State of West Virginia
Department of Administration
Purchasing Division
2019 Washington Street East
Post Office Box 50130
Charleston, WV 25305-0130

Request for Quotation

ADDRESS CORRESPONDENCE TO ATTENTION OF:

ROBERTA WAGNER
304-558-0067

VENDOR

RFQ COPY
TYPE NAME/ADDRESS HERE

SHIP TO

HEALTH AND HUMAN RESOURCES
ADMINISTRATION AND FINANCE

ONE DAVIS SQUARE, ROOM 300
CHARLESTON, WV
    25301   304-558-6362

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
01/11/2011				

BID OPENING DATE:	02/10/2011		BID OPENING TIME	01:30PM

LINE	QUANTITY	UOP	CAT NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
0001	YR 1			946-25		

OPEN-END BLANKET CONTRACT

WIC ELECTRONIC BENEFITS TRANSFER (EBT) SYSTEM

REQUEST FOR QUOTATION FOR AN OPEN END CONTRACT

TO PROVIDE ELECTRONIC BENEFITS TRANSFER (EBT) SERVICES
TO THE WOMEN, INFANTS AND CHILDRENS (WIC) PROGRAM FOR
THE DELIVERY OF THE SPECIAL SUPPLEMENTAL NUTRITION
PROGRAM, PER THE ATTACHED SPECIFICATIONS.

CANCELLATION: THE DIRECTOR OF PURCHASING RESERVES THE
RIGHT TO CANCEL THIS CONTRACT IMMEDIATELY UPON WRITTEN
NOTICE TO THE VENDOR IF THE COMMODITIES AND/OR SERVICES
SUPPLIED ARE OF AN INFERIOR QUALITY OR DO NOT CONFORM
TO THE SPECIFICATIONS OF THE BID AND CONTRACT HEREIN.

BANKRUPTCY: IN THE EVENT THE VENDOR/CONTRACTOR FILES
FOR BANKRUPTCY PROTECTION, THIS CONTRACT IS AUTOMATI-
CALLY NULL AND VOID, AND IS TERMINATED WITHOUT FURTHER
ORDER.

INQUIRIES
WRITTEN QUESTIONS SHALL BE ACCEPTED THROUGH CLOSE OF
BUSINESS ON 1/25/2011. QUESTIONS MAY BE SENT
VIA USPS, FAX, COURIER OR E-MAIL. IN ORDER

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

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GENERAL TERMS & CONDITIONS
REQUEST FOR QUOTATION (RFQ) AND REQUEST FOR PROPOSAL (RFP)

1. Awards will be made in the best interest of the State of West Virginia.

2. The State may accept or reject in part, or in whole, any bid.

3. Prior to any award, the apparent successful vendor must be properly registered with the Purchasing Division and have paid the required $125 fee.

4. All services performed or goods delivered under State Purchase Order/Contracts are to be continued for the term of the Purchase Order/Contracts, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise available for these services or goods this Purchase Order/Contract becomes void and of no effect after June 30.

5. Payment may only be made after the delivery and acceptance of goods or services.

6. Interest may be paid for late payment in accordance with the *West Virginia Code*.

7. Vendor preference will be granted upon written request in accordance with the *West Virginia Code*.

8. The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.

9. The Director of Purchasing may cancel any Purchase Order/Contract upon 30 days written notice to the seller.

10. The laws of the State of West Virginia and the *Legislative Rules* of the Purchasing Division shall govern the purchasing process.

11. Any reference to automatic renewal is hereby deleted. The Contract may be renewed only upon mutual written agreement of the parties.

12. **BANKRUPTCY:** In the event the vendor/contractor files for bankruptcy protection, the State may deem this contract null and void, and terminate such contract without further order.

13. **HIPAA BUSINESS ASSOCIATE ADDENDUM:** The West Virginia State Government HIPAA Business Associate Addendum (BAA), approved by the Attorney General, is available online at **www.state.wv.us/admin/purchase/vrc/hipaa.htm** and is hereby made part of the agreement. Provided that the Agency meets the definition of a Cover Entity (45 CFR §160.103) and will be disclosing Protected Health Information (45 CFR §160.103) to the vendor.

14. **CONFIDENTIALITY:** The vendor agrees that he or she will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the agency's policies, procedures, and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in http://www.state.wv.us/admin/purchase/privacy/noticeConfidentiality.pdf.

15. **LICENSING:** Vendors must be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, and the West Virginia Insurance Commission. The vendor must provide all necessary releases to obtain information to enable the director or spending unit to verify that the vendor is licensed and in good standing with the above entities.

16. **ANTITRUST:** In submitting a bid to any agency for the State of West Virginia, the bidder offers and agrees that if the bid is accepted the bidder will convey, sell, assign or transfer to the State of West Virginia all rights, title and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the State of West Virginia for price fixing and/or unreasonable restraints of trade relating to the particular commodities or services purchased or acquired by the State of West Virginia. Such assignment shall be made and become effective at the time the purchasing agency tenders the initial payment to the bidder.

I certify that this bid is made without prior understanding, agreement, or connection with any corporation, firm, limited liability company, partnership, or person or entity submitting a bid for the same material, supplies, equipment or services and is in all respects fair and without collusion or Fraud. I further certify that I am authorized to sign the certification on behalf of the bidder or this bid.

INSTRUCTIONS TO BIDDERS

1. Use the quotation forms provided by the Purchasing Division. Complete all sections of the quotation form.

2. Items offered must be in compliance with the specifications. Any deviation from the specifications must be clearly indicated by the bidder. Alternates offered by the bidder as **EQUAL** to the specifications must be clearly defined. A bidder offering an alternate should attach complete specifications and literature to the bid. The Purchasing Division may waive minor deviations to specifications.

3. Unit prices shall prevail in case of discrepancy. All quotations are considered F.O.B. destination unless alternate shipping terms are clearly identified in the quotation.

4. All quotations must be delivered by the bidder to the office listed below prior to the date and time of the bid opening. Failure of the bidder to deliver the quotations on time will result in bid disqualifications: Department of Administration, Purchasing Division, 2019 Washington Street East, P.O. Box 50130, Charleston, WV 25305-0130

5. Communication during the solicitation, bid, evaluation or award periods, except through the Purchasing Division, is strictly prohibited (W.Va. C.S.R. §148-1-6.6).

ADDRESS CORRESPONDENCE TO ATTENTION OF:

ROBERTA WAGNER
304-558-0067

VENDOR	RFQ COPY TYPE NAME/ADDRESS HERE	SHIP TO	HEALTH AND HUMAN RESOURCES ADMINISTRATION AND FINANCE ONE DAVIS SQUARE, ROOM 300 CHARLESTON, WV 25301 304-558-6362

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TO ASSURE NO VENDOR RECEIVES AN UNFAIR ADVANTAGE, NO
SUBSTANTIVE QUESTIONS WILL BE ANSWERED ORALLY. IF
POSSIBLE, E-MAIL QUESTIONS ARE PREFERRED. ADDRESS
INQUIRIES TO:

ROBERTA WAGNER
DEPARTMENT OF ADMINISTRATION
PURCHASING DIVISION
2019 WASHINGTON STREET, EAST
CHARLESTON, WV 25311

FAX: 304-558-4115
E-MAIL: ROBERTA.A.WAGNER@WV.GOV

EXHIBIT 4

LOCAL GOVERNMENT BODIES: UNLESS THE VENDOR INDICATES
IN THE BID HIS REFUSAL TO EXTEND THE PRICES, TERMS,
AND CONDITIONS OF THE BID TO COUNTY, SCHOOL, MUNICIPAL
AND OTHER LOCAL GOVERNMENT BODIES, THE BID SHALL EXTEND
TO POLITICAL SUBDIVISIONS OF THE STATE OF WEST
VIRGINIA.   IF THE VENDOR DOES NOT WISH TO EXTEND THE
PRICES, TERMS, AND CONDITIONS OF THE BID TO ALL
POLITICAL SUBDIVISIONS OF THE STATE, THE VENDOR MUST
CLEARLY INDICATE SUCH REFUSAL IN HIS BID.   SUCH REFUSAL
SHALL NOT PREJUDICE THE AWARD OF THIS CONTRACT IN ANY
MANNER.

REV. 3/88
EXHIBIT 3

LIFE OF CONTRACT: THIS CONTRACT BECOMES EFFECTIVE ON
AWARD--------- AND EXTENDS FOR A PERIOD OF THREE (3)
YEARS OR UNTIL SUCH "REASONABLE TIME" THEREAFTER AS IS
NECESSARY TO OBTAIN A NEW CONTRACT OR RENEW THE

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

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ORIGINAL CONTRACT. THE "REASONABLE TIME" PERIOD SHALL
NOT EXCEED TWELVE (12) MONTHS. DURING THIS "REASONABLE
TIME" THE VENDOR MAY TERMINATE THIS CONTRACT FOR ANY
REASON UPON GIVING THE DIRECTOR OF PURCHASING 30 DAYS
WRITTEN NOTICE.

UNLESS SPECIFIC PROVISIONS ARE STIPULATED ELSEWHERE
IN THIS CONTRACT DOCUMENT, THE TERMS, CONDITIONS AND
PRICING SET HEREIN ARE FIRM FOR THE LIFE OF THE
CONTRACT.

RENEWAL: THIS CONTRACT MAY BE RENEWED UPON THE MUTUAL
WRITTEN CONSENT OF THE SPENDING UNIT AND VENDOR,
SUBMITTED TO THE DIRECTOR OF PURCHASING THIRTY (30)
DAYS PRIOR TO THE EXPIRATION DATE. SUCH RENEWAL SHALL
BE IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF THE
ORIGINAL CONTRACT AND SHALL BE LIMITED TO THREE (3) ONE
(1) YEAR PERIODS.

OPEN MARKET CLAUSE: THE DIRECTOR OF PURCHASING MAY
AUTHORIZE A SPENDING UNIT TO PURCHASE ON THE OPEN
MARKET, WITHOUT THE FILING OF A REQUISITION OR COST
ESTIMATE, ITEMS SPECIFIED ON THIS CONTRACT FOR
IMMEDIATE DELIVERY IN EMERGENCIES DUE TO UNFORESEEN
CAUSES (INCLUDING BUT NOT LIMITED TO DELAYS IN TRANS-
PORTATION OR AN UNANTICIPATED INCREASE IN THE VOLUME
OF WORK.)

QUANTITIES: QUANTITIES LISTED IN THE REQUISITION ARE
APPROXIMATIONS ONLY, BASED ON ESTIMATES SUPPLIED BY
THE STATE SPENDING UNIT. IT IS UNDERSTOOD AND AGREED
THAT THE CONTRACT SHALL COVER THE QUANTITIES ACTUALLY
ORDERED FOR DELIVERY DURING THE TERM OF THE CONTRACT,
WHETHER MORE OR LESS THAN THE QUANTITIES SHOWN.

ORDERING PROCEDURE: SPENDING UNIT(S) SHALL ISSUE A

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Request for Quotation

RFQ NUMBER	PAGE
HHR11079	4

ADDRESS CORRESPONDENCE TO ATTENTION OF:

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RFQ COPY TYPE NAME/ADDRESS HERE	HEALTH AND HUMAN RESOURCES ADMINISTRATION AND FINANCE ONE DAVIS SQUARE, ROOM 300 CHARLESTON, WV 25301 304-558-6362

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WRITTEN STATE CONTRACT ORDER (FORM NUMBER WV-39) TO
THE VENDOR FOR COMMODITIES COVERED BY THIS CONTRACT.
THE ORIGINAL COPY OF THE WV-39 SHALL BE MAILED TO THE
VENDOR AS AUTHORIZATION FOR SHIPMENT, A SECOND COPY
MAILED TO THE PURCHASING DIVISION, AND A THIRD COPY
RETAINED BY THE SPENDING UNIT.

THE TERMS AND CONDITIONS CONTAINED IN THIS CONTRACT
SHALL SUPERSEDE ANY AND ALL SUBSEQUENT TERMS AND
CONDITIONS WHICH MAY APPEAR ON ANY ATTACHED PRINTED
DOCUMENTS SUCH AS PRICE LISTS, ORDER FORMS, SALES
AGREEMENTS OR MAINTENANCE AGREEMENTS, INCLUDING ANY
ELECTRONIC MEDIUM SUCH AS CD-ROM.

REV. 05/26/2009
PURCHASING CARD ACCEPTANCE: THE STATE OF WEST VIRGINIA
CURRENTLY UTILIZES A VISA PURCHASING CARD PROGRAM WHICH
IS ISSUED THROUGH A BANK. THE SUCCESSFUL VENDOR
MUST ACCEPT THE STATE OF WEST VIRGINIA VISA PURCHASING
CARD FOR PAYMENT OF ALL ORDERS PLACED BY ANY STATE
AGENCY AS A CONDITION OF AWARD.

                    VENDOR PREFERENCE CERTIFICATE

THIS TEAM EXHIBIT HAS BEEN REPLACED BY THE ONLINE
VERSION WHICH IS AVAILABLE HERE:
HTTP://WWW.STATE.WV.US/ADMIN/PURCHASE/VRC/VENPREF.PDF

                    NOTICE

A SIGNED BID MUST BE SUBMITTED TO:

     DEPARTMENT OF ADMINISTRATION
     PURCHASING DIVISION
     BUILDING 15
     2019 WASHINGTON STREET, EAST

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

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CHARLESTON, WV 25305-0130

PLEASE NOTE: A CONVENIENCE COPY WOULD BE APPRECIATED.

THE BID SHOULD CONTAIN THIS INFORMATION ON THE FACE OF
THE ENVELOPE OR THE BID MAY NOT BE CONSIDERED:

SEALED BID

BUYER:------------------RW/FILE 22-------------------

RFQ. NO.:-----------------HHR11079-------------------

BID OPENING DATE:-------2/10/2011-------------------

BID OPENING TIME:-------1:30 PM--------------------

PLEASE PROVIDE A FAX NUMBER IN CASE IT IS NECESSARY
TO CONTACT YOU REGARDING YOUR BID:

CONTACT PERSON (PLEASE PRINT CLEARLY):

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
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Request for Quotation

RFQ NUMBER	PAGE
HHR11079	6

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LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
				***** THIS IS THE END OF RFQ HHR11079 ***** TOTAL:		

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West Virginia Department of Health and Human Resources Office of Finance – EBT/Facilities System Administration Bureau of Public Health, Office of Nutrition Services – Women, Infants and Children (WIC) Request for Quotation (RFQ) HHR11079

10

West Virginia Department of Health and Human Resources Office of Finance – EBT/Facilities System
Administration Bureau of Public Health, Office of Nutrition Services – Women, Infants and Children (WIC)
Request for Quotation (RFQ) HHR11079
12

Part 1 Purpose

The West Virginia Department of Health and Human Resources (DHHR), Office of Finance and Bureau for Public Health (BPH), herein referred to as "State," are seeking bids from qualified vendors to obtain technical services to provide electronic benefits transfer (EBT) services for the delivery of Special Supplemental Nutrition Program for Women Infants and Children (WIC) program, referred to as e-WIC. e-WIC will be the alternative to the current manual paper based issuance. The "e-WIC Vendor" phrase is used throughout the document to identify the respondents to this RFQ and the successful vendor selected as a result of this RFQ.

The purpose of the project is to develop, implement and maintain an automated online system to issue benefits and use a card to redeem them at point of sale (POS) equipment. Additionally the e-WIC Vendor must provide an automated system that complies with federal requirements for account maintenance, reporting and settlement of purchases for eligible WIC transactions to approved retailers.

Part 2 Background

Currently, West Virginia WIC is involved in a United States Department of Agriculture, Food and Nutrition service funded initiative to develop a State Agency Model (SAM) Project to design four model computer systems. West Virginia is currently working with Alabama, North Carolina, and Virginia in developing one of these models. The objective of the SAM Consortium is to develop a model WIC information management system which, upon implementation, will be available for transfer to any number of WIC programs in other States and territories. The model developed by West Virginia's consortium is called Crossroads and will be used by all four states. The successful bidder will be required to implement e-WIC EBT concurrently with Crossroads. Crossroads, a centralized system, is designed to interface with the West Virginia e-WIC network. The purpose is to provide the state with more automated processes.

Crossroads will support all aspects of the WIC Program including local agency participant services, caseload management and appointment scheduling as well as State's retailer, operations, and financial management. In addition, Crossroads will support food benefit issuance and is required to be EBT ready. As an EBT ready system, Crossroads will include all functionality required to interface with an EBT system and will support electronic food benefit issuance. In West Virginia, however, the Crossroads system will be implemented as fully EBT functional, supported by the concurrent development of e-WIC. It is a requirement of this RFQ that e-WIC be developed, tested, piloted and rolled out concurrently with Crossroads. Dates referenced in this RFQ for Crossroads activities are based on the most currently available Crossroads work plan and may be subject to change as the project moves closer to implementation. The Crossroads SAM Work Plan is contained in Attachment A. The selected e-WIC Vendor is required to operate within this potentially dynamic project environment to assure a seamless Crossroads/e-WIC implementation in West Virginia. Pricing provided in conjunction with the e-WIC Vendor's proposal is to be firm regardless of changes in the anticipated implementation dates.

The Crossroads system is currently in the design phase of development. User Acceptance Testing (UAT) for Crossroads and e-WIC shall occur concurrently with the e-WIC Vendor and the Crossroads. The Crossroads Contractor and the e-WIC Vendor are required to coordinate their interface development activities to ensure that the e-WIC – MIS interface is tested, validated, and ready for UAT. Preliminary UAT activities for Crossroads, including system configuration, data conversion, and training are currently scheduled to begin August 2011. UAT will begin September 2011 and will

last through February 2012 with the acceptance of the Pilot Readiness Assessment. Following successful UAT, Crossroads and e-WIC shall pilot concurrently; WIC clinics in the pilot area will issue benefits via Crossroads. With the e-WIC interface, authorized retailers participating in the pilot will be enabled to accept and receive payment for e-WIC benefits. Crossroads is scheduled for pilot in March 2012 with pilot initiation activities scheduled to begin January 2012. Training for pilot, including Train-the-Trainer, will begin November 2011. Following pilot, Crossroads will rollout statewide as an e-WIC issuance system in West Virginia.

2.1   General Information

The WIC program in West Virginia serves an approximate monthly caseload of 52,955 in approximately 38,160 households. The program is delivered by eight local agencies, 50 permanent clinics, and seven satellite clinics. Clients include pregnant women, breastfeeding women up to one year past delivery, postpartum women up to 6 months past delivery, infants under one year of age, and children younger than 5 years of age. The sizes of the clinics vary from greater than 4,000 households to less than 200 households. There are 366 WIC authorized vendors (i.e., grocers) participating in the program.

At the state level, the WIC program staffing includes two administrative services positions, six vendor services positions, four nutrition services, six program support and four information system positions. Additionally the EBT/System Facilities Administration Office personnel will be available to provide support for the e-WIC implementation efforts and provide contract management assistance. There are 5 staff positions within the EBT Project Office

2.2   Retailer information

There are 366 State authorized WIC vendors, including a handful in bordering states. The stores are assigned to specific peer groups. There are no "above 50 percent" vendors. Some characteristics of the WIC vendors related to EBT include:

106 retailers will likely be integrated for e-WIC. This is based on a count of the chain retailers that are already integrated or moving toward integration.

96 retailers are equipped with EBT-only POS devices from the SNAP program, these stores are likely to need State provided stand-beside terminals for e-WIC. This could be a combined device with SNAP.

There are 163 retailers at this time whose e-WIC integration status cannot be determined. It is likely that a percentage of these stores will be integrated, discussion will begin with the retail community as soon as the procurement documentation has been completed and the pilot phase completed."

2.3   Current Process

West Virginia WIC is involved in a United States Department of Agriculture, Food and Nutrition Service initiative State Agency Model (SAM) Project as part of the Crossroads Consortium. See Part 2, Background for information concerning Crossroads. The implementation of this new EBT-ready MIS will be integrated with the implementation of the successful e-WIC Vendor's system to leverage resources across both projects. Crossroads will be the database of record for household and demographic data. As such, Crossroads will be responsible for making any additions or updates to

demographics and household identification. The e-WIC system must be able to process and apply these changes.

2.3.1   Clinic

Within the clinic, there are varieties of processes related to paper FI issuance. These include the action of issuing FIs, managing issues related to FI issuance, maintaining issuance records and FI stubs, managing inventory, handling special issuance cases such as the formula warehouse orders, "filled from stock" FIs, and preparing for annual audits.

In an e-WIC environment, all of these processes related to paper Food Instrument issuance will be eliminated. They will be replaced by card issuance; however, the effort associated with card issuance is significantly less for several reasons. First, it is not required for each issuance. Ideally, a household receives a card once and continues to reuse it through each certification period. Second, it will not require that the clinic maintain issuance reports or FI stubs for daily reconciliation. Third, the reconciliation process will be automated between the Crossroads system and e-WIC.

2.3.2   Inventory

The e-WIC system must maintain and manage card inventory.

2.3.3   Special Formula/Formula Warehouse Orders

West Virginia uses the Community Action Program (CAP) of Lancaster, PA to provide special formula to infants requiring it. Local clinics have the responsibility of ordering the special formula. Drafts for the formula are printed in the clinic and signed by the participant; the price fields are left blank. An order request is submitted via FAX to the formula warehouse. On the same day, the local agency clinic then mails the signed FI for the order with an attached copy of the order form to the formula warehouse. When the warehouse receives the drafts they match them to the FAXED order form, fill in the price, and deposit. With the e-WIC environment, this process is expected to change. The e-WIC system must support electronic payments to the formula warehouse.

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Part 3 Scope of Work

The State is seeking a qualified vendor to provide technical services for the development, implementation, and operation of EBT services for the delivery of WIC benefits in accordance with all State and federal requirements. The technical services required include but are not limited to project management, retailer services, system development, retailer services and training. The detailed requirements are contained within this RFQ.

The Vendor must have an existing operational online e-WIC system and the Project Manager assigned to this project shall have three years experience in providing e-WIC services for the Special Supplemental Nutrition Program for Women, Infants and Children (WIC).

3.1   Schedule

The following implementation activities will be included in the West Virginia e-WIC project and will conform to the established Crossroads implementation schedule see Appendix A. The Crossroads contract which includes the SAM implementation schedule for Crossroads is included in Appendix A. The planning activities have been depicted in Table 1 on page 6. This graphic shows all activities through statewide rollout. In some cases, the durations of activities are extended beyond what may be needed because the implementation date is constrained by the Crossroads system being deployed, which will be the spring of 2012. It is anticipated that following the pilot, the State will begin statewide rollout activities, converting a specified region each month. There will be seven regions in addition to the pilot area.

Project Management: Project management will continue throughout the implementation phase and beyond into ongoing operations.

Retailer Integration Activities: Once the retailers have been briefed about e-WIC by the State, the Vendor is required to focus on the discussions about the integration specifications. Retailers will need sufficient lead-time to prepare their systems and make equipment decisions. Once their systems have been developed, they must be certified by the State and FNS. It is anticipated that retailer integration activities will begin once the procurement documentation has been completed and the planning phase has been completed. The integration activities will also continue through statewide rollout and possibly, into the operations phase as some retailers may choose to start with stand-beside equipment and move to an integrated system after the e-WIC system has been rolled out.

Initiate Design/ Development Phase and Requirements Validation: At this point in the project, the e-WIC Vendor contract will be awarded and the project will commence with validating the requirements of the e-WIC System. The e-WIC Vendor will also begin to work on the design of the interface with the Crossroads system. Finally, the e-WIC Vendor will begin any necessary system development activities. This part of the implementation phase can take from one to two months.

System Development / Unit, Interface, and Integration Testing: During this phase, the system development activities occur and the system is prepared for user acceptance testing. This part of the implementation phase can take from three to seven months, depending on the amount of work, the

necessary coordination with the Crossroads schedule and development activities.

User Acceptance Testing: User acceptance testing occurs when the e-WIC Vendor has completed its development activities. The State and FNS will test the system to determine if it is ready to be deployed. This activity typically occurs during the two to three months prior to the pilot start date. This period includes a review of the test plan and test scripts, the initial test, time to fix any issues, and then a retest of the system for any outstanding issues.

Clinic Preparation and Training: These activities include the review of training plans and training materials, the deployment of POS equipment in clinics and training of clinic staff. This should start at a minimum of four months before the pilot, but can begin earlier.

Retailer Training / Deployment of Stand-Beside POS: These activities include the review of training plans and materials as well as retailer and third party agreements, the signing of agreements by retailers and third party processors, the deployment of stand-beside equipment and training of retailer staff. This should start at a minimum of five months before the pilot, but can begin earlier.

Pilot: During this phase, a predefined set of clinics will be converted to the Crossroads system and e-WIC. Participants will be issued e-WIC cards and operations will begin. The pilot phase will operate in conjunction with the West Virginia pilot of the Crossroads system.

The pilot will be conducted in the Mid-Ohio Valley WIC Local Agency that consists of 10 clinics and 39 retailers in Wood, Calhoun, Gilmer, Jackson, Mason, Pleasants, Ritchie, Roane, and Wirt counties. In selecting this area, the state considered the following:

- The area is somewhat contained so as to limit the amount of cross-area shopping.
- There is a mix of retailer types such as large chains, small chains and independent stores with a mix of retailers using integrated and stand-beside equipment.
- There are clinic sites of varying sizes.
- The area has approximately 4190 households comprised of 6288 individuals.
- The area will contain a disconnected clinic site.
- The pilot will be within a reasonable driving distance from the state Office. The distance from Charleston to Parkersburg, the Local Agency's Parent office, is 77 miles.

Statewide Rollout: Like the pilot, the rollout of the e-WIC system will be in conjunction with the rollout of the Crossroads system.

Operations: Once the State is completely rolled out, it will move into the ongoing operations phase and will continue for the life of the contract with the e-WIC Vendor.

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TABLE 1

IMPLEMENTATION SCHEDULE																							
Activity	3/11	4/11	5/11	6/11	7/11	8/11	9/11	10/11	11/11	12/11	1/12	2/12	3/12	4/12	5/12	6/12	7/12	8/12	9/12	10/12	11/12	12/12	1/13
Project Management	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Retailer Integration Activities	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Initiate Design/ Development Phase and Requirements Validation	▓	▓	▓																				
System Development/Unit, Interface and Integration Testing			▓	▓	▓	▓	▓	▓															
Retailer/Deployment of POS								▓		▓	▓	▓											
Clinic Preparation and Testing										▓	▓	▓											
User Acceptance Testing							▓	▓	▓														
Pilot													▓	▓	▓	▓							
Rollout																	▓	▓	▓	▓	▓	▓	▓

Part 4 Tasks, Activities, Milestones and Deliverables

The following provides a list of tasks, activities and milestones and deliverables required for WV e-WIC project. This high-level list is inclusive of various stakeholders including the State, the e-WIC Vendor and the Crossroads Contractor.

4.1 Project Initiation

The e-WIC Vendor shall convene an initiation meeting in Charleston, West Virginia at a location agreed upon by the State. This meeting will be scheduled within five (5) business days of the e-WIC Vendor's receipt of approval to proceed with the contract. The e-WIC Vendor's Project Manager and other key contractor staff, as deemed necessary by the State Project Manager, will attend the meeting along with State management stakeholders, the Crossroads Contractor, and Federal representatives and other individuals as determined necessary by the State Project Manager.

The purpose of the meeting will be to review the project plan, schedule, and deliverables; establish the project communications structure; and discuss the e-WIC Vendor's data system change management process. In addition, the meeting will include a discussion of the required deliverables, submission of those deliverables, and confirmation of acceptance criteria. The agenda will also include a discussion of the content and structure of bi-weekly status calls and status reports including establishing an initial schedule. Within five (5) business days following the meeting, the e-WIC Vendor will deliver a technical memorandum outlining all discussions arising from the project initiation meeting.

During this phase, the activities as described below will be accomplished and deliverables provided to the satisfaction of the State.

Description of Project Initiation Deliverables

4.1.1   Initiation Meeting Agenda

The e-WIC Vendor must provide an agenda to the State for approval at least two (2) business days prior to the meeting. This agenda must include:

- Review of the current proposed Project Work Plan, schedule, deliverables, and communications structure.
- Review of the e-WIC Vendor's data system change management processes.
- Discussion of deliverables, submission of those deliverables, and confirmation of acceptance criteria.
- Discussion of the content and structure of bi-weekly status calls and status reports and review of the initial schedule.

4.1.2   Initiation Meeting Materials

Any presentations or materials to be used at the meeting must be provided to the State Project Manager for approval at least two (2) business days prior to the meeting. Meeting materials shall include the current proposed project work plan.

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4.1.3 Initiation Meeting Report

The Project Initiation Meeting Report must provide a summary of decisions and plans resulting from the project initiation meeting. The report must be provided within five (5) business days following the meeting.

4.2   Project Management

The e-WIC Vendor shall provide ongoing project management throughout the duration of the contract. The e-WIC Vendor shall manage the project to meet the system functional, technical, and quality requirements.

The e-WIC Vendor shall provide a project team headed by a Project Manager who shall be the primary point of contact for the State and is responsible for carrying out the tasks in this RFQ. The Project Manager or designee(s) shall be available on-site to the State within 24 hours of the State's request.

The e-WIC Vendor must provide an organizational chart for this project and identify key staff assigned to this project with capabilities, qualifications and experience in WIC and /or online e-WIC service. Examples of key staff include but are not limited to the Vendor's Project Manager and Technical Manager. Response to this section shall detail the key personnel to be dedicated to the development, management and operation of the project. The staffing plan should include the e-WIC Vendor's staff as well as any subcontractor staff for each phase of the project.

The capabilities of proposed project staff shall be included by identifying the job titles, duties and prior experience with WIC and/or online e-WIC. Vendors shall provide work histories for documentation of evidence that the proposed staff positions have the experience required to carry out the duties and responsibilities of the positions for which they are proposed.

Vendors shall provide the names and telephone number of three (3) references for whom the e-WIC Vendor is providing or has provided similar services.

Descriptionof Project Management Deliverables

4.2.1   Project Management Plan

The e-WIC Vendor shall develop and submit a comprehensive project management plan that describes how they intend to manage the project and illustrates how their plan will serve to accomplish the work and meet the e-WIC/Crossroads project timeline.

The project management plan provides a detailed description of the project management approach. The Project Management Plan:
- Shall contain the e-WIC Vendor's Integration Management Plan.
- Shall contain the e-WIC Vendor's Time Management.
- Shall contain the e-WIC Vendor's Scope Management.
- Shall contain the e-WIC Vendor's Configuration Management.
- Shall contain the e-WIC Vendor's e-WIC Vendor's data system change management process.

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- Shall contain the e-WIC Vendor's Quality Management Plan.
- Shall contain the e-WIC Vendor's Human Resource Management Plan.
- Shall contain the e-WIC Vendor's Communications Management Plan, including the approach to communication with the State, the Crossroads Contractor, USDA/FNS and WIC Authorized Retailers.
- Shall contain the e-WIC Vendor's Dispute Resolution Plan.
- Shall contain the e-WIC Vendor's Client Complaints Plan.
- Shall contain the e-WIC Vendor's Risk Management Plan.
- Shall contain the e-WIC Vendor's Status Reporting Plan.

The e-WIC Vendor shall provide a proposed Project Management Plan.

4.2.2   Project Work Plan

The e-WIC Vendor must submit a preliminary Project Work Plan (schedule) no later than two weeks (2) weeks after the Initiation Meeting. The Project Work Plan and all updates shall be provided in Microsoft Project 2003. The timeframes for all tasks must be followed to avoid project delays. All deliverables identified within the project plan are subject to the State's review and approval. The final Project Work Plan, which will serve as the baseline document, must be provided ten (10) business days following the receipt of the written comments from the State.

The e-WIC Vendor shall provide a proposed Project Work Plan.

4.2.3   Bi-Weekly Status Calls

Throughout the duration of the e-WIC Project the e-WIC Vendor will host and facilitate a bi-weekly status call. The e-WIC Vendor's project manager and other key contractor staff, as deemed necessary by the State will attend the meeting with the State management stakeholders and other designated individuals. The call content will include updates on project activities including interface specification and development, retailer enablement and certification, clinic enablement, testing, training, security assessment, and transition to operations, a review of the Project Work Plan and the status of the project schedule; review of issues and risks; and planning for upcoming activities. The e-WIC Vendor will provide an agenda for the status meeting no later than two (2) business days prior to the call. The e-WIC Vendor will provide meeting notes for each status call no later than three (3) business days following the call.

4.2.4   Bi-weekly Status Reports

The e-WIC Vendor shall develop and submit a template for a bi-weekly status report. The e-WIC Vendor must submit the status report template no later than seven (7) business days after the Project Initiation Meeting. The content of the status report will include activities completed within the reporting period, upcoming activities for the next reporting period, identification of critical action items (including person assigned), issues, risks or roadblocks, status of clinic enablement, the status of project deliverables, and an updated Project Work Plan. The Project Work Plan is expected to be the primary focus of project management and communication and shall be updated regularly during each reporting period. An updated Project Work Plan shall be provided as an attachment to the bi-weekly status report. Throughout the duration of the e-WIC project, the e-WIC Vendor will provide a

bi-weekly status report. The bi-weekly status report shall be submitted to the State at least four (4) business days prior to the scheduled bi-weekly status call.

4.3   System and Interface Design

The e-WIC Vendor shall work with the State and the Crossroads Contractor to develop the Crossroads-e-WIC interface. The e-WIC Vendor will identify and confirm system design requirements and complete system development activities necessary to meet the established requirements. Vendors are advised that the Crossroads system will have already been designed and probably implemented the interface to the EBT system based on the most current version of the WIC Universal Interface, currently Version 1.6 (FNS Work Group) found in Appendix B. It is anticipated that e-WIC Vendor will develop its solution in accordance with the Crossroad WIC Project MIS to EBT Interface Functions in Appendix C, as part of the Crossroads system documentation. If the e-WIC Vendor identifies elements of the interface that require enhancements, the State will consider each on a case-by-case basis.

The e-WIC Vendor shall support requirements validation activities. Specification of functional and interface requirements will include input from the State and Crossroads Contractor as necessary. The e-WIC Vendor will facilitate a requirements validation session, including stakeholders from each group and Federal representatives as deemed necessary. Following requirements validation, the e-WIC Vendor will document e-WIC – Crossroads interface specification, functional design, and the detailed system design requirements for meeting the needs of the State.

<u>Description of System and Interface Design Deliverables</u>

4.3.1 Requirements Validation

The e-WIC Vendor will facilitate a requirements validation session including stakeholders from each group. The purpose of this session will be to confirm a common understanding of requirements as outlined in this RFQ. The requirements validation session is the starting point for definition and development of the interface between the e-WIC and Crossroads systems. The e-WIC requirements identified in this RFQ and the requirements gathered during the session will be the basis for the development of the e-WIC interface. The State anticipates that the requirements validation process can be accomplished in one session lasting a full week, but is willing to consider an alternate schedule.

Requirements Validation Meeting Agenda
The e-WIC Vendor must provide an agenda to the State Project Manager for approval at least two (2) business days prior to the meeting.
Requirements Validation Meeting Materials
Any presentations or materials must be provided to the State Project Manager for approval at least four (4) business days prior to the meeting.
Requirements Validation Meeting Report
The e-WIC Vendor will provide written meeting notes to the State within seven (7) business days following the requirements validation session.

4.3.2   Functional Design Document

The e-WIC Vendor shall develop a Functional Design Document. This document provides a descriptive overview of the system design requirements. The Functional Design Document must list

and describe the operating environment, system functions, processes, workflow, and services requirements. The Functional Design Document must at a minimum, include:

- System design overview
- Transaction Processing
- System technical overview
- System security and user access
- System audits and control
- EBT system functions and operations
- Automated Response Unit (ARU) and Customer Service Center (CSR) services
- Card issuance and card replacement
- PIN selection process
- Reporting lost and stolen cards
- Account aging, claims, repayments, representations, and adjustments
- Retailer settlement
- End –to-end system reconciliation/balancing
- End-of-day processing
- Interface management
- Funds settlement
- Daily, monthly, and ad hoc reporting
- Transaction adjustments
- Dispute tracking and resolution

Functions should be numbered and organized under high level functional areas so that they can be easily referenced in other documents, such as test scripts. The e-WIC Vendor must submit this document no later than 90 calendar days after contract execution. Once approved by the State, this document is also required to be reviewed and approved by FNS. The FNS review period is 60 calendar days.

If there have been any modifications to the system functionality that affect the final approved draft of Functional Design Document, after the user acceptance test, the e-WIC Vendor will update the Functional Design Document and submit a final version to the State. The updated Functional Design Document shall be submitted within 30 calendar days of the completion of user acceptance testing.

4.3.3   Detailed Design Document

The e-WIC Vendor shall develop a Detailed Design Document. This document provides detailed descriptions of the total system configuration including: system architecture, hardware, functionality, data elements, file layouts, message formats, process flows, interfaces, reporting, transaction processing, the web user interface, settlement and reconciliation, customer service, cardholder account maintenance, card/PIN issuance, and security. The e-WIC Vendor must submit this document no later than 120 calendar days after notification of the e-WIC Vendor's receipt of approval to proceed with the contract. Once approved by the State, this document must be reviewed and approved by FNS. The FNS review period is 60 calendar days.

Following user acceptance testing, if there have been any modifications to the system that affect the accepted final draft Detailed Design Document, the e-WIC Vendor will update the Detailed Design

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Document and submit a final version to the State within 45 calendar days of the completion of user acceptance testing. The Detailed Design shall include a Reports section describing all standard reports to be generated by the e-WIC Vendor.

4.3.4 WIC-MIS Interface Specification Document

The e-WIC Vendor shall develop and submit for approval an e-WIC – MIS Interface Specification Document. This document will define and document the messages and files that are exchanged between the e-WIC system and the Crossroads WIC management information system. It is the State's intent to follow the most current version of FNS Universal EBT-MIS Interface Specification; however, the specification is still under development and at this time and no date has been identified for the release of the final version. Therefore, until a final version is released, the draft Crossroads WIC Project MIS to EBT Interface functions found in Appendix C shall be used as a guideline in the development of the Crossroads to e-WIC interface.

4.4   System Development and Implementation

Based on the accepted design documents, the e-WIC Vendor will make any modifications to their existing e-WIC system and implement the e-WIC system to interface with the Crossroads system. The State prefers an iterative development process that will allow for demonstrations of system functionality throughout the development phase and would like to explore opportunities for joint Crossroads and e-WIC demonstrations.

As part of System Development and Implementation, the e-WIC Vendor will make modifications as necessary to the e-WIC system to meet the requirements of the State and to interface with the Crossroads system. The e-WIC Vendor will develop the support infrastructure for e-WIC including but not limited to communications, e-WIC card design, and ARU/CSR capabilities. The e-WIC Vendor will perform transition activities as required prior to implementation and will support planning for this effort, which includes the development of an Implementation Plan.

The e-WIC Vendor will implement and make available independent test environments as necessary to support the needs of the project. Throughout the project lifecycle, test environments will be required to support multiple users, often concurrently. This may include the Crossroads vendor's validation of their functionality and interface, one or more retailers or third party system certifications, and State validation and acceptance testing.

The State will collect approved Universal Product Codes (UPCs) and Product Look-Up Codes (PLUs) in order to populate the approved products list (APL). The e-WIC Vendor must support this effort by providing an environment with which the Crossroads system will interface to upload UPC data. The e-WIC Vendor will test the download of the APL to retailers to ensure that it is transmitted properly. At the end of System Development and Implementation activities, the e-WIC Vendor will have an e-WIC system that is ready for testing activities concurrent with Crossroads testing.

Description of System Development and Implementation Deliverables

During System Development and Implementation, the e-WIC Vendor will work to develop the e-WIC system and processes required by the State. This work will be monitored through bi-weekly status calls and reports. Tasks including system and interface modifications; APL support environment

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development; communications infrastructure; and ARU development shall be specifically included in the bi-weekly status reports/calls throughout System Development and Implementation.

4.4.1 System Demonstrations

Demonstrations, whether on-site or webinar, should include an agenda outlining the system functionality included in the demonstration and screen-shot printouts for demonstration participants. The e-WIC Vendor shall provide a meeting facilitator to describe the demonstration activities and solicit feedback, and a separate note taker to document decisions made by the State. The e-WIC Vendor shall publish a Demonstration Report outlining decisions and action items within three (3) business days of the demonstration.

4.4.2 Card Design

The e-WIC Vendor will be responsible for developing card graphics with input from the State. Card designs shall follow International Standards Organization (ISO) and American National Standards Institution (ANSI) standards relating to magnetic stripe cards used for financial transactions. The State intends to use pre-printed, pre-encoded, non-personalized cards that will be issued over-the-counter. At this time, the State does not plan to mail any e-WIC cards. The State has not yet obtained a Bank Identification Number (BIN), but intends to do so.

The e-WIC Vendor shall develop a draft card design for review and approval by the State.

4.4.3 Implementation Plan

The e-WIC Vendor shall develop an Implementation Plan. This document will detail how the e-WIC Vendor will implement the e-WIC system in the State starting with pilot and continuing on through each phase of statewide rollout. The plan shall describe retailer, clinic and e-WIC system readiness activities, such as training and equipment deployment, that must be completed as part of the implementation. Because the development of the e-WIC application must be coordinated with the implementation of the Crossroads system, the plan shall address dependent tasks between the two efforts. The plan shall provide timeframes, a schedule of activities, assumptions, and resources that will support rollout and implementation activities. The e-WIC Vendor must submit this document no later than 150 calendar days after the e-WIC Vendor receives notification to proceed with the contract.

4.4.4 Certification of Readiness for UAT

At the end of the Design/Development phase the e-WIC Vendor shall provide a memorandum to the State certifying that all required features and functions have been completed and fully tested and that e-WIC Vendor is ready to begin the testing process with the Crossroads contractor.

4.5 Retailer Enablement and Certification Plan

Retailer enabling is a process that begins shortly after project initiation. This is an ongoing activity that will run through the completion of the implementation phase and continue throughout the duration of the contract. The State recognizes the importance of working in partnership with the WIC retailer community to provide for a smooth transition to e-WIC operations. The State's goal is for all retailers to achieve integration into their existing cash register or POS system. The e-WIC Vendor shall perform comprehensive retailer enablement planning and execution in conjunction with the State. It is

understood that some retailers may decide to use a state provided POS device that supports e-WIC transactions. The e-WIC Vendor shall follow industry standards allowing the retailer to use existing infrastructure and leverage the work of other states to facilitate full retailer integration.

The e-WIC Vendor shall support the retailers in their development efforts by participating in design discussions and providing technical assistance while the retailers are developing and testing their systems. In supporting integration efforts, the e-WIC Vendor shall develop an Integrated Retailer Interface Specification Document that addresses the West Virginia e-WIC environment as well as message and file sets. This document shall be made available to any retailer or TPP interested in integration of e-WIC into their systems. The e-WIC Vendor shall participate in conference calls and meetings with individual retailers or retailer groups as needed.

- The e-WIC Vendor will participate in and support integrated retailer certification testing activities.
- The e-WIC Vendor will design test scripts; develop and support the testing environment; establish and verify telecommunications infrastructure; and provide technical and troubleshooting support.

- The e-WIC Vendor will execute retailer agreements; install e-WIC ready equipment and train stores on e-WIC stand beside POS devices for those stores requiring it.

- In preparation for pilot and each rollout phase, the Vendor shall ensure that at a minimum 90 percent of the redemptions in the area are able to accept the card and complete transactions.

Currently, there are retailers in the State of West Virginia that operate in other States that have implemented online WIC EBT and have integrated WIC EBT into their electronic cash register systems (ECRs). West Virginia wants to build upon the work that has been done toward retailer integration, particularly Kentucky, with which the State shares some of the same retail chains and ECR service providers. Because these ECR systems have already been certified and are operational, the State would like to avoid any additional modifications to these retail systems to process online WIC in West Virginia. For this reason, the e-WIC service provider must be able to accept and process transactions transmitted by these operational systems (assuming they are WIC authorized retailers) without requiring system modifications by the retailer. It is possible that at this time some of the retail systems may be processing transactions in a way that may not fully align with the standards that are currently being defined. West Virginia fully intends to have its e-WIC service provider and retailers in the State follow the WIC EBT operating rules and technical implementation guidance that are currently being developed by FNS, State agencies and the industry once these have been finalized. FNS has stated that these will be required of all State agencies implementing WIC EBT systems. Once finalized, all parties will be required to comply with these standards within a specified period of time. We would expect that the migration to the new standards may require interim support by the e-WIC processor with existing retail systems in order to enable West Virginia to implement e-WIC within the schedule with as many integrated retail ECR systems as possible.

The e-WIC Vendor's interface document shall be submitted within 60 calendar days of the e-WIC Vendor's receipt of notification of approval to proceed with the contract. Once approved by the State, this document is also required to be reviewed and approved by FNS. The FNS review period is 60 calendar days.

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4.5.1   Integrated Retailer Interface Specifications Document

The e-WIC Vendor shall develop an Integrated Retailer Interface Specifications Document. This document provides retailers, retail system developers, and third party processors the detailed information needed for them to integrate e-WIC as a tender type in their electronic cash register systems and/or payment networks. The Integrated Retailer Interface Specifications defines and documents the messages and files that are exchanged between the retail POS and/or payment network with the e-WIC host system. The Integrated Retailer Interface Specifications Document shall follow the technical standards that are currently being defined by the FNS WIC EBT standards workgroup. It is the State's intent to follow these technical standards; however, that document is still under development. Please see the FNS Operating Rules for Women, Infants and Children (WIC) Electronic Benefits Transfer (EBT) and the WIC EBT Technical Implementation Guide in Appendix D and E, as well as ANSI X9.93 for the current standards. The Integrated Retailer Interface Specifications Document shall be submitted within 60 days after the e-WIC Vendor receives notification to proceed with the contract. Once approved by the State, this document must also be reviewed and approved by FNS. The FNS review period is 60 days.

4.5.2   Retailer Enablement and Certification Plan

The e-WIC Vendor shall develop and execute the State approved Retailer Enablement and Certification Plan. This plan will describe how the e-WIC Vendor will ensure that retailers are ready and able to accept the e-WIC card. The plan will describe how the Vendor will promote and support integration efforts. The Retailer Enablement and Certification Plan shall include but not be limited to the following:

- The e-WIC Vendor shall conduct Retailer outreach with the participation of the State.
- The e-WIC Vendor shall develop retailer integration specifications and the State will review and approve the specifications.
- The e-WIC Vendor shall provide a description of the type of stand beside POS equipment that will be deployed.
- The e-WIC Vendor shall conduct retailer integration design and development.
- The e-WIC Vendor shall describe the processes and standards for integrated retailer certification.
- The e-WIC Vendor shall described the standards and procedures for the certifications of acquirers/third party processors (TPP) by the e-WIC Vendor, including the roles and responsibilities.
- The e-WIC Vendor shall provide retailer and acquirer/TPP agreements.
- The e-WIC Vendor shall support retailer system certifications by the State and FNS.
- The e-WIC Vendor shall describe the onsite POS deployment and equipment testing.
- The e-WIC Vendor shall establish and verify productive telecommunications.
- The e-WIC Vendor shall describe the support services/customer service to be provided to all retailers. These services shall comply with industry standards and FNS requirements.

- The e-WIC Vendor must submit the initial Retailer Enablement and Certification Plan 90 days after the e-WIC Vendor receives notification to proceed with the contract.

4.5.3   Integrated Retailer Certification Test Scripts

The e-WIC Vendor shall develop Integrated Retailer Certification Test Scripts. The scripts shall address all functions, technical requirements and business rules defined in the Integrated Retailer Interface Specifications Document as well as those defined by FNS. Please refer to the "FNS Operating Rules Women, Infants and Children (WIC) Electronic Benefits Transfer (EBT) found in Appendix D." The scripts shall also define set up requirements for accounts, benefits, cards and retailers as well as any special conditions such as time sensitive scenarios. This document shall be submitted within 30 calendar days after approval of the Integrated Retailer Interface Specifications Document. Once approved by the State, this document must also be reviewed and approved by FNS. The FNS review period is a maximum of 60 calendar days.

4.5.4   Retailer Enablement Assessment

The e-WIC Vendor must develop and complete a Retailer Infrastructure Assessment. The Retailer Infrastructure Assessment must address the number and types of retailers such as known integrated stores, potential integrated stores, and assumed stand-beside stores. The e-WIC Vendor shall assess retailer telecommunications including any anticipated issues such as an area that may not have reliable high-speed internet. For those sites, if any, that are expected to require stand-beside POS equipment, the e-WIC Vendor will assess if the site has high speed internet access, if not, options for installation or dial-up access. The e-WIC Vendor shall propose the format for the assessment report for approval by the State Project Manager within 90 days of notification of the e-WIC Vendor's notification to proceed with the contract.

4.5.5   Retailer Enablement Acceptance Report

Following the completion of retailer enablement activities, the e-WIC Vendor shall provide a summary of the enablement outcomes for final acceptance by the State.

4.6   Clinic Enablement

In order to initiate pilot and each phase of the rollout, clinics must be ready to support e-WIC. The e-WIC Vendor will ensure telecommunications are established. The e-WIC Vendor will support testing to ensure that transactions originating from the clinic sites are being properly received in the e-WIC production environment and responses are properly received by the clinic user. The e-WIC Vendor will support testing to ensure that PIN encryption in the production environment is working properly. Additionally, the e-WIC Vendor will ensure that the process for card delivery to clinic sites meets all service level requirements.

4.6.1   Clinic Enablement Plan

The e-WIC Vendor shall develop a Clinic Enablement Plan. This document describes the e-WIC Vendor's methods for ensuring that WIC clinics are enabled to issue and manage the West Virginia e-WIC card. The plan shall describe the activities, schedule and staff proposed for clinic enablement.

As part of the bi-weekly status reports, the e-WIC Vendor shall include the status of clinic enablement against the Clinic Enablement Plan.

4.6.2   Clinic Enablement Acceptance Report

Following the completion of clinic enablement activities, the e-WIC Vendor shall provide a summary of the enablement outcomes for final acceptance by the State.

4.7   Testing

The testing phase of the project will be a joint effort between the e-WIC Vendor and the Crossroads Contractor. Since e-WIC functionality touches many components of the Crossroads system, it is anticipated that e-WIC functionality will be occurring throughout the four month user acceptance testing (UAT) for the Crossroads system. The e-WIC Vendor must have a fully functional and validated test environment available for use during the entire Crossroads UAT as it will provide the necessary support related to troubleshooting issues. The UAT for the e-WIC system will occur during the Crossroads UAT. Activities that shall occur during the testing phase of the project include:

- The-WIC Vendor shall coordinate with the Crossroads Contractor to develop test plans and scripts
- The e-WIC Vendor and the Crossroads Contractor shall build test environments for both e-WIC and the Crossroads systems.
- e-WIC Vendor shall conduct internal unit and system testing
- The e-WIC Vendor and the Crossroads Contractor shall conduct interface testing between the two systems and the State MIS system.

Depending on the type of test, e-WIC testing activities will be a joint effort between the e-WIC Vendor, the Crossroads Contractor and the State, for both systems, and Federal representatives. Prior to testing, the e-WIC Vendor shall coordinate with the Crossroads Contractor to develop a Test Plan and test scripts.

<u>Unit and Interface Testing</u>

The e-WIC Vendor must conduct internal unit testing of the e-WIC System to ensure functions are working as designed prior to interface testing and UAT. Prior to UAT, interface tests must be conducted to validate the interfaces between the Crossroads and e-WIC systems to ensure that all messages and files transmitted between the systems are properly formatted, transmitted, received, edited, accepted, confirmed and processed according to design.

<u>User Acceptance Testing (UAT)</u>

User Acceptance Testing (UAT) provides both State and Federal representatives the opportunity to test system functionality and ensure compliance with the system design requirements. During the formal test script portion of UAT, testing participants will follow detailed test scripts developed by the e-WIC Vendor and approved by the State. The ad hoc or "what if" portion of UAT provides the State and Federal representatives the opportunity to include various transaction sets and sequences that were not included in the test scripts and to challenge system operations and design. The test environment, to the extent practical, should begin with a clean test database. It is anticipated that successful completion of the UAT may require multiple iterations. The e-WIC Vendor will have appropriate staff on-site during each iteration of the UAT to coordinate its execution and to validate the success of each test scenario. The e-WIC vendor will provide processes and methods for recording and tracking all deficiencies identified during this process and the subsequent resolution.

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UAT for the e-WIC system will occur concurrently with the four month Crossroads UAT. The e-WIC Vendor and the Crossroads Contractor will coordinate their testing efforts and the e-WIC Vendor will need to have a fully functional and validated test environment available for use prior to, and during, the Crossroads UAT in its entirety. The environment must be available for testing in sufficient time to allow the Crossroads contractor to test all EBT processes successfully before the Crossroads UAT process begins. Pre-UAT interface testing will begin immediately following Interface Design and must be successfully completed one month prior to UAT. The test system shall mirror the production system in all systemic and functional aspects. UAT must test, at a minimum, functional design requirements including, but not limited to, security, recovery, system controls, settlement (including multiple days), benefit aging, transaction processing, administrative functionality, reporting, account maintenance, and "what if" testing. In addition, as part of UAT, the e-WIC Vendor must demonstrate the methods and processes for performing all daily reconciliation with the e-WIC system. During testing of e-WIC system functionality, the e-WIC Vendor will monitor testing activities, support UAT participants, and assist in troubleshooting of issues.

Performance and Network Capacity/Scalability Testing

The e-WIC Vendor will provide a capacity plan that includes a detailed plan for the scalability of the system. The purpose of this plan is to ensure that there is sufficient capacity within the e-WIC system and the e-WIC communications network to accommodate the projected transaction volumes. The information provided by this plan must include a system capacity model to determine the appropriate hardware and software requirements and configuration. The e-WIC Vendor must use production data from their existing operational online e-WIC systems to develop a system capacity model based on the anticipated transaction volumes. The detailed plan must describe the data used, how the modeling was performed, and a comparison of the modeling method used with live production data.

Automated Response Unit (ARU) Testing

The e-WIC Vendor must test the ARU application to ensure the system properly accepts, processes, and transfers both retailer and cardholder calls.

Retailer / TPP Certification testing

The e-WIC Vendor will make available on demand a test environment, telecommunications, and support resources to allow testing and certifications for retailers and third parties that will be participating in the West Virginia EBT program. Such facilities and capabilities will be required throughout the life of the project.

Description of Testing Deliverables

4.7.1 Test Plan

The e-WIC Vendor shall develop a Test Plan. This plan will outline, for each test, the purpose, methodology, environment, and approval rating system. The e-WIC Vendor must develop a Test Plan that addresses interface testing, user acceptance testing, performance (stress) testing, network performance testing, and ARU testing and retailer/TPP certification. The Test Plan must also include a life cycle testing component to ensure proper testing is conducted prior to changes being introduced into an interoperable production environment over the life of the contract. The Test Plan must include problem resolution and escalation procedures that define the process by which the State will report system and operational problems to the e-WIC Vendor in acceptance testing and

on-going operations, the process by which these problems will be resolved, and how the resolution

will be reported back to the State. The procedures should include a priority scheme for identifying the relevant severity of the problem, as well as the anticipated timeframe for the resolution of the problem based upon the severity of the problem. The e-WIC Vendor must submit this document no later than 180 calendar days after the e-WIC Vendor receives notification to proceed with the contract.

4.7.2 Interface Test Scripts

The e-WIC Vendor, jointly with the Crossroads Contractor, shall develop Interface Test Scripts. The scripts must address the testing of message and file transmissions between the two systems as defined in the e-WIC – MIS Interface Specifications Document. This script must be submitted to the State no later than 60 calendar days prior to interface testing.

4.7.3 User Acceptance Test Scripts

The e-WIC Vendor shall develop UAT Scripts. The test scripts must cover all facets of the system's operations and test all of the system processing options and environmental conditions (e.g., POS hardware and communications failure and entry of erroneous data) and must test both positive and negative results. Scripts must address each function of the system as defined in the Functional Design Document so that the State and USDA can be assured that all functions of the system are working properly as designed. The scripts shall also define set up requirements for accounts, benefits, cards and retailers as well as any special conditions such as time sensitive scenarios. The tests shall include multiple days of processing, settlement, reconciliation and reporting.   Each test scenario shall cross reference the functions defined in the Functional Design Document to identify which function is being tested in the scenario. The test script document shall also provide as an appendix a listing of each system function as defined in the Functional Design Document and identify in which scenario(s) it is being tested.   The e- WIC Vendor must submit this document no later than 60 calendar days prior to the UAT.

4.7.4 Testing Report

The e-WIC Vendor shall be required to provide reports describing the results of each test that is performed, as well as any additional retesting that is required to satisfy the test objectives. The test reports shall describe the scope, expected results from the tests, actual results from the tests, and any system modifications that are identified as necessary to resolve system errors and deficiencies found during the testing. The e-WIC Vendor shall submit interim test reports no later than two (2) weeks following the completion of the respective test being performed. Final System Test Reports shall be provided within the timeframe detailed in the approved project plan.

4.7.5 Testing Completion Certification

Following successful completion of UAT, the e-WIC Vendor shall provide a written certification that all required tests have been completed and that the e-WIC system is ready for pilot activities.

4.8 Training

The e-WIC system will be deployed simultaneously with the Crossroads system and training for both

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systems will occur concurrently. For many stakeholders, e-WIC will appear as a seamless extension of Crossroads; simply the method of benefit issuance. The majority of e-WIC training for clinic staff will take place as part of the Crossroads training; however, the e-WIC Vendor will contribute to the development of training to ensure that appropriate information about the e-WIC system and functionality is included in the curriculum and materials.

Training preparation activities are intended to guide the process of developing and conducting training for the e-WIC system. As part of training preparation, the e-WIC Vendor will develop a Comprehensive Training Plan that will outline the anticipated training activities and identify areas requiring coordination and integration among the Crossroads Contractor and the e-WIC Vendor. The e-WIC Vendor will develop cardholder, retailer, and state staff Training Materials and coordinate with the Crossroads Contractor in the development of local agency staff training materials.

As part of pilot and statewide rollout a variety of training activities will take place to ensure that system stakeholders are prepared for the conversion to e-WIC. Training will involve the State, the e-WIC Vendor, and the Crossroads Contractor depending on the stakeholder being trained. The e-WIC Vendor will perform the following training activities during pilot and rollout.

Description of Training Deliverables

4.8.1 Train-the-Trainer Training

The e-WIC Vendor will provide training to State Trainers for training State Agency staff in the use of e-WIC functionality that is accessed through the e-WIC system. Training will cover the use of all e-WIC system screens, system reports, daily reconciliation, and any activities required to be completed by the State in support of daily operations, including reconciliation, settlement, dispute research, adjudication and reports.

4.8.2 Retailer Training (Stand-Beside Equipment)

The e-WIC Vendor will provide training to retailers receiving stand-beside equipment, if any. This will be done at the time of equipment installation and should be performed no more than two weeks prior to the go-live date for the rollout region of that retailer. Training will take a train-the-trainer approach where a manager or other member of the retailer's staff is trained on the device functions in order to train other staff in the store. The training must include an overview of transactions, reports, security set up, device/configuration options, and troubleshooting.

The following table has been provided as an overview of planned training activities during the e-WIC/Crossroads implementation. The table also identifies the party responsible for development of training materials and for performing training activities.

Table 2: Training Activities

Training Type	Description	Responsible for Training Materials	Responsible for Performing Training
State System Operations Training	The technical staff in the State who will operate the new Crossroads system after rollout is complete will require training on system operations. The training must be of sufficient technical detail to allow trainees to assume responsibility for all e-WIC system functions that are part of the Crossroads system. The State intends to build as much into the Crossroads system to support ongoing operations; however, there may be some e-WIC functions that are accessed directly from the e-WIC system that staff will require training.	Crossroads Contractor, some input from the e-WIC Vendor may be needed.	Crossroads Contractor
User Acceptance Test Training	The User Acceptance Test (UAT) of both the Crossroads and e-WIC system will occur concurrently. While staff members who participate in the UAT process will follow structured scripts, it is necessary to provide training on an overview of the e-WIC system and how it interacts with the Crossroads system prior to beginning the UAT process for both systems. This enables the testers to follow the test scripts more confidently and with fewer mistakes.	*e-WIC System Materials:* e-WIC Vendor *Crossroads System Materials:* Crossroads Contractor, some input from the e-WIC Vendor may be needed.	*e-WIC System Training:* e-WIC Vendor *Crossroads System Training*: Crossroads Contractor

Training Type	Description	Responsible for Training Materials	Responsible for Performing Training
Train-the-Trainer	The Crossroads Contractor will provide training sessions for trainers who will train the local agency and clinic staff prior to statewide rollout as well as train State Agency staff. It is not anticipated that clinic users will be accessing the e-WIC system directly as the Crossroads system will provide the functionality and data needed to perform clinic duties, however State Agency staff will access the e-WIC system for certain functions and reports. Trainers will be trained prior to the start of pilot so that they may assist in the pilot agency training and any training of West Virginia WIC State staff necessary for pilot. This will provide additional preparation to ensure that staff members are prepared for the start of agency-wide rollout. The Crossroads training sessions in addition to other system functionality will include e-WIC functionality and cover all benefit related areas of clinic functions with special emphasis on benefit issuance, tracking, and reconciliation.	Crossroads Contractor is responsible for the train-the-trainer materials with assistance from the e-WIC Vendor for topics related to e-WIC. The e-WIC Vendor will develop train-the-trainer training materials for West Virginia WIC State staff on the use of the e-WIC system.	Crossroads Contractor is responsible for this training with assistance from the e-WIC Vendor for topics related to e-WIC. The e-WIC Vendor is responsible for training on the e-WIC system and e-WIC concepts for State Agency staff.
Local Agency/Clinic Staff Training	This training will consist of a Crossroads system overview inclusive of e-WIC functionality for all clinic staff. The training will provide real world examples of system tasks for each staff responsibility and program functional area. To the extent there is separation of responsibility between clinic staff, support staff will be trained in functions of the system related to their duties, such as benefit issuance and reconciliation. Clinic staff will be trained on how to instruct participants on how the system and benefit issuance method will affect them and how to use their new e-WIC cards.	Crossroads Contractor is responsible for the development of materials with assistance from the e-WIC Vendor for topics related to e-WIC.	State trainers that have been trained through the Train-the-Trainer training will perform this training.

Training Type	Description	Responsible for Training Materials	Responsible for Performing Training
West Virginia WIC State Staff	West Virginia WIC State staff members involved with the e-WIC system implementation will be trained based on Crossroads Contractor "Train the Trainer" training with additional input from the e-WIC Vendor regarding e-WIC system functionality that State Agency staff will access outside of the Crossroads system. This training will consist of functionally specific training for all West Virginia WIC State staff that will utilize the Crossroads and e-WIC systems. The training will include hands-on examples of system tasks for each related area. Different training sessions will be provided for each area and will provide real-world examples of system tasks.	Crossroads Contractor is responsible for the development of Crossroads training materials with assistance from the e-WIC Vendor for topics related to e-WIC. The e-WIC Vendor will develop training materials for West Virginia WIC State staff on the use of the e-WIC system.	State trainers that have been trained through the Train-the-Trainer training will train West Virginia WIC State staff.
Cardholder Training	This training involves educating e-WIC cardholders on how to use and care for their new card. Cardholders will be trained as they are issued their new card. Training materials must be provided in English and Spanish.	The e-WIC Vendor will develop training and informational materials for cardholders.	Clinic staff will train cardholders as cards are issued to WIC families.
Retailer Training (Policy)	Retailers will require training on updates to policies or other procedural changes related to e-WIC.	West Virginia WIC staff will be responsible for developing these training materials.	West Virginia WIC - staff will be responsible for this training.
Retailer Training (Stand-Beside Equipment)	Retailers receiving stand-beside POS equipment will require training in the use and care of the device.	The e-WIC Vendor will develop training and informational materials for retailers who use stand-beside equipment.	The e-WIC Vendor will be responsible for training retailers using stand-beside equipment.

4.8.3   Comprehensive Training Plan

Training will be performed to prepare system stakeholders for use of the system. Training plans will be developed by e-WIC Vendor in conjunction with the Crossroads Contractor and the State. The State reviews and approves all training materials.

The e-WIC Vendor will prepare and submit a Comprehensive Training Plan no later than 150 days after the e-WIC Vendor's receipt of notification to proceed with the contract. The Comprehensive Training Plan shall identify the proposed deadlines and supportive tasks for the planning, design, development, production, and distribution of all training materials as well as the activities for train-the- trainers for State and retailers receiving state provided POS equipment. The training plan shall address the timeline for creation of the deliverables with the timeframe for training retailers and the State train-the-trainers who will be training local staff. The plan must include the deliverable dates of training products with sufficient time allowed for State review and approval.

4.8.4 Training Materials

The e-WIC Vendor must design, develop, and submit the following training materials during the design phase no later than 150 days prior to the pilot start date. The e-WIC Vendor develops cardholder, retailer, clinic and state staff training materials and works in collaboration with the Crossroads Contractor to develop system integrated state, local agency staff training materials

Cardholder Training Pamphlet: The e-WIC Vendor shall provide information on how to use and properly care for the e-WIC card.
The e-WIC Vendor shall provide Cardholder Training Automated Response Unit (ARU) script: Documents complete script, process flows and decision points for calls made to the ARU.
Retailer POS User's Manual: The e-WIC Vendor shall provide a step-by-step description of how to perform e-WIC transactions on the stand-beside POS device. Also documents how to access reports and perform daily reconciliation. Includes information related to troubleshooting and problem resolution.
Retailer Tips Card: The e-WIC Vendor shall provide a quick reference card providing information on common functions performed on the stand-beside POS terminal.
e-WIC Train-the-Trainer Manual: The e-WIC Vendor shall provide a step by step manual that will be used by State trainers for training clinic staff and clients on how to use their new e-WIC card. It shall detail information about the e-WIC system and its functionality that will be conveyed as part of clinic staff training.
West Virginia WIC State staff e-WIC Manual: The e-WIC Vendor shall provide a manual detailing the functionality of the e-WIC system that State Agency users will access external to the Crossroads system. The manual will be broken down by functional area and will include hands-on examples of system tasks for each training area.

4.8.5   Training Acceptance Report

Following the completion of training activities, the e-WIC Vendor shall provide a summary of the training outcomes for final acceptance by the State.

4.9   Security
All systems must provide for the required level of security. This section addresses the functions related to e-WIC security.   The e-WIC Vendor shall submit an overview to the requirements for the Security Plan as is specified in FNS Operating Rules for WIC EBT.

Description of Security Deliverables
The e-WIC Vendor shall prepare a Security Plan and complete a Security Assessment detailing the security provisions and proposed user roles established within the e-WIC system.

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4.9.1   Security Plan

The e-WIC Vendor's Security Plan must detail the measures for the security of data exchange and interface between the Crossroads and e-WIC systems.

The e-WIC Vendor shall develop a Security Plan for the Encryption of PINs and secure maintenance of PIN data. The plan must describe measures to secure access to the e-WIC data

- Via the Crossroads interface.
- Via the e-WIC Vendor's web administrative system.
- For retailers and cardholders through a web portal.
- For cardholders through an automated voice response system.
- The e-WIC Vendor's Security Plan must detail the measures for system access roles.
- The e-WIC Vendor's Security Plan must describe the measures to secure the State's Data.
- The e-WIC Vendor's Security Plan must describe Security related to transaction processing and settlement to retailer or other third party networks.

The Security Plan must be consistent with State guidelines and the e-WIC Vendor must submit this document no later than 180 calendar days after the e-WIC Vendor's receipt of notification to precede with the contract.

4.9.2   Security Assessment

The e-WIC Vendor shall develop and complete a Security Assessment to validate adherence to State security standards. This assessment must be reviewed and approved by the State. The State may exercise the option to verify compliance through an onsite review and evaluation.

4.10   Pilot Evaluation

The pilot will be the test of the system and e-WIC operations in production. During this phase, the State will learn from the experience of the pilot clinics and retailers and determine if there is a need to make any modifications to the implementation approach. The evaluation will be completed by the State with input and participation from the e-WIC Vendor and the Crossroads contractor. The e-WIC Vendor will be required to provide onsite support for a minimum of the first week of the pilot to allow for immediate troubleshooting and then continued support remotely during the remainder of the pilot and rollout activities. The e-WIC Vendor will also support this effort by providing transaction and other system data through standard and ad hoc reports as needed.

<u>Description of Pilot Evaluation Deliverables</u>

4.10.1   Pilot Completion Certification
Following successful completion of Pilot, the e-WIC Vendor shall provide a written certification that all pilot activities have been completed and that the e-WIC system is ready for rollout.

