SNAP SYSTEM INTEGRITY REVIEW TOOL

Rhode Island Department of Human Services (Draft Response)

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

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Please complete the following. Additional information may be added in each row or in the comments section. If the Y/N boxes are shaded, a response other than Yes/No is requested. If the answer is 'No' please explain.

A. Eligibility & Benefits Determination

A1. Initial Application Processing (273.2)

Y	N	Initial Application Processing	If No – Why
X		AP-1 Does the system capture the application date?	
X		AP-2 Is eligibility for expedited service designated in the system?	
X		AP-3 Does the system capture the expedited service determination date?	
X		AP-4 Does the system calculate destitute provisions for income of migrants?	
X		AP-5 Is the type of interview (face-to-face/phone) designated?	
X		AP-6 Does the system capture the interview date?	
X		AP-7 Is an online application available? (For purposes of this review, online applications include only those that permit a client to apply directly with a State agency and do not include downloadable applications on a State website that the client must print and submit)	
X		AP-8 Does the online application have an electronic signature?	
X		AP-9 Can the online application be filed with only the applicant's name, address, and signature at any point when completing the application?	
X		AP-10 Does the online application display the most up to date non-discrimination statement?	
X		AP-11 Does the online application populate the eligibility system with data? (i.e., does the information entered by the client on the online application form automatically transfer into the eligibility screens of the new system?)	
X		AP-12 How does the system handle multiple internet or paper applications being submitted from the same person or household?	

Y	N	Initial Application Processing	If No – Why
		Note: Every individual has to go through a File Clearance process which validates that duplicate individuals are not created. Additionally, the file clearance process pulls the existing cases/applications for the individual for user review during the file clearance. This allows new paper and online applications to then be associated to an existing case if the individual already exists. If the worker doesn't complete a proper file clearance, the system contains checks to prevent duplicate benefits from being issued to the same individual.	
X		AP-13 Does the online application get filed electronically?	
X		AP-14 Does the system capture verification of identity types/sources?	
X		AP-15 Does the system apply program choices by individual household (HH) member?	
X		AP-16 Does the system check that each HH member is not in another active case?	
X		AP-17 If duplicate participation is detected; does system prevent entry of the duplicate case?	
X		AP-18 Does the system contain mandatory data fields that must be completed before the worker can move to the next screen (i.e., can any fields be left blank)?	

A1 Comments:

A2. HH Data (273.1; 273.3 through 273.6)

Y	N	HH Data	If No – Why
X		HH-1 Does the system allow for an unlimited number of household (HH) members?	
X		HH-2 Does the system capture the name of each HH member?	
X		HH-3 Does the system capture a Social Security Number (SSN) for each HH member?	

Y	N	HH Data	If No – Why
X		HH-4 Are HH members who still need to provide a SSN tracked?	
X		HH-5 Does the system provide temporary SSN if member does not have one? (i.e., Numident or similar process)	
X		HH-6 Does the system capture the date of birth for each HH member?	
X		HH-7 Does the system designate head of HH?	
X		HH-8 Does the system capture the relationship of each member to the head of HH?	
X		HH-9 Does the system capture whether the members purchase and prepare with head of HH?	
X		HH-10 Does the system capture the sex of each member?	
X		HH-11 Does the system capture the racial/ethnic data for each member using the categories listed on the FNS 101 report, "Participation in Food Programs – By Race"?	
X		HH-12 Does the system generate the racial/ethnic data needed to complete the FNS 101 report in either an XML or Excel file?	
X		HH-13 Does the system capture the citizenship/immigration status of each member?	
X		HH-14 Does the system capture all categories of non-citizens not subject to meeting additional conditions for eligibility (e.g. five year waiting period or 40 qualifying hours of work)?	
X		HH-15 Does the system capture the alien registration number of each member?	
X		HH-16 Does the system capture the residence address?	
X		HH-17 Does the system indicate that the address has been verified?	
X		HH-18 If the HH residence is group facility, is that designation made?	
X		HH-19 Does the system have a designation for homeless?	
X		HH-20 Does the system capture the mailing address?	
X		HH-21 Does the system capture multiple telephone number(s)?	
X		HH-22 Does the system capture whether any adult HH member speaks English proficiently?	
X		HH-23 Does the system capture the HH's language?	
X		HH-24 Does the system capture the translation needs?	

Y	N	HH Data	If No – Why
X		HH-25 Does the system capture the interpreter needs?	
X		HH-26 Are non-HH members (e.g., disqualified, fleeing felons, ineligible aliens, drug felons, students, strikers, others) identified in system?	
X		HH-27 Does the system allow the entry of a HH member not applying to skip entry of SSN and immigration status?	

A2 Comments:

A3. Status of HHs

Y	N	Status of HHs	If No – Why
X		S-1 Does the system identify a HH with all elderly/disabled members?	
X		S-2 Does the system identify a HH with all SSI recipients?	
X		S-3 Does the system identify a HH with all TANF/GA recipients?	

A3 Comments:

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

Y	N	Authorized Representative	If No – Why
X		AR-1 Does the system capture the name(s) of the authorized representative(s)?	
X		AR-2 Does the system capture the address(es) of the authorized representative(s)?	
X		AR-3 Does the system capture telephone numbers for two unique authorized representative(s)?	
X		AR-4 Does the system differentiate the roles of authorized representative(s)? (i.e., The household has the right to name two authorized representatives: one to make application and report changes for the household and one to use the EBT card. The authorized	

Y	N	Authorized Representative	If No – Why
		representative for obtaining benefits may or may not be the same individual designated as an authorized representative for the application process or for meeting reporting requirements.)	

A4 Comments:

A5. Earned Income (273.9)

Y	N	Earned Income	If No – Why
X		EI-1 Does the system capture the gross total earned income for the HH?	
X		EI-2 Does the system capture the gross earned income by HH member?	
X		EI-3 Does the system capture the source(s) of earned income?	
X		EI-4 Does the system capture the self-employment earned income by HH member?	
X		EI-5 Does the system capture the ☐ self-employment expenses (allowed/disallowed) or ☐ self-employment expense standard (if State has one)?	
X		EI-6 Does the system allow for net losses from farm self-employment to be offset from other income? (Note: See UI-6; offset may be made from unearned income also.)	
X		EI-7 Does the system capture the frequency of earned income?	
X		EI-8 Does the system capture the verification of earned income types/sources?	
X		EI-9 Are sources of earned income identified, including training allowances, VISTA [Title 1], Work Incentive Act, roomer/boarder, striker, other, identified?	
X		EI-10 Does the system calculate the earned income deduction?	
X		EI-11 Does the system not apply the earned income deduction if no earned income is reported?	
X		EI-12 Does the system identify whether earned income is included/excluded based on program type?	

Y	N	Earned Income	If No – Why
X		EI-13 Can the system attribute disqualified or non-eligible HH member earned income to HH?	

