalties, imposed on vendors	Moderate		Create and Post transactions that support processing of civil penalties - e.g. ability to create revenue categories and select the category when processing revenue transactions
FIN - 5.4	System shall enable the State or Local Agency to view the effect of actual NSA and food expenditures on the agency's cash position at any given time.	Moderate		Budget - Variance Report with Detail
FIN - 5.5	System shall record all cash inflows (grants, rebates, recoveries, etc.) as well as cash outflows (food vendor payments, NSA payments for costs, etc.).	Mandatory		Process Revenue Transactions - multiple revenue categories, ability to select appropriate account from dropdown list
FIN - 5.6	Support the State's ability to anticipate cash needs to ensure proper cash draws are made against the Federal grant.	Moderate	This is an analysis activity using information provided in the various cash management, expense, fund and budget variance reports / views	Available Funds Report
FIN - 5.7	Supports the State’s ability to close out a month or Fiscal Year (When the fiscal year financial activity is closed out and reconciled, cash drawn from the Federal WIC grants must reconcile to the State agency’s reported expenditures)	Moderate		Support for closing budget and expense periods (FFY, SFY, Month)

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
FIN - 5.8	Calculate the total cash inflows by adding Federal grants, State grants, manufacturer rebates, program income and vendor/participant collections from the Grants data store	Moderate		Cash Flow with Detail
FIN - 5.9	Calculate total cash outflows by adding vendor payments (food expenditures, including breast pumps) and NSA expenditures	Moderate		Cash Flow with Detail
FIN - 5.10	Calculate the current cash balances for NSA and food funds by adding total cash inflows to the previous cash balance for each and subtracting the total cash outflows	Moderate		Cash Flow with Detail
FIN - 5.11	Provide Screen display and hard copy Report of Cash Flows	Moderate		Cash Flow with Detail
FIN - 5.11a	Provide screen display & hard copy report of projected monthly cash flow based on prior Quarter and current participation levels	Moderate		Cash Flow Projection Report
FIN - 6	**Process Manufacturer Rebates**			
FIN - 6.1	Provide Interfaces with Core to export vendor invoice file and to import vendor payments	Moderate	Custom Interface	Vendor Invoice file for CORE
FIN - 6.6	The Process Manufacturer Rebate Process shall prepare for display and reporting an estimate of the rebate amount expected for each month of the coming year	Mandatory		Report of forecasted rebates
FIN - 6.9	System shall provide a screen display and report on Projected Total Rebate for Each Formula Type	Mandatory		Rebate Report
FIN - 7	**Financial Reporting**			
FIN - 7.1	Generation of monthly and annual 798	Mandatory		Utilize Food and NSA budget and expense data to create 799
FIN - 7.5	Food Item Rejection Reports by Vendor	Mandatory	Provides a listing of specific food instruments that the system has rejected for payment and the reason for each rejection. The report would include all rejections for both pre-payment and/or post-payment screens.	Report of Rejected Food Items
FIN - 7.14	WIC Local Agency Directory Report (FNS-648)	Mandatory	Provides the name and address of each local agency funded by the State agency or Indian	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
			Tribal Organization.	
FIN - 7.15	Breast Pump Budget and Expenditures	Mandatory	Provides data on each local agency's breast pump expenditures and compare expenditures to their budget.	
FIN - 7.16	Cash Flow (at State and Local Agency levels)	Moderate	Shows cash inflows and outflows on a daily basis.	
FIN - 7.17	Local Agency NSA Expenditures	Moderate	Provides data on each local agency's expenditures and compare expenditures to their budget.	
FIN - 7.18	NSA Budget by Local Agency	Mandatory	Provides the local level NSA budgets by function and line item.	
FIN - 7.19	Rebate Status	Mandatory	Provides data on rebate estimates, rebates billed and rebates collected. Rebate billing invoices shall include month/date that the food instrument was issued to the participant, date the food instrument was transacted by the participant, redeemed dollar amount, number of cans listed on the food instrument, WIC food instrument number, and the infant formula type/form.	
FIN - 7.20	State Agency NSA Budget	Mandatory	Provides the State level NSA budget by function and line item.	
FIN - 7.22	Summary of Funds Receipts	Mandatory	Provides data on the receipt and use of program income, vendor and participant collections, and any other funds that increase the grant or reduce expenditures.	
FIN - 7.23	Summary of Grants	Mandatory	Provides data on the Federal (and State if applicable) grants received for the year to date as well as spend	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
			forward or back spend funds applied to the grant.	
FIN - 7.24	Redemption rate per participant	Moderate	Local agency requirement to evaluate the percentage of participants redeeming benefits	
FIN - 7.26	Report of obligated and actual costs vs. Budget for Month to Date, Month, Year to Date, and Year	Moderate	e.g. Expenditure vs. Budget Variance Report	
FIN - 8	**Cost Allocation**			
FIN - 8.1	Supports the monthly allocation of State and Local Agency labor costs to Administration, Client Services, Nutrition Education and Breastfeeding based on time allocation reports	Moderate	Subcategories include salaries, fringe, postage, rent, other, subcontractor, in-state travel, out-of-state travel	Cost Allocation Report
FIN - 8.2	Utilizes information provided on time reports to calculate % time / staff member / allocation category (Admin, Client Svs., Nut. Ed, Breastfeeding)	Moderate		Cost Allocation Report
FIN - 8.3	Supports preparation of quarterly Cost Allocation Report	Moderate		Cost Allocation Report
FIN - 8.4	Supports the maintenance of historical labor cost allocation information	Moderate		

7. Operations

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
OPER - 2	**Monitor Administrative Operations - Analyze Local Agency Operations**		The system shall support the analysis of each local agency/clinic for factors such as the participants served, local agency/clinic space, appointment characteristics (e.g., no show rates and trends), and number of staff by type (e.g., certifying staff, clerks, nutritionists, other, bilingual).	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
OPER - 2.1	The system shall support the calculation, display and reporting of various analytical factors (show rate, participants per square foot, staff to participant ratio, or cost per participant)	Moderate		Agency/Clinic Report of analytical factors (show rate, participants per square foot, staff to participant ratio, or cost per participant)
OPER - 3	**Monitor Administrative Operations - Support Clinic/Patient Flow Monitoring**			
OPER - 3.1	The system shall support the collection and analysis of patient and clinic flow data (Participant waiting time, Participant time at Agency/Clinic, time to complete a certification and other visits, no shows, late shows, number of participants seen in a given period by a staff member)	Moderate	Requires log of times spent on various activities	Add additional fields to clinic screens to capture beginning and ending of sessions and type of session (intake, certification session, benefits issuance, education session)
OPER - 3.2	System shall support the entry and maintenance of standard performance factors (Activity Time standard) that can be used to compare to data collected on clinic flow times	Moderate		Report using flow data captured to report on monthly and ytd flow statistics
OPER - 3.3	System shall support the display and reporting of captured participant activity times (e.g. avg. wait time, wait time range, etc.)	Moderate		Report using flow data captured to report on monthly and ytd flow statistics
OPER - 3.4	System shall support the saving of periodic flow analysis results so they can be used for trend analysis	Moderate		Report using flow data captured to report on monthly and ytd flow statistics
OPER - 3.5	System shall support the display and reporting of trends in participant flow	Moderate		Report using flow data captured to report on monthly and ytd flow statistics
OPER - 5	**Monitor Complaints**			
OPER - 5.3	The system shall support the entry of an action plan being taken to address a complaint	Mandatory	Vendors and Participants	Additional fields needed to document action plan
OPER - 5.4	The system shall support the generation of a display or report of complaints open and closed complaints	Mandatory	Vendors and Participants	Report / Display of open and closed complaints
OPER - 5.7	The system shall support the creation of complaint / action / hearing letters from a template.	Moderate	Vendors and Participants	New Template

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
OPER - 6	**Provide Survey Capability**		**This may best be met by a generic 3rd party survey tool (e.g. Survey Monkey)**	
OPER - 6.1	The Survey Function shall provide a generic capability to conduct surveys and track survey responses for various aspects of the WIC Program			
OPER - 6.2	The Survey Function shall capture the results for each survey participant and generate a summary assessment			
OPER - 6.3	The Survey Function shall collect and summarize data related to local and statewide surveys			
OPER - 6.4	The Survey Function shall support the design of survey instrument and update Survey Questionnaire and Survey Question data stores			
OPER - 6.5	The Survey Function shall accept user entered survey results and update Survey Response data store			
OPER - 6.6	The Survey Function shall provide an analysis of survey responses			
OPER - 6.7	The Survey Function shall display and report on survey participation and results			
OPER - 6.8	The Survey Function shall allow only one survey response per participant.			
OPER - 6.9	The Survey Function shall allow only participating women, alternates and caretakers to take the survey.			
OPER -7	**Monitor Program Integrity - Monitor Participant Integrity**			
OPER - 7.6	Support the display and reporting potentially fraudulent activities, findings, hearings, and sanctions			Summary Report on Participant findings, hearings, and sanctions
OPER - 8	**Maintain Program Integrity - Monitor Agency Integrity**		**Support the identification and review of data related to suspicious patterns**	
OPER - 8.1	The Agency Monitoring Function shall support the capture and maintenance of the results of agency monitoring activities	Mandatory		Template for data entry that shall document the findings of an agency monitoring visit.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
	conducted by the State			
OPER - 8.2	The Agency Monitoring Function shall support the attachment of Monitoring reports to Agency records	Mandatory	Attached scanned or electronic copy of Agency monitoring reports and other agency related documents to the agency in question	Use the document attachment function to attach documents to Monitoring Visit record
OPER - 8.4	The system shall support the identification of potential conflicts of interest that may develop when an employee is responsible for both certifying eligibility and issuing benefits or when an employee is also a WIC participant	Moderate	Review of a clinic user role assignments can be used to identify potential conflict of interest	Report shall identify staff members with conflicting responsibilities or who are WIC participants
OPER - 10	**Maintain Inventories, (Serialized, Shelf Life, and non-Serialized Inventories)**		**This function may best be met by a generic inventory application and asset tracking application**	
OPER - 10.1	The Inventory Function shall track items at all levels (received at the State, shipped to local agencies, and received at local agencies), as well as items that are returned or no longer usable (e.g., broken, lost).	Moderate	The only things that are applicable are breast pumps, food instruments (checks or card stock), and formula. Possibly folders and food lists. Computer stuff is managed separately by IT.	Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting
OPER - 10.2	The Inventory Function shall support the entry of item information	Moderate	Item description, UPC code if applicable, vendor, reorder points, lead times, etc.	Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
OPER - 10.3	The Inventory Function shall support the input of receipt information, including serial numbers, and the updating of inventory levels	Moderate	Food items, equipment, date of receipt, description, amount received	Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting
OPER - 10.4	The Inventory Function shall support the issuance and tracking of inventory items sent to local agencies.	Moderate		Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting
OPER - 10.5	The Inventory Function shall support the issuance of warning messages that reorder point has been reached	Moderate		Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting
OPER - 10.6	The Inventory Function shall support the capture of shelf-life information and the issuance of warning messages when inventory items are reaching their shelf life date	Moderate		Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting
OPER - 10.7	The Inventory Function shall support the disposal of serialized equipment and other inventory items	Moderate		Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
OPER - 10.8	The Inventory Function shall support the generation of inventory displays and reports (Items, current inventory levels, reorder points, vendor, shelf life, etc)	Moderate		Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting
OPER - 10.9	The Inventory Function shall track formula inventory to document when formula is received, transferred, or destroyed.	Moderate		Develop a new set of screens and functions that shall support the creation of inventory items, adding to and relieving inventory quantities, and supporting the reordering and shelf life reporting
OPER - 11	**Reports**			
OPER - 11.11	NSA Cost Per Participant By Local Agency/Clinic Report	Mandatory	Provides a summary comparison of the NSA cost per participant among local agencies.	NSA cost per participant per agency report
OPER - 11.13	Participant Hearing Status Report	Mandatory	Provides a summary of participant hearings status.	
OPER - 11.2	Complaints About Participants Report	Moderate	List of participants for which complaints are filed and nature of complaint.	
OPER - 11.5	Inventory Status Report-Non-Serialized Item Stock	Moderate	Provides the status of non-serialized items in storage and shipped to local agencies.	Inventory Status Report needed
OPER - 11.6	Inventory Status Report- Serialized Item Stock	Moderate	Provides status of serialized items in storage and shipped to local agencies.	Inventory Report
OPER - 11.7	Local Agency Food Instrument Inventory Status	Moderate	Provides data on the food instrument serial numbers assigned to each local agency. It would also identify the status of each food instrument as unissued, redeemed, or void.	Inventory Status Report needed
OPER - 11.8	Local Agency Card Inventory Status	Moderate	Provides data on the card serial numbers assigned to each local agency. It would also identify the status of each card as unissued or	Inventory Status Report needed