4.11   Operations

During the Operations Phase, the e-WIC Vendor shall maintain ongoing communications with the State. The e-WIC Vendor shall provide immediate notification to the State of any issues or system problems. The e-WIC Vendor shall assign a point of contact for ongoing communications to the State for all e-WIC system and operational issues.

The ongoing communications required from the e-WIC Vendor will include a monthly status report containing open and closed issues, monthly status meeting with the State, and other reporting and meeting requirements at the State's request. Of particular importance is the advance notification of scheduled system downtime to the State by the e-WIC Vendor.

During the Operations Phase, the e-WIC Vendor shall maintain and update all manuals delivered during the Interface Design and System Development. The manuals that must be maintained by the e-WIC Vendor are the Detailed Design Document, the Continuation of Business Plan, the System Security Plan, the Operations Manual, the Reports Manual, and the Settlement/Reconciliation Manual.

The e-WIC Vendor shall provide updated manuals to the State prior to implementing system and operational changes into production.

Once in production, the e-WIC Vendor will manage and maintain interfaces and connectivity between the Crossroads system, the e-WIC Vendor, financial networks, and financial institutions. The e-WIC Vendor will also manage e-WIC accounts within the system to include account balances with the system and the expungement of expired benefits. Cards and card statuses within the e-WIC Vendor's system must be maintained and managed. Additionally the e-WIC Vendor shall maintain and manage the operating system for transaction processing, the performance of daily settlement and reconciliation and the provision of required reports and data file. The e-WIC Vendor must also operate, manage and maintain the provision of retailer and cardholder customer support, which shall include the maintaining and supporting the stand-beside POS devices.

For enhancements requested by the State, the e-WIC Vendor shall provide to the State its cost estimate including programming time and any incremental charge for the State's review before implementing any requested changes. The cost estimate shall use the hourly rate for the labor grades provided in the e-WIC Vendor's pricing proposal. The e-WIC Vendor shall respond to enhancements requested by the State within ten (10) business days of receiving the request. Further, the e-WIC Vendor shall provide a time and cost estimate for the request within fifteen (15) business days from the initial response. Work shall not begin on the enhancement by the e-WIC Vendor until written approval is received from the State.

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Description of Operations Deliverables

4.11.1   Monthly Status Report

The e-WIC Vendor must submit the monthly status report throughout system operations. The content of the status report will include open and closed issues, monthly status meeting with the State, and other reporting and meeting requirements at the State's request. It shall also include advance notification of any scheduled system down time.

4.11.2   Continuation of Business Plan

The e-WIC Vendor shall develop a Continuation of Business Plan. The plan will provide an evaluation of the types of service interruptions such as natural disasters, systems failures, and telecommunications failures that may influence the e-WIC system's operations and therefore require the use of a backup and recovery process. For each potential interruption type, the e-WIC Vendor will detail at a minimum, the steps to be taken to survive and recover from the interruption. This plan must include provisions to ensure that cardholder and retailer services incur minimal interruption. The plan must state the resources committed to each contingency operations plan for each system component as well as provide detailed escalation procedures. The e-WIC Vendor must submit this document no later than 180 calendar days after contract execution.

4.11.3   Operations Manual

The e-WIC Vendor shall develop an Operations Manual. This manual shall provide a detailed description of system operations to include problem resolution and escalation procedures to include client complaints and dispute resolution, system configuration settings, and information about batch files and the times of transmission. The problem resolution and escalation procedures will define the process by which the State will report system and operational problems to the e-WIC Vendor. This shall include points of contact and contact information as well as how to escalate problems if they are not being resolved in a timely or appropriate manner. The manual shall also define the process by which these problems will be resolved and how the resolution will be reported back to the State. The procedures should include a priority scheme for identifying the relevant severity of the problem as well as the expected timeframes for the resolution of the problem based upon the relative severity of the problem.

4.11.4   Settlement and Reconciliation Manual

The e-WIC Vendor shall develop a Settlement and Reconciliation Manual. This document shall detail the process for performing the settlement process including the steps for completing settlement, timeframes, and parties involved. In addition, this document specifies the procedures performing a daily reconciliation of system activity and shall include at a minimum, a description of how to reconcile transactions processed between the Crossroads system and the e-WIC system including benefits transmitted to the e-WIC system, transactions processed between the e-WIC system and retailers. The Settlement and Reconciliation Manual will detail how the settlement amount paid to retailers for transactions processed and how e-WIC Vendor authorizes settlement amounts paid to retailers. The Vendor must submit a daily invoice to the state to initiate transfer of funds. The

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settlement and reconciliation manual must also specify how the State is invoiced by the e-WIC Vendor and how the State reimburses the e-WIC Vendor with funds drawn from the West Virginia funding account. The Settlement and Reconciliation Manual must also describe the process whereby the change in the contents of the household food benefit database would be validated against the sum of all transaction data for that same twenty-four (24) hour window.

The manual shall identify the specific reports from the e-WIC Vendor that are required and produced for settlement and reconciliation of the e-WIC system. The e-WIC Vendor must submit this document 120 calendar days prior to the pilot start date.

4.11.5   Configuration and Change Management Plan

The e-WIC Service provider shall develop a Configuration and Change Management Plan. This document shall contain the following information and be submitted to the State within 120 days of the e-WIC Vendor's receipt of approval to proceed with the contract. This document describes change management as well as how software version control is managed and maintained. The configuration and Change Management Plan shall include:

- How the e-WIC Vendor will assign identification numbers to releases of the system.
- How releases of the system will be archived by the e-WIC Vendor (e.g., each new version will be archived, as will each build since the last archive).
- The e-WIC Vendor's procedures will ensure that only one release of the system is being system tested (either internally on in UAT) at any given time.
- How the e-WIC Vendor will ensure that only one release of the system is operational at any time in all installations during pilot, rollout, and operations.

4.11.6   Contract Transition/System Conversion Plan

The e-WIC Vendor shall develop a Contract Transition/System Conversion Plan. The purpose of this document is to detail the activities that will be involved in converting e-WIC processing and services to a different e-WIC Vendor at the end of the current e-WIC Vendor's contract period. This plan shall include a description of tasks, activities, and specifically the support and types of resources that will be provided by the e-WIC Vendor selected through this procurement. It shall also identify activities that need to be performed by the e-WIC Vendor to which the State will be converting as well as those that shall be performed by the State, retailers, and local agencies/clinics. The e-WIC Vendor must submit this document 90 calendar days prior to the pilot start date.

Part 5 Technical and Service Level Requirements

The e-WIC system shall meet the technical and service requirements as specified below and shall comply with any change in Federal or State law or regulation which alters the e-WIC requirements.

5.1   Introduction

This section describes the functions that must be provided in the e-WIC system. It addresses the following areas.

- General Requirements
- Authorized Product List
- Household EBT Account
- Household Food Benefits
- Benefit Redemption
- Settlement and Reconciliation
- Vendor Management
- Program Management
- Cardholder Services
- System Operations
- Security

Functional Requirements

The following outlines all the functions that must be supported by the e-WIC Vendor and provided in the e-WIC system.

5.2   General Requirements

The following are general requirements that must be supported in the e-WIC system.

5.2.1   Interface with Crossroads

The e-WIC system will conform to Crossroads implementation of the Universal Interface Specifications being adopted by FNS for EBT to MIS data transfers. The detailed information can be found in the Crossroads WIC Project MIS-To EBT interface Functions in Appendix C.

5.2.2   e-WIC Standards

- The e-WIC system will conform to the X9.93 standards which can be found at http://webstore.ansi.org/FindStandards.aspx?SearchString=X9.93&SearchOption=1 &PageNum=0) and will follow the technical implementation guidance of the standard as defined by USDA FNS located in Appendix E.
- The e-WIC system will conform to the business and operating Rules for Online WIC EBT systems as defined by USDA FNS.

5.2.3   Coordination with Crossroads Project

Development, testing, pilot and rollout activities must occur according to the Crossroads schedule and requirements.

5.3   Authorized Product List

The Authorized Product List (APL) is the vehicle by which e-WIC identifies specific food products that may be redeemed using WIC Food Benefits. The e-WIC system will provide functionality to manage, maintain and process the APL.

5.3.1   Category/Sub Category Maintenance

- The e-WIC system shall be able to receive a list of Categories /Subcategories from the Crossroads system.
- The e-WIC system shall be able to provide users a view of the Category / Sub category tables maintained in the e-WIC system.

5.3.2   Universal Product Code (UPC) and Price Look Up Code (PLU) Maintenance

- The e-WIC system shall be able to receive a list of UPCs/PLUs from the Crossroads system and update the database of UPC/PLUs maintained by the e-WIC system for use in the approved products list (APL).
- The e-WIC system shall be able to provide users a view of the UPCs/PLUs maintained in the e-WIC system. The list must, at a minimum, be searchable, able to be sorted and filtered by category and subcategory.
- Additionally, the e-WIC system shall allow users to set activate and de-activate dates for specific UPCs through the e-WIC system interface.

5.3.3   Not to Exceed (NTE) Maintenance

- The e-WIC system shall provide a structure to establish NTE's for each UPC by peer group. Peer groups will be defined by the State.
- NTE's will be calculated and transmitted to the e-WIC system by the Crossroads system. The e-WIC system shall be able to accept NTE data from the Crossroads system and update the e-WIC system with any updated NTE data.
- The e-WIC system shall provide (automated and on-demand) activation of new NTEs so that NTE changes can be effective immediately.
- The e-WIC system shall provide users a view of historical NTE data.

5.3.4   APL Processing

- The e-WIC system shall generate the retailer APL file (automated or on-demand).
- The e-WIC system shall make APL files available for download by grocers or third parties.
- The e-WIC system shall provide users a view of APL source data (current and previous) which

includes the ability to view APL files that were created by the system viewable by date.

5.4   Household EBT Account

The e-WIC system will maintain an online electronic food benefit account for each WIC household as transmitted to the e-WIC system from the State. In support of this, the following functions must be provided by the e-WIC system.

5.4.1   Create EBT Household

The e-WIC system must be able to receive a household identifier and demographics from the Crossroads system through an online transaction. This shall include validation by the e-WIC system of the uniqueness of Household ID (no duplicates allowed) and validation by the e-WIC system of the integrity of identifying data (e.g. Name, DOB in proper format).

The e-WIC system shall allow for the establishment of a household EBT account through the e-WIC Vendor's Interface.

The e-WIC system must be able to receive the e-WIC card number and demographics of the primary cardholder assigned to the household by the Crossroads system via an online transaction. This shall include validation by the e-WIC system that the required fields are present and valid the linking of the primary card holder and card number (PAN) to the household account.

The e-WIC system will support the ability to add additional cardholders to the EBT account. The e-WIC system will receive an alternate cardholder card number and demographics assigned to the household by the WIC program via an online transaction. At this time, the State has decided to issue only one card per household, but may choose to issue more than one card in the future.

The e-WIC system will support cardholder selection of a private PIN. The State intends for the PIN to be selected using an interface with the Crossroads system. The PIN will be encrypted by the PIN pad and the encrypted PIN will be transmitted from the Crossroads system via an online transaction. The Crossroads system will not store or have knowledge of the PIN.   The e-WIC system shall employ the appropriate security standards, store the encrypted PIN in the EBT database and link it to the cardholder.

5.4.2   Maintain Household Account

- The e-WIC system will provide functionality to change household demographics and/or household ID. This is supported via online transmission of data from the Crossroads system. Additionally, the ability to support this function via the e-WIC system administrative screens must also be supported. This function would be used only on a limited basis. The e- WIC system shall validate new or updated demographics and update the EBT database with new or updated demographic data.

- The e-WIC system will provide functionality to change the primary cardholder. This is supported via online transmission of data from the Crossroads system. Additionally, the ability to support this function via the e-WIC system administrative screens must also be supported. This function would be used only on a limited basis. The e-WIC system shall be able to change the demographics for primary cardholder and change the name of the primary cardholder

- The e-WIC system will provide functionality to add or change a proxy card holder. The State Agency intends to only issue one card per household, but alternate cards should be supported. This is supported via online transmission of data from the Crossroads system. Additionally, the ability to support this function via the e-WIC system administrative screens must also be supported. This function would be used only on a limited basis. The e-WIC system shall be able to change the demographics for an alternate cardholder and change the name of the alternate cardholder.

- The e-WIC system will provide functionality to update the status of an EBT card assigned to a cardholder. This is supported via online transmission of data from the Crossroads system. Additionally, the ability to support this function via the e-WIC system administrative screens must also be supported. Card statuses that shall be updated via the e-WIC system shall include active (the only status in which a card can be used to perform transactions) and deactivated. Deactivated shall be defined to include a card that has been disabled via transmission of data from the Crossroads system and additionally, via the e-WIC system administrative screens. Once deactivated, the card cannot be reactivated. When a card is deactivated, a reason code must be identified.

- The e-WIC system will provide functionality to replace an EBT card assigned to a cardholder. This is supported via online transmission of data from the Crossroads system. Additionally, the ability to support this function via the e-WIC system administrative screens must also be supported. The e-WIC system shall be able to assign a new card number to the indicated cardholder in a household and transfer the selected PIN to the new card. The e-WIC system must also maintain and support a display of a history of cards assigned to households and individual cardholders. The e-WIC system must also enforce the one active card per cardholder rule.

- The e-WIC system will provide functionality to change a previously selected cardholder PIN (for both primary and alternate cardholders). The e-WIC system shall provide functionality to allow a user to positively identify a cardholder requesting PIN change using demographic information and maintain the security of the PIN.

- The e-WIC system will provide the functionality to maintain a PIN status. The following statuses shall At a minimum:

  - The e-WIC System shall indicate the PIN status as not selected if a PIN has not yet been selected for a card. If this status is assigned to a PIN, a transaction will not be able to be processed.
  - The e-WIC system shall indicate the PIN status as selected if a PIN has been selected

for a card.   If this status is assigned to a PIN, a transaction will be able to be processed assuming all other validations are passed.

- The e-WIC system shall indicate the PIN status as locked if the PIN is locked due to the cardholder exceeding the limit of invalid PIN attempts. If this status is assigned to a PIN a transaction will not be able to be processed.

- The e-WIC system will provide functionality to unlock on demand a PIN that has been locked for exceeding an established number of consecutive invalid PIN attempts.   The Crossroads system will be the primary method of user interface. The Crossroads system must be able to access EBT account information real-time to determine the status of the card or PIN attempts. Additionally, the ability to support this function via the e-WIC system administrative screens must also be supported. The e-WIC system shall support the ability to release the PIN lock by an authorized user at any time and at midnight on the day in which the PIN lock occurred.

- The e-WIC system will provide functionality to query a Household Account.   This functionality shall include the ability to initiate the query by the Crossroads system and the query data to be returned to and displayed through the Crossroads system. Household Account queries shall also be supported through the e-WIC system administrative screens.   All Household Account history and transaction data must be accessible from the query function once the correct account or cardholder record is located. At a minimum, the search criteria for these queries shall include the household ID, the card number and the cardholder (primary and alternate) first and last name. The search query results shall be filterable and sortable.

- The e-WIC system will provide online functionality to allow a user to view the current EBT household account information. The Crossroads system will be the primary method of user interface. The Crossroads system must be able to access EBT account information real-time. Additionally the ability to support this function via the e-WIC system administrative screens must also be supported.   The ability to support this query function via the e-WIC System's administrative screens shall include the location of a household account. Additionally, the e- WIC   administrative system must provide for navigation from cardholder's account information screen to transaction history and card history for that account. The e-WIC   System's administrative system must provide a history of all account activity to include credits, debits, card changes (issuance, replacement, and card status changes), and PIN changes.

- The e-WIC system will provide online functionality to allow a user to view a history of all EBT cards that have been assigned to a household. The Crossroads system will be the primary method of user interface.   The Crossroads system must be able to access EBT account information real-time.   In addition, to accessing to this data via the Crossroads interface, online functionality for the following shall be provided by the e-WIC system administrative screens:

  - Ability to locate a household's card history.
  - Navigation from card history to transaction history and account information for that account.

5.5   Household Food Benefits

The e-WIC system will receive, store and manage all food benefits issued to participants in a WIC household. Benefit authorization is performed by the Crossroads system.

5.5.1   Issue Food Benefits to WIC Household

- The e-WIC system will provide an interface to receive benefit issuance. Benefit issuance is supported via an online transmission of data from the Crossroad system.
- The e-WIC system shall store food benefits and will link them to the household EBT account.
- The e-WIC system shall track each specific benefit issuance transmitted to the EBT system by its unique benefit issuance number.
- The e-WIC system shall reject duplicate benefit issuance.
- The e-WIC system shall reject un-synched benefits (benefits that have an availability period that overlaps the end date of a benefit already associated with the household account.
- The e-WIC system shall allow benefit issuance for current and future months.
- The e-WIC system shall allow more than one issuance to a household for a single month. The Crossroads system will aggregate the benefits for the household, but when there are household or benefit changes in the middle of a benefit period, additional issuances may be transmitted to the e-WIC system. These additional benefits must have an end
date that synchronizes with existing benefits. These benefits will be aggregated with any existing benefits by availability period.
- The e-WIC system shall validate that benefit issuance records are correct in content and format.
- The e-WIC system shall verify that benefit dates are synchronized with existing household benefits.
- The e-WIC system will support real time functionality in the clinic to display and print a shopping list of available benefits. The Crossroads system will be the primary method of user interface for this function. The Crossroads system must be able to access EBT account information to retrieve this data real-time. Additionally, the e-WIC system must support the ability to view the current balance through the e-WIC system administrative screens.

5.5.2   Maintain Household Benefits

- The e-WIC system will provide the functionality to modify currently available benefits. The Crossroads system will be the primary method of user interface for this function. The Crossroads system must be able to access EBT account information real-time to support this function. Additionally, the e-WIC system must support the ability to view the current balance through the e-WIC system administrative screens. This functionality shall include:

  - The e-WIC system shall have the ability to locate a household account.
  - The e-WIC system shall display current month's benefits through the Crossroads system.
  - The e-WIC system shall have the ability receive transmission from the Crossroads system to make changes to current benefits.

- The e-WIC system will provide online functionality to modify future month's benefits. The Crossroads system will be the primary method of user interface for this function. The Crossroads system must be able to access EBT account information real-time to support this function. Additionally, the e-WIC system must support the ability to view the current balance through the e-WIC system administrative screens and support benefit adjustments. This functionality shall include:

  - The e-WIC system will search for and locate a household
  - The e-WIC system will display future month's benefits through the Crossroads system
  - The e-WIC system will receive transmission from the Crossroads system to make changes to future benefits.
  - The e-WIC system will modify future month benefits in EBT database according to instructions received from Crossroads.

5.5.3   Benefit Expiration

- The e-WIC system will store and manage benefits based on the supplied availability dates.

  - The e-WIC system will ensure that benefits may not be redeemed after end date/time or before begin date / time.
  - The e-WIC system will ensure that benefits will expire based on the end date/time provided by the Crossroads system at the time of the issuance.
  - The e-WIC system will remove expired benefits from a household account; however, history of those benefits will remain in the system and associated with the account.
  - The e-WIC system will ensure that expired benefits are reported back to the Crossroads system as part of a nightly batch process.
  - The e-WIC system will ensure that benefit expiration is based on the local time of the cardholder. The State is in the Eastern Time zone.

5.5.4   Query Benefits

- The e-WIC system will provide online functionality to query benefits posted to a household account. The Crossroads system will be the primary method of user interface for this function. The Crossroads system must be able to access EBT account information real-time to support this function. Additionally, the e-WIC system must support the ability to view the current balance through the e-WIC system administrative screens. This functionality shall include:

  - The e-WIC system shall provide search functionality to locate benefit information (currently available and expired or redeemed) for a household account.
  - The e-WIC system shall provide a history of all benefit activity.

5.6   Benefit Redemption

Benefit redemption involves purchasing items at a WIC authorized vendor. Functionality in this area is related to transaction processing.

5.6.1   Real Time Transaction Processing

- The e-WIC system will provide online real time processing of retail transactions.
- The e-WIC system shall require that an APL has been transmitted to and resident on the retail system.
- The e-WIC system shall require that a PIN is required on all transactions.
- The e-WIC system shall require that a PAN is required on all transactions.
- The e-WIC system shall require that that the transaction set includes at a minimum a balance inquiry, a pre-purchase balance inquiry (preparatory for redemption),WIC purchase (no partial approval), void and reversal.
- The e-WIC system shall require that the vendor ID is validated on all transactions
- The e-WIC system shall require that a UPC or PLU code required for each purchased product.
- The e-WIC system shall require that all products are validated against a current list of WIC approved items (APL).
- The e-WIC system shall require that all products are validated against a household balance.
- The e-WIC system shall support the use of broadband subcategory (000) to purchase items issued in multiple specific subcategories and not allow the purchase of items not eligible for purchase with broadband.
- The e-WIC system shall include the ability to exclude certain subcategories from being purchasable with broadband.
- The e-WIC system shall include the ability to straddle a single item being purchased across subcategories. For example if an account has .5 gallons remaining in skim milk and .5 gallons remaining in broadband, a one gallon container of skim milk could be purchased and applied to each subcategory.
- The e-WIC system will only approve current month benefits for redemption
- The e-WIC system shall present transactions to host in X9.93 format and will conform to the FNS guidance for implementing X9.93.
- The e-WIC system will adjustment for NTE overages as necessary at the time the transaction is processed.
- The e-WIC system will provide an approval or denial for each transaction. Denials will include a reason code.
- The e-WIC system shall support Cash Value Benefit (CVB) for mapping or full PLU list and for mapping to the generic WIC CVB PLU.
- The e-WIC system shall support split tender for CVB by identifying the overage and presenting a balance due.
- The e-WIC system will debit or credit household account balances in real time as transactions are approved
- The e-WIC system shall support a minimum of 50 items in a single purchase.
- The e-WIC system will lock a card after a configurable number of consecutive bad PIN attempts. The e-WIC Vendor's system will release the lock at midnight on specified time determined by the State. The e-WIC system must support an unlock on demand function.
- The e-WIC system will support commercial network connections to acquire e-WIC

transactions.
- ▪ The e-WIC system will support a direct connect solution between a retail system (integrated or stand-beside) and the e-WIC system. This option will be supported by the e-WIC system without transaction, set-up, usage or other fees assessed to the retailer. Note that the retailer will be responsible for providing telecommunications (i.e. a phone line or an ISP broadband connection) since this is considered a normal cost of doing business.

5.6.2 In-store Transaction Processing

- The e-WIC system will support in-store transaction processing to conform to the WIC EBT Operating Rules as adopted and modified by FNS.
- The e-WIC Vendor will provide a stand-beside e-WIC POS if a vendor chooses not to integrate. The device shall support:
    - ▪ Both single and multi-lane usage.
    - ▪ Both high speed and dial connections.
    - ▪ The full transaction set except store & forward.
    - ▪ Download and storage of multiple APLs.
    - ▪ Price memory functionality. This function should be able to be turned off or on because a store may choose to not use this feature of the POS.
    - ▪ Entry of multiple discounts on a single transaction.
    - ▪ Allow for the CVB to be mapped to a single generic code. This is preferred versus having the cashier enter in specific PLUs.
    - ▪ Support split tender for CVB including alerting the cashier that an item scanned will exceed the CVB balance; allowing the cardholder to choose to purchase the item and pay the difference with another tender or remove the item from the transaction; and identifying the amount due for CVB if there is an overage.
    - ▪ Fully validates purchase transaction locally before sending to host.
    - ▪ Reverses transactions based on a specified time out period.
    - ▪ Provides an e-WIC EBT receipt (customer and store), that meets or exceeds the FNS requirements as specified in FNS WIC Operating Rule Draft Version 4.2.
    - ▪ Provides lane, clerk, and store totals reporting.
    - ▪ Supports reconciliation with the host system.
    - ▪ Processes Supplemental Nutrition Assistance Program (SNAP) and cash EBT transactions in accordance with existing business rules and standards established by the State. This functionality is only required on those devices that are deployed in stores that have an EBT-only POS for SNAP and cash EBT provided by the State.
    - ▪ Include maintenance and servicing of application and equipment.
    - ▪ Troubleshooting and technical support shall be provided by phone.
    - ▪ If a stand-beside device requires maintenance or replacement, a replacement device shall be provided to the retailer within 2 (two) business days.
    - ▪ For dial communications, a toll free number will be supplied.

- The e-WIC system shall support integrated e-WIC stores which shall include:
    - ▪ e-WIC system shall provide business rules as defined by the state and consistent with the WIC EBT Operating Rules adopted by FNS for in-store processing provided.

- e-WIC system shall provide technical interface specifications consistent with federal standards.
- e-WIC system shall use Third Party Processor(TPP)/network option or choose to direct connect to the host.
- e-WIC system shall make the APL available to integrated stores or their third party processor.
- e-WIC system shall provide certification scripts.
- e-WIC system shall provide certification of integrated solutions, including environment and support.
- e-WIC system shall support reconciliation with the host system.

- Transaction Queries

  - The e-WIC system will provide summary and detailed queries into redemption activity.
  - The Crossroads system will be the primary method of user interface for this function. The Crossroads system must be able to access EBT data real-time to support this function.
  - Additionally, the e-WIC system must support the ability to support queries of e-WIC data via its administrative screens.
  - The e-WIC system shall support print and export functionality and the minimum search criteria by household, card number, retailer name, retailer ID, and transaction ID.

5.7   Settlement and Reconciliation

Settlement functionality involves the payment of retailers for the redemption of benefits. Reconciliation involves ensuring that the e-WIC Vendor's system balances, and will include the following functions:

5.7.1   Reconcile Issuance Against the Crossroads System:

The e-WIC system will verify and demonstrate that all real time benefit issuance / voids sent from the Crossroads system were processed and posted to household accounts in the e-WIC database. The e-WIC system shall provide a batch file to Crossroads on a 24 hour basis detailing all benefit issuance and void transactions received during that 24 hour period.

5.7.2   Reconcile Database Against Activity:

- The e-WIC system will reconcile benefits redeemed and issued or expired against the change in database value on a daily basis.
- The e-WIC system shall maintain a 24 hour business day processing cycle.
- The e-WIC system shall verify that the quantity of each category/sub category held in the EBT database at the end of the business day is equal to the values at the beginning of the business day plus the net sum of benefits issued, expired, voided and redeemed as contained in the transaction history detail for that business day.
- The e-WIC system shall notify affected users of any detected anomalies in database reconciliation. The e-WIC Vendor's system shall notify the users in the form of an alert or a

report.

- The e-WIC system shall provide tools to correct invalid conditions.

5.7.3   Daily Settlement

The e-WIC Vendor's system will reimburse all direct connect retailers for benefits redeemed. Reimbursement by the e-WIC Vendor will be made to the entity that forwarded the transaction to the e-WIC system for approval. This may be a Gateway switch, a third party processor, or in the case of a direct connected retailer to the retailer itself.

- The e-WIC system shall maintain a daily system settlement cut off time.
- The e-WIC system shall support TPP selected settlement windows.
- The e-WIC system shall calculate the amount due to each store TPP or Gateway based on transactions approved to that entity within the settlement window.
- The e-WIC system shall maintain a record of banking information as needed to support ACH funds movement to all settlement entities.
- The e-WIC system shall create an ACH transaction to move funds from the State settlement account to vendor's TPP or Gateway's account.
- The e-WIC system shall transmit ACH transactions to bank on daily basis in time for overnight settlement. The e-WIC Vendor's system shall notify the State of funds to be transferred that day.
- The e-WIC system shall settle all third party and Gateway transactions based on rules in place with the TPP or Gateway. The e-WIC Vendor's system must accommodate varying processing configuration depending on which exchange partner is Master of Settlement.

5.7.4   Support Daily Payments to the Infant Formula Warehouse

The Crossroads system will process orders with the Infant Formula Warehouse for the fulfillment and shipment of infant formula to West Virginia WIC participants or to WIC clinic sites. The Crossroads system will determine the amount to be paid to the Infant Formula Warehouse each business day and create a file with payment and ACH information that will be transmitted to the e-WIC system as part of the nightly batch process.

- The e-WIC system shall be able to receive ACH data from the Crossroads system.
- The e-WIC system shall be able to transmit the payment via ACH to the Infant Formula Warehouse vendor.
- The e-WIC system must be able to communicate back to the Crossroads system that the transaction has been processed.

5.7.5   Financial Reconciliation

The e-WIC system will verify the integrity of settlement to the direct connect retailers and other network settlement points.

- Where the e-WIC system is the master of settlement, the e-WIC Vendor's system shall validate that the sum of the amounts on the ACH file for direct connects and other network entities is equal to the total payments calculated as due to the direct connect retailers and other network entities.
- The e-WIC system shall reconcile the system business day transactions against the transactions settled to each store and network entity.
- The e-WIC system shall support reconciliation of all settlements with the stores or network entities.
- The e-WIC system shall provide tools to correct errors in the settlement process.
- The e-WIC system shall verify that the amount drawn from the settlement account is equal to the amount indicated in the reconciliation file.

5.7.6   Reconciliation Reports and Queries

- The e-WIC System will have available settlement and reconciliation information for all stores. This information will also be available through the vendor web portal. The e-WIC system must be able to transmit this data to the Crossroads system.
- The e-WIC system will provide audit reports demonstrating that the sum of activity equals the payments made, by store and in total.

5.7.7   Track and Process Disputes/Adjustments

- The e-WIC system shall provide support of transaction adjustments based upon national standards as defined by Operating Rules Women, Infants and Children (WIC) Electronic Benefits Transfer (EBT) Draft 4.2.
- The e-WIC system shall support the ability for the State to make reimbursements to retailers via ACH. This functionality would be used by the e-WIC Vendor in those instances where the State needs to make an adjustment to a transaction that has already been settled. For example, if a retailer disputes an NTE adjustment. In the case where the State agrees that an adjustment is needed, the e-WIC Vendor shall have a way to reimburse the vendor.
- The e-WIC system must be able to receive data from the Crossroads system that indicates the vendor, the adjustment amount and the vendor banking information (the e-WIC Vendor is not expected to maintain vendor banking data except as needed for payment of stand-beside or direct connect retailers).
- The e-WIC system must be able to transmit the adjustment via ACH to the vendor.
- The e-WIC system must be able to communicate back to the Crossroads system that the transaction has been processed.

5.8.   Vendor Management

This area of functionality requires the e-WIC Vendor to maintain data related to WIC authorized vendors that shall include the following functions:

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5.8.1   Add and Update Information Needed by EBT

The e-WIC Vendor's system will provide capabilities for maintaining EBT required vendor data. This information will be provided via transmission of data from the Crossroads system. Additionally, the ability to support this function via the e-WIC Vendor's administrative screens must also be supported.

- The e-WIC system shall maintain the Vendor ID.
- The e-WIC system shall maintain the Vendor's name /demographic information.
- The e-WIC system shall maintain the Vendor's contact information.
- The e-WIC system shall maintain the Vendor peer group.
- The e-WIC system shall maintain the Vendor authorization and de-authorization dates.

5.8.2   Transmit Information to the Crossroads System

 The e-WIC system will provide to the Crossroads system, information on the activation of a vendor to accept e-WIC transactions. Once a vendor is equipped and ready to perform e-WIC transactions, their record will be flagged as Active. A list of active vendors will be transmitted to the Crossroads system on a daily basis.

5.8.3   Vendor Support

The e-WIC Vendor will provide support for State equipped stores that includes:

- The e-WIC Vendor will provide toll free vendor help desk.
- The e-WIC Vendor will provide installation of stand-beside equipment.
- The e-WIC Vendor shall provide training on use of stand-beside equipment.
- The e-WIC Vendor shall provide repair and/or replacement of stand-beside equipment including troubleshooting and technical support.
- If a stand-beside device requires maintenance or replacement, the e-WIC Vendor shall provide a replacement device within two (2) business days to the vendor.

The e-WIC system will interface with the Crossroads system to provide vendor data that can be viewed via the Crossroads vendor portal. The information provided by the e-WIC system includes, vendor transaction and ACH history. Transaction history will be transmitted via a daily batch process.

5.8.4   Compliance

The e-WIC system will support compliance activities. The Crossroads system will be the primary method of user interface for this function. The Crossroads system must be able to access e- WIC data real-time to support this function.

- The e-WIC system shall support identifying an account as a compliance account.

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- The e-WIC system shall support issuance of compliance cards and PIN selection.
- The e-WIC system shall support issuance and tracking of compliance benefits.
- The e-WIC system shall support maintaining an audit trail of activity.
- The e-WIC system shall support providing reports as necessary.

5.8.5   Vendor Education

The e-WIC system will support the ability for vendors to perform educational buys using the production environment. These will be real transactions that will be processed by the host system, not a training mode. This process shall be one of the following:

> Option 1: The e-WIC system shall support and identify educational buys based on the PAN used in the transaction. The transaction will be processed as a normal transaction, but an adjustment will be made after the transaction to debit the retailer for the educational buy.
> Option 2: The e-WIC system will identify educational buys based on the PAN used in the transaction. The transaction will be processed as a normal transaction, but the retailer will not be paid for the purchase.
> Option 3: The s e-WIC system will identify educational buys based on the PAN used in the transaction and report this to the State Agency so that it can invoice the store for the purchase amount in order to recover the amount transacted.

5.8.6   High Risk Vendor Reporting

The e-WIC system will provide services required for High Risk analysis. The Crossroads system will be the primary method of user interface for this function. The Crossroads system must be able to access e-WIC Vendor's data during the routine batch process to support this function.
Provide necessary data to Crossroads

5.8.7   Vendor Reports

The e-WIC system will provide queries/reports to track and manage retailer activity
The e-WIC system will provide queries/reports to track and manage UPC product usage and pricing.
This will include the ability to receive a data extract from the system.

5.9   Program Management

Program management functions are those that provide information and data to the State that support reporting and decision making related to the Program.

5.9.1   Financial Reporting

The e-WIC system shall provide data that will be used in the creation of the FNS-798 report; this includes tracking issuance and redemption by benefit month.

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5.9.2   Rebate Reporting

The e-WIC system shall provide data for the creation of rebate reports. The daily transaction file must contain the necessary data for reporting and analysis in the Crossroads system.

5.9.3   Program Management Reports

The e-WIC system shall support information needs for effective WIC program management. The daily transaction file must contain the necessary data for reporting and analysis in the Crossroads system.

5.9.4   UPC Product Utilization and Food Cost Reports

The e-WIC system shall support information needs for effective food benefit management. The daily transaction file must contain the necessary data for reporting and analysis in the Crossroads system.

5.9.5   Reporting Data

The e-WIC Vendor shall make all Report Data available to the State for their Reporting needs.

5.10   Cardholder Services

This area of functionality provides support and information to e-WIC cardholders. The e-WIC Vendor shall include:

5.10.1   Cardholder Helpline Automated Response Unit (ARU) or Interactive Voice Response (IVR):

The Cardholder Helpline shall provide a system that will be the first point of contact a cardholder has when contacting the e-WIC Vendor's toll-free help line.

- The e-WIC Vendor shall provide balance inquiries
- The e-WIC Vendor shall provide benefit availability information
- The e-WIC Vendor shall provide providing information about the last 5 transactions
- The e-WIC Vendor shall provide PIN selection and changes
- The e-WIC Vendor shall initiate a report of a lost, stolen or damaged cards
- The e-WIC Vendor shall support the transfer of the call to a live Customer Service Representative (CSR)

5.10.2   Cardholder Help Line Customer Service Support

If the cardholder cannot be assisted by the ARU, then the e-WIC Vendor shall provide the capability to reach a live CSR that will assist them. The e-WIC Vendor's customer support system shall provide CSR support for balance, benefit availability transactions questions and card statusing and replacement.

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5.10.3   Cardholder Portal

The e-WIC system will interface with Crossroads to provide the functionality through the Crossroads Participant Portal to perform balance inquiries, benefit availability, inquiries, obtain transaction history, and perform PIN selection and changes and to report a card lost, stolen or damaged.

5.11   System Operations

Functions in the area of system operations provide for ongoing operations and continuation of service. It also addresses system performance.

5.11.1   System Performance

- The e-WIC Vendor's transaction processing environment (i.e. hardware, telecommunications, software, operating environment) will be properly maintained and regularly upgraded so as to be current with supported hardware and software fixes and enhancements.
- The e-WIC system will provide rapid response to all requests for service consistent with industry standards, which shall include Operating Rules, Women, Infants and Children (WIC) Electronic Benefits Transfer (EBT) included in Appendix D of this document.

- The e-WIC system shall provide a high level of availability which shall include:

  - The e-WIC system will be in operation 24 x 7 and the host system and telecommunications environment must be available and fully operational a minimum of 99.98% of the time.

  - The e-WIC Stand beside POS equipment shall be operable a minimum of 98% of the time.

  - The e-WIC Clinic interface shall be available a minimum of 99.99% of the time during clinic operating hours.
  - The e-WIC system will accurately reimburse authorized stores and network entities the next business day (per business rules) 100% of business days.
  - The e-WIC system shall provide a very high level of processing accuracy which shall include 100% reconciliation of issuance and redemption, based on transaction volume, 100% of the time.
  - All reconciliation errors shall be resolved within 24 hours of issue identification.

5.11.2   Data Access and Availability

The State must be able to access the e-WIC Vendor's data from the system in a timely manner. The e-WIC Vendor must maintain a minimum of 12 months data online, with records maintained for five (5) years and archived data made available within 48 hours of the request.

5.11.3   Business Continuation

The e-WIC Vendor's system will have provisions for back up processing and telecommunications which shall include:

- The e-WIC Vendor will maintain a remote hot site processing capability.
- The e-WIC system will fail over to hot site within 45 minutes of primary site failure.
- The e-WIC system will fail over to back up telecomm within 5 minutes.
- The e-WIC Vendor will test the fail over processes once per year.
- The e-WIC Vendor will have provisions for 24 x 7 system monitoring and problem correction.
- The e-WIC system will have automatic detection of potential error conditions.
- The e-WIC system will have automatic notification of system maintenance staff.
- The e-WIC system will have capabilities for remote access and maintenance.
- The e-WIC Vendor shall include provisions for regularly scheduled system maintenance and servicing.
- The e-WIC Vendor shall resolve inoperable conditions in 20 minutes.
- The e-WIC Vendor shall fix high priority bugs within 2 days.
- The e-WIC Vendor shall fix medium priority bugs with 10 days.
- The e-WIC Vendor shall fix low priority bugs within the next planned release.
- The e-WIC Vendor shall resolve settlement issues within 2 days.
- The e-WIC Vendor will support stand beside POS equipment.
- The e-WIC Vendor will support the replacement of malfunctioning terminals within two business days (48 hours).
- The e-WIC Vendor will support provisions for faster replacement.
- The e-WIC Vendor shall comply with industry standard business practices. These industry standards shall include, but not be limited to, FNS requirements, Operating Rules Women, Infants and Children (WIC) Electronic Benefits   Transfer (EBT), Project Management Institute (PMI) and the Institute of Electrical and Electronic Engineers (IEEE). The e-WIC Vendor's service will meet or exceed these standards for the configuration management plan implemented, the change management plan implemented and the testing and QA protocols with regression testing provisions.

5.12   Security

All systems must provide for the required level of security. This section addresses the functions related to e-WIC security.

5.12.1   Access roles to System Functions

- The e-WIC system shall provide controls to limit and manage user access to specific application functionality and data.
- The e-WIC system shall provide controls to limit and manage user access based on defined roles.

- The e-WIC system shall provide controls to limit and manage user support for security administrator(s) with responsibility for managing access at multiple levels.

5.12.2   Redemption Security

- The e-WIC system will provide security for benefit redemption to include but not be limited to the equivalent of industry standards. These industry standards shall include, but not be limited to, FNS requirements, Operating Rules Women, Infants and Children (WIC) Electronic Benefits Transfer (EBT) (Appendix D).
- The e-WIC system will provide security for PINs encrypted at point of entry, never in the clear.
- The e-WIC system will provide security for cardholder selected PIN.
- The e-WIC system will provide security for Dynamic keys between processors.

5.12.3   Crossroads – e-WIC Functions, Database of Record and Interface

Through the Crossroads project, the e-WIC Vendor's functions that will be supported by the Crossroads system have been defined. The following table provides an overview of the system that will be the database (DB) of record for each functional area and which will be the user interface to access the data or functionality.

Table 3: Database of Record

Functional Area	e-WIC DB of Record	Crossroads DB of Record	NUPC DB of Record	User Interface	Notes
EBT Security Role Maintenance	X	X		Both	Crossroads Master of Crossroads User / e-WIC Master of e-WIC Users.
Account Maintenance		X		Crossroads	e-WIC system maintains account demographics, but account set-up, update, and deactivation is initiated from Crossroads.
Benefit Maintenance		X		Crossroads	
Retailer Maintenance		X		Crossroads	Includes peer group maintenance.
Category/ Subcategory Maintenance			X	NUPC	

Functional Area	e-WIC DB of Record	Crossroads DB of Record	NUPC DB of Record	User Interface	Notes
Cardholder/Card Maintenance		X		Either	Issue cards over-the-counter initially, no mailed replacements.
Reconciliation (MIS-EBT Auto-Reconciliation)		X		Crossroads	e-WIC will transmit a file of activity to the MIS for reconciliation with MIS daily activity.
Redemption Batch File	X			Crossroads	The EBT system will make a daily activity file available to the MIS.
View EBT Balance / Transaction History	X			Either	
UPC Maintenance			X	NUPC	
NTE Calculations and Maintenance		X		Crossroads	
Retailer Bank Maintenance	X			EBT	
Financial Settlement and Reconciliation	X			EBT	
Card Inventory Management		X		Crossroads	

Part 6 Terms and Conditions

By the e-WIC Vendor's submission of a response to this RFQ, it agrees to comply with all requirements as specified within.

6.1   Submissions are Public Record

All documents submitted to the State Purchasing Division related to purchase orders/contracts are considered public records. All bids, proposals, or offers submitted by e-WIC Vendors shall become public information and are available for inspection during normal official business hours in the Purchasing Division Records and Distribution center after the bid opening.

6.2   Written Release of Information

All public information may be released with or without a Freedom of Information request, however, only a written request will be acted upon with duplications fees paid in advance. Duplication fees shall apply to all requests for copies of any document. Currently the fees are $0.50/page, or a minimum of $10.00 per request, whichever is greater.

6.3   Risk of Disclosure

The only exemptions to disclosure of information are listed in West Virginia Code §29B-1-4. Primarily, only trade secrets, as submitted by a bidder, are exemption to public disclosure.   The submission of any information to the State by a e-WIC Vendor puts the risk of disclosure on the e-WIC Vendor. The State does not guarantee non-disclosure of any information to the public.

Part 7   Contact Terms and Conditions:

By signing and submitting their proposal, the successful e-WIC Vendor agrees to be bound by all the terms contained in this RFQ.

7.1   Conflict of Interest

e-WIC Vendor affirms that it, its officers or members or employees presently have no interest and shall not acquire any interest, direct or indirect which would conflict or compromise in any manner or degree with the performance or its services hereunder. The e-WIC Vendor further covenants that in the performance of the contract, the e-WIC Vendor shall periodically inquire of its officers, members and employees concerning such interests. Any such interests discovered shall be promptly presented in detail to the State.

7.2   Prohibition against Gratuities

The e-WIC Vendor warrants that it has not employed any company or person other than a bona fide employee working solely for the e-WIC Vendor or a company regularly employed as its marketing agent to solicit or secure the contract and that it has not paid or agreed to pay any company or person any fee, commission, percentage, brokerage fee, gifts or any other consideration contingent upon or resulting from the award of the contract.

For breach or violation of this warranty, the State shall have the right to annul this contract without liability at its discretion, or to pursue any other remedies available under this contract or by law.

7.3   Certifications Related to Lobbying

e-WIC Vendor certifies that no Federal appropriated funds have been paid or will be paid, by or on behalf of the company or an employee thereof, to any person for purposes of influencing or attempting to influence an officer or employee of any Federal entity, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or

modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the e-WIC Vendor shall complete and submit a disclosure form to report the lobbying.

Vendor agrees that this language of certification shall be included in the award documents for all sub-awards at all tiers, including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements, and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this contract was made and entered into.

7.4   Benefit Program Rules

The e-WIC Vendor and any contractors shall comply with the specific benefit program level requirements. For benefit programs that do not have specific written requirements for participation in the e-WIC program, the e-WIC Vendor shall comply, as applicable, with the existing program level requirements and with benefit level requirements as promulgated by the administering agency.

- USDA Food and Nutrition Service Final Rule 7 Part 246 Special Supplemental Nutrition Program for Women Infants and Children

7.5   Internal Control and Physical/Personnel Security

The e-WIC Vendor is subject to the control and security requirements of this RFQ and the components of its individual EBT Security Plan.

7.6   Self Certification Requirements

7.6.1   Evaluation of Compliance

The e-WIC Vendor shall accept responsibility for and provide an evaluation of its compliance with the e-WIC program specific requirements, compliance with the applicable regulatory requirements, and of the effectiveness of the internal control structure in ensuring proper safeguards for the administration of public funds.

7.6.2   Certification of Compliance

The e-WIC Vendor shall provide to DHHR a written certification of compliance with the E-WIC program specific requirements and applicable bank, EFT, and financial services industry requirements related to the E-WIC application. The e-WIC Vendor shall include how such determination of compliance was made, including bank examination, audit, and internal review. Any exceptions or qualifications are to be identified and detailed, with a description of the corrective actions taken or planned to address such exceptions. It is the expectation of DHHR that the e-WIC Vendor will utilize the results of current bank examinations, audits, reviews, and similar activities in making certification

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of compliance.

7.6.3   Internal Control

The e-WIC Vendor shall certify that it has properly administered all components of the e-WIC Security Plan and that such controls provide reasonable assurance that public funds administered through the e-WIC system are properly safeguarded and protected. The e-WIC Vendor shall describe how such certification was made. The e-WIC Vendor may use the results of internal auditor opinions, financial statements and audits, bank examinations and reviews, and similar activities in making this certification.

7.6.4   Annual Attestation Engagement Requirements

The e-WIC Vendor and any sub-contractor(s) shall arrange for the performance of an annual attestation engagement on the West Virginia E-WIC system by an independent auditor acceptable to DHHR. The purpose of this engagement is to ensure that the certifications of compliance and internal control provide reasonable assurance, and any disclosure of exceptions or qualifications made by the e-WIC Vendor are proper and complete. A written report on this engagement is to be sent to DHHR together with the self-certification statements. The engagement shall be performed in accordance with the guidance in *Government Auditing Standards* issued by the Comptroller General of the United States, for financial audits, specifically, Statement of Standards for Attestation Engagements No. 4 (SSAE No. 4). SSAE No. 4 is applicable to the EBT annual engagement in that it addresses the attestation requirements to examine management's assertions of compliance and internal controls. The independent auditor may use the results of internal auditors' opinions, financial statements and audits, bank examinations and reviews, and similar activities in supporting this engagement.

An engagement in conformance with Statement on Auditing Standards (SAS) No. 70, *Service Organizations*, in conformance with guidelines set forth by the American Institute of Certified Public Accounts (AICPA). A "type 2 report" is required. The engagement shall culminate in a report on the policies and procedures placed in operation and tests of the operating effectiveness of those controls. The report shall be addressed to DHHR and is due no later than the last Friday of September or September 30; whichever comes first, of the year indicated.

The e-WIC Vendor authorizes DHHR or its representatives to perform audits and/or inspections of its records at any reasonable time during the term of the contract and for a period of three (3) years following the date of final payment under the contract, to assure compliance with its terms and/or to evaluate the e-WIC Vendor's performance.

Any amounts that have been paid by DHHR which are found to be improper in accordance with the terms of the contract shall be returned to DHHR or may, at the discretion of DHHR, be returned in accordance with other remedies.

The e-WIC Vendor shall permit DHHR and any other governmental agency authorized by law, or their authorized designee to monitor all activities conducted by the Vendor pursuant to the terms of this contract. As the monitoring agency may, in its sole discretion as deemed necessary or appropriate,

such monitoring may consist of internal evaluation procedures, reexamination of program data, special analysis, on-site verification, formal audit examinations, or any other reasonable procedures. All monitoring shall be performed in a manner that will not unduly interfere with contract work.

7.7   Incident Reporting

In addition to the self-certification and evaluation requirements, the E-WIC Vendor shall notify the State of any instances of non-compliance promptly upon their discovery but no longer than five business days. Notification shall include a description of the non-compliance and corrective action planned and/or taken.

7.8   Vendor Relationship

The relationship of the e-WIC Vendor to the State shall be that of an independent contractor and no principal-agent relationship or employer-employee relationship is contemplated or created by the parties to this contract. The e-WIC Vendor as an independent contractor is solely liable for the acts and omissions of its employees and agents.

e-WIC Vendor shall be responsible for selecting, supervising and compensating any and all individuals employed pursuant to the terms of this RFQ and resulting contract. Neither the e-WIC Vendor nor any employees or contractors of the vendor shall be deemed to be employees of the State for any purposes whatsoever.

e-WIC Vendor shall be exclusively responsible for payment of employees and contractors for all wages and salaries, taxes, withholding payments, penalties, fees, fringe benefits, professional liability insurance premiums, contributions to insurance and pension or other deferred compensation plans, including but not limited to Workers' Compensation and Social Security obligations, and licensing fees, etc. and the filing of all necessary documents, forms and returns pertinent to all of the foregoing.

e-WIC Vendor shall hold harmless the State, and shall provide the State and Agency with a defense against any and all claims including but not limited to the foregoing payments, withholdings, contributions, taxes, social security taxes and employer income tax returns.

The e-WIC Vendor shall not assign, convey, transfer or delegate any of its responsibilities and obligations under this contract to any person, corporation, partnership, association or entity without expressed written consent of the Agency.

7.9   Indemnification

The e-WIC Vendor agrees to indemnify, defend and hold harmless the State and the Agency, their officers, and employees from and against: (1) Any claims or losses for services rendered by any subcontractor, person or firm performing or supplying services, materials or supplies in connection with the performance of the contract; (2) Any claims or losses resulting to any person or entity injured or damaged by the e-WIC Vendor, its officers, employees, or subcontractors by the publication, translation, reproduction, delivery, performance, use or disposition of any data used under the contract in a manner not authorized by the contract, or by Federal or State statutes or regulations; (3) Any failure of the e-WIC Vendor, its officers, employees or subcontractors to observe State and Federal

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laws, including but not limited to labor and wage laws.

Part 8 Special Terms and Conditions

8.1 Performance Bond

The e-WIC Vendor, as an independent contractor, is solely liable for the acts and omissions of its employees and agents. The successful e-WIC Vendor **shall** maintain, at a minimum, and furnish proof of coverage of liability insurance for loss, damage, or injury, including death, of third parties arising from acts or omissions on the part of the e-WIC Vendor, its agents and employees. The following is the minimum bond requirement:

Performance Bond: equal to 25% of the first (12)-month contract price to be in effect through statewide rollout.

8.2 Insurance Requirements

The e-WIC Vendor, as an independent contractor, is solely liable for the acts and omissions of its employees and agents. Proof of insurance shall be provided by the e-WIC Vendor at the time the contract is awarded. The e-WIC Vendor shall maintain and furnish proof of coverage of liability insurance for loss, damage, or injury (including death) of third parties arising from acts and omissions on the part of the Vendor, its agents and employees in the following amounts *at a minimum*:

For bodily injury (including death): $500,000.00 per person, minimum of $1,000,000.00 per occurrence.

For property damage and professional liability: Minimum of $1,000,000.00 per occurrence.

The State must also be notified by the E-WIC Vendor and/or insurance carrier if the policy is going to be cancelled at least 30 days prior to expiration. If the successful bidder does not provide a renewed certificate with the original terms of insurance coverage, it may be considered a breach of contract. Certificates of Insurance must list the State of West Virginia Department of Health and Human Resources as the certificate holder.

8.3 Performance Standards/Liquidated Damages

The e-WIC Vendor is required to meet the performance standards as established in 9.11 and 9.12 of this RFQ. Additionally, liquidated damages will be assessed per Part 9.10 and 9.11 of this RFQ**.**

8.4 License Requirements

The E-WIC Vendor is subject to the laws of the State of West Virginia, and, where applicable, Federal law. The e-WIC Vendor shall procure all necessary permits and licenses and abide by all applicable laws, regulations, and ordinances of the United States and the State of West Virginia. The successful e-WIC Vendor shall incur these costs directly; they will not be reimbursed as a separate item. Prior to contract award, the e-WIC Vendor must:

- Provide certification that it is registered with the Secretary of State's Office to do business in the State of West Virginia.

- Provide evidence that it is in good standing as to Unemployment Compensation coverage and Workers' Compensation coverage or exempt from such coverage; and, be registered as a vendor with the Department of Administration, Division of Purchasing.

The e-WIC Vendor shall comply with all applicable provisions of law and other rules and regulations of any and all governmental authorities relating to licensure and regulation of personnel and to the operation of the Department.

The selected e-WIC Vendor will be expected to comply with other Federal statutes including the Copeland "Anti-Kickback Act" (18 U.S.C. 874) and the Debarment Act. The E-WIC Vendor acknowledges that the following laws are included:

"Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.), Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 et seq.), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794), the Age Discrimination Act of 1975 (42 U.S.C. § 6101 et seq.); all provisions required by the implementing regulations of the Department of Agriculture; Department of Justice Enforcement Guidelines, 28 CFR Part SO.3 and 42; and FNS directives and guidelines, to the effect that, no person shall, on the grounds of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied benefits of, or otherwise be subject to discrimination under any program or activity for which the entity performs FNS-assisted program-related services; and hereby gives assurance that it will immediately take measures necessary to effectuate this agreement."

8.5   HIPAA Business Associate Addendum

The West Virginia State Government HIPAA Business Associate Addendum (BAA), approved by the Attorney General, and available online at the Purchasing Division's web site http://www.state.wv.us/admin/purchase/vrc/hipaa.htm is hereby made part of this agreement. Provided that, the Agency meets the definition of a Covered Entity (45 CFR §160.103) and will be disclosing Protected Health Information (45 CFR §160.103) to the e-WIC Vendor.

8.6   Debarment and Suspension

Successful e-WIC Vendor must certify that no entity, agency or person associated with the e-WIC Vendor is debarred or suspended from conducting business.

Part 9 Contract Provisions

After the successful e-WIC Vendor is selected, a formal contract document will be executed between the State and the e-WIC Vendor. In addition, the RFQ and the Vendor's response will be included as part of the contract by reference. The order of precedence is the contract, the RFQ and the e-WIC Vendor's proposal in response to the RFQ.

9.1   Governing Law

This contract shall be governed by the laws of the State of West Virginia. The e-WIC Vendor further agrees to comply with the Civil Rights Act of 1964 and all other applicable laws and regulations Federal, State and Local Government.

9.2   Compliance with Laws and Regulations

The vendor shall procure all necessary permits and licenses to comply with all applicable laws, Federal, State or municipal, along with all regulations, and ordinances of any regulating body.

The e-WIC Vendor shall pay any applicable sales, use or personal property taxes arising out of this contract and the transactions contemplated thereby. Any other taxes levied upon this contract, the transaction, or the equipment, or services delivered pursuant here to shall be borne by the contractor. It is clearly understood that the State of West Virginia is exempt from any taxes regarding performance of the scope of work of this contract.

- Drug-Free Workplace: The Contractor certifies that it will provide a drug-free workplace in accordance with the Drug-Free Workplace Act of 1988 and implemented at 45 CFR Part 76, Subpart F for grantees, as defined at 45 CFR Part 76, Sections 76.605 and 76.610.

- Clean Air Act: Contracts in excess of one hundred thousand dollars ($100,000) require the Contractors and subcontractors, if any, to comply with all applicable standards, orders, or requirements issued under Section 306 of the Clean Air Act [42 U.S.C. 1857(h)], Section 508 of the Clean Water Act [33 U.S.C. 1368], Executive Order 11738, and Environmental Protection Agency regulations [40 CFR Part 15].

   All violations are to be reported to the Federal grantor agency and to the U.S. EPA assistance administrator for enforcement [#N-329]

- Ownership Rights: In accordance with 7 CFR 277.18(I)(1) the State shall have all ownership rights in software or modifications developed resulting from the response to this RFQ and FNS reserves a royalty-free, non-exclusive and irrevocable license to such software.

9.3   Subcontracts/Joint Ventures

The e-WIC Vendor is solely responsible for all work performed under the contract and shall assume prime contractor responsibility for all services offered and products to be delivered under the terms of this contract. The State will consider the e-WIC Vendor to be the sole point of contact with regard to all contractual matters. The e-WIC Vendor may, with the prior written consent of the State, enter into written subcontracts for performance of work under this contract; however, the vendor is totally responsible for payment of all subcontractors.

9.4   Term of Contract & Renewals

This contract will be effective (date set upon award) for an initial term of three (3) years, at which time the contract may, upon mutual consent, be renewed. Such renewals are for a period of up to one (1) year, with a maximum of three (3) one-year renewals, or until such reasonable time thereafter as is necessary to obtain a new contract. The "reasonable time" period shall not exceed twelve (12) months. During the "reasonable time" period the vendor may terminate the contract for any reason upon giving the Agency ninety (90) days written notice. Notice by the e-WIC Vendor of intent to terminate will not relieve the e-WIC Vendor of the obligation to continue to provide services pursuant to the terms of the contract or until the transition has been made to a new e-WIC Vendor.

9.5   Non-Appropriation of Funds

If the Agency is not allotted funds in any succeeding fiscal year for the continued use of the service covered by this contract by the West Virginia Legislature or by federal funding authority, the Agency may terminate the contract at the end of the affected current fiscal period without further charge or penalty. The Agency shall give the vendor written notice of such non-allocation of funds as soon as possible after the Agency receives notice. No penalty shall accrue to the Agency in the event this provision is exercised.

9.6   Contract Termination

The State may terminate any contract resulting from this RFQ immediately at any time the e-WIC Vendor fails to carry out its responsibilities or to make substantial progress under the terms of this RFQ and resulting contract. The State shall provide the e-WIC Vendor with advance notice of performance conditions which are endangering the contract's continuation. If after such notice the e-WIC Vendor fails to remedy the conditions contained in the notice, within the time period contained in the notice, the State shall issue the e-WIC Vendor an order to cease and desist any and all work immediately. The State shall be obligated only for services rendered and accepted prior to the date of the notice of termination.

9.7   Force Majeure

Where performance is interrupted through the fault of neither party nor its privies neither shall be liable to the other, except that interruptions in service which could have been avoided by the use of alternate processing sites shall not be forgiven under this provision.

Each party shall be excused from performance hereunder for any period and to the extent that it is prevented from performing pursuant hereto, in whole or in part, as a result of delays caused by the other or third parties (not including employees, agents, or independent contractors under contract to the Contractor to provide products and services or components thereof), or an act of God, war, civil disturbance, court order, labor dispute, or cause beyond reasonable control, and such nonperformance shall not be a default hereunder or a ground for termination hereof.

If the Contractor shall, as a result of any event of force majeure, fail to perform substantially the essential obligations hereunder (meaning the basic ability to communicate via the services herein provided), the Contractor is required to inform, with all reasonable speed, the State of the situation and the expected duration of the outage. If the Department shall, as a result of any event of force majeure, fail to perform substantially the essential obligations hereunder (meaning the basic ability to communicate via the services herein provided), the Department is required to inform, with all reasonable speed, the Contractor of the situation and the expected duration of the outage.

9.8   Changes

If changes to the original contract become necessary, a formal contract change order will be negotiated by the State, the Agency and the e-WIC Vendor, to address changes to the terms and conditions, costs

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of work included under the contract. An approved contract change order is defined as one approved by the Purchasing Division and approved as to form by the West Virginia Attorney General's Office, encumbered and placed in the U.S. Mail prior to the effective date of such amendment. An approved contract change order is required whenever the change affects the payment provision and/or the scope of the work. Such changes may be necessitated by new and amended Federal and State regulations and requirements.

Any change in Federal or State law, or court actions which constitute binding precedent in West Virginia, and which significantly alters the e-WIC Vendor's required activities or any change in the availability of funds, shall be viewed as binding and shall warrant good faith renegotiation of the compensation paid to the e-WIC Vendor by the Agency and of such other provisions of the contract that are affected. If such renegotiation proves unsuccessful, the contract may be terminated by the State upon written notice to the e-WIC Vendor at least thirty (30) days prior to termination of this contract.

As soon as possible after receipt of a written change request from the Agency, but in no event more than thirty (30) days thereafter, the e-WIC Vendor shall determine if there is an impact on price with the change requested and provide the Agency a written statement to identifying any price impact on the contract or to state that there is no impact.

In the event that price will be impacted by the change, the e-WIC Vendor shall, provide a description of the price increase or decrease involved in implementing the requested change.

NO CHANGE SHALL BE IMPLEMENTED BY THE VENDOR UNTIL SUCH TIME AS THE VENDOR RECEIVES AN APPROVED WRITTEN CHANGE ORDER.

9.9   Invoices, Progress Payments, & Retainage

The e-WIC Vendor shall submit invoices, in arrears, to the Agency at the address on the face of the purchase order labeled "Invoice To" pursuant to the terms of the contract. Progress or deliverable payments may be made at the option of the State on the basis of work completed and approved by the State if so defined in the final contract. Any provision for progress payments must also include language for a minimum 10% retainage until the final deliverable is accepted.

If progress/deliverable payments are permitted, the State will identify points in the approved work plan at which compensation would be appropriate. Progress reports must be submitted to the State with the invoice detailing progress completed or any deliverables identified. Payment will be made only upon approval of acceptable progress or deliverables as documented in the e-WIC Vendor's report. Invoices may not be submitted more than once monthly and State law forbids payment of invoices prior to receipt of services.

9.10

According to West Virginia State Code §5A-3-4(8), the e-WIC Vendor agrees that liquidated damages shall be imposed at the rate identified in this section. The additional remedies described in this part shall be cumulative and shall be assessed upon each separate period of accountability. This clause shall in no way be considered exclusive and shall not limit the State or Agency's right to pursue to any other

additional remedy to which the State or Agency may have legal cause for action including further damages against the e-WIC Vendor. Any reference to "day" in this part or any other part of this document should be construed as a calendar day unless expressly stated otherwise.

Oral or written notification to the successful e-WIC Vendor of the failure to meet performance by its due date as set forth in the then current mutually agreed Project Work Plan may be given by the contract Officer to the e-WIC Vendor. The e-WIC Vendor shall immediately cure the failure set forth in the notification. If the failure is not resolved, liquidated damages may be imposed at the State's option and shall be imposed retroactively to the date of failure to perform.

The following table defines the State's requirement for performance standards for the delivery of EBT services, and the performance deficiencies that may trigger Liquidated Damages.

Table 4: Performance Standards

Service Category / Service Level	Liquated Damages
Retailer Enablement	
To ensure that there is sufficient coverage in each rollout out area, the State requires that retailers representing 90 percent of the redemptions in a rollout area are ready to accept the e-WIC card and process e-WIC transactions.	Any failure to achieve retailer enablement of 90 percent of the redemptions in a rollout area shall result in a liquidated damage of $1,500 for each day following the initiation of rollout of the area that the contractor fails to meet the 90 percent requirement.
Redemption Transaction Processing	
The e-WIC system and all of its components will be available and capable of accurately processing all retail e-WIC redemption and balance Inquiry transactions 7 days per week, 24 hours per day. The only exception is planned system downtime which will only be permitted on during low transaction processing periods. For purposes of this service requirement, the e-WIC Vendor's span of control includes any function or service being provided directly by the contractor or under a sub-contract to the contractor.	Any failure event that: Is caused by a processing component within the e-WIC Vendor's span of control and exceeds thirty (30) minutes per occurance. Damages - $1,000 for each ten-minute interval or part thereof in excess of the 30-minute threshold.
	Any combination of failure events that: Are caused by a processing component within the EBT contractor's span of control and in total exceed 120 minutes within any thirty-day window. Damages - $5,000 for each ten-minute interval or part thereof in excess of the 30-minute threshold.
Accuracy and timeliness of financial settlements	
The e-WIC Vendor shall reimburse WIC authorized retailers for all redemption transactions for which an approval was provided to the retailer (and the transaction was not subsequently reversed or voided). Such reimbursement shall occur within two (2) business days following the end of the day	Any failure to reimburse a retailer within the allowed timeframe shall result in a liquidated damage of $250 for every occurrence (each retailer that is not paid is an occurrence) and for each day or part thereof that the retailer is not paid, in excess of the allowable number of days.

Service Category / Service Level	Liquated Damages
on which the transaction was approved. It is expected that retailers will be reimbursed based on the amount approved in each redemption transaction. It is understood that disputes and other anomalies may occur that result in a subsequent adjustment. Such events are not considered a breach of this requirement.	Any failure to provide a retailer with a correct settlement within three business days following the day on which the transaction was approved shall result in a liquidated damage of $250 for every occurrence (each retailer that is not paid correctly is an occurrence) and for each day or part thereof that the retailer is not paid correctly, in excess of the allowable number of days.
Reconciliation of Processing	
The e-WIC Vendor shall provide reports within two business days following the processing day demonstrating that: The net change in value of each household food account is equivalent to the sum of all transaction activity (both clinic and retailer) that transpired on that processing day. Payments to retailers is equivalent to draw downs from the Agency and is reflected in the transactions approved to each retailer.	Failure to provide reports of files that demonstrate the accuracy of system wide reconciliation within the allowable number of days shall result in liquidated damages of $500 per day or any part thereof that the reports are either not provided or do not demonstrate 100% reconciliation of system activity.
Account Setup and Benefit Issuance	
The e-WIC Vendor shall provide processing services to support account setup, card issuance and benefit issuance that ensure WIC households will have access to their benefits either at the time the current month transaction is submitted to the EBT system or, for future dated benefits, at 12:00 AM on the day the benefits become available. Account set up and card issuance will be initiated from the Crossroads system using a real time transaction. Benefit issuance will be a real time transaction from the WIC clinic or the date the benefits become available for future month benefits.	Failure to enable participant access to benefits or to make household benefits available within the indicated timeframes will result in liquidated damages of $100 per household for each occurrence wherein a household is not provided access to benefits within ten minutes of the indicated timeframe.

In the event the e-WIC Vendor fails to meet any one of the above performance standards on the date agreed upon in the approved Project Management Plan, the State may assess a penalty of $500 per day from the total cost per-case-month amount that would have been paid to the e-WIC Vendor. Any amounts so determined shall constitute deductions from the amount of the e-WIC Vendor's request for payment. Any additional costs incurred by the State solely as a result of the failure by the e-WIC Vendor to convert the database on the scheduled conversion date, including, but not limited to, additional costs for the continuation of paper WIC Services, shall also be the responsibility of the e-WIC Vendor.

9.11   Waiver of Monetary Remedies

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The monetary remedies described above may be waived or partially waived at the State's discretion if the e-WC Vendor can show that the failure was caused by circumstances beyond their span of control.

9.12   Conversion and Project Management Execution Delays

A timely, successful, and problem free conversion from the paper issuance of WIC services to e-WIC is required and considered critical to the e-WIC program. Transition requirements subject to liquidated damages are identified as follows:

- The Project Management Plan shall be delivered and implemented as detailed in 4.2, 4.3 4.4 of the RFQ.

- The e-WIC Vendor must accomplish a timely and successful conversion that is seamless to retailers and cardholders. The e-WIC Vendor must design and implement a successfully functioning e-WIC process according to schedule. Refer to Parts 3.1, 4.5, 4.6, 4.7, 4.8, 4.9, 4.10, 4.11, 4.12, 4.13, and 4.14.

- e-WIC Operations and 100% of Reports and Data files must be delivered or transmitted as specified within the RFQ, or as determined during system design/development activities. Refer to Parts 4.15. 5.1, 5.2, 5.3, 5.4, 5.5, 5.6, 5.7, 5.8, 5.9, 5.10, 5.11, and 5.12.

Part 10   Quotation Preparation Requirements

- As used in this RFQ, the terms "must", "shall", "and "will identify the mandatory requirements. In the written response to this RFQ, the e-WIC Vendor must meet all requirements outlined within this RFQ. By signing the bid, the vendor is agreeing to meet these requirements. Failure to meet or agree to mandatory items **shall** result in disqualification of the e-WIC Vendor's proposal and the evaluation process **will** be terminated for that vendor. Decisions regarding compliance with any mandatory requirement **shall** be at the sole discretion of the State.

- The e-WIC Vendor shall identify the name of vendor, address, name, title, telephone and fax numbers and email address for the person to contact for clarification on proposal content questions. The e-WIC Vendor must comply with all applicable state and federal regulations and laws governing the WIC program.

- The response to this RFQ should be prepared simply and economically, providing a straightforward and concise description of the vendor's capabilities and approach to meeting the requirements.

- Proposals should be organized in the order in which the requirement s are presented within the RFQ, pages numbered and have corresponding RFQ section numbers for the material presented. It is recommended that a Table of Contents is included.