A5 Comments:

A6. Unearned Income (273.9)

Y	N	Unearned Income	If No – Why
X		UI-1 Does the system capture the gross unearned income total for HH?	
X		UI-2 Does the system capture the individual gross unearned income by HH member?	
X		UI-3 Does the system capture the source(s) of unearned income?	
X		UI-4 Does the system capture the frequency of unearned income?	
X		UI-5 Does the system allow adjustments to unearned income?	
X		UI-6 Does the system allow offset(s) from unearned income? (e.g., Net losses from farm self-employment.)	
X		UI-7 Does the system capture the verification of unearned income types/sources?	
X		UI-8 Does the system identify whether unearned income is included/excluded based on program type?	
X		UI-9 Can the system attribute disqualified or non-eligible HH member unearned income to HH?	

A6 Comments:

A7. Resources (273.8)

Y	N	Resources	If No – Why
X		R-1 Does the system correctly calculate total resources?	
X		R-2 Does the system capture individual resource ownership?	

Y	N	Resources	If No – Why
X		R-3 Does the system capture joint resource ownership?	
X		R-4 Does the system capture HH vehicles?	
X		R-5 Does the system capture HH liquid resources (cash on hand, bank accounts, stocks, bonds)?	
X		R-6 Does the system capture HH real estate?	
X		R-7 Does the system capture IRA/Keogh Plans?	
X		R-8 Does the system capture other resources?	
X		R-9 Are transfers of resources (3 months prior) identified?	
X		R-10 Does the system capture the verification of resource types/sources?	
X		R-11 Does the system identify whether resources are included/excluded based on program type?	
X		R-12 Can the system attribute disqualified or non-eligible HH member resources to HH?	

A7 Comments:

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

Y	N	Medical Deduction	If No – Why
X		MD-1 Is eligibility for the excess medical deduction (disabled or elderly) determined?	
X		MD-2 Does the system capture the total monthly medical expenses?	
X		MD-3 Does the system correctly calculate allowable individual monthly medical expenses?	
X		MD-4 Does the system correctly apply the medical expense deduction to the household?	
X		MD-5 Does the system capture the verification of medical expense types/sources?	
X		MD-6 Does the system identify whether medical expenses are included/excluded based on program type?	

Y	N	Medical Deduction	If No – Why
X		MD-7 Does the system attribute disqualified HH member medical expenses to HH?	
X		MD 8 If the State has implemented a standard medical deduction (waiver required), does the system provide data that indicates what percentage of the caseload eligible for the deduction actually utilizes it?	
X		MD-9 If the State has a Standard Medical Deduction (SMD), is the standard automatically applied for HH's that exceed the $35 threshold? Note: Households that contain elderly and/or disabled members who claim to have medical expenses of more than thirty-five dollars ($35) will be given a standard medical deduction of one hundred and forty one dollars ($141).	
X		MD-9 If the State has a Standard Medical Deduction, does the system allow for an itemized deduction if the medical expenses exceed the State's Standard? Note: If the household claims that its monthly medical expenses exceed one hundred and seventy six dollars ($176) per month, the agency will grant the household the option of verifying and utilizing its actual monthly medical expenses instead of the standard medical deduction	

A8 Comments:

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

Y	N	Dependent Care Deduction	If No – Why
X		DD-1 Does the system capture the HH's total monthly dependent care expenses?	

Y	N	Dependent Care Deduction	If No – Why
X		DD-2 Does the system capture the individual monthly dependent care expenses?	
X		DD-3 Does the system capture eligibility for dependent care deduction?	
X		DD-4 Does the system capture verification of dependent care expense types/sources?	
X		DD-5 Does the system identify whether dependent care expenses are included/excluded based on program type?	
X		DD-6 Can the system attribute disqualified HH member dependent care expenses to HH?	
X		DD-7 Does the system disallow the deduction if the care is reimbursed by Employment and Training or paid by another source?	

A9 Comments:

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

Y	N	Deduction	If No – Why
X		SD-1 Does the system capture the shelter expense total?	
X		SD-2 Does the system capture the rent or mortgage and frequency?	
X		SD-3 Does the system capture property taxes and frequency?	
X		SD-4 Does the system capture property insurance and frequency?	
X		SD-5 Does the system capture the utility expenses total?	
X		SD-6 Does the system capture the telephone expense and frequency?	
X		SD-7 Does the system capture the electricity expense and frequency?	
X		SD-8 Does the system capture the gas expense and frequency?	
X		SD-9 Does the system capture the oil expense and frequency?	
X		SD-10 Does the system capture the water/sewage expense and frequency?	
X		SD-11 Does the system capture the trash expense and frequency?	
X		SD-12 Does the system capture the heating/cooling expense and frequency?	

Y	N	Deduction	If No – Why
	X	SD-13 Does the system capture vendor payments?	Rhode Island does not issue cash vendor payments and, therefore, this functionality is not present in the solution.
X		SD-14 Does the system capture the receipt of LIHEAP?	
X		SD-15 Does the system capture subsidized Public Housing?	
X		SD-16 Does the system calculate correctly the Heating and Cooling Standard Utility Allowance (HCSUA)?	
X		SD-17 Does the system calculate correctly the Limited Utility Allowance (LUA)?	
X		SD-18 Does the system calculate correctly the Telephone Utility Allowance (TUA)?	
X		SD-19 Does the system calculate correctly single utility allowances?	
X		SD-20 Is the homeless standard allowed (if State has taken this option)?	
X		SD-21 Is the maximum correctly allowed (for deductions with a maximum)?	
X		SD-22 Are disabled/elderly HH excess shelter expenses allowed?	
X		SD-23 Does the system correctly apply the excess shelter cap for non-elderly/disabled HH members?	
X		SD-24 Does the system record what type of utility expense was allowed based on what option the State took (i.e. actual or mandatory)?	
X		SD-25 Does the system capture the verification of shelter expense types/sources?	
X		SD-26 Does the system identify whether shelter expenses are included/excluded based on program type?	
X		SD-27 Can the system attribute disqualified HH member shelter expenses to HH?	

A10 Comments:

A11. Other Deductions

Y	N	Other Deductions	If No – Why
X		OD-1 Does the system calculate correctly the standard deduction based on HH size?	
X		OD-2 Depending on State option, is child support payment treated as exclusion or deduction? ☐ Exclusion ☐ Deduction Note: Child Support Payments paid by household members are an income exclusion as long the household member has a legal obligation to pay child support and the payments are verified.	
X		OD-4 Does system capture the legally obligated amount, the actual amount paid, and any arrearages?	
X		OD-3 Does the system capture the verification of other deduction types/sources?	

