

## APPENDIX C

### DATA COLLECTION INSTRUMENT FOR STATE WIC AGENCIES

*Public reporting burden for this collection of information is estimated to average 66 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: U.S. Department of Agriculture, Food and Nutrition Services, Office of Research and Analysis, Room 1014, Alexandria, VA 22302 ATTN: PRA (0584-0484). Do not return the completed form to this address.*



## State WIC Agency Survey

Thank you for responding to the FNS’ second National Survey of WIC Participants, administered by Macro International. Please refer to the accompanying cover letter for full details of the research effort. If you have any questions, please contact FIRST/LAST NAME at xxx-xxx-xxxx or email [NAME@macrointernational.com](mailto:NAME@macrointernational.com)

This survey—along with surveys of local agencies and participants—is designed to provide FNS with additional information on policies and program operations, beyond those available from existing program sources. For your convenience, the survey is organized by topic.

### STATE ELIGIBILITY GUIDANCE TO LOCAL WIC AGENCIES

1. Which programs establish adjunctive or other automatic State eligibility for a WIC applicant in your State? (CHECK OFF ALL PROGRAMS THAT ESTABLISH ELIGIBILITY IN THE LEFT HAND COLUMN. PROGRAMS THAT ARE REQUIRED BY § 246.7 WIC PROGRAM REGULATIONS ARE ALREADY CHECKED FOR YOU.)



(CHECK ALL THAT APPLY)	1A. For each item checked in Question 1, please indicate what, if any proofs, the State <u>requires</u> local agencies to collect. (CHECK ALL THAT APPLY)				
	No specific requirements are set	Proof of certification (e.g. card)	Award letter	Active program voucher	Other: PLEASE SPECIFY
<input type="checkbox"/> Food Stamps					
<input type="checkbox"/> Medicaid					
<input type="checkbox"/> TANF					
<input type="checkbox"/> Supplemental Security Income (SSI)					
<input type="checkbox"/> Food Distribution Program on Indian Reservations (FDPIR)					
<input type="checkbox"/> Children’s Medicaid					
<input type="checkbox"/> Free and Reduced-Meal School Lunch/Breakfast Program					
<input type="checkbox"/> Low-Income Energy Assistance					
<input type="checkbox"/> Other: PLEASE SPECIFY _____					
<input type="checkbox"/> Other: PLEASE SPECIFY _____					

2. Do any of the programs checked above, that establish adjunctive or other automatic State eligibility, allow people to participate whose income may exceed the normal “185% of the federal poverty income” standard that is used to establish income eligibility?

- Yes  
 No (SKIP TO QUESTION 4)

2A. Which ones? (CHECK ALL THAT APPLY)

- Food Stamps  
 Medicaid  
 TANF  
 Supplemental Security Income (SSI)  
 Food Distribution Program on Indian Reservations (FDPIR)  
 Children’s Medicaid  
 Free and Reduced-Meal School Lunch/Breakfast Program  
 Low-Income Energy Assistance  
 Other: PLEASE SPECIFY \_\_\_\_\_  
 Other: PLEASE SPECIFY \_\_\_\_\_

3. When adjunctive/automatic eligibility is NOT established, what **sources of income** does your State require local agencies to count when determining the income eligibility of an applicant? (CHECK ALL THAT APPLY)

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Wages, salary, fees       | <input type="checkbox"/> Social Security          | <input type="checkbox"/> Energy assistance                                   |
| <input type="checkbox"/> Tips and bonuses          | <input type="checkbox"/> Private pension          | <input type="checkbox"/> Rental assistance                                   |
| <input type="checkbox"/> Self employment           | <input type="checkbox"/> Disability pension       | <input type="checkbox"/> Net rental income                                   |
| <input type="checkbox"/> Unemployment Compensation | <input type="checkbox"/> Medical assistance (any) | <input type="checkbox"/> Dividends or interest from savings                  |
| <input type="checkbox"/> Workers compensation      | <input type="checkbox"/> SSI – Fed government     | <input type="checkbox"/> Regular contributions from persons not in household |
| <input type="checkbox"/> Child Support             | <input type="checkbox"/> SSI—State issued         | <input type="checkbox"/> Other: SPECIFY                                      |
| <input type="checkbox"/> Commission                | <input type="checkbox"/> Income from estates      | <input type="checkbox"/> Income from trusts                                  |
| <input type="checkbox"/> Public Assistance         | <input type="checkbox"/> Net Royalties            | <input type="checkbox"/> Welfare   |
| <input type="checkbox"/> Alimony                   | <input type="checkbox"/> Other cash income        | _____  |