- Project Work Plan: The Vendors shall submit a preliminary Project Work Plan as part of their bid response, with a start date of March 2011. The Project Work Plan should include a schedule of the tasks and deliverables required for the design, development, testing, contingencies, and implementation of the system including system requirements and any hardware/software installations. All deliverables identified within the project plan are subject to the State and Federal review and approval. The Vendor should allow an appropriate time for the review and comment of all deliverables.

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- Project Tasks and Deliverables: A description of the tasks and deliverables is preferred for the work detailed in the Vendor's response (not a reiteration of the schedule). Vendors are encouraged to structure their response to follow the sequence in which requirements are presented

10.1   Cost Proposal Information

Schedule 1A, Development Costs

The State is requiring that initial planning, programming, implementation and other professional services costs associated with the development to e-WIC is to be reflected within this chart. The costs to be included e-WIC system Design and Testing Category are e-WIC card design and production, integration and interface costs for Crossroads SAM, administrative interface to the e-WIC system , real time, online transaction processing for benefit redemption, retailer enablement; completion of the deliverable(s) tied to the payment unit. The Vendor shall provide costs within the defined categories as follows:

Successful e-WIC System Design, Development, and Testing, and Retailer Enablement – Vendors shall be paid costs related to the design, development, and testing of the EBT system provided to the State. The cost of the interfaces to the State's eligibility system, development costs for training materials for cardholders and for State staff, retailer and clinic enablement should be included within this category

Successful Pilot Implementation – Vendors shall provide costs related to the transition of e-WIC system. Costs to be included in this category are the cost to deploy the new POS terminals, train retailers, and retailer transaction acquiring costs.

Successful Statewide Rollout – Vendors shall implement the e-WIC System in the balance of the state and provide the required deliverables. Vendors should include a narrative explaining the costs included within each component. The fixed unit price costs shall be paid to the e-WIC Vendor in three installments based upon the successful completion and acceptance by the State. For additional information, refer to sections 3.0, 4.0 through 4.14.

The first installment, consisting of 60% of the total development and conversion costs, shall be paid upon the successful completion of the system acceptance test. The second installment, consisting of an additional 10% of the total development and conversion costs, shall be paid upon the successful completion of the Pilot e-WIC system. The final installment, consisting of the remaining 30% of the development and conversion costs, shall be paid following the successful completion of statewide roll out of e-WIC. All payments are contingent upon the State's acceptance of the required deliverables and successful program/system functions.

Schedule 1B, Cost Per Case Month (CPCM)

The quoted Core Service CPCM includes the monthly maintenance cost, which represents the fully loaded fixed cost per month to maintain a case account, including costs for all e-WIC stand beside POS functions (balance inquiries, denials, etc.), transaction authorizations, EBT card issuance,

settlements and customer service. A "case" is defined as the single beneficiary unit (household) receiving benefits from e-WIC program. The Vendor shall apply the quoted CPCM to all active cases.

Pricing shown on Schedule 1B, shall include the costs of transaction fees with the switch and processing fees associated with **unlimited POS transactions**. Therefore, the cost for unlimited transactions at POS devices must be included in the Core Services CPCM for e-WIC transactions.

The core pricing shall also include e-WIC cardholder and retailer Customer Service via a *domestic* center. e-WIC cardholders will be encouraged to call clinics during regular hours of operation. However, the e-WIC Vendor's Customer Service will be required during the hours that the clinic is not open.

Schedule 1C

For initial planning purposes, the State estimates that approximately 200 stand beside POS devices will be needed taking into account that integrated retailers will opt to incorporate e-WIC transactions within their existing systems. The cost per device shall include all supplies and maintenance.

Schedule 1D, Customer Service Payphone Charges

Schedule 1D shall be completed if there are to be charges for retailer or client calls to the customer service centers using a payphone. Prices quoted are to be all-inclusive pass through costs and shall remain in effect unless otherwise agreed upon by the State.

Schedule 1E

The e-WIC Vendor shall provide the Professional Services for system changes at flat hourly rate. For bid evaluation purposes only, 150 hours will be the estimated quantity of hours.

Cost Recap Sheet

This sheet should be completed using the information contained on Schedules 1A, 1B, 1C, 1D and 1E. This information will be used to determine the cost of the e-WIC project over the three (3) year contract period and the three possible

Part 11   Evaluation and Award of Contract

The award will be made to the e-WIC Vendor with the lowest overall cost who meets the specifications of this RFQ.

Designated Project Administrator
In written response to this RFQ, the e-WIC Vendor must meet all requirements within the RFQ. By signing the bid, the e-WIC Vendor is agreeing to meet these requirements.

_____   _____
Signature of the e-WIC Vendor's Authorized Representative   Date

_____
Title of Authorized Representative

Bid Response Sheets

SCHEDULE 1A		
DEVELOPMENTAL COSTS		
Paid upon receipt and approval of deliverables as Specified in the RFQ		
CATEGORY	**%**	**Cost**
e-WIC System Design, Development and Testing, Retailer Enablement	60	$
Pilot Implementation	10	$
Statewide Rollout	30	$
Total Start-up Costs	100	$

SCHEDULE 1B		
COST PER CASE MONTH (CPCM) PRICING		
To be applicable upon Pilot Caseload and each rollout of caseload as e-WIC is Implemented		
Estimated Caseload after Implementation	**CPCM**	**Total Monthly Cost**
38,160	$	$

SCHEDULE 1C PRICING RESPONSE: STAND BESIDE POS DEVICES		
Estimated Terminals per Month	**Monthly Cost per Terminal**	**Total Monthly Cost**
200	$	$

.

Bid Response Sheets

SCHEDULE 1D PAY PHONE PASS THROUGH CHARGE To be applicable upon Pilot Caseload and each rollout of caseload as e-WIC is Implemented		
Estimated Payphone Calls Per Month	**Fee Per Call including Surcharges/pass through**	**Total Monthly Cost**
100	$	$

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SCHEDULE 1E   **PROFESSIONAL SERVICES COSTS**
Professional Services flat hourly rate is $_____x 150 hours = Total $_____.

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COST RECAP SHEET

Total Development Cost   Schedule 1A $ _____

* Cost Per Case Month (CPCM) Pricing   Schedule 1B

Year 2   ___38,160___ X _____ = _____ X 12 $_____
              Est. Cases per mo.   CPCM   Total per Mo.

Year 3   ___38,160___ X _____ = _____ X 12 $_____
              Est. Cases per mo.   CPCM   Total per Mo.

Year 4   ___38,160___ X _____   _____ X 12 $_____
              Est. Cases per mo.   CPCM   Total per Mo.

Year 5   ___38,160___ X _____   _____ X 12 $_____
              Est. Cases per mo.   CPCM   Total per Mo.

Year 6   ___38,160___ X _____   _____ X 12 $_____
              Est. Cases per mo.   CPCM   Total per Mo.

* State-Deployed e-WIC Only Terminals   Schedule 1C

Year 2   ___200___ X _____ = _____ X 12 $_____
              Est. Terminals per mo.   Cost per Terminal   Total per Mo.

Year 3   ___200___ X _____ = _____ X 12 $_____
              Est. Terminals per mo.   Cost per terminal   Total per Mo.

Year 4   ___200___ X _____ = _____ X 12 $_____
              Est. Terminals per mo.   Cost per Terminal   Total per Mo.

Year 5   ___200___ X _____ = _____ X 12 $_____
              Est. Terminals per mo.   Cost per terminal   Total per Mo.

Year 6   ___200___ X _____ = _____ X 12 $_____
              Est. Terminals per mo.   Cost per terminal   Total per Mo.

* Pay Phone Pass Thru Charge   Schedule 1D

Year 2   ___100___ X _____ = _____ X 12 $_____
              Est. Calls per mo.   Cost per Call   Total per Mo.

Year 3   ___100___ X _____ = _____ X 12 $_____
              Est. Calls per mo.   Cost per Call   Total per Mo.

Year 4   ___100___ X _____ = _____ X 12 $_____
              Est. Calls per mo.   Cost per Call   Total per Mo.

Year 5   ___100___ X _____ = _____ X 12 $_____
              Est. Calls per mo.   Cost per Call   Total per Mo.

Year 6   ___100___ X _____ = _____ X 12 $_____
              Est. Calls per mo.   Cost per Call   Total per Mo.

Professional Services Cost   Schedule 1E

PS Hourly Rate $ _____ X 150 Hours $_____

Total Contract Cost $_____

The Contract will be awarded to a single vendor with the lowest Total Contract Cost for providing the specified services for the initial three year contract period and the three one-year renewals as calculated on the cost recap sheet.

*Estimated Caseloads and Quantities used on this form are for evaluation purposes only and are not to be considered as actual quantities during the contract period.

RFQ No. _HHR11079_

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

West Virginia Code §5A-3-10a states: No contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and the debt owed is an amount greater than one thousand dollars in the aggregate.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Debtor" means any individual, corporation, partnership, association, limited liability company or any other form or business association owing a debt to the state or any of its political subdivisions. "Political subdivision" means any county commission; municipality; county board of education; any instrumentality established by a county or municipality; any separate corporation or instrumentality established by one or more counties or municipalities, as permitted by law; or any public body charged by law with the performance of a government function or whose jurisdiction is coextensive with one or more counties or municipalities. "Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

EXCEPTION: The prohibition of this section does not apply where a vendor has contested any tax administered pursuant to chapter eleven of this code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

Under penalty of law for false swearing (**West Virginia Code** §61-5-3), it is hereby certified that the vendor affirms and acknowledges the information in this affidavit and is in compliance with the requirements as stated.

WITNESS THE FOLLOWING SIGNATURE

Vendor's Name: _____

Authorized Signature: _____ Date: _____

State of _____

County of _____, to-wit:

Taken, subscribed, and sworn to before me this ____ day of _____, 20____.

My Commission expires _____, 20____.

AFFIX SEAL HERE   NOTARY PUBLIC _____

State of West Virginia
VENDOR PREFERENCE CERTIFICATE

Certification and application* is hereby made for Preference in accordance with **West Virginia Code**, §5A-3-37. (Does not apply to construction contracts). **West Virginia Code**, §5A-3-37, provides an opportunity for qualifying vendors to request (at the time of bid) preference for their residency status. Such preference is an evaluation method only and will be applied only to the cost bid in accordance with the **West Virginia Code**. This certificate for application is to be used to request such preference. The Purchasing Division will make the determination of the Resident Vendor Preference, if applicable.

1.   Application is made for 2.5% resident vendor preference for the reason checked:
_____   Bidder is an individual resident vendor and has resided continuously in West Virginia for four (4) years immediately preced-ing the date of this certification; **or,**
_____   Bidder is a partnership, association or corporation resident vendor and has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; or 80% of the ownership interest of Bidder is held by another individual, partnership, association or corporation resident vendor who has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; **or,**
_____   Bidder is a nonresident vendor which has an affiliate or subsidiary which employs a minimum of one hundred state residents and which has maintained its headquarters or principal place of business within West Virginia continuously for the four (4) years immediately preceding the date of this certification; **or,**

2.   Application is made for 2.5% resident vendor preference for the reason checked:
_____   Bidder is a resident vendor who certifies that, during the life of the contract, on average at least 75% of the employees working on the project being bid are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; **or,**

3.   Application is made for 2.5% resident vendor preference for the reason checked:
_____   Bidder is a nonresident vendor employing a minimum of one hundred state residents or is a nonresident vendor with an affiliate or subsidiary which maintains its headquarters or principal place of business within West Virginia employing a minimum of one hundred state residents who certifies that, during the life of the contract, on average at least 75% of the employees or Bidder's affiliate's or subsidiary's employees are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; **or,**

4.   Application is made for 5% resident vendor preference for the reason checked:
_____   Bidder meets either the requirement of both subdivisions (1) and (2) or subdivision (1) and (3) as stated above; **or,**

5.   Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:
_____   Bidder is an individual resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard and has resided in West Virginia continuously for the four years immediately preceding the date on which the bid is submitted; **or,**

6.   Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:
_____   Bidder is a resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard, if, for purposes of producing or distributing the commodities or completing the project which is the subject of the vendor's bid and continuously over the entire term of the project, on average at least seventy-five percent of the vendor's employees are residents of West Virginia who have resided in the state continuously for the two immediately preceding years.

Bidder understands if the Secretary of Revenue determines that a Bidder receiving preference has failed to continue to meet the requirements for such preference, the Secretary may order the Director of Purchasing to: (a) reject the bid; or (b) assess a penalty against such Bidder in an amount not to exceed 5% of the bid amount and that such penalty will be paid to the contracting agency or deducted from any unpaid balance on the contract or purchase order.

By submission of this certificate, Bidder agrees to disclose any reasonably requested information to the Purchasing Division and authorizes the Department of Revenue to disclose to the Director of Purchasing appropriate information verifying that Bidder has paid the required business taxes, provided that such information does not contain the amounts of taxes paid nor any other information deemed by the Tax Commissioner to be confidential.

Under penalty of law for false swearing (West Virginia Code, §61-5-3), Bidder hereby certifies that this certificate is true and accurate in all respects; and that if a contract is issued to Bidder and if anything contained within this certificate changes during the term of the contract, Bidder will notify the Purchasing Division in writing immediately.

Bidder: _____   **Signed:** _____

Date: _____   **Title:** _____

Check any combination of preference consideration(s) indicated above, which you are entitled to receive.

West Virginia Department of Health & Human Resources
FEDERAL PROGRAM PARTICIPATION ACKNOWLEDGMENT, AUTHORIZATION, CONSENT, AND RELEASE

No person who is currently excluded, debarred, suspended, or otherwise ineligible to participate in federal health care programs or in federal procurement or non-procurement programs shall be hired by the West Virginia Department of Health and Human Resources.

I am ☐   am not ☐   currently excluded, debarred, suspended, or otherwise ineligible to participate in federal health care programs or in federal procurement or non-procurement programs.

_____   _____
Signature   *Date*

I authorize and consent to a background check by the West Virginia Department of Health and Human Resources specifically to determine whether I am currently excluded, debarred, suspended, or otherwise ineligible to participate in federal health care programs or in federal procurement or non-procurement programs. If hired, I also agree to periodic conduct of additional such background checks during the course of employment by the West Virginia Department of Health and Human Resources.

I release any persons and the West Virginia Department of Health and Human Resources and its agents, officials, representatives, employees, officers, or related personnel both individually and collectively, from any and all liability for damages of any kind that may result because of compliance with this acknowledgment and authorization.

For positive identification purposes, the following information is required when conducting a background check. This information is confidential and will not be used for any other purposes (**please print**):

Name
_____   _____   _____
last name   *first name*   *middle initial*

Maiden/Other Names
_____
(This should include other married names by which you have been known.)

Current Address
_____   _____   _____
street/box#   *city*   *state*

NOTE: Your social security card must be presented for verification purposes.

Social Security # _____ - ___ - _____   **Date of Birth** _____
                                                                                          month/day/year

Driver's License Number _____   **State of Issue** _____

_____   _____
Signature   *Date*

EMPLOYING UNIT INFORMATION

Office/Facility/Region/District   Contact Person

Fax Number   Phone Number

FOR OPS USE ONLY

HHS Match Outcome   ☐ Positive   ☐ Negative

GSA Match Outcome   ☐ Positive   ☐ Negative   Initial _____   Date _____

OPS-ABC   Revised: 1-2006   *The completed form must be included with the employment package to be sent to the Office of Personnel Services*

ATTACHMENT
P.O.# HHR11079

This agreement constitutes the entire agreement between the parties, and there are no other terms and conditions applicable to the licenses granted hereunder.

Agreed

_____   _____
Signature   Date   Signature   Date

_____   _____
Title   Title

_____   _____
Company Name   Agency/Division

AGREEMENT ADDENDUM

WV-96
Rev. 10/07

In the event of conflict between this addendum and the agreement, this addendum shall control:

1. **DISPUTES** - Any references in the agreement to arbitration or to the jurisdiction of any court are hereby deleted. Disputes arising out of the agreement shall be presented to the West Virginia Court of Claims.

2. **HOLD HARMLESS** - Any clause requiring the Agency to indemnify or hold harmless any party is hereby deleted in its entirety.

3. **GOVERNING LAW** - The agreement shall be governed by the laws of the State of West Virginia. This provision replaces any references to any other State's governing law.

4. **TAXES** - Provisions in the agreement requiring the Agency to pay taxes are deleted. As a State entity, the Agency is exempt from Federal, State, and local taxes and will not pay taxes for any Vendor including individuals, nor will the Agency file any tax returns or reports on behalf of Vendor or any other party.

5. **PAYMENT** - Any references to prepayment are deleted. Payment will be in arrears.

6. **INTEREST** - Should the agreement include a provision for interest on late payments, the Agency agrees to pay the maximum legal rate under West Virginia law. All other references to interest or late charges are deleted.

7. **RECOUPMENT** - Any language in the agreement waiving the Agency's right to set-off, counterclaim, recoupment, or other defense is hereby deleted.

8. **FISCAL YEAR FUNDING** - Service performed under the agreement may be continued in succeeding fiscal years for the term of the agreement, contingent upon funds being appropriated by the Legislature or otherwise being available for this service. In the event funds are not appropriated or otherwise available for this service, the agreement shall terminate without penalty on June 30. After that date, the agreement becomes of no effect and is null and void. However, the Agency agrees to use its best efforts to have the amounts contemplated under the agreement included in its budget. Non-appropriation or non-funding shall not be considered an event of default.

9. **STATUTE OF LIMITATION** - Any clauses limiting the time in which the Agency may bring suit against the Vendor, lessor, individual, or any other party are deleted.

10. **SIMILAR SERVICES** - Any provisions limiting the Agency's right to obtain similar services or equipment in the event of default or non-funding during the term of the agreement are hereby deleted.

11. **ATTORNEY FEES** - The Agency recognizes an obligation to pay attorney's fees or costs only when assessed by a court of competent jurisdiction. Any other provision is invalid and considered null and void.

12. **ASSIGNMENT** - Notwithstanding any clause to the contrary, the Agency reserves the right to assign the agreement to another State of West Virginia agency, board or commission upon thirty (30) days written notice to the Vendor and Vendor shall obtain the written consent of Agency prior to assigning the agreement.

13. **LIMITATION OF LIABILITY** - The Agency, as a State entity, cannot agree to assume the potential liability of a Vendor. Accordingly, any provision limiting the Vendor's liability for direct damages to a certain dollar amount or to the amount of the agreement is hereby deleted. Limitations on special, incidental or consequential damages are acceptable. In addition, any limitation is null and void to the extent that it precludes any action for injury to persons or for damages to personal property.

14. **RIGHT TO TERMINATE** - Agency shall have the right to terminate the agreement upon thirty (30) days written notice to Vendor. Agency agrees to pay Vendor for services rendered or goods received prior to the effective date of termination.

15. **TERMINATION CHARGES** - Any provision requiring the Agency to pay a fixed amount or liquidated damages upon termination of the agreement is hereby deleted. The Agency may only agree to reimburse a Vendor for actual costs incurred or losses sustained during the current fiscal year due to wrongful termination by the Agency prior to the end of any current agreement term.

16. **RENEWAL** - Any reference to automatic renewal is hereby deleted. The agreement may be renewed only upon mutual written agreement of the parties.

17. **INSURANCE** - Any provision requiring the Agency to insure equipment or property of any kind and name the Vendor as beneficiary or as an additional insured is hereby deleted.

18. **RIGHT TO NOTICE** - Any provision for repossession of equipment without notice is hereby deleted. However, the Agency does recognize a right of repossession with notice.

19. **ACCELERATION** - Any reference to acceleration of payments in the event of default or non-funding is hereby deleted.

20. **CONFIDENTIALITY:** -Any provision regarding confidentiality of the terms and conditions of the agreement is hereby deleted. State contracts are public records under the West Virginia Freedom of Information Act.

21. **AMENDMENTS** - All amendments, modifications, alterations or changes to the agreement shall be in writing and signed by both parties. No amendment, modification, alteration or change may be made to this addendum without the express written approval of the Purchasing Division and the Attorney General.

ACCEPTED BY:

STATE OF WEST VIRGINIA

Spending Unit: _____

Signed: _____

Title: _____

Date: _____

VENDOR

Company Name: _____

Signed: _____

Title: _____

Date: _____

West Virginia Department of Health and Human Resources Office of Finance – EBT/Facilities System Administration Bureau of Public Health, Office of Nutrition Services – Women, Infants and Children (WIC) Request for Quotation (RFQ) HHR11079

Appendix A

Crossroads Implementation Schedule:

Task Name	Duration	Start	Finish
CROSSROADS WIC PROJECT	**1815 days**	**7/6/09**	**6/17/16**
Task 1 Project Initiation and Planning	412 days	7/6/09	2/1/11
Task 2 - System Design, Development and Technical Testing	595 days	7/13/09	10/21/11
Task 3 - Data Conversion	560 days	7/13/09	9/2/11
Task 4 - Training and User Acceptance Test (UAT)	290 days	1/7/11	2/17/12
Dep: Provide Consortium Equipment Specs for UAT	0 days	1/7/11	1/7/11
CSC provides documentation for the states to fill out their state configurable tables	1 day?	4/15/11	4/15/11
User Acceptance Test Initiation Meeting	12 days	8/3/11	8/18/11
Conduct User Acceptance Test Training	28 days	8/18/11	9/27/11
System Operations Support and Training	108 days	8/19/11	1/17/12
Data Conversion for UAT	6 days?	8/18/11	8/25/11
Central Operation and Test Bed Sites Preparation	104 days	8/25/11	1/17/12
Contingency Plan	39 days	8/4/11	9/27/11
Support UAT and System Revision	104 days	9/27/11	2/17/12
Task 5 - Pilot	181.13 days	11/17/11	7/27/12
System Pilot Initiation Meetings	29.5 days	1/20/12	3/1/12
Conduct Train-the-Trainer Training	68.5 days	11/18/11	2/22/12
Pilot Agency (State Office and Clinic) Training	82.13 days	11/17/11	3/12/12
Data Conversion	15.5 days	2/17/12	3/9/12
System Pilots (State and Clinic)	81.5 days	3/1/12	6/22/12
Evaluate Pilots, Modify and Retest System	85 days	4/2/12	7/27/12
Task 6 - Training, Data Conversion and Rollout	140 days	6/25/12	1/4/13
System Rollout Initiation Meetings	53 days	6/25/12	9/5/12
Training and Implementation	61 days	9/6/12	11/29/12
Post Implementation Problem Resolution and Checkpoint	26 days	11/22/12	12/27/12
System Documentation Update	35 days	11/19/12	1/4/13
Task 7 - Project Transition	**80.5 days**	**1/7/13**	**4/29/13**
Task 8 - Initial Warranty Period	**261 days**	**1/18/13**	**1/17/14**
Task 9 - Ongoing Project Management Activites	**1810 days**	**7/13/09**	**6/17/16**
Task 10 - Extended Warranty and Enhancement Options	**535.75 days**	**12/31/13**	**1/19/16**

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WIC

UNIVERSAL MIS – EBT INTERFACE
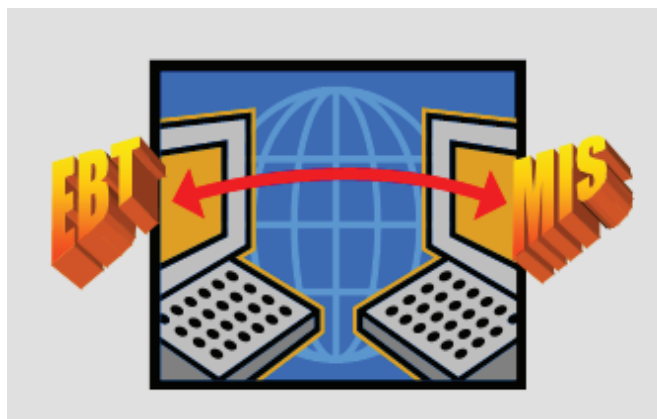
Version 1.6

November 23, 2010

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DOCUMENT INFORMATION

Version	Date Effective	Details
0.08	2/3/2009	Initial revision for external review.
1.1	8/5/2009	Internal review of revisions resulting from comments to first round of comments
1.2	8/9/2009	2nd Draft for external review
1.3	10/15/2009	3 rd draft for general review and distribution
1.4	10/20/2009	Updated with FNS comments – NWA release
1.5	10/21/2010	Updated with comments on v1.4. Added more explanation about the purpose and use of the document. Version for review by work group.
1.6	11/23/2010	Updated with comments on v1.5. Version for review by public.

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1   INTRODUCTION

The purpose of this document is to provide the functional requirements for the interface between a WIC Management Information System (MIS) and a WIC EBT system (EBT). This document describes:

- The operations supported in the interface.
- The core data elements required by the various operations.
- The processing rules that need to be implemented to support the operation.

This document is not intended to serve as an Application Programmer Interface (API) reference. Rather, this document provides a high level description of operations required in the EBT-MIS API. These requirements are intended to be independent of the underlying technical implementation. The details of those specific technical implementations are beyond the scope of this document and will be made available elsewhere.

Moreover, this document provides a description of the operations that are recommended for use by the MIS and EBT systems. The recommended division of labor between the EBT and the MIS platforms is summarized in the subsequent sections of this document.

1.1   SMART CARD AND ONLINE ENVIRONMENTS

This document is intended to provide a standard for functionality and information transfer that is equally applicable to either a smart card or an online WIC EBT system. Conceptually, the information and functionally that a WIC Information System must provide is the same for either and, in both cases, the data has to be ported to a repository somewhere that supports the EBT functionality. The differences are often one of terminology. In a smart card system, the food benefit database is housed in a computer chip on the participant's EBT card and the retailer (WIC authorized vendor) database and settlement functions are housed on a central server. In an online system, both the food account database and the retailer / settlement database are housed on a remote host processing computer.

Regardless though, for either approach, a certain amount of information must be ported between the MIS and EBT databases in order to make EBT possible. Online solutions rely on external telecommunications links to move information to the central database while smart card systems generally rely on local connections to move information to the smart card reader / writer and on external telecommunications links to populate the retailer / settlement database.

This document has tried only to define the functions that must be supported by the MIS and EBT environments and the data that is required to enable those functions. The method of porting that data between the environments has purposefully been left to the application designer. The expectation is that a builder of a new WIC information system will be able to incorporate all of the defined EBT functionality and data requirements within their design in such a way that it can be integrated equally well with either a smart card or an online solution. Conceptually, such a design could incorporate a specific "EBT Interface" object or module that would be the receiver or sender of all EBT related messages. This would isolate any changes required in the MIS that may result from the decision to make use of a smart card or an online solution and would greatly reduce the costs of any necessary modifications.

1.2   GUIDING PHILOSOPHY

This document is written based on a suggested distribution for application functions between MIS and EBT systems. The following describes the philosophy behind the choices made as to where needed EBT functionality can be implemented, either in the MIS or EBT system.

- Promote portability between EBT and MIS systems
- Minimize the amount of data exchange
- Minimize points of failure
- Minimize potential data synchronization issues
- Let each system deal with data that is "natural" to itself when possible
- Let system that generates and houses most of the data relevant to a specific functional requirement be the system that implements that functionality
- Maintain a seamless user experience

It is recognized that an MIS and an EBT system must work in concert to provide the functionality required to deliver WIC food benefits electronically. In some cases, the responsibility for a given functional component is very clear such as benefit maintenance where the MIS is always responsible for benefit issuance or changes to previously issued benefits. However, for some functions, the choice for where a specific function resides (MIS or EBT) is not entirely clear. An example would be Maximum Allowable Reimbursement (MAR)[1] calculations and maintenance. This is a function that has traditionally been an MIS function in the paper environment, but in the EBT environment, all of the data required to perform those calculations exists in the redemption data of which the EBT system is the database of record. To follow the

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[1] Also known as Not to Exceed (NTE) amounts

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philosophy stated above, it would make the most sense for MAR calculations to be a function of the EBT system because it minimizes the amount of data exchanged, minimizes points of failures, minimizes potential data synchronization issues and lets the EBT system deal with data that is "natural" to itself. With that said, there are MIS that have the capability to support this function and State Agencies may prefer to have the MIS perform this function in order to maintain more control over the data and because it is an essential part of vendor (referred to in this document as "retailer") management and cost containment. Another potential reason is because the function does not exist in the State Agency's selected EBT system. Either system can implement this functionality and through defined interfaces, expose the functionality to the other side. In Section 2.1: Database of Record and Interface Points, a table has been provided that identifies where functions can be implemented between the MIS, the EBT system or either system.

It must be recognized that an application designer has some discretion in the use of the interface points described in this document. For example, a builder of a new WIC MIS application may decide upfront to incorporate in the MIS certain functionality that may otherwise be included in an EBT system. Consequently, this MIS would implement the interface to the EBT system for only the limited set of functions that the MIS designer determines appropriate to the overall solution. On the other hand, when designing enhancements to a legacy WIC MIS to incorporate EBT, the designer may, for cost efficiency, choose to use functionality that already exists in the EBT system as opposed to rebuilding it in the MIS. In this case, a more comprehensive set of interfaces would be implemented by the MIS.

1.3   PURPOSE OF THIS DOCUMENT

It is expected that a WIC agency, when first implementing EBT or when replacing an EBT system, will choose an EBT system based on an analysis of functionality and interfaces offered by the various available solutions that best work within the capabilities of its MIS environment.   These interfaces can come in several forms depending on the implementation approach and technology:

Smart Card

- Message Based – MIS to smart card reader
- Message Based – MIS to EBT system (settlement server)
- Batch Files – MIS to EBT system (settlement server)
- Direct Screen Links – MIS to EBT system (settlement server)

Online

- Message Based – MIS to EBT system (host system)
- Batch Files – MIS to EBT system (host system)
- Direct Screen Links – MIS to EBT system (host system)

The intent is to make the choice of the EBT system free from interface constraints and to reduce the need for system modification. Conversely, it is also expected that an EBT-enabled WIC agency that is replacing its MIS will consider the EBT capabilities of any candidate replacement MIS which has been updated to the Universal Interface functions.

The purpose of this document is to define the possible interactions (or functions) between MIS and EBT systems and to standardize and define the requirements associated with these functions. The goals that are anticipated to be obtained through the use of the Universal interface are the following:

- When an agency implements EBT, the process to interface the MIS and EBT system should be as simple as "plug and play."   Software modifications or enhancements should be kept to a minimum. It is recognized that this will not occur overnight; getting to this point will evolve over time as systems are updated to use the Universal Interface design.
- When an agency chooses to change its EBT system by, for instance, moving the service to a new vendor or transferring a new system, there should be no change required to the MIS system.
- EBT systems will have complete portability between different agencies. An EBT system built for State "A" should be useable in State "B" with no change, assuming both states have built their MIS using the standard interface model.
- The technology and business process selected for EBT by a State Agency will be transparent to the MIS. The Universal Interface should work equally well in both an offline and an online environment and for an in-house or outsourced solution.   It is recognized, of course, that selection of cards and overall operations environment can impact functionality for WIC MIS.
- Significant cost advantages to FNS and State Agencies resulting from the standardization and the build-it-once-for-everyone implementation model.

The expectation for MIS and EBT systems is that all interactions between the MIS and the EBT system conform to the requirements for that particular function as herein defined. Not all of the described functions have to be implemented, but if the State agency chooses to implement them, they must conform to these requirements. Therefore, this document should be used in the process of designing and developing those functional interfaces. Note, however, that the Universal Interface is not intended as a requirement for existing interfaces between MIS and EBT systems, but for new systems or new interfaces being developed between existing systems.

2   INTERFACE FUNCTIONS

This section provides a description of the functions supported by the Universal Interface and options for implementation.

2.1   DATABASE OF RECORD AND INTERFACE POINTS

As referenced in the previous section, one of the dilemmas for WIC EBT has been where should certain functions reside, in the MIS or the EBT system? Is the MIS or the EBT system the database of record for certain data? From which system does a user access the functionality or the data? The initial draft of this document attempted to assign each function to a specific system as the database of record.

The assignment of functions to specific systems seemed logical from a system perspective; however, it became apparent that for various reasons State Agencies may want to maintain more control over a function or data. Feedback on earlier versions of this document indicated that some State Agencies felt that this control could best be accomplished by implementing certain functions in the MIS and/or by having the MIS as the database of record. Even though this was not the original strategy for the Universal Interface, this kind of flexibility can still be supported. This document has been updated to provide more options for where certain functions can reside and to support the necessary messages and files to initiate actions and transmit data from the MIS or from the EBT system.

The following table summarizes recommendations for both the database of record and the interface point for specific WIC EBT functionalities. Note that in some cases more than one system is identified as the database of record indicating that there is a choice.

Functional Area	EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface	Notes
Account Maintenance		X		MIS	EBT system stores account demographic and status information based on account set-up, update, and deactivation is initiated from the MIS.
Benefit Maintenance		X		MIS	
Cardholder/Card Maintenance	X	X		Either	If the database of record is the EBT system, the user interface can be either the MIS or EBT system. If the database of record is the MIS, the user interface is the MIS.
View EBT Balance / Transaction History	X			Either	MIS can be used to access data, but EBT is the database of record.
Category/Subcategory Maintenance			X	NUPC	Used only when the EBT system is responsible for receiving the NUPC download.
UPC/PLU Maintenance			X	NUPC	
MAR Calculations and Maintenance	X	X		Either	If the database of record is the EBT system, the user interface is the EBT system. If the database of record is the MIS, the user interface is the MIS.
Retailer Maintenance		X		MIS	Includes peer group maintenance.
Retailer Bank Maintenance	X			EBT	
Adjustments / Payments via Automated Clearinghouse (ACH)		X		MIS	Provides the ability for an ACH payment to be initiated by the MIS and then processed by the EBT system.
Reconciliation (MIS-EBT Auto-Reconciliation)		X		MIS	EBT will transmit a file of activity to the MIS for reconciliation with MIS daily activity.

Functional Area	EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface	Notes
Redemption Batch File	X			MIS	The EBT system will make a daily activity file available to the MIS. A State Agency may choose not to use the file.
Financial Settlement and Reconciliation	X			EBT	
Card Inventory Management	X	X		Either	*Optional / enhanced functionality* If the database of record is the EBT system, the user interface is the EBT system. If the database of record is the MIS, the user interface is the MIS.
LA / Clinic Maintenance		X		MIS	*Optional / enhanced functionality* May be used in EBT system to enhance query and reporting
EBT Security Role Maintenance	X	X		Both	*For Direct Screen Link Access Only* MIS Master of MIS Users / EBT Master of EBT Users

2.2   RATIONALE FOR FUNCTIONAL AREA ASSIGNMENTS

The following sections provide the rationale for how the primary system was identified as the database or record or as the user interface.

2.2.1   ACCOUNT MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
	X		MIS

The MIS maintains the demographic information for each household. For the purposes of certification this data is used and maintained by the MIS. The entry of and subsequent updates to this data are through the MIS; therefore, the MIS is responsible for maintaining and transmitting this data to the EBT system as the database of record and user interface. As part of this functionality, the MIS will also initiate the creation of new EBT accounts or update existing EBT accounts. Note that while the user interface is the MIS, meaning that add and update functionality is supported by the MIS, the data can still be viewed as read-only through the EBT system.

This function is represented in the following sections of the document.

Message Based Access	3.1: Account Maintenance
Batch Files	N/A
Direct Screen Links	N/A

2.2.2   BENEFIT MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
	X		MIS

Food package assignment by a nutritionist and benefit issuance is a unique function of the MIS as part of the participant certification process. While the functionality to add and update benefits can be part of an EBT system, allowing this to occur would create synchronization and reporting issues on the MIS side. For these reasons, it was determined that the MIS should be the database of record and the user interface. The MIS will transmit benefit data to the EBT system. Based on the data provided by the MIS, the EBT system will associate benefits to the correct EBT account (and in smart card systems, load benefits to a card) and track the disposition of the benefits. Note

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that while the user interface is the MIS, meaning that add and update functionality is supported by the MIS, the data can still be viewed as read-only through the EBT system.

This function is represented in the following sections of the document.

Message Based Access	3.2: Benefit Maintenance
Batch Files	N/A
Direct Screen Links	N/A

2.2.3   CARDHOLDER/CARD MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
X	X		Either

Cardholder and card maintenance is a more complicated area and is one in which it has been determined that the database of record and the user interface can be either system. In traditional EBT systems (SNAP/Cash EBT), the EBT system typically has been the database of record. Reasons for this include that there was no need for eligibility systems to maintain card data since it did not use card information. Additionally, the EBT systems were responsible for maintaining card status ensuring that cards that should be active are active and cards that should not be active are inactive or have been deactivated.

In WIC, however, implementations of this functionality have varied as to which system is the database of record. In some cases the choice to make the MIS the database of record was based on the technology used. For example in offline systems, the bulk of the issuance process is between the card and the MIS. The rationale for maintaining card numbers and card history in the MIS is relatively clear in this case. In other cases, it has been because of State Agency preference. Online WIC EBT hosts typically operate with the EBT system as the database of record, but there are State Agencies that have preferred to keep the MIS as the database of record for cards and have found ways to support this through the transfer of data between the systems. Reasons identified by State agencies for having the MIS as the database of record include maintaining more control over the data, use of the card number in the MIS for participant or household searching and record identification, and potentially the need to have a card number in the MIS to support remote (disconnected site) card issuance. In the case of online EBT, having the MIS as the database of record is not consistent with the concepts of minimizing the amount of data exchange, minimizing synchronization issues, and letting each system deal with the data natural to itself.

It should be noted that choosing the EBT system as the database of record does not mean that a State Agency gives up control of their data as it will always be the State Agency's data and if the EBT system is contracted out there should be stipulations for the provision of that data to the State Agency when needed and at the end of the contract. Additionally, functions such as using the card number for MIS record location can also still be supported when the EBT system is the database of record by using function calls that are identified within this document.

If a State Agency chooses to implement the Card Maintenance function with the MIS as the database of record, it should be aware of how and where updates will be made to card status. In some EBT implementations, an EBT host system may provide customer service support to cardholders including the reporting of lost, stolen, or damaged cards and the status updates would be made by customer service representatives through the EBT system. Ultimately, any updates made through the EBT system will need to be synchronized with the MIS. There are always risks that the MIS data may be out of date if these synchronizations are not made in a timely manner.

In terms of the user interface, regardless of where the data resides from a local user perspective, the MIS would be used to access this data. If the EBT system is the database of record, it could also be used by other parties such as the State Agency, IT staff, or customer service representatives to access and update data. The EBT system would not have access to view data on the MIS if the MIS is the database of record.

This function is represented in the following two sections of this document.

Message Based Access	3.3: Cardholder/Card Maintenance
Batch Files	4.12: Card Change File
Direct Screen Links	N/A

2.2.4   VIEW EBT BALANCE / TRANSACTION HISTORY

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
X			Either

Because the EBT system is responsible for processing transactions and maintaining account balance information, it is the database of record; however, a local clinic user does not necessarily want to toggle from the MIS to the EBT system to view this data since this could require entry of a separate User ID and password. This function allows the MIS the ability to request the data real-time from the EBT system and display the EBT balance and transaction data through the MIS user interface.

This function is represented in the following sections of the document.

Message Based Access	3.2.3: Get Benefit Balance 3.2.4: Get Transaction History
Batch Files	4.4: Redemption Batch File
Direct Screen Links	N/A

2.2.5   RETAILER MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
	X		MIS

Most MIS (or a State Agency's vendor management system) already maintain data for the authorized vendors (referred to as "retailers" in this document) for the State Agency. It would be redundant for this data to be entered and maintained separately by the EBT system. Therefore the MIS is responsible for capturing all retailer data needed by the EBT system and transmitting that data in a real-time message or as part of a daily batch file to the EBT system.

This function is represented in the following sections of the document.

Message Based Access	3.4: Retailer Maintenance
Batch Files	4.6: Retailer Batch File
Direct Screen Links	N/A

2.2.6   RETAILER BANK MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
X	X		Either

This is one of the more complicated functions in terms of assigning the database of record and user interface. The EBT system ultimately is the system that will use the bank routing and account data to initiate the settlement process. However, the choice for database of record and user interface is dependent on a State Agency's approach to implementing EBT.

The first thing to understand is that in some State Agency EBT environments it may be necessary for banking data to be captured and maintained for all retailers while in other environments only a subset of retailers require banking data to be maintained. In an EBT environment where all of the retailers connect directly into the EBT system and

payments are made directly to each retailer account, banking information must be maintained for all authorized retailers.

Another type of State Agency environment is one where retailers use entities known as third party processors (TPPs) to route transactions and consolidate settlement. In these situations, the EBT system does not directly interact with the retailer, but with the TPP. Settlement is made to the TPP, for instance, instead of directly to the retailer. Therefore when a TPP is used by a retailer, there is no need to maintain banking data for that individual retailer. Additionally, within the same State Agency there may be other set-ups for retailers that require that banking information be maintained in order for them to receive their payment via the EBT processor or financial institution used by the State Agency.

How does the retailer transaction routing environment affect the choice of where to put this function? If banking data collection is only on an exception basis, it becomes more of an operation of EBT than a vendor management functionality. Rather than introduce banking data into the MIS, a system that does not actually use it, it would seem logical to enter and maintain it via the EBT system. On the other hand, this does not necessarily mean that in the case where banking data must be collected for all retailers the MIS should be the point of entry or system that maintains it. There is another aspect to consider.

The other consideration is the party responsible for and/or contractually obligated to the retailer for ensuring payment. In an in-house environment where the State Agency is responsible for retailer payments and therefore for the collection and maintenance of banking data it may be more appropriate to enter and maintain banking data via the MIS. In this environment, State Agency staff as part of normal vendor management activities would be recording various types of demographic data in the vendor management component of the MIS. Assuming the collection of banking data is also part of State Agency's vendor management functions, it would be logical to enter the banking data into the MIS with other retailer information. The MIS would then be responsible for transmitting that data to the EBT system.

When the EBT system and services have been outsourced, the EBT service provider is typically responsible for deploying equipment or working with direct connect retailers to process and settle transactions. Part of this responsibility includes executing agreements with these retailers related to processing and settlement. In this environment, the EBT processor is responsible for collecting the banking information from the retailer; therefore, it would be more logical to enter and maintain the banking data via the EBT system.

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To support these various scenarios, the Universal Interface supports the ability for either system to maintain banking data and be the user interface for that data.

This function is represented in the following sections of the document.

Message Based Access	3.4: Retailer Maintenance
Batch Files	4.6: Retailer Batch File 4.7: Retail Corporation Batch File
Direct Screen Links	N/A

2.2.7   CATEGORY/SUBCATEGORY MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
		X	NUPC

Although State Agencies have not yet integrated the NUPC into their EBT processes, it is the goal of FNS to make the NUPC database the entry point and database of record for category and subcategory additions and updates. For this reason, it has been designated the database or record and user interface for this function. Category and subcategory data are data elements included in the UPC download files available through the NUPC database, the specifications for this file have been defined in the WIC National UPC Database System Upload/Download File Specifications Release Version 2.1.[23] This Universal Interface does not specifically address category and subcategory maintenance as this functionality is anticipated to reside in the NUPC database and the specifications for download of this data are documented elsewhere.

In implementations where the State Agency chooses to have the EBT system interface with the NUPC to obtain category / subcategory and UPC/PLU data, there still will be a need for the MIS to obtain the category / subcategory data as the MIS uses this data in issuing benefits. To support this, the Universal Interface provides the requirements for transmitting category/subcategory data from the EBT system to the MIS.

This function is represented in the following sections of the document.

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[2] This can be found in the FNS WIC EBT Document Library at
http://www.fns.usda.gov/apd/Library/WIC_EBt_docs.htm

[3] NUPC supports a download of the approved products (APL) and a National cat/subcat file download

Message Based Access	0: Category/Subcategory Maintenance
Batch Files	4.9: Category / Subcategory Batch Files
Direct Screen Links	N/A

2.2.8   UPC/PLU MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
		X	NUPC

Similar to category and subcategory maintenance, it is the goal of FNS to make the NUPC database the entry point and database of record for UPC and PLU additions and updates. For this reason, it has been designated the database of record and user interface for this function. It is understood that some State Agencies may choose to enter this data via another system and then upload it to the NUPC. UPC and PLU data are data elements included in the UPC download file available through the NUPC database. In addition to the download file, the specifications for the upload of UPC data to the NUPC have been defined in the WIC National UPC Database System Upload/Download File Specifications Release Version 2.1.[4] This document does not specifically address UPC/PLU maintenance as this functionality is anticipated to reside in the NUPC database and the specifications for download of this data are documented elsewhere.

If a State Agency chooses to have the MIS interface with the NUPC to obtain UPC/PLU data, there is still a need to transmit this data to the EBT system for use in distributing the APL file and processing transactions. To support this, the Universal Interface provides the requirements for transmitting UPC/PLU data from the MIS to the EBT system either in real-time or in a batch file.

This function is represented in the following sections of the document.

Message Based Access	N/A
Batch Files	4.10: APL and MAR Batch File
Direct Screen Links	N/A

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[4] This can be found in the FNS WIC EBT Document Library at
http://www.fns.usda.gov/apd/Library/WIC_EBt_docs.htm

2.2.9   MAR CALCULATIONS AND MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
X	X		Either

MAR calculations and maintenance is a function with which State Agencies are familiar from the paper environment. However, the way it is implemented in EBT is slightly different. In paper the paper environment the MAR is set for a group of foods on a food instrument, while in EBT is set at either the subcategory of food such as Peanut Butter or at the UPC level such as a specific 18 ounce jar of JIF peanut butter. To establish the MARs, prices captured by the EBT system as part of transaction processing is captured and used to in the MAR calculations.

Similar to cardholder and card maintenance, if one follows the philosophy of where to assign functionality discussed earlier, maximum allowable reimbursement amounts would be assigned to the EBT system for the following reasons.

- It would minimize the amount of data exchange because data does not have to be shipped to the MIS to do the calculation then transmitted back to the EBT system
- Points of failure would be reduced because the function would not require the data to be passed back and forth between systems
- Redemption data which is the key data used in MAR calculations is "natural" to the EBT system
- As the database of record for redemption data, the EBT system maintains and controls the data used for MAR calculations

With that said, historically in the paper environment, State Agencies have used their MIS or in some cases another State Agency system to calculate MARs for food instruments. It is a function over which they have always maintained control driven by existing processing as well as the uniqueness of their approved cost containment plans, peer group structures or administrative requirements. Because of this it often may prove simpler to have the MIS perform this function due to the administrative processes that are required within a State. Additionally, many of the new MIS have the ability to calculate MARs for the EBT environment has already been built. Conversely, several EBT systems do not support this functionality.

This document recognizes that this is an area where State Agencies may choose which system to use to support this function. For example, a State Agency with a robust MIS that already supports MAR calculations for EBT may choose to use the MIS for this function where a State Agency that has an older MIS that does not support MAR

calculations for EBT and has an EBT system that can perform this function may choose to have the EBT system as the database of record. Regardless of the approach, data required to be transmitted between the systems for this purpose have been provided in this document and are to be followed in the implementation of the interface.

This function is represented in the following sections of the document.

Message Based Access	N/A
Batch Files	4.10: APL and MAR Batch File
Direct Screen Links	N/A

2.2.10 ADJUSTMENTS / PAYMENTS VIA ACH

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
	X		MIS

This function supports the ability for the MIS to initiate ACH deposits to retailer accounts via the MIS. This function is used in situations where an adjustment is needed for a transaction that has already been settled. This might occur if a retailer disputes an NTE adjustment and the State Agency agrees to adjust the transaction. The method for making this adjustment would be through an ACH payment. Another purpose for this function would be for ongoing payment for entities such as mail-order vendors or infant formula warehouses used by some State Agencies.

This function requires that banking data be collected by the State Agency, entered via the MIS and transmitted to the EBT system as part of the message. This does not necessarily mean that banking data needs to be stored by the MIS for all retailers, just entered when adjustments are made because adjustments tend to be sporadic. Banking data may not be current if not used frequently and should be verified or reentered every time an adjustment is made. For those State Agencies that use a mail-order vendor or infant formula warehouse where regular (daily) payments are made, the MIS will need to maintain banking data for these entities to transmit in the daily ACH file.

Since the MIS initiates and provides the data for this process, it is both the database of record and the user interface. This function is represented in the following sections of the document.

Message Based Access	N/A
Batch Files	4.11: ACH Payment Request
Direct Screen Links	N/A

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2.2.11 RECONCILIATION (MIS-EBT AUTO-RECONCILIATION)

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
	X		MIS

In this function, the MIS compares the data from a file provided by the EBT system to reconcile each benefit add, update, or delete transaction that transmitted by the MIS during a given period. Because the MIS initiated these transactions, it is the database of record. The MIS shall take the file generated by the EBT system and reconcile the activity between the two systems. Any discrepancies would be viewed via the MIS through a screen or report.

This function is represented in the following sections of the document.

Message Based Access	N/A
Batch Files	4.3: Daily Interface Reconciliation Batch File
Direct Screen Links	N/A

2.2.12 REDEMPTION BATCH FILE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
X			MIS

This is the file containing all redemption activity for a given period. Because the EBT system processes redemptions, it is the database of record. This file is transmitted to the MIS to be stored and for use in report and other management activities. Depending on if and how the data is used, potentially State Agency and local users could access this data via the MIS as the user interface since the data once transmitted to the MIS is stored in that system or an associated data warehouse.

This function is represented in the following sections of the document.

Message Based Access	N/A
Batch Files	4.4: Redemption Batch File 4.5: Benefit Month Reconciliation Batch File
Direct Screen Links	N/A

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2.2.13 FINANCIAL SETTLEMENT AND RECONCILIATION

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
X			EBT

As the database of record for redemptions, the EBT system is also responsible for determining settlement amounts for each retailer. The MIS is not involved in the function, but as noted in Section 2.2.12: Redemption Batch File, the MIS will receive data associated with this function.

This function is represented in the following sections of the document.

Message Based Access	N/A
Batch Files	4.4: Redemption Batch File
Direct Screen Links	N/A

2.2.14 LA / CLINIC MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
	X		Either

This is an optional feature that a State Agency may choose to implement if they want their EBT system to be able to provide reporting by local agency and/or clinic. The MIS in this case must be able to transmit local agency and/or clinic demographic data to the EBT system. Conversely, rather than implementing this function in the interface, the MIS could use the redemption data transmitted from the EBT system to do similar reporting by local agency and/or clinic. In either case, the MIS is the database of record for the local agency / clinic data and is also the user interface for the entry or update of this information.

This function is represented in the following sections of the document.

Message Based Access	3.7: Clinic Maintenance
Batch Files	N/A
Direct Screen Links	N/A

2.2.15 CARD INVENTORY MANAGEMENT

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
X	X		Either

Like cardholder/card maintenance, card inventory management can be handled by either system depending on the capabilities of either system. It should be noted that the database of record designation for this function does not have to match the cardholder/card maintenance function. It is possible for the MIS, for example to track card inventory levels by volume without maintain card number data.

2.2.16 EBT SECURITY ROLE MAINTENANCE

EBT DB of Record	MIS DB of Record	NUPC DB of Record	User Interface
X	X		Both

The Universal Interface is only concerned with security role maintenance when direct screen links are used between the systems. For example if a user clicks a link in the MIS that opens a page (or screen) in the EBT system. To support direct screen links between the systems without requiring a separate log on, single sign-on (SSO) functionality can be supported. If a State Agency intends to use only message based and batch file transmissions, it is not required to address SSO functionality in its interface.

Because there are two systems involved both with their own security functions, each is defined as the database of record for the users and roles associated with its own system. Also for this same reason, each system is the user interface to add, update and delete users from its own system.

This function is represented in the following sections of the document.

Message Based Access	N/A
Batch Files	N/A
Direct Screen Links	5: Direct Screen Links

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WIC operations in a clinic setting are generally real time in nature. The regulation, to paraphrase, is for same day service which is usually interpreted as participants leaving the clinic with food benefits in hand.[5] Consequently, many of the interactions between the WIC MIS and the WIC EBT environments, such as an account set up or a benefit issuance, require a real time interface. An inherent objective for the universal interface is to make access to EBT functionality seamless to a user in the WIC clinic. Also inherent in describing this functionality is the understanding that the use of the functionality is driven by the MIS user. The EBT system is passive and only responds to requests from the MIS. This document describes three approaches to implementing the universal interface. These may be used independently or in combination depending on the needs and preferences of the application designer.

1. *Message Based Access:*

The first approach is to have the MIS invoke EBT functionality by sending a message to the EBT system. (A common implementation of this approach might be the use of a WEB service call using Simple Object Access Protocol [SOAP]). With this approach, the MIS will provide the user interface (e.g. paint the screens) that will either gather the data necessary to execute an EBT function or present the results of an EBT query to the clinic user. Message based access addresses the following functions:

- Account Maintenance
    - Create Electronic Benefit Account (EBA)
    - Update EBA
    - View EBA Details
    - Get EBA Details
    - Get Household ID Using Card Number
- Benefit Maintenance
    - Add / Adjust Benefits
    - Get Benefit Balance
    - Get Transaction History
- Cardholder/Card Maintenance
    - Add Cardholder UI
    - Add Cardholder/Card
    - Submit PIN
    - Get Cardholders/Cards
    - Get Cardholders/Cards for Household

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[5] Regulation reference: 7 CFR 264.7(f)(2)(iv)

- o   Deactivate Card
- o   Replace Card
- o   Unlock PIN
- Retailer Maintenance
  - o   Create Retailer
  - o   Update Retailer
  - o   Deactivate Retailer
  - o   Reactivate Retailer
- Category/Subcategory Maintenance
  - o   Get Category Information
  - o   Get Subcategory Information
- Local Agency Maintenance
  - o   Create Local Agency
  - o   Update Local Agency
  - o   Deactivate Local Agency
  - o   Reactivate Local Agency
- Clinic Maintenance
  - o   Create Clinic
  - o   Update Clinic
  - o   Deactivate Clinic
  - o   Reactivate Clinic

2. Batch files:

This document also describes a batch interface for the transfer of bulk data between the MIS and EBT environments. This can be a two way data flow, with some of the batch transfers being initiated by the MIS and others by the EBT system.

Batch Interface	Initiator	Purpose
Redemption Data	EBT	Provide the MIS with a detail record of all benefit redemption activity.
Reconciliation	Either	Either the MIS or EBT system should pass to the other a batch file documenting the activity that was processed real time throughout the day. This allows the receiving system to validate and reconcile this data against its record of real time data transfers.

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Batch Interface	Initiator	Purpose
Retailer Data	MIS	The MIS is the master of retailer data and may want to pass portions of this data to the EBT system in a batch mode. Minimally, this interface would be used to keep the EBT system informed of approved WIC retailers and their peer groups.
Retailer Status File	EBT	This file can optionally be use to transmit retailer status data to the MIS. This function I
Category / subcategory and UPC	Either	Either the MIS or EBT systems may interact with the NUPC to get the Category / subcategory and UPC data. Both systems need portions of this data and a batch interaction may be necessary to pass the data between the two systems.
Maximum price data	MIS	If the MIS chooses to maintain the maximum allowable price for food items, it will have to pass this data (for each peer group) to the EBT system.
ACH Payment Request	MIS	To support retailer adjustments associated with settled transactions or payments to non-traditional vendors such as mail-order vendors or formula warehouses, a State Agency may chose to use an ACH payment process. If supported by their EBT system, the MIS can initiate the payment by sending the ACH data to the EBT system.
Card Change	EBT	If a State Agency chooses to maintain card status on the MIS and also allows changes to be made to card status via the EBT system, the EBT system must provide the MIS with any updates that have occurred within a given period. This file allows the MIS to update its records to reflect any changes made via the EBT system.

For an application designer, there are two important considerations to keep in mind when evaluating the use of the batch processes.

- Some of the above batch functions could also be implemented using message based functionality.

- Where should the underlying functionality reside. This has been discussed previously and the recommendation is to generally let each system deal with data that is natural to itself. As an example, it may be that the EBT system, which is the master for redemption data, provides some very powerful archive

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and reporting capabilities that are exposed to the agency user. Consequently, it might be redundant (and create additional work effort) for the MIS to also implement this existing functionality and therefore, use of the batch redemption file may not be necessary.

3. *Direct Screen links:*

The assumption underlying this approach is that both the MIS and EBT system have a native WEB based user interface that allows a user to perform a range of EBT functions. The EBT system itself provides the user access and provides the screens needed to execute the functionality.

Interface functions provide tools that allow a clinic user that is logged on to the MIS to readily gain access to the EBT system's native interface without ever having to leave the MIS environment to log on separately to the EBT environment. Their MIS user identification (ID) and password can be configured to provide access to the EBT user interface. This is referred to as a single sign on (SSO) approach. Once the security is properly constructed, the MIS, using the interface protocols described in this document, would be able to invoke the screen presentations native to the EBT system transparently to the clinic user.

2.4   SECURITY CONISIDERATIONS

This document does not address specific security requirements related to the transfer of data between systems. State Agencies will be responsible for taking measures to secure data and maintain appropriate access rights for end users. It is expected that State Agencies will follow the standards and guidelines identified by USDA in regulations or guidance documentation as well as appropriate industry standards.

2.5   SECTION ORGANIZATION

Sections 3, 4 and 5 in this document address the Message Based Access, Batch File, and Direct Screen Links forms of communications between MIS and EBT systems.

Each section is organized as follows:

2.5.1   DESCRIPTION AND OPERATIONS

1. Each section starts with a brief description of the functional area.
2. There is a section detailing the database of record for the functional area and which system should implement the user interface for the functional area.
3. There is a table listing the various operations implemented in the EBT System.

4. There are following subsections that describe each operation. If the WIC MIS is the master of the information, then the first operation that is documented is the operation (usually Create) that establishes the data object in the EBT System. In this way, a reader who is interested in a higher level view of the information presented in this document can focus on the information in the first subsection. Furthermore, each subsection describing a specific operation is organized as follows:

    a. There is a brief description of the operation.

    b. There is a table of input parameters for the operation. The table only covers the core elements needed for the specific operation. Additional general parameters that exist for the purpose of fulfilling logging requirements (such as username of user requesting operation or trace numbers) are documented below.

    c. Any processing rules governing the action are listed.

2.5.2 PARAMETER TABLE LAYOUT

The input parameters for a request shall appear in a table with the following columns:

- Data element name – Name of parameter. Note that the parameter description appears in the Data Element Dictionary.
- CC – Condition Code – Indicates whether the parameter is required or may be NULL. The possible values are:
  - M – Indicates that a parameter is mandatory and may not be NULL.
  - O – Indicates that a parameter is optional and may be NULL. For update operations, if the field has an existing value and that value is to be preserved, then the existing value must be supplied as a parameter in the update operation. A value of null will cause the existing value to be overwritten with null.
  - C – Indicates that a parameter may be required depending on the specific type of implementation being used.
- Notes – Any additional notes on parameter usage. Note that this column may be omitted if there are no additional notes on any parameters.

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3   MESSAGE BASED ACCESS

Message based access is used for performing real time transfers of data between MIS and EBT systems. The following table lists common parameters that are unique to real time transactions.   Batch files will have different requirements although some of the same information may be present in the header record of the file.

Data element name	Notes	CC
System ID		M
Security Token		M
MIS Local Agency ID		O
MIS Clinic ID		C
Trace Number		M
Username		M
MIS System ID		M
Workstation ID		O
Date/Time		M
WIC State Agency ID		M

Note that these parameters are not required for direct screen calls (see section 5: Direct Screen Links) in the EBT System since the necessary parameter values are either:

- Derived from the user's session (Username, MIS System ID, WIC State Agency)
- Initialized by the EBT System (System ID, Token, Date/Time)
- Not required when called from the EBT System screens (Trace Number)

3.1   ACCOUNT MAINTENANCE

Account maintenance comprises operations for maintaining an electronic benefit account (EBA) in the EBT System. An EBA can mean account data maintained on the EBT host (online) or the smart card in combination with data maintained at the EBT settlement server.   In particular, the EBA is linked to a household using the MIS Household ID. An EBA ties together all of the various data elements required to enable EBT functionality for a household. Such data elements include benefit information, card data and transaction history. Subsequent operations on the EBA require the presence of the MIS Household ID which is used by the EBT System to identify the EBA to which the operation shall apply.

The following table lists account maintenance operations.

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Operation
Create EBA
Update EBA
Get EBA Details
Get Household ID Using Card Number

3.1.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS
Notes	EBT system maintains account demographics, but account set-up, update, and deactivation is initiated from the MIS

3.1.2   CREATE EBA

The Create EBA operation is used to establish an EBA in the EBT System and link the EBA to a household from the MIS. The following table lists the data elements in the request:

Data element name	Notes	CC
MIS Household ID		M
Head of Household Name		O
Head of Household Date of Birth		C
Household Zip Code		C
Household Address (Mailing Address)		O

The following table lists the processing rules:

Rule ID	Description
3.1.2.1	Validation that the MIS Household ID does not already exist for calling WIC State Agency (not necessarily applicable for smart card).
3.1.2.2	This operation returns an EBA ID that is generated by the EBT System. Use of this information by the WIC MIS is optional.

The EBT System expects that the MIS shall perform any necessary checks for dual participation.

3.1.3   UPDATE EBA

This function is used to change the household DOB, name, or address that is held in the EBT database. It is also, for those MIS that do not have unique Household IDs statewide, allows the household IDs associated with an EBA to be updated. For example, IDs may be unique within a local agency and can be appended with a local agency ID to make the ID unique statewide; however, when that household moves to another local agency they will receive a new household ID. This function allows the MIS to update an EBA with new Household ID. It should be noted that it is highly recommended that MIS support unique Household IDs statewide. It also should be noted that if a State Agency has unique Household IDs statewide, this function does not need to be implemented.

The following table lists the data elements in the request:

Data element name	Notes	CC
(OLD) MIS Household ID	ID of MIS Household to which this operation applies.	M
(NEW) MIS Household ID	If present, this Household ID will be associated to the EBA and the old Household ID will be deactivated.	O
Head of Household Name		O
Head of Household DOB		C
Household Address		O
Head of Household Zip		C

The following table lists the processing rules:

Rule ID	Description
3.1.3.1	Validation that the (OLD) MIS household ID exists.
3.1.3.2	If a (NEW) MIS Household ID is provided, then the EBT System shall validate that the New MIS household ID does not already exist.
3.1.3.3	If a (NEW) MIS Household ID is provided, then the EBT System shall deactivate the (OLD) MIS Household ID (Optional)

3.1.4   GET EBA DETAILS

The Get EBA Details operation causes the EBT System to return detailed information on the EBA. This function allows an MIS user the ability to have EBA information displayed via an MIS screen.

The following table lists the data elements in the request:

Data element name		CC
MIS Household ID		M

The following data elements are returned:

Data element name
MIS Household ID
Head of Household (HOH) Name
Head of Household Date of Birth (HOH DOB)
Household Zip Code
Household Address (Mailing Address)

The following describes the effect of invoking this operation.

Rule ID	Description
3.1.4.1	The EBT System shall identify the EBA and return the household data information.

3.1.5   GET HOUSEHOLD ID USING CARD NUMBER

This function supports the use of the EBT card number to identify the Household ID and then display the household record in the MIS. For example, an EBT card is inserted or swiped; the household ID is obtained triggering the MIS to open the record for that household. The following table lists the data elements in the request:

Data element name	Notes	CC
Card Number		M

The following data elements are returned:

Data element name
Household ID
Card Status Date
Card Status
Cardholder Type

The following describes the effect of invoking this operation.

Rule ID	Description
	The EBT System shall identify the EBA associated with the card number and return the data elements associated.

3.2   BENEFIT MAINTENANCE

Benefit maintenance comprises operations for maintaining benefit information associated with an EBA in the EBT System. The following table lists benefit maintenance operations.

Operation
Add / Adjust Benefits
Get Benefit Balance
Get Transaction History

3.2.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

3.2.2   ADD / ADJUST BENEFITS

The Add / Adjust Benefits operation is used to add or remove benefits from an EBA. It is either a debit or a credit of a benefit amount. In particular, this operation is used for benefit issuance, but can also be used to make adjustments to benefits if there is a food package change or other need. The following table lists the data elements:

Data element name		CC
MIS Household ID		M
Credit/Debit Indicator		M
Card Number (Smart Card)		I
Reason Code		M
A list of the following elements:		
Benefit ID		M
Benefit Begin Date		M
Benefit End Date		M
Category Code		M
Subcategory Code		M
Benefit Quantity		M

The following table lists the processing rules:

Rule ID	Description
3.2.2.1	Validation that the MIS Household ID exists and is active.
3.2.2.2	Validation that the combination of Category Code and Subcategory Code is valid.
3.2.2.3	If the transaction is a debit, then the Benefit Begin Date and Benefit End Date must exactly match the Benefit Begin Date and Benefit End Date for the categories and subcategories to be debited.
3.2.2.4	If the transaction is a debit, then the EBT System shall only perform the debit if there is sufficient balance to post the entire debit.
3.2.2.5	If the transaction is a credit, then there must be validation that the total Benefit Quantity (units) available for the Category Code and Subcategory Code on a given date shall not exceed 999.99 (this would exceed the maximum balance that can be returned in an X9.93 message).
3.2.2.6	Validation that the Reason Code is defined for the WIC State Agency.

3.2.3   GET BENEFIT BALANCE

The Get Benefit Balance operation is used to retrieve benefit information for a particular EBA. This function allows the MIS to retrieve from the EBT host (online), the card (smart card) or the settlement server (smart card) the remaining balance for the EBA and display it via the MIS. The following table lists the data elements in the request:

Data element name	Notes	CC
WIC State Agency ID		M
Card Number		C
MIS Household ID		C
Request Begin Date		O
Request End Date		O

Note that either the Card Number or MIS Household ID parameter must be present.

A list of the following data elements is returned:

Data element name
Benefit ID
Category Code
Category Long Description
Subcategory Code
Subcategory Long Description
Unit of Measure Description
Available Benefit Quantity
Active Hold Quantity
Benefit Begin Date
Benefit End Date

The following table lists the processing rules:

Rule ID	Description
3.2.3.1	Validation that the MIS Household ID exists and is active.
3.2.3.2	If only the current balance is requested, then the EBT System shall only return records where the current date is between the Benefit Begin Date and Benefit End Date.
3.2.3.3	If all benefits are requested, then the EBT System shall return the current balance plus any benefits available in the future. Expired benefits are not returned.

3.2.4   GET TRANSACTION HISTORY

The Get Transaction History operation is used to retrieve transaction data for a particular EBA. This function allows the MIS to retrieve from the EBT host (online) or

the settlement server (smart card) the transaction history for a given period for the EBA and display it via the MIS. The following table lists the data elements in the request:

Data element name	Notes	CC
WIC State Agency ID		M
Card Number		C
MIS Household ID		C
Start Date		M
End Date		M

Note that either the Card Number or MIS Household ID parameter must be present.

A list of the following data elements is returned:

Data element name
Unique Transaction Identifier
Transaction Code
Host date and time
Store Date and Time
Work Station ID (Clinic Transactions)
Initiating User ID (Clinic Transactions)
Card Acceptor ID Code
Card Acceptor Terminal ID
Forwarding Institution ID
Acquiring Institution ID
Settlement Date
Business Date
Retailer ID
Clinic ID
Vendor Peer Group
PAN
Household ID
Benefit ID
Benefit Begin Date
Benefit End Date
Request Amount
Total MAR adjustments
Discount Amount

Data element name
Paid amount
Line Item ID[6]
Category Code
Category Long Description
Subcategory Code
Subcategory Long Description
Category Code
Category Long Description
Subcategory Code
Subcategory Long Description
Unit of Measure
Unit of Measure Description
Repeating cat / sub cat elements
UPC
UPC Description
Quantity
Item price
Paid amount

The following table lists the processing rules:

Rule ID	Description
3.2.4.1	Validation that the MIS Household ID exists and is active.

3.3   CARDHOLDER/CARD MAINTENANCE

Cardholder maintenance comprises operations for maintaining cardholders in the EBT System. Cardholders and cards are required in order to access EBT benefits associated with an EBA in the EBT System.

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[6] There will likely be multiple items tying to the same transaction (i.e. a purchase or issuance with multiple line items) and therefore there may be multiple rows associated with the same transaction ID. Line Item ID will identify each item distinctly.

Operation
Add Cardholder/Card
Submit PIN
Get Cardholders/Cards
Get Cardholders/Cards for Household
Deactivate Card
Replace Card
Unlock PIN

The EBT System implements additional operations for updating cardholder information as well as operations for deactivating and replacing cards.

3.3.1   DATABASE OF RECORD AND INTERFACE POINT(S)

For the functions defined in this section, the following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	Either
Interface	MIS

3.3.2   ADD CARDHOLDER/CARD

The following table lists the general data elements that are required for establishing a cardholder and card in the EBT System.