A11 Comments:

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

Y	N	Categorical Eligibility	If No – Why
X		CAT-1 Does the system calculate correctly the resource disregard for eligible HHs?	
X		CAT-2 Does the system calculate correctly the gross income disregard for eligible HHs?	
X		CAT-3 Does system disregard net income limit for categorically eligible 1 and 2 person HHs?	
X		CAT-4 Depending on state option, are cases of categorically eligible HHs with 3 or more persons suspended or closed when eligible for zero benefits?	

Y	N	Categorical Eligibility	If No – Why
X		CAT-5 Does the system capture households with 3 or more persons that are not eligible through broad-based categorical eligibility (BBCE) and thus subject to a resource limit?	

A12 Comments:

A13. Work Registration (273.7[a])

Y	N	Work Registration	If No – Why
X		WR-1 Does the system capture and track registered HH members?	
X		WR-2 Does the system capture the reason for exemption?	
X		WR-3 Does the system identify correctly Employment and Training mandatory participants?	
X		WR-4 Does the system correctly handle voluntary quit or reduction in work hours?	
X		WR-5 Does the system correctly handle disqualification for non-compliance?	
X		WR-6 Does the system track the number of disqualifications?	
	X	WR-7 Does the system generate the data needed to complete the FNS 583 Employment and Training Activity Report in either an XML or Excel file?	The system captures the data required for creating the 583 Employment and Training Activity Report. As needed, this data can be extracted from the database to populate this report.
X		WR-7 Does the system auto-fill in the 10 day period to comply into the NOAA for E&T Disqualification?	

A13 Comments:

A14. ABAWDS (273.7[c])

Y	N	ABAWDS	If No – Why
X		ABS-1 Are the 3 in 36 countable months of participation tracked by the system?	

Y	N	ABAWDS	If No – Why
X		ABS-2 Are exempt areas of State tracked (areas covered by waivers) by the system?	
X		ABS-3 Are the reasons for exemptions from the ABAWD work requirement captured by the system?	
X		ABS-4 Does the system track 15% exemptions? This includes each month an ABAWD is assigned an exemption and the total number of exemptions used Statewide each quarter.	
X		ABS-5 Are fixed or rolling 36 month periods accommodated? Note: System accommodates fixed 36 month period clock across the state.	
X		ABS-6 Are the number of failures to comply with an employment and training program tracked by the system?	
?		ABS-7 Is 100% Federal funds spending tracked by the system?	Need More Information regarding this to provide detailed response.
?		ABS-8 Is 50% Federal funds spending tracked by the system?	Need More Information regarding this to provide detailed response.
X		ABS-9 Does the system generate the data needed to complete the FNS 583 Employment and Training Activity Report in either an XML or Excel file?	
?		ABS-10 Does the system track pledge funds?	Need More Information regarding this to provide detailed response.
X		ABS-11 Does the system track the additional 3 months of eligibility after the first 3 in 36 months are used?	
X		ABS-12 Does the system generate a notice and terminate issuance when an ABAWD becomes ineligible?	

A14 Comments:

A15. Students (273.5)

Y	N	Students	If No – Why
X		S-1 Does the system capture the reason for disqualification/ineligibility?	
X		S-2 Does the system capture all exemption categories allowing students to be eligible?	
X		S-3 Is student eligibility established considering work status?	
X		S-4 Does the system address student eligibility based on school attendance?	
X		S-5 Does the system calculate student income and deductions for educational expenses?	
X		S-6 Does the system account for the state option to average student work hours monthly (if applicable)?	

A15 Comments:

A16. Group Facility Residences/Homeless Meal providers (273.11)

Y	N	Group Facility Residences/Homeless Meal providers	If No – Why
X		GRP-1 Does the system identify the HH member as resident of group facility?	
X		GRP-2 Does the system identify group facility classified by type (Group Living Arrangements (GLA), Drug Addict or Alcoholic program (DAA), Mental Health, Battered men/women/children)?	
X		GRP-3 Is the facility identified as **the** authorized representative where applicable?	
X		GRP-4 Is the benefit allotment divided between facility & recipient in the month the recipient leaves?	
	X	GRP-5 Is a second issuance in same month to battered women/children shelter resident allowed?	The system will allow manual issuance in the same month for a battered women/children shelter resident.
X		GRP-6 Does the system identify cases permitted to use benefits at restaurants and/or homeless meal providers? If so, does the system have the ability to report on the following:	

Y	N	Group Facility Residences/Homeless Meal providers	If No – Why
		• Individual Categories o Homeless – Total # and % o Disabled– Total # and % o Elderly – Total # and % • Usage o Multiple transactions o Excessive issuance o Rapid transactions o Time of transactions • Dollar amount (per benefit)	

A16 Comments:

A17. Disaster SNAP

Y	N	Disaster SNAP	If No – Why
X		DIS-1 Does the system process applications, determine eligibility, and calculate benefits for the Disaster SNAP Program?	
X		DIS-2 Does the system check for duplication of benefits with the regular SNAP?	
X		DIS-3 Does the system check applicants against Disaster SNAP denied applications? (See policy memo: http://www.fns.usda.gov/snap/rules/Memo/2008/121708a.pdf)	
X		DIS-4 Does the system check for duplication against approved Disaster SNAP benefits?	
X		DIS-5 Does the system specifically identify and report Disaster SNAP benefits needed to complete the FNS-292b, FNS-46, and FNS-388 reports as well as daily reports for disaster reporting?	
X		DIS-6 Does the system track and report separately mass replacement amounts provided for HHs whose food was purchased with regular SNAP benefits but destroyed in a major disaster event?	

Y	N	Disaster SNAP	If No – Why
X		DIS-7 Does the system track and report separately supplemental benefits issued to ongoing, regular SNAP HHs that bring their benefit level up to the maximum for their HH size?	
X		DIS-8 Does the system issue notices specifying Disaster SNAP eligibility and benefit amounts?	
X		DIS-9 Does the system check residence zip codes against those within authorized disaster area (such as county, town, etc.)? DSNAP benefits can also be extended with approval to HHs who had a member who worked (but may not live) in the authorized disaster area and lost income due to the disaster event.	
	X	DIS-10 Does the system check duplicate participation for all cases approved through the EBT terminal (i.e. if state certifies and issues benefits through the EBT terminal and not the eligibility system)?	Rhode Island does not issue DSNAP benefits directly through EBT Terminal. System will issue DSNAP benefits either in real-time or through nightly batch process based on availability of the service.
X		DIS-11 In the event of a major disaster/pandemic are State and local office staff able to access the system to operate SNAP remotely?	
X		DIS-12 Does the system allow expungement earlier than the 365th day if there is waiver approval for early expungement of DSNAP and supplemental benefits?	
X		DIS-13 In the event of an offsite DSNAP operation, is the system portable or available via internet access?	
X		DIS-14 Can new security roles be easily defined in the system for DSNAP eligibility and issuance workers?	
X		DIS-15 Are there back-ups to the DSNAP, issuance, and regular eligibility systems in case there are system failures during and after a disaster event? Note: Eligibility Override, Manual Issuance functionalities can be leveraged in case of system failure during and after a disaster event.	