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
			void.	
OPER - 11.9	Local Agency/Clinic Participant To Staff/Facility Statistics Report	Moderate	Provides an analysis of ratio of local agency/clinic participant to staff type and square footage of space to enable State and local agencies to monitor and assess the workload of the Local Agency.	Participant/staff ratio report
OPER - 11.10	Local Agency/Clinic Profile Data Report	Moderate	Provides a snapshot of local agency or clinic operations for review by State agency or preparation for site visitation. Profile shall include information that reflects the size, capacity, productivity, and operating costs of the local agency or clinic.	Agency/Clinic Profile Report
OPER - 11.12	Outreach Organizations Report	Moderate	Enables local agencies to review outreach organization information and provide mailing labels in order to increase participation levels when additional caseload is assigned by the State agency.	Outreach Agency listing and mailing labels
OPER - 11.14	Participants Shopping Outside Their Neighborhoods Report	Moderate	Lists participants that are shopping at vendors outside the normal geographic boundary of their addresses.	
OPER - 11.15	Participant Violations, Sanctions, and Claims Report	Moderate	Provides reports on participant violations, sanction imposed and any claims collected.	
OPER - 11.18	Report on inventory of food with shelf life	Moderate	Inventory report of shelf-life items (Item, Ser. #, Date Received, Expiration Date, Reorder Date, Quantity)	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach

8. Vendor Management

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 1	**Manage Vendor Peer Groups**			
VM - 1.2	The system shall maintain a Peer Group Assignment Business Rules table for classifying the vendor peer groups and allow the users to make changes to these rules when necessary. These would include adding / removing peer groups as well as making changes to the peer group assignment criteria.	Mandatory	Rules for the peer group assignment - 1. For Grocery Stores - a) Based on location - Urban, Sub-urban and Rural b) Based on cash registers - 1-3: Small 4-9: Medium >10: Large c) Based on total WIC sales volume - A-50 (50% or more WIC sales) 2. For Pharmacies - a) Chain Pharmacies and b) Individual Pharmacies 3. Farms Total number of peer groups = 13	Develop and maintain a table of business rules associated with assignment of vendor peer groups. Once vendor demographics are entered, the system shall automatically determine and assign the appropriate peer group.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 1.3	Once the vendor demographic information (including type and location of store and the number of cash registers) is entered, the system shall apply the Peer Group Assignment Business Rules to automatically assign the store to the appropriate peer group.	Mandatory		Develop and maintain a table of business rules associated with assignment of vendor peer groups. Once vendor demographics are entered, the system shall automatically determine and assign the appropriate peer group.
VM - 1.4	**A-50 Determinations**			
VM - 1.4.1	The system shall prompt the state agency to conduct an A-50 determination once a year on a predefined date.	Mandatory	Annual Alert	Utilize Alert Function to alert Vendor Management User that A-50 Determination is needed
VM - 2	**Create and Locate Data Records**			
VM - 2.4	The system shall assign one unique identification number to each record (vendor) in the system. An identifier would have to be assigned at the time that a potential new WIC vendor provides screening information on the WIC vendor portal.	Mandatory	Since all expressions of interest are to be tracked, the vendor identifier would have to be set up as soon as basic demographic data is entered on the portal.	System shall assign the next sequential number as the new vendor identifier for a new vendor. This shall be assigned to a vendor at the time of prescreening.
VM - 2.6	The identification number shall be a sequential number (the next sequential number available)	Mandatory	Sequential numbers are preferred to avoid future availability issues.	System shall assign the next sequential number as the new vendor identifier for a new vendor. This shall be assigned to a vendor at the time of prescreening.
VM - 2.7	Prior to creating a record, the system shall search the database to see if the vendor already exists in the system based on parameters such as the store owner name, store name, address, SSN of the owner where applicable, etc. and allow the user to choose whether or not to enter the new vendor data.	Mandatory	Use Tax ID #	System shall capture SSN information where applicable and support SSN based search for vendor records

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 2.9	The system shall accept vendor data input from the vendor portal.	Mandatory	For e.g. - application information, price stock survey, etc.	A new interface needs to be built to an external vendor portal, which would support vendor applications and price submissions.
VM - 3.1	**Need Assessment**			
VM - 3.1.1	The system shall support the creation and maintenance of a population density table based upon zip codes, and based on the population density, automatically classify each zip code area as urban, suburban and rural.	Mandatory	May be achieved by defining business rules for the classification and having the system automatically assign the region type based on the population density value. The population density values shall be manually entered. This function supports vendor peer group determination.	Connect to local municipality database for urban/rural classification of State zip code areas. Replace Zip code table with table that also includes classification (Rural, Suburban, urban)
VM - 3.1.2	Ability to compute the ratio between the total number of registers and the number of WIC participants served per store	Mandatory	Number of participants is based only on zip codes	Based on number of vendors (including the number of cash registers in each store) and the number of participants in each zip code area, the vendor - client - Modify existing algorithm to incorporate # of cash registers - ratio shall be computed and maintained for each vendor.
VM - 3.1.3	Ability to enter special needs information such as geographical barriers restricting access to existing WIC stores	Mandatory		Add free text field to capture special needs
VM - 3.2	**Maintain Vendor Application Data**			

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 3.2.2	Ability to maintain (create, edit, display and print) Application Packages for different vendor types - food store, pharmacy, farmer, etc.	Mandatory		Maintain different vendor applications based on type of vendor and type of application - new/renewal/multiple stores under currently authorized WIC - application forms, by store type- application packages would be available to stores via the portal or by mail
VM - 3.2.3	Vendor Application form shall capture information such as number of Cash Registers and Handicap Access	Mandatory	Data Requirement	Maintain different vendor applications based on type of vendor and type of application - new/renewal/multiple stores under currently authorized WIC - application forms, by store type- application packages would be available to stores via the portal or by mail
VM - 3.3	**Track Vendor Authorization Process**			
VM - 3.3.2	The system shall produce a screen display or report showing the status of all vendor authorizations, as well as an exception report showing only actions overdue.	Mandatory		Assign due dates on contract renewals, maintain status information on all contracts. Generate report / screen display
VM - 3.5	**Authorize Vendors**			
VM -3.5.5	The system shall have a checkbox to indicate if a vendor's authorization status was verified in the STARS database.	Mandatory	The STARS database is a federal system that maintains information on all SNAP authorized vendors.	Add a field to indicate that the vendor's status in the STARS database has been verified

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM -3.5.7	The period of authorization (1, 2, or 3 years) shall be defined in the system so that the end date is populated automatically.	Mandatory		Auto populate contract end date, given duration of authorization
VM - 5	**Perform Confidential High Risk Vendor Analysis**			
VM - 5.1	The system shall assist the State agency in assigning vendors to peer groups for high-risk analysis.	Mandatory	Per CT state plan, high-risk is used as an indicator not a peer group. The vendor redemption patterns are compared with those of the peer group that the vendor belongs to.	Based on predefined user parameters, vendor data shall be analyzed to display / generate report on potential high-risk vendors. Users shall be allowed to choose which of the list of vendors shall be marked as high risk.
VM - 5.2	The system shall support determinations of high risk vendors by performing an analysis of redemption patterns for vendors within each peer group for a predefined time period - e.g. - 3-6 months	Mandatory		Based on predefined user parameters, vendor data shall be analyzed to display / generate report on potential high-risk vendors. Users shall be allowed to choose which of the list of vendors shall be marked as high risk.
VM - 5.3	The system shall assign a vendor risk measure using the formula selected by the State agency, such as number/frequency of occurrences, degree of variation from the peer group averages, and volume of WIC redemptions.	Mandatory	Refer to CT State Plan Section 3 for complete list of CT Vendor High Risk Measures. Formula includes - i) Analysis of 6 months of redemption patterns to identify stores where the redemption per cash register is more than $10,000 per month ii)Stores with over 75% of any specific food instruments redeemed at the same price for a given time period. iii) Stores against which complaints have been	Based on predefined user parameters, vendor data shall be analyzed to display / generate report on potential high-risk vendors. Users shall be allowed to choose which of the list of vendors shall be marked as high risk.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
			received.	
VM - 5.4	The system shall flag vendors as high risk if they are determined to have a low variation in redemption prices for a food instrument type or high average food instrument prices compared with their group.	Mandatory	The system would create a potential high-risk vendor list and the vendor manager would decide which store(s) need to be assigned as high risk and tag them manually.	Based on predefined user parameters, vendor data shall be analyzed to display / generate report on potential high-risk vendors. Users shall be allowed to choose which of the list of vendors shall be marked as high risk.
VM - 7	**Track Compliance Investigations and Inventory Audits**			
VM - 7.2	The system shall capture compliance investigator data for investigators who visit vendors to perform compliance buys. To protect the investigator's identity, all of the information on the card shall be fictitious. The system shall allow the user to enter the investigator details including actual name and address, as well as the fictitious details being used as part of the compliance purchase(s).	Mandatory	The system shall not use the real name and address of the investigator, or any other real personal identifiers of the investigator, in any caseload reports or in summary statistics, regarding food benefit issued and redeemed. Real name and fictitious name and participant ID information shall be maintained.	Add additional screen and database fields for data elements needed to capture investigator / investigation data
VM - 7.12	Ability to support the scanning and uploading of documentation such as compliance buy reports, photographs of products purchased, donation slips, legal copies of compliance checks	Mandatory		Scanning and maintenance of documents shall be made available across the system.
VM - 7.13	Support for reconciliation - matching food items purchased with the donation slip received. The reconciliation would be done manually.	Mandatory	The system would have a checkbox or notes field to indicate that the items reported on the check match the items on the donation slip and the photographs, and enter discrepancies, if any	Add an additional field to capture this information

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 7.17	**Support Inventory Audits**			
VM - 7.17.1	The system shall support inventory audits by calculating for a selected vendor the quantities of supplemental foods sold based on the vendor's redemption of food instruments and compare the data with inventory records that show the quantities of foods purchased for a corresponding period of time.	Mandatory	The system shall calculate stock that shall have been sold during the period as – Stock that shall have been sold = Initial inventory count + Inventory purchased – Inventory at close of audit period. The system shall generate a report on store(s) where WIC redemption for the product(s) exceeds the amount of stock that shall have been sold during the audit time period and flag the store. Note – The redemption calculation shall be based on the assumption that all food instruments were redeemed in full. Partial redemptions would be considered as full redemptions for the purpose of this calculation.	Accept user input of beginning and end of period stock information, sales and invoice data, and existing WIC redemption data, compute and display difference if any between expected and actual stock.
VM - 7.17.2	The system shall maintain and print an inventory auditing template for the auditor.	Mandatory	Template would include information on Store being audited, products being audited (to be selected from a list) time period, beginning and end inventory count, sales information, stock maintained on premises and elsewhere, minimum inventory stock requirements, notes, etc.	Accept user input of beginning and end of period stock information, sales and invoice data, and existing WIC redemption data, compute and display difference if any between expected and actual stock.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 7.17.3	System shall allow the investigator to input findings from an inventory audit	Mandatory		Accept user input of beginning and end of period stock information, sales and invoice data, and existing WIC redemption data, compute and display difference if any between expected and actual stock.
VM - 7.17.4	The system shall set up an auto reminder to allow the auditor to collect information on the stock available at the end of the predefined audit period (30 - 90 days).	Mandatory	Part of general reminder function	Accept user input of beginning and end of period stock information, sales and invoice data, and existing WIC redemption data, compute and display difference if any between expected and actual stock.
VM - 8	**Track Routine Monitoring**			
VM - 8.2	Ability to print a monitoring template for the monitor, clearly indicating the type of monitoring visit, e.g. - Pre-Authorization, Random, Ownership Change; Approved Food list for the vendor. The monitoring report template shall support free form text for monitor comments including check review (if any) and if WIC procedures were followed.	Mandatory	Upon completion of the monitoring visit, the user would scan the report into the system. Basic information would have to be manually entered e.g. - date, time, investigator/monitor and violation(s) observed if any.	Maintain standard templates for monitoring / audits and allow users to select one or more templates for printing.
VM - 8.3	At the end of the monitoring visit, the vendor monitor would enter into the system the prices that were found at the store and the system would display the difference between the reported prices and the prices at the shelf.	Mandatory	Need to be able to enter the prices. The how is the question. Either manually or by the scanner.	Add fields to capture shelf prices of WIC foods at time of monitoring. Support for comparison between reported and observed prices.
VM - 9.1	**Manage Vendor Sanctions**			
VM - 9.1.3	The system shall maintain a list of various classes and types of violations.	Mandatory		Create and maintain grouping of violations per CT State plan.
VM - 9.1.4	The system shall maintain a business rules table mapping each violation to the duration that a vendor can remain on the program post the violation.	Mandatory	Ref. State Plan for sanction rules	Create and maintain grouping of violations per CT State plan.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 9.1.5	The system shall have the ability to track the total number and type of violations (including sanctions / warning letters issued) for each store and alert the vendor management if a store exceeds a pre-defined number of violations.	Mandatory		Create and maintain grouping of violations per CT State plan.
VM - 9.1.7	The system shall support the imposition of sanctions by automatically assigning the correct sanction for each type of violation. If a CMP is imposed in lieu of disqualification, the system shall set up an account receivable.	Mandatory	N/A to CT as the state uses violation classes. Ref. VM-9.14	Create and maintain grouping of violations per CT State plan.
VM - 9.2	**Monitor and Track CMP Payments**			
VM - 9.2.1	Once a vendor is assessed a CMP, the system shall support the capability to monitor the CMP status and track CMP payments.	Mandatory	The amount due and due date, as well as installment payments would be entered manually by the user. There shall be the ability to enter multiple installment amounts, and due dates, as well as amounts received with received date.	Included in Finance functionality (creation of vendor installment plans, and track payments).
VM - 9.2.2	The system shall also support the creation of an installment plan to allow the vendor to pay the CMP incrementally if needed.	Mandatory	In CT, the outstanding CMP and fines from vendors are managed by the vendor management area. The invoices are generated in the State Financial Management system after the amounts are received. All follow up for outstanding payments is handled by the vendor management area currently. The installment plans are also created and maintained by the vendor management area. The system shall support data entry of amount of fine, due date, track payments	Included in Finance functionality (creation of vendor installment plans, and track payments).