Data element name	Notes	CC
MIS Household ID		M
Card Number		M
Cardholder Name		M
Cardholder Date of Birth (DOB)		M
Cardholder Type		M
Cardholder Phone Number		O
Cardholder ZIP code		O

The following describes the effect of invoking this operation.

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Rule ID	Description
3.3.2.1	Validation that the MIS Household ID exists and is active.
3.3.2.2	Validation that the Card Number exists and has not been previously issued.
3.3.2.3	(Online Only) If the Cardholder Type is "Primary", then the EBT System shall validate that there is not already an active primary cardholder associated with the given household.
3.3.2.4	(Online Only) If the Cardholder Type is "Secondary", then the EBT System shall validate that there is already a primary cardholder associated with the household.
3.3.2.5	(Online Only) If the Cardholder Type is "Secondary", then the EBT System shall validate that the addition of the new cardholder will not exceed the maximum number of allowed cardholders per household.
3.3.2.6	If the Encrypted PIN Block is supplied and is valid, then the EBT System shall translate the Encrypted PIN Block into a new encrypted PIN block that is suitable for internal database storage.
3.3.2.7	If all validations are passed, then the EBT System shall create a new cardholder record and associate the cardholder with the given card and household.

3.3.3   SUBMIT PIN

This operation is used to associate a PIN with the cardholder of the given card (online) or to associate a PIN with a card (smart card).

The following table lists the general data elements

Data element name	Notes	CC
Card Number		M
Encrypted PIN Block		M
New PIN Flag		M

The following describes the effect of invoking this operation.

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Rule ID	Description
3.3.3.1	Validation that the Card Number is active and associated with a valid EBA.
3.3.3.2	Validation that the Encrypted PIN Block is valid.
3.3.3.3	If the Encrypted PIN Block is supplied and is valid: • (Online) Then the EBT System Processor shall translate the Encrypted PIN Block into a new encrypted PIN block that is suitable for internal database storage. • (Smart Card) Then the PIN is updated on the smart card

3.3.4   GET CARDHOLDERS/CARDS

This operation is used to get a list of cardholders and cards. It is designed to provide maximum flexibility to the MIS and to support the varying methods that different MIS may use to search for cards/cardholders. For those implementations were the EBT system is the database of record for cards, this allows the MIS to access the EBT system, obtain card and cardholder data associated to and EBA and display that data via the MIS. The following table lists the general data elements in the request:

Data element name	Notes	CC
Cardholder Name		O
Cardholder DOB		O
Cardholder Address		O
Card Number		O
Household ID		O
Cardholder Type		O
Card Status		O

A list of the following data elements is returned:

Data element name
Cardholder ID
Cardholder Name
Cardholder DOB
Cardholder Address
Card Number
Household ID

Data element name
Cardholder Type
Card Status
Card Activation Date
Card Deactivation Date

3.3.5   GET CARDHOLDERS/CARDS FOR HOUSEHOLD

While the operation above can be used to retrieve a list of cardholders and cards for a household, this operation provides a simpler and more "tuned" interface for doing so. This is a function that is used when the EBT system is the database of record for cardholders/cards.

The following table lists the general data elements

Data element name	Notes	CC
Household ID		M
Start Date		O
End Date		O

A list of the following data elements is returned:

Data element name
Card Number
Cardholder ID
Cardholder Name
Card Status Date
Card Status Code
Cardholder Type

3.3.6   DEACTIVATE CARD

This operation is used to deactivate a card. This is a function that is used when the EBT system is the database of record for cardholders/cards and deactivation is initiated via the MIS. It can also be used with the MIS as the database of record to update the EBT system that a card has been deactivated. A common use for this operation occurs when a cardholder wishes to report a card as lost or stolen. In a smart card system it will be used to add the card to the Hot Card List (HCL) that is downloaded to retailer locations.

Often a cardholder will not know the card number of the card that they are reporting as lost or stolen. For this reason, it is advised that when the EBT system is the database of record for cards/cardholders, the MIS first use Get Cardholders/Cards or Get Cardholders/Cards by Household in order to find the card number of the card to be deactivated.

The following table lists the general data elements:

Data element name	Notes	CC
Card Number		M
Card Status Code		M

The following describes the effect of invoking this operation.

Rule ID	Description
3.3.6.1	The card status is changed to the value in Card Status Code. The card will no longer be usable for transactions.

3.3.7   REPLACE CARD

This operation is used to replace a card.

The following table lists the general data elements

Data element name	Notes	CC
Cardholder ID		M
New Card Number		M
Card Status Code		M

The following describes the effect of invoking this operation.

Rule ID	Description
3.3.7.1	Validation that the Card Number exists and has not been previously issued.
3.3.7.2	If the cardholder currently has an active card, then the existing active card is deactivated.
3.3.7.3	(Online) Since the PIN is associated with the cardholder, the PIN is unchanged for the new. Note that the PIN may still be changed by invoking the Submit PIN operation.

3.3.8   UNLOCK PIN

This operation is used to remove a PIN block from a card and reset the invalid PIN attempt count to zero.

The following table lists the data elements in the request:

Data element name	Notes	CC
Card Number		M

The following describes the effect of invoking this operation.

Rule ID	Description
3.3.8.1	Validation that the Card Number is active and associated with a valid EBA.
3.3.8.2	The PIN block is removed and the invalid PIN attempt count is reset to 0.

3.4   RETAILER MAINTENANCE

Retail maintenance comprises operations for maintaining retailer information needed by the EBT System. The following are the recommend operations.

Operation
Create Retailer
Update Retailer
Deactivate Retailer
Reactivate Retailer

3.4.1   DATABASE OF RECORD AND INTERFACE POINT(S)

For the functions defined in this section, the following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

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3.4.2   CREATE RETAILER

The Create Retailer operation is used to establish retailer information in the EBT System. The following table lists the data elements in the request:

Data element name	Notes	CC
MIS Retailer Number (WIC Merchant ID)		M
Peer Group ID		M
Retailer Name		M
Retail Activation Date		M
ACH Settlement Time	This parameter is used by a MIS that chooses to provide a UI for gathering this information; however, it is recommended that the EBT System be used to maintain this information.	O
Over 50%		M
Direct Connect Flag	This parameter is used by a MIS that chooses to provide a UI for gathering this information; however, it is recommended that the EBT System be used to maintain this information.	O
Direct Connect Auto-recon	This parameter is used by a MIS that chooses to provide a UI for gathering this information; however, it is recommended that the EBT System be used to maintain this information.	O
Total Food Sales		M
Contracting Agency		M
Retailer Address		M
Contact Name		O
Contact Phone		M
Contact Alternate Phone		O
Contact Email		O
Corporation ID		O

Data element name	Notes	CC
ABA Routing Transit Number[7]		O
Bank Account Number		O

The following describes the processing rules associated with this operation:

Rule ID	Description
3.4.2.1	Validation that MIS Retailer Number does not already exist for the calling system.

3.4.3   UPDATE RETAILER

The following table lists the data elements in the request:

Data element name	Notes	CC
MIS Retailer Number (WIC Merchant ID)		M
Peer Group ID		M
Retailer Name		M
Retail Activation Date		M
ACH Settlement Time	This parameter is used by a MIS that chooses to provide a UI for gathering this information; however, it is recommended that the EBT System be used to maintain this information.	O
Over 50%		M
Direct Connect Flag	This parameter is used by a MIS that chooses to provide a UI for gathering this information; however, it is recommended that the EBT System be used to maintain this information.	O

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[7] Appropriate measures should be applied to ensure that the security of banking data is maintained.

Data element name	Notes	CC
Direct Connect Auto-recon	This parameter is used by a MIS that chooses to provide a UI for gathering this information; however, it is recommended that the EBT System be used to maintain this information.	O
Total Food Sales		M
Contracting Agency		M
Retailer Address	Store mailing address	M
Retailer location	Address of specific location	O
Contact Name		O
Contact Phone		M
Contact Alternate Phone		O
Contact Email		O
Corporation ID		O
ABA Routing Transit Number[8]		O
Bank Account Number		O

The following describes the processing rules associated with this operation:

Rule ID	Description
3.4.3.1	Validation that MIS Retailer Number already exists for the calling system.

3.4.4   DEACTIVATE RETAILER

The Deactivate Retailer operation is used to deactivate a retailer in the EBT System. The EBT System will not accept transactions from a retailer once it has been deactivated. The following table lists the data elements in the request:

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[8] Appropriate measures should be applied to ensure that the security of banking data is maintained.

Data element name	Notes	CC
MIS Retailer Number (WIC Merchant ID)		M
Retailer Deactivation Date	If this parameter is NULL, then the EBT System assumes the current date.	O

The following table lists the processing rules:

Rule ID	Description
3.4.4.1	Validation that the MIS Retailer Number already exists.
3.4.4.2	The EBT System shall update the status associated with the retailer to indicate that it is no longer active. Note that the retailer record is not deleted from the EBT System.

3.4.5   REACTIVATE RETAILER

The Reactivate Retailer operation is used to reactivate a retailer that already exists in the EBT System, but has been deactivated. The EBT System will be able to accept transactions from a retailer once it has been reactivated. The following table lists the data elements in the request:

Data element name	Notes	CC
MIS Retailer Number (WIC Merchant ID)		M
Retailer Reactivation Date	If this parameter is NULL, then the EBT System assumes the current date.	O

The following table lists the processing rules:

Rule ID	Description
3.4.5.1	Validation that the MIS Retailer Number already exists.
3.4.5.2	The EBT System shall update the status associated with the retailer to indicate that it is active.

3.5   CATEGORY/SUBCATEGORY MAINTENANCE

The area of category/subcategory maintenance comprises operations for maintaining the list of food categories and subcategories used by the WIC State Agency. The preferred solution is to use the FNS standard list of categories and subcategories. This list is maintained within the National Universal Product Code (NUPC) database (maintained by FNS). The assumption is that a State Agency will be using functionality provided by the NUPC to maintain their list of food categories / subcategories and approved products (UPCs).

This information will be downloaded as needed to either the MIS or the EBT environments (both will have a need for this information) for local use. It is an agency option as to whether the MIS, the EBT System, or both provide the functionality to download this information.

The Category/Subcategory Maintenance function is used when the EBT system is responsible for downloading the data from the NUPC. If the MIS performs the download function, then this function does not need to be implemented within the interface.

The functionality described in this section assumes that the EBT System is maintaining a connection with NUPC for the purpose of retrieving UPC information and that rather than having the MIS also support this interface, it will retrieve the category and subcategory information it needs from the EBT System. If an Agency elects to have the MIS be the master of UPC management then an interface will be required to allow the transfer of EBT needed information to the EBT system. This is envisioned to be a batch data transfer and is described in the section on batch files.

3.5.1   DATABASE OF RECORD AND INTERFACE POINT(S)

For the functions defined in this section, the following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	NUPC Download to EBT System
Interface	NUPC

3.5.2   GET CATEGORY INFORMATION

This following table lists information needed by MIS in order to maintain food categories. Ultimately, NUPC shall be the database of record for food categories. The

EBT System shall maintain a link with NUPC to obtain updated food category information. This information shall be made available to the MIS from the EBT System. Note that there are no additional parameters (beyond the common parameters) for the request. A list of the following data elements is returned:

Data element name
WIC State Agency ID
Category Code
Category Long Description
Category Short Description
Category Begin Date
Category End Date

3.5.3   GET SUBCATEGORY INFORMATION

The following table lists the data elements needed by MIS in order to maintain food subcategories. Ultimately, NUPC shall be the database of record for food subcategories. The EBT System shall maintain a link with NUPC to obtain updated food subcategory information. This information shall be made available to MIS from the EBT System. Note that there are no additional parameters (beyond the common parameters) for the request. A list of the following data elements is returned:

Data element name
WIC State Agency ID
Category Code
Subcategory Code
Subcategory Long Description
Subcategory Short Description
Unit of Measure Abbreviation
Require Prescription Flag
Subcategory Begin Date
Subcategory End Date

3.6   LOCAL AGENCY MAINTENANCE

Local agency maintenance comprises operations for maintaining local agency information needed by the EBT System. Storage of local agency information is optional and depends upon whether it wishes for the EBT System to enable certain functionality such as reporting that makes use of local agency.

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Operation
Create Local Agency
Update Local Agency
Deactivate Local Agency
Reactivate Clinic

3.6.1 DATABASE OF RECORD AND INTERFACE POINT(S)

For the functions defined in this section, the following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

3.6.2 CREATE LOCAL AGENCY

The Create Local Agency operation creates a clinic information record in the EBT System. The following table lists the data elements in the request:

Data element name	Notes	CC
Local Agency ID		M
Local Agency Name		M
Local Agency Address	This is required if the EBT System is providing card inventory management services.	O
Phone Number	This is required if the EBT System is providing card inventory management services.	O
Local Agency Contact Name	If the EBT System is providing card inventory management services, then will be default name for directing card shipments to the clinic.	O

The following describes the processing rules associated with this operation:

Rule ID	Description
	Validation that Local Agency ID does not already exist for the calling system.

3.6.3   UPDATE LOCAL AGENCY

The Update Local Agency operation updates the clinic information record in the EBT System. The following table lists the data elements in the request.

Data element name	Notes	CC
Local Agency ID		M
Local Agency Name		M
Local Agency Address		O
Phone Number		O
Local Agency Contact Name		O

The following describes the processing rules associated with this operation:

Rule ID	Description
3.6.3.1	Validation that Local Agency ID already exists for the calling system.

3.6.4   DEACTIVATE LOCAL AGENCY

The Deactivate Local Agency operation is used to deactivate a local agency in the EBT System. The EBT System will not accept transactions from a local agency once it has been deactivated. The following table lists the data elements in the request:

Data element name	Notes	CC
Local Agency ID		M
Local Agency Deactivation Date	If this parameter is NULL, then the EBT System assumes the current date.	O

The following table lists the processing rules:

Rule ID	Description
3.6.4.1	Validation that the Local Agency ID already exists.
3.6.4.2	The EBT System shall update the status associated with the local agency to indicate that it is no longer active. Note that the local agency record is not deleted from the EBT System.

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3.6.5   REACTIVATE LOCAL AGENCY

The Reactivate Local Agency operation is used to reactivate a local agency that already exists in the in the EBT System, but has been deactivated. The EBT System will be able to accept transactions from a local agency once it has been reactivated. The following table lists the data elements in the request:

Data element name	Notes	CC
Local Agency ID		M
Local Agency Reactivation Date	If this parameter is NULL, then the EBT System assumes the current date.	O

The following table lists the processing rules:

Rule ID	Description
3.6.5.1	Validation that the Local Agency ID already exists.
3.6.5.2	The EBT System shall update the status associated with the local agency to indicate that it is active.

3.7   CLINIC MAINTENANCE

Clinic Maintenance comprises operations for maintaining clinic information needed by the EBT System. At minimum, the EBT System needs the ID's of valid clinics so that the source of transactions may be properly logged. Optionally, Clinic data can be used by the EBT system for reporting as well as supporting card inventory activities. This requires some basic demographic information be stored in the EBT System. The following are the recommend operations.

Operation
Insert Clinic
Update Clinic
Deactivate Clinic
Reactivate Clinic

3.7.1   DATABASE OF RECORD AND INTERFACE POINT(S)

For the functions defined in this section, the following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

3.7.2   CREATE CLINIC

The Create Clinic operation creates a clinic information record in the EBT System. The following table lists the data elements in the request:

Data element name	Notes	CC
Clinic ID		M
Clinic Name		M
Clinic Address	This is required if the EBT System is providing card inventory management services.	O
Phone Number	This is required if the EBT System is providing card inventory management services.	O
Clinic Contact Name	If the EBT System is providing card inventory management services, then will be default name for directing card shipments to the clinic.	O
Local Agency ID	ID of the local agency to which the clinic belongs.	O

The following describes the processing rules associated with this operation:

Rule ID	Description
3.7.2.1	Validation that Clinic ID does not already exist for the calling system.

3.7.3   UPDATE CLINIC

The Update Clinic operation updates the clinic information record in the EBT System. The following table lists the data elements in the request.

Data element name	Notes	CC
Clinic ID		M
Clinic Name		M
Clinic Address		O
Phone Number		O
Clinic Contact Name		O

The following describes the processing rules associated with this operation:

Rule ID	Description
3.7.3.1	Validation that Clinic ID already exists for the calling system.

3.7.4   DEACTIVATE CLINIC

The Deactivate Clinic operation is used to deactivate a clinic in the EBT System. the EBT System will not accept transactions from a clinic once it has been deactivated. The following table lists the data elements in the request:

Data element name	Notes	CC
Clinic ID		M
Clinic Deactivation Date	If this parameter is NULL, then the EBT System assumes the current date.	O

The following table lists the processing rules:

Rule ID	Description
3.7.4.1	Validation that the Clinic ID already exists.
3.7.4.2	The EBT System shall update the status associated with the clinic to indicate that it is no longer active. Note that the clinic record is not deleted from the EBT System.

3.7.5   REACTIVATE CLINIC

The Reactivate Clinic operation is used to reactivate a clinic that already exists in the in the EBT System, but has been deactivated. The EBT System will be able to accept transactions from a clinic once it has been reactivated. The following table lists the data elements in the request:

Data element name	Notes	CC
Clinic ID		M
Clinic Reactivation Date	If this parameter is NULL, then the EBT System assumes the current date.	O

The following table lists the processing rules:

Rule ID	Description
3.7.5.1	Validation that the Clinic ID already exists.
3.7.5.2	The EBT System shall update the status associated with the clinic to indicate that it is active.

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4   BATCH FILE INTERFACES

There may be a need for the communication of bulk data between the MIS and EBT system. Use of this form of interface is at the discretion of the application designer and depends upon where certain EBT related functionality has been implemented. In some instances, a comparable message data type has been defined in prior sections of this document which may be used as an alternative to file transfers. It is expected that this form of data interchange will be implemented using the following standard batch file formats.

4.1   GENERAL FILE STRUCTURE

The work group considered defining a standard header and trailer record as an envelope to encase the following batch detail record formats and to define standard file confirmation protocols and error reporting mechanisms for all file types. However, because some of the more modern data transfer implementations, such as XML, already provide the functionality normally associated with headers and trailers, and have pre-defined error handling, it was decided to leave this to the discretion of the application designer as an implementation consideration. A standard set of file management data that should be conveyed as a component of each file transfer has been defined. It is up to the application designer as to how to convey this information. These data items could be in a standard header and trailer format, they can be conveyed as XML data elements, or even via file naming conventions and FTP set up.

4.1.1   DATA REQUIRED IN ALL FILES

The following list of data elements must be included in each file transmission.

Data element name	CC	Contents
File Type	M	Standard identifier unique to each file type
Originator of file	M	Unique identifier of the file origination entity
Target of file	M	Unique identifier of the intended destination for the file
File sequence number	M	A unique number that is incremented by 1 for each file that is successfully transferred
Date and Time	M	Date and time the file was created
Format and version	M	An indicator of the format and version of the file being transferred

Data element name	CC	Contents
Security	M	User id, password, or token used to authenticate the file
Record count	M	Count of detail records contained in the file
BIN	O	Bin associated with file

The implementation of the batch interface should provide the functionality to:

- Confirm to the sending party that the file was received

- Report a file level error (e.g. wrong sequence, wrong record count, etc.)

- Report a detail record error (e.g. provide specific record identifier and indication of specific error)

4.2   PROCESSING STANDARDS

Several of the batch files presented below represent situations where the MIS is the master of the source data and, through the interface, is updating data tables in the EBT system that are used for transaction processing and settlement. Examples would be:

- Retailer file

- Category / Subcategory file

- APL / MAR file

There are several processing standards that should be applied to the use of these files.

- When a file is transmitted, it is a full replace of the existing data held by the EBT system

- Files should be transmitted on a daily basis. A zero record file will indicate that no action is to be taken by the EBT system.

4.3   DAILY INTERFACE RECONCILIATION BATCH FILE

At a specified time each day, the EBT System shall create a file that contains information for each MIS initiated Adjust (add / update / delete) Benefits transaction that was accepted and approved by the EBT system during the prior 24 hour period. The MIS should use this information to match against its view of successful Adjust Benefits transactions initiated by the MIS during the same period.

4.3.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

4.3.2   REQUIRED DATA

Data element name	CC	Contents
Trace number	M	MIS trace number
Date and Time	M	When transaction occurred
Clinic ID	M	Clinic where transaction originated
User ID	M	System user initiating transaction
Household ID	M	WIC Family ID
Benefit Number	O	Unique identifier for this benefit
Benefit Begin Date	M	First date of benefit availability
Benefit End Date	M	Last date of benefit availability
Activity type	M	Debit or Credit
Count of Category / Subcategory	M	Number of category/subcategories
Category / Subcategory	M	Specific category/subcategory for food items redeemed
Quantity	M	Quantity added or removed

4.4   REDEMPTION BATCH FILE

A MIS may want to receive a daily file of redemption information (originated by the EBT system) for its own purposes such as MAR updated calculations, reporting, reconciliation and program management. Only approved transactions[9] will be included in this data set.

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[9] Approved transactions would not include transactions that were denied by the EBT system such as a transaction that was denied for insufficient funds. Some systems may view this as a good transaction because it was successfully processed, but it did not result in the completion of the intended transaction and therefore is not considered approved.

4.4.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this
functionality and the system that will act as the interface to the data or functionality:

Database of Record	EBT
Interface	MIS

4.4.2   REQUIRED DATA

Data element name	CC	Contents
Unique Transaction Identifier	M	Authorization or trace number
Transaction Code	M	Uniquely identify the type of transaction
Host date and time	M	When transaction presented to host (for smart card – this would be when the claim file was received)
Store Date and Time	M	Date and time recorded in transaction by store
Settlement Date	M	Day on which store is to be paid
Business Date	M	Day for which transaction will appear in EBT reporting
Work Station ID	O	Workstation from which an action occurred
Initiating User ID	O	User logged in that completes the action
Card Acceptor ID Code	M	A number that identifies the retailer or store location
Card Acceptor Terminal ID	M	A number that identifies a specific terminal at the retailer or store location
Forwarding Institution ID	M	The entity forwarding the transaction
Acquiring Institution ID	M	The entity acquiring the transaction
Vendor WIC ID	M	Where transaction occurred
Vendor Peer Group	M	Peer Group of vendor
PAN	M	Card used to initiate transaction
Household ID	M	WIC Family ID
Benefit Number	O	Unique identifier for this benefit
Benefit Begin Date	M	First date of benefit availability
Benefit End Date	M	Last date of benefit availability
Activity type	M	Debit or Credit
Request Amount	M	Requested for reimbursement

Data element name	CC	Contents
Total MAR adjustments	M	Sum of MAR adjustments from detail
Discount Amount	M	Amount of discounts (if applicable)
Paid Amount	M	Amount paid (settled)
Line Item ID	M	Unique identifier for a line item within the transaction
Count of Cat / Sub Cats	M	Number of cat / sub cats elements
Repeating Cat / Sub cat Elements		Cat / sub cats elements that are repeated within the transaction
Prescribed Cat / Subcat	M	Cat / Subcat in Household EBT account balance
UPC Cat / subcat	M	Cat / subcat to which UPC is linked
UPC	M	Product code
UPC Description	M	Product description
Unit of measure	M	Unit of measure linked to UPC item from Category/subcategory table
Quantity	M	Quantity added or removed
Requested price	M	Shelf price for item (total amount based on quantity).
Paid amount	M	Net of any MAR adjustment

4.5   BENEFIT MONTH RECONCILIATION BATCH FILE

WIC grant accounting and financial management is usually organized around a "Benefit Month" which is an accounting of all food benefit issuance with a first date to spend that falls within a given calendar month. The MIS determines benefit eligibility and authorizes benefits to households while the EBT system is responsible for the management of household benefit accounts and the disbursement of those benefits.

This optional batch interface is designed to provide a final point of reconciliation of all benefit activity for a given month against the WIC financial accounting for that month as documented in the FNS - 798 report. This accounting will occur at the close out of a benefit month which occurs when all benefits issued for that month have either been redeemed or have expired. This would occur no less than a month after the last day of the reporting month; however additional time is likely needed in many systems to account for adjustments and other late closing transactions, such as manual transactions, to post to the system. The timing will be dependent on many factors and should be determined as part of the process of implementing the EBT system. The EBT

system will create and send to the MIS a batch file that documents the issuance and subsequent disbursal of all benefits that were authorized for a benefit month. The MIS will reconcile this against its accounting of all benefits that were authorized to WIC participants for the same benefit month. The file will be for each individual household receiving benefits during that month and will contain a final State Agency total.

4.5.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS / EBT
Interface	MIS

4.5.2   REQUIRED DATA

Data element name	CC	Contents
Benefit Month	M	Benefit Month being reconciled
WIC Household ID	M	Data repeats for each Household ID in EBT and MIS system
First date to spend	M	First date of benefit availability
Last Date to Spend	M	Last date of benefit availability
Dollars settled	M	Dollars paid to retailers for this household's redemption (net of reversals)
Number of cat / sub cats	M	Number of cat / sub cat entries
Prescribed Cat / Sub Cat	M	Standard codes
Following quantities are for each Cat / Sub Cat in household account during benefit month		
Quantity issued	M	Units of benefits issues
Quantity voided by MIS	M	Units of benefits voided from MIS
Quantity redeemed	M	Units of benefits redeemed (net of reversals)
Quantity Expired	M	Units of benefits not used

4.6   RETAILER BATCH FILE

The MIS is the master of retailer data. This batch interface (which is an alternative to the real time interface), provides functionality to allow the EBT system to have and

maintain a current list of authorized WIC retailers, including minimal demographics and their peer group.

4.6.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

4.6.2   REQUIRED DATA[10]

Data element name	CC	Contents
Activity type	M	Add or Delete
MIS Retailer Number (WIC Merchant ID)	M	Agency retailer identifier
Store Name	M	Unique name associated with location
Peer Group ID	M	Agency assigned peer group
Store Location	M	street, city, state, Zip
Store Mail address	M	street, city, state, Zip
Corporate affiliation	O	Name of corporation
Corporation ID	O	Unique identifier of the corporation
Store contact name	M	Contact point
Store phone number	M	Store phone number
Alternate phone number	O	Other phone number such as a cell phone number
Email Address	O	Contact email address
Effective Date	M	When this did or will become active
De-activate date	O	When store is to be deactivated
Agency	O	WIC agency
Clinic	O	Clinic Agency
ABA Routing Transit Number	O	Retailer bank account routing number
Bank Account Number	O	Retailer bank account number

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[10] Appropriate measures should be applied to ensure that the security of banking data is maintained.

4.7   RETAIL CORPORATION BATCH FILE

Some State Agencies may choose to organize chain retailers under a corporation record. When provided to the EBT system, this information could assist in the consolidation of settlement. If used, the MIS is the master of retailer corporation data. This batch interface provides functionality to allow the EBT system to have and maintain a current list of corporations to which retailers could be associated.

4.7.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

4.7.2   REQUIRED DATA[11]

Data element name	CC	Contents
Activity Type	M	Add or Delete
Corporation ID	M	Corporation identifier
Corporation Name	M	Unique name associated with corporation
Corporation Address	M	Corporation street, city, state, zip
Corporation Contact Name	M	Contact point
Corporation Phone Number	M	Corporation phone number
Corporation Alternate Phone Number	O	Other phone number such as a cell phone number
Corporation Email Address	O	Contact email address
Effective Date	M	When corporation did or will become active
De-Activate Date	O	When corporation is to be deactivated
ABA Routing Transit Number	O	Retailer bank account routing number
Bank Account Number	O	Retailer bank account number

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[11] Appropriate measures should be applied to ensure that the security of banking data is maintained.

4.8   RETAILER STATUS FILE

This is an optional file that will be used by the EBT system to notify the MIS of a change in retailer status. Its primary purpose is for the EBT system to notify the MIS when an authorized retailer becomes "EBT capable" meaning that the store has EBT technology operational in the checkout lane and has been certified to participate in the State's WIC EBT program.

4.8.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	EBT
Interface	MIS

4.8.2   REQUIRED DATA

Data element name	CC	Contents
MIS Retailer Number (WIC Merchant ID)	M	Retailer number assigned by the WIC agency
Store Name	M	
Store Address	M	
Current Status	M	Status of vendor "2" means EBT capable and "1" means not EBT capable
Effective date	M	Date when the status became effective

4.9   CATEGORY / SUBCATEGORY BATCH FILES

An interface with the National UPC database and the management of the approved product list may be implemented by either the MIS or the EBT systems.   If the application designer elects to place this functionality within the MIS then a batch file as described below must be provided to convey a current list of allowable food category and sub category to the EBT system.

4.9.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	EBT

4.9.2 REQUIRED DATA

Data element name	CC	Contents
Activity type	M	Add, Update or Replace
Category	M	Standard Category Code
Subcategory	M	Standard Subcategory code
Receipt description	M	Description used on balance inquiry
Unit of measure	M	Standard unit of measure
Activation Date	O	If being newly activated
Deactivation Date	O	If being deactivated

4.10 APL AND MAR BATCH FILE

An interface with the National UPC data base and the management of the approved product list may be implemented by either the MIS or the EBT systems. If the application designer elects to place the management of the approved product list and the calculation of MAR values in the MIS then this interface will be used to convey the information to the EBT system. Note that placing this functionality in the MIS requires the use of the Redemption File defined above to provide the MIS with the information required for the calculation and maintenance of maximum prices.

Data elements reflected in this interface description may be subject to modification depending on the outcome of APL discussions and standards definitions currently in progress among industry stakeholders.

4.10.1 DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

4.10.2 REQUIRED DATA

Data element name	CC	Contents
UPC / PLU	M	Product specific code

Data element name	CC	Contents
Product Description	M	Unique name associated with product
Broadband flag	M	Can the product be purchased with sub cat 000
Rebate Flag	M	Is the item subject to a rebate
Pharmacy flag	M	Allowable for purchase in a pharmacy
Manual authorization flag	M	Allowable for a manual authorization
Effective Date	M	Date to start using product
Deactivate date	M	Date to no longer allow the product
Category Code	M	Must be in cat subcat table
Sub Category code	M	Must be in cat subcat table
Exchange Size	M	Convert product packaging size into standard unit of measure for sub cat
Number of peer groups	M	Number of following peer group / max prices combinations
Peer Group ID	M	Peer group from Vendor Table
Maximum Price	M	Calculated allowable maximum price for this product.

4.11 ACH PAYMENT REQUEST

In some situations and depending on application design, a WIC Agency may wish to make a payment to a WIC vendor (or some other party) that is outside the normal course of benefit redemption and settlement. This may occur if an Agency elects, for example, to reimburse a store for a MAR exception that, in hind sight, proved unreasonable, or perhaps to pay a mail order provider of special formula or other situations.

The intent is that an EBT service provider should be able to facilitate this payment through the Automated Clearing House system based on a request transaction received from the WIC Agency. The data provided by the MIS will allow the EBT system to generate the ACH file. This eliminates the need to maintain an alternate check process for these types of payments that may occur outside of daily EBT settlement activities.

4.11.1 DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	MIS
Interface	MIS

4.11.2 REQUIRED DATA

Data element name	CC	Contents
Payee Identifier	M	Name of entity making payment
Trace number	M	Number to uniquely identify transaction for audit and reconciliation
Purpose	M	Descriptive purpose of payments
Effective Date	M	When payment should be made
Receiving Party	M	Name of party receiving payment (name on bank account)
ABA/routing number	M	Receiving party bank identifier
Account Number	M	Receiving party account number
Amount	M	Amount to be paid
Transaction type	M	DB or CR
Account type	M	Receiving account type (e.g. savings, checking)

4.12 CARD CHANGE FILE

Generally, the EBT system tracks household EBT cards and the card status. However, depending on application design, the MIS may choose to participate in the provision of this functionality. In this case, an interface is necessary between the EBT system and the MIS system so that changes to a card status or the replacement of a card (by mail) that may be implemented by the EBT system are conveyed to the MIS.

4.12.1 DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	EBT
Interface	MIS

4.12.2 REQUIRED DATA

Data element name	CC	Contents
Household ID	M	WIC Household ID
Action	M	A=Activate D=Deactivate R=Reactivate
Deactivation Reason Code	O	L=Lost S=Stolen D=Damaged R=Returned U=Undeliverable O=Other
Card number	M	PAN of card being statused or replaced
Status of card	M	Status of card as a result of this activity
Replacement PAN	O	Only when card is replaced
Date and time	M	Date and time action took place

Appendix B

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5   DIRECT SCREEN LINKS

The direct screen link approach allows the MIS to access web pages (or screens) in the EBT system by selecting a link in the MIS. This approach can only be successful if single sign-on can be achieved between the two systems so that the MIS user does not have to log into the EBT system every time an EBT link is selected.

This interface approach may not be implemented by all State Agencies. The requirements defined in the following sections only apply to those State Agencies implementing direct screen links. Those using only message based or batch file approaches can disregard these requirements.

5.1   SECURITY

In order for a system to have access to real-time services and screens in the EBT System, a system must be logged into the EBT System. Accessing screens in the EBT System carries some additional security requirements that are documented in the following SSO section. The additional security requirements are geared at appropriately restricting access of individual users based on group memberships once inside the EBT System. However, once access to an EBT System screen has been granted, only the EBT System security module may control the access level of the individual user. Note that within this construct, the MIS still has requirements to define the roles and capabilities of its users when providing direct access to the EBT environment.

5.1.1   DATABASE OF RECORD AND INTERFACE POINT(S)

The following has been identified as the system that is the database of record for this functionality and the system that will act as the interface to the data or functionality:

Database of Record	• MIS is master of MIS users • EBT is master of EBT users
Interface	• MIS user data and security functionality accessed via MIS • EBT user data and security functionality accessed via EBT

5.1.2   SYSTEM LOGON

The System Logon operation is used to grant access to an MIS to allow the MIS to invoke real-time operations in the EBT System. The following table lists the data elements in the request:

Data element name	Notes	CC
WIC State Agency ID		M
System ID		M
Password	The password must be encrypted.	M

The following table lists the data elements in the response:

Data element name
Security Token

In order to invoke any subsequent real-time operation in the EBT System, the MIS must provide the WIC State Agency ID and System ID used when invoking this System Logon operation along with the Security Token that is returned from this operation.

The following describes the processing rules associated with this operation:

Rule ID	Description
	The EBT System shall validate that System ID and WIC State Agency ID are valid and that the given System ID has access for the WIC State Agency ID.
	The EBT System shall decrypt the Password and validate that it is correct for the given System ID.
	The EBT System shall generate and return Security Token.
	The generated Security Token shall be valid for a configurable number of minutes (20 minutes is suggested timeout value).

Once the MIS has logged on to the EBT System, the MIS must periodically log on to the EBT System to retrieve a new token before the existing token expires. Note that the existing token remains valid for the entire number of minutes specified so that any "in flight" operations will succeed if a new token is requested in parallel with such operations. It is recommended that the MIS perform a System Logon on a recurring basis at an interval that is slightly less than the timeout out value for the security token.

5.1.3   USER MAINTENANCE FOR SSO

User maintenance for SSO comprises operations for maintaining SSO users in the EBT System. Users from a MIS that are setup in the EBT System shall be able to access screens in the EBT System via direct links from the MIS without having to go through an additional log on process in the EBT System. Note that users may be setup independently in the EBT System. However, such users will not have SSO functionality available.

The following table lists specific operations involved with this functional area:

Operation
Create User
Update User
Deactivate User
Access the EBT System

5.1.3.1 CREATE USER

The Create User operation is used to create a SSO user in the EBT System. The following table lists the data elements in the request:

Data element name	Notes	CC
Username		M
Name of User		M
User Address		O
User Email Address		O

The following describes the processing rules associated with this operation:

Rule ID	Description
	The EBT System shall validate that Username does not already exist for the calling system.

5.1.4 UPDATE USER

The Update User operation is used to update SSO user information in the EBT System. The following table lists the data elements in the request:

Data element name	Notes	CC
Username		M
Name of User		M
User Address		O
User Email Address		O

The following describes the processing rules associated with this operation:

Rule ID	Description
	The EBT System shall validate that Username does already exists for the calling system.

Note that entire record of user information is updated with the information provided in the request. For example, if the MIS desires to update the Name of User but not the User Email Address, then the original User Email Address must be provided. If the original User Email Address is submitted as NULL, then the User Email Address is saved as NULL.

5.1.5   DEACTIVATE USER

The Update User operation is used to deactivate a SSO user in the EBT System. The EBT System will not accept subsequent the EBT System Access requests after a SSO user has been deactivated. The following table lists the data elements in the request:

Data element name	Notes	
Username		M

The following describes the processing rules associated with this operation:

Rule ID	Description
	The EBT System shall validate that Username does already exists for the calling system.
	The status of the user is changed to inactive. Note that the user record still exists in the EBT System.

5.1.6   ACCESS THE EBT SYSTEM

The Access the EBT System operation is used to provide access to the EBT System screens from the MIS for a SSO user that is logged on to the MIS. The following table lists the data elements in the request:

Data element name	Notes	CC
System ID		M
WIC State Agency ID		M
Security Token		M
Username		M
SSO Action	Currently, the only accepted value is logoff. If the parameter is null, then the EBT System will log on the user or will extend the user's session if it already exists.	O

Note that all parameters except System ID are encrypted. The details of encryption method are beyond the scope of this document.

The following describes the processing rules associated with this operation:

Rule ID	Description
	The EBT System shall validate that the Security Token is currently valid for the given System ID and WIC State Agency ID.
	The EBT System shall validate the Username and status for the given System ID.
	If no session exists for the user and Action is not present, then a new session is created in the EBT System for the given user. Furthermore, the session will expire after an agency configured timeout (e.g. 20 minutes).
	If a session already exists for the user and Action is not present, then the expiration time for the session is extended for another 20 minutes.
	When the session is created, the EBT System security settings for user (based on the user's group memberships) are loaded.
	If Action is logoff, then the user's session is invalidated so that no further access to the EBT System is allowed (until the MIS initiates another logon for the user).

APPENDIX A - COMPOSITE DATA ELEMENTS

The following data elements are composed of multiple sub-elements.

A.1 ADDRESS

This object represents a mailing address.

Data element name	Notes	CC
Address 1		M
Address 2		O
City		M
State		M
Zip		M

A.2 NAME

This object represents a person's name.

Data element name	Notes	CC
First Name		M
Middle Name		O
Last Name		M

APPENDIX B - DATA DICTIONARY

Data element name	Description
ACH Settlement Time	For a direct connect, this is the time that the EBT System uses for processing retail activity for the purpose of computing the daily retail settlement amount. It can also be called the daily cut-off time. The EBT System will process transactions that occurred during the 24 hours prior to this time.
ABA Routing Transit Number	The number that identifies the financial institution to which a retailer is paid
Active Hold Quantity	Quantity of benefit in active hold at grocer for manual voucher authorization
Acquiring Institution ID	The entity acquiring the transaction
Available Benefit Quantity	Quantity of available benefit units in the standard unit of measure for the category and subcategory.
Bank Account Number	The number identifying the retailer's bank account.
Benefit Begin Date	First date on which benefits may be used.
Benefit End Date	Last date on which benefits may be used.
Benefit ID	A unique number identifying a benefit issuance.
Card Acceptor ID Code	A number that identifies the retailer or store location
Card Acceptor Terminal ID	A number that identifies a specific terminal at the retailer or store location
Card Activation Date	Date that card is activated.
Card Deactivation Date	Date that card is deactivated.
Card Number	The number encoded on the magnetic stripe of a card. Also called the PAN.
Card Status	A code indicating the status of the card. The possible values are as follows:
Card Status Date	Date that card status was changed to given value in Card Status.
Cardholder Date of Birth	Date of birth associated with cardholder. It may be the cardholder's DOB, the head of household, or in the case of an alternate, the alternate's DOB or either of the above.

Data element name	Description
Cardholder ID	Unique EBT System generated identification number for cardholder that may be used for other cardholder/card based transactions.
Cardholder Name	Name of the cardholder.
Cardholder Phone Number	Phone number for cardholder.
Cardholder Type	Indicates whether the cardholder is the primary cardholder or a proxy cardholder.
Cardholder Zip Code	Zip code for the cardholder used for identification purposes.
Category Code	A code identifying the type of food product.
Category Begin Date	The date for which the category shall become available for use.
Category End Date	The last date for which the category shall be used.
Category Long Description	A long description of the category suitable for printing or displaying in areas where display width is not a concern.
Category Short Description	A short description of the category suitable for displaying on screen and reports where display width is a concern.
Clinic Address	Address of clinic.
Clinic Contact Name	Primary contact person at clinic.
Clinic Deactivation Date	The date on which a clinic was deactivated in the EBT system.
Clinic ID	MIS assigned identifier for clinic.
Clinic Name	Name of clinic.
Clinic Phone Number	Phone number of clinic.
Clinic Reactivation Date	The date on which a clinic was reactivated in the EBT system.
Contact Alternate Phone	An alternate phone number of a point of the contact at the retail location.
Contact Email	The email number of a point of the contact at the retail location.
Contact Name	The name of a point of contact at the retail location.
Contact Phone	The phone number of a point of the contact at the retail location.

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Data element name	Description
Contracting Agency	For State Agencies in which local agencies are responsible for vendor management, this would be the Local Agency or Clinic ID associated with that retailer.
Corporation ID	A unique number assigned to a corporation to which retailers may be associated.
Corporation Name	Unique name associated with corporation
Corporation Address	Corporation street, city, state, zip
Corporation Contact Name	Contact point
Corporation Phone Number	Corporation phone number
Corporation Alternate Phone Number	Other phone number such as a cell phone number
Corporation Email Address	Contact email address
Credit/Debit Indicator	Indicates if the values are to be credited (added) or debited (subtracted) to/from the account.
Date of Birth	Date of birth of the cardholder. This is typically used as a security question for calls to customer service.
Date/Time	Date and time on the MIS when an operation is initiated.
Direct Connect Auto-recon	For a direct connect, this signals whether or not the EBT System generates an auto-reconciliation file for the location.
Direct Connect Flag	Signifies whether or not the retailer connects directly to the EBT System for transactions or comes through the gateway.
Discount Amount	The total amount of any discounts applied to a purchase transaction
Encrypted PIN Block	Triple DES DUKPT encrypted PIN block. (FNS recommended)
Forwarding Institution ID	The entity forwarding the transaction
Host Date/Time	Date/time when a transaction occurred based on date/time of host system
Household Address	This is the address for the household used for any EBT related correspondence.
Household Address	This is the zip code for the household used for identification purposes.

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Data element name	Description
Initiating User ID	An identifier assigned to an MIS user that can be used to track activity in the system.
Item Price	The price of an item submitted in a purchase transaction.
Line Item ID	Unique identifier for a line item within the transaction
Local Agency ID	A number that uniquely identifies a local agency within the State Agency.
Local Agency Address	Address of Local Agency.
Local Agency Contact Name	Primary contact person at Local Agency.
Local Agency Deactivation Date	The date on which a Local Agency was deactivated in the EBT system.
Local Agency ID	MIS assigned identifier for Local Agency.
Local Agency Name	Name of Local Agency.
Local Agency Phone Number	Phone number of Local Agency.
Local Agency Reactivation Date	The date on which a local agency was reactivated in the EBT system.
Manual Authorization Quantity	The quantity of benefits involved with a manual auth purchase.
MIS Clinic ID	If the operation is initiated from a clinic, then this is the ID of the initiating clinic.
MIS Household ID	This is the household ID assigned by the MIS.
MIS Retailer Number	A number assigned by the MIS identifying the retailer.
MIS System ID	For direct service calls, this value should be equal to System ID. It is used by the EBT System to log the calling MIS System ID for operations invoked by the EBT System screens on behalf of the MIS.
Name of User	The name of an individual given access rights to a system
New PIN Flag	Indicates if Submit PIN operation is for selecting a new PIN or changing an existing PIN.
Over 50%	Signifies whether or not the volume of WIC sales is over 50% of the total sales for the retailer.
Paid Amount	The amount paid to a retailer for a purchase transaction less any discounts or MAR adjustments.

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Data element name	Description
PAN (Primary Account Number)	The EBT card number.
Password	Password used by the system to log on to the EBT System. This parameter is always encrypted.
Peer Group ID	The peer group assigned to the retailer.
Reason Code	Reason for a benefit adjustment.
Repeating Cat / Sub cat Elements	Cat / sub cats elements that are repeated within the transaction
Request Amount	The total amount requested as part of a purchase transaction.
Request Begin Date	Causes any benefits that are valid (current or future) after this date to be retrieved.
Request End Date	Causes any benefits that are valid (current or future) prior to this date to be retrieved.
Require Prescription Flag	Indicates if medical documentation is necessary in order to issue from this subcategory.
Retail Activation Date	The date on which the retailer becomes active. This is the date on which the EBT System will start accepting transactions from the retailer.
Retail Address	Address of the retail location.
Retail Contact Phone	A phone number for the retail location.
Retail Deactivation Date	The date on which the retailer is no longer active. the EBT System will not accept transactions from the retailer after this date.
Retailer ID	A number that uniquely identifies a retailer within a State Agency.
Retailer Name	The name of the retailer.
Retailer Peer Group	The peer group to which a retailer is assigned for cost containment purposes.
Retailer Reactivation Date	The date on which a retailer was reactivated in the EBT system.
Security Token	A token issued by the EBT System when a systems logs on to the EBT System. The issued token is required for all subsequent operations.
Settlement Date	The date for which transactions will be settled, the retailer will be paid the next business day.

Data element name	Description
SSO Action	Indicates type of action for Access the EBT System operation. Currently, the only accepted value is logoff.
Store Date/Time	Date/time when a transaction occurred based on date/time of store system
Subcategory Begin Date	The date for which the subcategory shall become available for use.
Subcategory Code	A code further identifying the type of food product within a category.
Subcategory Description	Description of the food subcategory.
Subcategory End Date	The last date for which the subcategory shall be used.
Subcategory Long Description	A long description of the subcategory suitable for printing or displaying in areas where display width is not a concern.
Subcategory Short Description	A short description of the subcategory suitable for displaying in areas (particularly POS stand-beside receipts) where display width is a concern.
System ID	An ID assigned by the EBT System to the MIS or a subsystem within the MIS. The System ID is used for security and tracking purposes within the EBT System. In particular, if an MIS chooses to implement SSO with the EBT System, then the MIS must maintain a separate System ID for any subsystem that maintains its own set of usernames.
Transaction Code	A value that identifies the type of transaction
Total Food Sales	The volume of total food sales reported by the retailer.
Trace Number	A unique value supplied by the MIS to be associated with the particular invocation of the operation.
Unique Transaction ID	A number that uniquely identifies any type of transaction (clinic or retail) within the EBT system
Unit of Measure Abbreviation	An abbreviated description of the unit of measure associated with the food subcategory.
Unit of Measure Description	Description of the unit of measure associated with the food subcategory.
User Address	Contact address of the user.
User Email Address	Email address of the user.
User Interface	The system through which a user accesses a function or data.

Data element name	Description
Username	String used to identify user in the EBT System. Used in conjunction with User System ID to uniquely identify a user.
WIC State Agency ID	ID of WIC State Agency for which the operation is being initiated. It is suggested that that the WIC Authority ID codes listed in A.5 of the X9.93 Technical Implementation Guide be used for this data element.
Workstation ID	ID of the workstation initiating the operation.

APPENDIX C - ABBREVIATED TERMS

Abbreviation	Definition
ABA	American Banker Association
ACH	Automated Clearing House
APL	Authorized Products List
DOB	Date of Birth
EBA	Electronic Benefit Account
EBT	Electronic Benefits Transfer
FTP	File Transfer Protocol
HCL	Hot Card List
HOH	Head of Household
ID	Identification
LA	Local Agency
MAR	Maximum Allowable Reimbursement
MIS	Management Information System
NTE	Not To Exceed
NUPC	National UPC [Database]
PAN	Primary Account Number
PIN	Personal Identification Number
PLU	Price Look Up [Code]
SSO	Single Sign On
UI	User Interface
UPC	Universal Product Code
WIC	Supplemental Nutrition Program for Women, Infants, and Children
X9.93	Standard for WIC EBT messages and files for retail transactions and other related functions
XML	Extensible Markup Language

CROSSROADS WIC PROJECT

DRAFT MIS-TO-EBT INTERFACE FUNCTIONS

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WIC

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Appendix C

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TABLE OF CONTENTS

1. INTRODUCTION

1.1. Purpose

This document provides details on the interface between the Crossroads WIC eligibility system and an EBT Host system. Specifically, this document is intended to document the interface functionality requirements and detail the layouts and specifications for the online and batch interfaces. This document will be used to develop the single interface between the Crossroads system and the EBT Host.

Crossroads Interface Functions	

Benefit Maintenance
    Issue Benefits
    Adjust Benefits
    Void Future Month Benefits
    Create Future w/ Batch file
    Read Benefit Balance
    View Benefit Transactions
    View Redemption Transactions
Household/Family Account Data
    Create EBA
    Update EBA
    Display EBA
    Read EBA
Card/Card Holder Data
    Add Cardholder
    Add Card
    Deactivate Card
    Search for HH ID by Card #
    Search for Cardholders by Card #
    Search for Cardholders by HH ID
    Replace Card
    Read Card Diagnostics
PIN Maintenance
    Setup PIN
    Submit PIN
    Unlock PIN
    Authenticate PIN
Vendor Maintenance
    Create Vendor
    Update Vendor
    Deactivate Vendor
	Peer Group Maintenance
	    Create/Update Peer Group Names
	Food Category / Subcategory Maintenance
	    Cat / Subcat Batch File
	    Get Category Info
	    Get Subcategory Info
	UPC Maintenance
	    nUPC interface
	Maximum Price
	    Maximum Allowable Price Batch File
	Clinic / Local Agency Maintenance
	    Create Local Agency
	    Update Local Agency
	    Deactivate Local Agency
	    Create Clinic
	    Update Clinic
	    Deactivate Clinic
	Reconciliation
	    Daily Interface Batch File
	    Benefit Month Reconciliation Batch File
	    Vendor Reconciliation Batch File
	Security Maintenance
	    System Log on
	    Create User
	    Update User
	    Deactivate User

2. CROSSROADS INTERFACE FUNCTIONS

2.1. Benefit Maintenance

2.1.1. Issue Benefits

This function transmits the Family Food Benefits to the EBT system.

Web Service Function	Issue Benefits
PN Reference	PN-049 Prepare FI

Parameters	Benefits object
	User Authorization object

Return Value	Interface Response object


```
<xs:element name="Benefits">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="HouseholdID" type="xs:int" />
      <xs:element name="IsCredit" type="xs:boolean" />
      <xs:element name="CardNumber" type="xs:string" />
      <xs:element name="ClinicID" type="xs:int" />
      <xs:element name="ReasonCode" type="xs:string" />
      <xs:element name="BenefitPeriod">
        <xs:complexType>
          <xs:sequence>
            <xs:element name="UniqueBenefitID" type="xs:string" />
            <xs:element name="BenefitStartDate" type="xs:date" />
            <xs:element name="BenefitEndDate" type="xs:date" />
            <xs:element name="BenefitFood">
              <xs:complexType>
                <xs:sequence>
                  <xs:element name="Category" type="xs:string" />
                  <xs:element name="Subcategory" type="xs:string" />
                  <xs:element name="Quantity" type="xs:int" />
                </xs:sequence>
              </xs:complexType>
            </xs:element>
          </xs:sequence>
        </xs:complexType>
      </xs:element>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.1.2. Adjust Benefits

This function modifies an existing Food Benefit balance with positive or negative adjustments to the EBT food balance.

Web Service Function	Adjust Benefits
PN Reference	PN-049 Prepare FI

Parameters	Benefits object
	User Authorization object

Return Value	Interface Response object


```xml
<xs:element name="UserAuthorization">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="WICStateAgencyID" type="xs:int" />
        <xs:element name="UserID" type="xs:string" />
        <xs:element name="Password" type="xs:string" />
        <xs:element name="ClinicID" type="xs:int" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```



```xml
<xs:element name="InterfaceResponse">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="ResponseCode" type="xs:string" />
        <xs:element name="Description" type="xs:string" />
        <xs:element name="IsError" type="xs:boolean" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.1.3. Void Future Month Benefits

This allows future month Food Benefits to be Voided out of the EBT system.

Web Service Function	Void Future Month Benefits
PN Reference	PN-050 Void Food Instrument

Parameters	Benefit Period objects
	User Authorization object

Return Value	Interface Response object


```xml
<xs:element name="BenefitPeriod">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="UniqueBenefitID" type="xs:string" />
        <xs:element name="BenefitStartDate" type="xs:date" />
        <xs:element name="BenefitEndDate" type="xs:date" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.1.4. Create Future Benefits with Batch File

This batch file interface allows for down time and end of day processing of the Food Benefits to the EBT system.

FTP File Transfer	Create Future Benefits
PN Reference	

Parameters	Balance Request object
	User Authorization object

Return Value	Benefits Balance object

```xml
<xs:element name="Benefits">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="HouseholdID" type="xs:int" />
      <xs:element name="IsCredit" type="xs:boolean" />
      <xs:element name="CardNumber" type="xs:string" />
      <xs:element name="ClinicID" type="xs:int" />
      <xs:element name="ReasonC_de" type="xs:string" />
      <xs:element name="BenefitPeriod">
        <xs:complexType>
          <xs:sequence>
            <xs:element name="UniqueBenefitID" type="xs:string" />
            <xs:element name="BenefitStartDate" type="xs:date" />
            <xs:element name="BenefitEndDate" type="xs:date" />
            <xs:element name="BenefitFood">
              <xs:complexType>
                <xs:sequence>
                  <xs:element name="Category" type="xs:string" />
                  <xs:element name="Subcategory" type="xs:string" />
                  <xs:element name="Quantity" type="xs:int" />
                </xs:sequence>
              </xs:complexType>
            </xs:element>
          </xs:sequence>
        </xs:complexType>
      </xs:element>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```
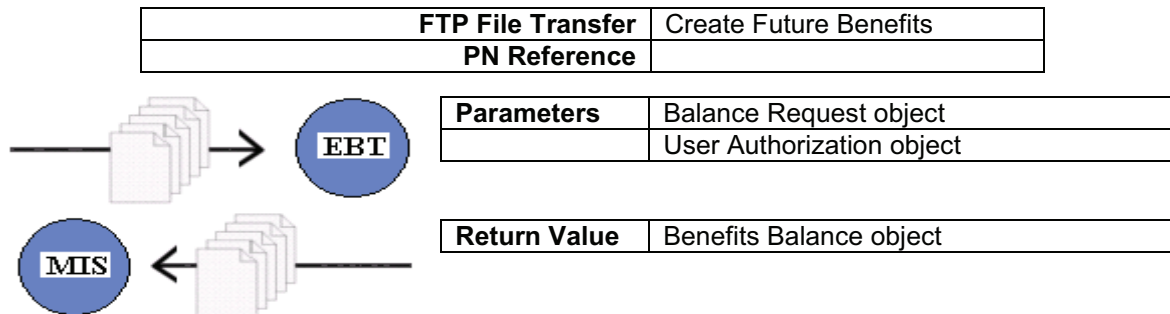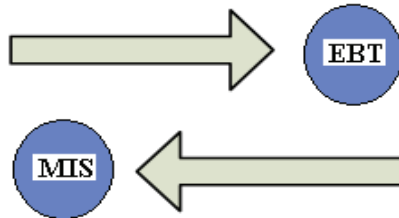
2.1.5. Read Benefit Balance

This EBT to MIS interaction retrieves the real time Food Benefit balance for consumption/display within the MIS system.

Web Service Function	Read Benefit Balance
PN Reference	PN-075 EBT Transaction History

Parameters	Balance Request object
	User Authorization object

Return Value	Benefits Balance object

E BalanceRequest	(BalanceRequest)
E HouseholdID	int
E CardNumber	string
E RequestStartDate	date
E RequestEndDate	date
E MaxNumberRequested	int

```xml
<xs:element name="BalanceRequest">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="HouseholdID" type="xs:int" />
        <xs:element name="CardNumber" type="xs:string" />
        <xs:element name="RequestStartDate" type="xs:date" />
        <xs:element name="RequestEndDate" type="xs:date" />
        <xs:element name="MaxNumberRequested" type="xs:int" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

E BenefitsBalance	(BenefitsBalance)
E HouseholdID	int
E IsCredit	boolean
E CardNumber	string
E ClinicID	int
E ReasonCode	string
E BenefitPeriod	(BenefitPeriod)

E BenefitPeriod	(BenefitPeriod)
E UniqueBenefitID	string
E BenefitStartDate	date
E BenefitEndDate	date
E BenefitFoodBalance	(BenefitFoodBalance)

E BenefitFoodBalance	(BenefitFoodBalance)
E Category	string
E Subcategory	string
E UnitOfMeasure	string
E AvailableQuantity	int
E ManualAuthorizationQuantity	int
E ActiveHoldQuantity	int

```xml
<xs:element name="BenefitsBalance">
 <xs:complexType>
  <xs:sequence>
   <xs:element name="HouseholdID" type="xs:int" />
   <xs:element name="IsCredit" type="xs:boolean" />
   <xs:element name="CardNumber" type="xs:string" />
   <xs:element name="ClinicID" type="xs:int" />
   <xs:element name="ReasonCode" type="xs:string" />
   <xs:element name="BenefitPeriod">
    <xs:complexType>
    <xs:sequence>
      <xs:element name="UniqueBenefitID" type="xs:string" />
      <xs:element name="BenefitStartDate" type="xs:date" />
      <xs:element name="BenefitEndDate" type="xs:date" />
      <xs:element name="BenefitFoodBalance">
       <xs:complexType>
       <xs:sequence>
        <xs:element name="Category" type="xs:string" />
        <xs:element name="Subcategory" type="xs:string" />
        <xs:element name="UnitOfMeasure" type="xs:string" />
        <xs:element name="AvailableQuantity" type="xs:int" />
        <xs:element name="ManualAuthorizationQuantity"
type="xs:int" />
        <xs:element name="ActiveHoldQuantity" type="xs:int" />
       <xs:sequence>
      </xs:complexType>
      </xs:element>
      </xs:sequence>
    </xs:complexType>
   </xs:element>
  </xs:sequence>
 </xs:complexType>
</xs:element>
```

2.1.6. View Benefit Transactions

This interface function allows the MIS system to retrieve real time data about WIC purchase transaction from the EBT system. This allows the MIS system to seamlessly present the WIC Staff member with details about Food Benefit transaction from within the MIS system.

Web Service Function	View Benefit Transactions
PN Reference	PN-075 EBT Transaction History
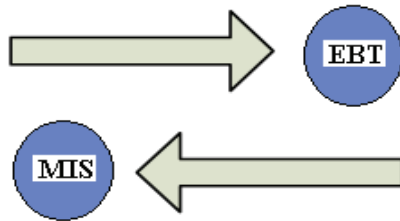
Parameters	Benefit Transaction Request object
	User Authorization object

Return Value	Benefits Transaction object

BenefitTransactionRequest	(BenefitTransactionRequest)
HouseholdID	int
StartDate	date
EndDate	date
MaximumNumber	int

```xml
<xs:element name="BenefitTransactionRequest">
  <xs:complexType>
      <xs:sequence>
            <xs:element name="HouseholdID" type="xs:int" />
            <xs:element name="StartDate" type="xs:date" />
            <xs:element name="EndDate" type="xs:date" />
            <xs:element name="MaximumNumber" type="xs:int" />
      </xs:sequence>
  </xs:complexType>
</xs:element>
```

BenefitTransaction	(BenefitTransaction)
ActionCode	string
HouseholdID	int
UniqueBenefitID	string
ClinicID	int
BenefitStartDate	date
BenefitEndDate	date
FoodTransaction	(FoodTransaction)

FoodTransaction	(FoodTransaction)
Category	string
Subcategory	string
Quantity	int

```xml
<xs:element name="BenefitTransaction">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="ActionCode" type="xs:string" />
      <xs:element name="HouseholdID" type="xs:int" />
      <xs:element name="UniqueBenefitID" type="xs:string" />
      <xs:element name="ClinicID" type="xs:int" />
      <xs:element name="BenefitStartDate" type="xs:date" />
      <xs:element name="BenefitEndDate" type="xs:date" />
      <xs:element name="FoodTransaction">
        <xs:complexType>
          <xs:sequence>
            <xs:element name="Category" type="xs:string" />
            <xs:element name="Subcategory" type="xs:string" />
            <xs:element name="Quantity" type="xs:int" />
          </xs:sequence>
        </xs:complexType>
      </xs:element>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.2.2. Update EBA

This function modifies the Family data as it currently exists in the EBT system.

Web Service Function	Update EBA
PN Reference	PN-056 Change Family Group

Parameters	Old Household ID integer
	Household object
	User Authorization object

Return Value	Interface Response object
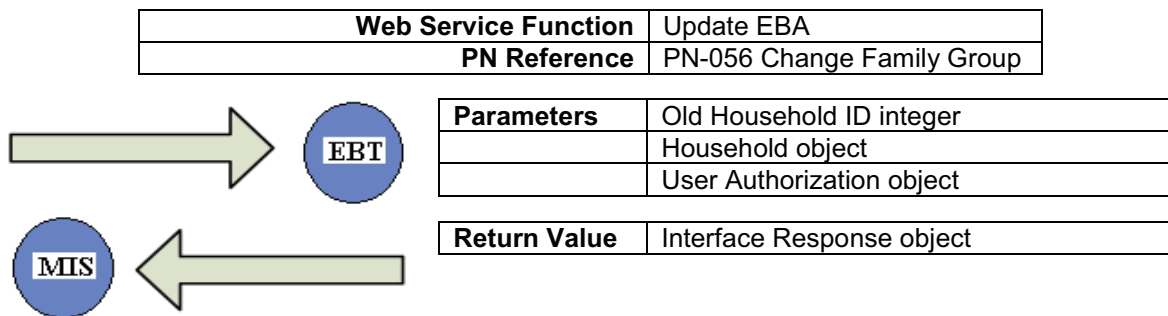
2.2.3. Display EBA

This request from the MIS system prompts the EBT system to return a web page display of the Family data as it is currently stored in the EBT system.

Web Page Request	Display EBA
PN Reference	PN-056 Change Family Group

Parameters	Household ID integer
	User Authorization object

Return Value	HTML Web Page
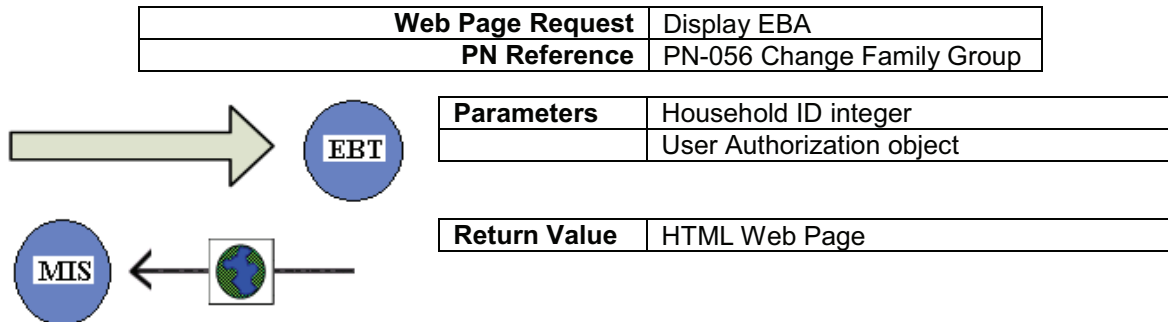
2.2.4. Read EBA

With this interface function the MIS system requests that the EBT system return the Family data as it currently exists for display or analysis by the MIS system.

Web Service Function	Read EBA
PN Reference	

Parameters	Household ID integer
	User Authorization object

Return Value	Household object
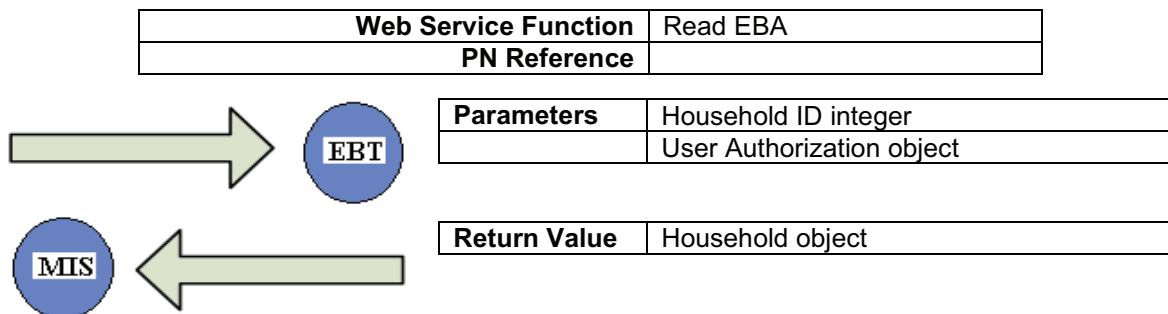
2.3. Card/Card Holder Data

2.3.1. Add Cardholder

This function assigns a Cardholder and Card for activation in the EBT system.

Web Service Function	Add Cardholder
PN Reference	PN-060 Manage EBT Cards

Parameters	Cardholder object
	User Authorization object

Return Value	Interface Response object
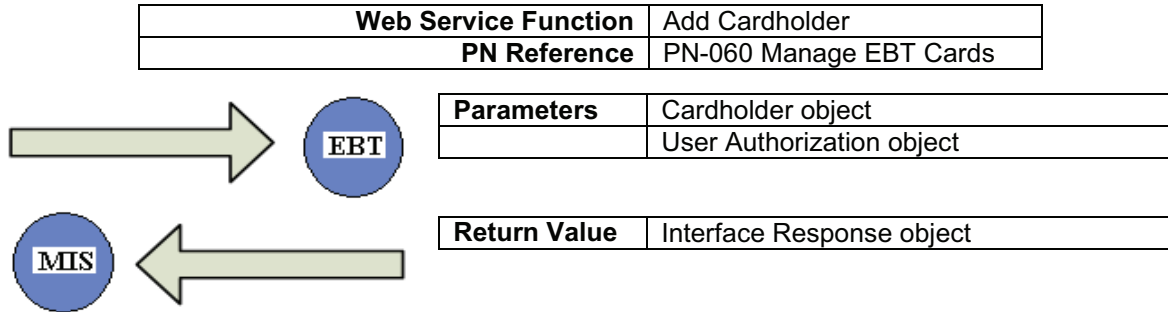
E	CardHolder	(CardHolder)
E	HouseholdID	int
E	CardNumber	string
E	FirstName	string
E	MiddleName	string
E	LastName	string
E	EmailAddress	string
E	DateOfBirth	date
E	PhoneNumber	string
E	DoNotContact	boolean
E	CardHolderTypeID	int

```xml
<xs:element name="CardHolder">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="HouseholdID" type="xs:int" />
      <xs:element name="CardNumber" type="xs:string" />
      <xs:element name="FirstName" type="xs:string" />
      <xs:element name="MiddleName" type="xs:string" />
      <xs:element name="LastName" type="xs:string" />
      <xs:element name="EmailAddress" type="xs:string" />
      <xs:element name="DateOfBirth" type="xs:date" />
      <xs:element name="PhoneNumber" type="xs:string" />
      <xs:element name="DoNotContact" type="xs:boolean" />
      <xs:element name="CardHolderTypeID" type="xs:int" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```
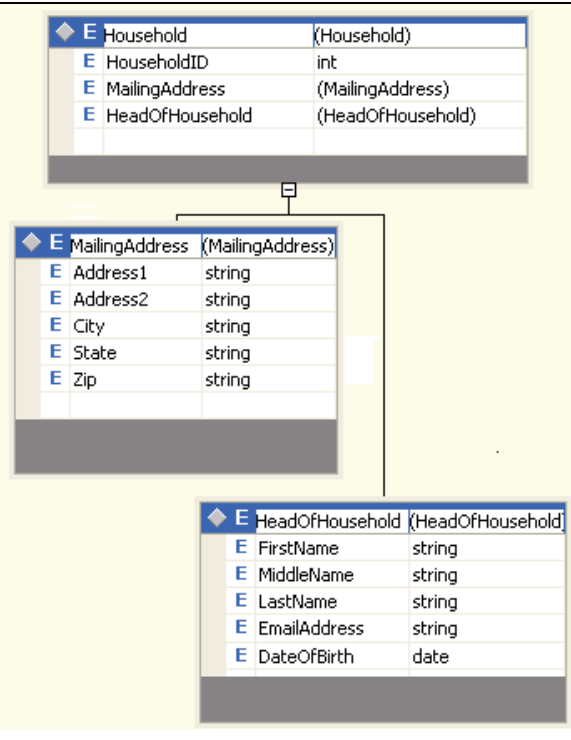
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2.3.2. Add Card

This function establishes the Card, Cardholder and activates the PIN in a single call to the EBT system.