4. In determining the income of an applicant where unemployment is **not** an issue, does the State instruct local agencies to use income from the last year, to use current income, or is it left up to the judgment of the local agencies?
- Income from last year used
  - Current income used
  - Left to local agencies to decide
  - Other: SPECIFY \_\_\_\_\_

5. What types of proof are acceptable in your State to verify the sources of income of WIC applicants? (CHECK ALL THAT APPLY)
- Most recent tax return
  - Check or pay stubs
  - Signed statement by employer
  - Statement of benefits by public agency or court
  - Statement of benefits for child support and alimony
  - Leave and Earnings Statement (LES) for military pay
  - Unemployment letter or notice letter signed by official State/local agency attesting to client's low income
  - Written statement from reliable third party
  - Statement from bank or other financial institution savings (e.g. direct deposit)
  - Accounting records (for self-employed individuals)
  - Scholarship letter (e.g. for students)
  - Other: PLEASE SPECIFY \_\_\_\_\_

5A. How does the state determine "most recent" income? (Be as specific as possible, or attach supporting documentation)

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6. Does the state use or grant discretion to local agencies regarding income determination?
- No additional discretion is given. (SKIP TO QUESTION 7)
  - Discretion is given: (CONTINUE TO 6A AND 6B TO SPECIFY DISCRETION)

6A. What State or local income guidelines used for WIC are adopted from various services?

- Free and Reduced Health Care (e.g. Maternal Health Care, Pediatric Health Care)  
\_\_\_\_\_ % FPL
- Free and Reduced Priced School Meals  
\_\_\_\_\_ % FPL
- Other (Specify: Provide supporting policy statements)  
\_\_\_\_\_  
\_\_\_\_\_ % FPL

6B. For applicants not likely to have any proof of income, e.g., homeless, or migrant farm worker who works for cash, does the State allow self-declaration of income with applicants signed statement of why documentation cannot be provided?

- Yes
- No

7. What discretion, if any, does the state use or grant to local agencies regarding certification periods.

- No additional discretion is given
- Discretion is given: (CONTINUE TO 7A THROUGH 7C TO SPECIFY DISCRETION)

7A. When an infant turns 1 year, does the 6 months certification period remain valid (1), or does the infant become categorically ineligible and need to again be certified based on criteria used for children(2)?

- (1) The 6 month certification period remains valid.
- (2) The infant becomes categorically ineligible and need to again be certified based on criteria used for children.
- (3) No State policy. Discretion is given to local agencies.

7B. Does your State use a data month or calendar month for issuance cycles?

- (1) data month (benefits continue until the end of the month).
- (2) calendar month (benefits continue until eligibility ends).

7C. For Temporary Low-Income Persons, e.g. strikers, does the state allow full certification period (1) or shorten the certification period based on anticipated income increase (2)?

- (1) Allow full certification period
- (2) Shorten certification period based on anticipated income increase.

8. What additional guidelines, if any, are given by the State to local agencies to help them determine the **WIC economic/family unit** above and beyond the national WIC program definition which defines it as “a group of related or nonrelated individuals who are living together?”

- No additional discretion is given
- The following discretion is given: (PROVIDE SUPPORTING POLICY STATEMENTS AS APPROPRIATE PER INSTRUCTIONS)

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8A. Does the State exclude any of the following military housing allowances?  
(CHECK ALL THAT APPLY)

- Basic Allowance for Housing (BAH) for off-base housing and privatization housing in the U.S.
- Family Separation Housing (FSH) provided to military personnel for overseas housing.
- Overseas Housing Allowance (OHA) provided to military personnel living overseas.
- Overseas Continental U.S. (OCONUS) cost of living allowance (COLA) provided to active duty uniformed service members in Hawaii, Alaska, and Guam.