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
			received with dates along with the store name	
VM - 9.2.3	A Vendor Violation History shall be maintained indicating date, source, comments, violation code, description, points assigned, fine assessed, whether warning letter was sent or not or if a CMP was assessed. If a disqualification happens, the system shall document that the participant access determination was made and the result of the determination.	Mandatory	See VM - 9.1.5	
VM - 10.1	**Maintain Food Stamp Program Violation Data**			
VM - 10.1.1	The WIC IS shall support manual entry of SNAP sanction data into vendor records	Mandatory	Checkbox / Notes to indicate that disqualification action was initiated based on reciprocal action.	Enhance vendor authorization screen to capture user input of communication sent/received from SNAP regarding vendor disqualification / sanctions
VM - 10.1.2	The system shall create a report indicating active WIC vendors who need to be disqualified based on SNAP sanction data, and the vendor management team can make a hardship assessment and determine which of those vendors need to be terminated.	Moderate	The entry of SNAP sanction information would be a manual process.	Based on user input of SNAP sanction information, generate a report indicating all currently authorized WIC stores that have been sanctioned by SNAP.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 10.1.3	Alert to state office regarding access determination of a potential store subject to FNS reciprocal action.	Mandatory	Can be handled by adding a mandatory checkbox indicating that access determination was made.	Add required field to vendor store data
VM - 10.2	**Report WIC Sanctions to the Food Stamp Program**			
VM - 10.2.2	Produce a notice of disqualification or CMP to vendors who abuse WIC and the length of the disqualification periods corresponding to the vendor's violations, with a copy sent to FSP for reciprocal action after all appeals process is complete. The system shall support sending the email to the SNAP program.	Mandatory	Vendor's name, identification number, type of violation(s), and length of disqualification shall be included in creating the notice to FSP when WIC imposes a mandatory sanction on a vendor	Template needed for Vendor Modification. DPH to provide needed template
VM - 10.2.3	The system shall have an alert 45 days after disqualification that the SNAP shall be notified. The system shall also track the date when the notification was sent.	Mandatory		Add alert on vendor disqualification and flag that notification sent to DSS - SNAP. Alert 45 days after disqualification / and update function.
VM - 11.1	**Vendor Application**			
VM - 11.1.1	The portal shall support capture of basic demographic data about new vendors, incl. storeowner's name, store name, address, email address, phone number.	Mandatory		A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 11.1.2	The portal shall support vendor prescreening - validation of store location (town and zip code) against the list of zip codes areas where the State is inviting new WIC vendor applications. **(have not done preassessments for 2 years)**	Mandatory	For vendors whose town and zip codes do not match the areas of need, the following message shall be displayed - “Store location zip code does not match the areas where the State is inviting new vendor contracts. Your application cannot be considered at this time." For vendors whose zip codes match the areas of need, the following message shall be displayed - "Your expression of interest has been submitted to the WIC State office for review"	A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.
VM - 11.1.3	The portal shall support sending email messages to vendors to indicate the status of the prescreening / application process. E.g. - "Expression of Interest" submitted for review or "Vendor did not clear prescreening stage due to zip code mismatch", or confirmations emails to vendors once the application is complete along with information on how to check the status of their application process on the portal.	Mandatory		A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.
VM - 11.1.4	Support for vendors to choose from a list of available training dates and time slots as posted by the State WIC office on the portal. Each training slot shall support a predefined maximum number of vendors, for instance 25 vendors per slot, and shall be displayed as unavailable once the maximum capacity is reached.	Mandatory	Vendors whose Expression of Interest is approved by the State would receive training invites via emails from the State WIC office; The emails would contain hyperlinks to the portal for vendors to choose from a list of available training slots. This would also be applicable to existing vendors renewing their WIC contracts.	A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 11.1.5	The portal shall maintain different types of application packages based on type of store (Grocer/Pharmacy/Farm etc) as well as type of application (New/Renewal/Multiple store under currently authorized WIC ownership).	Mandatory	Vendors who attend the training would get access to the portal application package screens.	A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.
VM - 11.1.6	The portal shall retrieve and display the appropriate application to each vendor and allow the vendor to submit an application for a predefined period of time.	Mandatory		A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.
VM - 11.1.7	The portal shall allow vendors to submit application packages and/or price stock surveys only for a predefined period of time, similar to an open enrollment period.	Mandatory		A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 11.1.10	Ability to allow vendors to upload relevant documentation, such as Driver's License and Food License, in support of their application. The application package shall have a notes field to allow vendors to add comments such as - reason(s) for not having a valid food license etc.	Mandatory		A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.
VM - 11.1.11	Ability to generate digitally signed (by the state) vendor agreements based on vendor types and provide this to vendors.	Moderate	The State is currently awaiting approval from the Auditor's office for using attestations instead of signatures on vendor contracts. In the meanwhile, vendors would print the vendor contract, sign it, scan, and upload/send the contract to the State WIC office.	A custom CT WIC Vendor Portal needs to be built, with functionality for accepting applications, price stock surveys and support for specific vendor actions such as training date selection, stamp confirmation, etc. An interface needs to be built between the MIS and the vendor portal for data synchronization.
VM - 11.3	**Vendor Portal - General Functions**			
VM- 11.3.3	Portal data shall be synced with the MIS system for data consistency. Vendors who have been terminated shall not be allowed access to the portal post termination.	Mandatory	Login ID and password would be disabled.	
VM- 11.3.1	The portal shall allow the State WIC office to post and modify notifications including vendor selection criteria, minimum inventory requirements and locations of need.	Moderate	All vendor notification would be on the vendor portal with a link on the DPH WIC website indicating the website details of the vendor portal. The portal shall not contain notifications specific to each vendor.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM- 11.3.2	The system would have standard templates for most commonly used letters in English and Spanish.	Low	This would be achieved using translation software, and the quality of translation would be determined at the time of design. Examples of documents needed in Spanish include the WIC Approved Foods List. Note - the APL would be in English only.	
VM- 11.3.4	Portal shall support downloading and uploading of data, such as application package, bulletins, approved product lists,, supporting documentation for an application such as scanned copy of driver's license,			
VM - 12	**GIS Requirements**			
VM - 12.2	Ability to create a pictorial representation of WIC participants along with the locations of authorized WIC vendors across the state	Mandatory	This is accomplished via an interface with a third party software. E.g. - ESRI	
VM - 12.3	Ability to compute the distance between participant’s place of residence and the WIC authorized stores to determine if the stores are within the participants' access area.	Mandatory	Defined as follows: 0.75 miles in Urban area, 1.5 miles in a sub-urban area, and 3 miles in a Rural area.	
VM - 12.4	Ability to "add" potential new vendor locations to the map and recalculate the distance between participant's place of residence and the WIC authorized vendors	Mandatory	This is accomplished via an interface with a third party software. E.g. - ESRI	
VM - 12.6	The system shall track any manual letter dispatch in addition to email.	Mandatory	This is accomplished via an interface with a third party software. E.g. - ESRI	
VM - 12.5	The languages spoken in each store shall be viewable in the GIS on a map	Moderate	This is accomplished via an interface with a third party software. E.g. - ESRI	
VM - 13	**Support Vendor Communication**			

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 13.1	The system shall support staff correspondence to vendors including mail and/or email.	Mandatory	This shall be supported via the common communications function. Examples of vendor communication include - Selection, Non-Selection, Warning, Fine, CMP, Disqualifications, Training Invitation letters (for interactive training sessions) training documents (for vendors not receiving interactive training) bulletins, authorization renewal, vendor agreements, requests for submission of Price Stock Surveys or Purchase Invoices for the duration of an inventory audit, Infant Formula Distributors List, and any other notifications related to changes to WIC policy and procedures / agreements / regulations. A-50 stores would also receive the state-wide average prices for all commodities. (Ref. reports section) Also incl the notification letter for creating a new stamp.	Build new functionality to support sending email messages to one or more vendors

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 13.5	The system shall support electronic correspondence by email to include mass emailing to all vendors and emailing to individual vendors, chains, or peer groups.	Mandatory	For **individual mails**, the system shall allow the user to choose a template and merge data fields to create a draft letter which would be pended for approval by the vendor manager. The task would be added to the manager's daily task list. The manager would then make appropriate corrections to the letter and approve it. The system shall then send the letter to the vendor's email address. For **bulk mails**, the user would choose the list of vendors who would be the recipients of the notification, and select the type of communication. The system shall then display a draft of the communication and upon confirmation from the user, the email communication shall be sent out to the vendors selected.	
VM - 13.9	Ability to send out an email to all vendors whose contracts are coming up for renewal asking them if they would like to have their contract renewed and then include a link to the WIC website for them to choose from a list of scheduled vendor training dates and time slots if they choose to renew their contract. At the end of a predefined number of days the system shall send out a follow up note to vendors who have not responded to the initial request.	Mandatory	The number of days of advanced notice that shall be given to the vendor for renewal shall be configurable by the business users.	
VM - 13.10	Ability to mark letters as Pending Approval and to dispatch them once they have been approved by the Vendor Manager(s).	Mandatory		Role base security needed for generation and approval of vendor letters