Web Service Function	Add Card
PN Reference	PN-060 Manage EBT Cards

Parameters	Cardholder object
	Encrypted PIN binary
	User Authorization object

Return Value	Interface Response object
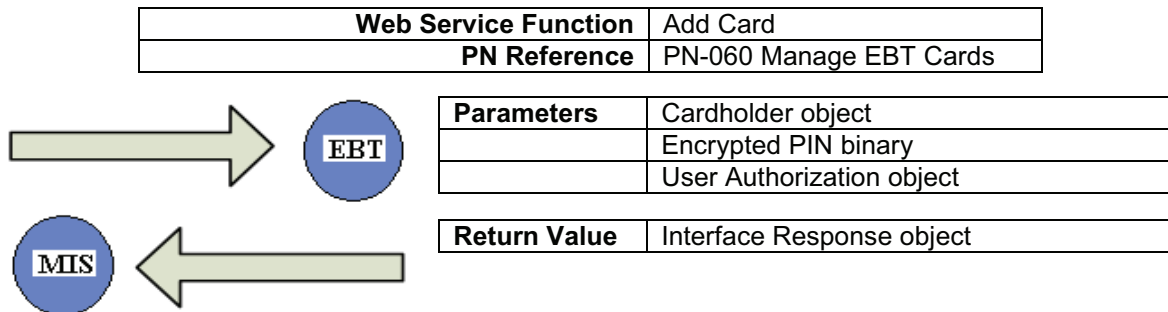
2.3.3. Deactivate Card

This function deactivates the given Card from use by the EBT system.

Web Service Function	Deactivate Card
PN Reference	PN-060 Manage EBT Cards

Parameters	Card Number string
	Card Status Code string
	User Authorization object

Return Value	Interface Response object

2.3.4. Search for HH ID by Card

This interface function allows the MIS system to search the EBT database for a Household/Family identifier. This would be useful if the EBT system is the database of record for EBT Card numbers.

Web Service Function	Search for HH ID by Card #
PN Reference	

Parameters	Card Number string
	User Authorization object

Return Value	Household ID integer

2.3.5. Search for Cardholders by Card

This interface function allows the MIS system to request the Cardholder data given a specific Card number.

Web Service Function	Search for Cardholders by Card #
PN Reference	

Parameters	Card Number string
	User Authorization object

Return Value	Cardholder object
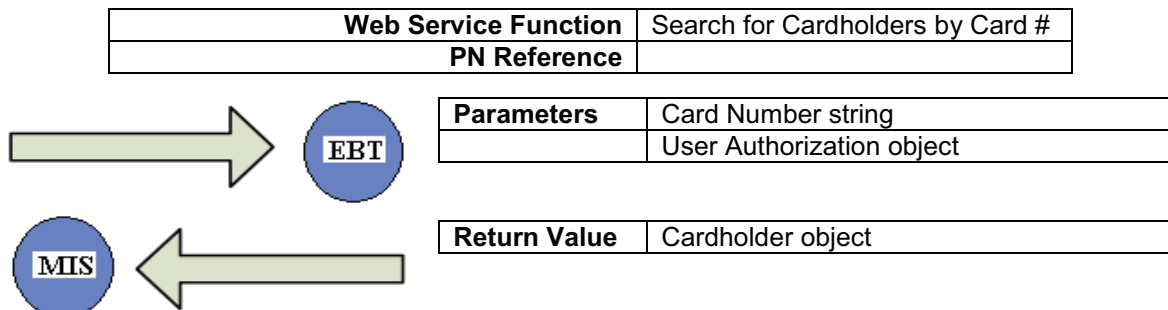
2.3.6. Search for Cardholders by HH ID

This interface function allows the MIS system to request all the Cardholders and their Cards given the Household/Family ID.

Web Service Function	Search for Cardholders by HH ID
PN Reference	

Parameters	Household ID integer
	User Authorization object

Return Value	Cardholder object
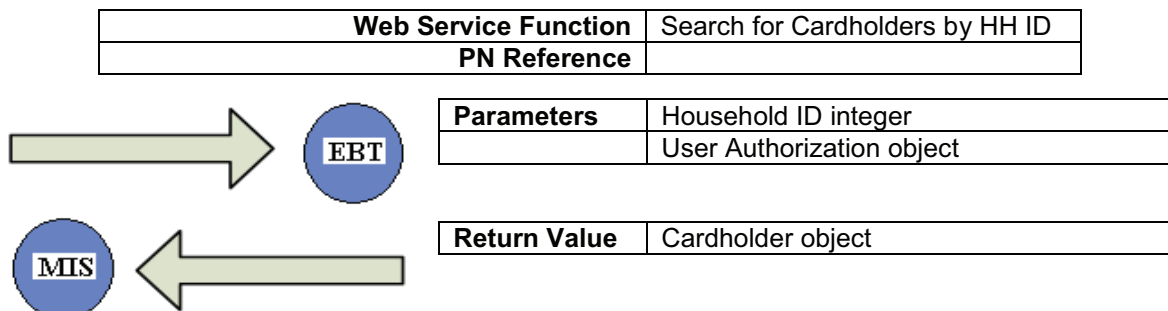
2.3.7. Replace Card

This function allows the MIS system to deactivate an old Card and activate a new Card with this single interface call. The PIN would remain unchanged and a separate call would be needed to alter that value.

Web Service Function	Replace Card
PN Reference	PN-060 Manage EBT Cards
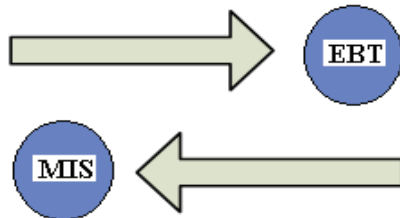
Parameters	Replace Card Request object
	User Authorization object

Return Value	Interface Response object

E ReplaceCardRequest	(ReplaceCardRequest)
E HouseholdID	int
E CardNumber	string
E CardStatusCode	string
E NewCardNumber	string

```xml
<xs:element name="ReplaceCardRequest">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="HouseholdID" type="xs:int" />
        <xs:element name="CardNumber" type="xs:string" />
        <xs:element name="CardStatusCode" type="xs:string" />
        <xs:element name="NewCardNumber" type="xs:string" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.3.8. Read Card Diagnostics

This function allows the MIS to initiate a diagnostic system check on the Card. This would primarily be used for offline EBT systems.

Web Service Function	Read Card Diagnostics
PN Reference	

Parameters	User Authorization object

Return Value	Interface Response object

2.4. PIN Maintenance

2.4.1. Setup PIN

This function requests that the PIN selection device prompt the user to establish their Personal Identification Number (PIN) by entering the code twice into the device. The EBT should then store the encrypted PIN for later authentication.

Web Service Function	Setup PIN
PN Reference	PN-076 Manage PIN

Parameters	User Authorization object

Return Value	Interface Response object

2.4.2. Submit PIN

This function allows the MIS system to demand that the EBT system establish a new PIN for the Card.

Web Service Function	Submit PIN
PN Reference	PN-076 Manage PIN

Parameters	Submit PIN Request object
	User Authorization object

Return Value	Interface Response object

E SubmitPINRequest	(SubmitPINRequest)
E HouseholdID	int
E CardNumber	string
E EncryptedPIN	binary
E IsNewPIN	boolean

```xml
<xs:element name="SubmitPINRequest">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="HouseholdID" type="xs:int" />
        <xs:element name="CardNumber" type="xs:string" />
        <xs:element name="EncryptedPIN" type="binary" />
        <xs:element name="IsNewPIN" type="xs:boolean" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```
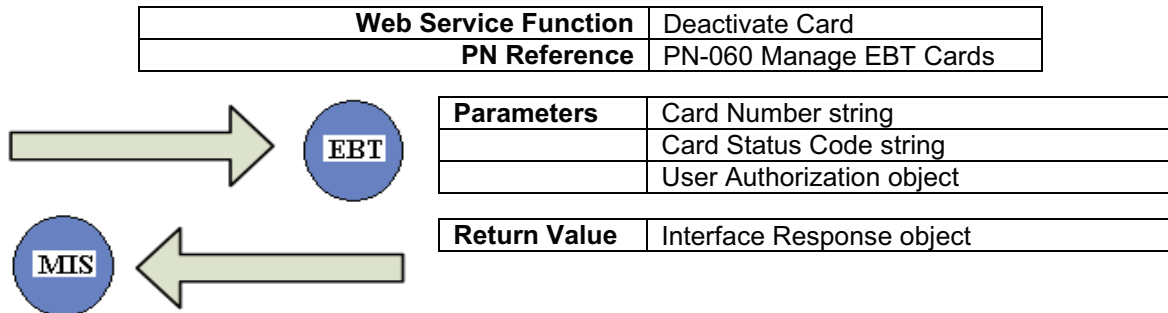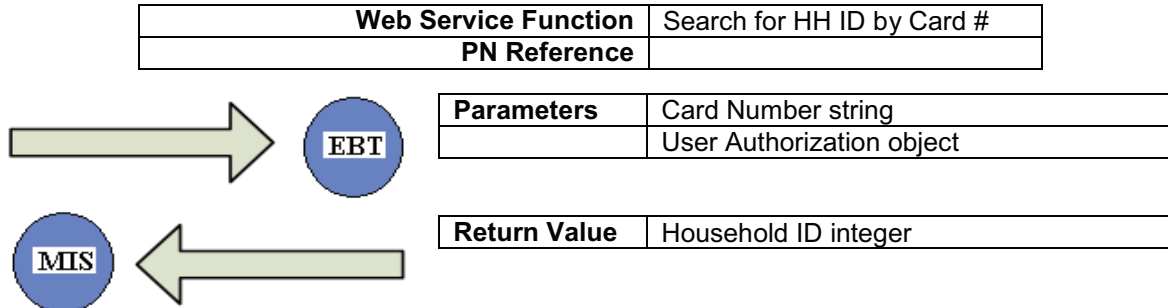
2.4.3. Unlock PIN

This function resets the invalid PIN attempt count to zero thus enabling the PIN for the given Card.

Web Service Function	Unlock PIN
PN Reference	PN-076 Manage PIN

Parameters	Card Number string
	User Authorization object

Return Value	Interface Response object
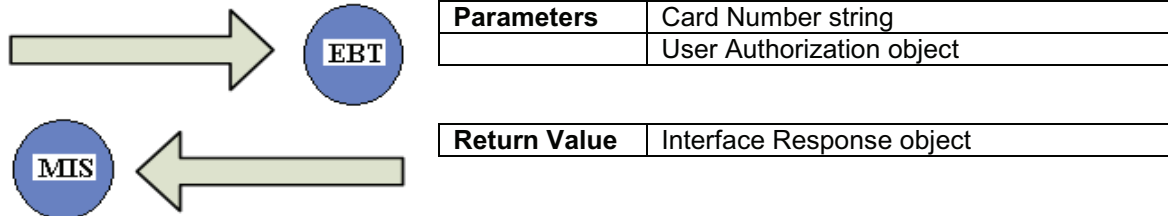
2.4.4. Authenticate PIN

This function requests that the PIN selection device prompt the user to authenticate the Cardholders PIN. This allows the system to verify the Cardholder's identity for Benefit purposes.

Web Service Function	Authenticate PIN
PN Reference	PN-076 Manage PIN

Parameters	User Authorization object

Return Value	Interface Response object
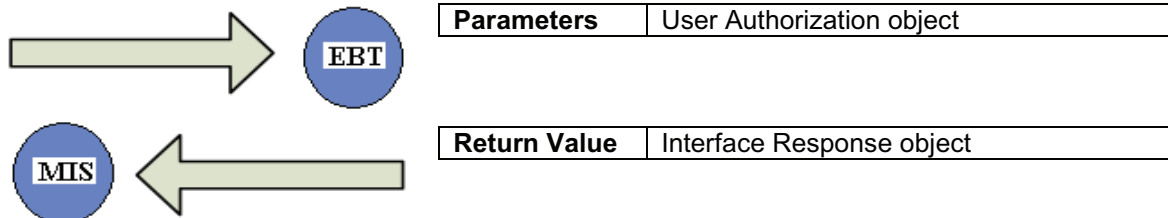
2.5. Vendor Maintenance

2.5.1. Create Vendor

Web Service Function	Create Vendor
PN Reference	PN-083 Update Vendor Info

Parameters	Vendor object
	User Authorization object

Return Value	Interface Response object


```
<xs:element name="Vendor">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="VendorID" type="xs:int" />
        <xs:element name="Name" type="xs:string" />
        <xs:element name="PeerGroupID" type="xs:int" />
        <xs:element name="ActivationDate" type="xs:date" />
        <xs:element name="IsAbove50%_" type="xs:boolean" />
        <xs:element name="PhysicalAddress">
         <xs:complexType>
          <xs:sequence>
              <xs:element name="Address1" type="xs:string" />
              <xs:element name="Address2" type="xs:string" />
              <xs:element name="City" type="xs:string" />
              <xs:element name="State" type="xs:string" />
              <xs:element name="Zip" type="xs:string" />
          </xs:sequence>
         </xs:complexType>
        </xs:element>
        <xs:element name="VendorCxntact">
         <xs:complexType>
          <xs:sequence>
              <xs:element name="FirstName" type="xs:string" />
              <xs:element name="MiddleName" type="xs:string" />
              <xs:element name="LastName" type="xs:string" />
              <xs:element name="EmailAddress" type="xs:string" />
              <xs:element name="DateOfBirth" type="xs:date" />
              <xs:element name="PhoneNumber" type="xs:string" />
          </xs:sequence>
         </xs:complexType>
        </xs:element>
        <xs:element name="TotalFoÛdSales" type="xs:decimal" />
        <xs:element name="ContractingAgency" type="xs:string" />
        <xs:element name="AchSettlementTime" type="xs:time" />
        <xs:element name="IsDirectConnect" type="xs:boolean" />
        <xs:element name="IsDirectConnectAutoRecon"type="xs:bool"
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.5.2. Update Vendor

Web Service Function	Update Vendor
PN Reference	PN-083 Update Vendor Info

Parameters	Vendor object
	User Authorization object

Return Value	Interface Response object

2.5.3. Deactivate Vendor

Web Service Function	Deactivate Vendor
PN Reference	PN-083 Update Vendor Info

Parameters	Vendor ID integer
	Deactivate date
	User Authorization object

Return Value	Interface Response object

2.6. Peer Group Maintenance

2.6.1. Create/Update Peer Group Names

When the EBT system displays Peer Groups within its system it will utilize the Names for the Peer Group contained within this batch file.

FTP File Transfer	Create/Update Peer Group Names
PN Reference	

Parameters	Peer Group Name file
	Header & Trailer records

Return Value	

```
<xs:element name="PeerGroupName">
      <xs:complexType>
            <xs:sequence>
                  <xs:element name="PeerGroupID" type="xs:int" />
                  <xs:element name="PeerGroupName" type="xs:string" />
            </xs:sequence>
      </xs:complexType>
</xs:element>
```
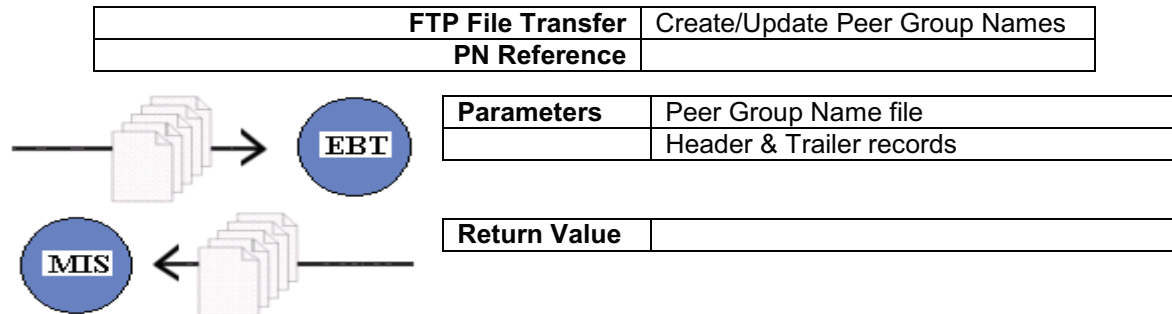
2.7. Food Category/Subcategory Maintenance

2.7.1. Cat / Subcat Batch File

FTP File Transfer	Cat / Subcat Batch File
PN Reference	PN-048_2 Maintain Approved Food

Parameters	Food Category & Subcategory file
	Header & Trailer records

Return Value	

```xml
<xs:element name="FoodCategory">
        <xs:complexType>
                <xs:sequence>
                        <xs:element name="FoodCategoryCode" type="xs:string" />
                        <xs:element name="Description" type="xs:string" />
                        <xs:element name="ShortDescription" type="xs:string" />
                        <xs:element name="StartDate" type="xs:string" />
                        <xs:element name="EndDate" type="xs:string" />
                </xs:sequence>
        </xs:complexType>
</xs:element>
<xs:element name="FoodSubcategory">
        <xs:complexType>
                <xs:sequence>
                        <xs:element name="FoodCategoryCode" type="xs:string" />
                        <xs:element name="SubcategoryCode" type="xs:string" />
                        <xs:element name="Description" type="xs:string" />
                        <xs:element name="UnitOfMeasure" type="xs:string" />
                        <xs:element name="StartDate" type="xs:date" />
                        <xs:element name="EndDate" type="xs:date" />
                        <xs:element name="IsContractFormula" type="xs:boolean" />
                </xs:sequence>
        </xs:complexType>
</xs:element>
```
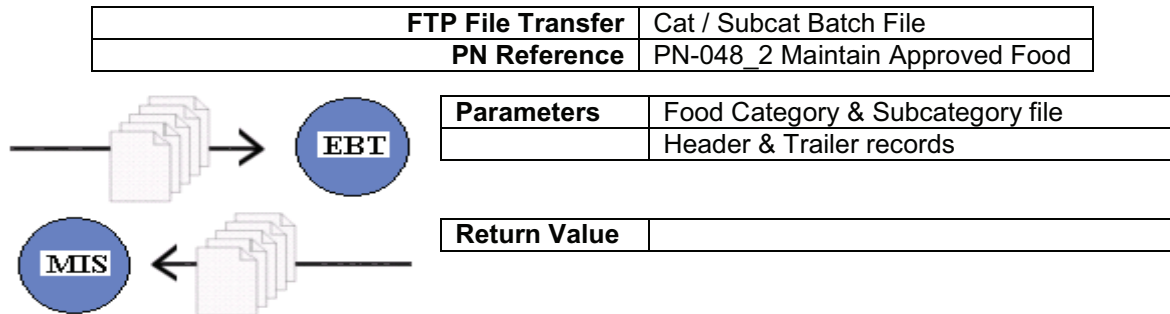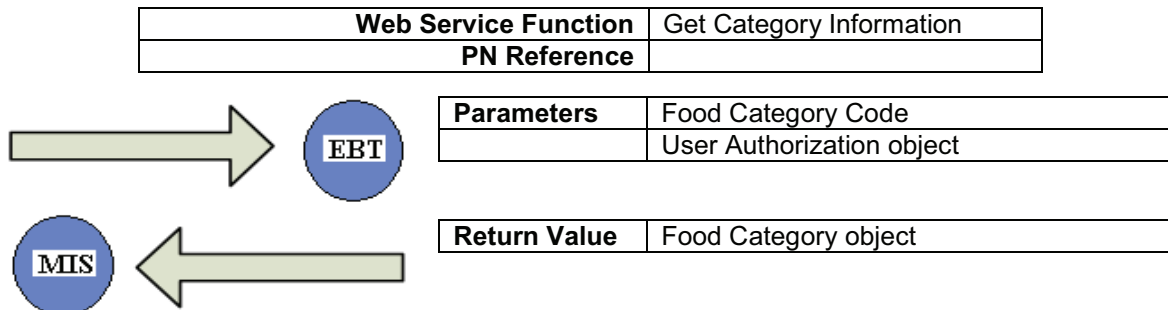
2.7.2. Get Category Info

When the EBT system is the database of record for Food Category and Subcategory data, the MIS can request the Food Category data with this call.

Web Service Function	Get Category Information
PN Reference	

Parameters	Food Category Code
	User Authorization object

Return Value	Food Category object

E FoodCategory	(FoodCategory)
E FoodCategoryCode	string
E Description	string
E ShortDescription	string
E StartDate	string
E EndDate	string

```xml
<xs:element name="FoodCategory">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="FoodCategoryCode" type="xs:string" />
        <xs:element name="Description" type="xs:string" />
        <xs:element name="ShortDescription" type="xs:string" />
        <xs:element name="StartDate" type="xs:string" />
        <xs:element name="EndDate" type="xs:string" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.7.3. Get Subcategory Info

When the EBT system is the database of record for Food Category and Subcategory data, the MIS can request the Food Subcategory data with this call
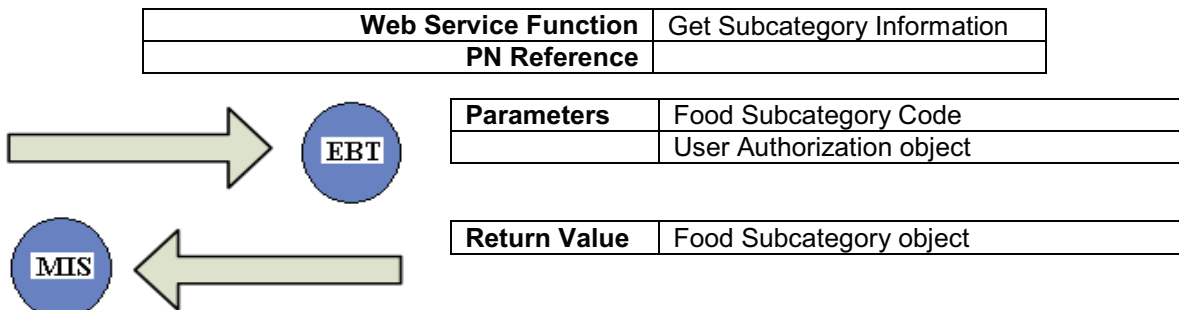
Web Service Function	Get Subcategory Information
PN Reference	

Parameters	Food Subcategory Code
	User Authorization object

Return Value	Food Subcategory object

E FoodSubcategory	(FoodSubcategory)
E FoodCategoryCode	string
E SubcategoryCode	string
E Description	string
E UnitOfMeasure	string
E StartDate	date
E EndDate	date
E IsContractFormula	boolean

```xml
<xs:element name="FoodSubcategory">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="FoodCategoryCode" type="xs:string" />
        <xs:element name="SubcategoryCode" type="xs:string" />
        <xs:element name="Description" type="xs:string" />
        <xs:element name="UnitOfMeasure" type="xs:string" />
        <xs:element name="StartDate" type="xs:date" />
        <xs:element name="EndDate" type="xs:date" />
        <xs:element name="IsContractFormula" type="xs:boolean" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```
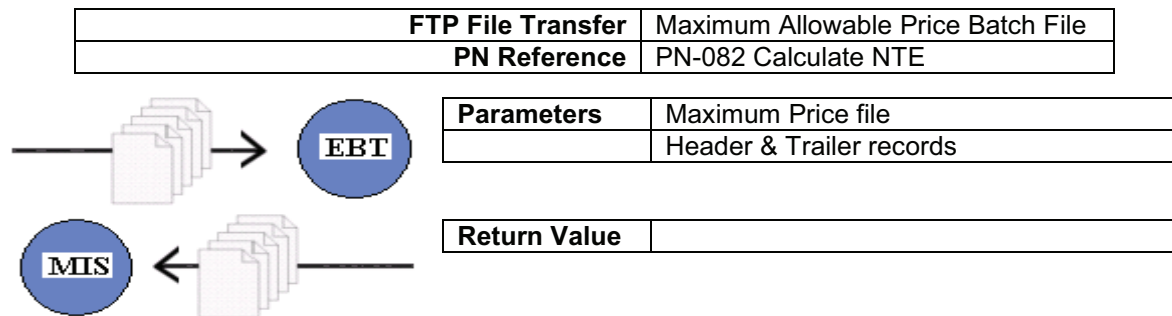
2.8. UPC Maintenance

2.8.1. nUPC Interface

See USDA UPC Documentation

2.9. Maximum Price

2.9.1. Maximum Allowable Price Batch File

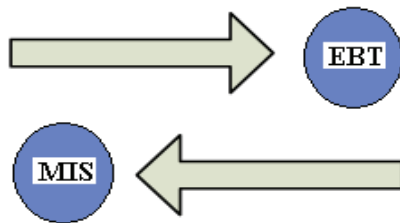This batch file allows the MIS to communicate Maximum Prices to the EBT system, if applicable.

FTP File Transfer	Maximum Allowable Price Batch File
PN Reference	PN-082 Calculate NTE

Parameters	Maximum Price file
	Header & Trailer records

Return Value	

```xml
<xs:element name="MaximumPrice">
        <xs:complexType>
                <xs:sequence>
                        <xs:element name="UPC" type="xs:string" />
                        <xs:element name="Description" type="xs:string" />
                        <xs:element name="IsBroadband" type="xs:boolean" />
                        <xs:element name="IsRebate" type="xs:boolean" />
                        <xs:element name="IsAllowedByPharmacy" type="xs:boolean" />
                        <xs:element name="EffectiveDate" type="xs:date" />
                        <xs:element name="DeactivateDate" type="xs:date" />
                        <xs:element name="FoodCategoryCode" type="xs:string" />
                        <xs:element name="FoodSubcategoryCode" type="xs:string" />
                        <xs:element name="ExchangeSize" type="xs:decimal" />
                        <xs:element name="Prices">
                          <xs:complexType>
                            <xs:sequence>
                                <xs:element name="PeerGroupID" type="xs:int" />
                                <xs:element name="MaximumPrice" type="xs:decimal" />
                            </xs:sequence>
                          </xs:complexType>
                        </xs:element>
                </xs:sequence>
        </xs:complexType>
  </xs:element>
```
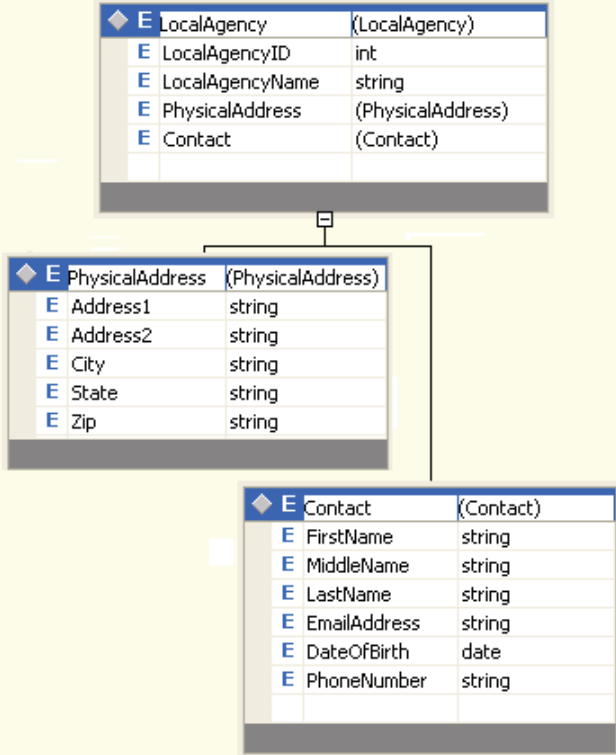
2.10. Clinic/Local Agency Maintenance

2.10.1. Create Local Agency

Web Service Function	Create Local Agency
PN Reference	PN-084 Update EBT Clinic/LA Info

Parameters	Local Agency object
	User Authorization object

Return Value	Interface Response object


```
<xs:element name="LocalAgency">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="LocalAgencyID" type="xs:int" />
      <xs:element name="LocalAgencyName" type="xs:string" />
      <xs:element name="PhysicalAddress">
        <xs:complexType>
          <xs:sequence>
            <xs:element name="Address1" type="xs:string" />
            <xs:element name="Address2" type="xs:string" />
            <xs:element name="City" type="xs:string" />
            <xs:element name="State" type="xs:string" />
            <xs:element name="Zip" type="xs:string" />
          </xs:sequence>
        </xs:complexType>
      </xs:element>
      <xs:element name="Contact">
        <xs:complexType>
          <xs:sequence>
            <xs:element name="FirstName" type="xs:string" />
            <xs:element name="MiddleName" type="xs:string" />
            <xs:element name="LastName" type="xs:string" />
            <xs:element name="EmailAddress" type="xs:string" />
            <xs:element name="DateOfBirth" type="xs:date" />
          </xs:sequence>
        </xs:complexType>
      </xs:element>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.10.2. Update Local Agency

Web Service Function	Update Local Agency
PN Reference	PN-084 Update EBT Clinic/LA Info

Parameters	Local Agency object
	User Authorization object

Return Value	Interface Response object
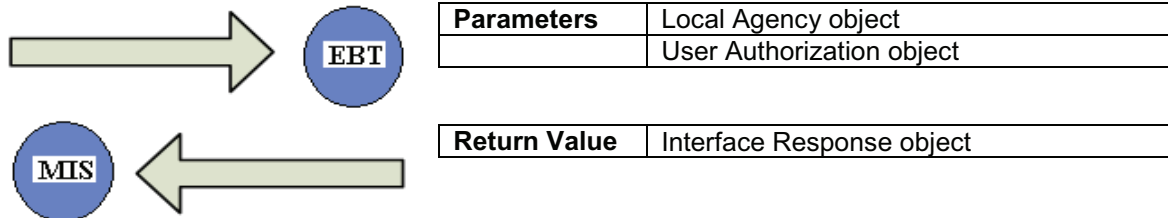
2.10.3. Deactivate Local Agency

Web Service Function	Deactivate Local Agency
PN Reference	PN-084 Update EBT Clinic/LA Info

Parameters	Local Agency ID
	Deactivation Date
	User Authorization object

Return Value	Interface Response object
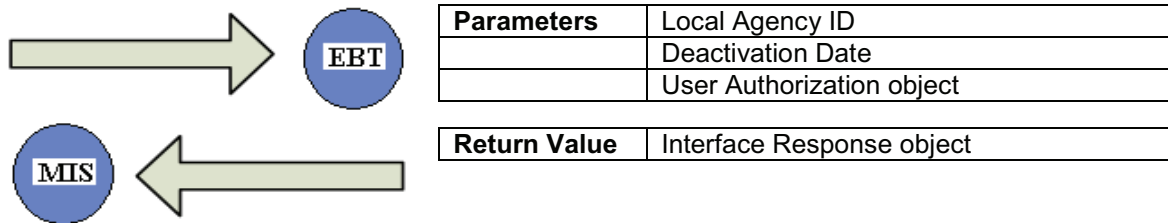
2.10.4. Create Clinic

Web Service Function	Create Clinic
PN Reference	PN-084 Update EBT Clinic/LA Info

Parameters	Clinic object
	User Authorization object

Return Value	Interface Response object


```xml
<xs:element name="Clinic">
  <xs:complexType>
    <xs:sequence>
        <xs:element name="ClinicID" type="xs:int" />
        <xs:element name="ClinicName" type="xs:string" />
        <xs:element name="LocalAgencyID" type="xs:int" />
        <xs:element name="PhysicalAddress">>
          <xs:complexType>
            <xs:sequence>
                <xs:element name="Address1" type="xs:string" />
                <xs:element name="Address2" type="xs:string" />
                <xs:element name="City" type="xs:string" />
                <xs:element name="State" type="xs:string" />
                <xs:element name="Zip" type="xs:string" />
            </xs:sequence>
          </xs:complexType>
        </xs:element>
        <xs:element name="Contact">
          <xs:complexType>
            <xs:sequence>
                <xs:element name="FirstName" type="xs:string" />
                <xs:element name="MiddleName" type="xs:string" />
                <xs:element name="LastName" type="xs:string" />
                <xs:element name="EmailAddress" type="xs:string" />
                <xs:element name="DateOfBirth" type="xs:date" />
            </xs:sequence>
          </xs:complexType>
        </xs:element>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```
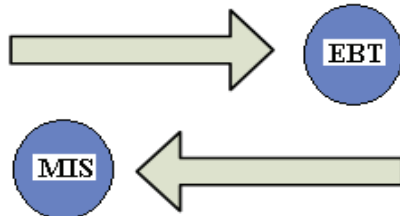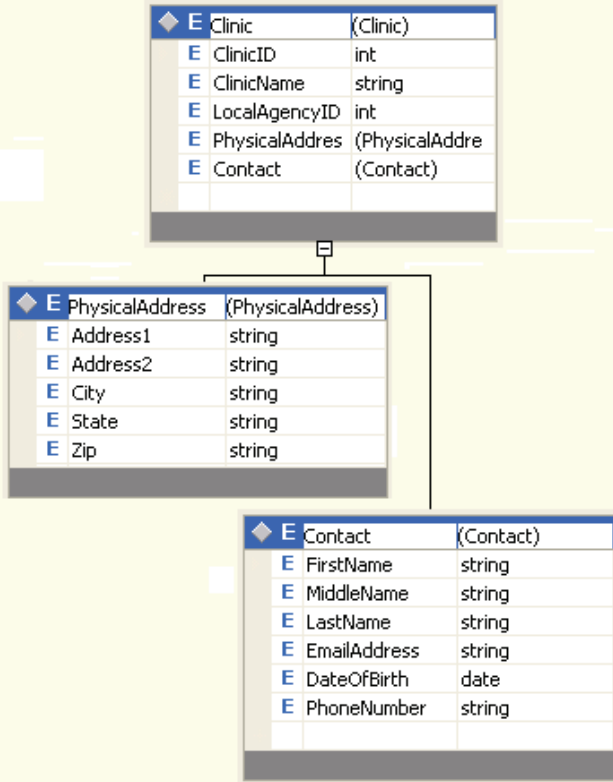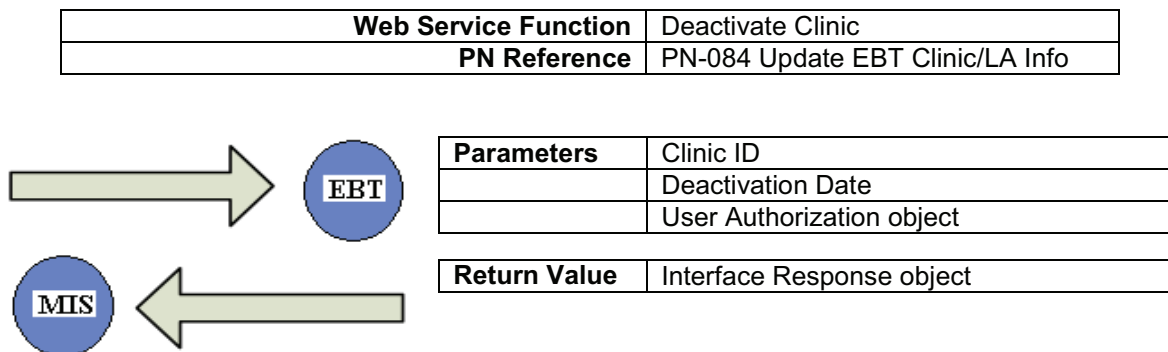
2.10.5. Update Clinic

Web Service Function	Update Clinic
PN Reference	PN-084 Update EBT Clinic/LA Info

Parameters	Clinic object
	User Authorization object

Return Value	Interface Response object

2.10.6. Deactivate Clinic

Web Service Function	Deactivate Clinic
PN Reference	PN-084 Update EBT Clinic/LA Info

Parameters	Clinic ID
	Deactivation Date
	User Authorization object

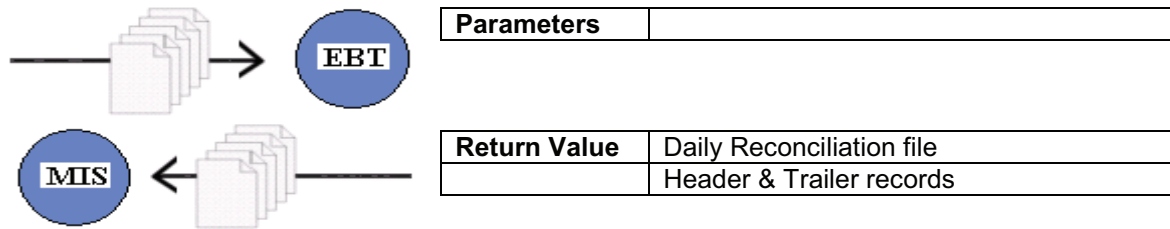| Return Value	Interface Response object

2.11. Reconciliation

2.11.1. Daily Interface Batch File

At the end of every day the EBT system will provide this batch file so the MIS may validate that Benefit transactions it has record of, match the data in this file.

FTP File Transfer	Daily Reconciliation Batch File
PN Reference	

Parameters	

Return Value	Daily Reconciliation file
	Header & Trailer records

```xml
<xs:element name="DailyReconciliationFile">
    <xs:complexType>
        <xs:sequence>
            <xs:element name="TraceNumber" type="xs:int" />
            <xs:element name="TransactionDateTime" type="xs:dateTime" />
            <xs:element name="ClinicID" type="xs:int" />
            <xs:element name="UserID" type="xs:int" />
            <xs:element name="Household" type="xs:string" />
            <xs:element name="UniqueBenefitNumber" type="xs:string" />
            <xs:element name="BenefitStartDate" type="xs:date" />
            <xs:element name="BenefitEndDate" type="xs:date" />
            <xs:element name="IsCredit" type="xs:boolean" />
            <xs:element name="BenefitFood">
              <xs:complexType>
                <xs:sequence>
                    <xs:element name="Category" type="xs:string" />
                    <xs:element name="Subcategory" type="xs:string" />
                    <xs:element name="Quantity" type="xs:int" />
                </xs:sequence>
              </xs:complexType>
            </xs:element>
        </xs:sequence>
    </xs:complexType>
</xs:element>
```

2.11.2. Benefit Month Reconciliation Batch File

The EBT system provides a summarized version of the Food Benefit transactions at the Food Category/Food Subcategory level. This allows the MIS to validate accuracy as a part of the month end close out process.

FTP File Transfer	Monthly Reconciliation Batch File
PN Reference	

Parameters	

Return Value	Benefit Month Reconciliation file
	Header & Trailer records

```xml
<xs:element name="BenefitMonthReconciliationFile">
    <xs:complexType>
        <xs:sequence>
            <xs:element name="BenefitMonth" type="xs:int" />
            <xs:element name="BenefitYear" type="xs:int" />
            <xs:element name="HouseholdID" type="xs:int" />
            <xs:element name="LastDateToSpend" type="xs:date" />
            <xs:element name="DollarsSettled" type="xs:decimal" />
            <xs:element name="FoodTransaction">
              <xs:complexType>
                <xs:sequence>
                    <xs:element name="Action" type="char" />
                    <xs:element name="Category" type="xs:string" />
                    <xs:element name="Subcategory" type="xs:string" />
                    <xs:element name="Quantity" type="xs:int" />
                </xs:sequence>
              </xs:complexType>
            </xs:element>
        </xs:sequence>
    </xs:complexType>
</xs:element>
```
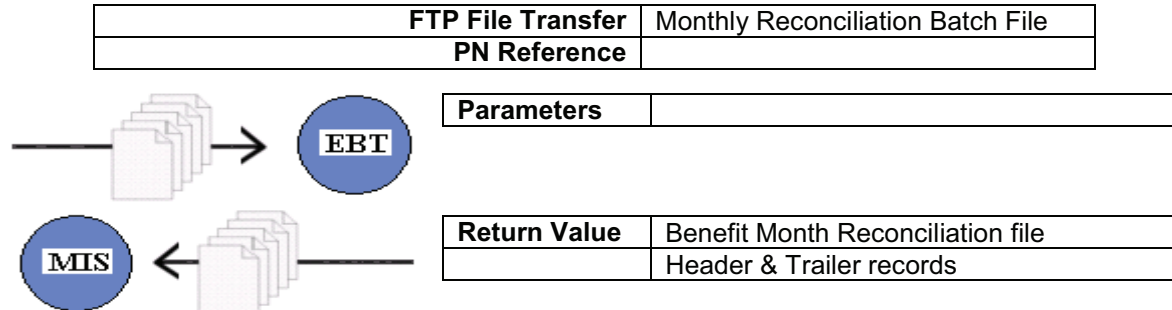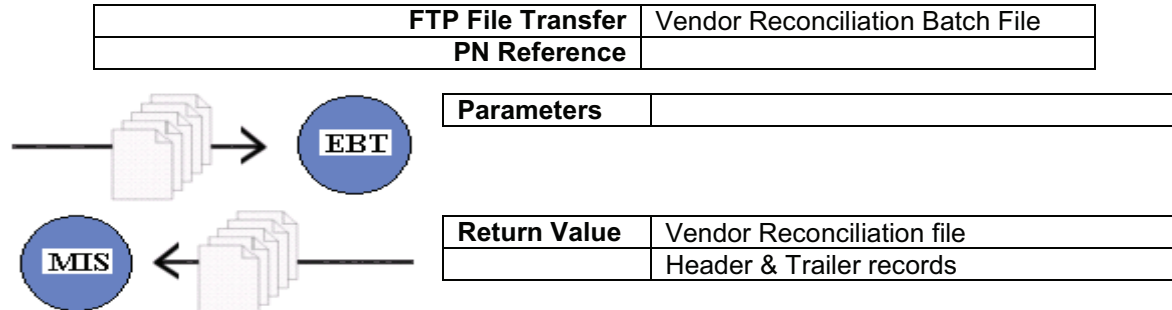
2.11.3. Vendor Reconciliation Batch File

Every day the EBT system will provide the raw data that supports every purchase transaction grouped by WIC Vendor. This data becomes the redemption detail and leads to many other reporting activities.
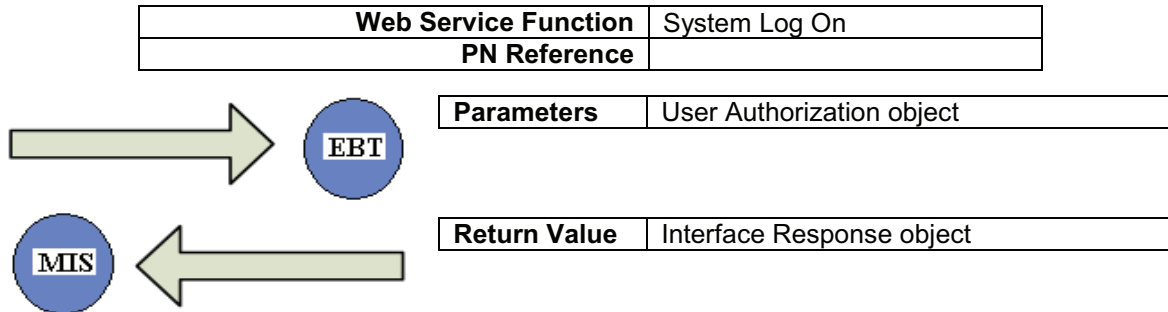
FTP File Transfer	Vendor Reconciliation Batch File
PN Reference	

Parameters	

Return Value	Vendor Reconciliation file
	Header & Trailer records

```xml
<xs:element name="VendorReconciliationFile">
    <xs:complexType>
        <xs:sequence>
            <xs:element name="ReconciliationDate" type="xs:date" />
            <xs:element name="VendorID" type="xs:int" />
            <xs:element name="DollarsSettled" type="xs:decimal" />
            <xs:element name="FoodTransaction">
              <xs:complexType>
                <xs:sequence>
                    <xs:element name="Action" type="char" />
                    <xs:element name="Category" type="xs:string" />
                    <xs:element name="Subcategory" type="xs:string" />
                    <xs:element name="Quantity" type="xs:int" />
                    <xs:element name="UPC" type="xs:string" />
                    <xs:element name="PresentmentAmount" type="xs:decimal" />
                    <xs:element name="PaymentAmount" type="xs:decimal" />
                    <xs:element name="ErrorCode" type="xs:string" />
                </xs:sequence>
              </xs:complexType>
            </xs:element>
        </xs:sequence>
    </xs:complexType>
</xs:element>
```
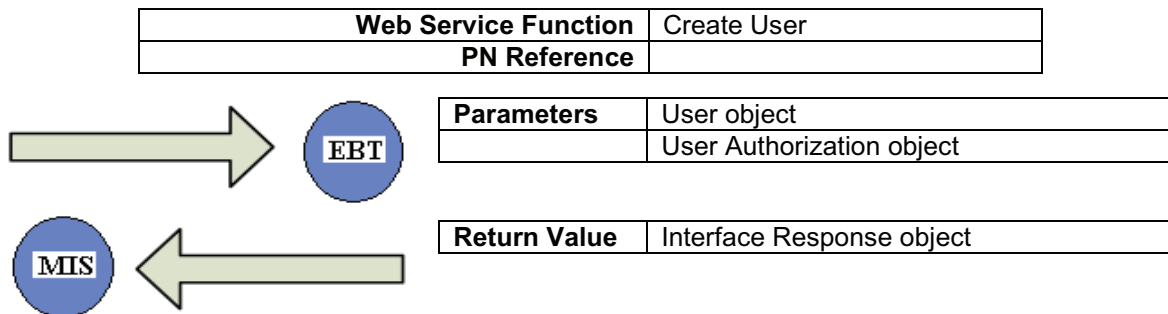
2.12. Security Maintenance

2.12.1. System Log on

For interfaces that allow automatic or Single Sign On solutions, this function performs that operation.

Web Service Function	System Log On
PN Reference	

Parameters	User Authorization object

Return Value	Interface Response object

2.12.2. Create User

Users in this context are people that can access the EBT system from the EBT Web Site or with Web Service calls.

Web Service Function	Create User
PN Reference	

Parameters	User object
	User Authorization object

Return Value	Interface Response object

E User	(User)
E Username	string
E FirstName	string
E MiddleName	string
E LastName	string
E EmailAddress	string
E DateOfBirth	date

```xml
<<xs:element name="User">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="Username" type="xs:string" />
      <xs:element name="FirstName" type="xs:string" />
      <xs:element name="MiddleName" type="xs:string" />
      <xs:element name="LastName" type="xs:string" />
      <xs:element name="EmailAddress" type="xs:string" />
      <xs:element name="DateOfBirth" type="xs:date" />
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

2.12.3. Update User

Web Service Function	Update User
PN Reference	

Parameters	User object
	User Authorization object

Return Value	Interface Response object

2.12.4. Deactivate User

Web Service Function	Deactivate User
PN Reference	

Parameters	Username
	User Authorization object

Return Value	Interface Response object

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3. APPENDIX

Database of Record	Universal Interface	Wyoming	Michigan	Nevada	Kentucky	Chickasaw	New Mexico	Crossroads
Provider:	FNS	PJA	ACS	JPMorgan	CDP	JPMorgan	CSC	??
Functional Area								
Family/HH	MIS	MIS	MIS	MIS	MIS	MIS	MIS	MIS
Card Holder	EBT	MIS	MIS	MIS	EBT	MIS	MIS	MIS
Card Inventory	EBT	MIS	MIS	EBT	EBT	N/A	MIS	MIS
PIN	EBT	MIS/Card	EBT	EBT	EBT	EBT	MIS/Card	EBT
Benefits	MIS	MIS	MIS	MIS	MIS	MIS	MIS	MIS
Vendor	MIS	MIS	MIS	MIS	MIS	MIS	MIS	MIS
Peer Group Maintenance	MIS	MIS	MIS	MIS	MIS	MIS	MIS	MIS
Food Category / Subcategory	nUPC	EBT	MIS	MIS	nUPC	MIS	EBT	nUPC
UPC	nUPC	EBT	MIS	MIS	nUPC	MIS	EBT	nUPC
Maximum Price	EBT	EBT	MIS	MIS	EBT	MIS	EBT	MIS
Clinic / Local Agency	MIS	MIS	MIS	N/A	MIS	N/A	MIS	MIS
User Accounts	MIS	EBT	EBT	EBT	MIS	EBT	MIS	MIS
Reconciliation	EBT	EBT	MIS	MIS	EBT	MIS	MIS	MIS

MIS-To-EBT Interface Functions

Function	Universal Interface	Wyoming	Michigan	Nevada	Kentucky	Chickasaw	New Mexico
Provider:	FNS	PJA	ACS	JPMorgan	CDP	JPMorgan	CSC
Family/HH Maintenance							
Create Family Record	Create EBA	Write Demographics	Account Setup Transaction	Account Setup Transaction	Create EBA	Account Setup Transaction	Direct call to Card from MIS
Update Family Record	Update EBA	Write Demographics	Account Setup, w/ Action Code 01	Account Setup, w/ existing Family ID	Update EBA	Account Setup, w/ existing Family ID	Direct call to Card from MIS
Display Family Record	View EBA	EBT Web Site	EBT Website, EBT host and MIS	EBT Web Site	View EBA Details	EBT Web Site	MIS Screen
Read Family Record	Get EBA	Read Demographics	EBT Website, EBT host and MIS	N / A	Get EBA Details	N / A	Direct call to Card from MIS
Search for Family ID by Card #	Get HH ID using Card #	EBT Web Site	EBT Website, EBT host and MIS	EBT Web Site	Get HH ID using Card #	Household ID Record	Integrated MIS search
Card Holder Maintenance							
	Add Cardholder	Write Demographics	Account Setup Transaction	Account Setup, w/ Cardholder Access set	Add Cardholder UI	Account Setup, w/ Cardholder Access set	MIS Screen
	Add Card	Write Demographics	MIS and Customer Service	Account Setup, w/ new Card	Add Cardholder	Account Setup, w/ new Card	MIS Screen
Search for Cardholders	Get Cardholders / Cards	EBT Web Site	EBT Host and MIS	EBT Web Site	Get Cardholders / Cards	Household ID Record	Integrated MIS search
View Cardholders by Family ID	Get Cardholders by HH ID	Is Card Hot	Card Status Change file	EBT Web Site	Get Cardholders by HH ID	Card History Record	Integrated MIS search
	Deactivate Card	Initiate Hotcard	MIS and Customer Service	Account Setup, w/ Card	Deactivate Card	Account Setup, w/ Card	Hotcard Batch file nightly EBT-MIS reconciliation
	Replace Card	Issue Replacement	MIS and Customer Service	Account Setup, w/ Cardholder Access set	Replace Card	Account Setup, w/ Cardholder Access set	Direct call to Card from MIS
Read Diagnostics		Read Diagnostics					
PIN Maintenance							
	Setup PIN	Change PIN	EBT Host	Touch Tone Phone interface		Touch Tone Phone interface	
	Submit PIN	Change PIN	EBT Host	Touch Tone Phone interface	Submit PIN	Touch Tone Phone interface	MIS Screen
					Submit PIN		MIS Screen
	Unlock PIN	Unlock	EBT Host	Touch Tone Phone interface	Unlock PIN	Reset Bad PIN Count	MIS Screen
Authenticate PIN	Authenticate PIN						MIS Screen

MIS-To-EBT Interface Functions

	Universal Interface	Wyoming	Michigan	Nevada	Kentucky	Chickasaw	New Mexico
Benefit Maintenance							
Create	Add / Adjust Benefits	Issue Benefits	Food Benefit transaction	Food Benefit Issuance, action code 01	Adjust Benefits	Food Benefit Issuance, action code 01	Direct call to Card from MIS
Adjust	Add / Adjust Benefits	Over Write Benefits	Void Current Benefit transaction	Food Benefit Issuance, action code 03	Adjust Benefits	Food Benefit Issuance, action code 03	Direct call to Card from MIS
Void	Add / Adjust Benefits	Over Write Benefits	Void Future Benefit transaction	Food Benefit Issuance, action code 02	Adjust Benefits	Food Benefit Issuance, action code 02	Direct call to Card from MIS
Create Future w/ Batch file		N/A	Food Benefit file				N/A
Read	Get Benefit Balance	Read Benefits		EBT Web Site	Get Benefit Balance	WIC Account Balance Record	Direct call to Card from MIS
View Benefit Transactions			Benefit/UPC Redemption file	EBT Web Site		Benefit Detail History Record	nightly EBT-MIS reconciliation
View Redemption Transactions		EBT Web Site		EBT Web Site		Redemption Detail History Record	nightly EBT-MIS reconciliation
Vendor Maintenance							
Create Vendor	Create Retailer	Vendor Batch file	Vendor Update file	Vendor Update file	Create Retailer	Vendor Update file	Vendor Batch file
Update Vendor	Update Retailer	Vendor Batch file	Vendor Update file, action code 01	Vendor Update file, action code 01	Update Retailer	Vendor Update file, action code 01	Vendor Batch file
Deactivate Vendor	Deactivate Retailer	Vendor Batch file	Vendor Update file, action code 02	Vendor Update file, action code 02	Deactivate Retailer	Vendor Update file, action code 02	Vendor Batch file
Peer Group Maintenance							
Create/Update Peer Group Name	N/A	Vendor Batch file	WIC Vendor Peer Group listing	Vendor Peer Group Listing		Vendor Peer Group Listing	Vendor Batch file
Food Category / Subcategory Maintenance							
Get Category Info	Get Category Info	Cat/Subcat file, from WESS to CRIS	N/A	N/A	Get Category Info	N/A	
Get Subcategory Info	Get Subcategory Info	Cat/Subcat file, from WESS to CRIS	N/A	N/A	Get Subcategory Info	N/A	
Cat / Subcat Batch File	nUPC interface		Category / Subcategory Update file	Category / Subcategory Update file		Category / Subcategory Update file	
UPC Maintenance							
	nUPC interface	nUPC interface	UPC/PLU/Maximum Price Update file	Approved Product List file		Approved Product List file	Approved Product List file APL file

MIS-To-EBT Interface Functions

Universal Interface	Wyoming	Michigan	Nevada	Kentucky	Chickasaw	New Mexico
Card Inventory						
N/A	MIS only		N/A		N/A	MIS only
Clinic / Local Agency Maintenance						
Create Local Agency	N/A		N/A	Create Local Agency	N/A	N/A
Update Local Agency	N/A		N/A	Update Local Agency	N/A	N/A
Deactivate Local Agency	N/A		N/A	Deactivate Local Agency	N/A	N/A
Create Clinic	Clinic Batch File		N/A	Create Clinic	N/A	N/A
Update Clinic	Clinic Batch File		N/A	Update Clinic	N/A	N/A
Deactivate Clinic	Clinic Batch File		N/A	Deactivate Clinic	N/A	N/A
Reconciliation						
Daily Reconciliation file	Daily Interface Batch File / EBT Report	WIC Activity file	WIC Activity file		WIC Activity file	nightly EBT-MIS reconciliation
Expired Benefit file	Daily Interface Batch File Benefit Month Reconciliation Batch File / EBT Report	Benefit Expiration file / Benefit/UPC Redemption file	Expired Benefit file		Expired Benefit file	
Monthly Reconciliation file	Batch File / EBT Web Site		N/A		UPC/PLU Redemption file	
Vendor Reconciliation Batch file	Daily Interface Batch File / EBT Web Site	Vendor Activity file	Vendor Activity file		Vendor Activity file	
Security Maintenance						
System Logon	User Credentials passed on CRIS calls		EBT Web Site	System Logon	EBT Web Site	EBT Authenticates directly to MIS DB
Create User	User Batch File		EBT Web Site	Create User	EBT Web Site	MIS Only
Update User	User Batch File		EBT Web Site	Update User	EBT Web Site	MIS Only

3.1. Issue Benefits in Different States

3.1.1. Chickasaw-Food Benefit Issuance, action code 01

Field #	Position	Description	Length	Type
1	1-2	Action Code	2	X (Hex)
2	3-11	Profile Number	9	X
3	12-17	Benefit Type	6	X
4	18-32	Household ID	15	X
5	33-40	Starting Date	8	9
6	41-48	Expiration Date	8	9
7	49-68	Unique Benefit Issuance Number	20	X
8	69-73	WIC Clinic ID	5	X
9	74-75	Number of Rx Items	5	X
10	76-375	Food Benefit Items	300	9
11	376-400	Reserved for WIC Program	25	X
12	401-406	NIT	6	X

3.1.2. Kentucky-Adjust Benefits

Level	Description	Required
1	MIS Household ID	M
1	Credit/Debit Indicator	M
1	Card Number	I
1	Reason Code	M
2	Benefit ID	O
2	Benefit Begin Date	M
2	Benefit End Date	M
3	Category Code	M
3	Subcategory Code	M
3	Benefit Quantity	M

```
<s:Envelope xmlns:s="http://www.w3.org/2003/05/soap-envelope" xmlns:a="http://www.w3.org/2005/08/addressing">
<s:Header>
        <a:Action s:mustUnderstand="1">http://tempuri.org/ISimple/AdjustBenefits</a:Action>
         <a:MessageID>urn:uuid:b421bfcf-fc4a-4f6a-9d61-06e86535d026</a:MessageID>
        <a:ReplyTo> <a:Address>http://www.w3.org/2005/08/addressing/anonymous</a:Address> </a:ReplyTo>
         <a:To s:mustUnderstand="1">http://localhost:8000/SimpleService/Endpoint</a:To>
</s:Header>
 <s:Body> <AdjustBenefits xmlns="http://tempuri.org/">
        <coreRequest xmlns:b="owe" xmlns:i="http://www.w3.org/2001/XMLSchema-instance">
                <b:ClinicID>C110</b:ClinicID>
                <b:TraceNumber>1235</b:TraceNumber>
                <b:UserID>zowie</b:UserID>
                <b:WICAuthorityID>7</b:WICAuthorityID>
        </coreRequest>
        <householdID>H1</householdID>
        <IsCredit>1</IsCredit>
        <ReasonCode>14</ReasonCode>
        <BeginDate>10/1/2009</BeginDate>
        <EndDate>10/31/2009</EndDate>
        <Benefit>
                <Cat>51</Cat>
                <SubCat>001</SubCat>
                <Qty>3</Qty>
```

```
                </Benefit>
                <Benefit>
                        <Cat>03</Cat>
                        <SubCat>000</SubCat>
                        <Qty>1</Qty>
                </Benefit>
                </AddEBAForHousehold>
        </s:Body>
        </s:Envelope>
```

3.1.3. Michigan-Food Benefit Transaction

Field #	Position	Description	Length	Type
1	1-1	Begin Tag	1	X (Hex)
2	2-5	Message Type (Transaction Code)	4	X
3	6-9	Function Code	4	X
4	10-13	Message Priority	4	X
5	14-29	Message Origin	16	X
6	30-45	Message Timestamp	16	9
7	46-61	Routing Information	16	X
8	62-81	EPPIC™ Host Data	20	X
9	82-85	Return Code (Response Code)	4	X
10	86-101	User Information	16	X
11	102-131	Unique Message ID	30	X
12	132-147	Filler	16	X
13	148-149	Action Code	2	X
14	150-155	Benefit Type	6	X
15	156-170	Unique ID (WIC Family ID)	15	9
16	171-178	Starting Date	8	9
17	179-186	Expiration Date	8	9
18	187-206	Unique Benefit Issuance Number	20	X
19	207-210	WIC Clinic ID	4	X
20	211-212	Number of Rx Items	2	X
21	213-512	Food Benefit Items	300	9
22	513-537	Reserved for State	25	X
23	538-560	Filler	23	X
24	561-564	Reserved for EPPIC™	4	X
25	565-565	End Tag	1	X (Hex)