A17 Comments:

B. Changes

B1. Reporting (273.12)

Y	N	Reporting Systems	If No – Why
X		CHG-1 Does the system identify the type of reporting HH must do?	
X		CHG-2 Does the system allow change reporting?	
X		CHG-3 Does the system allow simplified reporting?	
X		CHG-4 For simplified reporting, does the system generate periodic reports (if applicable)?	
X		CHG-5 Does the system allow monthly reporting?	
X		CHG-6 For monthly reporting, does the system generate reports?	
X		CHG-7 Does the system allow quarterly reporting?	
X		CHG-8 For quarterly reporting, does the system generate reports?	
X		CHG-9 Does the system terminate issuance if no report is provided?	
X		CHG-10 Does the system track processing of client reports (monthly, quarterly, periodic)?	
X		CHG-11 Are case changes recorded in an audit trail which identifies the EW that made the change?	
X		CHG-12 Do positive database matches with wage-reporting systems initiate a notice to the EW?	
X		CHG-13 Is there a way for the system to generate/track a request for contact (RFC) notice in response to unclear information?	
X		CHG 14 Does the system allow the EW to track a reported mid-period change that could not be processed until the periodic report or recertification? (For simplified reporting cases, this may be common in States that do not act on all changes. It also applies to some changes reported by other programs.)	
X		CHG-15 If the system receives info from a source considered "verified upon receipt," does it automatically update the case, recalculate benefits, suspend/terminate case, and notify EW?	
X		CHG-16 Does the system record origin of all reports causing case changes?	
X		CHG-17 If a joint eligibility system, does the system automatically notify other programs of reported changes and new SNAP benefit amount?	

Y	N	Reporting Systems	If No – Why
X		CHG-18 If a joint eligibility system, are other program changes and new grant amounts automatically processed for SNAP case?	

B1 Comments:

B2. Mass Changes (273.12[e])

Y	N	Mass Changes	If No – Why
X		MC-1 Is the system capable of computing changes and adjusting benefits as needed for:	
X		- Gross income eligibility limit?	
X		- Net income eligibility limit?	
X		- Standard deduction?	
X		- Shelter cap deduction?	
X		- Utility standards?	
X		- Disaster income eligibility standards?	
X		- Overpayments (claims)?	
X		- Underpayments (restorations)?	
X		- Minimum/maximum monthly food stamp allotments	
X		MC-2 Are changes made to update SNAP income with actual increased amounts of TANF grants, SSA benefits, and SSI benefits?	
X		MC-3 Can the system issue reduced or increased allotments for the entire caseload, if necessary?	
X		MC-4 Can the restorations for the reduced month be made at a later date, if necessary?	
X		MC-5 Does the system possess facilities to assure changes in program specifications regarding eligibility and benefit calculations can be	

Y	N	Mass Changes	If No – Why
		affected without major modifications to the system or duplication to HH's cases?	
X		MC-6 Is there a back-up process in place in case the system has to be reverted to its previous state?	
X		MC-7 Can client notices be issued to the households affected by a mass change if the State chooses to send out a notice?	

B2 Comments:

C. Claims & Restoration

C1. Claims (273.18)

Claim Function	Eligibility system	Separate system	If No - Why
C-1 Does the system calculate the claim amount?	X		
C-2 Does the system identify claim amount?	X		
C-3 Does the system identify claim type?	X		
C-4 Does the system determine correct allotment reduction percentage per claim type?	X		
C-5 Does the system identify retention percentages based on claim type?	X		
C-6 Does the system disallow earned income deduction when IPV?	X		
C-7 Does the system calculate the pro rata share of the payment collected for each program when the debtor does not specify to which program to apply the collection?	X		

Claim Function	Eligibility system	Separate system	If No - Why
C-8 Does the system display the date of payment agreement?	X		
C-9 Does the system display the discovery date?	X		
C-10 Does the system display the referral date?	X		
C-11 Does the system generate demand letters?	X		
C-12 Does the system display the client notification date? (i.e., date of demand letter)	X		
C-13 Does the system suspend or terminate claims? (How – auto or worker, when?)	X		
C-14 Does the system permit change to claim type and date of change?	X		
C-15 Does the system determine the claim amount?	X		
C-16 Does the system determine the recoupment rate (minimum amount)?	X		
C-17 Does the system calculate the amount recouped to date?	X		
C-18 Does the system offset claims against restoration amounts?	X		
C-19 Does the system track Treasury Offset Program (TOP) timeframes?	X		
C-20 Does the system track payments by cash, check, TOP offset, recoupment, EBT transaction? Automatically? Or manual entry from separate system?	X		
C-21 Does the system calculate the outstanding claim balance?	X		
C-22 Does the system indicate if the claim was compromised?	X		
C-23 Does the system display the delinquency date?	X		

Claim Function	Eligibility system	Separate system	If No - Why
C-24 Does the system properly calculate the delinquency date from the due date stated on the demand letter, per the State's claims management policy?	**X**		
C-25 Is the system capable of tracking timely claims payments and capturing both the payment amounts and the due dates?	**X**		
C-26 Can the system automatically apply expunged benefits to the correctly prioritized outstanding claim(s)?	**X**		
C-27 Can the claims that are on hold for collection pending a fair hearing decision be tracked?	**X**		
C-28 Can the claims that have been written off or terminated be tracked?	**X**		
C-29 Does the system interface with TOP? If yes, - Are state refunds and TOP refunds able to be tracked and reconciled? Are TOP refunds able to be reported? -Are claims that have met all due process for TOP be automatically referred to TOP (in batch)?	**X**		

C2. Restoration of Lost Benefits (273.17)

Y	N	Restoration of Lost Benefits	If No – Why
X		RST-1 Does the system capture the restoration determination date? ☐ Date the State received HH request for restoration, ☐ Date that the State discovered a loss had occurred, ☐ Date of Fair Hearing restoration determination date	
X		RST-2 Does the system calculate the restoration benefit amount?	

Y	N	Restoration of Lost Benefits	If No – Why
X		RST-3 Does the system identify restoration amounts within the benefit history?	
X		RST-4 Does the system designate the month(s) for which the benefit is restored?	
X		RST-5 Does the system issue retroactive/restored benefits?	
	X	RST-6 If not captured under claims, does the system offset restoration against pending HH claims amounts?	Per Rhode Island policy/process, restored benefits are not offset.
	X	RST-7 Does the system allow for currently ineligible HHs to receive restoration amounts?	For restored benefits, the amount is equal to the initial benefit amount. This is calculated based on the eligible individuals in the household for the restoration period.
	X	RST-8 Does the system generate client notices of restoration?	System allows users to generate notice to notify the clients of restored benefits.
X		RST-9 Does the system capture the Fair Hearing request date?	
	X	RST-10 Does the system edit restoration benefits so that none are restored for a period of more than 12 months?	This is implemented as a business process by policy staff. While the system doesn't prevent restoration of Benefits for more than 12 months, only authorized staff will have access to this functionality.
X		RST-11 Does system code why benefits were restored (for example, the case was closed in error)?	