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 14	**Infrastructure / Hardware Requirements**			
VM - 14.1	The system shall have the ability to import commodity prices from a hand held price scanner (used by the on-site monitor)	Moderate	Refer to VM 8.3	Build an interface to an external UPC scanner device, to support export of prices from the MIS to the device and import of prices scanned into the MIS.
VM - 15	**Reminder and Follow Up Function**			
VM - 15.1	The system shall support adding follow up events with a date and time, and allow the users to "Snooze" the alert for a later date.	Mandatory		
VM - 15.2	For some predefined events, the follow up events shall be automatically set up by the system.	Mandatory	For instance, when a new store is authorized in the small store category, the system shall automatically add a follow up event for a date 4 months from the date of authorization, to remind the vendor management team to analyze the store for a potential A-50 status. Another example is a follow up reminder for an inventory audit.	
VM - 15.3	Each day, the system shall generate a Daily task list for each user based on follow up dates assigned earlier. Some tasks shall appear automatically on the task list such as letters pending approval, etc.	Mandatory		
VM - 16	**Reports**			
VM - 16.1	Approved Foods	Mandatory	Lists and describes all foods authorized for use in the State agency's WIC Program. This shall include approved infant formulas.	
VM - 16.2	Approved Food Packages	Mandatory	Lists and describes the food packages for each category of participant.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.3	Food Category/Subcategory Table	Mandatory	List of all food categories and subcategories.	
VM - 16.4	Food Price List	Mandatory	Lists foods at the Category/Subcategory level and their maximum prices allowed by peer group.	
VM - 16.5	Price Stock Survey Reports	Mandatory	Every time a new price stock survey is entered, the price index for the group shall be re-calculated. The system shall flag the vendor management team for all vendors exceeding the peer group maximum and indicate the difference in prices.	
VM - 16.6	Price Stock Survey comparison reports - Compare multiple price stock surveys for a specific vendor, over time, to analyze trends	Mandatory	Comparison of historical price stock surveys	
VM - 16.7	Vendor Ranking Report (based on prices charged)	Mandatory	The report shall also notify the state of any authorized vendors who do not have a valid price stock survey.	
VM - 16.8	Price per Food Item per store	Mandatory	Lists the actual prices charged	
VM - 16.9	Price per Food Item per peer group	Mandatory	Lists the actual prices charged	
VM - 16.10	Vendor Pricing Criteria Calculation Results Report	Mandatory	Including weight assignment for different products. This may be an internal calculation based on pre-defined formulas for assigning weights, and not necessarily a separate report.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.11	Highest / Lowest Vendor Prices per product	Mandatory	Shows 25 highest and lowest prices. (Can this be a subset of report 11.8 - Price per Food Item per store)	
VM - 16.12	Competitive Pricing Requirements Report	Mandatory	Can this be obtained from 11.8 and 11.9 (Price per Food Item per store and Price per Food Item per peer group)	
VM - 16.13	Estimated Food Redemption Values	Mandatory	Provides data at the Category/Subcategory level on the estimated value for each food type by peer group. **See FM 5.5**	
VM - 16.14	List of State Approved Food Instrument Types including descriptions **(N/A for EBT)**	Mandatory	Lists all food instrument types. **See FM 5.6**	
VM - 16.17	UPC Database for WIC Authorized Foods	Mandatory	Lists and describes all foods with their UPCs that are authorized for issuance according to the standard category/subcategories. The system shall provide a hard copy and electronic file. **See FM 5.9**	
VM - 16.18	Food Item List with Maximum Allowed Amounts	Mandatory	Lists all approved foods maintained in the UPC database and their maximum prices allowed by peer group. (Max price per food item per peer group). **See FM 5.10**	
VM - 16.19	Lost And Stolen Food Instruments By Local Agency	Mandatory	Provides a list of food instruments that have been reported as lost or stolen.	
VM - 16.20	Food Instruments Issued (Monthly)	Mandatory	A list of food instruments issued during a month period for use in reconciliation.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.21	Electronic Benefits Issued (Monthly)	Mandatory	A list of benefits via EBT issued during a month period for use in reconciliation.	
VM - 16.22	Max Price by Check Type per peer group (excluding A-50 stores) **(N/A for EBT)**	Mandatory	Lists the maximum price per check type per peer group	
VM - 16.23	Max Price by Check Type for and A-50 store **(N/A for EBT)**	Mandatory	Based on the state-wide average price for a check type	
VM - 16.24	Rebate Report	Mandatory	Lists all redeemed foods that are eligible for a rebate (e.g., infant formula or infant cereal).	
VM - 16.25	Infant Formula Purchases	Mandatory	Totals the amount and value of all redeemed infant formula food instruments by type and form.	
VM - 16.26	Food Instrument Reconciliation Report	Mandatory	Lists the disposition of all food instruments issued and final redeemed value or designation as void – unissued, void-expired, or void-unclaimed.	
VM - 16.27	Food Instrument Rejection Reports by Vendor	Mandatory	Provides a listing of specific food instruments that the system has rejected for payment and the reason for each rejection. The report would include all rejections for both pre-payment and/or post-payment screens.	
VM - 16.28	Redeemed But Not Issued	Mandatory	Lists all food instruments without an issuance record by local agency for use in locating a certification record for investigation.	
VM - 16.29	Redemption Value by Issue Month	Mandatory	Provides the actual redemption value by month of issuance for all food instruments.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.30	Summary Food Instrument Redemptions by Vendor	Mandatory	Provides the value of food instrument redemption broken out by vendor. (Note - Similar to the Pricing by Check Type Report used in CT WIC. Current format of this report provides the check number and paid amounts for all checks redeemed per store.) The report shall be able to provide redemption information for a given number of months.	
VM - 16.31	Average Redemption Value per food instrument for all vendors in a peer group **(N/A for EBT)**	Mandatory	Provides the average redemption amount for each food instrument per peer group	
VM - 16.32	Redemption Value by Issue Month	Mandatory	Provides the outstanding estimated redemption values and actual redemption value by month of issuance for all household food benefits.	
VM - 16.33	EBT Reconciliation Report	Mandatory	Lists the issued food benefits (by food category/subcategory) versus the redeemed food benefits (by food category/subcategory) by month.	
VM - 16.34	Monthly Food Obligations and Redemption Report	Mandatory	Lists monthly food obligations (by food category/subcategory) versus monthly food redemptions (by food category/subcategory) by local agency.	
VM - 16.35	Inventory Status Report- Serialized Item Stock	Mandatory	Provides status of serialized items in storage and shipped to local agencies.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.36	Compliance Summary Report	Mandatory	Lists the vendors scheduled for compliance buys with data on the vendor's name, address, history of past violations, high-risk indicators, past routine monitoring visits and date planned investigation and assigned investigator.	
VM - 16.37	List of Authorized Vendors By Identification Number	Mandatory	Lists all vendors authorized by the program with key information (e.g. name, address, type, date authorized, etc.).	
VM - 16.38	List of Authorized Vendors By Peer Group	Mandatory	Lists all vendors authorized by the program with key information (e.g. name, address, type, date authorized, etc.) grouped by peer group.	
VM - 16.40	List of WIC A50 Vendors	Mandatory	List of all vendors shall WIC sales equal to or in excess of 50 percent of their food sales.	
VM - 16.41	A-50 Report	Mandatory	Listing all the potential A-50 stores from both the TIP report as well as new stores authorized in the previous 6 months, along with the WIC sales as a percentage of the total food sales in the store. The report shall also indicate the most recent list of A-50 stores to determine if any may lose the A-50 status based on new sales information. The report shall also indicate the new vendors authorized during the previous six months (from the date when the A-50 determination is being made).	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.42	Average Food Instrument Redemption Values Excluding WIC A50 Vendors	Mandatory	Provides data on the average redemption value of food instruments for all authorized vendors excluding WIC A50 vendors.	
VM - 16.43	Average Food Instrument Redemption Values WIC A50 Vendors Only	Mandatory	Provides data on the average redemption value of food instruments for all authorized WIC A50 vendors.	
VM - 16.44	Average Food Instrument Redemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding the WIC A50 Vendors	Mandatory	Provides data on the average redemption value of food instruments for all authorized vendors excluding WIC A50 vendors compared to all authorized WIC A50 vendors.	
VM - 16.45	Average Food Item Redemption Values Excluding WIC A50 Vendors	Mandatory	Provides data on the average redemption value of UPCs for all authorized vendors excluding WIC A50 vendors.	
VM - 16.46	Average Food Item Redemption Values WIC A50 Vendors Only	Mandatory	Provides data on the average redemption value of UPCs for all authorized WIC A50 vendors.	
VM - 16.47	Average Food Item Redemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding the WIC A50 Vendors	Mandatory	Provides data on the average redemption value of food items for all authorized vendors excluding WIC A50 vendors compared to all authorized WIC A50 vendors.	
VM - 16.48	A-50 Report - containing the following fields - a) Number of checks redeemed per check type by the A-50 stores b) Average price charged on the checks redeemed by the A-50 stores c) The standard deviation in price on the checks redeemed by the A-50 stores	Mandatory		

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
	d) Number of checks redeemed per check type by the regular stores e) Average price charged on the checks redeemed by the regular stores f) The standard deviation in price on the checks redeemed by the regular stores g) Number of A-50 stores that redeemed the particular check type h) Number of regular stores that redeemed the particular check type i) Difference between the average prices charged by A-50 and regular stores for each check type j) Percentage over (or under) - Price charged by the A-50 stores in comparison to the price charged by the regular stores k) Total Dollar difference between the price charged by A-50 stores and the price charged by the regular stores.(Calculated as: Average difference in prices X Number of A-50 stores redeeming the check type)			
VM - 16.49	Listing of WIC/Food Stamp Program Dual Disqualification Report	Mandatory	Lists all vendors that FSP has disqualified and sent to WIC and the action taken by WIC. It would also list the vendors WIC disqualified and sent to FSP.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.50	High Risk Vendors Report	Mandatory	Lists all vendors designated as high-risk, the reason for high-risk identification. The report shall include - percentage of food instruments redeemed by each vendor that exceed the average value for vendors within the same peer group and shall array the vendors by location to facilitate the scheduling of compliance investigations. CT Requirements – High-Risk Analysis report shall include stores where the redemption per cash register is more than $10,000 per month for any given month, indicating which stores have had an investigation recently, the status of the investigation, date of closure if any, stores with over 75% of any specific food instruments redeemed at the same price, stores against whom complaints have been received.	
VM - 16.51	Random list of a predefined percentage of vendors who do not have any compliance investigation pending	Mandatory	The random listing of a predefined percentage of vendors would be used for on-site monitoring of vendor stores per State guidelines.	
VM - 16.52	Routine Monitoring Schedule Report	Mandatory	Lists the vendors scheduled for monitoring visits with data on the vendor’s name, address, history of past violations, high-risk indicators, past routine monitoring	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
			visits and date planned for the visit.	
VM - 16.53	Summary of CMPs Due and Paid to Date	Mandatory	Tracks all vendors that were issued CMPs, the date of the CMP, the reason for the CMP in lieu of another sanction, and the amount collected from the vendor. (Similar to the Delinquent Notices Report)	
VM - 16.54	The Integrity Profile (TIP) Report	Mandatory	Provides required data for annual TIP report. FNS requires that all State agencies submit an annual TIP report, which provides vendor characteristics, training, compliance activities, and sanctions.	
VM - 16.55	Vendor Applications Report	Mandatory	Lists all vendors that have applied for and are under consideration for WIC authorization. This report would display the basic vendor characteristics provided on the vendor application.	
VM - 16.56	Vendor Attendance at Training Sessions	Mandatory	Provides a listing of vendor training activities and the vendors that attended as well as those that did not and need to reschedule training.	
VM - 16.57	Vendor Authorizations Actions Scheduled and Completed	Mandatory	Outlines the steps needed to complete vendor authorization and whether each step has been completed for each applicant vendor.	
VM - 16.58	Vendor Complaint Log	Mandatory	Logs all complaints received about vendors, date received, complainant information and action taken.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.59	Vendor Compliance History	Mandatory	Consolidates all education, monitoring, and compliance activities for each vendor.	
VM - 16.60	Vendor Sales Analysis Report	Mandatory	Summarizes the data from a record audit. It would list the foods audited, the vendor food purchase invoices for those foods, and the total WIC redemptions for those foods.	
VM - 16.61	Vendor Sanction and Appeal Summary Report	Mandatory	Lists all vendors that the State agency has sanctioned and the vendor has appealed. It would have the date of appeal, status of appeal, hearing date, and outcome of the hearing.	
VM - 16.62	Vendor Sanction Summary Report	Mandatory	Lists all vendors with sanctions and describe the violation, the sanction imposed (warning, disqualification, CMP) and date the vendor was advised of the sanction.	
VM - 16.63	Vendor Selection Assessment	Mandatory	Lists all applicant vendors and the selection factors used to determine authorization, including shelf/bid prices of supplemental foods.	
VM - 16.64	Redemptions after Disqualification Report	Mandatory	The report shall detail all the redemptions by a disqualified vendor, starting from one day ahead of the last date that the vendor stamp shall have been used. Ideally, there shall be no redemptions after the last date that the stamp shall be used.	
VM - 16.65	Vendor Training Schedule	Mandatory	Provides a calendar of upcoming vendor training activities and the vendors scheduled to attend.	

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
VM - 16.66	Vendors By Peer Groups	Mandatory	Lists all vendors according to their peer group assignment.	
VM - 16.67	Ability to maintain a list of authorized Infant Formula Distributors	Mandatory		
VM - 16.70	Renewals Pending Report	Mandatory	Report on vendors whose authorizations are due for renewal in a given period of time.	
VM - 16.39	Report on Vendor Locations, grouped by addresses to help in choosing stores for compliance buys.	Moderate	This can be obtained from List of Authorized Vendors by Peer Group and List of Authorized Vendors by Identification Number.	
VM - 16.15	Estimated Food Instrument and Maximum Values	Low	Provides data on the estimated value for each food instrument type and the maximum value for that food instrument by peer group. (Same as Max Price per check type per peer group used currently in CT.) The report shall also include average per peer group and state-wide average food prices. **See FM 5.7**	
VM - 16.16	Estimated Redemption Value for Food Instruments Issued	Low	Lists by month of issue, all food instruments issued and their estimated redemption value by peer group. The system shall array the data by local agency and total for the State agency. **(N/A for EBT). See FM 5.8**	
VM - 16.68	Flag all stores that exceeded the peer group maximum, and create a report indicating the new stores on the list.			
VM - 16.69	Ability to create an assignment sheet containing store demographics, procedures to be followed for the compliance buy			

9. Scheduling

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
SCH - 1	**General Features**			
SCH - 1.4	The scheduling function shall support an interface with a general notification function to notify participants of upcoming appointment (mail, email, telephone auto-dialer, text msg)	Mandatory		Utilize General Notification system to generate notice via their preferred form of communication
SCH - 1.6	The scheduling function shall support Vendor Management activities by scheduling vendor education classes, monitoring investigations / compliance buys, price survey visits, record audits, and rebate contract negotiations.	Mandatory		Add staff / general vendor management resource to schedule. Allow multiple activities to be scheduled for the same time - Consider use of Outlook to maintain schedule
SCH - 1.7	The scheduling function shall notify participants of changes in scheduled appointments and education classes	Mandatory		Utilize General Notification system to generate notice via their preferred form of communication
SCH - 1.8	If there is any change in schedule affecting one or more staff members, the appropriate staff persons shall be notified via email about the change.	Moderate		Email notification of rescheduled event
SCH - 1.13	The Scheduling Function shall clearly indicate the high-risk clients as part of the Daily Roster.	Mandatory		When displaying schedule, check participants for high-risk and flag those that are on the displayed schedule
SCH - 1.15	While scheduling an appointment for one or more members of a family, the system shall allow the user to specify the type of appointment for each individual and this information shall be viewable in the daily schedule.	Mandatory		Drop down to choose the type of appointment for each participant when scheduling an appointment for a family
SCH - 2	**Maintain Master Calendar**		The master calendar establishes the appointment days, times, and availability for the entire clinic or local agency.	
SCH - 3	**Manage Appointments**			