3.1.4. Wyoming-Issue Benefits

```
Public Function IssueBenefits(
                ByVal UserName As String,
                ByVal Benefits As CRIS.Benefits) As CrisResult


Public Class Benefits
        Public Property FamilyID() As Long
        Public Property BenefitPeriods() As Benefit()
End Class

Public Class Benefit
        Public Property ClinicID() As Integer
        Public Property UniqueID() As String
        Public Property StartDate() As Date
```

```
            Public Property EndDate() As Date
            Public Property Foods() As Food()
    End Class

    Public Class Food
            Public Property Category() As Integer
            Public Property SubCategory() As Integer
            Public Property Quantity() As Decimal
    End Class
```

```xml
<?xml version="1.0" encoding="utf-8"?>
<wsdl:definitions xmlns:http="http://schemas.xmlsoap.org/wsdl/http/"
  xmlns: soap="http://schemas.xmlsoap.org/wsdl/soap/">
 <wsdl:types>
   <s:schema elementFormDefault="qualified" targetNamespace="http://www.carroll-kron.com/CRIS">
    <s:element name="Benefits">
     <s:complexType>
      <s:sequence>
       <s:element minOccurs="1" maxOccurs="1" name="FamilyID" type="s:long" />
       <s:element minOccurs="0" maxOccurs="1" name="Benefit" type="s:complexType" />
      </s:sequence>
     </s:complexType>
    </s:element>
    <s:element name="Benefit">
    <s:complexType>
     <s:sequence>
      <s:element minOccurs="1" maxOccurs="1" name="UniqueID" type="s:string" />
      <s:element minOccurs="0" maxOccurs="1" name="ClinicID" type="s:string" />
      <s:element minOccurs="0" maxOccurs="1" name="StartDate" type="s:dateTime" />
      <s:element minOccurs="0" maxOccurs="1" name="EndDate" type="s:dateTime" />
      <s:element minOccurs="0" maxOccurs="1" name="Food" type="s:complexType" />
     </s:sequence>
    </s:complexType>
    <s:element name="Food">
     <s:complexType>
      <s:sequence>
       <s:element minOccurs="1" maxOccurs="1" name="Category" type="s:long" />
       <s:element minOccurs="1" maxOccurs="1" name="Subcategory" type="s:long" />
       <s:element minOccurs="1" maxOccurs="1" name="Quantity" type="s:decimal" />
      </s:sequence>
     </s:complexType>
    </s:element>
    <wsdl:message name="IssueBenefits">
    <wsdl:part name="parameters" element="tns:Username" />
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   <wsdl:port name="CRISSoap" binding="tns:CRISSoap">
    <soap:address location="http://localhost/CRIS/CRISService.asmx" />
   </wsdl:port>
  </wsdl:service>
</wsdl:definitions>
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Operating Rules

Women, Infants and Children (WIC)

Electronic Benefits Transfer (EBT)

Draft for publication

Publication Date:
12/21/2010

Contents

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Foreword

The Special Supplemental Nutritional Program for Women, Infants and Children (WIC) provides nutritious foods, nutrition education and referrals to health and other social services to WIC Participants at no charge. WIC serves low-income pregnant, postpartum and breastfeeding women, and infants and children to age 5 who are at nutrition risk.

WIC is a Federal grant program for which Congress authorizes a specific amount of funding each year for program operations. The Food and Nutrition Service (FNS), which administers the program at the Federal level, provides these funds to WIC State Agencies to pay for WIC foods, nutrition education and administrative costs.

The Program is available in all 50 States, 34 Indian Tribal Organizations (ITOs), America Samoa, District of Columbia, Guam, the Commonwealth of the Northern Marianas Islands, Puerto Rico and the Virgin Islands. These 90 WIC State agencies administer the Program through numerous local agencies and clinic sites.

Electronic Benefits Transfer (EBT) development has been a key long-term goal of FNS and of the WIC Program. Under EBT, an electronic system replaces paper checks or vouchers with a card that can be used at the Point of Sale (POS). The challenge was finding technological solutions that were both affordable and met the functional needs of a relatively complex nutrition program. As a cornerstone of the initiative to pursue an EBT solution, FNS developed a Strategic Plan to address this challenge.

FNS supports both Smart Card and Online WIC EBT technologies.

This document reflects the Operating Rules for WIC EBT in the Smart Card and Online EBT environment.

Suggestions for the improvement or revision of this document are welcome. They should be sent to:

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Food and Nutrition Service
3101 Park Center Drive
Alexandria, Virginia 22302
or email: WICEBTMIS@fns.usda.gov.

Copies of this document and revisions may be obtained from the address above.

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Document history

Version	Revision Date	Updates
Draft 1.0	11/02/2009	Original draft publication
Draft 2.0	11/23/2009	Incorporates initial FNS review (E. McBride)
Draft 3.0	12/04/2009	Incorporates FNS final review and the recommendations from resolved issues; First version released for review to workgroup
Draft 4.0	2/23/2010	Incorporates comments received on Draft 3.0
Draft 4.1	3/31/2010	Incorporates comments from FNS review
Draft 4.2	4/01/2010	Version sent for review to distribution list
Draft 5.0	7/3/2010	Incorporates comments on Draft 4.2; pre-publication
Draft for Publication	12/21/2010	Incorporates comments from conference calls and FNS review

Note to readers of this document

Section A – WIC EBT Features provides an introduction and overview of WIC EBT and is not a part of the Operating Rules.

Terminology used in this document is consistent with terms in common use within the commercial sector and with definitions used in the WIC Program rules. Readers of this document are encouraged to review the definitions in Annex A.1. Wherever a term is capitalized in the document it shall have the meaning defined in Annex A.1.

You can return to the original location of any link in the document (e.g., such as those in the Table of Contents) by holding the ALT key and clicking the left-arrow key.

Introduction

A. WIC EBT features

WIC benefits are authorized through local WIC clinics and provided to WIC Cardholders in a prescription format that allows only specific food items to be redeemed within a benefit month. Electronic Benefits Transfer (EBT) in the WIC Program allows WIC Cardholders to receive a WIC EBT Card in their clinic, select a Personal Identification Number (PIN) and purchase their authorized foods from WIC Vendors equipped to accept the WIC EBT Card.

The WIC State Agency enters into agreements with WIC Vendors in their area to participate in the WIC EBT Program and provide specific WIC authorized food items for purchase by WIC Cardholders. The WIC State Agency provides WIC Vendors with a list of authorized food products called the Authorized Product List (APL).

The Authorized Product List (APL) is an electronic file of all Universal Product Codes (UPCs) and Price Look Up codes (PLUs) authorized by a WIC State Agency. In the APL, each food item is uniquely identified by a specific Food Category, Food Sub-Category, quantity of benefits and benefit description. See Section 11 for details of the APL.

In order to redeem benefits, the WIC Cardholder uses the WIC Participant's WIC EBT Card to purchase authorized food items at authorized WIC Vendors.

A.1 Financial transaction processing entities

WIC EBT operates in the financial transaction processing environment which supports various payment types such as debit, credit, EBT and paper checks or cash. In this environment are the following entities:

a) WIC Cardholder. The WIC Cardholder is an individual authorized to use the WIC Participant's family WIC EBT Card.

b) WIC Vendor. The WIC Vendor is a retail merchant authorized to provide WIC authorized food products for purchase by WIC Cardholders. When used in these Operating Rules, this term refers to the WIC Vendor or its agent.

c) Acquirer. The Acquirer is a processing entity that electronically acquires transaction information and/or files from the WIC Vendor and sends them to the Card Issuer, the EBT Card Issuer Processor or a Third Party.

d) Card Issuer. The Card Issuer is a WIC State Agency (or its processing agent) that issues the WIC EBT Card to the WIC Cardholder. When used in these Operating Rules, this term refers to the Card Issuer or its processing agent.

e) EBT Card Issuer Processor. The EBT Card Issuer Processor provides processing services to the Card Issuer. When used in these Operating Rules, this term refers to the EBT Card Issuer Processor or its agent.

f) Third Party Processor. A Third Party Processor provides transaction processing services on behalf of the WIC Vendor, Acquirer or EBT Card Issuer Processor.

See Figure 1 for the interfaces between these financial transaction processing entities.
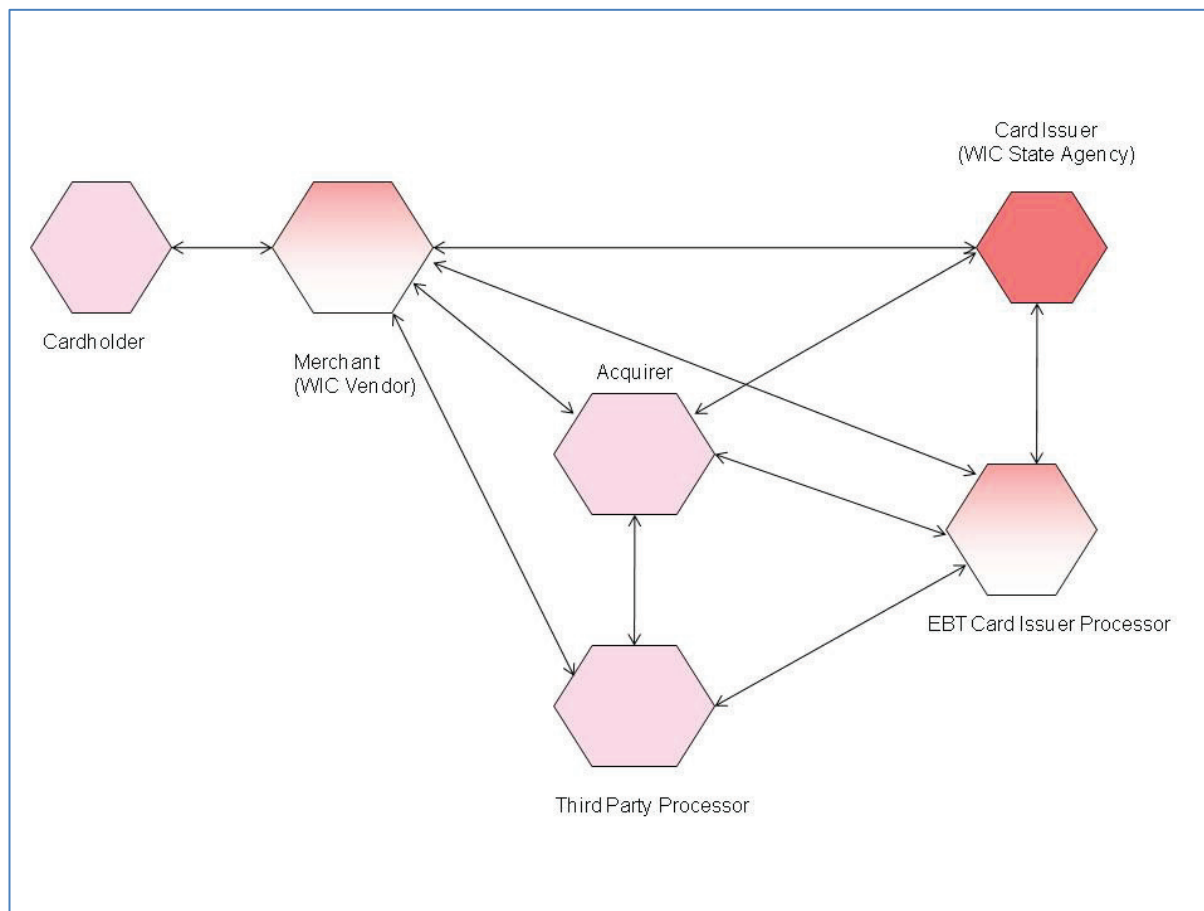
Figure 1 Financial Transaction Entities

A.2 WIC EBT processing overview

WIC EBT processing refers to the sequence of events that occur when a WIC Cardholder makes a purchase with their WIC EBT Card to obtain WIC benefits at an authorized WIC Vendor.   When presented in the checkout lane, the WIC EBT Card allows the point of sale to obtain the Prescription benefit balance associated with the WIC EBT Card to start the WIC purchase.   A food item UPC or PLU is scanned; the WIC Vendor system matches the UPC or PLU against the list of WIC food items identified in the APL provided by the WIC State Agency to obtain the Category and Sub-category for the food item. The WIC Vendor's system then matches the Category and Sub-category of the scanned food items against the remaining WIC food balance associated with the WIC EBT Card.

WIC EBT may be operated using either Online EBT Processing or Smart Card EBT Processing. See Annex B.1 Appendix AB.1for a comparison of Smart Card EBT and Online EBT.

A.2.1   Online EBT processing

Online EBT is the processing option where the WIC transaction is completed in real-time through messages sent from the WIC Vendor to the Acquirer then to the EBT Card Issuer Processor and back. See Figure 2.

WIC EBT
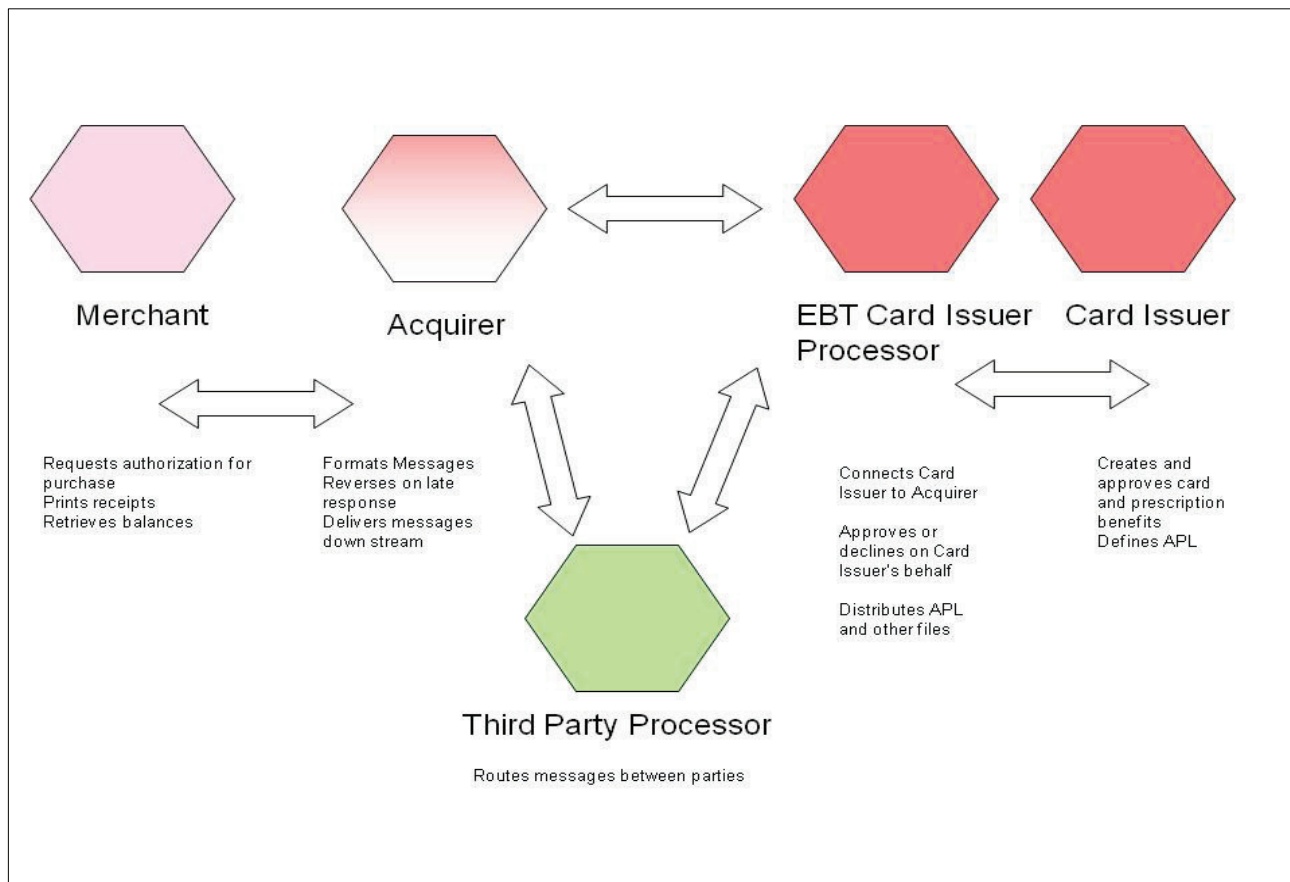
Figure 2 Online EBT processing

A.2.1.1   Online EBT transaction processing

Online EBT transaction processing uses a payment card that has a magnetic stripe to perform a series of real-time transactions between the card acceptor device (CAD) at the WIC Vendor and the EBT Card Issuer Processor to approve the WIC transaction. The WIC Cardholder's benefit balance is obtained from the EBT Card Issuer Processor using the card number and a valid PIN. The card number links to an account that contains the Prescription benefit balance. The WIC Cardholder presents food items for purchase and these food items are compared with the APL at the WIC Vendor for the appropriate Card Issuer. Authorized food items are then compared to the Prescription benefit balance to determine the available benefits. Food items approved in an EBT purchase transaction are subtracted from the Prescription benefit balance and the amount of the sale and the list of foods being purchased is submitted for payment.

The only exception to real-time processing in Online EBT transaction processing is the use of a Store and Forward transaction or Manual Voucher that is manually authorized via phone in the event of a system outage. See Section 4.7.8.2 for details.

A.2.1.2   Online WIC EBT Card validation

A card status is maintained at the EBT Card Issuer Processor by the WIC State Agency for any WIC EBT Cards that are reported lost or stolen and the transaction will be denied for a card that is not active.

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A.2.1.3 Online EBT APL handling

Updates to the APL are made by the WIC State Agency. The updated APL may be retrieved by the WIC Vendor in a batch mode from the EBT Card Issuer Processor. Optionally, updates may be provided by the exchange of real-time messages between the WIC Vendor and the EBT Card Issuer Processor.

A.2.1.4 Online EBT reconciliation and settlement

To reconcile and settle completed transactions, approved purchases are totaled by the EBT Card Issuer Processor at the end of each Processing Day and a WIC Auto-Reconciliation file and an ACH payment file are created. The WIC Auto-reconciliation file is sent to the WIC Vendor or their agent.

Based on the ACH payment file, funds are deposited to the designated financial institution that holds the settlement account for the WIC Vendor. See Section 12.

A.2.2 Smart Card EBT processing

Smart Card processing uses a payment card that has a computer chip embedded on the card; commonly referred to as a smart card. All transactions are processed between the smart card and the smart card reader in conjunction with the WIC Vendor's system using the WIC State Agency's APL at the POS and the Prescription benefit stored on the chip. See Figure 3 Smart Card EBT processing.
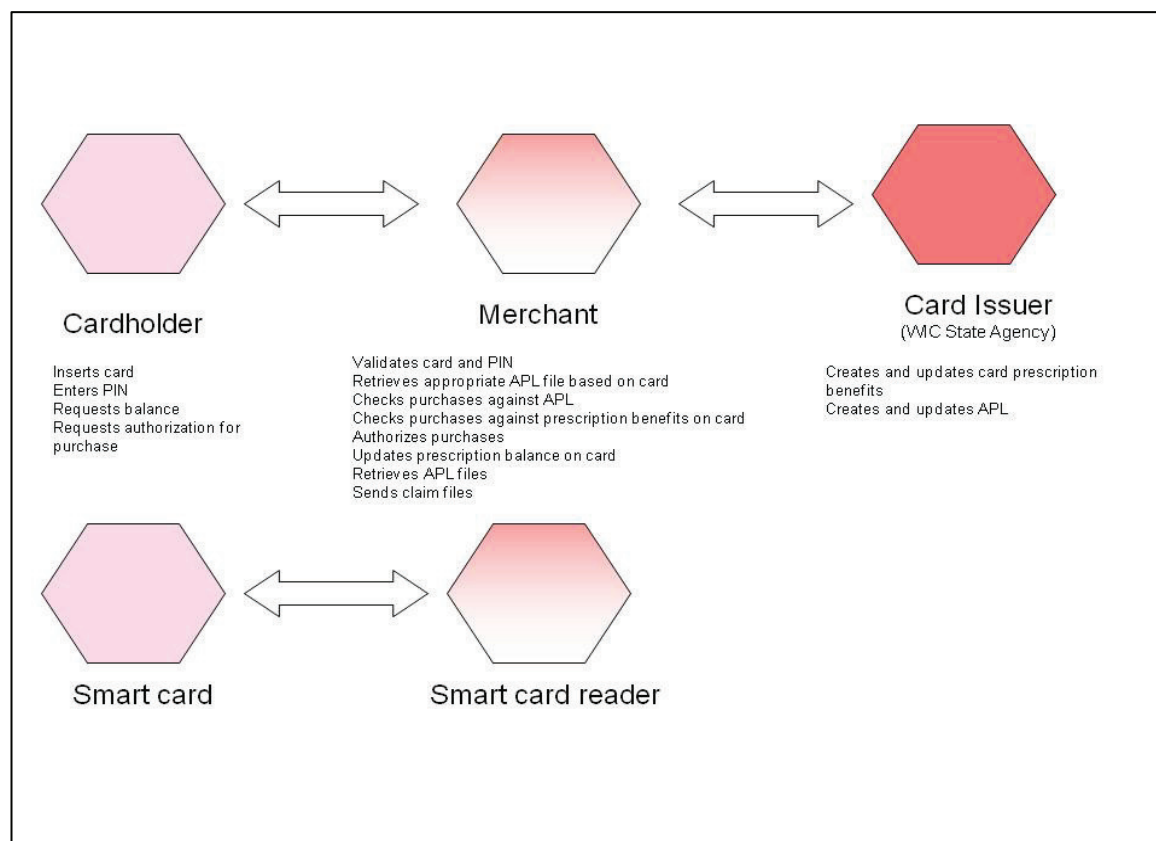
Figure 3 Smart Card EBT processing

A.2.2.1 Smart Card EBT transaction processing

Smart Card EBT processing accesses the chip to determine the validity of the account, the benefits available on the WIC EBT Card and, using the BIN derived from the PAN, the APL to be referenced. The WIC Cardholder presents food items for purchase and these food items are compared with the APL for the appropriate WIC State Agency stored in the WIC Vendor's system. Authorized food items are then compared to the Prescription benefit balance on the WIC EBT Card to determine the available benefits. Sold food items are decremented from the Prescription benefit balance and the WIC EBT Card is updated at the POS. Completed transactions are submitted in a batch file to the EBT Card Issuer Processor or Card Issuer for settlement.

A.2.2.2 Smart Card WIC EBT Card validation

When the WIC Cardholder inserts the WIC EBT Card into the smart card reader and enters the PIN, the card account number is validated against the Hot Card List (HCL) file in the WIC Vendor's system. If the card account number is on the Hot Card List, the transaction may be denied depending on the information on the Hot Card List.

The Hot Card List replacement file is updated by the WIC State Agency and made available for WIC Vendors and their Acquirers at the WIC State Agency's data retrieval site for download and application to the WIC Vendor's system.

A.2.2.3 Smart Card EBT APL handling

Updates to the APL are made by the WIC State Agency. The updated APL may be retrieved by the WIC Vendor or their agent at the WIC State Agency's data retrieval site for download and application to the WIC Vendor's system.

A.2.2.4 Smart Card EBT reconciliation and settlement

To reconcile and settle completed transactions, approved purchases are totaled by the WIC Vendor or their agent at the end of each Processing Day and a WIC Claim File is created and submitted to the WIC State Agency for payment.

The WIC State Agency will validate the WIC Claim File, create the WIC Auto-Reconciliation file and will request an ACH payment file for valid transactions be generated by the financial entity responsible for payment. The ACH payment file is submitted to the WIC State Agency's settlement bank. Funds are deposited to the WIC Vendor's account at their settlement bank. The WIC State Agency returns a WIC Auto-Reconciliation File to the WIC Vendor that enables the WIC Vendor to reconcile transactions.

WIC EBT Operating Rules

1   Scope and purpose

This document provides a framework for the initiation and continuing operation of a WIC EBT program by defining the operating rules for those entities participating in the program; WIC Authorities (States, Indian Tribal Organizations, District of Columbia, and U.S. territories), WIC Cardholders, retail system vendors, WIC Vendors, Acquirers and the Processors for these entities. It lays the groundwork to provide services consistently regardless of the Processor or the location of the WIC Vendor. The Operating Rules are modeled after operating rules used by debit, ATM and credit card payment networks.

The Operating Rules apply to all variations of WIC EBT processing and environments. Operating rules define the environment of WIC transactions and give a framework for mitigating errors and assigning liabilities. The Operating Rules define the responsibilities of each person or company that becomes involved in handling a WIC EBT transaction. This includes the cardholder (WIC Participant), the WIC Vendor, the WIC Vendor's cash register and payment providers, (Acquirer, software and others), any third party involved in switching or associated services, the EBT Card Issuer Processor, WIC State Agencies and the banks where funds are paid and deposited for successful WIC purchases. Not all of these participants will become involved in every situation.

The Operating Rules focus on the benefit redemption portion of WIC EBT and do not address the WIC State Agency clinic operations.

Where WIC EBT is not implemented, WIC transactions are processed using paper vouchers or checks (food instruments) issued for the WIC Participant from the WIC Clinic. The issuance, processing and settlement procedures followed in the paper environment are not addressed in this document.

2   WIC EBT program

2.1   Governance

WIC Legislative Requirements are contained in Section 17 of the Child Nutrition Act of 1966.

WIC Regulations are published by the Federal Register in the Code of Federal Regulations, 7 CFR Part 246. Specifics of EBT are found in the Definitions and in Section 246.12(a) and (g). The CFR is updated annually with an effective date as of January 1 each year. Individual rules are published throughout the year with specific effective dates. The CFR, in print or online, represents updates as of January and will not include changes which have been subsequently published. Current, proposed and final regulations are also located at www.fns.usda.gov.

Policy memos and Guidance are provided by FNS on an ongoing basis. All WIC EBT transactions must comply with these regulations, policies and guidelines.

2.2 Maintenance of operating rules

These Operating Rules shall be updated from time to time as deemed necessary by FNS. Changes to the Operating Rules shall be released as dated updates and will specify:

a) the change to be made, referenced by Section, paragraph and sub-paragraph as necessary,

b) the effective date of the change,

c) the affected parties,

d) any certification or testing requirements for implementation of the change.

Updates will be incorporated into regular revisions of the Operating Rules which are published and made available by FNS.

2.3 Compliance

WIC State Agencies now operating WIC EBT systems shall have 5 years from the date these rules are accepted to bring their systems into compliance unless specifically granted additional time by FNS. New WIC EBT systems implemented by WIC State Agencies shall comply with these Operating Rules.

2.4 Consequences of non-compliance

Card Issuers, WIC Vendors, Acquirers and the Processors for these entities that are found to not be in compliance with these Operating Rules shall be notified by FNS sending a compliance memo stating the area of non-compliance, explaining how the offending entity may correct the problems, and request them to provide a schedule for resolution. If the problems continue after the deadline lapses, the entity shall be disqualified or suspended.

2.5 Confidentiality

The confidentiality of WIC Participant and WIC Vendor information must be protected to the extent required by §246.26 of the Federal WIC regulations (7 CFR Part 246).

3 Acquirer requirements

The Acquirer is a processing entity that electronically acquires transaction information and/or files from the WIC Vendor and sends them to the Card Issuer, the EBT Card Issuer Processor or a Third Party.

A WIC Vendor may have a contractual agreement with an Acquirer to provide CAD device support, transaction and file processing, software support, security management, telecommunication connectivity, reporting and other support in Online or Smart Card WIC EBT environments.

The Acquirer routes transactions to and exchanges files directly with the Card Issuer or they may be sent through a Third Party Processor.

In some instances, such as with large national or regional retail chains and Smart Card EBT, the WIC Vendor may directly connect to the Card Issuer and act as their own Acquirer.

These Acquirer requirements shall apply to whatever entity is acting as the Acquirer.

3.1   Acquirer processing standards

Processing standards enforce a level of service for the WIC EBT processing environment as a whole so that consistent service is provided regardless of the technology utilized or the entities involved. Processing standards are established by FNS in cooperation with WIC EBT entities. The following is a list of the processing standards for Acquirers which shall be incorporated in contractual agreements with the Acquirer or the WIC Vendor that acts as their own Acquirer.

a)   Acquirer shall maintain the necessary computer hardware and software to interface directly with data processing facilities required to accommodate transaction and file processing.

b)   Acquirer's processing system shall be available 7 days a week, 24 hours a day for transaction processing except for scheduled downtime which shall not exceed two (2) hours per month.

c)   No more than two (2) in every 10,000 transactions processed by an Acquirer's processing system shall lead to an adjustment resulting from Acquirer error.

d)   Acquirer shall provide Customer Support regarding their EBT transactions for the WIC Vendors they service 7 days a week during business hours unless other timeframes are agreed upon by the WIC Vendor.

e)   Acquirer shall ensure that Card Acceptor Devices (CADs) it owns, operates, controls, or for which it has signed an agreement to accept transactions, shall operate and support transactions in accordance with these Operating Rules.

f)   Acquirer shall supply the WIC Vendor identification information in all agreements and according to technical processing standards.

3.2   Third Party Processor requirements

Third party processors may provide services to Acquirers or WIC Vendors. Third party processors shall comply with these Operating Rules where they act as the agent of one or more of the parties to WIC EBT processing.

4   WIC Vendor requirements

A WIC Vendor is the WIC retail vendor location that provides authorized WIC food items under an Authorized WIC Vendor Agreement (also known as the WIC retail vendor agreement) with a WIC State Agency. Following are the types of WIC Vendors and the WIC Vendor requirements.

4.1   WIC outlet types

WIC Vendors authorized for WIC redemption sell the food items available in the Prescription benefit. Some WIC Vendors may sell a limited number of the WIC authorized food items.   Following is a list of the types of WIC

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outlets that may be authorized by WIC State Agencies to accept WIC EBT Cards. A WIC State Agency may authorize some or all of these types.

a) WIC retail vendor – a sole proprietorship, partnership, cooperative association, corporation, or other business entity operating one or more stores authorized by the WIC State Agency to provide authorized WIC food items to WIC participants under a retail food delivery system.

b) Farmers' Market – individual farmers who may be authorized to sell eligible fruits and vegetables to WIC Participants at a Farmers' market or roadside stands as defined in 7 CFR 246.12 (v). A farmer at a Farmers' Market shall accept the Cash Value Benefits (CVB) only. A farmer at a Farmers' Market shall not be required to meet minimum food stock requirements.

c) Pharmacy - Pharmacies may be authorized for WIC-eligible medical foods or Exempt infant formula only.

d) Commissary – a WIC Vendor located on a U.S. military facility.

e) Home food delivery systems – systems in which authorized foods are delivered to the WIC participant's home as defined in 7 CFR 246.12 (m).

f) Direct distribution food delivery systems – a WIC food distributor of specialty formula and other WIC authorized food items as defined in 7 CFR 246.12 (n).

g) Above-50-percent vendor – a WIC retail vendor that obtains more than 50 percent of its food revenue from WIC sales.

4.2   Authorized WIC Vendor agreement

An Authorized WIC Vendor Agreement between the WIC State Agency and a WIC Vendor shall meet the requirements of this section which complement existing WIC Vendor Agreement requirements contained in WIC regulations at 7 CFR 246.12. See Annex B.3 for a sample Authorized WIC Vendor Agreement.

a) A WIC Vendor shall have an Authorized WIC Vendor Agreement with the WIC State Agency and operate a certified system implementation prior to accepting WIC EBT Cards for purchase.

b) A WIC Vendor may have an Authorized WIC Vendor Agreement with more than one WIC State Agency and therefore, accept WIC EBT Cards issued by more than one WIC State Agency.

c) The Authorized WIC Vendor Agreement shall reference these Operating Rules, as amended from time to time, and shall require the WIC Vendor to comply with these Operating Rules.

d) A WIC State Agency shall amend any existing WIC Vendor Agreement to comply with these Operating Rules by the time a WIC State Agency begins issuance of EBT cards to WIC Participants or upon agreement with FNS for WIC State Agencies operating prior to the publication of these Operating Rules.

4.3   Other WIC Vendor agreements

A WIC Vendor that utilizes an Acquirer or a Third Party Processor shall incorporate the requirements of Section 4.2 into agreements with those parties.

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4.4 WIC Vendor card acceptance

A WIC Vendor shall accept the WIC EBT Cards of the WIC State Agencies for which they are authorized. Following are the rules for card acceptance.

a) The WIC EBT Card must be presented at the time of purchase.

b) For Online EBT, the WIC EBT Card number may be key-entered from a magnetic stripe card if the card read fails.

c) For home food delivery systems, the WIC EBT Card shall be accepted according to the specific requirements of the WIC State Agency as approved by FNS.

4.5 WIC Vendor signage

The WIC Vendor shall comply with the signage requirements as follows:

a) WIC Vendors shall display a sign that reflects the WIC EBT Card design for the WIC State Agency if required by the WIC State Agency.

b) WIC Vendors may display a sign stating "WIC Accepted Here" and utilize the WIC logo developed by the WIC State Agency if permitted by the WIC State Agency in accordance with FNS WIC Policy Memorandum 2009-1 and FNS Instruction 800-2.

c) WIC Vendors may display a shelf tag to identify WIC food items if permitted by the WIC State Agency and consistent with FNS WIC Policy Memorandum 2009-1 and FNS Instruction 800-2.

d) WIC Vendors may use the State WIC EBT Card design or logo to identify checkout lanes that accept WIC EBT Cards in a manner consistent with lane identifiers for other payment types.

e) WIC Cardholders shall not be restricted to a single lane of those lanes equipped to accept WIC EBT Card.

f) The use of the 'WIC' abbreviation and logo are trademarks of the Food and Nutrition Service (FNS). Use of the term 'WIC' is restricted for other purposes by for-profit entities.

4.6 WIC Vendor transaction processing requirements

Following are the rules that shall apply to transaction processing by a WIC Vendor.

a) A WIC Vendor shall establish a direct or indirect telecommunications connection for the routing of transactions and exchange of files with the Card Issuer or the Card Issuer's EBT Card Issuer Processor. The WIC Vendor may choose to use an Acquirer or Third Party Processor directly or indirectly connected to the Card Issuer for this purpose.

b) A WIC Vendor or its Acquirer shall support EBT Online or EBT Smart Card processing as required by their Authorized WIC Vendor Agreement(s).

c) A WIC Vendor or its Acquirer using EBT Online processing shall conform to the *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 1:Messages, 2008* (and future updates) for

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message processing as defined in the WIC Technical Implementation Guidelines when presenting transaction to the Card Issuer.

d) A WIC Vendor or its Acquirer using EBT Smart Card processing shall conform to the X9.108 standard processing.

e) A WIC Vendor or its Acquirer shall conform to the *X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files, 2008* (and future updates) standard for file processing as defined in the WIC Technical Implementation Guidelines.

f) A WIC Vendor shall be identified by the unique WIC Vendor identification information assigned by the WIC State Agency. The WIC Vendor shall also be identified by their store name and address on receipts provided by the WIC Vendor.

g) Additional processing requirements are defined in the following sections.

4.6.1 Minimum transaction set

The WIC Vendor or its Acquirer shall, at minimum, support the following types of transactions:

a) Balance Inquiry – to provide the WIC Cardholder with a shopping list and/or to retrieve the balance of the Prescription benefit prior to beginning a purchase.

b) Purchase – to authorize and complete a sale. For Smart Card EBT, an attempt to complete a sale shall also be supported and submitted in the WIC Claim File.

c) Reversal – to partially or completely nullify the effects of a previous Purchase transaction and add benefits back to the WIC Participant's Prescription benefit because the Purchase transaction cannot be processed as instructed.

d) Void – to cancel a previously authorized and completed transaction, resulting in a Reversal. See Section 4.7.8.3.

e) In Online EBT only:

1) Voucher clear – to submit Manual Vouchers.

2) The Card Issuer shall, in addition, support the store and forward purchase transaction (see Section 9.4) which may be used by the WIC Vendor to complete a transaction if the Card Issuer cannot be accessed to complete a Purchase transaction.

4.6.2 Transaction data content

WIC Vendors shall conform to the following transaction data content requirements:

a) Transaction date and time shall be:

1) for Online EBT transactions, the local date and time the Purchase transaction is approved at the EBT Card Issuer Processor's system, adjusted to the local date and time at the WIC Vendor location.

2) for Smart Card EBT transactions, the local date and time of authentication attempt between the CAD and the WIC EBT Card at the time of purchase initiation.

b) Transaction currency - All transactions shall be settled in U.S. dollar currency only. The use of any other currency shall be approved by FNS before any development or contractual agreements are initiated.

4.6.3 Transaction data retention

Information from WIC EBT transactions and files shall be retained by the WIC Vendor or their agent for a minimum of 120 days from the date of the transaction or the transmission date of the file. Information for a disputed transaction shall be retained by the WIC Vendor or their agent until the dispute is resolved or 120 days, whichever is longer.

4.7 Lane operations

In the checkout lane of the WIC Vendor the rules in this section shall apply.

4.7.1 General lane operations

The following rules apply to general lane operations.

a) The WIC Vendor shall support a balance inquiry capability on demand; either in the checkout lane or at a separate CAD so that the WIC Cardholder may check the available Prescription benefit balance and use it as a shopping list.

b) No minimum purchase amounts or quantities shall be required of the WIC Cardholder.

c) The maximum number of different food items as identified by a unique UPC or PLU that can be purchased at one time is:

1) in Online EBT, 50 different food items because of message size limitations.

2) In Smart Card EBT, the maximum number of different food items may be restricted to 254 unique UPCs per transaction.

4.7.2 Non-CVB Prescription benefit redemption

To redeem Prescription benefits for non-CVB WIC food items, a scanned or keyed UPC is matched to an eligible food item in the Prescription benefit. Food items are listed in the APL by Food Category and Food Sub-Category with the associated UPC. A Food Category identifies a general food group, i.e., milk, bread, etc. A Food Sub-Category with a value greater than "000" identifies a particular type of the food within the Food Category, i.e., skim milk, whole milk, lactose free milk, etc. The Food Sub-Category value of "000" within a Food Category is called the Broadband Food Sub-Category.

Following are the rules for redeeming Prescription benefits by Food Category and Food Sub-Category.

a) WIC Vendors shall redeem available Prescription benefits from the Food Sub-Categories with values greater than "000" before redeeming benefits from the Broadband Food Sub-Categories.

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b)   If a food item is allowed to use a Broadband Food Sub-Category, then the food item may be redeemed with the units remaining in the Broadband Food Sub-Category once all units in the specified Food Sub-Category have been decremented.

c)   The purchase quantity redeemed from the WIC participant benefits shall be obtained from the benefit quantity associated with the UPC in the APL.

d)   In Online EBT only, a single WIC food item may be redeemed in part from a Food Sub-Category and in part from the Broadband Food-Sub-Category.

See Annex B.4 for examples of possible redemption strategies.

4.7.2.1   Non-CVB Prescription benefit and split tender

Split tender for non-CVB Prescription benefit purchases refers to a single Prescription benefit food item being redeemed in part using the Prescription benefits and in part using one or more additional methods of payment. Split tender shall not be used for Non-CVB Prescription benefit purchases.

4.7.3   Cash value benefit (CVB) redemption

CVB food items are any fresh fruits and vegetables not specifically excluded and, at the option of the WIC State Agency, canned, dried and/or frozen fruits and vegetables meeting WIC nutritional guidelines.

Note: See http://www.fns.usda.gov/wic/benefitsandservices/foodpkg for a complete description of the WIC food package.

The Cash Value Benefit (CVB) provides the WIC Cardholder with a cash amount of benefits for the purchase of authorized CVB food items.

Following are the rules for CVB redemption:

a)   The WIC State Agency shall allow WIC Cardholders to use their CVB to purchase any fresh fruit or vegetable not specifically excluded by regulations, whether packaged in bulk or sold as individual food items.

b)   The WIC State Agency may allow WIC Cardholders to use their CVB to purchase frozen, canned and/or dried fruits or vegetables.

c)   CVB shall not be used to purchase other WIC prescribed food items.

d)   WIC Cardholders shall not be given cash or credit for any unused portion of the CVB.

e)   The WIC Vendor shall record and report the WIC authorized UPC or PLU and the cash value of the UPC or PLU purchased, including the generic FNS designated CVB food item PLU 4469.

f)   The WIC Vendor shall not be required to record, track or report the weight or the number of individual fruit and vegetable food items (package, bulk or individual) purchased with the CVB.

g)   The benefit quantity of a WIC CVB item redeemed shall be the number of pennies in the purchase price.

h)   CVB food items shall not be subject to WIC NTE policy and other Cost Containment policies.

4.7.3.1   CVB and split tender

CVB Split tender refers to a single CVB food item being redeemed in part using CVB and in part using one or more additional methods of payment. Following are the rules for CVB split tender processing.

a)   WIC Vendors shall support the capability to perform split tender processing for CVB.

b)   When the CVB purchase amount exceeds the CVB amount available, the WIC Vendor shall allow the WIC Cardholder to pay the difference with an alternate method of payment.

c)   If the WIC Cardholder does not have an alternate method of payment, the sale of the single CVB food item may be reversed or voided and the CVB amount restored to the account.

4.7.4   Mixed basket

A mixed basket refers to the ability of the WIC Cardholder to purchase both WIC and non-WIC foods without separating the food items prior to checkout into two separate transactions, WIC and non-WIC. The rules for mixed basket processing are described below.

a)   The mixed basket feature shall be a feature of all integrated system platforms.

b)   The WIC Vendor shall have the option to activate mixed basket processing in an integrated system platform.

c)   The WIC State Agency shall not limit the WIC Vendor from utilizing mixed basket.

d)   Benefits and funds shall be applied to the mixed basket purchases in order of the most restrictive benefit account to the least restrictive benefit account or payment type.

e)   When needed for processing the transaction, the order of precedence of payment for WIC food items that are eligible for redemption shall be WIC, then SNAP, then Temporary Assistance for Needy Families (TANF), then other forms of payment.

f)   The WIC Cardholder shall have the ability to confirm the WIC purchase quantities and amount prior to selection of additional methods of payment needed to complete the purchase.

g)   The WIC Cardholder shall be allowed to remove food items from being paid with WIC Prescription benefits that are identified as part of the WIC purchase confirmation.

4.7.5   Discounts and coupons

Discounts and coupons provide a greater quantity or lower price of a food item. The following rules apply to the use of discounts and coupons.

a)   Discounts and coupons may be applied to Prescription benefit purchases and CVB purchases. This reduces the amount due from the WIC State Agency to the WIC Vendor.

b)   Discounts and coupons shall be applied to the Purchase transaction prior to accepting payment from the WIC Cardholder.

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c)   The benefit of a quantity discount (e.g., buy one get one free) may accrue to the WIC Cardholder and shall not reduce the non-CVB Prescription benefit balance or the CVB balance amount.

d)   The benefit of a price discount shall accrue to the WIC State Agency (when the applicable food item is paid by the WIC State Agency) by reducing the total price paid by the WIC State Agency for the approved WIC food item.

e)   At the WIC Vendor's option, the value of the discount or coupon may be reflected in the transaction or transaction record as:

   1)   an amount netted from the cost of the food item, or

   2)   a separate total discount amount from the total purchase amount.

f)   Cash back is not recommended on WIC food items where the discounts or coupons applied to the WIC food items create a cash back balance. Cash back may be permitted only if all other customers of the WIC Vendor would receive cash back amount of less than $1.00.

g)   Manufacturer's coupons are discounts or coupons identified in print with the words 'manufacturer coupon', issued by a manufacturer, and for which a WIC Vendor may be reimbursed by a third party. Manufacturers' coupons shall follow the same rules as other coupons and discounts except when subject to sales tax, see Section 4.8.

Note: The use of discounts and coupons by Above-50-percent vendors requires approval WIC State Agencies, see 7 CRF 246.12 (g)(3)(iv)(A)(3).

The rules for processing WIC EBT transactions under the different types of discount and coupon promotions are described below.

4.7.5.1   Buy one, get one free

In this promotion, the WIC Vendor sells one authorized WIC food item and provides a second identical food item or a different food item at no additional cost. A "Buy one, get one free" promotion is a quantity discount. Following are the rules for this promotion.

a)   If the WIC Cardholder has one or more units or sufficient CVB balance that can be applied to the advertised food item available, only the value of the purchased food item shall be deducted from the Prescription benefit balance or CVB balance associated with the WIC EBT Card and the WIC Vendor shall provide the second food item free to the WIC Cardholder.

b)   The free food item shall not be deducted from the Prescription benefit balance or CVB balance associated with the WIC EBT Card nor shall it be reported to the WIC State Agency.

4.7.5.2   Buy one, get one at a reduced price

In this promotion, the WIC Vendor sells one authorized WIC food item at full price and sells a second identical authorized WIC food item or a different authorized WIC food item at a reduced price. A "Buy one, get one at a reduced price" promotion is a price discount. Following are the rules for this promotion.

a) If the WIC Cardholder has at least two of the food items in the Prescription benefit balance associated with the WIC EBT Card, then both food items shall be deducted from the Prescription benefit balance. WIC State Agency reimbursement shall be for the full price for the first food item and the reduced price for the second food item.

b) If the WIC Cardholder has only one unit of the food items in the Prescription benefit balance associated with the WIC EBT Card the unit shall be deducted from the Prescription benefit balance and cash or other payment shall be used to purchase the second food item at the reduced price. WIC State Agency reimbursement shall be for the full price for the first food item. The second food item is not reported to the WIC State Agency.

c) If the WIC Cardholder has a CVB balance for at least two of the food items in the CVB balance associated with the WIC EBT Card, the full price of one food item and the reduced price of the other food item shall be deducted from the CVB balance. WIC State Agency reimbursement shall be for the full price for the first food item and the reduced price for the second food item.

d) If the WIC Cardholder has a CVB balance available for one of the food items in the CVB balance associated with the WIC EBT Card, the amount of the food item shall be deducted from the CVB balance and cash or other payment shall be used to purchase the second food item at the reduced price. WIC State Agency reimbursement shall be for the full price for the first food item. The second food item is not reported to the WIC State Agency.

e) If the WIC Cardholder prefers to preserve WIC benefits and purchase the reduced price food item with cash or some other form of payment, the WIC Vendor shall allow that option.

4.7.5.3 Free ounces added to food item by manufacturer

Food manufacturers may add extra ounces to their products at no extra cost to the consumer. This promotion is a quantity discount. Following are the rules for handling this promotion.

a) WIC Cardholders may purchase authorized WIC food items that have bonus ounces added to the package. Any additional ounces included in the package shall not be deducted from the remaining EBT benefit balance, e.g., a standard 16 ounce box of cereal with 2 free ounces for a total 18 ounce box of cereal shall only result in 16 ounces being deducted from the benefit quantity.

b) Food items with "free "ounces" or "bonus packages" may have unique UPCs separate from the UPC of a standard package. The amount deducted from the food package when scanned at the WIC Vendor shall be obtained from the benefit quantity associated with this UPC in the APL.

c) The WIC State Agency shall maintain the accurate unit of measure and original benefit quantity associated with any UPCs in the APL that are associated with free or bonus quantities. If the WIC State Agency adds these UPCs to the APL, they shall record the original amount of ounces or packages in the item into the APL benefit quantity, not the total ounces or packages including any free or bonus amount. The package size on the APL shall reflect the total ounces or packages including any free or bonus amount for the item.

d) Free ounces or bonus packaging shall be stated on the product labeling.

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4.7.5.4 Transaction discounts

In this type of promotion, the WIC Vendor applies a discount percentage to the total dollar amount of the WIC and non-WIC food items purchased. For example, the offer may be for 10% off when $50 or more in groceries are purchased. A transaction discount promotion is a price discount on the total purchase. Following are the rules for this promotion.

a) Transaction discounts shall be applied first to any non-WIC food items, not exceeding the total amount due for those food items.

b) Any remaining discount after applying the discount to non-WIC food items shall be applied to the total amount of the WIC purchase, up to the total WIC purchase amount due.

4.7.5.5 Store/loyalty shopping cards

WIC Vendors may provide a card or token that provides additional discounts for the customer's use in the WIC Vendor location. Store/loyalty shopping cards may provide a variety of quantity and/or price discounts. Following are the rules for this promotion.

a) WIC Cardholders may use store/loyalty shopping cards when purchasing WIC food items.

b) By regulation, the WIC State Agency shall not require WIC Cardholders to sign up for and use such cards.

c) The WIC State Agency shall not require WIC Vendors to keep a shopping card available to use for all WIC Cardholder sales or to apply shopping cards discounts for WIC Cardholders, although the WIC Vendor may choose to do so.

d) The amount of any discount promotion available by using a store/loyalty shopping card shall be applied as described in Section 4.7.5.1 through Section 4.7.5.4 as applicable to the store/loyalty shopping card provisions.

4.7.6 Self-checkout

Some WIC Vendors may offer the ability for their customers to use unattended integrated POS systems to complete their purchases independently. This service is known as self-checkout. Following are the rules for self-checkout.

a) Self-checkout may be permitted at the WIC State Agency option.

b) WIC State Agencies may choose to certify WIC Vendors for self-checkout separately from other POS certifications.

4.7.7 Declined transactions

The purchase of WIC food items may be declined for several reasons. The following sections describe the actions that shall be taken for different declined transactions.

4.7.7.1 Declined food items

The following rules apply to WIC EBT Card purchases where a food item is declined.

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a)   A food item shall be declined for WIC EBT Card purchase if:

   1)   it is not an authorized WIC food item (not on the APL for the WIC EBT Card presented) or

   2)   it is not an available authorized WIC food item in the WIC Cardholder's Prescription benefit or

   3)   sufficient quantities of an authorized WIC food item are not available in the WIC Cardholder's Prescription benefit.

b)   The WIC Cardholder and/or the clerk shall be notified that the declined food item is not allowed for WIC or that the Prescription benefit balance is insufficient.

c)   The WIC Cardholder shall be offered the option by the WIC Vendor to pay for a declined food item with another form of payment or to not purchase the declined food item.

4.7.7.2   Invalid PIN

The following rules apply to WIC EBT Card purchases where an invalid PIN response is received.

a)   The WIC Vendor shall permit the WIC Cardholder to re-enter the PIN when an invalid PIN response is received at the point of sale.

b)   The WIC EBT Card purchase shall receive a decline response after the maximum number of unsuccessful PIN tries, as determined by the Card Issuer, is reached.

4.7.7.3   Invalid WIC EBT Card read

The following rules apply to WIC EBT Card purchases where an invalid WIC EBT card response is received.

a)   The WIC Vendor shall verify the CAD is functioning correctly and re-attempt the transaction.

b)   If the card read is still invalid after re-attempting the transaction,

   1)   for magnetic stripe read errors, perform a manually key-entered transaction (See 4.7.8.1) and

   2)   for smart card reader failure, attempt the purchase on another CAD or advise the WIC Cardholder to contact the WIC Clinic.

4.7.8   Exception handling

This section describes the process to be followed when an exception occurs during WIC EBT processing.

4.7.8.1   Manually key-entered transactions

Manually key-entered transactions allow the Primary Account Number (PAN) from the WIC EBT Card to be entered at the POS to complete the transaction when the WIC EBT Card cannot be read. Following are the rules for manually key-entered transactions.

a)   Manually key-entered transactions shall only be used for Online EBT transactions.

b)   Manually key-entered transactions shall only be completed when the WIC EBT Card is present.

c)   The 16 to 19 digit PAN from the WIC EBT Card shall be entered manually by the cashier (not the WIC Cardholder) and then the WIC Cardholder can enter the PIN.

4.7.8.2   Manual authorizations

A manual authorization permits a WIC transaction to be completed when the transaction is interrupted before being authorized. Following are the rules for obtaining manual authorizations and completing the transaction.

a)   Manual authorizations shall only be used in Online EBT processing.

b)   The WIC Vendor may choose to obtain manual authorization for a WIC purchase if supported by the WIC State Agency.

c)   Manual authorization shall only be permitted when the Card Issuer is unavailable to the CAD.

d)   A manually authorized transaction shall be completed within 5 Processing Days of the authorization:

1)   by submitting a paper Manual Voucher if approved for use by the WIC State Agency or

2)   by submitting a voucher clear transaction.

e)   If a Manual Voucher or voucher clear transaction is submitted without a manual authorization approval code, the WIC Vendor assumes full risk for the transaction.

f)   A Manual Voucher shall be signed by the WIC Cardholder.

g)   A copy of the Manual Voucher shall be retained by the WIC Vendor for 30 days.

4.7.8.3   Voided transactions

A WIC Vendor may cancel the purchase of a single WIC food item, a method of payment or the entire transaction, at the WIC Cardholder's request. Following are the rules for voided transactions.

a)   A voided transaction shall not be used to return or provide a credit for WIC foods.

b)   In Smart Card EBT, the void shall be performed prior to completing the transaction and tendering WIC, unless reversal processing is implemented, then the WIC tender shall be reversed and the benefits restored to the card.

4.7.8.4   Returns

A return occurs when a WIC Cardholder attempts to give back a food item purchased with WIC benefits. Following are the rules for returns.

a)   Returns shall not be allowed for WIC EBT purchases other than in exchange for the same brand, package size and type of food.

b)   Acceptance of returns for exchange of the same WIC food item may be completed at the WIC Vendor's option.

c)   A WIC Vendor shall not request additional payment for the same WIC food item provided in exchange of the same WIC food item.

d)   Returns for the same brand and type of food or exchanges of the same WIC food item shall not result in a WIC EBT Card transaction.

e)   A WIC Vendor shall not provide cash to a WIC Cardholder for a return under any circumstances.

4.8   WIC Vendor taxes, fees and surcharges

Following are the rules on taxes, fees and surcharges.

a)   WIC purchases are not taxable.

b)   Sales tax may apply to manufacturers' coupons in some States or local jurisdictions. Where a sales tax is applied to manufacturers' coupons, the price of the authorized WIC food items bought with a manufacturers' coupon shall be reduced by the value of the coupon minus the sales tax that is applied to the coupon amount.

c)   Sales tax shall apply to the split tender amount paid with an alternate method of payment provided sales tax is not prohibited for the alternate method of payment, e.g., SNAP benefit.

d)   Transaction fees shall not be assessed by the WIC Vendor to the WIC Cardholder for a WIC purchase.

e)   A Commissary or a WIC Vendor that sells food items on a cost plus basis shall be permitted to add a surcharge calculated as a percentage markup on the total purchase to WIC purchases.

4.9   WIC Vendor training

Following are the rules for WIC Vendor training.

a)   The WIC State Agency shall incorporate EBT specific materials in all training required for WIC Vendors required by regulation.

b)   WIC EBT specific training may be provided at initial implementation or as needed by WIC State agencies.

c)   EBT-specific training shall include use of WIC EBT Cards, policy and procedural steps, daily settlement and reconciliation and file handling requirements (e.g., periodic downloads of APL, Hot Card List or other files).

5   Card acceptor device (CAD) requirements

The Card Acceptor Device (CAD) as defined in this document is the POS terminal or Integrated Electronic Cash Register (ECR) system that accepts the WIC EBT Card.

A POS terminal typically contains a card reader, an integrated or attached key pad to securely enter a PIN, a display screen that prompts cardholder to enter a PIN, confirm the amount and/or select a method of payment, a printer, hardware and software to operate the device.

An integrated ECR system is a retail in-store cash register and management system which may be comprised of a combination of the following components; hardware, software, cash drawer, scanner, scale, monitor, POS terminal, PIN pad, receipt and coupon printer, and other peripherals installed and used in the lane as well as the in-store telecommunications network and in-lane and backroom store servers or controllers.

This section identifies the CAD device configurations and processing requirements.

5.1   CAD device configurations

In WIC EBT, the CAD shall be described by whether or not it supports the features and configurations described in this section (see Table 1).

5.1.1   Basic CAD features

The basic features used to describe a WIC CAD are whether it:

a)   reads a magnetic stripe on a card

b)   reads from and writes to a smart card

c)   accepts EBT transactions

d)   accepts non-EBT transactions

e)   is integrated with the ECR system

f)   uses proprietary message formats for communication with the Card Issuer.

Table 1 — Card Acceptor Device (CAD) features

CAD Features	Card Acceptor Device (CAD) type			
	EBT Only CAD	Stand-beside or stand-alone CAD	Closed loop CAD	Integrated ECR system CAD
Reads a magnetic stripe on a card	yes	yes	yes	yes
reads from and writes to a smart card	yes	yes	no	yes
Accepts EBT transactions	yes	yes	yes	yes
Accepts non-EBT transactions	no	yes	yes	yes
Integrated with the ECR system	no	no	no	yes
Uses proprietary message formats for communication with the Card Issuer	no	no	yes	no

5.1.2 EBT Only CADs

EBT Only CADs accept EBT transactions only for Online or Smart Card EBT WIC Vendors. The EBT Only CAD is offered by the WIC State Agency or the EBT Card Issuer Processor to provide EBT processing to those WIC Vendors with POS terminals or ECR systems that cannot support WIC EBT.

5.1.3 Stand-beside or stand-alone CADs

Stand-beside or stand-alone CADs are not integrated with the ECR system.

5.1.4 Closed loop CADs

In Closed loop CAD systems, transactions are processed between the CAD and the EBT Card Issuer using proprietary message processing. The CAD is connected to the WIC State Agency or EBT Card Issuer Processor who acts as the Acquirer for WIC transactions. Closed loop CAD devices are only used in Online WIC EBT processing and are not used in conjunction with an Integrated ECR system.

5.1.5 Integrated ECR system

Integrated ECR systems may be used for Online EBT or Smart Card EBT processing. The POS terminal integrated with the ECR system may accept magnetic stripe cards or smart cards or both.

5.2 General CAD requirements

All CADs that accept WIC EBT shall meet the following requirements.

a) CAD shall have a PIN pad consistent with current industry standards for hardware encryption as defined in ISO 9564 standard.

b) CAD shall be able to manage a minimum of 6 WIC State Agencies including the WIC State Agency BIN numbers.

c) CAD shall be able to utilize the APL (and for Smart Card EBT, the Hot Card List) and other WIC State Agency specifications that may apply.

d) CAD shall utilize the BIN on the WIC EBT Card to identify the appropriate WIC State Agency APL and identify authorized WIC food items.

e) CAD shall support a training mode. See Section 13.

5.3 Online EBT CAD requirements

Online EBT CAD requirements not specified in these Operating Rules may, with the approval of FNS, be defined by the WIC State Agency and provided to WIC vendors.

5.4 Smart Card EBT CAD requirements

Smart Card EBT CADs utilize WIC State Agency modules to configure options specified by the WIC State Agency.

The required configurable module contents, whether residing in the CAD or integrated ECR, shall include:

a) Advice to receive (ATR) string values.

b) Minor version number and Major version number.

c) Issuer reference number.

d) Card prefixes (BIN information).

e) PIN encryption keys.

f) Hot card message reason codes requiring a response.

g) POS condition codes.

Smart Card EBT CAD requirements not specified in these Operating Rules may, with the approval of FNS, be defined by the WIC State Agency and provided to WIC vendors.

5.5   Receipt data requirements

At a minimum, the following types of receipts shall be provided to a WIC Cardholder:

a) Balance Inquiry (opening or ending benefit balance) receipt

b) WIC Purchase receipt (containing transaction benefits utilization data as defined in Section 5.5.2).

c) Other data may be added if available at the POS at the WIC Vendor's option.

d) Additional data shall not be required by the WIC State Agency.

e) The Card Issuer shall provide the benefit balance end date for the food item that expires the earliest for an account where the benefits are aggregated for the WIC Participant's household.

f) See Annex B.2 for sample receipts.

The following sections identify the data required for each type of receipt.

5.5.1   Balance Inquiry receipt data

A Balance Inquiry receipt shall include the following data:

a) Last four digits of the card number of the Primary Account Number (PAN) only. All other digits shall not be displayed in the clear or printed on the receipt.

b) Store name. The generally accepted name for the location or one consistent with the WIC application to become an authorized WIC Vendor with a specific WIC State Agency.

c) Store street address, city, state abbreviation and zip code.

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d)   Local date and time of balance inquiry.

e)   Benefit expiration date or benefit effective and benefit ending dates.

f)   Benefits available, including the benefit description, quantity and unit of measure. If provided at the beginning of the transaction, data reflects the opening benefit balance; if provided at the end of the transaction, data reflects the ending benefit balance.

g)   Unique transaction identifier or systems trace audit number. Uniqueness may be created by a combination of data elements, e.g., WIC Vendor store number, CAD terminal number, operator number, transaction number and date and time.

5.5.2   WIC Purchase receipt data

A WIC Purchase receipt shall include the following data:

a)   Last four digits of the card number of the Primary Account Number (PAN) only. All other digits shall not be displayed in the clear or printed on the receipt.

b)   Store name. The generally accepted name for the location or one consistent with the WIC application to become an authorized WIC Vendor with a specific WIC State Agency.

c)   Store street address, city, state abbreviation and zip code.

d)   Local date and time of purchase.

e)   Store lane number, if available.

f)   Benefit expiration date and time.

g)   Purchased food items including the food item quantity, description and unit of measure.

h)   Unit cost.

i)   Total purchase amount.

j)   Benefits remaining, including the benefit description, quantity and unit of measure.

k)   Unique transaction identifier or systems trace audit number.

5.6   POS response time requirements

All WIC EBT transactions shall be processed within 20 seconds:

a)   in Online EBT, from the point of sending the transaction from the WIC Vendor to the Acquirer or to the Card Issuer if the WIC Vendor is directly connected to the Card Issuer.

b)   in Smart Card EBT from the point of writing to the card.

6   Card Issuer requirements

The Card Issuer in WIC EBT is the WIC State Agency (or its agent) that issues WIC benefits and provides WIC Cardholders with their cards. The WIC State Agency oversees the WIC Program for a jurisdiction such as a State, Indian Tribal Organization (ITO), the District of Columbia, or U.S. territories.

6.1   Card Issuer processing standards

Processing standards enforce a level of service for the WIC EBT processing environment as a whole so that consistent service is provided regardless of the technology utilized or the entities involved. Processing standards are established by FNS in cooperation with WIC EBT entities. The following is a list of the processing standards for Card Issuers which shall be incorporated in contractual agreements with the Card Issuer.

The following minimum processing standards apply to all Card Issuers (or their agents).

a)   Card Issuer shall maintain the necessary computer hardware and software to interface directly with data processing facilities required to accommodate transaction and file processing.

b)   Card Issuer shall initiate a response to a request to transmit or retrieve a file within two (2) seconds from the time such request is received by the Card Issuer's system, 99.99% of the time, on a monthly average basis. Scheduled downtime of the Card Issuer will be excluded provided a minimum of two weeks' notice is provided to all network participants prior to the scheduled outage. Outages shall be scheduled during early morning hours, e.g., 1:00 a.m. to 5:00 a.m.

c)   No more than two (2) in every 10,000 Transactions processed by a Card Issuer's system shall lead to an adjustment resulting from Card Issuer error.

d)   Card Issuer shall ensure that WIC transactions are originated from an authorized WIC Vendor only by validating the WIC Vendor identification information in all agreements and according to technical processing standards.

The following minimum standards apply to Online EBT processing by Cards Issuers:

e)   Card Issuers processing Online EBT shall be available 99.9% of the scheduled up-time, twenty-four (24) hours per day, and seven (7) days per week.

f)   Card Issuers processing Online EBT shall initiate a response to a transaction request within two (2) seconds from the time such request is received by the Card Issuer's system, 98% of the time, on a monthly average basis. These calculations do not include data transmission time between the Card Issuer and the Acquirer. Scheduled downtime of the Card Issuer will be excluded provided a minimum of two weeks' notice is provided to all network participants prior to the scheduled outage. Outages shall be scheduled during early morning hours to minimize impact to WIC Cardholder benefit access, e.g., 1:00 a.m. to 5:00 a.m. .

g)   Card Issuers processing Online EBT shall have an uptime of 99.9% on an hourly basis, excluding maintenance.

6.2   Card Issuer transaction processing requirements

Following are the rules that apply to transaction processing by a Card Issuer.

a)   A Card Issuer shall establish a direct or indirect telecommunications connection for the routing of transactions and retrieval from and delivery of files to the WIC Vendor or the WIC Vendor's Acquirer, or to a Third Party Processor directly or indirectly connected to the Card Issuer.

b)   A Card Issuer or its EBT Card Issuer Processor may use either EBT Online or EBT Smart Card processing.

c)   A Card Issuer or its EBT Card Issuer Processor using EBT Online processing shall conform to the *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 1:Messages,* (and future updates) for message processing as described in the WIC Technical Implementation Guide.

d)   A Card Issuer or its EBT Card Issuer Processor using EBT Smart Card processing shall conform to the X9.108 standard for reading and writing data to the smart card.

e)   A Card Issuer or its EBT Card Issuer Processor shall conform to the *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files, 2008* (and future updates) for file processing as described in the WIC Technical Implementation Guide.

f)   A Card Issuer shall support the minimum transaction set identified in Section 4.6.1 as appropriate for their operating environment.

6.2.1   Hold on benefits

A hold makes food items in the WIC Participant's benefits temporarily unavailable. Holds on benefits are only used in Online EBT processing. Following are the rules for placing a hold on the WIC Participant's benefits.

a)   Card Issuers may place a hold on the WIC Participant's benefits for manually authorized transactions.

b)   Card Issuers shall not place holds on the WIC Participant's benefits as the result of a balance inquiry.

c)   If a manually authorized transaction is cancelled, voided, reversed, cleared, or a manual voucher expires, any hold placed on the WIC Participant's benefits shall be removed and the benefits restored if within the same benefit period.

6.3   EBT Card Issuer Processor requirements

Card Issuers (WIC State Agencies) may utilize EBT Card Issuer Processors to provide processing of Online or Smart Card EBT transactions. The WIC State Agency shall ensure compliance by the EBT Card Issuer Processor with these Operating Rules.

6.4   Third Party Processor requirements

Third party processors may provide services to Card Issuers (WIC State Agencies) or EBT Card Issuer Processors. Third party processors shall comply with these Operating Rules where they act as the agent of one or more of the parties to WIC EBT Card Issuer processing.

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7   WIC Cardholder requirements

Following are the rules for WIC Cardholders and WIC Participants:

a) The WIC Participant shall meet the eligibility requirements of the WIC State Agency in order to receive WIC benefits. If eligible, the WIC Participant is issued benefits for authorized WIC food items. The WIC Participant or their proxy is issued a WIC EBT Card that can access the benefits for use at authorized WIC Vendors.

b) WIC Cardholder shall not use benefits beyond the benefit end date shown on their receipt(s).

c) WIC Cardholder shall pay the non-WIC amount in a split tender transaction. See Section 4.7.3.1.

7.1   Prescription benefit requirements

A Prescription benefit issued to a WIC Participant includes food items authorized by WIC State Agencies in accordance with WIC regulations. Following are the rules for Prescription benefits.

a) WIC EBT benefits shall be put on a WIC EBT Card or card account as food categories, subcategories and benefit units in the FNS approved system designs.

b) Cash Value Benefits (CVB) shall be issued in Food Category 19 with a benefit unit of measure as a dollar currency value (to one penny, i.e., $0.01).

c) Cash Value Benefits shall not be issued separately from other WIC EBT benefits.

d) If there are multiple WIC Participants in a household, their benefits may be aggregated into a single account.

e) If WIC Participants in a household are aggregated into a single account, the Card Issuer shall attempt to synchronize the Prescription benefit periods.

f) The WIC State Agency may void or adjust the WIC Participant's benefit balance because of a change in the Prescription benefit for a food item, e.g., formula. Any such void or adjustment shall not affect transactions for benefits already redeemed.

7.2   WIC Cardholder training

The WIC State Agency shall ensure WIC Cardholders receive training in using their WIC EBT Card and benefits to include, but not limited to, the subjects identified in this section.

The WIC Cardholder shall be trained in completing the following transactions:

a) Balance inquiry

b) Purchase, e.g., allowable food items, mixed basked, split tender, etc.

c) Declined transaction.

WIC Cardholder training shall also cover the following subjects:

d) PIN - use of the PIN and maintaining PIN security.

e)   Signature - No signature required at POS, unless a Manual Voucher is used.

f)   Cards – lost, stolen or failure to read at POS and card replacement procedures.

g)   Transaction information - Where to obtain transaction information.

h)   Disputes - What to do if they have a dispute or question something that happened to their benefits

i)   Benefit effective and expiration dates

j)   Manual Voucher use, including any limitations on allowable food items and quantities that may be obtained if authorized by the WIC State Agency.

8   WIC EBT Card appearance and requirements

The WIC EBT Card issued by the WIC State Agency shall comply with the requirements of this section.

8.1   Institution Identification Number (IIN)

IINs (formerly called Bank Identification Numbers or BINS) are 6 digit numbers, the first digit indicating the major industry identifier (MII) classification of the numbering scheme specified in the ISO 7812-Part 1 standard. Card Issuers are assigned Institution Identification numbers (IINs). Following are the rules for obtaining IINs:

a)   Each WIC State Agency shall apply for and retain an IIN from the American National Standards Institute (ANSI) so that the IIN is allocated to the WIC State Agency and not their EBT Card Issuer Processor.

b)   WIC State Agencies shall apply for an IIN independently from any other WIC State Agency.

c)   The 7th and/or 8th digits of a WIC EBT Card may be used to:

   1)   identify the WIC State Agency within the IIN only with FNS approval.

   2)   identify a card for use in testing or training.

d)   Exceptions to 8.1 (b) or (c) shall require FNS approval.

8.2   WIC EBT Card physical characteristics

WIC EBT Card physical characteristics shall comply with ISO/IEC 7810:2003, *Identification cards – Physical characteristics*.

8.3   WIC EBT Card encoding

Following are the rules for WIC EBT Card encoding:

a)   WIC EBT Cards shall comply with ISO standard for financial cards -- ISO 7811, 7812 and 7813 for magnetic stripe cards -- and ISO 7812 and 7816 for contact integrated circuit cards (smart cards).

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b) The Primary Account Number (PAN) shall be encoded and may be embossed, laser engraved, indent printed or hot stamped on the WIC EBT Card.

8.4 Branding

Following are the rules for WIC EBT Card branding:

a) The WIC EBT Card issued to the WIC Cardholder shall contain a mark, brand or wording that identifies it as a WIC EBT Card associated with a specific WIC State Agency.

b) The WIC EBT Card shall not contain the mark or brand of any PIN Debit or Credit network without the approval of FNS.

8.5 Co-branding

WIC EBT Cards shall not be co-branded with other payment card logos nor permitted to access non-WIC benefits with the WIC EBT Card (shared benefit card) unless approved by the WIC State Agency and FNS.

9 Risk management and security

Risk management and security rules address the requirements to be followed by Card Issuers (and their agents), Acquirers (and their agents), WIC Vendors, WIC Authorities and WIC Cardholders to manage and control the possibility of losses in the WIC EBT environment.

9.1 PIN security requirements

The following rules apply to PIN security:

a) PIN security and management shall conform to ISO 9564.

b) WIC EBT transactions shall not be required to conform to the Payment Card Industry (PCI) Data Security Standard as it applies to PINs.

c) PIN selection shall be done either by the WIC Cardholder at the WIC Clinic or remotely via a secured process approved by FNS and the WIC State Agency.

d) The Card Issuer shall not put any data on the WIC EBT Card from which it is possible to determine the PIN.

e) The WIC Vendor and Acquirer shall ensure that the CADs used in their environment:

1) accept and securely encrypt 4 to 6 digit PINs.

2) do not display the PIN in plain text, print, electronically record or write the PIN.

f) PIN data encryption shall be done as follows:

1) in a secure tamper resistant module in card reader devices used in WIC Clinics and at the CADs at WIC Vendors.

2) in Online EBT processing using 3DES, or end to end encryption may be used if utilized by the WIC Vendor and their Acquirer.

3) in Smart Card EBT processing using either PKI or 3DES.

g) FNS may consider specific situations on a case by case basis if an alternate PIN encryption method is proposed or in use.

9.2   Key management

Encryption technology requires the exchange of keys used to encode and decode the encrypted data. The Card Issuer, Acquirer, WIC Vendor and their agents shall comply with the following requirements for the management of keys used in PIN encryption.

a) WIC EBT processing shall comply with *ANS X9.24-1:2009 Retail Financial Services – Symmetric Key Management Part 1: Using Symmetric Techniques.*

a) The same PIN Pad keys shall not be shared by different WIC Authorities unless specifically authorized by FNS.

b) Smart Card EBT systems implemented prior to the publication of these Operating Rules are grandfathered in the use of keys until a date agreed upon with FNS.

c) WIC State Agencies shall have the capability to support test keys to enable efficient testing prior to WIC Vendor and/or Acquirer certification according to standard industry practices.

9.3   Data security requirements

Each WIC Vendor, Acquirer and WIC State Agency shall ensure that all data sites incorporate the following into security procedures:

a) Data sites shall be secured 24 hours a day, every day of the year.

b) Employee access to the data site shall be controlled by an electronic access system.

c) Employee access to departments within the data site shall be controlled by an electronic access system.

d) Guests, including vendors, shall sign in and shall be assigned a temporary guest badge for identification.

e) Guests, including vendor service personnel, shall be escorted at all times.

f) WIC State Agencies shall, at a minimum, on a yearly basis, conduct a test of the names of current employees against the names of individuals authorized for the WIC State Agency's EBT system access and any changes in the roles and responsibilities of said individuals.

g) Tapes, disks, and other storage media shall be kept in a secure access controlled environment when not being utilized by computer operations.

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h) No storage media shall leave the data site without prior management authorization.

i) Programming personnel, including contractors, shall be restricted from sensitive storage media unless prior management approval is obtained and access shall be granted on a need to know basis.

j) Sensitive output shall be shredded prior to disposal.

k) Data beyond the PIN may be secured using message encryption from the CAD to the Acquirer by bilateral agreement.

l) WIC EBT transactions shall not be required to conform to the Payment Card Industry (PCI) Data Security Standard.

m) Data security audits may be performed as required by FNS.

9.4 Store and forward processing

Store and forward transaction processing is a method of stand-in processing where the information needed to complete the transaction at the POS may not be available and the WIC Vendor may stand-in for the WIC State Agency.

Following are the rules for store and forward transactions.

a) Store and forward processing shall not be used in Smart Card EBT processing.

b) The WIC Vendor shall be liable for any portion of a store and forward transaction which does not comply with these rules.

c) Store and forward processing shall be performed at the WIC Vendor's option.

d) The WIC Vendor may choose to support store and forward at the entire store or at the cash register level only.

e) WIC Agency's Online EBT systems shall support store and forward processing.

f) A store and forward transaction shall be submitted by the WIC Vendor to the WIC State Agency within 24 hours of the date and time the transaction took place provided the WIC State Agency's system is available.

g) A store and forward transaction shall comply with Online EBT processing rules, including:

1) validation of card,

2) validation of PIN,

3) validation of WIC Vendor,

4) benefit balance availability, and

5) benefit balance effective and end dates.

h)   A store and forward transaction may be partially approved if the WIC Participant's benefit account balances are insufficient to cover the purchase.

i)   In addition to Purchase transaction reasons for decline, a store and forward transaction may be declined if:

   1)   the WIC Participant's benefits have expired prior to the date and time the transaction is submitted for payment.

   2)   the WIC Participant's benefit account balance is insufficient to cover the purchase,