C1 -2 Comments:

D. Certification Notices (273.10, 273.12, 272.13, and 273.14)

D1. Certification Notices

Y	N	Certification Notices	If No – Why
		CN-1 Does the system automatically generate client notices for:	

Y	N	**Certification Notices**	**If No – Why**
X		• Notice of Eligibility?	
X		• Notice of Denial?	
X		• Are notices of denial issued as soon as the decision to deny is made and do they accurately reflect the reason for the denial?	
X		• Notice of Pending Status?	
X		• Notice of Suspension? (if State suspends)	
X		• Notice of Expiration?	
X		• Notice of Adverse Action (reduction or termination of benefits)?	
X		• Are notices of adverse action issued as soon as the decision is made and do they accurately reflect the reason for the adverse action?	
X		• Notice of Adverse Action for a disqualification or failure to recertify?	
X		• Notice of Adverse Action or Demand Letter for a claim/overpayment?	
X		• Notice of Change (positive or negative)?	
X		• Notice of Mass Change?	
X		• Notice of Disqualification?	
X		• Request of Required Verifications?	
?		• Request for Contact?	Please provide further information/details on the purpose of this notice so that we are able to provide an accurate response.
X		• Reminders?	
X		• Monthly Report-Adequate Notice with Computation Sheet?	
X		• Periodic/Interim Report?	
X		• Notice of Missed Interview?	
X		CN-2 Can the system generate ad hoc notices?	
X		CN-3 Does the system maintain certification notice history?	

Y	N	**Certification Notices**	**If No – Why**
X		CN-4 Does the system make copies of client notices (with complete notice verbiage) available?	
X		CN-5 Does the system produce and provide client notices in languages other than English?	
X		CN-6 Can notices be customized (i.e., are workers able to add comments/additional information or are notices standardized)? Please describe what notices can be ad hoc and/or manually entered by the eligibility worker? What automatic text selections are available to eligibility workers to enter into automated notices?	
X		CN-7 Can notices be printed locally?	
X		CN-8 Do all client notices display the most up to date non-discrimination statement?	
		CN-9 How easily can updates and language changes be made to the client notices?	The solution has the capability to generate notices in different languages. The language text is directly embedded in the template and can be updated with template updates.
X		CN-10 Is there a spell and/or grammar check available on notices where workers can ad hoc or manually enter in text?	
X		CN-11 Can the system send communication via email regarding the availability of online notices (if the state is approved for a waiver)?	

D1 Comments:

E. System Operations

E1. Edits & Pending Cases

Y	N	Edits & Pending Cases	If No – Why
X		What identification numbers can the system search with to find individuals or HH cases (i.e. SSN, unique ID, last name, DOB, etc.)? Can more than one search criteria be used at a time? Note: The system allows for search by individual first name, individual middle name, individual last name, date of birth, gender, SSN, individual id (unique ID), head of household, case ID (unique ID), phone number, and eligibility group. This list is not fully exhaustive but contains the common search criteria.	
X		ED-1 Does the system automatically terminate the case at the end of the certification period if not recertified?	
X		ED-2 Does the system allow for retrospective budgeting where appropriate?	
X		ED-3 Does the system identify errors needing resolution?	
X		Does the system flag high risk-criteria cases for a secondary level review before certification is approved?	
X		ED-4 Does the system track pending cases?	
X		ED-5 Does the system track pending verifications?	
X		ED-6 Does the database prevent duplication of case numbers?	
X		ED-7 Does the system assign unique HH member identifier?	
X		ED-8 Does the system prevent duplicate HH member identifiers?	
X		ED-8 Does the system generate/create verification checklists?	
X		ED 9-Does the system prevent denying an application prior to the 30th day?	
X		ED-10 Does the system automatically deny an application by 30/60th day (or less if the State has a waiver)?	

Y	N	Edits & Pending Cases	If No – Why
X		ED-11 Does the system prevent denying or terminating a case during the 10 day period clients have to provide verifications?	

E1 Comments:

E2. Staff Alerts

Y	N	Staff Alerts	If No – Why
		STA-1 Are staff alerts generated for:	
X		• Pending applications?	
X		• Pending changes?	
X		• Data matches?	
X		• Recertification?	
X		• Work registration renewal?	
X		• SNAP recertification when TANF cases are terminated?	
X		• Monthly reports for suspended Households	
X		• Significant birthdays (18 yr., 60 yr.)?	
X		• End of disqualification period?	
X		• Expedited case time frames	
X		• 30 day processing time frames (Approvals/Denials)	
X		• Fair Hearings	
X		• Language needs / limited English proficiency	
X		• Special needs / identified disability	
X		• Other: If yes, please describe.	

Y	N	**Staff Alerts**	**If No – Why**
		Note: An alert is created if a user has changed individual data which may impact eligibility for another associated case.	
X		STA-2 Are staff alerts provided for management?	
X		STA-3 Is the system capable of disabling staff alerts?	

E2 Comments:

E3. Eligibility & Benefit Actions (273.10 and 273.11)

Y	N	**Eligibility & Benefit Actions**	**If No – Why**
X		EB-1 Does the system perform automatic determination of financial ineligibility?	
X		EB-2 Does the system perform automatic determination of non-financial ineligibility?	
X		EB-3 For ineligibility, does the system provide information to support the determination?	
X		EB-4 Does the system show budget to support the benefit allotment?	
X		EB-5 Does the system show proration amount?	
X		EB-6 Does the system: • Identify HH size?	
X		• Calculate retroactive benefits to the month/date of application?	
X		• Convert income to monthly?	
X		• Average income/expenses over certification period, where appropriate?	
X		• Authorize/prevent changes between actual utility costs and LUA/SUA/TUA during cert period, if applicable?	
X		• Suspend case for one month due to temporary circumstances?	

Y	N	**Eligibility & Benefit Actions**	**If No – Why**
X		• Identify Fair Hearing request date?	
X		• Identify Fair Hearing decision date?	
X		• Continue benefits after an adverse action if a Fair Hearing is requested?	
?		• Allow for “transitional benefits” when TANF income ends, if applicable?	Please provide further information/details on this requirement so that we are able to provide an accurate response.
X		• Prohibit an increase in benefits if HH’s income is reduced due to failure to comply with means-tested program (i.e. TANF)?	
X		• Reduce allotment by a percentage not to exceed 25% for failure to comply with means-tested programs? (273.11(j))	
X		EB-7 Will the system issue combined allotments?	
X		EB-8 Does the system capture the benefits determination date (i.e., date HH was determined eligible for benefits)?	
X		EB-9 Is the certification period captured?	
X		EB-10 Can the system print eligibility summary or completed application for client review?	