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
SCH - 3.1	The system shall provide the users the ability to reschedule appointments along with a note stating that the original appointment was rescheduled and the reasons thereof.	Moderate	Maintain history of all appointments	Create new record for rescheduled appointment and flag original record as rescheduled
SCH - 3.3	System shall accept participant appointment preferences. The Scheduling Functions shall check for appointment availability at particular time and date that meet preference parameters and present viable options or allow staff members to search the available schedule	Moderate	The system could accept preferences for an appointment. The preferences may include such parameters as time of day, day of week, language, linkage with other family members, and linkage with other services (such as a prenatal or well-child appointment). Once the preferences are entered, the appointment scheduler shall suggest available appointments that match the preference criteria.	enhance scheduling function to look-ahead for appt availability based on participant preference day and time
SCH - 3.14	The Scheduling Function shall support the capture of walk-in and the number of cancelled appointments.	Mandatory		Report of daily walk ins
SCH - 4	**Perform Mass Scheduling**			
SCH - 4.1	The Scheduling Function shall allow the user to select a day, time, or event and reschedule all appointments for another day, time, or event	Mandatory	Clinics may need to reschedule all appointments on a certain day or at a certain time due to conflict, availability of staff, or adverse weather conditions.	Enhance MI-WIC scheduling function to support Mass-rescheduling
SCH - 5	**Generate Appointment Notices**			
SCH - 5.1	The Generate Appointment Notices Function shall support the delivery of notices of appointments to participants and vendors via their preferred method of communication	Mandatory	Participant / Vendor communication preference shall be captured during intake and shall be used to determine the mechanism by which the participant / vendor shall be notified (US Mail, Email, Telephone, or Text Message)	

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
SCH - 5.6	The Appointment Notification Function shall support the maintenance of appointment notice templates that can be automatically filled with specific information related to a participant, as necessary and printed out for delivery to the participant	Mandatory	Vendors shall not be included. Delivery is via the preferred method of communication (email, mail, hand out)	
SCH - 5.8	The Appointment Notification Function shall support the emailing of notifications to participants / vendors	Mandatory		Addressed by generalized notification function
SCH - 6	**IVR System and Auto Dialer**		Following are requirements for Auto-Dialer / IVR systems that support notification functions	
SCH - 6.4	Maintain a call log for each day.	Mandatory	General notification functionality shall support this function	Call Log Report from autodialer system - not a WIC-MIS function
SCH - 7	**Reports**			
SCH - 7.2	Appointments Kept vs. Missed Summary Report	Mandatory	Track incidences of missed appointments.	Enhance current report
SCH - 7.6	Missed Appointments- Pregnant	Moderate	Reports pregnant women who miss their first certification appointment. Shall include contact information so that staff can try to reschedule/make contact.	New Report
SCH - 7.7	Missed Appointment Report	Moderate	Lists the participants who missed an appointment and can be used for follow-up. Can be individual or aggregate. **7/8/13**-Both individual and aggregate reports would be good.	
SCH - 7.8	Nutrition Education Class Attendance Report	Mandatory	Reports attendance at specific nutrition education class.	New Report
SCH - 7.9	Nutrition Education Class Report	Mandatory	Reports information about a specific class, related to certification period and as a percent of caseload, by group or individual contacts. Provides detail and summary information.	New Report

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
SCH - 7.10	Upcoming Appointments Report	Mandatory	Lists upcoming clinic appointments for use by WIC staff in order to schedule resources appropriately.	New Report
SCH - 7.11	Upcoming High-Risk Appointments Report	Mandatory	Lists upcoming high-risk appointments for the use of WIC staff in order to schedule resources appropriately.	New Report
SCH - 7.12	Vendor Attendance at Training Sessions	Mandatory	Provides a listing of vendor training activities and the vendors that attended as well as those that did not and need to reschedule training.	New Report

10. System Administration

Requirement Identification Number	Functional Requirement Description	Importance	Comments	Implementation Approach
SA - 1	**Reports**			
SA - 1.6	New User ID Report	Moderate	Confirms the establishment of new users in the system	New Report - users added and deleted, user responsibilities

11. EBT Readiness

Requirement Identification Number	Functional Requirement Description	Importance	Comment	Implementation Approach
EBR - 3.1	**Retrieve Benefit Issuance File**			
EBR - 3.1.1	The EBT Reconciliation Function shall initiate the reconciliation process by retrieving the daily file of redeemed EBT benefits	Mandatory	Interface shall be modified to address CT's selected EBT processor's interface	Design in accordance with 3rd party processor specification

Attachment 4A – Functional Requirements (Major Gaps)

12. Food Prescription and Allergies

Requirement Identification Number	GAP	GAP Description	Implementation Approach
Food Prescriptions and Allergies			
CERT- 7.14	Food Allergies - Participant	Connecticut currently captures participant food allergies (Peanut, Dairy, Eggs, Soy)	1. Enhance current process of gathering participant health information to capture specific allergies - could be done via a set of check boxes, one for each allergy indicated. 2. Add data items to participant's health data to hold allergy information for later use, e.g. food prescriptions.
CERT- 15.4	Food Prescription	Assign Prior Months Prescription	Enhance Food Prescription to allow user to prescribe prior months prescription
CERT- 15.3	Food Prescription	Start with Core Package	Allow user to start with a selected core package
CERT- 15.2 CERT- 15.3 CERT-15.7 CERT-15.8 CERT-15.9	Food Allergies - Food Prescription	Adjust food prescriptions to remove allergic foods from the prescription and to substitute other foods to complete the participants nutrition package	1. Add additional information to food item record to indicate that the item is to be removed from the food prescription if the participant has a related food allergy. 2. When displaying food prescription items also show items that have been removed because of allergies. 3. Display allowable substitution items and quantity for food item that has been removed from prescription and allow nutritionist to select an appropriate substituted food item for the removed food item. 4. Allow under issuance of a food item 5. Calculator for quarts of milk and "dangling quart"

13. General Notification Functions

Requirement Identification Number	GAP	GAP Description	Implementation Approach
General Notification Function			
CERT- 11.6 SCH- 1.4 SCH- 1.7 SCH-5.6 SCH- 6.4 VM 13.1 VM 13.5 VM 13.9	General Notification Function - Message / Communication Creation	Evaluated systems have limited functionality to notify (Mail, Voice Mail) participants of upcoming appointments or events and no functionality to support outgoing communication to vendors. A common mechanism is needed to support the generation and delivery of messages to participants (upcoming appointments, missing documents, missed appointments, and general notices) and vendors. The function shall support the creation and delivery of the message.	1. Function shall utilize tagged templates to generate "tailored" message / communication.
			2. Function shall provide participant / vendor id for which the message / communication is being prepared for.
			3. Function shall access participant / vendor record to obtain information needed to complete the message fields.
			4. Function shall support the creation of a "manual" message allowing the user to enter free text or paste text into a message window.
SCH 5.1 SCH-5.6 SCH 5.8 SCH-6.4 VM 13.1 VM 13.5	General Notification Function - Message / Communication transmission	Capture participants preferred communication method (email, US Mail, telephone, text message). Preferred method for vendors is email except for document that must be sent via US Mail	1. Date entry and participant record fields shall be added to participant demographic screen and record to capture and store preferred communication method and information needed to send the communication (email address, mail address, telephone number, text message number).
			2. Vendor documents that must be sent by US Mail shall be flagged to indicate this restriction.
			3. Message/Communication/Document shall be forwarded to the participant / vendor via the indicated electronic / telephone method (email - SMTP, text mailer, telephone).
			4. Outgoing telephone messages shall be interfaced to the DPH auto dialer for transmission.
			5. Communications being sent via US Mail shall be printed on a selected printer and shall support the printing of a mailing label.
			6. Update participant / vendor record with the date / time the message / communication was sent
			7. Format message for transmission via selected method.
			8. Support communications with WIC Vendors (Individual and bulk mailings)

14. General & Vendor Management Alert Functions

Requirement Identification Number	GAP	GAP Description	Implementation Approach
General Alert Function			
VM 15.1	General & Vendor Management Alert Function	Function that shall allow user to enter an event for alerting user of the event at a future date	1. Alert function shall enable user to enter description of event, date the user is to be notified of the event, date of the event, and the user roles that are to receive the notification. Notification shall occur until the date of the event is past
VM 15.3			2. Alert function shall monitor the event table and upon login of user shall notify them of upcoming events.
VM 15.3	General & Vendor Management Alert Function - Alert Creation	Support the manual and automated creation of staff alerts	1. Maintain a table of event/alert messages that shall be used to populate an active alert table that is used to display active alerts to users upon login.
VM 15.1			2. Support the creation of a manually generated alert that shall contain the alert time and the date the alert is to become active and the period of time the alert is to remain active
			3. Support the editing of active alerts to modify message or active period
			4. Enter date alert is to be presented to user and duration
			5. Enable user to manually disable alert
VM 15.3	General & Vendor Management Alert Function - Alert Presentation		1. Display page of active alerts to user upon log-in and allow user to selectively deactivate alerts
			2. Support the display of active alerts by a user and allow the user to selectively deactivate active alerts (alert would no longer be displayed and would be removed from the users list of active alerts.

15. Finance – NSA Budgets and Costs

Requirement Identification Number	GAP	GAP Description	Implementation Approach
NSA Budgets & Costs			
FIN-3.1, FIN- 3.6	NSA Cost and Budget	No functionality exists to capture Local Agency NSA costs and budgets.	Implement a set of screens and tables that shall support the creation of State and Agency NSA Accounts, enable users to enter financial entries and adjustments, open and close accounting periods, create budgets, and track expenditures against budget.
		A function (supported by spreadsheets and pivot tables) is needed that shall enable an LA to create and submit a budget in consistent manner that shall support their review and approval by the	
FIN- 3.10		A Function (supported by spreadsheets and pivot tables) is needed that shall allow LA's to enter and submit monthly costs in a consistent manner across all agencies	
FIN-7.20		Functionality is needed that shall enable the State to create a consolidated view of NSA budgeted expenses for review and analysis	
FIN- 7.17, FIN- 7.26		Functionality is needed that shall enable the State to create cost-budget analysis reports at an LA and consolidated level	
FIN-7.1		Functionality is needed that shall support the creation of 798 and other financial reports for submission to FNS	

16. Interfaces

Requirement Identification Number	GAP	GAP Description	Implementation Approach
Interfaces			
VM- 12.2	Interfaces	Interface to GIS to geocode participant and vendor locations	Bidirectional interface to support analysis reports and geocoding of participant and vendor addresses
CERT- 4.6		Interface to DSS eligibility database to verify adjunct participation in SNAP, Husky, Etc	Link to DSS eligibility to assess adjuct participation in identified programs

Requirement Identification Number	GAP	GAP Description	Implementation Approach
FIN- 6.1		Interface with CORE for issuance of manufacturer rebate invoices	Outbound file to CORE containing manufacturer and rebate information needed for invoicing
FIN- 6.1		Interface with CORE to import and post to database manufacturer rebate payments	Inbound file from CORE to obtain vendor rebate payments
		Import of EBT Payments to support Max Price calculation	Interface with EBT processor to obtain EBT Benefit payments
VM 14.1		Interface with handheld scanner to import vendor UPC - PLU code, item price, and shelf quantity. Also the ability to upload current vendor item code and price for comparing prices while in store	

17. Inventory Management

Requirement Identification Number	GAP	GAP Description	Implementation Approach
Inventory Management			
OPER- 10.2, OPER- 10.3	Inventory	Data structure and screens are needed to capture inventory description, replenishment level, current level, serial numbers, shelf life / expiration date, date received, quantity received, quantity issued, date issued	Generalized Inventory and tables to support the creation of inventory items, posting of item quantities, mortgaging of inventory items, tracking reorder points, and report of inventory levels and usage
OPER- 10.8, OPER-10.9, OPER- 11.5, OPER-11.6, OPER-11.7, OPER-11.8, OPER 11.18		Report of inventory levels and replenishments	

18. Program Monitoring

Requirement Identification Number	GAP	GAP Description	Implementation Approach

Requirement Identification Number	GAP	GAP Description	Implementation Approach
Program Monitoring			
OPER- 8.1	Monitoring Reports	Screen and database fields needed to document Monitoring Report Findings	Data needed includes Agency, Date of Monitoring Visit, Purpose of visit, summary of findings (allow cut and paste of purpose and summary from other document). Enable user to display records of prior monitoring visits by Local Agency
OPER- 8.2		Capability to attach Monitoring Reports to Local Agency Monitoring Record	Allow documents (word, pdf, etc) to be attached to monitoring visit records
			Report of Monitoring visit

19. Vendor Portal

Requirement Identification Number	GAP	GAP Description	Implementation Approach
Vendor Portal			
VM- 11.1	Vendor Portal	A vendor portal is required to support: 1. The Vendor Application Process 2. Posting of notices and events for vendors	
VM- 11.1.1	Vendor Portal - Vendor Application Process		
VM- 11.1.4, VM- 11.3.1	Vendor Portal - Notices and Events		