j)   The WIC Vendor shall not resubmit store and forward transaction that have been declined.

k)   The WIC State Agency and/or FNS shall not accept liability for any portion of a store and forward transaction which is not approved within the period of availability unless extenuating circumstances warrant consideration by the WIC State Agency. See Section 14 Dispute resolution.

9.5   Hot Card List (HCL) file

The Hot Card List protects the WIC Vendor from the risk of performing transactions on PANs which are no longer valid. Following are the rules for the Hot Card List.

a)   The HCL shall contain those PANs which are no longer valid after reported as lost, stolen, damaged, administratively locked or otherwise invalidated by the WIC State Agency.

b)   A PAN reported as lost, stolen, damaged, administratively locked or otherwise invalidated shall be updated on the HCL immediately by the WIC State Agency.

c)   The Hot Card List (HCL) file shall be created and updated by the WIC State Agency.

d)   For Smart Card EBT:

   1)   the WIC Vendor shall download from the WIC State Agency a HCL file at least once each 48 hour period.

   2)   the WIC Vendor shall be liable for transactions processed with a card included on the HCL if the effective date for the PAN on the card in the HCL is more than 48 hours after the date and time of the transaction.

e)   For Online EBT, no Hot Card List file shall be provided to the WIC Vendor.

f)   A PAN which had been administratively locked by the WIC Agency may be reused or reactivated if supported by the WIC Vendor and the WIC State Agency.

g)   The WIC State Agency shall purge PANs from the HCL file 120 days from the last effective date of the WIC EBT Card.

9.6   Security and financial audits

The WIC Vendor, the Card Issuer and their agents shall be subject to security and financial audits as required by regulation.

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10 File handling

The files exchanged in WIC EBT are listed in *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files, 2008*.

Files exchanged in WIC EBT shall comply with the following requirements:

a) Files shall conform to the *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files, 2008* (and future updates) standard as described in the WIC Technical Implementation Guidelines.

b) Files submitted after the daily cutoff timeframe for the recipient of a file shall be processed by the recipient the following Processing Day.

c) The WIC State Agency shall maintain a single data retrieval site for retrieval and delivery of files by WIC Vendors.

d) If an EBT Card Issuer Processor or Third Party Processor provides file processing services for more than one WIC Agency, a single data retrieval site may be maintained for retrieval of files by WIC Vendors.

11 Authorized Product List (APL) files

APLs are electronic lists (files) identifying WIC food items authorized by the WIC State Agency for purchase with WIC benefits. Each authorized WIC food item is identified by a Food Category, a Food Sub-Category and a unique product identifier, either a Universal Product Code (UPC) or a Price Lookup (PLU) code. Food items are grouped by Food Sub-Category within the Food Category. A Food Category is defined by a 2 digit code and description that identifies a food group. A Food Sub-Category is defined by a 3 digit code and a description of a specified food item within the Food Category. For example the food "peanut butter" is coded as Food Category "06" (legumes) and Food Sub-Category "002" (peanut butter).

The *National Food Category/Sub-category Table* provides the framework for creating the APL. Copies of the table may be downloaded from the FNS website or obtained from FNS.

11.1 WIC State Agency APL requirements

Following are the rules for the creation and maintenance of the APL by the WIC State Agency for all authorized WIC food items:

a) The WIC State Agency shall identify in the APL the UPCs or PLUs associated with each authorized WIC food item that may be purchased by a WIC Cardholder.

b) The WIC State Agency shall provide for their authorized WIC Vendors a single WIC State Agency-wide APL consistent with *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files* (and future updates) and the WIC Technical Implementation Guidelines.

c) Infant formula UPCs in Food Categories 11, 21, 31 and 41 shall only be assigned to a non-zero Food Sub-Category in the APL and all Food Sub-Categories for infant formula shall be listed in the APL.

The following rules apply to data contained in the APL created and maintained by the WIC State Agency. See the Technical Implementation Guide for further details.

d) State identifier - The WIC State Agency shall be identified in the APL by the state identifier, see the WIC Technical Implementation Guidelines for a list of values.

e) Category code, Category description, Sub-category code and Sub-Category code description – see the *National Food Category/Sub-categoryTable*.

f) UPC/PLU data - The first digit of the 17-digit UPC/PLU data shall indicate whether the field contains either a UPC or PLU. The UPC or PLU shall include a calculated check digit in the right-most position of the 17 digit UPC/PLU data field.

   Note: Neither the National Food Category/Sub-category Table nor the International Fresh Produce Standard (IFPS) include check digits for PLUs and therefore the check digit shall be calculated by the WIC State Agency.

g) UPC or PLU – A UPC or PLU shall occur in only one Food Category and within the Food Category in only one non-zero Food Sub-Category and/or one Broadband Food Sub-Category for a given effective date.

h) Unit of measure - the Food Sub-Category unit of measure shall be the same across the Food Sub-Categories associated with the Broadband Food Sub-Category and across the same Food Sub-Category.

i) Package size - the package size, if provided, shall be quantified in the benefit unit of measure.

j) Benefit quantity – the benefit quantities shall be consistent with the unit of measure of the associated Food Sub-Category.

k) Benefit unit description – The description of the food item unit of measure shall be limited to the length available on the POS receipts, no greater than 6 characters. Special characters are to be avoided as some older CADs may not be able to accept them, e.g., the trademark symbol "™".

l) Item price - The food item price, if included, shall be a WIC State Agency-wide value for the Not to Exceed (NTE) price for non-CVB food items. The item price for a food item may be defaulted to zero. The item price for a CVB food item in the APL file shall be $1.00.

m) Date, effective – The WIC State Agency may indicate an effective date for a food item that is beyond the file create date of the APL file, i.e., a future effective date.

n) Date, end – The WIC State Agency shall remove food items from the APL when the end date is reached or set the end date to indicate that authorization continues (Date, end is zero).

o) Purchase indicator – The purchase indicator shall be used to identify a UPC or PLU of a food item that can be purchased with benefits in a non-zero Food Sub-Category as well as benefits within the Broadband Food Sub-Category.

   Note: Smart Card EBT systems shall migrate to use of the purchase indicator by a date agreed upon with FNS and shall work with their WIC Vendors to develop a migration schedule.

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11.2 APL entries for CVB food items

CVB food items are any fresh fruits and vegetables not specifically excluded and, at the option of the WIC State Agency, canned, dried and/or frozen fruits and vegetables meeting WIC nutritional guidelines.

The APL identifies CVB fresh fruit and vegetable items by unique product identifiers that are compliant with the International Fresh Produce Standard (IFPS). The IFPS standard uses Product Look Up (PLU) codes as product identifiers. FNS has designated a single IFPS generic PLU code value of "4469" to identify a WIC CVB fresh fruit or vegetable.

Following are the rules for the WIC Agency to follow in listing CVB food items on the APL:

a) The list of CVB authorized food items in the APL shall include, at minimum, the PLUs of the subset of fresh fruit and vegetables eligible for CVB redemption contained in the International Federation of Produce Standards (IFPS) list of PLUs.

b) The WIC State Agency shall also include the generic FNS designated CVB food item PLU code 4469 on the APL.

c) The WIC State Agency may include IFPS herb PLU's as state specified CVB authorized food items on their APL per FNS regulations.

d) The WIC State Agency may include UPC codes for frozen, canned and/or dried fruits and vegetables if authorized by the WIC State Agency for purchase by their WIC Cardholders.

e) The WIC Agency shall not add any WIC vendor specific or non-standard UPC reserved ranges (UPCs with prefixes of 2 (variable or random weight item), 4 or 9), to the APL.

11.3 WIC Vendor APL mapping requirements

Mapping refers to matching the WIC Vendor's product identification numbers used in the WIC Vendor's store to those on the WIC State Agency's APL file so that authorized WIC food items may be identified.

Following are the requirements for WIC Vendor APL mapping.

a) Mapping, whether full or partial, shall only be done for fresh fruits and vegetables identified as WIC food items eligible for CVB redemption in the WIC State Agency APL.

b) WIC Vendors shall map the UPCs, PLUs and GTINs for fresh fruit and vegetable sold in their stores to the UPCs/PLUs for authorized CVB food items on the APL files provided by the WIC State Agency.

c) GS1 Global Trade Item Numbers (GTINs) are a global standard for product identification that may be used for fresh produce by the WIC Vendor. The WIC State Agency shall allow mapping the GTIN to the subset of fresh fruit and vegetables eligible for CVB redemption contained in the International Federation of Produce Standards (IFPS) PLUs in their APL.

d) Either the full mapping or partial mapping option shall be used by the WIC Vendor.

11.3.1 Full mapping

Full mapping is the matching of product identification numbers utilized by a WIC Vendor for fresh fruit and vegetables on a one-to-one (1:1) basis to the list of fresh fruit and vegetables on the WIC State Agency's APL.

A WIC Vendor may use PLUs (retailer assigned and standard), UPCs (retailer assigned and standard) and GTINs to identify fresh fruit and vegetables. The following rules apply to full mapping of these product identification numbers:

a)   Full mapping shall be done by the WIC Vendor unless approved for partial mapping by the WIC State Agency.

b)   Each standard PLU utilized by the WIC Vendor for authorized fresh fruit and vegetable CVB food items shall be mapped by the WIC Vendor on a one-to-one basis to the subset of fresh fruits and vegetables eligible for CVB redemption contained in the International Federation of Produce Standards (IFPS) PLUs as provided in the WIC State Agency APL.

c)   The mapped PLU for the CVB food item shall be used for purchase approval and sales reporting.

d)   WIC Vendors shall map their retailer assigned UPCs (UPCs with a prefix of 4 or 9), PLUs and GTINs for CVB food items eligible for redemption to like IFPS PLUs and the mapped IFPS PLUs shall be used for purchase approval and reporting.

e)   Random weight food items identified with a UPC prefix of 2 shall be mapped to an IFPS PLU for the food item and the mapped IFPS PLU shall be used for purchase approval and reporting.

f)   If the WIC Vendor does full mapping, the WIC State Agency shall not require the use of the FNS designated CVB PLU 4469 or any further subset of the IFPS PLUs.

11.3.2 Partial mapping

Partial mapping is the matching of PLUs utilized by a WIC Vendor for fresh fruit and vegetables on a many-to-one basis to the FNS designated CVB PLU 4469 on the WIC State Agency's APL to reduce the size of the APL for the WIC Vendor.

Following are the rules for partial mapping:

a)   Partial mapping shall be done only with the WIC State Agency's approval.

b)   Each standard PLU utilized by the WIC Vendor for authorized fresh fruit and vegetable CVB food items shall be mapped by the WIC Vendor on a many-to-one basis to the FNS designated CVB PLU 4469.

c)   The mapped FNS designated CVB PLU 4469 shall be used for purchase approval and reporting.

d)   WIC Vendors may map their retailer assigned UPCs (UPCs with a prefix of 4 or 9), PLUs or GTINs to the FNS designated CVB PLU 4469 if approved by the WIC State Agency.

e)   Random weight food items identified with a UPC prefix of 2 may be mapped to the FNS designated CVB PLU 4469 if approved by the WIC State Agency.

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f)   The WIC State Agency shall continue to maintain and accept purchases of the full list of IFPS codes for WIC foods regardless of whether the WIC Vendors utilizes partial mapping.

11.4 Other WIC Vendor APL requirements

The following additional rules apply to the use of the APL by the WIC Vendor:

a) The WIC Vendor may remove food items not sold by the WIC Vendor from the WIC Agency's APL maintained in the WIC Vendor's system.

11.5 APL distribution and updates

The following rules apply to the APL distribution and updates:

a)   APLs shall be available from the WIC State Agency on a daily basis.

b)   APLs with a file created date of the last Processing Day of a calendar week shall be in effect until the APL with a file created date for the first Processing Day of the calendar week is created.

c)   APLs shall be made available by the WIC State Agency via batch file processing.

d)   An updated APL file shall include a full replacement of authorized UPCs and/or PLUs.

e)   The WIC State Agency may provide APL updates via real-time messages; however, WIC Vendors shall only be required to support batch file processing.

f)   WIC Vendors shall retrieve the APL on each of their Processing Days.

g)   WIC Vendors shall apply the APL to their systems when retrieved and no later than within 48 hours of the APL file create date and time as recorded in the APL file header record.

12 Clearing, settlement and reconciliation

Clearing, settlement and reconciliation are processes used to submit transactions from the WIC Vendor, process those transactions for payment and provide the WIC Vendor information to reconcile the payment amount to the submitted transactions.

12.1 WIC Clearing (Claims processing)

Clearing (claims processing) is the process of sending transactions from the WIC Vendor, either directly from the WIC Vendor or an Acquirer, to the WIC State Agency or their EBT Card Issuer Processor for payment.

Online EBT clears (captures) the transaction information in real time.

Smart Card EBT clears the transaction information by processing WIC claim files submitted by the WIC Vendor or their Acquirer.

12.2 WIC claim file processing

WIC claim files contain transactions from the WIC Vendor being submitted for payment. Following are the rules for WIC claim file processing.

a)   WIC claim file processing shall only be done for Smart Card EBT processing.

b)   The WIC State Agency shall conform to the *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files* (and future updates) standard for WIC claim files.

   Note: WIC State Agencies using Smart Card EBT systems implemented prior to 2010 shall migrate to the *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files* (and future updates) standard formats by March 2015.

c)   WIC claim files shall be submitted by WIC Vendors each Processing Day but no later than 48 hours from the date of the oldest original transaction in the file.

d)   A WIC Vendor may submit a single claim file for multiple store locations. The WIC Vendor shall identify the specific store where each transaction occurred as a part of the WIC claim file using the numeric identifier assigned by the WIC State Agency.

e)   Corrected files and/or corrected transactions that have been approved for re-submission by the WIC State Agency shall be submitted within 60 days of the date of the original file submission unless a longer timeframe is approved by the WIC State Agency.

12.3 WIC settlement processing

Settlement is the process of creating an ACH payment to a WIC Vendor's settlement bank account by distributing funds for payment of approved, cleared WIC transactions. Following are the rules for WIC settlement processing.

a)   The WIC Vendor shall receive payment for approved, cleared transactions within two (2) Processing Days of the settlement date of the transaction.

b)   The Card Issuer shall send an ACH payment file to its bank directing that it pay the WIC Vendor for all settled transactions.

c)   If an Acquirer or Third Party Processor exists between the Card Issuer and the WIC Vendor, the Card Issuer shall direct its bank to pay the first authorized downstream entity for all authorized transactions that occurred for the specified settlement date through the entity.

d)   The WIC Vendor shall be reimbursed for the sale of an approved food item purchase at either the requested food item price or the NTE price, whichever is lower.

e)   Payments transmitted to the WIC Vendor's settlement bank shall be reconciled to the settlement bank's report of payments submitted to the Federal Reserve for the WIC State Agency.

12.4 WIC reconciliation processing

Reconciliation is the process of balancing the transactions processed for payment with the transactions paid to the WIC Vendor. The WIC State Agency shall provide WIC auto-reconciliation files for their WIC Vendors for this

purpose.   At the WIC Vendor's option, the WIC Vendor may use existing commercial payment processing for reconciliation purposes provided they comply with the data requirements for WIC auto-reconciliation files.

12.4.1   WIC auto-reconciliation file processing

Following are the general rules for processing WIC auto-reconciliation files provided by the WIC State Agency.

a)   The WIC State Agency shall conform to the *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files* (and future updates) standard for WIC auto-reconciliation files or they may use existing commercial payment processing provided they comply with the data requirements for WIC auto-reconciliation files .

  Note: WIC State Agencies implemented prior to 2010 shall migrate to the *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files* (and future updates) standard formats no later than March 2015.

b)   WIC auto-reconciliation files may be created on a Processing Day basis and shall include transactions submitted since the last WIC auto-reconciliation file.

c)   The WIC State Agency may create a WIC auto-reconciliation file that aggregates the transactions of multiple WIC Vendor locations belonging to the same regional or national WIC Vendor.

d)   The WIC Vendor shall use the WIC auto-reconciliation files to reconcile transactions captured in Online EBT or submitted in claim files in Smart Card EBT.

e)   Settlement of funds via ACH is done only on the ACH Processing Days.   Therefore, multiple reconciliation files may need to be used by the WIC Vendor to reconcile to an ACH deposit.

f)   The transaction amount in a WIC reconciliation file may reflect an adjusted amount determined by the WIC State Agency.

12.5   WIC acknowledgement file processing

The WIC acknowledgement file may be used to indicate the disposition of a WIC Claim file and the transactions within the WIC Claim file.   See *ANS X9.93-2:2008 Financial Transaction Message - Electronic Benefits Transfer (EBT) - Part 2:Files* for details of WIC acknowledgement file processing.

13   Testing and certification requirements

The implementation of WIC EBT requires testing and certification of the entities involved.

13.1   WIC State Agency EBT testing and certification requirements

Following are the rules for WIC State Agencies to test and certify prior to implementing WIC EBT.

a)   Each WIC State Agency shall successfully pass a Federal Acceptance Test with FNS prior to implementation in accordance with FNS policy. The testing shall include all processing for the WIC State Agency Clinic System and EBT processing.

b)   If the WIC State Agency utilizes an EBT Card Issuer Processor, the EBT Card Issuer Processor shall participate in the Federal Acceptance testing.

c)   Federal Acceptance Testing may be done in conjunction with a WIC State Agency's acceptance test with their EBT Card Issuer Processor.

d)   The WIC State Agency shall provide test cards with loaded benefits and/or establish test accounts with benefits.

e)   The WIC State Agency shall provide a test environment to support WIC file processing testing.

13.2 Acquirer testing and certification requirements

Following are the rules for Acquirer testing and certification.

a)   Each Acquirer must be certified to the EBT Card Issuer Processor of the WIC State Agency or directly to the WIC State Agency if no EBT Card Issuer Processor is used by the WIC State Agency.

b)   If an Acquirer or their WIC Vendor exceeds the error rate defined in Section 3.1 the offending party shall be required to correct the problem and re-test.

c)   Failure to correct a problem or operating an un-certified system shall be cause to terminate participation in WIC EBT.

13.3 WIC Vendor testing and certification requirements

The following rules apply for the testing and certification of WIC Vendors for WIC EBT:

a)   Only WIC Vendor's with a valid WIC Authorized Vendor Agreement shall be certified by a WIC State Agency.

b)   Only WIC Vendor's systems certified by a WIC State Agency shall accept WIC redemptions and be reimbursed for same.

c)   A WIC State Agency may accept a certification of a WIC Vendor's system from another WIC State Agency or third party subject to confirmation of the store location WIC Vendor identification information.

d)   A WIC State Agency may require ongoing and as needed certifications in order to ensure compliance with the WIC State Agency's specific processing parameters or requirements.

e)   The costs of testing and certification (including but not limited to travel, cost of equipment and systems, personnel) that is required as a result of a failure and subsequent correction in an installed system shall be borne by the entities determined to be at fault by FNS.

f)   Certification test scripts shall be provided by the WIC State Agency to the WIC Vendor and their agents.

g)   A test platform and test cards shall be provided by the WIC Agency to the WIC Vendor that meet the conditions in the test script.

14 Dispute resolution

Dispute resolution addresses conditions where one or more parties to a WIC transaction have or may incur a financial loss. When a transaction is disputed by the WIC Cardholder, the WIC Vendor or other parties to the transaction, the following rules shall be used to resolve the dispute.

14.1 Dispute process

The following rules shall apply to the dispute process.

a) Dispute resolution rules shall be incorporated in WIC Vendor Agreements and/or policies, Acquirer and Third Party Processor Agreements, and the Rights and Responsibilities for WIC Participants at the clinic.

b) Reporting of a dispute shall follow the dispute timeframes and documentation requirements described in the following sections.

c) Disputes which are resolved and require payment shall be resubmitted and/or settled by following the procedures established by the WIC State Agency.

d) The WIC State Agency's resolution of a dispute completed within the dispute timeframes is final.

14.2 Dispute timeframes

The WIC State Agency shall include the following provisions in the Authorized WIC Vendor Agreement or the WIC Vendor policies.

a) Disputes between the WIC Vendor and the WIC State Agency shall be resolved within the 45 days of the dispute being submitted by the WIC Vendor.

b) A dispute shall be reported by the WIC Cardholder to the WIC State Agency within the same benefit period. Benefits shall not be adjusted if the dispute is reported beyond the benefit end date.

c) The WIC Vendor shall research and provide receipts or other documentation within 10 Processing Days from the receipt of the notification of a dispute from the WIC State Agency.

d) The WIC Agency shall research and provide a response within 10 Processing Days of the receipt of the notification of a dispute from the WIC Vendor.

e) If a dispute is not resolved within the specified timeframes, the party raising the dispute shall be deemed entitled to the claim and shall settle the disputed item in their favor.

14.3 Dispute documentation

The information from the transaction that shall be available for researching a dispute is listed below:

a) copy of WIC related transaction receipt (for a WIC Participant originated dispute) or the transaction log record (for a WIC Vendor originated dispute) for the purchase being disputed.

b) date and time of transaction. The date and time of the transaction is the local date and time at the WIC Vendor when a food item is tendered as recorded on the transaction receipt or the transaction log record.

c)   WIC EBT Card number

d)   WIC Vendor identification information assigned by the WIC State Agency.

e)   Transaction details, i.e., systems trace audit number, UPC/PLUs purchased, Category and Sub-Category details.

f)   For Smart Card EBT only, the claim file name in which the transaction appeared.

g)   Dispute documentation shall be submitted via fax, email or U.S. post.

14.4 Dispute types

The types of disputes and any additional documentation required for each type of dispute are described in this section.

14.4.1 WIC Cardholder disputes

WIC Cardholder disputes shall be initiated by the WIC Cardholder, WIC Participant or the WIC Agency on the WIC Participant's behalf. The following WIC Cardholder disputes are defined:

a)   WIC benefit purchase declined or reduced in amount

b)   WIC benefit purchase not received

c)   WIC benefit purchase in error

14.4.2 WIC Vendor disputes

WIC Vendor disputes may be initiated by the WIC Vendor or by the Acquirer or a Third Party Processor on the WIC Vendor's behalf. The following WIC Vendor disputes are defined:

a)   Benefits not available for a voucher clear transaction (if voucher clear processing is supported by the WIC State Agency).

b)   Benefits not available for a store and forward transaction.

c)   Benefits not available for a Manual Voucher (if Manual Voucher processing is allowed by the WIC State Agency).

d)   Transaction not paid because of invalid electronic signature (CRC).

e)   Transaction not paid because of out of date food items.

   1)   The date and time a food item is tendered shall determine if a food item is out of date when submitted for payment.

   2)   The date and time a food item is tendered is the local date and time at the WIC Vendor as reported in the transaction and recorded and adjusted for the WIC Vendor's local time by the Card Issuer.

    3)   A food item is considered out of date if the date and time a food item was tendered is 48 hours beyond the file creation date and time of the APL in force when the food item was tendered and, if provided by the WIC State Agency in the APL,

        i)   is prior to the UPC effective date for the food item or,

        ii)   is after the UPC end date for the food item.

f)   Transaction rejected.

g)   Claim file rejected.

h)   Transaction not previously submitted.

15 Reporting requirements

WIC Regulations are published by the Federal Register in the Code of Federal Regulations, 7 CFR Part 246. Specifics of EBT reporting requirements are found in Section 246.25. WIC State Agencies shall comply with all reporting requirements specified in 7 CFR Part 246.

Annex A - Definitions and abbreviations

The terms and abbreviations shown below are capitalized when used in this document to aid clarity.

A.1 Terms and definitions

Acquirer
an entity which acquires from the WIC Vendor the data relating to the transaction and initiates that data into an interchange system.

Broadband Food Sub-Category
a Food Sub-Category within a Food Category that has a value of zero ("000").

Card Acceptor
the party accepting the card and presenting transaction data to an Acquirer.

Card Issuer
WIC State Agency (or its agent) which issues the WIC EBT Card to the WIC cardholder.

Cash Value Benefit (CVB)
A fixed-dollar amount associated with the WIC EBT Card used by a WIC Participant to obtain authorized fruits and vegetables.

Cost Containment
a provision of the Child Nutrition and WIC Reauthorization Act of 2004 that requires WIC State Agencies to implement a vendor peer group system, competitive price criteria and allowable reimbursement levels in a manner that ensures the WIC Program pays authorized vendors competitive prices for supplemental foods.

EBT Card Issuer Processor
an entity contracted by the responsible government agency for the implementation, maintenance and operation of the WIC State Agency's WIC EBT system and acts as the agent of the WIC State Agency to process and settle transactions.

Exempt infant formula
an infant formula that meets the requirements for an exempt infant formula under section 412(h) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 350a(h)) and the regulations at 21 CFR part 106 and 107.

Food Category
a numbering sequence of 2 digits used to identify broad WIC food groups.

Food Sub-Category
a numbering sequence of three digits following the Food Category that identifies the foods, brands, and/or units of size within each food group.

Global Standard Organization (GS1)
a worldwide body that establishes standards for product identification. GS1 issues the UPC Company Prefix assigned to manufacturers used in Global Trade Item Numbers (GTINs).

Global Trade Item Number (GTIN)
A numbering scheme displayed at the bottom of and encoded in the GS1 compliant UPC bar codes. It is composed of the UPC Company Prefix assigned by GS1 to a manufacturer, an item reference number assigned by the manufacturer and a check digit.

Indian Tribal Organization (ITO)
the recognized governing body of any Indian Tribe or group of Tribes.

Manual Voucher
a paper document signed by the WIC Cardholder to redeem benefits through telephone verification when the WIC EBT system is unavailable.

Not to exceed (NTE) policy
FNS-approved Cost Containment methodology whereby WIC Vendors are subject to price limitations.

Online EBT
the processing system for EBT transactions where the transaction is completed in real-time through messages sent from the Card Acceptor Device (CAD) through the network to the WIC State Agency or their EBT Card Issuer Processor.

Smart Card EBT
the processing system for EBT transactions that uses a payment card that has a computer chip embedded on the card.

Price Look Up (PLU) code
a 4 or 5 digit code in the 3000 to 4999 range as defined by the International Federation for Produce Standards (IFPS). PLUs are used by a WIC Vendor to identify products that typically are of variable measure, e.g., meat, deli, seafood, fruits and vegetables or produce. Five digit PLUs with leading digit of 8 indicate a genetically modified product and a leading digit of 9 indicates organic products. The trailing four digits of genetically modified and organic products represent the standard PLU for a food item.

Prescription benefit
an authorized WIC food package, as defined in 7 CFR 246.10, including the Cash Value Benefit (CVB), issued to a WIC Participant for one or more benefit periods.

Processing Day
a day on which transactions and/or files are processed; excludes holidays and weekend (Saturday and Sunday) days.

Universal Product Code (UPC)
A specific type of barcode used to identify products sold by the WIC vendor. The numbers shown in the barcode are entered on the APL file to identify authorized WIC food items.

WIC EBT Card
A food instrument (electronic benefits transfer (EBT)) card used by a WIC Participant to obtain supplemental foods.

WIC Cardholder
the WIC Participant or the person authorized to use the WIC EBT Card on their behalf.

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WIC-eligible medical foods
certain enteral products that are specifically formulated to provide nutritional support for individuals with a qualifying condition, when the use of conventional foods is precluded, restricted, or inadequate

WIC Participant
the person or family to whom WIC benefits are issued.

WIC State Agency
a governmental organization that participates in the federal WIC program. It manages the WIC program for a particular state, possession, territory or tribal organization. There are 90 WIC State Agencies, comprised of the 50 U.S. states, 34 Indian Tribal Organizations, the District of Columbia, and five territories (Commonwealth of the Northern Marianas Islands, American Samoa, Guam, Puerto Rico, and the Virgin Islands).

WIC Vendor
the merchant location that provides authorized WIC food items under an Authorized WIC Vendor Agreement with a WIC State Agency.

WIC Vendor's System
the CAD and/or integrated ECR used at the POS and related communication equipment used by the WIC Vendor for Online or Smart Card WIC EBT processing.

X9.108 standard
The draft standard for trial use published by the American National Standards Institute (ANSI) titled *DSTU X9.108-Financial transaction messages – Electronic benefits transfer (EBT) – WIC retailer interface standard* as amended and updated.

X9.93 Standards
The standards published by the American National Standards Institute (ANSI) titled *ANS X9.93-2008 Financial transaction messages – Electronic benefits transfer (EBT) – Part 1: Messages* and *ANS X9.93-2008 Financial transactions messages – Electronic benefits transfer (EBT) – Part 2: Files* as amended and updated.

A.2 Abbreviated terms

Abbreviations when used within this document have the following meanings:

— ACH – Automated Clearing House

— ANSI – American National Standards Institute

— APL- Authorized Product List

— BIN – Bank Identification Number

— CAD – Card Acceptor Device

— CRC – Cyclical Redundancy Check

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— CVB – Cash Value Benefits, a.k.a. Cash Value Voucher

— EBT – Electronic Benefits Transfer

— FNS – Food and Nutrition Service

— GS1 – Global Standard Organization

— GTIN – Global Trade Item Number

— IFPS – International Federation for Produce Standards

— IIN – Institution Identification Number

— ITO – Indian Tribal Organization

— NTE – Not To Exceed

— PAN – Primary Account Number

— PCI – Payment Card Industry

— PIN – Personal Identification Number

— PKI – Public Key Infrastructure

— POS – Point of Sale or Point of Service

— PLU – Price Look-Up Code

— SNAP – Supplemental Nutrition Assistance Program, a.k.a. Food Stamps

— TANF – Temporary Assistance for Needy Families

— UPC – Universal Product Code

— WIC –Women, Infants and Children

Annex B   - Exhibits

B.1 Comparison of WIC EBT Processing

A comparison of the functionality of WIC Online and Smart Card EBT is shown in Table 2.

Table 2 – Functional comparison of WIC Online and Smart Card EBT

Function	Online EBT	Smart Card EBT
CAD or integrated ECR Used	The WIC Vendor may utilize their existing integrated ECR system or a Stand-beside CAD.	The WIC Vendor uses a smart card reader that may be integrated with the ECR system or part of an EBT Only CAD.
Performance or "Uptime" Requirements	Requires connectivity (telephone, network or internet line) to the WIC State Agency's EBT processing system at all times transactions are being authorized.	Requires card-to-CAD connectivity in-lane to complete transaction.
Transaction Processing and switching	Transactions are processed and authorized between the WIC Vendor and the WIC State Agency's EBT Card Issuer Processor.	Transactions are processed and authorized within the WIC Vendors' CAD that read and update smart cards issued to WIC Cardholders. WIC Vendors utilize a daily claim file process
Connectivity	WIC Vendors that integrate the WIC EBT payment platform have the option to direct connect to the WIC State Agency's Processor or connect to a Third Party Processor directly, via dialup or internet to provide services for WIC transactions.	Dialup or internet connectivity is used for file exchanges to/from the WIC Vendor and the WIC EBT Card Issuer's data retrieval site at the end of the Processing Connectivity to the WIC State Agency's EBT processing system can be made at any time for batch file exchange.
Reconciliation and Settlement	WIC State Agency's EBT Card Issuer Processor provides settlement to the WIC Vendors based upon transactions processed and approved during the Processing Day. Settlement occurs on Processing Days through ACH.	WIC State Agency provides settlement to the WIC Vendors based upon the claim file uploaded by the WIC Vendor on a daily basis. Settlement occurs on Processing Days through ACH.
Data availability from the WIC State Agency or their EBT Card Issuer Processor	Transaction and redemption data available in real time	Transaction and redemption data available after all daily transaction data (claim files) are uploaded and transactions processed.

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B.2 Sample WIC EBT receipts

Samples of WIC EBT receipts may be obtained from FNS upon request.

B.3 Sample authorized WIC Vendor agreement

Samples of WIC EBT WIC Vendor agreements may be obtained from FNS upon request.

B.4 Redemption strategy examples

The following strategies are described to assist WIC vendors in designing and configuring processing to provide the WIC Cardholder with the opportunity for maximum benefit redemption.

B.4.1 Progressive redemption strategy

In order to maximize the WIC Cardholder's opportunity for benefit redemption, the progressive redemption strategy matches benefits in the non-Broadband Food Sub-Category before the Broadband Food Sub-Category.

For example, a WIC Cardholder presents ½ gallon of skim milk (0.5 units of benefit—assuming liquid milk benefits are measured in gallons) and 1 gallon of skim milk (1 unit of benefit) for redemption. The Prescription benefit contain 1 unit of skim milk (52-002) and 3 units of low-fat milk (52-000, a Broadband Food Sub-Category). The progressive redemption strategy debits 0.5 unit of skim milk (52-002) benefit and 1 unit of low-fat milk (52-000) benefit. This leaves 0.5 units of skim milk (52-002) and 2 units of low-fat milk (52-000) benefit.

The progressive redemption strategy is an improvement on decrementing food items in the order in which they are scanned by decrementing a food item from the most restrictive Food Sub-Category first.

B.4.2 Aggressive redemption strategy

The aggressive redemption strategy reevaluates all food items presented for WIC benefit redemption every time a new food item is added during a transaction.

As in the progressive redemption strategy example, a WIC Cardholder presents ½ gallon of skim milk and 1 gallon of skim milk for redemption. The Prescription benefit allows for 1 unit of skim milk (52-002) and 3 units of low-fat milk (52-000). When the WIC Cardholder presents the ½ gallon of skim milk first, the system will decrement 0.5 unit of benefit from the skim milk (52-002) Food Sub-Category. For the moment, 0.5 unit of benefit remains in the Prescription benefit for skim milk (52-002). Subsequently, when the WIC Cardholder presents the 1 gallon of skim milk, the system will reevaluate the food items submitted and redeem the 1 gallon from the skim milk (52-002) Food Sub-Category along with redeeming the initial ½ gallon from low-fat milk (52-000) which is the Broadband Food Sub-Category. This leaves zero units of skim milk (52-002) and 2.5 units of low-fat milk (52-000) benefits for the WIC Cardholder's future milk redemptions.

The aggressive redemption strategy goes one step further than the progressive redemption strategy by using an algorithm that reorders the food items in such a way that the WIC Cardholder will receive the maximum remaining benefit in each Food Sub-Category.

B.4.3   Food Sub-Category straddle

With Food Sub-Category straddle processing, the ability to redeem a single food item across multiple Food Sub-Categories is added to maximize the WIC Cardholder's benefit utilization.

Food Sub-Category straddle logic shall not be used in Smart Card EBT processing.

With the progressive redemption strategy and Food Sub-Category straddle logic, a WIC Cardholder presents ½ gallon of skim milk and 1 gallon of skim milk for redemption. The Prescription benefit allows for 0.5 unit of skim milk (52-002) and 0.5 unit of low fat milk (52-000). When the WIC Cardholder presents the ½ gallon first, the system will decrement ½ unit of benefit from the skim milk (52-002) Food Sub-Category. Subsequently, when the WIC Cardholder presents the 1 gallon of skim milk, the system will *reject* the gallon purchase as there is not enough remaining benefit. This leaves zero units of skim milk (52-002) and 0.5 unit of low-fat milk (52-000) benefits.

With the aggressive redemption strategy and Food Sub-Category straddle logic, a WIC Cardholder presents ½ gallon of skim milk and 1 gallon of skim milk for redemption. The Prescription benefit allows for 0.5 unit of skim milk (52-002) and 0.5 unit of low-fat milk (52-000). When the WIC Cardholder presents the ½ gallon first, the system will decrement ½ unit of benefit from the skim milk (52-002) Food Sub-Category. Subsequently, when the WIC Cardholder presents the 1 gallon of skim milk, the system will reject the initial ½ gallon and *combine* the remaining 0.5 unit of skim milk with the initial 0.5 unit of low-fat milk to create 1 unit of benefit that the WIC Cardholder will redeem in order to acquire the gallon.   This leaves zero units of skim milk (52-002) and zero units of low-fat milk (52-000) benefits.

The ability of the aggressive redemption strategy to reevaluate the food items provides the WIC Cardholder with the maximum remaining benefit in each Food Sub-Category

In either case, the rejected food item is returned to stock by the WIC Vendor or paid for by the WIC Cardholder with another method of payment, after the WIC purchase has been accepted by the WIC Cardholder and tendered by the WIC Vendor.

WIC EBT

Technical Implementation Guide

This guidance is to provide the implementation framework for Online and Smart Card WIC EBT. FNS expects all stakeholders supporting WIC EBT to incorporate these guidelines into all WIC EBT systems that have been funded by federal funds provided by the WIC Program.

Date : 10/22/2010

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Document History

Version	Revision Date	Updates
Draft 1.0	4/8/2010	Initial draft
Draft 2.0	4/23/2010	Draft distributed for comment
Draft 3.0	7/31/2010	Reflects updates based on comments received and conference calls held to review document
Draft 3.1	8/6/2010	Reflects updates from FNS review and comments
Draft 4.0	10/15/2010	Reflects updates based on the comments received on Draft 3.1 and addition of record layouts for all WIC EBT files.

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WIC EBT – Technical Implementation Guide

X9.93 Part 1 Messages is intended for use by any EBT application using online message exchange to complete transactions. X9.93 Part 2 Files is intended for use for any EBT application exchanging files.

This document provides specific implementation guidelines of the X9.93 standards for parties processing a specific subset of EBT transactions, namely, WIC Online EBT transactions and WIC Online and Smart Card EBT files. The Technical Implementation Guide applies to retail merchants, POS system integrators, cash register vendors, POS terminal vendors, third party processors and EBT Card Issuer processors. The Implementation Guide describes how the ANS X9.93 Part 1 Messages and Part 2 Files standards are to be implemented in the WIC EBT environments and incorporates changes recommended to the X9.93 2008 versions. For an overview of the WIC EBT Program, refer to the WIC Operating Rules. This document incorporates and supersedes the technical requirements in the *WIC EBT System Implementation of WIC Cash Value Voucher (CVV)* published September 2008.

1   Scope

The implementation of a WIC Online EBT application within a state needs to insure consistency to allow for adoption and ease of implementation for WIC Vendors providing WIC benefits.

For Online EBT, Sections 5 through 8 in this Technical Implementation Guide identify the requirements for utilizing the X9.93 Part 1 Messages.

For Smart Card EBT, the messaging between the smart card and the card acceptor device (CAD) at the point of sale (POS) will be added to Section 9 in the future.

This Technical Implementation Guide also addresses the requirements for utilizing X9.93 Part 2 Files for WIC Online and Smart Card EBT implementations in Section 10. Any restrictions, clarifications, and/or additional requirements are described.

A list of the specific changes recommended to the *X9.93 ANS X9.93 Financial transaction messages – Electronic benefits transfer (EBT) – Part 1: Messages* and *X9.93 ANS X9.93 Financial transaction messages – Electronic benefits transfer (EBT) – Part 2: Files* appears in Annex B. These changes shall be incorporated in WIC Online and Smart Card EBT implementations. Users of the Technical Implementation Guide shall reference the X9.93 standards in developing their implementations.

2   References

ANS X9.93:2008 Financial transaction messages – Electronic benefits transfer (EBT) – Part 1: Messages is referred to as "X9.93 Part 1 Messages" in this document.

ANS X9.93:2008 Financial transaction messages – Electronic benefits transfer (EBT) – Part 2: Files is referred to as "X9.93 Part 2 Files" in this document.

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Operating Rules – Women, Infants and Children (WIC) – Electronic benefits transfer (EBT) is referred to as "WIC Operating Rules" in this document.

WIC EBT System Implementation of WIC Cash Value Voucher (CVV), September 2008, U.S. Department of Agriculture, Food and Nutrition Service.

3   Terms and definitions

Additional terms and definitions beyond those identified in X9.93 Part 1 Messages or X9.93 Part 2 Files are defined in the WIC Operating Rules.

4   Symbols (and abbreviated terms)

The symbols and abbreviated terms in the standards are to be used in the implementations of WIC EBT. The following sections provide additional clarification.

4.1   Representation abbreviations

In Table 1 of X9.93 Part 1 Messages and X9.93 Part 2 Files, signed data elements are indicated using the representation "xn", where the values of "x" are "C" = credit and "D" = debit. The "C" and "D" are required to be in uppercase.

4.2   Abbreviated terms

Additional abbreviated terms that apply to WIC Online EBT processing have been identified in the WIC Operating Rules.

5   WIC Online EBT message structure

X9.93 Part 1 Messages describes the message structures that may be used in online processing. This section identifies clarifications and restrictions when using the X9.93 Part 1 Messages structure for WIC Online EBT processing. See Section 7 for the message and transaction types allowed in WIC Online EBT processing.

The following clarifications and restrictions apply to WIC Online EBT message structure:

a)   For WIC Online EBT, bit map(s) are used in the messages and in dataset identifiers. These bit maps must be used and interrogated to determine which data elements and sub-elements are present. WIC EBT developers must not assume fixed message formats or fixed dataset identifier formats with pre-determined data elements.

b)   The version number used for WIC Online EBT messages shall be "1", identifying the version number as "ISO 8583:1993, X9.93 2008", regardless of the version of X9.93 Part 1 Messages being followed. This means that WIC EBT messages shall begin with "1200" for the Financial Presentment (purchase) request message, for example.

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c) Data exchanged in messages shall be represented in any of the following manners:

   1) ASCII alphanumeric characters

   2) Unpacked numeric data

   3) Packed representation of binary data (bit maps)

d) Message repeats shall not be used in WIC Online EBT processing.

6   WIC Online EBT data elements

The data element definitions, bit map positions, format, and representations in X9.93 Part 1 Messages are used as described in WIC EBT except where noted in Table 1.

6.1   WIC Online EBT data element directory

All data elements and sub-elements identified in Table 1 are listed in numerical order by bit map position.

For constructed data elements which have sub-elements, the sub-elements are identified by their position in the data element. For example, *Processing code* is assigned to bit 3 and the sub-element *Transaction type code* of *Processing code* is assigned to bit 3-1, the first sub-element.

For composite data elements, i.e., those with a dataset bit map, the dataset bit map position within the composite data element is indicated. For example, *WIC Prescription food item* is a composite data element assigned to bit 62 and identified as bit 62-PS. The sub-element *Category code* in *WIC Prescription food item* is identified as dataset bit 62-PS-3, as its presence is indicated in the dataset bit map in position 3.

Table 1 shows the usage of each data element by message type in WIC Online EBT processing.   Sub-elements are shaded.

Note: Where different uses of a data element or sub-element exist, both uses will be indicated and explained in the usage notes. Online messages must be processed using the bit map provided in the message to determine the data elements present in a message.

The condition codes used in Table 1 are:

a) "M" (mandatory) signifies that the data element is required in the message.

b) "ME" (mandatory echo) signifies the contents shall be returned unaltered in a subsequent message.

c) "C" (conditional) signifies that if the condition identified for the message applies, then the data element shall be present, otherwise its inclusion in a message is optional.

d) "CE" (conditional echo) signifies the contents shall be returned unaltered in a subsequent message if present in the request message.

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e) "O" (optional) signifies that this data element may be present for some implementations, as determined by the bit map.

f) "OE" (optional echo) signifies that this data element may be echoed for some implementations, as determined by the bit map.

g) If no condition code is present, i.e., the table cell is blank, the data element shall not be used in the message.

Table 1 — WIC Online EBT messages data element requirements

Data Element	Bit	Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		Usage notes
Version number	n/a	M	M	M	M	M	M	M	M	Value is "1" in all messages
Message type identifier (MTI)	n/a	100	110	200	210	420	430	800 802 804	810 812 814	
Bit map, primary	n/a	M	M	M	M	M	M	M	M	
Bit map, secondary	1							M		Bits in secondary bit map are only used in 800 message
Primary account number (PAN)	2	M	ME	M	ME	ME	ME			
Processing code	3	M	ME	M	ME	M ME	M ME			May be echoed from original 200 in 420 and 430
Transaction type code	3-1	M	ME	M	ME	ME	ME			31 participant balance inquiry, 30 for purchase balance inquiry, 00 for purchase
Account type code 1	3-2	M	ME	M	ME	ME	ME			97 for balance inquiry or purchase
Account type code 2	3-3	M	ME	M	ME	ME	ME			00 for balance inquiry or purchase
Amount, transaction	4			M	ME	M ME	M ME			May be echoed from original 200 in 420 and 430

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in								Usage Notes
		Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		
Amount, reconciliation	5				C					Mandatory if approved; contains settlement amount and is called "Amount, settlement" in WIC EBT Online processing
Date and time, transmission	7	M	M	M	M	M	M	M		In GMT
Systems trace audit number	11	M	ME	M	ME	M ME	OE	M		May be echoed from original 200 in 420 and 430
Date and time, local transaction	12	M	ME	M	ME	M ME	OE	M		May be echoed from original 200 in 420 and 430
Date, expiration	14	C	CE	C	CE	CE				From the card, mandatory in 100 or 200 if Track 2 data is not sent Echoed in 110 or 210 if provided in 100, 200 Echoed in 420 from 200 if present
Date, settlement	15		O		C		M			May be present in 110 Mandatory for 210 if transaction is approved or for a partially approved store & forward
Message error indicator	18		C		C	C	C	C	C	Used in some implementations if a data element has an error; see 7.1.3 for error message reporting
Error severity code	18-1		C		C	C	C	C	C	Used in some implementations if a data element has an error; see 7.1.3 for error message reporting
Message error code	18-2		C		C	C	C	C	C	Used in some implementations if a data element has an error; see 7.1.3 for error message reporting

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Balance Inquiry 100/110		Purchase Store & Forward / Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		Usage Notes
Data element in error	18-3	C		C		C	C	C	C	Used in some implementations if a data element has an error; see 7.1.3 for error message reporting
Data sub-element in error	18-4	C		C		C	C	C	C	Used in some implementations if a data element has an error; see 7.1.3 for error message reporting
Dataset identifier in error	18-5	C		C		C	C	C	C	Used in some implementations if a data element has an error; see 7.1.3 for error message reporting
Data bit or tag in error	18-6	C		C		C	C	C	C	Used in some implementations if a data element has an error; see 7.1.3 for error message reporting
Point of service (POS) data code	22	M	ME	M	M	M ME				May be echoed from 200 in 420
Card data input capability	22-1	M	ME	M	ME	M ME				May be echoed from 200 in 420
Cardholder authentication capability	22-2	M	ME	M	ME	M ME				May be echoed from 200 in 420
Card capture capability	22-3	M	ME	M	ME	M ME				May be echoed from 200 in 420
Operating environment	22-4	M	ME	M	ME	M ME				May be echoed from 200 in 420
Cardholder present	22-5	M	ME	M	ME	M ME				May be echoed from 200 in 420
Card present	22-6	M	ME	M	ME	M ME				May be echoed from 200 in 420
Card data input mode	22-7	M	ME	M	ME	M ME				May be echoed from 200 in 420

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in								Usage Notes
		Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		
Cardholder authentication method	22-8	M	ME	M	ME	M ME				May be echoed from 200 in 420
Cardholder authentication entity	22-9	M	ME	M	ME	M ME				May be echoed from 200 in 420
Card data output capability	22-10	M	ME	M	ME	M ME				May be echoed from 200 in 420
Terminal output capability	22-11	M	ME	M	ME	M ME				May be echoed from 200 in 420
PIN capture capability	22-12	M	ME	M	ME	M ME				May be echoed from 200 in 420
Card sequence number	23									Not used in WIC Online EBT; multiple cards are not issued with the same PAN
Function code	24	M		M		M		M		"108" or "160" in balance inquiry; "200" in purchase; "203" or "208" in store and forward, "400" in reversals; "801", "802", "811", or "831" in network management
Message reason code	25					M				Not mandatory in store and forward or network management messages as shown in X9.93
Merchant category code	26	M	OE	M	OE	ME	OE			May be echoed in response messages
Amounts, original	30					M	OE			May be echoed in 430
Original amount, transaction	30-1					M	OE			May be echoed in 430
Original amount, reconciliation	30-2					M	OE			May be echoed in 430

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in						Usage Notes
		Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814	
Acquiring institution identification code	32	M	ME	M	ME	M	OE		In 420 reversal advice, may be different than 200 request when 420 is generated by a different party May be echoed in 430 If the WIC merchant ID is used, the value shall be numeric and limited to 11 digits
Forwarding institution identification code	33	C	CE	C	CE	C	OE		Mandatory when not the same as originating institution May be echoed in 430 If the WIC merchant ID is used, the value shall be numeric and limited to 11 digits
Track 2 data	35	C	CE	C	CE	CE	CE		Mandatory if track data was read at the POS in 100/200 Echoed in 420 if present in request
Retrieval reference number	37	M	ME	M	ME	M	ME		
Retrieval reference number julian date	37-1	M	ME	M	ME	M	ME		
Retrieval reference number terminal sequence number	37-2	M	ME	M	ME	M	ME		
Approval code	38		C		C	CE			Mandatory if accepted/approved Mandatory echo from 210 in 420, if 210 received, or if a void
Action code	39		M		M		M	M	
Card acceptor terminal identification	41	M	ME	M	ME	ME	O		

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in								Usage Notes
		Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		
Card acceptor identification code	42	M	ME	M	ME	ME	O			
Card acceptor name/location	43	M	ME	M	ME	ME	O			
Card acceptor name/street/city	43-1	M	ME	M	ME	ME	O			
Card acceptor postal code	43-2	M	ME	M	ME	ME	O			
Card acceptor region	43-3	M	ME	M	ME	ME	O			
Card acceptor country code	43-4	M	ME	M	ME	ME	O			
Additional response data	44		C		C		C			Mandatory if action code is "307" – format error; See 7.1.3
Referral phone number	44-1									WIC Online EBT does not use the sub-elements of additional response data
Additional response data, additional data	44-2									WIC Online EBT does not use the sub-elements of additional response data
Additional data, private	48	M	ME	M	ME	ME	ME			
Additional data dataset identifier	48-1	M	ME	M	ME	ME	ME			
Additional data data length	48-2	M	ME	M	ME	ME	ME			
Additional data information	48-3	M	ME	M	ME	ME	ME			
Benefit issuing entity (WIC authority ID)	48-IS		O							See A.1
FNS number	48-EB									Not used in WIC EBT
Voucher number	48-VN			C						Mandatory in 200 voucher clear

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in						Usage Notes
		Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814	
WIC merchant ID	48-WN	M	ME	M	ME	ME	ME			If the WIC merchant ID is used in Acquiring Institution Identification Code (bit 32) or Forwarding Institution Identification Code, (bit 33) data elements, the value of the WIC merchant ID value shall be numeric and limited to 11 digits; e.g., WN01112345678901
Currency code, transaction	49			M	ME	M	O			Always "840" = USD
Personal identification number (PIN) data	52	M		C						DES3 encryption is used; not mandatory for 200 voucher clear
Amounts, additional	54			C	CE	CE				Mandatory if coupon/discount amounts are present in 200 Mandatory in 420 if present in 200
Account type, amounts additional	54-1			C	CE	CE				
Amount type, amounts additional	54-2			C	CE	CE				Representation is "an 2" not "n 2" as shown in X9.93 Part 1 Messages
Currency code, amounts additional	54-3			C	CE	CE				Always ""840" = USD
Amount, amounts additional	54-4			C	CE	CE				Contains the total discount amount for the indicated Amount type in the format of "x + n12" where "x" = "C" for credit" or "D" for debit
Original data elements	56					M	ME			
Original message type	56-1					M	ME			
Original systems trace audit number	56-2					M	ME			
Original date and time, local transaction	56-3					M	ME			

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in								Usage Notes
		Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		
Original acquiring institution identification code	56-4					M	ME			
Authorization life cycle code	57	O	OE							May be present 100 request and echoed in 110 response to define hold period
Time code	57-1	O	OE							May be present 100 request and echoed in 110 response to define hold period
Time interval	57-2	O	OE							May be present 100 request and echoed in 110 response to define hold period
Transport data	59		O		O		O	M	ME	May be present in 110, 310 and 430 responses to provide additional information
EBT data	60	C		C	C					Contains overflow data from bit 61
EBT data	61	C		C	C					Contains overflow data from bit 62
EBT data	62	C		M	C					For 110, contains balance information (EA) and earliest benefit expiration date (EF) For 200, contains food items purchased (PS) For 210, If approved purchase, contains rejected or partially approved (NTE adjusted) WIC prescription food items only (PS), balance information (EA) and earliest benefit expiration date (EF) For 210, Store and forward if approved purchase, contains rejected or partially approved (NTE adjustments only) WIC prescription food items only (PS), and (EA) and (EF) information) A reversal advice (420) message is recommended to contain *EBT data* (bit 62) from the original financial presentment message if available

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in							Usage Notes
		Balance Inquiry 100/110	Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		
EBT data dataset identifier	62-1	C	M	C					Mandatory if transaction is accepted/approved
EBT data data length	62-2	C	M	C					Mandatory if transaction is accepted/approved
EBT data information	62-3	C	M	C					Mandatory if transaction is accepted/approved; contains the data indicated by the dataset identifier value
EBT balance information	62-EA	C		C					Mandatory if transaction is accepted/approved
EBT balance information bit map	n/a	C		C					Mandatory if transaction is approved ; dataset bit map value is "1420" (0001010000100000)
Continuation bit	62-EA-1								
UPC/PLU data	62-EA-2								
UPC/PLU indicator	62-EA-2-1								
Universal Product Code (UPC)	62-EA-2-2								
Price look-up (PLU)	62-EA-2-2								
UPC/PLU check digit	62-EA-2-3								
Item description	62-EA-3								
Category code	62-EA-4	C		C					Mandatory if transaction is accepted/approved
Category description	62-EA-5								
Sub-Category code	62-EA-6	C		C					Mandatory if transaction is accepted/approved
Sub-Category description	62-EA-7								

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in				Usage Notes
		Balance Inquiry 100/110	**Purchase Store & Forward** **Voucher Clear 200/210**	**Reversal Void** **420/430**	**Network Mgmt** **800/810 802/812 804/814**	
Unit of measure	62-EA-8					
Package size	62-EA-9					
Reserved	62-EA-10					Reserved bit for future use
Benefit quantity	62-EA-11	C	C			Mandatory if transaction is accepted/approved
Benefit unit description	62-EA-12					A text description of the specified benefit issuance unit of measure; recommend limiting to 6 digits
UPC/PLU data length	62-EA-13					Includes the check digit; a UPC is 12 digits and a PLU is 5 digits if beginning with zero and 6 digits if beginning with an 8 or 9
Reserved	62-EA-14 through 16					Reserved bits for future use
Earliest benefit expiration date	62-EF	C	C			Mandatory if transaction is accepted/approved; date formatted as CCYYMMDD overall length is 13 positions, see 6.2.3
Earliest benefit expiration date dataset identifier	62-EF-1	C	C			Mandatory if transaction is accepted/approved; see 6.2.3
Earliest benefit expiration date data length	62-EF-2	C	C			Mandatory if transaction is accepted/approved; length of Earliest benefit expiration date information, always "008", see 6.2.3
Earliest benefit expiration date information	62-EF-3	C	C			Mandatory if transaction is accepted/approved; In CCYYMMDD format, in GMT
WIC prescription food item	62-PS		O M	O M		May be present only if an exception or denial of UPC/PLU occurs for some processors

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in							Usage Notes
		Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		
WIC prescription food item bit map	n/a			M	M					200 is hex "4620", submitted as 2 bytes of binary data (0100011000100000) 210 value varies depending on data returned.
Continuation bit	62-PS-1									
UPC/PLU data	62-PS-2			M	M					
UPC/PLU indicator	62-PS-2-1			M	M					
Universal Product Code (UPC)	62-PS-2-2			M	M					Right justified, zero-filled
Price look-up (PLU)	62-PS-2-2			M	M					Right justified, zero-filled
UPC/PLU check digit	62-PS-2-3			M	M					Included in UPC/PLU data length; last position of UPC/PLU data
Category code	62-PS-3			C						
Sub-Category code	62-PS-4									
Units	62-PS-5									For CVB, this is the price of the item in pennies up to the available balance (if known)
Item price	62-PS-6			M	M					In 200 is the shelf price; in 210 the approved price; for CVB items value is $1.00 or 100 pennies (000100); format is 9(4)v99
Purchase quantity	62-PS-7			M	M					In 200 requested quantity, in 210 the approved quantity; for CVB it is the price of the item purchased in pennies
Item action code	62-PS-8				M					New values added see A.6

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Table 1 — WIC Online EBT messages data element requirements, continued

Data Element	Bit	Message used in								Usage Notes
		Balance Inquiry 100/110		Purchase Store & Forward Voucher Clear 200/210		Reversal Void 420/430		Network Mgmt 800/810 802/812 804/814		
Original item price	62-PS-9				C M					Mandatory if different than item price; some implementations require regardless; format is 9(4)v99; for CVB items value is $1.00 or 100 pennies (000100)
Original purchase quantity	62-PS-10				C M					Mandatory if different than purchase quantity; some implementations require regardless
UPC/PLU data length	62-PS-11			M	M					Includes the check digit; a UPC is 12 digits and a PLU is 5 digits if beginning with zero and 6 digits if beginning with an 8 or 9
Reserved	62-PS-12 through 16									Reserved bits for future use
Transaction destination institution identification code	93							M		
Transaction originator institution identification code	94							M		
Key management data	96							C		Mandatory when function code = "811"; see 6.2.5

6.2   Additional WIC Online EBT message data element rules

The following sections explain additional data element rules used in WIC Online EBT processing.

6.2.1   Date and time, transaction (bit 12)

The data and time in the purchase transaction (200/210 messages) is provided by the POS. It is recalculated by the EBT Card Issuer processor host system for time zone corrections to determine the appropriate benefit period for the transaction and in dispute resolution.

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6.2.2 UPC/PLU data (bit 62-2)

For WIC EBT, a check digit is required for UPCs and PLUs. The UPC or PLU is right justified in the UPC/PLU data field before calculating the check digit. The *UPC/PLU* data data element is 17 digits. The first sub-element is the *UPC/PLU* indicator (62-2-1). The second sub-element is the *UPC/PLU* (62-2-2). The third sub-element is the *UPC/PLU check digit* (62-2-3) and is in the last position of *UPC/PLU data* data element. It is calculated using the UPC-A check digit algorithm from GS1.

6.2.3 EBT balance information (dataset identifier "EA")

In the Balance Inquiry response (110) message and the Financial Presentment response (210) message, EBT balance information (bit 62-EA) is returned for approved transactions to provide the balance of the WIC Cardholder's prescription. Table 2 shows the use of this data element and related sub-elements in WIC Online EBT processing.

Note that this dataset identifier is not to be used in bit 48 and that the dataset bit 10 is reserved.

Table 2 — EBT balance information (dataset identifier "EA")

Bit	62	Dataset identifier	EA		EBT balance information	
Dataset bit		Name	110	210	Representation	Notes
1		Continuation bit			b	
2		UPC/PLU data			n 17	
		UPC/PLU indicator			n 1	0 = UPC, 1 = PLU
		UPC/PLU			n 15	Right justified, zero-filled
		UPC/PLU check digit			n 1	
3		Item description			anp 50	
4		Category code	C		n 2	Mandatory if balance inquiry (x110) or financial presentment (x210) indicates approved
5		Category code description			anp 50	
6		Sub-Category code	C		n 3	Mandatory if balance inquiry (x110) or financial presentment (x210) indicates approved
7		Sub-Category code description			anp 50	
8		Unit of measure			an 10	
9		Package size			n 5	
10		Reserved				
11		Benefit quantity	C		n 5	Mandatory if balance inquiry (x110) or financial presentment (x210) indicates approved
12		Benefit unit description			ans 50	
13		UPC/PLU data length			n 2	Include UPC/PLU check digit
14-16		Reserved				

6.2.4 Earliest benefit expiration date (dataset identifier "EF")

The format of the *Earliest benefit expiration* date data element was not described in X9.93 Part 1 Messages. In the Balance Inquiry response (110) message and the Financial Presentment response (210) message, the data element, *Earliest benefit expiration date* (bit 62-EA) is returned to be printed on the receipt. It is a fixed length composite data element made up of three sub-elements with an overall length of 13 positions. The first sub-element is the dataset identifier. The next sub-element is the length of the benefit expiration date and the third sub-element is the date in the format "YYYYMMDD". The sub-elements are shown below:

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a) *Earliest benefit expiration date dataset identifier*, n 2, positions 1-2;

b) *Earliest benefit expiration date length*, n 3, positions 3-5;

c) *Earliest benefit expiration date information*, n 8, positions 6-13, format "CCYYMMDD".

Note that this dataset identifier shall only be used in bit 62 (or 60, 61, see 6.2.5).

6.2.5   EBT Data (dataset identifier "PS") additional requirements

Transactions may be split into multiple Financial Presentment request messages to accommodate message size restrictions in bits 60, 61 and 62 for EBT data using the PS dataset identifier. If a transaction is split into multiple messages, each message shall be identified uniquely, i.e., shall be assigned its own systems trace audit number.

6.2.6   Key management data (bit 96)

X9.93 Part 1 Messages does not provide specific processing for key management data. For WIC Online EBT, the following rules apply.

a) The *Key management data* data element shall be used to exchange keys.

b) The key will be formatted using 3DES, double-length.

c) The network management messages shall be used to exchange key change requests and responses.

d) If the key master is the originator of the network management request message, the *Key management data* data element will contain the new working key.

7   WIC Online EBT messages and transactions

X9.93 Part 1 Messages describes messages that are sent between Acquirers and Card Issuers. The messages are grouped into message classes, i.e., authorization, verification, financial presentment, file actions, reversal, administrative and network management.

Within each message class there are request, response, advice, advice response, and notification message types.

Each message class uses pairs of message types to describe a type of transaction, i.e., balance inquiry, purchase, void, etc.

7.1   Mandatory WIC Online EBT transaction types

Only some of the message types described in X9.93 Part 1 Messages are mandatory in WIC Online EBT. The file action and administrative message classes may be used in WIC Online EBT, but are considered optional as shown in Table 3.

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Other message types (e.g., 220/230) may be used for closed loop EBT card acceptance devices (CADs) that are connected to an Acquirer. The format and use of these other message types are not addressed in this Technical Implementation Guide.

Table 3 — WIC Online EBT mandatory and optional transaction set

Transaction type	Mandatory message types								Optional message types		
	100	110	200	210	420	430	800	810	304	314	644
Balance Inquiry	x	x									
Purchase			x	x							
Store and forward			x	x							
Partial approvals			x	x							
Manual voucher clear			x	x							
Manually key-entered transaction			x	x							
Reversals					x	x					
Void					x	x					
Network management							x	x			
UPC/PLU file updates									x	x	
Error message notification											x

7.1.1 Message flows

WIC Online EBT follows the message flows described in X9.93 Part 1 Messages except where otherwise noted in the Message class descriptions in Section 8.

7.1.2 Exception message flows

X9.93 Part 1 Messages defines the use of reversals for late response and time out situations. In WIC Online EBT, only the reversal on late response, as described in Clause 7.1.4.2 of the X9.93 Part 1 Messages standard is required between the Acquirer, or their agent, and the Card Issuer, or their agent.

7.1.3 Message errors

Clause 7.1.3 in X9.93 Part 1 Messages describes the message error processing that is used in WIC Online EBT.

The *message error indicator* (bit 18) may also be used in the response or advice response message types to provide specific information regarding an error in a particular data element, sub-element, or dataset identifier.

7.2 Transaction processing

In X9.93 Part 1 Messages, "Offline processing" and "Online Processing" are described. In WIC EBT the terms are used differently. "Online processing" in WIC EBT refers to transactions completed using the exchange of real-time messages between the Acquirer and Card Issuer that are initiated with a payment card containing a magnetic stripe. "Offline processing" refers to transactions completed using a payment card containing an integrated circuit chip (smart card) in the CAD at the POS. To avoid confusion, this document uses the terms "Smart Card EBT" and "WIC Online EBT".

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8   WIC Online EBT message processing

This section describes how the different message classes i.e., authorization, verification, financial presentment, file actions, reversal, administrative and network management message, are used in WIC Online EBT processing.

8.1   Authorization message class

The Authorization message class is not used as defined in X9.93 Part 1 Messages in WIC Online EBT. Transactions are not pre-authorized and a subsequent advice submitted for payment.   Instead, the Balance Inquiry Verification request and response message types (100/110) are used.

8.2   Verification message class

WIC Online EBT uses the verification message class for balance inquiry transactions.   PIN verification and Purchase initiation (pre-authorizations) are not used.

The following sections provide additional clarifications and describe differences from the X9.93 Part 1 Messages requirements for the verification message class.

8.2.1   Verification message processing codes

Only the following processing codes are used in WIC Online EBT for balance inquiries using the Verification messages:

a) 309700 WIC available benefits inquiry – used at the POS to obtain benefit balance prior to sending a Purchase request.

b) 319700 WIC benefit balance inquiry – used when a balance inquiry is requested by the WIC Cardholder separately from a purchase.

8.3   Financial Presentment message class

The Financial Presentment message class is used in WIC Online EBT for purchases, store and forward, partial approvals, voucher clear and manually key-entered transactions.   Only the Financial Presentment request and Financial Presentment response (200/210) message types are used.

This section provides additional clarifications and differences from the X9.93 Part 1 Messages requirements for the Financial Presentment message class.

8.3.1   Partial approvals

When a Financial Presentment response (210) message is sent, the approved WIC purchase amount paid may be for a lesser amount than requested. The *purchase quantity* shall not be less than requested purchase quantity because the WIC Vendor validates the purchase quantity against the WIC Cardholder's benefit prescription before submitting the Financial Presentment (200) message.

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A Purchase transaction may have an *item price* set to less than the original *item price* due to NTE (not to exceed) pricing requirements and other cost containment adjustments. Only the partially approved items are returned in the *EBT data* (bit 62) data element of the Financial Presentment response (210) message.

In a store and forward transaction, both the *item price* and the *purchase quantity* may be less than requested. The *purchase quantity* may be less than requested because only a portion of the items requested are available in the WIC Participant's benefits. An individual food item may also be rejected in a store and forward transaction because it is not available in the WIC Participant's benefits.

The *amount, discount* in a store and forward response (210) message is not adjusted as the result of a partial approval or NTE.

8.3.2   Discounts and coupon information

X9.93 Part 1 Messages provides for reporting the discount or coupon amount in two ways in the Financial Presentment request (200) and response (210) messages as described below:

a) The discount amount may be in *Amount, amounts additional* (bit 54-4) of *Amounts, additional* (bit 54) as indicated by the *Amount type* (bit 54-2) when reporting on the discount amount for the entire transaction.

b) The discount amount may be netted from the *Item price* (bit 62-6) in the WIC Prescription food item (Dataset identifier "PS") when reporting on a single, non-CVB food item. As this may affect the calculation of NTE, this option is not recommended except for CVB food items.

c) There is no separate data element or sub-element in the Financial Presentment request (200) or response (210) messages for the discount amount applied to the item price.

d) Discounts are calculated at the point in time that WIC payment is initiated. The discount is not recalculated if items or discounts are added to or removed from the order after the WIC payment is finalized.

e) The *amount, discount* is not adjusted as the result of a partial approval or NTE edit.