E3 Comments:

E4. QC (275)

Y	N	**Quality Control**	**If No – Why**
X		QC-1 Does the system provide for monthly selection of active cases and negative actions for QC?	
X		QC-2 Does the system include all required cases in sampling frame?	
		QC-3 When is sampling frame available?	First week of each quarter.
		QC-4 When is sample selection made?	First week of each quarter.
		QC-5 What are sources of sampling frames?	SNAP Positive Cases

Y	N	**Quality Control**	**If No – Why**
			SANP Negative Cases
X		QC-6 Is there a system in place that can replicate the sampling frame and selection for any given month?	
X		QC-7 Is systematic selection design used? If not, what type of selection is used?	
X		QC-8 Does the system provide random start whether self-generated or user provided?	
		QC-9 What options does the system have for changing intervals and random starts?	The system provides the option for both randomize and systematic sampling logic. The starting point and pool can be manually selected on a screen within the solution.
?		QC-10 Does the system select records for ME, supervisory, or Quality Assurance review? (e.g., active, denied, terminated and recertification cases).	Please provide further information/details on this requirement so that we are able to provide an accurate response.
	X	QC-11 Does the system provide FNS on-line access for QC?	After the QC process, files will be placed in a shared drive. These files would be manually transmitted to the FNS site.

E4 Comments:

E5. Case Records

Y	N	**Case Records**	**If No – Why**
X		CR-1 Is a complete audit trail that includes the following for each transaction captured by the system that includes: • the action	
X		• the date action was taken	
X		• effective date of the action	
X		• and the caseworker who performed the action	

Y	N	Case Records	If No – Why
		CR-2 How long are case history records available on-line?	Case history records remain in the system indefinitely unless an archiving process is established.
		CR-3 How long are case history records available off-line?	All data is stored online.
	X	CR-4 Can off-line records be accessed electronically?	This requirement is not applicable as all records are stored online. From the legacy system, there are currently offline records. These cannot be accessed electronically.
X		CR-5 Does the system contain a section for Case Notes?	

E5 Comments:

E6. Policy Manuals

Y	N	Policy Manual	If No – Why
X		PM-1 Is the current State policy manual accessible within the eligibility system for caseworkers?	
X		PM-2 Is an online help linked by specific eligibility factors to the eligibility system? Describe.	
X		PM-3 Are older versions of State policy manuals available online for caseworkers?	
X		PM-4 Is the current eligibility system's user guide available online for caseworkers?	

E6 Comments:

E7. System Performance

	SYS-1 What are average response times for the following administrative actions:

Inquiry? Searches for inquiry, based on Case Number or Applicant details are yielding results averaging out to 1.55 Secs response time

Processing of data entry? The Average response time for all data entry transactions is 0.98 secs

Screen refresh? Screen refresh average times are 1.8 Seconds

Other Actions? ____

SYS-2 What is the system's data capacity and what do you expect usage to be at full implementation?

System Data capacity for production is planned for 8 TB and the expected usage at the full implementation is expected to start with 2TB and grow up to 4TB in a year. Additional contingency is planned to manage thresholds and emergency allocations.

SYS- 3 During stress testing, what was the number of concurrent users who could use the system without negatively impacting system performance?

During our stress testing, number of concurrent users on the system at any given point of time was up to 600 without impacting much of system performance. However, we are yet to figure out the threshold at which system fails to scale. Further tests are in progress.

SYS-4 How many concurrent users are now using or are expected to use the system?

Current concurrent users in existing legacy is about 300 and RI Bridges Architecture is defined to handle at least 600 concurrent users.

SYS-5 What are the save points in the eligibility system that protect loss of data?

This aspect is addressed at two key levels, Application and strong IT processes. RI Bridges solution is implemented by leveraging industry proven transaction management capabilities provided by Java Enterprise Library – EJB and Oracle database. Additional checks are developed and tested at the application level to mitigate typical risks with data including loss, corruption or unusable state. Also, our proven data model enforces strict constraints on data to enforce referential integrity adding more data stability. Additionally to prevent data loss, we take incremental backups as well as full backups on a daily basis. The database is also replicated to a Disaster Recover (DR) site. Similarly for files, the data is replicated to the DR site as well.

SYS-6 Name all the other ADP systems that feed into and integrate with this eligibility system:

State has a Citizen portal named Healthsource RI and it integrates with RI Bridges.

SYS-7 What are the back-ups to the issuance and eligibility systems in case there are system failures?

Backups are taken locally for the database which holds all the data for RI Bridges. In addition these backups are replicated to the DR site as well, very periodically. Similar approach is being followed for our Files and other system repositories

SYS-8 Describe the user roles and the security levels in this system:

RI Bridges Security module provides various configurable options to define and setup authorization levels for a user within the application. These screens are used to define different dimensions of security components including user, role, location and business functions. The system provides 85 pre-configured security roles which includes eligibility technicians, eligibility supervisors, security administrators, operations' management staff, policy specialist, training specialist etc. The access level for the roles are controlled

	using configurable business functions assigned to system functions. The business functions and resulting functionality can be added or removed from a role on-demand, and does not require backend code changes. In addition, new roles can be created using existing business functions as required by the State. Well defined user roles and their respective access to business functions is defined by State and will be implemented as a standard activity during production deployment.

E8. Management Information

Y	N	**Management Information**	**If No – Why**
		MI-1 Complete CHART in Section E9.	See below.
		MI-2 Are reports generated from the eligibility system or from a separate database?	Reports are generated from the eligibility system database
X		MI-3 Can reports be sorted by office?	Reports are grouped by office and they can be readily accessible based on Office the user preferred to view.
X		MI-4 Can reports be sorted by caseworker?	Rhode Island has preferred to go with “Task Based Operating Model” but a user can see tasks by worker.

E8 Comments:

E9. Management Information Reporting

Case Reports	**Standard**	**Ad Hoc**	**Frequency of Reports**	**Comments**	**If No – Why**
New cases				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Expedited cases	X		Monthly	MH-001	
Apps pending	X		Daily	BZ-002	
Recerts due	X		Daily	RD-093, RD-095	

Case Reports	Standard	Ad Hoc	Frequency of Reports	Comments	If No – Why
Recerts pending	X		Daily	RD-093	
Verifications pending	X		Weekly	REP-ELG-05	
Apps denied	X		Weekly	REP-ELG-07	
Closed cases	X		Monthly	DQ-142	
Suspended cases				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Changes processed				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Claims established	X		Quarterly	FNS-209	
Late expedited actions				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Late certification actions				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
• Reason for late action				Please provide further information/details on this requirement so that we are able to provide an accurate response.	