20. Vendor Monitoring

Requirement Identification Number	GAP	GAP Description	Implementation Approach
Vendor Monitoring Visit			
VM- 8.2	Vendor Monitoring Visit	Screens and database to document the vendor, date of monitoring visit, type of monitoring visit, reason for visit, free text entry of summary findings,	Screens and database to document the vendor, date of monitoring visit, type of monitoring visit, reason for visit, free text entry of summary findings
VM- 8.2		Support the attachment of monitoring report to monitoring visit record	Support the attachment of monitoring report to monitoring visit record
VM- 16.52			Report of Monitoring Visits

21. Vendor Sanctions and Appeals

Requirement Identification Number	GAP	GAP Description	Implementation Approach
Vendor Sanctions and Appeals			
VM- 9.1	Vendor Sanctions and Appeals	Document Sanction Hearings	Capture Vendor, Date of Sanction, Date of notification, Reason for Sanction, include data on SNAP sanctions, if available
			Attach notice to vendor of hearing
			Capture hearing findings
			Capture amount of Fine
			Flag as disqualified if that is finding
VM- 9.3		Document Appeal	Capture Vendor, Date appeal petition received, date of appeal hearing
			Capture findings of Appeal
			Attach scanned image of vendor's submitted appeal to record

22. Porting of Database to MS SQL Server

Requirement Identification Number	GAP	GAP Description	Implementation Approach
Conversion to SQLServer from Oracle			
	Database conversion from Oracle to SQL Server		
	Report conversion from Oracle to SQL	118 current reports	Implementation Estimate

Proposers shall provide a detailed project implementation plan based on the following Statement of Work (SOW) that includes:

- Each task
- Party responsible for the task
- Level of resource required to complete the task
- Estimated number of days required to complete the task
- Milestones within the overall plan

1 Statement of Work

1.1 Goals/Objectives

The goal of this project is to transfer with minimal modifications the MI-WIC CMS and implement it statewide in Connecticut (Refer to Deliverables Functional Requirements to access more information about MI-WIC and the State's proposed modifications). The WIC program goals expected to be met through the implementation of the new System include:

- Replace Connecticut's current mainframe MIS, SWIS, which is not EBT ready.
- Provide WIC System users with improved and enhanced functionality, thereby increasing productivity, efficiency and streamlining processes.
- Improve service to participants.
- Improve the accuracy of data and reports.
- Reduce the amount of paperwork currently used in the clinic workflow, as well as paperwork maintained in files.
- Improve staff efficiencies allowing staff to perform data entry on demand, rather than performing data entry after a client contact.
- Achieve compliance with federal regulations, policies, and guidance.
- Position the State for the implementation of EBT.
- Interface with programs such as Medicaid to verify eligibility to increase efficiency.
- Readily accessible manual both computer and policy/procedure for access through the certification process.
- Reminder appointment dial-up calls.

1.2 Description of Components or Phases

The project shall consist of the following phases that include the high-level tasks listed in *Table 1*:

Table 1	
Phase	High Level Task
Requirements	• Review and revalidation of requirements from RFP

Table 1	
Phase	High Level Task
Design	• Project Initiation • Final Workplan • System Requirements Document • Planning Documents • Gap Analysis
Development	• Business Process Review/Policy Adjustment • System Modification, Technical Testing, and Revisions • Site Readiness Checklists • Equipment Procurement (Pilot) • Operational Planning, Documentation, and Training Materials • Central Operations Preparation • User Acceptance Testing
Pilot Operations	• Training (Central Office- BEST) • Training (Pilot Agencies and State staff) • System Pilot Test- 3 Month • Pilot Evaluation and System Modification/Retesting
Statewide Rollout	• Equipment Procurement (Servers) • Statewide Training • System Rollout • System Documentation – including transfer packet for other state transfers.
Maintenance	• Initial 1 Year Warranty • Optional Extended Warranties for years 2-4

As part of the response to the RFP, Proposers shall provide detailed descriptions of all planned activities and timeframes related to these project phases. In addition to a detailed narrative about each proposed task and activity, Proposers shall include in their proposal a schedule of proposed work, including Gantt charts illustrating project milestones and dates or timeframes for Contract Deliverables.

1.3 Scope of Components or Phases

The information in this section presents tasks and activities to be Performed by the Contractor. The Contractor shall Perform these services to provide a transfer System with Connecticut's modifications that is implemented statewide. The Proposer shall address each task and activity in this section and provide their approach and methodology for accomplishing the tasks and activities and developing the stated Deliverables.

The State prefers an agile, or iterative, development process. Proposers are encouraged to identify ways in which the required tasks and Deliverables shall be accomplished using this methodology.

The Contractor shall deliver all reports and other written Deliverables to the State Project Manager, who shall disseminate the information to the approval authority, which is the Steering Committee. Other planning tasks and non-written Deliverables shall be Performed in coordination with the State Project Manager.

Written Deliverables shall be submitted electronically in draft form for review by Connecticut staff and the WIC Program Project Coordinator (as appropriate). Final products shall be submitted after receipt of Connecticut's comments and in appropriate quantities and format[1] for implementation and System operation purposes.

The Contractor shall submit monthly status reports to USDA. These reports shall include progress for the reporting period, anticipated tasks for the next reporting period, a summary of activities specific to the project phase (to include progress in obtaining requirements, development, all forms of testing being conducted, and pilot/implementation activities). The Contractor shall provide minutes from all scheduled meetings with the State of Connecticut. Minutes shall include: documentation of attendees, summary of discussions, summary of decisions, and action items that include assignments and due dates.

1.3.1 Design Activities

Design activities set the foundation for the System and services needed and include the planning deliverables that document how the project shall take place.

1.3.1.1 Project Initiation

The project initiation subtask allows the Contractor to meet with the State to set the foundation for the project and confirm expectations for Deliverables and the operation of the project. It is also expected that the Contractor shall conduct a site visit to the State Office and at least one clinic location (in the Hartford area) to observe current Connecticut operations.

The Contractor shall provide an agenda for review by the State Project Manager for the Project Initiation Meeting. After the meeting, the Contractor shall deliver a technical memorandum documenting all agreements, understandings, and contingencies arising from the Project Initiation Meeting.

[1] Some documents, such as training manuals and UAT test scripts, are required in hard copy format. See further for more information.

1.3.1.2 Final Work Plan and Schedule

The Contractor shall deliver a final master work plan, including Gantt charts and a project calendar prepared using Microsoft Project. The master work plan shall reflect any changes from the plan submitted with the Contractor's proposal that were discussed and agreed to during the project initiation meeting. The work plan shall be maintained throughout the life of the project and updated as necessary by the Contractor to reflect the accurate status of the project, including completed tasks.

1.3.1.3 Gap Analysis

The gap analysis is the activity in which the State reviews the design and functionality of the System in great detail to ensure that the System functions are acceptable to the State's needs. Any necessary modifications are documented at this time. This is also the stage at which the detailed requirements for the identified modifications (Oracle to SQL Server conversion, branding, etc.) shall be documented.

The Contractor shall lead all design validation sessions; the Contractor shall determine, with concurrence by the State, how many design validation sessions are required to obtain the information required for this task. The purpose of these sessions is to provide the State with the information needed to do a cost-benefit analysis of proposed modifications to the MI-WIC System. The Contractor shall document any requested modifications and provide a cost analysis and the scope of each modification. The State shall determine whether or not to pursue each System modification based on this information. The validation sessions shall be included in the work plan and the modification proposal documentation placed in the Final System Requirements Document (FSRD).

1.3.1.4 Implementation, Change Management, Training, and Security Plans

The Contractor shall deliver written plans to describe, in detail, specific activities for the System transfer and implementation. The plans shall detail the Contractor's approach to System implementation (including the implementation of a pilot), change management (including System modifications and configuration management), training, and security. The plans shall include lists of detailed tasks with task descriptions, identification of responsibilities, and timeframes.

To assist the Proposers in formulating a response, the initial training plan information used by Connecticut has been included below. The Contractor shall be responsible for providing the training events described below:

- Pre- UAT Training

This onsite classroom training shall take place just prior to user acceptance testing. It shall include descriptions of how users run test scripts, procedures for documenting issues, and how follow up shall occur.

- State Program Staff

  This onsite classroom training shall take place prior to pilot. It shall instruct State-level staff on all areas of the System, including clinic processes and State-only processes. The training may be divided among program areas, such as nutrition and vendor. Training manuals shall be provided to outline the procedures needed to operate the System in the Connecticut environment.

- State WIC IT and DAS/BEST Staff

  This onsite training shall take place with technical staff and focus on the operation of the System. Training manuals shall be provided to outline the procedures needed to operate the System in the Connecticut environment.

- Local Agency Coordinators

  Because many set up features of the System shall be managed at the local level (such as user set up for access clinics and roles and scheduler templates), it is critical that the Coordinator (or designated “super-users”) have in depth training on these functions prior to pilot (for the pilot site(s)) and prior to rollout for other sites. The coordinators shall be designated to provide technical assistance to Local Agency staff following rollout activities.

- Local Agency Users

  The week prior to rollout (pilot or statewide rollout), the clinics shall close for user training and System set up (including schedule template set up or entering schedule information into the live System). The duration of the close shall depend on the training approach proposed by the Contractor, but it is anticipated to be three to five days. The training is expected to include demonstrations and hands-on exercises to ensure that staff learn the concepts necessary to operate the transfer System.

Because clients and vendors shall not use the System, training for these end users shall not be needed. Vendors accessing the external vendor interface shall receive training through the annual training methodologies already in place.

The Contractor shall provide drafts of the plans to the State Project Manager. The plans shall be approved by the Steering Committee before they can be considered final.

1.3.1.5 Final System Requirements Document (FSRD)

Using the documentation that already exists for the transfer System as a base, this transfer System document shall be updated with any identified changes from the Gap Analysis. After the design validation sessions have been completed, the Contractor shall deliver a draft of the comprehensive FSRD and continue to submit this documentation with requested adjustments until approved by the Steering Committee as final. The FSRD is anticipated to be based on existing documentation, but be updated as needed to reflect how the Connecticut System shall be implemented (i.e., Connecticut requirements and decisions shall be documented).

1.3.2 Development Activities

Please note that the State is planning to convert data from SWIS. The Contractor shall participate in data conversion activities. Most data manipulation shall be from the legacy System side, but some changes to the new System may be required to accommodate conversion of existing functions.

1.3.2.1 System Modification Initiation

The Contractor shall convene a meeting at the Connecticut WIC office to review the plans, schedules, and deliverables for the modification, testing, and implementation phases of the transfer and implementation System project. Key Connecticut staff, Project Coordinator, and CMS Contractor staff shall participate.

The Contractor shall provide an agenda for review by the State Project Manager for the System Modification Initiation Meeting. The Contractor shall be responsible for documenting minutes and action items for all meetings.

1.3.2.2 System Modification, Technical Testing, and Revisions

Based on the agreed System modifications requirements and design, the Contractor shall perform modifications to the transfer System to meet the approved Connecticut changes. Thorough documentation detailing the design decisions made to support the System modifications shall be required.

The System shall be ready for User Acceptance Testing (UAT) only after the Contractor has performed a thorough System qualification test of all System functionality, to include all of the test activities in *Table 2*. The System shall meet the State's defined System performance measures, as outlined below, to be considered ready for UAT.

Tests shall achieve the pre-determined performance criteria required for entrance to UAT. The performance standards shall be determined by the Steering Committee and agreed upon by the Contractor prior to initiating the UAT task. The Contractor is responsible for generating the test data and test cases to be used for its own System qualification test, as well as generating data that can be used for test scenarios developed by the State or the Project Coordinator (for example, loading a certified pregnant woman with a specific due date, loading an infant with a WIC history indicating he was premature, etc). Connecticut and the Project Coordinator Contractor shall develop additional test scenarios to be used during UAT.

Any testing done using the State's infrastructure shall be planned with and scheduled through WIC IT and DAS/BEST. The Contractor is responsible for generating the test data and test cases to be used for its own System qualification test as well as developing the test scripts, cases, and data to be used for UAT.

The Contractor shall perform modifications to the System using an iterative system life cycle development methodology that, in addition to the UAT, includes the following types of test activities presented in *Table 2*:

Table 2	
Test Type	Description
Baseline Test	Prior to any System modifications, the System shall require a baseline test to ensure that the transferred System operates correctly in the Connecticut environment
Unit/Module Test	This test is used to validate that an individual program module or script functions correctly. It validates the module's logic and adherence to functional requirements and technical specifications. Each unit/module test shall execute every source statement and each conditional branch in the module. Test results are recorded in the software development folder for that module.
SubSystem Integration Test	This test examines subSystems that are made up of integrated groupings of software modules. Contractor shall test SubSystem integration in the development environment. It is the first level of testing where problem reports are generated, classified by severity, and the resolution monitored and reported. SubSystem integration testing may need to be run several times for each subSystem, and is only complete when it can be run and is only complete when it can be run according to the pre-determined performance criteria established by the Steering Committee.