8B. Regarding Children in Temporary Care of Friends/Relatives, does the State:  
(CHOOSE ONE)

- Count absent parents and children as one unit.
- Count the children as a separate unit in which case they should have separate income, e.g., child allotment.
- Count the children as part of the economic unit of the person with they are residing.

9. What types of identification are acceptable in your State to verify the residency of a WIC applicant? (CHECK ALL THAT APPLY)

- Driver's license
- Current utility/tax bill with address on it
- Written statement from reliable third party
- Checkbook
- Signed statement by applicant that he/she is victim of loss or disaster, or is homeless, a migrant person, or military personnel.
- Rent receipt, mortgage receipt or lease
- Other: PLEASE SPECIFY \_\_\_\_\_

9A. Does the State require applicants to reside within the state?

- Yes
- No

9B. Did the State establish a local residency area requirement?

- Yes (PROVIDE SUPPORTING POLICY STATEMENTS AS APPROPRIATE PER INSTRUCTIONS)
- No

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10. How often does the State regularly review the records of WIC participants to identify duplicate certifications across local agencies?

- Process is automated and constant. State's WIC system looks for duplicate records at time of certification and at subsequent certifications.
- 10-12 times a year (e.g. monthly)
- 7-9 times a year
- 4-6 times a year (e.g. quarterly)
- 2-3 times a year (e.g. semiannually)
- Once a year or less
- Never
- Don't know

11. At the current time, does your State use FNS's WIC Nutrition Risk Criteria to ascertain nutritional eligibility or does the State bundle the codes into its own unique groupings?

- Use FNS criteria
- Bundle codes



12. In the following table, please list by code number (for example, 331—pregnancy at a young age) the seven most prevalent nutritional risk code indicators in your State, by category.  
 NOTE: IF YOUR STATE HAS BUNDLED CODES, LIST ALL CODES IN BUNDLE IN A CELL OR, IF YOU DO NOT USE FNS CODE NUMBERING, REFER TO BUNDLE IN A CELL AND ATTACH A CROSSWALK TABLE OR KEY).

	Pregnant	Breastfeeding	Postpartum	Infants	Children
1st (Most prevalent)					
2nd					
3rd					
4th					
5th					
6th					
7 <sup>th</sup> (Least prevalent)					

12A.  Check if above are not FNS codes AND you are including a crosswalk table or key

12B.  Check if you are using FNS codes but are NOT using the new VENA codes for dietary risks

13. When does your State plan to have the VENA (Value Enhanced Nutrition Assessment) protocols fully implemented *at the local level*?

- It is already implemented, or will be, by end of 2008
- By end of 2009
- By end of 2010
- Later than 2010?

**DENIALS**

14. Does State policy require that local WIC agencies keep information on denied applicants?

- Yes
- No (SKIP TO QUESTION 15)

15. What information on Denied Applicants is required to be retained by the State and if so, how must it be retained?

a. Information Required to be Retained (CHECK ALL THAT APPLY)

- Name of applicant
- Address
- Phone number
- WIC applicant category
- Reason for denial
- Date of application
- Date of denial

b. How Retained

- No specific retention requirements
- Paper copy only
- Electronic copy only
- Both paper and electronic

16. Is it State policy to have local agencies send an official letter of denial to applicants who are denied eligibility for WIC?

- Yes
- No

**FOOD PACKAGES & NUTRITION SERVICES**

17. What, if any, assistance does the State provide to local agencies for the specific purpose of promoting breastfeeding?

- Funding for breastfeeding coordinators or peer counselors
- Training for personnel to support breastfeeding
- Printed breastfeeding materials (hand-outs, posters, etc.)
- Free breast pumps for distribution
- Other: PLEASE DESCRIBE BRIEFLY \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- None

18. Which of the following actions are designated proxies allowed to do in your State on behalf of the WIC participants they represent?