Case Reports	Standard	Ad Hoc	Frequency of Reports	Comments	If No – Why
• Agency				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
• Client				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Cases certified this period	X			REP-ENR-02, REP-ENR-06	
Client reports (monthly, quarterly, simplified)				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Initial			Monthly	SP-271	
Benefit Reports	**Standard**	**Ad Hoc**	**Frequency of Reports**	**Comments**	**If No - Why**
Supplemental	X		Monthly	SP-271	
Replacements	X		Daily	GA-730	
Retroactive	X		Biweekly	CH-005 CCAP Only	
Restored				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
DSNAP	**X**		Monthly	DSNAP FNS-292B	

Case Reports	Standard	Ad Hoc	Frequency of Reports	Comments	If No – Why
Data Items	**Standard**	**Ad Hoc**	**Frequency of Reports**	**Comments**	**If No - Why**
Demographics (please list what information is captured under comments)	X			FNS-101: Participation in Food Programs-By Race CL-451: Alphabetical Listing of Native American Recipients by office	
Client Income	X			UB-330 Unearned Income Match case worker listing	
HH Characteristics		X		System records SNAP household characteristics and using this information Adhoc report can be produced based on State's request	
Language / LEP status				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Client Complaints				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Error Prone Profiles				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Trends	**Standard**	**Ad Hoc**	**Frequency of Reports**	**Comments**	**If No - Why**

Case Reports	Standard	Ad Hoc	Frequency of Reports	Comments	If No – Why
Applications	X			REP-ELG-04, SS-001,SS-003,BZ-002,BZ-003	
Denied apps	X			MH-001(for SNAP)	
SNAP benefits	X			BI-200, BI-210	
Caseload	X			BZ-035	
Fraud referrals	X			QA-001, QA-100, QA-101	
Claims referrals	X			GH-280: Recoupment Activity Report, GH-290, GH-870	
E&T referrals	X			DQ-003, DQ-004 (They give the employability plan actions and activity enrollment)	
ABAWDs	X		**Monthly Quarterly Yearly**		
Fair hearings				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Application withdrawals				Please provide further information/details on this requirement so that we are able to provide an accurate response.	
Timeliness 7th/30th day	X			MH-340, MH-540	
Denials before 30th day	X			MH-340, MH-540	

Case Reports	**Standard**	**Ad Hoc**	**Frequency of Reports**	**Comments**	**If No – Why**
Performance & Monitoring	**Standard**	**Ad hoc**	**Frequency of Reports**	**Comments**	**If No - Why**
Real-time reports for staff to monitor their work (explain in comments column)				Please provide further information/details on this requirement so that we are able to provide an accurate response.	Only timeliness reports cover the monitoring of the performance
Caseloads by worker	N/A	N/A	N/A	N/A	Tasked based system
Timeliness (by worker and county)	X		Monthly	MH-340, MH-590, MH-001	

E10. Data Matching

Y	N	**Data Matching**	**If No – Why**
		DM-1 What data items does the system check to determine duplicate participation?	Full list being compiled and to-be filled in during subsequent draft
X		Name	
X		Phonetic Name	
X		Nickname Note: Nicknames to be captured as an alias.	
X		Alias Name	
X		Date of Birth	
X		Address	
X		Case Number	
X		SSN	

Y	N	**Data Matching**	**If No – Why**
	X	FDPIR, if applicable	There are currently no special provisions in policy for Indian Reservations
		Other, please describe:	
		DM-2 Are matches for duplicate participation done ☐ Immediately on-line or ☐ Through batches?	On-line
		DM-3 Is intra-jurisdictional (counties, regions, other states) information regarding multiple applications and duplicate participation available ☐ On-line? or ☐ Through daily batches?	Batch
X		DM-4 Does the system provide for automatic notices to the School Lunch Program for direct certification based on SNAP eligibility?	
		What is the frequency of the notices?	Monthly
X		DM-5 Can the system be queried for School Lunch Program eligibility?	
X		DM-6 Can the system be queried on-line by local school districts and/or the State department of education regarding SNAP participation (both inbound and outbound)?	

E10 Comments:

E10. Data Matching

State Data Matches	**Source**	**Online (Y/N)**	**Batch (Y/N)**	**Frequency**	**Staff Alerts (Y/N)**	**Comments**
State Wages	DLT	N	Y	Weekly	Y	
State Unemployment	DLT	N	Y	Weekly	Y	

State Data Matches	Source	Online (Y/N)	Batch (Y/N)	Frequency	Staff Alerts (Y/N)	Comments
State Taxes	RIDOT	N	Y	Weekly	Y	
Child Support	IV-D	N	Y	Daily	Y	
LIHEAP						Rhode Island preferred to use alternate form of verification of LIHEAP payments.
Medicaid	MMIS	N	Y	Daily	N	
TANF	ACF	N	Y	Quarterly	N	Federal interface with ACF for TANF data matching (quarterly batch); also send the information to the IV-D system
Prisoner	DOC SSA	Y	Y	Weekly	Y	
Death	DOH	Y	Y	Weekly	Y	
Lottery Match						
State to State PARIS matches	DMDC	N	Y	Quarterly	Y	Federal interface only
Other						There are a number of other State interfaces including additional wage and company data from DLT, the RICAA toy drive program, financial accounting system, and URI.

E10 Additional Comments:

Federal Data Matches	Source	Online (Y/N)	Batch (Y/N)	Frequency	Staff Alerts (Y/N)	Comments
Federal RSDI (BENDEX)	SSA	N	Y	Monthly	Y	
Federal SSI (SDX)	SSA	N	Y	Monthly	Y	

Federal Data Matches	**Source**	**Online (Y/N)**	**Batch (Y/N)**	**Frequency**	**Staff Alerts (Y/N)**	**Comments**
SSN	SSA - SOLQ	Y	N	Real-time	Y	
Federal Taxes						Please provide further information/details on this requirement so that we are able to provide an accurate response.
Immigration (SAVE, ASVI)	SSA – SAVE	Y	N	Real-time	Y	
IRS unearned income (BEERS)	IRS	N	Y	Monthly	Y	
Disqualified HH members (eDRS)	FNS – eDRS	Y	N	Real-time	Y	
Other						Additional federal interfaces include CMS and USCIS as well as additional interfacing with SSA and FNS.

E10 Additional Comments:

E11. FNS Reports

FNS Report	Frequency	Data Source	Comments
FNS-46 Issuance Reconciliation	Monthly		
FNS-101 Participation by Race	Yearly		
FNS-209 Recipient Claims	Quarterly		
FNS-292 Disasters and Commodities	30 Days after event		
FNS-366a Budget Projection			Please provide further information/details on this requirement so that we are able to provide an accurate response.