Table 2	
Test Type	Description
System Test	This test tests the entire System once modification and testing of all System modules and subSystems have been completed. It determines whether the System complies with standards and satisfies functional, technical, and operational requirements. The goal of testing is to confirm that both individual System modules and the entire System perform in accordance with the functional requirements and technical specifications. During this test period, System documents and training manuals must also be tested for accuracy, validity, completeness, and usability. The State shall provide some staff (which include BEST, WIC and local agency staff) to assist with document and manual testing. The software performance, response time, and ability of the System to operate under stressed conditions are tested. Also, the external System interfaces are tested. Like the subSystem integration test, this test may need to be run several times and is only complete when it runs according to the pre-determined performance criteria established by the Steering Committee.
Regression Testing	Regression testing shall retest a System component, such as a unit, module, or subSystem, following any modification to verify that the problem was corrected without adverse side effects and to ensure the component still complies with its requirements. Regression testing also refers to rerunning the entire System qualification test after errors have been corrected to ensure that unanticipated errors have not been introduced elsewhere in the System by the error correction activity.
Readiness Certification	Once the Contractor is satisfied that the System meets the functional requirements and technical specifications, the Contractor shall provide the Connecticut WIC Program with a written certification that the System is ready for UAT. The certification shall address the readiness of all modifications to the System, as well as provide a summary of the tests performed and the outcomes of the tests. This certification shall not be delivered until the System has passed all tests and the System achieves the pre-determined performance criteria.

Table 2	
Test Type	Description
Periodic Reviews	During this subtask, the Contractor shall schedule periodic reviews for local agencies in Connecticut. The Contractor shall propose the number of reviews (no less than quarterly from Project Initiation through the beginning of Pilot) required to align with the iterative development process. The purpose of these reviews is to measure overall progress and status of the System development activities. Periodic reviews shall consist of onsite, face-to face reviews supplemented by online webinars. The State shall provide facilities and equipment for the onsite reviews but expects CMS Contractor staff to lead and facilitate the sessions.

After each type of testing activity, the Contractor shall provide a summary report indicating the results of the test. Thorough testing activities are expected to take place prior to the Contractor's certification of readiness for UAT, pilot, and statewide rollout, as well as any releases, but the formal reports are only required as indicated in the deliverable requirements (or upon request).

1.3.2.3 Develop and Review Site Readiness Checklists and Provide Recommendations

The Contractor shall develop detailed checklists to be completed by each WIC local agency site (to include all clinic locations) to determine the readiness of each site for implementation of the new System. The checklists shall capture data to evaluate relevant aspects of each existing site, such as clinic layout, electrical service, telecommunications capability, minimum specifications for all equipment necessary for the efficient operation of the new System, and the ability to keep equipment and FI stock secure. The Connecticut State WIC Office and/or DAS/BEST staff shall work with the local sites to complete the checklists and submit the completed checklists to the Contractor. The Contractor shall review each of the checklists and provide Connecticut with a technical memorandum identifying any areas of concern related to the implementation of their System in any site and providing recommendations for mitigating the concern.

1.3.2.4 Central Operation Site Preparation

It shall be the Contractor's responsibility to assist Connecticut in installing and testing the software on the State's servers and ensuring that the remote sites are properly configured for the UAT. For a viable UAT, the computers in the test bed shall be connected to the actual host computer that shall be used for production.

The Contractor shall train the appropriate Connecticut WIC IT and DAS/BEST staff and provide on-site assistance for the central operation during the UAT. Approximately 20 users shall need to be trained as part of central operations training. The Contractor shall also review and provide an assessment of the State's security and disaster recovery procedures for the central site.

1.3.2.5 Support User Acceptance Testing and System Revision

The Contractor shall have primary responsibility for managing and operating the UAT; the Contractor shall be responsible for ensuring that UAT participants (State and local **Department** WIC staff) have the training, access, and testing tools (such as scripts and data) needed to perform the test. The Contractor shall provide metrics related to the success of the UAT and shall provide results regularly throughout the UAT process. These metrics shall be used by the Steering Committee to assess performance of the UAT.

Prior to beginning the UAT, the Contractor shall perform a key function System walkthrough for the Steering Committee, WIC and DAS/BEST staff. The demonstration shall perform the key functions according to the pre-determined performance criteria, examples of which include:

- Establish clinic calendar, schedule appointments (client and non-client), mark appointments as kept or missed
- Create security/user roles
- Perform client certification (including, but not limited to, creating a new client record, income eligibility, nutritional eligibility/risk code assignment, assigning food packages)
- Issue benefits
- Transfer clients and families between families and clinics
- Upload/download clinic files to and from a laptop computer (i.e., test the disconnected mode of operations)
- Authorize a new vendor
- Performing vendor management activities (including, but not limited to, tracking routine monitoring, compliance, training)
- Redeem benefits
- Print Participant Report
- Print Reconciliation Report
- Redemption/banking process
- Medicaid eligibility verification interface
- Computer and policy/procedure manual operation
- Reminder Appointment Dial-Up Calls

If the System does not achieve the pre-determined performance criteria during the demonstration, then the UAT shall not proceed.

Assuming that the key function walkthrough is completed and achieves the pre-determined performance criteria, the System shall become available to Connecticut for UAT. The Contractor shall provide training on the operation of the System, as well as proper procedures to be followed to perform the UAT, including how to run scripts and report bugs or issues. The Contractor shall be available on-site and in their development facilities for consultation and problem resolution during the entire test. As part of the UAT, the Contractor shall assist the State in installing the central site processor System.

The System as delivered by the Contractor for UAT is expected to have relatively few errors, as defined in the performance criteria that shall be established prior to initiating UAT activities. It is assumed that the UAT can be completed in two rounds—one to uncover any errors and a second to verify that any errors identified have been fixed by the Contractor and that no new errors have been introduced. Additional rounds of UAT shall be performed as necessary if any errors are uncovered in the previous round until the System is accepted by the State. It is the burden of the Contractor to manage additional rounds of UAT until the State's pre-defined performance and exit criteria are achieved. This requires that the Contractor not only fix the errors identified in round one, but also run the resulting System through their system qualification test prior to delivering it for the second round of UAT. The period of UAT is expected to be four weeks in duration, providing the above assumptions are satisfied. Because the WIC Program is adopting software that has already been tested and approved, the UAT shall focus on the modifications Connecticut is having made to the software, but shall test the entire System. For the UAT, the Contractor shall be responsible for:

- Supporting the development of a UAT plan by providing input
- Providing the UAT environment that has been certified ready for UAT based on pre-determined performance criteria (determined by the Steering Committee and agreed upon by the Contractor before initiating the UAT activities)
- Supporting the entry of data needed for testing (i.e., ensuring that pre-conditions needed for testing, as determined by the Steering Committee and Project Coordinator, are correctly inputted)
- Supporting the UAT process (i.e., providing onsite and telephone support, refreshing data at predetermined intervals, ensuring end of day and end of month activities occur as determined in the UAT plan, ensuring passage of time activities- activities in which time shall elapse to validate processes- occur as determined in the UAT plan)
- Resolving identified errors, making modifications, retesting, and providing new builds of the software as determined in the UAT plan)
- Providing metrics related to the success of the UAT and providing results regularly throughout the UAT process

The Contractor shall make all required corrections and revisions to the System resulting from the acceptance testing process. System retesting shall be conducted as required to achieve the pre-determined performance criteria until the System is accepted. If the UAT exhibits any failures in the pre-determined performance criteria, the System shall be returned to the Contractor for revisions.

The State shall also include performance testing as part of UAT. The State shall access the central host from selected locations to ensure that user access and performance are acceptable. If performance is an issue, the Contractor shall work with the State to resolve the issue as appropriate.

During UAT, the user manuals and online help shall also be evaluated. The UAT procedures shall instruct the testers to reference the user manuals or online help for directions regarding how to perform the required actions. Any inadequacies in the manuals shall be corrected prior to final acceptance of those documents by the State.

After successful completion of the acceptance test, the Contractor shall provide a formal assessment of the System's readiness for pilot implementation. The Steering Committee shall approve all System revisions resulting from the UAT. The Steering Committee shall have the final authority to make the go/no go decision to proceed to pilot based on the pre-determined performance criteria and results of the UAT.

1.3.3 Conversion Activities

The following sections outline Connecticut’s approach to conversion.

1.3.3.1 Participant Information and Prescriptions

The State plans to automate the conversion of active participants. Conversion scripts shall be a joint effort between the State WIC agency, DPH IT staff, and the CMS and EBT Contractors, who are responsible for the development and testing of import scripts used to import participant and food prescription data. The State WIC Agency shall be responsible for the development and testing of scripts used to export and cleanse participant and food prescription data from SWIS. Participants applying for re-certification, who were not among those originally converted, historical participant and prescription data shall be available for conversion. Automated conversion of these participants shall be considered on a case-by-case basis. It shall be undertaken by the DPH IT staff based on discussions with the Local Agency regarding the benefit of converting the participant’s historical information.

Participant information shall be converted on a regional basis, just prior to the Agency’s use of the System. Local Agency resources shall be utilized to assist the conversion team in the verification and validation of converted data.

1.3.3.2 Vendor Information

Connecticut WIC shall not automate the conversion of WIC vendor information from SWIS. Information related to vendors is across multiple Systems which complicates the conversion process. The State WIC Agency Vendor Management staff shall use the System to manually set up each vendor. However, some database functions shall be used to load vendor demographic information from spreadsheets, and an Access database, that shall be developed to support the setting up of vendors in the System.

1.3.3.3 Local Agency Information

Connecticut WIC shall not automate the conversion of Local Agency information. The System shall be used by the State WIC Agency users to setup each Local Agency and its associated locations. Immediately after training State WIC Agency staff shall mentor Local Agency staff in the set-up and configuration of their schedules, NSA Budgets and Expenses, and other information needed to support Local Agency and satellite clinic operations.

1.3.4 Pilot Operations

The purpose of the pilot is to verify that the System works correctly in conditions of actual use. Once the System has passed UAT and has been formally accepted, a System pilot shall be conducted in at least two local agencies. Because of the workload for clinic staff and potential of problems associated with dual issuance of benefits, it is not feasible to run SWIS and the transfer System in the pilot site in parallel during pilot; pilot agencies shall not have update access to SWIS once pilot begins[2]. Connecticut shall not proceed to pilot until it is confident that there is very little possibility of an unsuccessful outcome to the pilot. The performance standards for the pilot shall be determined by the Steering Committee and agreed upon by the Contractor prior to initiating the pilot operations task.

1.3.4.1 Pilot Operations Initiation Meeting

Following successful completion of the UAT, the Steering Committee shall convene a meeting with the Contractor's project manager, other key WIC Program and WIC IT staff, and Contractor staff as necessary. The meeting attendees shall discuss and review the project plan, schedule, and deliverables for the implementation of System pilot projects.

1.3.4.2 Central Operation and Program Support Staff Training

The Contractor shall provide any additional training to the State WIC IT and BEST staff as necessary and as identified during the UAT to meet defined success criteria. Also, the Contractor shall provide training to the State WIC Program Office staff to be able to provide adequate support throughout pilot and rollout. Following this training and the initial week of pilot, the Contractor shall provide any additional assistance to the WIC Program during the remainder of pilot remotely from their facility if all pre-determined success criteria have been satisfied.

1.3.4.3 Pilot Agencies (State Office and Local Agency/Clinic) Training

After successful completion of the UAT, the Contractor shall provide training for the staff who shall be involved in each pilot site. The Contractor shall develop training materials, which shall be approved by the State. The Contractor shall provide hard copies of all training materials needed for training all pilot users. There shall be approximately 30 users to be trained as part of pilot training. We shall be using a train the trainer approach for the remaining users. The state contracts with a training organization who shall be part of the initial group of trainees.

The Contractor shall provide the Steering Committee with documented evidence of each trainee's competence within one week of the training event. Classroom training, provided by the Contractor, is anticipated to last three to five days (based on the Contractor’s proposed training plan). Additional days for pilot staff to complete System set-up activities, such as scheduling appointments or creating participant records, may also take place just prior to using the System to process clients in the pilot implementation.

1.3.4.4 System Pilot Test

The Contractor shall oversee the pilot test of the new System. The pilot is expected to last for three calendar months. CMS Contractor staff shall be onsite in Connecticut during the first week of pilot. Following the initial week of Pilot, the Contractor shall provide any additional assistance to the WIC Program remotely from their facility if all pre-determined success criteria have been satisfied. All interfaces, end of day, and end of month activities (such as reports) shall be tested during this pilot.

Connecticut shall be responsible for day-to-day operation of the central processing System during the pilot site operations, although the Contractor shall oversee the pilot and provide consultation and assistance as needed.

1.3.4.5 Evaluate Pilot, Modify, and Retest System

Informal evaluation of the System software shall begin with the start of the pilot through regular communication with the pilot and central sites. Corrections, retesting, and release of updated versions of the software shall occur as problems are encountered. Prior to the start of the pilot test, a Regression Acceptance Test shall be performed by the Contractor in consultation with the Steering Committee and key WIC personnel. This test, based on the Contractor's own internal test procedures, shall be used to test modifications and corrections made in response to problems identified during the UAT, before they are released to the pilot users. The Regression Acceptance Test is designed to test overall System operability after modifications have been installed but before release of the software to the user community. It does not replace the normal development testing required for changes. Its primary purpose is to ensure that the changes do not affect other aspects of System functionality. The test shall use standardized inputs and known outputs to assess the impacts of changes.