f) Discounts applied to non-CVB WIC items are reported in the WIC auto-reconciliation detail record *amount, discount* data element as a total of the discounts applied to the transaction.

g) The *amount, transaction* and *amount, paid* are set to zero if the application of any discounts result in a negative amount when calculating these amounts.

See Section 10.5.9 for a description of discount amounts in the WIC Auto-reconciliation file.

8.3.3   Surcharges information

The Operating Rules permit surcharges by commissary and cost plus WIC Vendors provided all customers are surcharged. These surcharges are to be pro-rated across all WIC items purchased. The following processing rules apply:

a) Surcharges are applied before any coupons or discounts

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    b)   The last item on which the surcharge is applied shall be adjusted to make the sum of the item prices equal to the total amount of the transaction.

    c)   Any CVB items will reflect the application of the surcharge fee on the WIC receipt provided to the WIC cardholder showing the remaining benefit balances.

8.3.4   Store and forward transactions

A store and forward transaction is a purchase that is electronically stored with an encrypted PIN when the POS is unable to communicate with the Card Issuer. The following conditions apply to the processing of store and forward transactions:

    a)   A store and forward transaction echoes the original date and time, local transaction which shall not be altered by any party to the transaction. For the purposes of transacting benefits within the benefit period (end date), the transaction date and time is defined as the *date and time, local transaction* (bit 12) from the Financial Presentment (200) request message. The store and forward transaction is authorized based on this date and time.

    b)   Store and forward processing may be done by the WIC Vendor in addition to manual vouchers submitted using a voucher clear transaction however, only one method shall be used for processing a single transaction.

    c)   A store and forward transaction shall be identified by the *function code* (bit 24) values of either "203 – resubmission of a previously denied (i.e., incomplete) financial request" or "208 – final representment full amount". Only store and forward financial presentments shall be resubmitted.

8.3.5   Declined transactions

A declined transaction shall use the *action code* (bit 39) data element to indicate the reason for the decline. Action code "57" – transaction not permitted for cardholder" is used to indicate that the food item is not permitted for WIC. Action code "51" – insufficient funds" is used to indicate that the prescription benefit balance is insufficient. The declined items are returned in the *EBT data* (bit 62) data element of the Financial Presentment response (210) message.

8.4   File action message class

WIC Online EBT implementations may use the File action message class (304/314) for updating the information in the Authorized Product List (APL). Updates to the APL may be for any data in the APL.

Use of the File action messages (either as real-time, online message exchange or in a file format) for UPC/PLU file updates is not required for WIC Online EBT implementations. When used, the message formats defined in Clause 8.4 in X9.93 Part 1 Messages are followed with the changes and clarifications shown in the following sections.

8.4.1   EBT file update request data (dataset identifier "EC")

The *EBT file update request data* data element is a constructed data element made up of 2 parts.

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a) *Update GMT start date and time*, n 14. This sub-element is the date and time the EBT file update request is effective, in GMT.

b) *EBT file update start record*, an...17).   This sub-element will contain *either* the Category/Sub-Category of the item to be updated *or* the UPC/PLU data to be updated.

8.4.2   EBT file update response data (dataset identifier "ED)"

The *EBT file update response data* mandatory and conditional sub-elements are shown in Table 4.

Table 4 — EBT file update response data (dataset identifier "ED")

Bit	62	Dataset identifier		ED	EBT file update response data	
Dataset bit	Name		Representation	Usage with Category/ Sub-Category update		Usage with UPC/PLU update
1	Continuation bit		b			
2	UPC/PLU data		n 17			
3	Item description		ans 50	Mandatory if item action code = "05"		
4	Category code		n 2	Mandatory if item action code = "05"		
5	Category description		ans 50			
6	Sub-Category code		n 3	Mandatory if item action code = "05"		
7	Sub-Category description		ans 50			Mandatory if item action code = "05"
8	Unit of measure		an 10	Mandatory if item action code = "05"		Mandatory if item action code = "05"
9	Package size		n 5	Mandatory if item action code = "05"		
10	Benefit quantity		n 5	Mandatory if item action code = "05"		
11	Benefit unit description		ans 50			
12	Item price		n 6	Mandatory if item action code = "05"		Format is 9(4)v99
13	Price type		an 2	Mandatory if item action code = "05" and weighted product indicator = "1"		
14	Date, effective		n 8	Mandatory if item action code = "05"		
15	Date, end		n 8	Mandatory if item action code = "05" and item has an associated end date		
16	Continuation bit		b			
17	Purchase indicator		n 1	Mandatory if item action code = "05"		
18	Weighted product indicator		n 1	Mandatory if item action code = "05"		
19	Manual voucher indicator		n 1			Mandatory if item is allowable for manual voucher purchases
20	Item action code		n 2	"05" = add/update record "06" = delete record		"05" = add/update record "06" = delete record
21	UPC/PLU data length		n 2			

8.5   Reversal message class

Reversal advice and Reversal advice response (420/430) messages are used in WIC Online EBT. The following sections provide additional clarifications and describe differences from the X9.93 Part 1 Messages requirements for Reversal messages.

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a) Reversals are not adjustments.

b) Returns are not allowed in WIC Online EBT.

c) Representments are not allowed in WIC Online EBT.

d) While the POS may generate a reversal on time-out, the Acquirer will determine if it is to be sent to the Issuer based on whether a response to the original request was received at the Acquirer. Thus, only reversals on a late response are used between the Acquirer and Issuer. The Acquirer shall continue to send the Reversal advice (420) message until the Reversal advice response (430) is received.

e) A voucher clear transaction (previously voice authorized) shall not be reversed except for errors in data content or format.

f) Table 17 in X9.93 Part 1 Messages describes *Amount, transaction* (bit 4) in Reversal messages as being the new transaction amount. However, in practice, WIC EBT is using the originally requested transaction amount from the Financial Presentment (200) message in *Amount, transaction* (bit 4) in reversal advice response (430) messages.

g) X9.93 Part 1 Messages shows that data element *EBT data* (bit 62) is conditional in reversal messages used to void a transaction. A reversal advice (420) message is recommended to contain *EBT data* (bit 62) from the original financial presentment message if available.

h) Reversals shall have a unique *Systems trace audit number* (bit 12) and the *Original systems trace audit number* from the Financial Presentment message (0200) in *Original data elements* (bit 56).

8.6   Administrative message class

Administrative notification (644) messages may be used to notify of an error condition detected by the receiver in a previously submitted message. It is recommended that Administrative notifications be supported in WIC Online EBT implementations. The message format defined in Clause 8.6.4 in X9.93 Part 1 Messages is used.

8.7   Network management message class

Network management messages, both 800/810 and 804/814 message pairs, are required to be supported in WIC Online EBT interfaces between processors, Acquirers and Card Issuers, but not WIC Vendors. WIC Vendors are not required to support this message class. The message formats defined in Clause 8.7 in X9.93 Part 1 Messages are used as shown in the standard.

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9 WIC Smart Card EBT message processing

WIC Smart Card EBT uses messages between the smart card and the card reader in the Card Acceptance Device (CAD) to complete transactions at the POS. Current implementations use jointly developed, common messaging formats that have been certified with a number of commercial electronic cash register systems. The ANS X9.108 DSTU *Financial transaction message – Electronic benefits transfer (EBT) – WIC retailer interface standard*, when finalized, will define the message formats for Smart Card EBT processing. Any clarifications or processing considerations identified when the standard is implemented will be added to this document.

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10 WIC Online and Smart Card EBT Files

WIC Online and Smart Card EBT use some of the file formats defined in X9.93 Part 2 Files. This section provides clarifications and describes differences in WIC EBT processing from the X9.93 Part 2 Files requirements.

10.1 File structure

Clause 5 of X9.93 Part 2 Files describes the structure of files used in WIC Online and Smart Card EBT. Files contain records that are constructed of data elements. Clause 6 of X9.93 Part 2 Files defines the data elements, Clause 7 defines the records and Clause 8 the files.

This section of the Technical Implementation Guide describes additional processing considerations for WIC Online and Smart Card EBT files.

10.1.1 File names

X9.93 Part 2 Files defines several different kinds of files using the *file name* data element. WIC EBT uses the following files as identified by the *file name* values shown below:

    a) Auto-reconciliation file

    b) Acknowledgment file

    c) Aggregate claim file

    d) Hotlist replacement file

    e) UPC/PLU store file

    f) WIC claim file

    g) Txns-only claim file

10.1.2 File transmissions

In addition to the *file name* data element in file records, files exchanged between the WIC Vendor and the WIC State Agency are identified by a file transmission name.

Note: When the *Smart Card eWIC Authorities – X9.93-2:2008 (V4) File Features, Structural Content, and Data Mapping for Development Consideration* documentation is finalized by the Smart Card EBT WIC State Agencies and Online EBT processors this section will be completed.

10.1.3 File records

WIC EBT uses the following types of records as defined in X9.93 Part 2 Files. The record name and record identification code(s) are listed.

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a) Super header record (A0)

b) Header record (A1, A2)

c) Detail record (D4, D5, D6, D7, D8)

d) Addenda record (E1, E2, E3, E5)

e) Trailer record (Z1)

f) Super trailer record (Z2)

10.1.4 Record formatting

For consistency and ease of processing, each record created for a file shall comply with the following formatting:

a) Each record shall be made to be the same length by padding the record.

b) Filler characters used to pad the end of a record shall be character spaces.

c) Each record in a file shall be terminated with a carriage return character and a line feed character.

10.2 File data elements

Clause 6 of X9.93 Part 2 Files describes the data elements used in the standard. Table 5 provides a complete list in alphabetical order of the data elements used in WIC EBT files. Table 5 also identifies in which files (Claim, Auto-reconciliation, UPC/PLU, or Hot Card List) and in which records (identified by record identification code) the data elements are used. Additional requirements and clarification for use in WIC EBT processing is shown in the Notes column.

Table 5 — Files data element directory

Data element name	File and record used in					Notes
	Claim	Auto Recon	UPC/ PLU	Hot Card	Ack	
Acquiring institution identification code	A0 A1 D4	A1 E1				
Addenda sequence number	E3	E1 E2				
Adjustment memo		D5				

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<table>
<tr><th colspan="7">Table 5 — Files data element directory, continued</th></tr>
</table>

Data element name	File and record used in					Notes
	Claim	Auto Recon	UPC /PLU	Hot Card	Ack	
Amount, adjustment		D5				May be either a Debit or Credit amount and is not necessarily tied to a single transaction
Amount, claim price total	Z2					Sum amount of the Claim price in WIC claim addenda records
Amount, claimed		E2				The (final) price of the item, calculated by multiplying the item price times the number of units plus any surcharge less any discount, see 10.5.9
Amount, claimed total	Z1 Z2					Sum amount of the Amount, transaction in all WIC claim detail records
Amount, discount	D4	D4				The amounts deducted from the gross amount of the original transaction due to coupons or other reductions in the amount., see 10.5.9
Amount, discount total	Z1 Z2	Z1				The absolute value of the sum of all discounts, see 10.5.9
Amount, item discount		E2				Zero-filled if not available
Amount, paid		D4 E2				Amount, transaction less amount, discount and any changes for NTE or other corrections by the WIC State Agency, see 10.5.9
Amount, transaction	D4	D4				Funds requested by the cardholder in the local currency of the acquirer or source location of the transaction plus surcharges, if any, see 10.5.9
Approval code		E1				
Benefit issuing entity	D4					
Benefit quantity			D4			The amount of the specified item to be deducted from the WIC Participant's prescription benefit when redeemed.
Benefit unit description			D4 D6			A text description of the specified benefit issuance unit of measure; recommend limiting to 6 digits for receipt use
Card acceptor additional description data	D4					

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Table 5 — Files data element directory, continued					
Data element name	**File and record used in**				**Notes**
	Claim	Auto Recon	UPC /PLU	Hot Card	Ack	

Data element name	Claim	Auto Recon	UPC /PLU	Hot Card	Ack	Notes
Card acceptor identification code	D4	E1	D4			
Card acceptor name/ location	D4					
Card acceptor name\street\city	D4					
Card acceptor postal code	D4					
Card acceptor region	D4					
Card acceptor country code	D4					
Card acceptor terminal identification	D4	E1				
Card issuer reference data		E1				
Category code	E3	E2	D4 D6			
Category description			D4 D6			
Claim price	E3					
Count, adds			Z1			
Count, changes			Z1			
Count, claims in file	Z2					
Count, deletes			Z1			
Count, detail records	Z1 Z2	Z1	Z1	Z1		

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Table 5 — Files data element directory, continued						
Data element name	**File and record used in**					**Notes**
	Claim	Auto Recon	UPC /PLU	Hot Card	Ack	
Count, hot cards				Z1		
Count, items	D4					
Count, replacements			Z1			
Date and time, effective				D4		In GMT
Date and time, local transaction	D4	D4				
Date and time, transmission	D4	D4				MMDDhhmmss, in GMT Note: different from format shown in X9.92 Part 2 Files; changed to delete year and add seconds to align with X9.93 Part 1 Messages
Date, claim	A0 A1 Z1					Local date
Date, claim file	Z2					Local date
Date, effective			D4			In GMT, see 10.3.3
Date, end			D4			In GMT, see 10.3.3
Date, settlement		A1 Z1				In GMT
File create date	A0 A1 Z1 Z2	A1 Z1	A1 Z1	A1 Z1		In GMT
File create time	A0 A1 Z1 Z2	A1 Z1	A1 Z1	A1 Z1		In GMT

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Table 5 — Files data element directory, continued					
Data element name	**File and record used in**				**Notes**
	Claim	Auto Recon	UPC /PLU	Hot Card	Ack	

Data element name	Claim	Auto Recon	UPC /PLU	Hot Card	Ack	**Notes**
File format version	A0 A1 Z1 Z2	A1 Z1	A1 Z1	A1 Z1		
File name	A0, A1	A1	A1	A1		
File sequence number	A0 A1	A1	A1	A1		
File type	A0 A1	A1	A1	A1		
First date to spend	D4					From card
Forwarding institution identification code	A0 A1	A1				
GMT offset		D4				See 10.5.3, format is "n 3"
Integrated circuit card (ICC) system related data	D4					
Item description			D4			
Item price			D4			Format is 9(4)v99
Manual voucher indicator			D4			See 10.3.2 and A.2
Message reason code		D4 E2 D5		D4		
Message type	D4	D4 D5	D4 D6	D4		
Original addenda sequence number		E2				

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Table 5 — Files data element directory, continued					
Data element name	**File and record used in**				**Notes**
	Claim	Auto Recon	UPC /PLU	Hot Card	Ack	
Original data elements		D5				
Original record sequence number		E2				The record sequence number of the detail record in this file that is being adjusted in the Auto-reconciliation addenda record 2 ("E2")
Package size			D4			Expressed in specified units of measure, e.g., if unit of measure is "oz" for ounces, a one (1) pound item would be a package size of "16".
PAN	D4	D4 D5		D4		
PAN length	D4	D4 D5		D4		
PAN record identification code				D4		
POS data code	D4	D4				
Price look-up (PLU)	E3	E2	D4			The second sub-element in the UPC/PLU data if UPC/PLU indicator is "1"; the last position of this sub-element is a check digit; PLU is 5 digits plus the check digit, right justified and zero-filled
Price type			D4			
Processing code	D4	D4				
Purchase indicator			D4			See 10.3.1 for values and usage of this data element
Purchase quantity	E3					Sum of the units purchased of a single UPC/PLU
Receiving institution identification code	A0 A1	A1	A1	A1		If WIC merchant ID value is used in this data element, it must be numeric and maximum of 11 digits. Right justified and zero-filled
Record identification code	ALL	ALL	ALL	ALL		
Record sequence number	ALL	ALL	ALL	ALL		
Response code		E1				

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	File and record used in					Notes
Data element name	Claim	Auto Recon	UPC /PLU	Hot Card	Ack	
Retrieval reference number		E1				
State identifier			A1	A1		This data element is alphanumeric and the values are shown in A.5
Sub-category code	E3	E2	D4 D6			
Sub-category code description			D4 D6			
Systems trace audit number	D4	D4				
Total settlement amount		Z1				
Unit of measure			D4			Only first 5 characters are significant
Units	E3	E2				For CVB, this is the price of the item in pennies up to the available balance (if known)
Universal Product Code (UPC)						The second sub-element in the UPC/PLU data if UPC/PLU indicator is "0"; the last position of this sub-element is a check digit
UPC/PLU data	E3	E2	D4			Data element contains 3 sub-elements; UPC/PLU indicator, UPC or PLU number and UPC/PLU check digit.
UPC/PLU data length	E3	E2	D4			The check digit is included in the calculation of the data length
UPC/PLU check digit	E3	E2	D4			The last digit of the UPC/PLU data
UPC/PLU indicator	E3	E2	D4			The first sub-element in the UPC/PLU data; value of "0" indicates a UPC and "1" indicates a PLU
WIC authority ID		A1				
WIC merchant ID	D4					

Table 5 — Files data element directory, continued

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10.3 Additional file data element usage

X9.93 Part 2 Files does not provide details on the usage by WIC EBT processing of some data elements. WIC EBT processing also added data elements to some records. Additional details on the usage of certain data elements and added data elements are provided in this section.

10.3.1   Purchase indicator

Purchase indicator is assigned to a UPC/PLU in the detail record of the UPC/PLU file. The *Purchase indicator* identifies the UPC or PLU of a food item that can be purchased with benefits assigned in a non-zero Sub-Category (any Sub-category that is not equal to "000") as well as with benefits assigned in the Broadband Sub-Category. By using the *Purchase indicator*, the size of the WIC UPC/PLU file is reduced because duplicate entries for food items that can be purchased in this manner are eliminated.

A value of zero ("0") in the *Purchase indicator* means that the UPC/PLU food item can only be purchased if benefits exist in the WIC Cardholder benefit balance in the specific Category and Sub-Category identified with that UPC/PLU. If the *Purchase indicator* is set to '0', the UPC/PLU food item will be restricted for redemption to the specific Sub-Category assigned by the WIC State Agency. The *Purchase indicator* for UPC/PLUs for formula food items is always set to '0'.

A value of one ("1") in the *Purchase indicator* means that the UPC/PLU food item can be purchased with benefits existing in the WIC Cardholder benefit balance in the specific Category and Sub-Category identified with that UPC/PLU or, if there are insufficient benefits in the WIC Cardholder benefit balance in the specific Category and Sub-Category associated with that UPC/PLU, the benefits in the Category and Broadband Sub-Category ("000" value) for the UPC/PLU specified can be used.

A value of one ("1") in the *Purchase indicator* is identical to having a UPC/PLU file that has two entries for the same UPC/PLU food item; one entry for the Category and a specific Sub-Category and one for the Category and Broadband Sub-Category ("000") as was done in earlier implementations of the UPC/PLU file.

In WIC Online EBT, the benefit amount needed for a single food item may be partially redeemed from the specific Sub-Category, with the remaining benefits redeemed from the Broadband Sub-Category for a single food item. This method is also known as "sub-cat straddle" because the purchase is "straddled" across two Sub-Categories; the specific Sub-Category and the Broadband Sub-Category ("000").

In Smart Card EBT, the full benefit amount needed for a single food item must be deducted either from the specific Sub-Category or the Broadband Sub-Category because of processing validation restrictions.

In both WIC Online and Smart Card EBT, a single food item may be assigned to the Broadband Sub-Category ("000") only and if so, the *Purchase* indicator is set to zero ("0").

Until existing implementations are updated, the *Purchase indicator* may not be present in the WIC UPC/PLU file. If the *Purchase indicator* is not present in the UPC/PLU file detail record for a UPC and there is only one instance of the UPC, then the Broadband Sub-Category '000' shall be treated as if the UPC/PLU for the food item had a Purchase Indicator of "0".

Following are examples of the use of the *Purchase indicator*.

Example 1

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A UPC/PLU food item is assigned to Category "06" / Sub-Category "004" and the *Purchase indicator* is set to "1" and the WIC Cardholder attempts to purchase 4 units of the food item.

The WIC Participant's benefit prescription has 2 benefit units in Category "06" / Sub-Category "004" and has 4 benefit units in Category "06" / Sub-Category "000". There are not enough benefit units available in the specific Sub-Category "004".

In WIC Online EBT, there are enough benefit units available in Category "06" / Sub-Category "004" combined with benefits from Category "06" / Sub-Category "000" and the food item is redeemed across the two Sub-Categories and the redemption "straddles" the Sub-Categories. The WIC Participant's ending balance has "0" benefit units remaining in Category "06" / Sub-Category "004" and 2 benefit units remaining in Category "06" / Sub-Category "000".

In Smart Card EBT, there are enough benefit units available in Category "06" / Sub-Category "000", so the food item is redeemed from the Broadband Sub-Category. The WIC Participant's ending balance has 2 benefit units remaining in Category "06" / Sub-Category "004" and "0" benefit units remaining in Category "06" / Sub-Category "000".

Example 2

Same purchase as in Example 1, however, the WIC Participant's benefit prescription only had 2 benefit units in Category "06" / Sub-Category "004" and 2 benefit units in Category "06" / Sub-Category "000", so there would not be enough benefit units available in the specific Sub-Category "004".

In WIC Online EBT, there are enough benefit units available in Category "06" / Sub-Category "004" combined with benefits from Category "06" / Sub-Category "000" and the food item is redeemed across the two Sub-Categories. The WIC Participant's ending balance has "0" benefit units remaining in Category "06" / Sub-Category "004" and "0" benefit units remaining in Category "06" / Sub-Category "000".

In Smart Card EBT, there are not enough benefit units available in either the Category "06" / Sub-Category "000" or the Category "06" / Sub-Category "004", so the food item cannot be redeemed and an alternative method of payment will be requested.

10.3.2   Manual voucher indicator

The *manual voucher indicator* is a data element in the UPC/PLU detail record used to indicate if an UPC/PLU food item is allowed for purchase with a manual voucher. The default value is "1" – allowed for manual voucher. See A.2 for list of values.

10.3.3   Date, effective and Date, end

The effective and end dates for a food item listed on the UPC/PLU file are used to advise the WIC Vendor the first full day when a food item is available for purchase (*date, effective*) and the last full day when it will be available (*date, end*). New items are added to the UPC/PLU file prior to their effective date. End dates for expiring food items or food items changing to a new category are added to the UPC/PLU file prior to their expiration. Food items are removed from the UPC/PLU file after their expiration date has past. *Date, effective* and *Date, end* are expressed in GMT.

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10.4 WIC claim files

WIC claim files are submitted from the WIC Vendor to the WIC State Agency in Smart Card EBT only. Updates to the WIC Claim file formats and processing will be added to the Technical Implementation Guide when agreed to by the WIC Smart Card State Agencies, developers and FNS. The data elements being used in the WIC Claim file records are shown in Table 5.

10.4.1 WIC claim file super header record ("A0")

Table 6 lists the data elements contained in the WIC claim file super header record.

Table 6 — WIC claim file super header record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "A0"
Record sequence number	PIC 9(6)	3-8	M	value = "000001"
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value = "04"
Forwarding institution identification code	PIC 9(11)	25-35	M	
File name	PIC X(25)	36-60	M	see 10.1.1
File type	PIC X(8)	61-68	M	
File sequence number	PIC 9(4)	69-72	M	
Receiving institution identification code	PIC 9(11)	73-83	M	used by Acquirer to identify file recipient
Acquiring institution identification code	PIC 9(11)	84-94	M	used to identify Acquirer if different from the Forwarding institution identification code identified as the sender of this file
Date, claim	PIC 9(8)	95-102	M	used to identify the local claim date for all records in a file

10.4.2 WIC claim file header record ("A1")

Table 7 lists the data elements contained in the WIC claim file header record.

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Table 7 — WIC claim file header record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "A1"
Record sequence number	PIC 9(6)	3-8	M	
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value = "04"
Forwarding institution identification code	PIC 9(11)	25-35	M	
File name	PIC X(25)	36-60	M	see
File type	PIC X(8)	61-68	M	
File sequence number	PIC 9(4)	69-72	M	
Receiving institution identification code	PIC 9(11)	73-83	M	used by Acquirer to identify file recipient
Acquiring institution identification code	PIC 9(11)	84-94	M	used to identify Acquirer if different from the Forwarding institution identification code identified as the sender of this file
Date, claim	PIC 9(8)	95-102	M	used to identify the local claim date for all records in a file

10.4.3 WIC claim file detail record ("D4")

The WIC claim file detail record is based on the messages used in X9.93. Table 8 lists the data elements used in the WIC claim file detail record.

Table 8 — WIC claim file detail record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "D4"
Record sequence number	PIC 9(6)	3-8	M	
Message type	PIC 9(4)	9-12	M	
WIC merchant ID	PIC X(12)	13-24	M	
Card acceptor identification code	PIC X(15)	25-39	M	

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Data element name	Format	Position	Condition	Notes
PAN length	PIC 9(2)	40-41	M	
PAN	PIC 9(19)	42-60	M	
Processing code	PIC 9(6)	61-66	M	
Amount, transaction	PIC 9(10)v99	67-78	M	claim amount; amount is zero for denied transactions
System trace audit number	PIC 9(6)	79-84	M	
Date and time, transmission	PIC 9(10)	85-94	M	In GMT
Date and time, local transaction	PIC 9(14)	95-108	M	
POS data code	PIC 9(12)	109-120	M	
Acquiring institution identification code	PIC 9(11)	121-131	M	
Card acceptor terminal identification	PIC X(8)	132-139	M	
Card acceptor name /location	PIC X(99)	140-238	M	
Card acceptor name\street\city	PIC x(83)		M	
Card acceptor postal code	PIC X(10)		M	
Card acceptor region	PIC X(3)		M	
Card acceptor country code	PIC X(3)		M	
Card acceptor county code	PIC X(3)	239-241	C	mandatory if required by bilateral agreement
Card acceptor additional description data	PIC X(100)	242-341	C	mandatory if required by bilateral agreement
Count, items	PIC 9(3)	342-342	M	
Benefit issuing entity	PIC X(15)	343-357	M	
First date to spend	PIC 9(8)	358-365	M	
Amount discount	PIC 9(10)v99	366-377	M	
Integrated circuit card (ICC) system related data	PIC X(99)	378-476	M	Maximum length is 99

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10.4.4 WIC claim file addenda record ("E3")

Table 9 lists the data elements used in the WIC claim file addenda record. The WIC claim file addenda record follows the WIC claim file detail record and may occur multiple times for each associated detail record.

Table 9 — WIC claim file addenda record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "E3"
Record sequence number	PIC 9(6)	3-8	M	
Addenda sequence number	PIC 9(3)	9-11	M	
Category code	PIC 9(2)	12-13	M	
Sub-category code	PIC 9(3)	14-16	M	
Units	PIC 9(3)v99	17-21	M	quantity for this UPC/PLU
UPC/PLU data	PIC 9(17)	22-38	M	
Purchase quantity	PIC 9(3)v99	39-43	M	Number of this UPC/PLU purchased
Claim price	PIC 9(7)v99	44-52	M	total cost of all units of this UPC/PLU purchased
UPC/PLU data length	PIC 9(2)	53-54		

10.4.5 WIC claim file trailer record ("Z1")

Table 10 lists the data elements used in the WIC claim file trailer record.

Table 10 — WIC claim file trailer record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "Z1"
Record sequence number	PIC 9(6)	3-8	M	
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value – "04
Count, detail records	PIC 9(7)	25-31	M	

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Data element name	Format	Position	Condition	Notes
Date, claim	PIC 9(8)	32-39	M	CCYYMMDD, local date
Amount claimed total	PIC 9(10)v99	40-51	M	
Amount discount total	PIC 9(10)v99	52-63	M	

10.4.6 WIC claim super trailer record ("Z2")

Table 11 lists the data elements used in the WIC claim super trailer record.

Table 11 — WIC claim file super trailer record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "Z2"
Record sequence number	PIC 9(6)	3-8	M	
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value = "04"
Count, detail records	PIC 9(7)	25-31	M	
Date, claim file	PIC 9(8)	32-39	M	Local date
Count, claims in file	PIC 9(10)	40-50	M	
Amount, claimed total	PIC 9(10)v99	51-67	M	
Amount, discount total	PIC 9(10)v99	68-79	M	
Amount, claim price total	PIC 9(10)v99	80-91	M	

10.5 WIC auto-reconciliation file

WIC EBT Online and Smart Card processing use the WIC auto-reconciliation file to provide WIC Vendors or their agents with the transactions that were processed and settled for the WIC Vendor. At the WIC Vendor's option, the WIC Vendor may accept existing commercial payment processing files for reconciliation purposes provided the files comply with the data requirements for WIC auto-reconciliation files. The file formats shown in X9.93 Part 2 Files are used with the additional clarifications and differences shown in this section.

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10.5.1 WIC auto-reconciliation super header record ("A0")

X9.93 Part 2 Files defined the super header record but did not specify the record layout. Table 12 shows the layout of the WIC auto-reconciliation super header record.

Table 12 — WIC auto-reconciliation super header record

Data element name	Format	Position	Condition	Notes
Standard header:				
Record identification code	PIC X(2)	1-2	M	value = "A0"
Record sequence number	PIC 9(6)	3-8	M	value = "000001"
File create date	PIC 9(8)	9-16	M	CCYYMMDD in GMT
File create time	PIC 9(6)	17-22	M	hhmmss in GMT
File format version	PIC 9(2)	23-24	M	value = "04"
Forwarding institution identification code	PIC 9(11)	25-35	M	
File name	PIC X(25)	36-60	M	"AUTO RECONCILIATION FILE"
File type	PIC X(8)	61-68	M	"NEW"
File sequence number	PIC 9(4)	69-72	M	Value – "0001" for initial file being sent. Incremented by 1 for each subsequent new file sent; rolls to "0001" after reaching "9999"

10.5.2 WIC auto-reconciliation header record ("A1")

The following clarifications apply to the WIC auto-reconciliation header record.

a) If a super header is used, the *Record sequence number* in the header record is the next sequential number.

b) The *file create date* and *file create time* are expressed in GMT.

c) The *file format version* is "04" indicating the 2008 version of the X9.93 Part 2 Files standard.

d) The *file sequence number* in the header record is the same as in the "A0" super header record.

e) The *Receiving institution identification code* may contain the *WIC merchant ID*. If used for this purpose, the *WIC merchant ID* shall be numeric and limited to 11 digits.

Table 13 — WIC auto-reconciliation header record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "A1"
Record sequence number	PIC 9(6)	3-8	M	value = "000001"

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Data element name	Format	Position	Condition	Notes
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value = "03"
Forwarding institution identification code	PIC 9(11)	25-35	M	
File name	PIC X(25)	36-60	M	
File type	PIC X(8)	61-68	M	
File sequence number	PIC 9(4)	69-72	M	
Date, settlement	PIC 9(8)	73-80	M	CCYYMMDD
Receiving institution identification code	PIC 9(11)	81-91	M	used by Acquirer to identify file recipient
Acquiring institution identification code	PIC 9(11)	92-102	M	used to identify Acquirer if different from the Forwarding institution identification code identified as the sender of this file
WIC authority ID	PIC 9(3)	103-105	C	Used to identify the WIC program authorizing agent

10.5.3 WIC auto-reconciliation detail record ("D4")

The following clarifications apply to the WIC auto-reconciliation detail record.

a) The *Amount, transaction* reflects the addition of surcharges.

b) *Amount, discount* is the total value of all discounts, i.e., discounts or coupons to be subtracted from the transaction.

c) The *PAN* is right justified and zero filled.

d) *Date and time, transmission* is incorrectly represented in X9.93 Part 2 Files; the correct representation is MMDDhhmmss expressed in GMT, instead of YYMMDDhhmm.

e) *Date and time, local transaction,* as adjusted for *GMT offset*, shall be less than or equal to the *File create date* and *File create time* in the WIC auto-reconciliation header record.

f) The *GMT offset* data element is a constructed data element consisting of two sub-elements as follows:

    a. *GMT offset* sign; n 1, where plus ("+") = 1 and minus ("-") = 0

    b. *GMT offset hours* n 2, 00 through 14; i.e., GMT may be -12 through +14

    c. The number of hours indicated in *GMT offset hours* is added or subtracted as indicated by the *GMT offset sign* from *Date and time, local transaction* to convert *date and time, local transaction* to GMT. The default value is zero ("000"). For example, if *GMT offset* is "007" (-7 hours) and it is 5:00 p.m. GMT, then it is 10:00 a.m. local time because 5:00 p.m. less 7 hours is 10:00 a.m.

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Table 14 —   WIC auto-reconciliation detail record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "D4"
Record sequence number	PIC 9(6)	3-8	M	
Message type	PIC 9(4)	9-12	M	
PAN length	PIC 9(2)	13-14	M	
PAN	PIC 9(19)	15-33	M	
Processing code	PIC 9(6)	34-39	M	
Amount, transaction	PIC 9(10)v99	40-51	M	amount of claim requested from the merchant
System trace audit number	PIC 9(6)	52-57	M	
Date and time, transmission	PIC 9(10)	58-67	M	In GMT
Date and time, local transaction	PIC 9(14)	68-81	M	
POS data code	PIC 9(12)	82-93	M	
Amount discount	PIC 9(10)v99	94-105	M	
Message reason code	PIC 9(4)	106-109	M	default value is "8400". See ISO 8583 for other values.
Amount paid	PIC 9(10)v99	110-121	M	equal to Amount, transaction less Amount discount
GMT offset	PIC 9(3)	122-124	C	mandatory if required by the WIC authority or State.

10.5.4 WIC auto-reconciliation addenda record 1 ("E1")

The following clarifications apply to the WIC auto-reconciliation addenda record 1:

a)   The *Card issuer reference data* may be used by the WIC State Agency or their agent for other data related to the transaction.

Table 15 —   WIC auto-reconciliation addenda record 1

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "E1"
Record sequence number	PIC 9(6)	3-8	M	
Addenda sequence number	PIC 9(3)	9-11	M	
Acquiring institution identification code	PIC 9(11)	12-22	M	
Retrieval reference number	PIC X(12)	23-34	M	
Approval code	PIC X(6)	35-40	M	
Response code	PIC X(2)	41-42	M	

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Data element name	Format	Position	Condition	Notes
Card acceptor terminal identification	PIC X(8)	43-50	M	
Card acceptor identification code	PIC X(15)	51-65	M	
Card issuer reference data	PIC X(15)	66-80	M	space filled if not required by card issuer

10.5.5 WIC auto-reconciliation addenda record 2 ("E2")

The following clarifications apply to the WIC auto-reconciliation addenda record 2:

a) For WIC Online EBT, the WIC auto-reconciliation addenda record 2 provides the detail item level information that was sent in the Financial Presentment request message (200) after being updated for any partially approved or declined food items. While only the changed detail item level information is returned in the Financial Presentment response message (210), all detail item level information is provided in the WIC auto-reconciliation addenda record 2.

b) For Smart Card EBT, the WIC auto-reconciliation addenda record 2 provides the detail item level information that was sent in the Claim addenda record ("E3"). The *amount, claimed* for a food item is the *claim price* from the Claim addenda record ("E3"), including any surcharges and the *amount, paid* is the *amount, claimed* less any adjustments and discounts.

c) For both WIC Online and Smart Card EBT, for example, a purchase of 2 gallons of milk shelf priced at $1.50 each with a NTE price of $0.90 per gallon where the WIC Cardholder presented two coupons for $1.00 each at a commissary with a 10% surcharge:

Data element in "E2" record	Value	Explanation
Amount, claimed	000000000100 ($1.65)	$1.50 price plus $0.15 surcharge
Amount, paid	000000000000 ($0.00)	$1.65 adjusted to $0.90 less discount of $1.00 (not allowed to be less than zero)
Data element in "D4" record	**Value**	**Explanation**
Amount, transaction	0000000330 ($3.30)	2 times the $1.65 item price
Amount, paid	0000000000 ($0.00)	Sum of the amount, paid of each E2

d) The WIC auto-reconciliation addenda record 2 is required in both WIC Online and Smart Card EBT implementations using the WIC auto-reconciliation file formats as of March 2014.

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Table 16 — WIC auto-reconciliation addenda record 2

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "E2"
Record sequence number	PIC 9(6)	3-8	M	
Addenda sequence number	PIC 9(3)	9-11	M	
Category code	PIC 9(2)	12-13	M	
Sub-category code	PIC 9(3)	14-16	M	
Units	PIC 9(3)v99	17-21	M	
UPC/PLU data	PIC 9(17)	22-38	M	
Amount claimed	PIC 9(7)v99	39-47	M	
Amount paid	PIC 9(10)v99	48-59	M	
Message reason code	PIC 9(4)	60-63	M	reason for an adjustment; see A.3
Original record sequence number	PIC 9(6)	64-69	M	
Original addenda sequence number	PIC 9(3)	70-72	M	
Amount item discount	PIC 9(10)v99	73-84	M	
UPC/PLU data length	PIC 9(2)	85-86	M	

10.5.6 WIC auto-reconciliation adjustment record ("D5")

The WIC auto-reconciliation adjustment record shall be used to adjust an entire file amount or the amount of an individual transaction which was reduced from the original amount of the transaction.

The following clarifications apply to the WIC auto-reconciliation adjustment record:

a) The WIC auto-reconciliation adjustment record ("D5") shall not be used to create a reversal. A WIC auto-reconciliation detail record ("D4") and any associated WIC auto-reconciliation addenda records ("E2") are created for reversals with a message type identifier value indicating a reversal.

b) In WIC Online EBT, the D5 may be created in addition to a reversal record to provide the *Original data elements* from the Financial Presentment (200) message. If created, the *amount, adjustment* in the D5 shall be set to zero to avoid errors in computing the *Total amount settlement* in the Z1 record.

Table 17 — WIC auto-reconciliation adjustment record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "D5"
Record sequence number	PIC 9(6)	3-8	M	
Message type	PIC 9(4)	9-12	M	
Amount, adjustment	PIC x + 9(10)v99	13-25	M	x = D if adjustment is due from acquirer; C if the amount is due to the acquirer

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Data element name	Format	Position	Condition	Notes
Message reason code	PIC 9(4)	26-29	M	see A.3
PAN length	PIC 9(2)	30-31	M	
PAN	PIC 9(19)	32-50	M	mandatory if Message reason code indicates this is an adjustment for a specific transaction; otherwise zero-filled
Original data elements	PIC X(35)	51-85	M	Mandatory if Message reason code indicates this is an adjustment for a specific transaction; otherwise space-filled
Adjustment memo	PIC X(50)	86-135	M	mandatory if additional data is required for this record; otherwise space filled.

10.5.7 WIC auto-reconciliation trailer record ("Z1")

The following clarifications apply to the WIC auto-reconciliation trailer record:

a) The *File create date* and *File create time* are expressed in GMT.

b) The *Amount, discount total* is the sum of the *Amount, discount* in each of the WIC auto-reconciliation detail (D4) records.

Table 18 — WIC auto-reconciliation trailer record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "Z1"
Record sequence number	PIC 9(6)	3-8	M	
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value = "03"
Count, detail records	PIC 9(7)	25-31	M	
Total settlement amount	PIC x + 9(10)v99	32-44	M	x= D if amount is due from acquirer; C if the amount is due to the acquirer
Date, settlement	PIC 9(8)	45-52	M	CCYYMMDD, in GMT
Amount discount total	PIC 9(10)v99	53-64	M	

10.5.8 WIC auto-reconciliation super trailer record ("Z2")

The WIC auto-reconciliation super trailer record layout was not provided in X9.93 Part 2 Files.

Table 19 lists the data elements used in the WIC auto-reconciliation super trailer record.

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Table 19 — WIC auto-reconciliation super trailer record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "Z2"
Record sequence number	PIC 9(6)	3-8	M	
File create date	PIC 9(8)	9-16	M	CCYYMMDD in GMT
File create time	PIC 9(6)	17-22	M	hhmmss in GMT
File format version	PIC 9(2)	23-24	M	value = "04"
Count, detail records	PIC 9(7)	25-31	M	Total number of detail (D4) records

10.5.9 WIC auto-reconciliation amounts processing

Table 20 list describes the sources of the amounts in the WIC auto-reconciliation records.

Table 20 — WIC auto-reconciliation amount data element sources

Auto-reconciliation data element		Source of data element value		
Record ID code	Data element	WIC Online EBT message	WIC Online EBT data element	WIC Smart Card EBT record
D4	Amount, transaction	200 Financial Presentment request	Bit 4, Amount, transaction plus any surcharges	Amount, transaction in Claim file "D4" record which includes any surcharges
D4	Amount, transaction (reversal)	420 Reversal request	Bit 4, Amount, transaction plus any surcharges	n/a
D4	Amount, discount	210 Financial Presentment response	Bit 54-4, Amount, amounts additional	Amount, discount, in Claim file "D4" record
D4	Amount, paid	210 Financial Presentment response	Amount, transaction less amount, discount and any adjustments by the WIC State Agency; set to zero if the application of any discounts would result in a negative amount when calculated.	Amount, transaction less amount, discount and any adjustments by the WIC State Agency; set to zero if the application of any discounts would result in a negative amount when calculated.
D4	Amount, paid (reversal)	430 Reversal response	Bit 5, Amount, reconciliation	n/a

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Auto-reconciliation data element		Source of data element value		
Record ID code	Data element	WIC Online EBT message	WIC Online EBT data element	WIC Smart Card EBT record
E2	Amount, claimed	200 Financial Presentment request	Bit 62-PS-7 item price (plus any surcharges) x bit 62-PS-7 purchase quantity	Claim price from Claim file "E3" record
E2	Amount, paid	210 Financial Presentment response	Bit 62-PS-7 item price (plus any surcharges) x bit 62-PS-7 purchase quantity less any associated amount, adjusted from the D5 or other adjustments made by the WIC State Agency; set to zero if the application of any discounts would result in a negative amount when calculated	Amount claimed from E2 record less any associated amount, adjusted from the D5 or other adjustments made by the WIC State Agency; set to zero if the application of any discounts would result in a negative amount when calculated

The following describes how the amounts in the WIC auto-reconciliation records are related:

a) The sum of the *amount, paid* of each E2 associated with a D4 less *amount, discount* in the D4 equals the *amount, paid* of the D4.

b) The sum of the *amount, paid* of each regular D4 in a file less the sum of the *amount, paid* of the reversal D4's in a file equals the *total settlement amount* in the Z1 trailer record.

c) The *amount, item discount* in E2 records cannot be provided in WIC EBT and is zero-filled. There is no reconciliation of *amount item discount* in the E2 to the D4 *amount, discount.*

d) The sum of the *amount, discount* of each original D4 (message type = "1200") in a file less the sum of the *amount, discount* of each reversal D4 (message type = "1420") equals the *amount, discount total* in the Z1 shown as an absolute value.

10.6 WIC UPC/PLU file

The WIC UPC/PLU file is used to create and update the Authorized Product List (APL). Super-header and Super-trailer records are not used with this file. A single, statewide file is required to be produced by each WIC State Agency for use by their WIC vendors.

10.6.1 WIC UPC/PLU header record ("A1")

Table 21 lists the data elements contained in the WIC UPC/PLU header record. In WIC EBT, the UPC/PLU file is a complete replacement of the previous file.

Table 21 — WIC UPC/PLU header record

Data element name	Format	Position	Condition	Notes

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Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "A1"
Record sequence number	PIC 9(6)	3-8	M	value = "000001"
File create date	PIC 9(8)	9-16	M	CCYYMMDD in GMT
File create time	PIC 9(6)	17-22	M	hhmmss in GMT
File format version	PIC 9(2)	23-24	M	value = "04"
Forwarding institution identification code	PIC 9(11)	25-35	M	Zero-filled if no forwarding institution
File name	PIC X(25)	36-60	M	"UPC/PLU STORE FILE"
File type	PIC X(8)	61-68	M	"REPLACE"
File sequence number	PIC 9(4)	69-72	M	Value starts over at 0001 after reaching 9999
State identifier	PIC X(2)	73-74	M	See A.5
Receiving institution identification code	PIC 9(11)	75-85	C	Used by EBT Card Issuer processor to identify file recipient; may contain only first 6 digits of receiving institution, right-justified and zero-filled

10.6.2 WIC UPC/PLU detail record ("D4")

The WIC UPC/PLU detail record is based on the messages used in X9.93. Table 22 lists the data elements used in the WIC UPC/PLU detail record. The *manual voucher indicator* data element has been added to the end of the detail record layout shown in X9.93:2008 Part 2 Files.

Table 22 — WIC UPC/PLU detail record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "D4"
Record sequence number	PIC 9(6)	3-8	M	
message type	PIC 9(4)	9-12	M	value = "1344"
UPC/PLU data	PIC 9(17)	13-29	M	
UPC/PLU indicator	PIC 9(1)	13	M	
UPC or PLU	PIC 9(15)	14-28	M	
UPC or PLU check digit	PIC 9(1)	29	M	
Item description	PIC X(50)	30-79	M	
Category code	PIC 9(2)	80-81	M	
Category description	PIC X(50)	82-131	M	
Sub-Category code	PIC 9(3)	132-134	M	
Sub-Category description	PIC X(50)	135-184	M	
Unit of measure	PIC X(10)	185-194	M	Only first 5 characters are significant

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Data element name	Format	Position	Condition	Notes
Package size	PIC 9(3)v99	195-199	M	Default for CVB items is "00100"
Benefit quantity	PIC 9(3)v99	200-204	M	Quantity deducted from WIC Participant's prescription benefit
Benefit unit description	PIC X(50)	205-254	M	Only first 6 characters are significant
Item price	PIC 9(4)v99	255-260	M	Mandatory if Price type indicates a price is provided, otherwise zero-filled.
Price type	PIC X(2)	261-262	M	CVB items = "03" indicating the CVB item is not subject to cost containment
Card acceptor identification code	PIC X(15)	263-277	M	Used to identify the specific WIC vendor using the UPC/PLU code specified
Date, effective	PIC 9(8)	278-285	M	If no date is entered (zero-filled), effective upon receipt
Date, end	PIC 9(8)	286-293	M	If no date is entered (zero-filled), authorization continues
UPC/PLU data length	PIC 9(2)	294-295	M	Includes check digit as a significant digit
Purchase indicator	PIC 9(1)	296	M	See Section 10.3.1
Manual voucher indicator	PIC 9(1)	297	M	0 = not available for manual voucher 1 = available for manual voucher (default)

10.6.3 WIC UPC/PLU abbreviated detail record ("D6")

The WIC UPC/PLU abbreviated detail record is used to provide information for printing of the benefit unit descriptions on a receipt. The "D6" record is required for every combination of Category and Sub-Category on the WIC UPC/PLU file. The *benefit unit description* data element has been added to the end of the abbreviated detail record layout shown in X9.93:2008 Part 2 Files.   Table 23 lists the data elements used in the WIC UPC/PLU detail record.

Table 23 — WIC UPC/PLU abbreviated detail record

Data element name	Format	Position	Condition	Notes
Standard detail:				
Record identification code	PIC X(2)	1-2	M	value = "D6"
Record sequence number	PIC 9(6)	3-8	M	
message type	PIC 9(4)	9-12	M	value = "1344"
Additional data elements:				
Category code	PIC 9(2)	80-81	M	
Category description	PIC X(50)	82-131	M	
Sub-Category code	PIC 9(3)	132-134	M	
Sub-Category description	PIC X(50)	135-184	M	
Benefit unit description	PIC X(50)	185-234	M	Only first 6 characters are significant

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10.6.4 WIC UPC/PLU trailer record ("Z1")

Table 24 lists the data elements used in the WIC UPC/PLU trailer record.

In WIC EBT, the UPC/PLU file is a complete replacement of any previous version of the file, so only the *Count, records* data element needs to be provided; the additional count data elements in the trailer record are zero-filled.

Table 24 — WIC UPC/PLU trailer record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "Z1"
Record sequence number	PIC 9(6)	3-8	M	
File create date	PIC 9(8)	9-16	M	CCYYMMDD in GMT
File create time	PIC 9(6)	17-22	M	hhmmss in GMT
File format version	PIC 9(2)	23-24	M	value – "04"
Counts, records	PIC 9(7)	25-31	M	Total count of D4 and D6 records in the file
Count, adds	PIC 9(7)	32-38	M	Zero-filled
Count, changes	PIC 9(7)	39-45	M	Zero-filled
Count, deletes	PIC 9(7)	46-52	M	Zero-filled
Count, replacements	PIC 9(7)	53-59	M	Zero-filled

10.7 WIC Hot Card List

The WIC Hot Card List file is only used in Smart Card EBT processing and conforms to the record layouts shown in X9.93 Part 2 Files. The WIC Hot Card List provides the WIC Vendor with a file against which to validate cards prior to completing a purchase. WIC Online EBT Card Issuer Processors maintain information on the status of cards on their host systems. Following are additional requirements for the Hot Card List records and data elements:

a) The *data and time, effective* data element is in GMT. The *date and time, effective* on the Hot Card List must be less than the start date or benefit effective date on the smart card for the card to be accepted.

b) The *message reason code*, if present, describes the reason the card appears on the Hot Card List. The *message reason code* values used on the Hot Card List detail records are listed in Annex A.

10.7.1 WIC hot list header record ("A1")

Table 25 lists the data elements contained in the WIC hot list header record.

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Table 25 — WIC hot list header record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "A1"
Record sequence number	PIC 9(6)	3-8	M	value = "000001"
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value = "03"
Forwarding institution identification code	PIC 9(11)	25-35	M	
File name	PIC X(25)	36-60	M	
File type	PIC X(8)	61-68	M	
File sequence number	PIC 9(4)	69-72	M	
State identifier	PIC X(2)	73-74	M	
Receiving institution identification code	PIC 9(11)	75-85	C	used by EBT Card Issuer processor to identify file recipient

10.7.2 WIC hot list detail record ("D4")

The WIC hot list detail record is based on the messages used in X9.93. Table 26 lists the data elements used in the WIC hot list detail record.

Table 26 — WIC hot list detail record

Data element name	Format	Position	Condition	Notes
Standard detail:				
Record identification code	PIC X(2)	1-2	M	value = "D4"
Record sequence number	PIC 9(6)	3-8	M	
Message type	PIC 9(4)	9-12	M	value = "1344"
Additional data elements:				
PAN record identification code	PIC X(2)	13-14	M	value = "DA" or "DC" or "DD"
PAN length	PIC 9(2)	15-16	M	indicates the length of the PAN in the PAN data element
PAN	PIC 9(19)	17-35	M	right justified, zero filled
date and time, effective	PIC 9(14)	37-49	M	CCYYMMDDhhmmss
Message reason code	PIC 9(4)	50-53	M	see X9.93 Part 1 for values

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10.7.3 WIC hot list trailer record ("Z1")

Table 27 lists the data elements used in the WIC hot list trailer record.

Table 27 —WIC hot list trailer record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "Z1"
Record sequence number	PIC 9(6)	3-8	M	
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value – "03"
Count, detail records	PIC 9(7)	25-31	M	
Count, hot cards	PIC 9(7)	32-38	M	

10.8 WIC acknowledgment file

The WIC acknowledgment file indicates the file disposition to the file sender. A file may be rejected for transmission errors or claim file errors or accepted for processing. Individual claim detail records may be rejected and the claim amounts for claim files and individual claim detail records accepted for processing may be adjusted.

10.8.1 WIC acknowledgment header record ("A2")

Table 28 lists the data elements contained in the WIC acknowledgment header record.

Table 28 — WIC acknowledgment header record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "A2"
Record sequence number	PIC 9(6)	3-8	M	value = "000001"
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value = "04"
Forwarding institution identification code	PIC 9(11)	25-35	M	
File name	PIC X(25)	36-60	M	
File type	PIC X(8)	61-68	M	
File sequence number	PIC 9(4)	69-72	M	
Transmission file name	PIC X(25)	73-97	M	
Claim file reference ID	PIC X(15)	98-112	C	blank if file status = "T"

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Data element name	Format	Position	Condition	Notes
File submission date	PIC 9(8)	113-120	M	
File submission time	PIC 9(6)	121-126	M	
File process date	PIC 9(8)	127-134	M	
File process time	PIC 9(6)	135-140	M	
File status code	PIC X(1)	141	M	
File rejection error count	PIC 9(7)	142-148	C	
WIC authority ID	PIC 9(3)	149-151	M	

10.8.2 WIC acknowledgment file rejection detail record ("D7")

The WIC acknowledgement file rejection detail record is used to describe the error(s) found at a file level. If a file is accepted or if a file contains errors at the record level only, the WIC acknowledgment file rejection detail record is not present.   A claim file within an Aggregate file may be rejected or an entire Transactions-only file or Aggregate file may be rejected.

Table 29 lists the data elements contained in the WIC acknowledgment file rejection detail record.

Table 29 — WIC acknowledgment file rejection detail record

Data element name	Format	Position	Condition	Notes
Standard header:				
Record identification code	PIC X(2)	1-2	M	value = "D7"
Record sequence number	PIC 9(6)	3-8	M	
Message type	PIC 9(4)	9-12	M	
Additional data elements:				
Error identifier code	PIC 9(4)	13-16	M	
Error descriptor	PIC x(100)	17-116	M	
Error source	PIC X(15)	117-130	M	
Error detail	PIC X(5)	131-135	O	

10.8.3 WIC acknowledgment card acceptor detail record ("D8")

The WIC acknowledgment card acceptor detail record is used to describe the totals of the transactions received, rejected and accepted for processing in a card acceptor's claim file. Table 30 lists the data elements contained in the WIC acknowledgment card acceptor detail record.

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Table 30 — WIC acknowledgment card acceptor detail record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "D8"
Record sequence number	PIC 9(6)	3-8	M	
Message type	PIC 9(4)	9-12	M	
Card acceptor identification code	PIC X(15)	13-27	M	
Count, card acceptor transactions	PIC 9(7)	28-34	M	
Amount, card acceptor claimed	PIC 9(10)v99	35-46	M	
Count, card acceptor transactions rejected	PIC 9(7)	47-53	M	
Amount, card acceptor rejected transactions	PIC 9(10)v99	54-65	M	
Amount, card acceptor transactions accepted	PIC 9(10)v99	66-77	M	
Claim file reference ID accepted	PIC X(15)	78-92	M	

10.8.4 WIC acknowledgment transaction rejection addend record ("E5")

Table 31 lists the data elements contained in the WIC acknowledgment transaction rejection addenda record.

Table 31 — WIC acknowledgment transaction rejection addenda record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "E5"
Record sequence number	PIC 9(6)	3-8	M	
Addenda sequence number	PIC 9(3)	9-11	M	
Message type	PIC 9(4)	12-15	M	
Card acceptor identification code	PIC X(15)	16-30	M	
Error record sequence number	PIC 9(6)	31-36	M	
Error source	PIC X(15)	37-51	M	
Error identifier code	PIC 9(4)	52-55	M	
Error description	PIC x(100)	56-155	M	
Data element name	PIC X(99)	156-254	M	
Expected value, data element	PIC X(999)	255-1253	M	
Actual value, data element	PIC X(999)	1254-2252	M	
Error detail	PIC X(5)	2253-2257	O	

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10.8.5 WIC acknowledgment trailer record ("Z1")

Table 32 lists the data elements contained in the WIC acknowledgment trailer record.

Table 32 — WIC acknowledgment trailer record

Data element name	Format	Position	Condition	Notes
Record identification code	PIC X(2)	1-2	M	value = "Z1"
Record sequence number	PIC 9(6)	3-8	M	
File create date	PIC 9(8)	9-16	M	CCYYMMDD, in GMT
File create time	PIC 9(6)	17-22	M	hhmmss, in GMT
File format version	PIC 9(2)	23-24	M	value = "04"
Count, detail records	PIC 9(7)	25-31	M	
Count, card acceptor detail records	PIC 9(7)	32-38	M	
Count, accepted records	PIC 9(4)	39-42	M	
Count, rejected records	PIC9(7)	43-49	M	
Count, forwarded files	PIC 9(7)	50-56	M	
Amount, card acceptor claimed total	PIC 9(10)v99	57-68	M	
Amount, card acceptor transactions rejected total	PIC 9(10)v99	69-80	M	
Amount, card acceptor transactions accepted total	PIC 9(10)v99	81-92	M	

11 Processing Considerations

This section describes additional processing considerations for WIC Online and Smart Card EBT.

11.1 Receipt data

Table 33 lists the mandatory data on receipts as identified in the WIC Operating Rules.

For WIC Online EBT, the bit map position and data element name associated with the required receipt data is shown.

For WIC Smart Card EBT, the data is obtained from messages exchanged between the card and card reader.

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Table 33 —Receipt data

Balance inquiry Receipt	Related data element	
Data	**Data element name**	**Bit**
Last 4 digits of the PAN	Primary account number (PAN)	2
Store name	Card acceptor name/location, bit 43	43
Store street address, city, state abbreviation and zip code	Card acceptor name/location	43
Local date and time of balance inquiry	Date and time, local transaction	12
Benefit expiration date or benefit effective and benefit ending dates	Earliest benefit expiration date; first date to spend	62-EF
Benefits available:		
Benefit description	Benefit unit description	n/a, from APL file
Benefit quantity	Benefit quantity	62-EA-11
Benefit unit of measure	Benefit unit of measure	62-EA-8
Unique transaction identifier (may be a combination of data from the transaction to create a unique identifier)	Systems trace audit number	11

WIC Purchase Receipt **Contains all data from balance inquiry receipt and the following additional data**	Data element name	Bit
Store lane number	Not available in WIC Online EBT messages	n/a
Purchase food item quantity	Purchase quantity	62-PS-7
Purchased food item description	Sub-category description from UPC/PLU file based on Sub-Category code	From APL file
Purchase food item unit of measure	Unit of measure from UPC/PLU file based on Sub-Category code	From APL file
Unit cost	Item price	62-PS-6
Total purchase amount	Sum of Item price x purchase quantity of all items	62-PS-7 62-PS-6

11.2 UPC/PLU file and National UPC database

The National UPC database is a table provided by FNS of the Category code, Category description, Sub-Category code, Sub-Category description and unit for foods eligible for WIC purchase. It is intended to be used by all WIC State Agencies in creating APL files. See *WIC National UPC Database System Upload/Download File Specifications*, Release Version 2.1, November 19, 2009, available at the USDA/FNS web site.

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Annex A – Data element code tables

Additional date element code values have been assigned for use in WIC EBT as shown in this section. Requests for additional values or the used of any values indicated as reserved shall be sent to FNS for review and approval prior to implementation. For a complete list of all values of a data element, refer to the X9.93 standards.

A.1 Amount types

A new value has been added to the *Amount type* sub-element in the *Amounts, additional* data element (bit 54) for WIC Online EBT processing.

a) "60" – commissary fee. Used to identify the amount of the surcharge applied to a transaction at a commissary.

A.2 Manual voucher indicator

The *manual voucher indicator* is used in both online messages and in UPC/PLU detail records to indicate if a food item is allowed for purchase with a manual voucher. Table 34 shows the assigned values.

Table 34 — Manual voucher indicator values

Value	Description
0	Not allowed for manual voucher
1	Allowed for manual voucher (default)
2-9	Reserved for FNS

A.3 Message reason codes

X9.93 Part 2 Files references X9.93 Part 1 Messages and ISO 8583 for the message reason code values. WIC EBT has assigned additional values as shown in Table 35.

Table 35 — Message reason codes

Usage	Codes	Description
	0000	No error
	001-0999	Reserved
Online advice messages (x2x)	Range 1000-1499	Reason for an advice message rather than a request message
	1000	stand-in processing at the card issuer's option

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Usage	Codes	Description
	1001	card issuer signed off
	1002	card issuer timed out on original request
	1003	card issuer unavailable
	1004	terminal processed
	1005	ICC processed
	1006	under floor limit
	1007	stand-in processing at the acquirer's option
Online file action messages (3xx)	Range 3000-3999	Reason for a file action message
Hot Card List detail record (D4)	3000	Lost
	3001	Stolen
	3002	Undelivered prior to receipt at WIC State Agency
	3003	Counterfeit card – PAN confirmed
	3004-3699	Reserved
	3700	Failed to function prior to issuance
	3701	Missing – delivered but prior to issuance
	3702	Damaged – delivered but prior to issuance
	3703	Damaged – after issuance
	3704	Failed to function after issuance
	3705	Dual participation, card in
	3706	Transferred to Non-EBT state, card
	3707	Partial family transfer to any site, card
	3708-3999	Reserved
	4000-5559	Reserved
Auto-reconciliation detail record (D4)	5600	Invalid (failed) transaction
	5601	Duplicate purchase
	5602	For test card
	5603	Other state's PAN – risk management
	5604	Card on hot card list
	5605	Purchase not received timely
	5606	Purchase in the vendor's termination period
	5607	Invalid date format
	5608	Purchase date in the future

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Usage	Codes	Description
	5609	Purchase after last date to spend
	5610	Purchase before first date to spend
	5611	Invalid signature
	5612-5614	Reserved
	5615	Vendor hold
	5616	Purchase items adjustment total
	5617	No first date to spend
	5618	Not EBT certified
	5619-5649	Reserved
Auto-reconciliation addenda record 2 (E2)	5650	Invalid category
	5651	Invalid or not WIC allowable UPC/PLU
	5652	UPC/PLU doesn't match cat/sub-category
Auto-reconciliation adjustment record (D5)	5653	Compliance buy
Auto-reconciliation addenda record 2 (E2)	5654	Amount exceeds not-to-exceed price
	5655	PWIC exceed TWIC Avg * rate, 120%
	5656	TWIC exceeds PWIC Avg * Rate, 120%
	5657	PWIC exceeds TWIC Avg
	5658	TWIC exceeds PWIC Avg
Auto-reconciliation adjustment record (D5)	5659	Manual cost containment adjustment
	5660-5694	Reserved
	5695	Malformed claim exception
	5696	Other credit/debit
	5697	Monitor disallowance (post payment) credit/debit
	5698	Sampling electronic submission credit/debit
	5699	Increase based upon appeal credit/debit
	5700-5999	Reserved
Retrieval requests and fulfillments	6000-6499	Reserved, see ISO 8583
Administrative messages	6500-6999	Reserved, see ISO 8583
Fee collection	7000-7999	Reserved, see ISO 8583
Network management	8000-8099	Reserved, see ISO 8583
Key change	8100-8199	Reserved, see ISO 8583
Reserved	8200-9999	Reserved

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A.4 Purchase indicator

X9.93 Part 2 Files did not include values for the *Purchase indicator* data element. The values are shown in Table 36.

Table 36 — Purchase indicator code values

Code	Description
0	UPC redeemable only in the specified Sub-Category; default
1	UPC authorized for redemption in the Broadband ("000") Sub-Category as well as the specified Sub-Category
2-9	Reserved for FNS use

A.5 WIC State Agency identifiers

The *WIC Authority ID* listing in X9.93 Part 1 Messages is used to identify WIC State Agencies. The *State identifier* data element is used in X9.93 Part 2 Files for the same purpose. WIC State Agencies also may be identified by their institution identification number (IIN) or BIN, a list of which are available from FNS. Table 37 provides a cross-referenced list of the *state identifier codes* and *WIC Authority ID* values.

Table 37 —State identifier codes and WIC Authority IDs

State Identifier Code	FNS Region	WIC State Agency	WIC Authority ID
A1	SW	Acoma, Canoncito, and Laguna (ACL)	001
AL	SE	Alabama	002
AK	W	Alaska	003
AS	W	American Samoa	004
AZ	W	Arizona	005
AR	SW	Arkansas	006
CA	W	California	007
C2	SW	Cherokee Nation of Oklahoma	009
C3	MP	Cheyenne River Sioux Tribe	010
C4	SW	Chickasaw Nation	011
C5	SW	Choctaw Nation of Oklahoma	013
P2	SW	Citizen Potawatomi Nation	014
CO	MP	Colorado	015

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State Identifier Code	FNS Region	WIC State Agency	WIC Authority ID
C7	W	Commonwealth of the Northern Mariana Islands	016
CT	NE	Connecticut	017
DE	MA	Delaware	018
C1	SE	Eastern Band of Cherokee Indians (NC)	008
E2	MP	Eastern Shoshone	020
E1	SW	Eight Northern Indian Pueblo Council	021
F1	SW	Five Sandoval Indian Pueblos	022
FL	SE	Florida	023
GA	SE	Georgia	024
GU	W	Guam	025
HI	W	Hawaii	026
ID	W	Idaho	027
IL	MW	Illinois	028
I1	NE	Indian Township	030
IN	MW	Indiana	029
I4	W	Inter-Tribal Council Arizona (ITCA)	031
I5	W	Inter-Tribal Council Nevada (ITCN)	032
I2	SW	Inter-Tribal Council of Oklahoma	033
IA	MP	Iowa	034
KS	MP	Kansas	035
KY	SE	Kentucky	036
LA	SW	Louisiana	037
ME	NE	Maine	038
MD	MA	Maryland	039
MA	NE	Massachusetts	040
MI	MW	Michigan	041
MN	MW	Minnesota	042
MS	SE	Mississippi	043
C6	SE	Mississippi Band of Choctaw Indians	012
MO	MP	Missouri	044
MT	MP	Montana	045
M2	SW	Muscogee Creek Nation	046

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State Identifier Code	FNS Region	WIC State Agency	WIC Authority ID
N2	W	Navajo Nation	047
NE	MP	Nebraska	048
NV	W	Nevada	049
NH	NE	New Hampshire	050
NJ	MA	New Jersey	051
NM	SW	New Mexico	052
NY	NE	New York	053
NC	SE	North Carolina	054
ND	MP	North Dakota	055
N1	MP	Northern Arapaho	056
OH	MW	Ohio	057
OK	SW	Oklahoma	058
S7	MP	Omaha/Santee Sioux	060
OR	W	Oregon	059
O1	SW	Osage Nation Tribal Council	061
O2	SW	Otoe-Missouria Tribe	062
PA	MA	Pennsylvania	063
P1	NE	Pleasant Point	064
I3	SW	Pueblo of Isleta	065
S3	SW	Pueblo of San Felipe	066
Z1	SW	Pueblo of Zuni	067
PR	MA	Puerto Rico	068
S4		Reserved for future use	
S5		Reserved for future use	
RI	NE	Rhode Island	070
R2	MP	Rosebud Sioux Tribe	069
S7	MP	Santee Sioux Nation	071
S1	SW	Santo Domingo Tribe	072
S2	NE	Seneca Nation	073
SC	SE	South Carolina	074
SD	MP	South Dakota	075
S6	MP	Standing Rock Sioux Tribe	076

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State Identifier Code	FNS Region	WIC State Agency	WIC Authority ID
TN	SE	Tennessee	077
TX	SW	Texas	078
T1	MP	Three Affiliated Tribe	079
UT	MP	Utah	080
U1	MP	Ute Mountain Ute Tribe	081
VT	NE	Vermont	082
VI	MA	Virgin Islands	084
VA	MA	Virginia	083
WA	W	Washington	085
DC	MA	Washington, District of Columbia	019
WV	MA	West Virginia	087
W1	SW	Wichita, Caddo, and Delaware Tribes (WCD) Enterprises	086
W2	MP	Winnebago Tribe	088
WI	MW	Wisconsin	089
WY	MP	Wyoming	090

A.6 Item action code (62-PS-8)

The *Item action code* sub-element in *EBT data* (bit 62) is used in the *EBT file update response data* (dataset identifier "ED", bit 20) and the WIC *prescription food item (*dataset identifier "PS", bit 8) to indicate the action to be taken on the identified food item. Table 38 shows additional values added for WIC EBT for use with store and forward transactions.

Table 38 —New Item action codes

Code	Item action text
26	Approved for a lower price due to max price exceeded
27	Approved for a lower price due to max price exceeded and approved for less units than originally requested due to insufficient units
28	Approved for less units than originally requested due to insufficient units

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Annex B – X9.93:2008 Updates

This Annex lists the changes to be submitted to the X9 AB11 Working group to update the X9.93 Part 1 Messages and X.93 Part 2 Files standards. The Technical Implementation Guide will be used as a reference in implementing these changes to the standards.

B.1 Part 1 – Messages

The following changes have been identified for the X9.93:2008 Part 1 - Messages standard. Users of the standard for WIC Online EBT shall incorporate these changes.

a) Parts 1 and 2, 4.1 Table 1, Representation abbreviations, "xn" values shall be "C" and "D" not lowercase.

b) Part 1, Clause 2, update references to current names.

c) Part 1, Clause 4.2, add "IFPS" for International Federation for Produce Standards.

d) Part 1, Clause 6.1, add definitions and notes for "EF" dataset identifier, *Earliest benefit expiration date* and its sub-elements and that it is mandatory echo in 110 authorization or verification response messages or 210 financial presentment response messages when the action code = "000" (approved). Also, representation is "n 13" as data element includes a length and dataset identifier.

e) Part 1, Clause 6.2.12, Table 3, WIC prescription food item, agreed that bits 3, 4, 7 and 11 shall be mandatory in the "PS" WIC prescription food item. Update and expand dataset identifier tables to show usage (mandatory, conditional) for each message type where used.

f) Part 1, Clause 6.2.13, add *UPC/PLU check digit* to all UPC and PLU sub-elements in the *UPC/PLU data* data element.

g) Part 1, Clause 6.2.16, Table 4, EBT file update response data and Annex C.9, update "ED" data set identifier description and expand dataset identifier tables to show usage (mandatory, conditional) for each message type where used.

h) Part 1, Clause 6.2.17, Table 5, EBT balance information, correct to only allow EA in bit 62.

i) Part 1, Clause 6.2.17, Table 5, EBT balance information, insert dataset bit "10" in "EA" dataset identifier description and leave it as "reserved for national use" with no representation or length.

j) Part 1, Clause 7.2 and 7.2.1, add clarification that 100/110 and 200/210 messages are standard message sets for WIC EBT.

k) Part 1, Clause 8.3.4, Table 13, Financial Presentment mandatory and conditional data elements, delete *message reason code* and *amounts, original* as a required data element in message.

l) Part 1, Clause 8.5.2, (d), change to allow reversals of voucher clear transactions.

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m) Part 1, Clause 8.5.3, Table 19, Reversal mandatory and conditional data elements, add condition for *EBT data* (bit 62) stating that a reversal advice (420) shall contain it from the original financial presentment message if available.

n) Part 1, Clause 8.5.3, Table 19, Reversal mandatory and conditional data elements, add condition. A reversal advice (420) must contain EBT data (bit 62) from the original financial presentment message if available.

o) Part 1, Clause 8.7.4 Table 23, Network Management mandatory and conditional data elements, remove as mandatory or conditional in 8xx messages.

p) Part 1, Clause 8.7.4, Table 23, Network Management mandatory and conditional data elements, remove *transport data* (bit 59) as required data element in message.

q) Part 1, Clause, 8.7.4, Table 23, Network Management mandatory and conditional data elements, add "ME" to bit 11, *systems trace audit number* for 810/812/814 message.

r) Part 1, Clause 8.7.4, Table 23, Network Management mandatory and conditional data elements, add "ME" to bits 7, 11, 12, 24 and 25 in the 810/812/814 messages.

s) Part 1, Annex B, change to a Normative annex, not an Informative one.

t) Part 1, B.13, Table B.14, Item action codes, add *Item action code* values of "26 - Approved for a lower price due to max price exceeded" and "27 - Approved for a lower price due to max price exceeded and approved for less units than originally requested due to insufficient units" to dataset bit 8, *item action code*, in WIC Prescription food item (bit 62, dataset identifier "PS") and dataset bit 20, *item action code* in EBT file update response data (bit 62, dataset identifier "ED").

u) Part 1, Annex B, Clause B.15, add state identifier values to WIC Authority ID table.

v) Part 1, correct data element name "system trace audit number" to "system*s*" trace audit number".

w) Part 1, change "Cash Value Voucher" to "Cash Value Benefit".

x) Part 1, correct representation of data element *amount type, amounts additional* to "an 2".

y) Part 1, correct representation of data elements *item price* and *original item price* to "n 6" and format to "9(4)v99".

B.2 Part 2 – Files

The following changes have been identified for the X9.93:2008 Part 2 – Files standard. Users of the standard for WIC Online and Smart Card EBT shall incorporate these changes.

a) Part 2, Clause 6, Table 2, Data element directory, add the format of *item price* is "9(4)v99)".

b) Part 2, Clause 6, Table 2, Data element directory, add definition of *state identifier* and add list of values to Annex A.

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c) Part 2, Clause 6, Table 2, Data element directory, change, *Date and time, transmission* to "MMDDhhmmss" from "YYMMDDhhmmss"; to conform to the ISO 8583 standard.

d) Part 2, Clause 6.4 add check digit to all UPC and PLU data elements.

e) Part 2, Clause C.2.1, Table C.1, WIC auto-reconciliation header record, and Table C.15, WIC hot list trailer record, correct value of *file format version*, to "04" instead of "03".

f) Part 2, Clause C.5.1, Table C.16, WIC UPC/PLU header record, update format of *state identifier* to "an 2" add reference to table in Annex A.

g) Part 2, Clause C.5.2, Table C.17 WIC UPC/PLU detail record, add *manual voucher indicator* to end of UPC/PLU detail record, pic 9(1) and to Clause 6, Table 2, Data element directory and Annex A, List of data elements.

h) Part 2, Clause C.5.3, Table C.18, WIC UPC/PLU abbreviated detail record and Clause 6 Table 1 and Annex A; update to add data element *benefit unit description* to the D6 record, used for the description of sub-categories with a purchase indicator value of "1".

i) Part 2, Clause C.2.6, Table C.6, WIC auto-reconciliation trailer record, add note to *amount discount, total* that the absolute value of the individual discount amounts is used.

j) Part 2, correct data element name "system trace audit number" to "system*s* trace audit number".

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