FNS Report	Frequency	Data Source	Comments
FNS-366b Project Activity	Yearly		
FNS-388 Issuance and Participation	Monthly		
FNS-388a Project Area Issuance & Participation			Please provide further information/details on this requirement so that we are able to provide an accurate response.
FNS-583 Quarterly E&T	**Quarterly**		

E11 Additional Comments:

F. Issuance & Reconciliation

F1. Issuance (274.12)

Y	N	**Issuance**	**If No – Why**
		ISS-1 What demographic data is sent to the EBT system for EBT account set-up?	The system sends the name, date of birth, and SSN.
		ISS-2 When is demographic data sent to EBT system? ☐ date of filing, ☐ date of eligibility determination, or ☐ on some other date?	Demographic data is sent when the applicant applies for Cash/ SNAP and a payee is selected.
X		ISS-3 Does the system provide demographic data and benefit issuance records to EBT with sufficient time to meet expedited processing timeframes and regular processing timeframes?	
		ISS-4 When is the monthly benefit file for ongoing HHs sent to EBT?	End of previous month
X		ISS-5 Does the system uniquely identify each benefit record?	
X		ISS-6 Does each monthly benefit record contain an availability date so that HHs may access their monthly benefit on the same day each month?	

Y	N	Issuance	If No – Why
X		ISS-7 Does each benefit record identify the month for which the benefit is issued?	
X		ISS-8 Does the system identify each benefit as: • Initial issuance?	
X		• Regular issuance?	
X		• Supplemental issuance?	
X		• Replacement issuance (for HH disaster situations)?	
X		• Replacement cards tracked and counted?	
X		• Retroactive issuance?	
X		• Mass Replacement Issuance (waiver for major disaster event)?	
X		• Extended time to report replacement issuance (waiver for major disaster event)?	
X		• DSNAP issuance (waiver for major disaster event)?	
X		• Restoration of lost benefits?	
X		• Expungement?	
X		ISS-9 Does the system differentiate between the month of availability and month for which the amount is issued in cases of restored and retroactive benefits?	
X		ISS-10 Does the system have edits that prevent duplicate issuances?	
	X	ISS-11 Does the system require a secondary review for any issuances other than initial/regular?	Currently, this is not a requirement. The system can be configured with a threshold percentage of cases to be reviewed per worker requiring approval prior to issuance.

F1 Comments:

F2. Reconciliation (274.12[k])

Y	N	Reconciliation	If No – Why
X		RCN-1 Has the interface with the EBT contractor been tested?	
X		RCN-2 Does the State send all benefit records via overnight batch to the EBT contractor?	
		RCN-3 If not, how else (e.g. online or daily file) are benefit records sent to the EBT contractor?	
	X	RCN-4 For benefit records not sent via overnight batch, does the State ensure that the issuance amounts authorized by the eligibility system are reconciled to those posted in the EBT system?	These are logged as batch exceptions and the exact reason for the error can be tracked. Data can be manually corrected and resent to the EBT system next night.
X		RCN-5 If a benefit record is rejected by EBT, what data is returned to the eligibility system? Note: A rejection code is sent. This can then be viewed in the error report.	
X		RCN-6 If a benefit record is rejected by EBT, when is it returned to the eligibility system? Note: A rejection code is sent. This can then be viewed in the error report.	
		RCN-7 What actions are taken to rectify the situation for cases with rejected benefit records?	The Electronic Benefits Transfer (EBT) system transmits rejection codes back to the system. These can then be viewed in the reports module. Either the data can be corrected and sent back to EBT or corrections can be directly within the EBT system.
	X	RCN-8 Are daily issuance totals reconciled to amounts posted and available for clients to spend? What is the tolerance for error?	The Electronic Benefits Transfer (EBT) system does the reconciliation prior to posting the amounts into the client account. The IES solution interfaces with this system, but the validations happen on the EBT end.

Y	N	Reconciliation	If No – Why
X		RCN-9 Does the eligibility system use EBT transaction daily history file to track EBT transactions (debits and credits) back to each benefit record?	

F2 Comments:

Appendix G1

System Testing Guidance

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

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

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

User Acceptance Testing (UAT)

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

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

Pilot Testing

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

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

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

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

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

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

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

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

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

More information on testing and other system-related information can be found in FNS Handbook 901 located at: http://www.fns.usda.gov/apd/Handbook_901_2007/HB901_2007.htm.

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

1. What is the projected timeframe for each of these phases; UAT, pilot, rollout?
2. What are the go/no-go criteria for determining when to move from one phase to the next?
3. What scenarios are being tested during UAT?
4. Are these scenarios scripted?
5. Who identified the scenarios to be tested and developed the scripts?
6. What is the profile and number of staff involved in UAT?
7. When errors are found how are they prioritized?

8. Are fixes regression tested and validated by UAT staff?

9. How is the conversion process being tested?

10. Is an interface being built between the legacy and new system so they can run in parallel during the pilot?

11. Will the new system become the “system of record” during the pilot?

12. What is the plan for rolling the new system out to the rest of the state? Is it a phased rollout?

Appendix G2 Acronyms

AB	Able-Bodied Adults Without Dependents
ABAWDS	Able-Bodied Adults Without Dependents
AP	Application Processing
AR	Authorized Representative
ASVI	Alien Status Verification Index
BENDEX	Benefit Evidentiary Data Exchange
CAT	Categorical Eligibility
CLM	Claims
CLR	Client Record
CN	Client Notices
CR	Change Reporting
DD	Dependent Care Deduction
DIS	Disaster
DM	Data Match
EB	Eligibility and Benefits
EBT	Electronic Benefits Transfer
ED	Edits

eDRS	Electronic Disqualification Recipient System
EI	Earned Income
EID	Earned Income Deduction
E&T	Employment and Training
EW	Eligibility Worker
FNS	Food and Nutrition Service
GA	General Assistance
GLA	Group Living Arrangement
GRP	Group Facility
HH	Household
ID	Identification
IPV	Intentional Program Violation
IRA	Individual Retirement Accounts
ISS	Issuance
LUA	Limited Utility Allowance
MC	Mass Change
MD	Medical Deductions
MI	Management Information
OD	Other Deductions
PA	Public Assistance
PARIS	Public Assistance Reporting Information System
PM	Policy Manual
QC	Quality Control
R	Resources
RCN	Reconciliation
RSDI	Retired, Survivors, and Disability Insurance
RST	Restoration of Lost Benefits
S	Students
SA	State Agency
SAVE	Systematic Alien Verification for Entitlements
SD	Shelter Deduction
SDX	Supplemental Data Exchange
SMD	Standard Medical Deduction
SNAP	Supplemental Nutrition Assistance Program

SSA	Social Security Administration
SSI	Supplemental Security Income
SSN	Social Security Number
STA	Staff Alerts
SUA	Standard Utility Allowance
SYS	System
TANF	Temporary Assistance to Needed Families
TOP	Treasury Offset Program
TUA	Telephone Utility Allowance
UE	Unearned Income
VA	Veterans Administration
VISTA	Volunteers in Service to America

Appendix G3 Review Cover Sheet

STATE: ____ **Review Date(s)** ________________________

System Name:____

Reviewer(s):

SA:____

FNS: ____