If and when software errors are encountered during the conduct of the System pilot, new versions of the System with the errors corrected shall be programmed and tested by the Contractor. After correction and testing of each new version, the Regression Acceptance Test shall be run against that version to check that the error correction has not introduced new errors elsewhere in the System. If there are any outstanding errors at the end of System pilot, one last version that corrects the remaining errors shall be produced, and that version shall be installed and run for five working days at the pilot agencies before the System is rolled out to the remaining agencies. The purpose of these five additional days is to ensure that no errors are introduced into the latest version of the System that are not caught by the Regression Acceptance Test.

Within ten days following the end of the pilot, the Contractor, with input from the pilot clinics, shall complete and submit an evaluation of the System pilot. The evaluation shall address the following factors:

- System stability
- Meeting functional requirements
- User satisfaction
- Impact on participant flow and convenience
- Impact on clinic operations
- Availability and accuracy of state level data
- Adequacy of help messages and user documentation
- Security and System integrity
- Need for modification of System or user processes
- FI redemption and banking process
- Adequacy of Medicaid eligibility verification
- Adequacy of manual accessibility
- User satisfaction with reminder appointment dial up calls

The WIC Program Project Coordinator shall also be providing a Pilot Evaluation Report; therefore, feedback from pilot users shall be coordinated between the Contractors to avoid unnecessary burden on local staff. The results of the evaluations shall be documented in a report to be delivered to the State Project Manager. If the pilot does not achieve pre-determined performance criteria, the Contractor shall be responsible for making modifications required to achieve the criteria. The Steering Committee shall approve all System revisions resulting from the evaluation of the pilot. The Steering Committee shall have the final authority to make the go/no go decision to proceed to Statewide rollout based on the pre-determined performance criteria and results of the pilot evaluations.

1.4.1 Statewide Rollout

1.4.1.1 System Rollout Initiation Meeting

Following successful completion of the System pilot, the Steering Committee shall convene a meeting with key Connecticut staff and the Contractor. The meeting shall be attended by the Contractor's project manager and other WIC Program staff as deemed necessary. The purpose of the meeting shall be to discuss and review the project plan, schedule, and deliverables for the rollout of the new System to the remaining local agencies/clinics.

1.4.1.2 Statewide Training

After successful completion of the pilot, the System shall be rolled out to the remaining local agencies throughout the state. A region of local agencies shall be trained in the use of the new System one week before System implementation. It is anticipated that common System functions shall be trained for all users, but that separate, job-specific training shall be provided for Health Professionals during the same training period (i.e., the training shall be split based on job roles). Actual training shall be performed by state training resources, but CMS Contractor shall function as a subject matter expert for the training staff.

1.4.1.3 Statewide System Rollout

The Contractor shall oversee the rollout of the new System. CMS Contractor staff shall be onsite in Connecticut during the first week of each region's implementation or until all pre-determined success criteria have been satisfied. The WIC IT representatives shall also take part following the initial System rollout and before the rollout to the remaining sites. The State anticipates nine (9) rollout phases during the twelve (12) week Statewide rollout. Because this is an aggressive schedule, the Contractor shall include a contingency plan in the implementation plan.

Connecticut shall be responsible for day-to-day operation of the central processing System during the statewide rollout, although the Contractor shall provide consultation and assistance as needed. The Contractor shall be responsible for supporting the WIC Program in the operation of the central site processor application. During this period, the Contractor shall ensure that the central processor application provides all functionality and processing required to fully support the WIC program.

For this subtask to be successful, the central site processor application shall, at a minimum, provide the following services:

- Provide online access to the new System functionality in the state office and from the local agency/clinic locations for operations, analysis, and the generation of reports.
- Provide all file maintenance, including backups, archiving of data, and maintenance of database synchronization between System modules on a daily basis.
- Ensure all data communications between the central site processor and the local agency/ clinics and state offices.
- Provide disaster recovery procedures to ensure meeting System availability requirements.
- Provide the software and support required to exchange data with other State and Federal programs electronically. This electronic data exchange shall be for the purpose of meeting the requirements of the CDC Nutrition and Pediatric Surveillance System and the USDA/FNS minimum data set.
- Provide all System enrollment, reconciliation, expenditures, vendor, and other required reports in the media required and according to the agreed upon schedule.

Approximately four days following System rollout to the first group of local agencies, a checkpoint meeting shall be convened to identify any problems that shall be fixed before rollout to the remaining sites. The meeting shall be attended by the Contractor, the State Project Manager, WIC IT staff, and other WIC Program staff as deemed necessary. If no significant deficiencies are identified, the Steering Committee shall make the decision to proceed with rollout to the remaining groups of sites.

Any problems encountered during the initial System operation shall be either fixed or documented, depending on their effect on the delivery of services. If any deficiencies in the System functional requirements, technical operation, or reliability are identified, the Contractor shall repair these at no cost. Any changes that are considered by the State to be enhancements shall be handled through a change management process.

1.4.1.4 System Documentation

The Contractor shall provide all System documentation for the transfer System that has been updated to reflect the final implementation of the System in Connecticut within 10 days of the final site rollout. These documents include: DFDD, DTSD, FSRD, source code, all forms/ letters/ report templates.

1.4.2 Maintenance Activities

1.4.2.1 Contract Closure for the Modification & Implementation Phase

Subsequent to System rollout, the Contractor shall deliver all documentation, source codes, forms, or other materials in addition to client or program data retained under the provisions of this IAPD. The Contractor shall submit a final invoice for System modification and implementation activities.

1.4.2.2 One Year Warranty Period

For one year from the successful completion of the rollout and receipt of final documentation and materials, the Contractor shall be responsible for the support and maintenance of the local agency/clinic and state office applications on the central site processor. This responsibility includes up to two on-site follow-up training events if determined necessary by Connecticut and may include as-needed ongoing training. The Contractor shall correct any System problems identified and provide any System modifications at no additional cost to ensure the complete functionality as required by this IAPD, the RFP, the DFDD, the DTSD, FSRD, and the contract between Connecticut and the Contractor. All System problems reported during the warranty period are included under this provision, even if their repair extends beyond the year.

1.4.2.3 System Problem Reporting

During the one year warranty period, the Contractor shall provide the Steering Committee with a written response to any reported System problem addressing the technical nature of the problem and the proposed plan to resolve the issue. All approved change orders by the Steering Committee shall be tracked separately.

1.4.2.4 System Modifications

After the initial implementation the Steering Committee may request the Contractor to make changes to the existing system. The Contractor shall design, develop, test, and implement changes on a mutually agreed upon schedule using a change order process. Costs for these changes shall be negotiated based on the rates quoted in the cost proposal. The Contractor shall provide documented test results and updated system documentation prior to implementation of the change. New scope of work modifications made during the warrantee period shall be considered modifications. Bug fixes during the warrantee period shall be considered as warrantee work. No charges shall be made for maintenance required to the System to meet the System and functional requirements approved prior to contract closure.

2 Implementation Schedule

The following table provides initial timeframes used in the planning process. Responders may propose alternate timeframes with justification for any deviations from the schedule below for consideration in their proposal.

Table 3 Implementation Schedule

#	Deliverable	Initial Timeframe
	Requirements Phase	
1	Project Kickoff Meeting in Hartford, Connecticut	Within two (2) weeks of contract initiation
2	Initial Project Work Plan	Within ten (10) business days of Project Initiation Meeting
3	Update Business Process Model	Within ten (10) business days of Project Initiation Meeting
4	Release Strategy and Plan	Within twenty (20) business days of Project Initiation Meeting
5	Update Functional Requirements Workbook	Within twenty (20) business days of Project Initiation Meeting
6	Update Non-Functional Requirements Workbook	Within twenty (20) business days of Project Initiation Meeting
7	Update Technical Requirements Workbook	Within twenty (20) business days of Project Initiation Meeting
8	Deployment Strategy & Plan	Within ten (10) business days of Project Initiation Meeting
	Design Phase	
9	Lead Design Validation Sessions	As proposed by CMS Contractor schedule to align with State's stated schedule.
10	System Gap Analysis/Modifications Document	Within ten (10) working days of last Design Validation Session
11	Implementation Plan	Within two (2) months of project initiation
12	Change Management Plan	Within two (2) months of project initiation

Table 3 Implementation Schedule		
#	**Deliverable**	**Initial Timeframe**
13	Training Plan	Within two (2) months of project initiation
14	Security Plan	Within two (2) months of project initiation
15	Final System Requirements Document	Within twenty (20) working days of acceptance of Gap Analysis Modifications Document
	Development Phase	
16	Convene System Modification Initiation Meeting in Hartford, Connecticut	Within ten (10) working days of acceptance of the Final System Requirements Document
17	Data Model	Within twenty (20) working days of System Modification Initiation Meeting
18	Detailed Design Document	Within twenty (20) working days of System Modification Initiation Meeting
19	Perform Baseline Test and Provide Report	Upon completion of final test prior to UAT, per CMS Contractor task plan.
20	Deployment Strategy & Plan	
21	Modified System Code Ready for UAT	At least one (1) week prior to UAT start date
22	Develop Site Readiness Checklist Template (Checklist shall be completed by State and Local Agency staff)	No later than eight (8) months prior to Pilot start date.
23	Assist State in Installing and Testing Transfer System Software in Connecticut Environment	At least forty-five (45) calendar days prior to UAT start date
24	Train Connecticut staff on central operations of transfer System	In conjunction with the installation and testing.
25	Provide on-site assistance for the central operation during the UAT	Throughout UAT, onsite only as needed
26	Provide Report Reviewing and Assessing the State's security and disaster recovery procedures for the central site	Within two (2) weeks of installation.

Table 3 Implementation Schedule		
#	**Deliverable**	**Initial Timeframe**
27	Perform pre-UAT Key Function Walkthrough	At least one (1) week prior to UAT start date
28	Provide UAT Training to UAT Participants	One (1) to four (4) weeks prior to UAT.
29	Set up and Prepare UAT Test Environment	At least one (1) week prior to UAT start date
30	Develop Testing Tools (such as data set up, outcome tracking tools)	Approved at least one (1) week prior to UAT start date.
31	Provide Support During UAT	Throughout UAT testing activities
32	Provide UAT Outcome Metrics Report	Within five (5) working days after completion of UAT
33	Assessment of Readiness for Pilot	Within five (5) working days after acceptance of UAT Outcomes and Metrics Report and any Modifications required to proceed
	Pilot Operations Phase	
34	Provide Pilot Operations Initiation Meeting Agenda	At least two (2) business days prior to Pilot Operations Initiation Meeting
35	Convene Pilot Operations Initiation Meeting in Hartford, Connecticut	No later than eight (8) months prior to Pilot start date[3].
36	Provide Pilot Operations Initiation Technical Memorandum	Within five (5) business days of Pilot Operations Initiation Meeting
37	Provide Central Operation Staff Training	At least two (2) weeks prior to pilot start
38	Provide State WIC Program Staff Training	At least two (2) weeks prior to pilot start

[3] This task takes place during the development phase, but serves as the start of pilot planning, which shall define the approach to pilot and document decisions about pilot operations, policies, and schedules.

TABLE 3 IMPLEMENTATION SCHEDULE		
#	DELIVERABLE	INITIAL TIMEFRAME
39	Develop Training Materials	Approved at least two (2) weeks prior to pilot start Hard copies of training materials for all participants shall be received at the pilot site(s) at least five (5) working days prior to training
40	Provide Pilot User Training	Just-in-time (JIT) prior to pilot
41	Provide Pilot User Training Evaluation/Competence Report	Within three (3) working days of completion of training
42	Provide Pilot Test Oversight and Consultation	Throughout pilot
43	Provide Pilot-Related Software Modifications and Testing	As needed throughout pilot
44	Prepare Pilot Evaluation Report	Within ten (10) working days of the end of pilot
	Statewide Rollout Phase	
45	Convene System Rollout Initiation Meeting in Hartford, Connecticut	Approximately one (1) month into pilot operations.
46	Provide Statewide System Implementation Training and Materials	JIT prior to rollout at each site at regional training locations.Hard copies of training materials for all participants shall be received at the sites at least five (5) working days prior to training
47	Provide System Rollout Oversight, Consultation, and Assistance	Onsite during first week of each rollout phase, via telephone throughout rollout
48	Attend Statewide Rollout Checkpoint Meeting	Approximately four (4) days following System rollout to the first group of local agencies/clinics
49	Provide Comprehensive System Documentation Updated to Reflect Connecticut's System	Within 10 days of the final site rollout

Table 3 Implementation Schedule		
#	**Deliverable**	**Initial Timeframe**
	Maintenance Phase	
50	System Maintenance	For one year from the successful completion of the rollout and receipt of final documentation and materials
51	System Problem Fixes and Written Reports	As problems are reported and resolved, within one year maintenance period. Any errors identified in the warranty period shall be resolved, even if the warranty period ends during the fix process.
	Maintenance Phase- Optional Deliverables	
52	System Modifications	TBD
53	Warranty Services (Year 2)	TBD
54	Warranty Services (Year 3)	TBD
55	Warranty Services (Year 4)	TBD