- Get certification for the WIC applicant
- Pick up food instruments
- Attend educational sessions
- Other: PLEASE SPECIFY \_\_\_\_\_
- Not Applicable. State does not allow proxies

19. How frequently are food instruments distributed throughout the State via the following distribution methods? (PLEASE CHECK ONE ANSWER FOR EACH)

	Most of the time	Some of the time	Occasionally	Not at all
a. In person at a local WIC site				
b. EBT (electronic benefit cards)				
c. By mail				
d. Other: PLEASE SPECIFY _____				

**RECORD-KEEPING & SYSTEMS**

20. Please indicate for how long, if at all, the following WIC Participant data is kept at the State level. (CHECK ALL THAT APPLY)

Possible data stored: ↓	State does not retain this information	State stores only most current information (i.e. no record of previous changes)	State stores current and previous information (including changes) for...			
			Up to 3 months	4-8 months	9-12 months	Over a Year
Client name						
Clinic attended						
Family identification or affiliation						
Category of eligibility						
Client address						
Client telephone						
Second client telephone						
Food package issued						
Value of food package redeemed						
Program through which adjunctively/ automatically income eligible						
Proofs of income (if not adjunctively/auto-matically eligible)						
Primary language						

21. What proofs of eligibility are local WIC agencies required to keep in their files? (CHECK ALL THAT APPLY)

<i>For what types of documents...?</i> ↓	Local agency must keep...			
	Original document/s	Copy of original document/s	Identifying number of original document	A written statement or notation (such as a check mark) that an acceptable document was shown to the (re)certification staff.
Documents proving adjunctive/automatic eligibility				
Proofs of income (i.e. wages, fees and tips)				
Nutritional eligibility paperwork				
Categorical eligibility paperwork				
Proof of residency				

22. Which proofs of eligibility are stored at the State level? (CHECK ONE FOR EACH)

YES NO

- Documents proving adjunctive/automatic eligibility
- Proofs of income
- Nutritional eligibility paperwork
- Categorical eligibility paperwork
- Proof of residency

23. What is the longest that local agencies may wait before sending applicant data to the State WIC agency about new WIC certificants and recertificants?

- 30 days or less
- 31-60 days
- 61-90 days
- Other: PLEASE SPECIFY \_\_\_\_\_

23. With regard to the State's database of WIC participants...

1. What does State use to store participant data?

- Mainframe server
- QuickWIC (web-based)
- Other: SPECIFY \_\_\_\_\_

2. What databases are used?

- Access (MDB)
- Excel (XLS)
- Oracle
- SAS
- SPSS (SPS)
- XML
- Other: SPECIFY \_\_\_\_\_

24. Please indicate the maximum number of days that...

a. participants are given to use their food instruments after start date? \_\_\_\_\_ days

b. vendors can take to deposit redeemed coupons in their bank? \_\_\_\_\_ days

c. vendors' banks can take to turn the coupons over to the State WIC agency's bank? \_\_\_\_\_ days

Check here if question does not apply because vendors must turn in their coupons to the State WIC agency's bank

### GENERAL CHARACTERISTICS

25. For the State as a whole, how many WIC clients are: (PLEASE GIVE YOUR BEST ESTIMATE)

a. migrant farmworkers \_\_\_\_\_ b. homeless individuals \_\_\_\_\_

26. Number of WIC local agencies in State?  
\_\_\_\_\_ LOCAL AGENCIES

27. Number of WIC clinics or sites, including satellite sites in the State? (IF MOBILE UNIT IS ATTACHED TO A SINGLE CLINIC OR SITE DO NOT CONSIDER IT A SITE. IF MOBILE UNIT SERVES MULTIPLE SITES, CONSIDER IT A SEPARATE SITE.)

\_\_\_\_\_ LOCAL SITES

**YOUR TIME COMPLETING THE SURVEY IS GREATLY APPRECIATED.  
THANK YOU! PLEASE RETURN PROMPTLY IN ENVELOPE PROVIDED.**