**Appendix I**

Data Request: State SNAP Case Record Files

*memorandum*

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| **Date** | Month day, 2019 |
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| **To** | Recipient |
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| **From** | Robin Koralek, Project Director  Chris Logan, Principal Investigator  Dr. Eric Williams, Social Science Analyst/Project Officer (USDA/FNS) |
|  |
| **Subject** | ***SNAP Online Pilot Evaluation: State SNAP Agency Data Request*** |

### **Introduction**

As you may know, your State has agreed to participate in the Electronic Benefits Transfer Online Purchasing Pilot, which is authorized under the Agricultural Act of 2014[[1]](#footnote-1) (the Farm Bill). The pilot allows designated retailers to accept SNAP benefits via online transactions. In your State, the participating retailer(s) is/are:

[list].

Abt Associates is evaluating the pilot in partnership with Altarum and Novo Dia Group. The USDA Food and Nutrition Service (FNS) is sponsoring this data collection. The evaluation will inform FNS’ decisions about whether and how to make SNAP online purchases more widely available, how to ensure the accessibility and quality of online purchases, and how to ensure that protections against abuse remain strong or grow stronger.

As part of the evaluation, we will request SNAP case record files from you. Linking these files with data provided by FNS and the retailers will provide insights into how the use of SNAP online purchasing varies by household. This document provides information about the data we will collect from you so you can plan accordingly.

### **Overview of the Evaluation**

This evaluation will help FNS learn how the pilot operates, the implementation challenges and lessons learned, the characteristics of SNAP online customers, the risks and benefits of online purchasing for the integrity of SNAP, and the requirements for expansion. The evaluation team will examine:

1. ***Pilot implementation,*** including SNAP online transaction approaches; the process, challenges, and lessons of implementation; the characteristics of SNAP households that shop online; and the level of effort for stakeholders (e.g., retailers, States, EBT processors).
2. ***Pilot integrity,*** including delivery patterns and their relationship to customer addresses and retailer locations; customer profiles and their relationship to EBT cards and SNAP households; customer shopping patterns; and problems such as refunds and cart abandonment.

After pilot operations begin, we will be in touch about setting up a conversation with you regarding your experiences in pilot implementation. For now, we will focus on data requests make sure you are able to provide the data elements we need for the evaluation.

### **Data Requests**

The attached document, *Requested State SNAP Data Elements*, provides details about the data we are requesting. The intent is to obtain complete SNAP case records for the first twelve months of the pilot for all active SNAP households in your State. While the pilot may be limited to only part of your State, we are asking for administrative data on SNAP participants at both the individual and unit level.

### **Data Use**

These data will be linked to data from EBT host processors that include online transaction data and SNAP participant data. This will provide insights into how use of SNAP online purchasing varies by household and individual demographic information such as age, disability status, and location (the specific data elements the study team will be requesting will be included in the data collection instruments deliverable).

For each State participating in the pilot, we will request SNAP case data for all active SNAP households in your State. Data for all active SNAP participants are required to calculate the likelihood that SNAP household made online purchases and to estimate models of the household characteristics associated with online SNAP purchasing. We will request SNAP case data for each month of the FNS online transaction data collection period to ensure that we have demographic data for all SNAP households (including size of household, number of children, presence of elderly or disabled participants, benefit size, and benefit issuance date) during the pilot period. **We will not contact any households.**

Any data provided to Abt will be kept private.

### **Data Use Agreement**

We will work with you to develop a data use agreement (DUA). The DUA will authorize recipients (i.e., the Abt team) to use the data you provide for a designated purpose (i.e., this evaluation). Terms of the DUA will include: whom the data may be released to, how the data is to be handled and protected, data destruction or return requirements when the work is done or period of performance is over, procedures in the event of unauthorized disclosure, name of custodian or security officer, legal terms (such as termination, audit rights, liability, indemnification, liquidated damages, civil and criminal penalties), and flow down requirements for business partners. We understand you may already have a standard DUA which we can work with. ***If you do have a standard DUA, please provide a copy for our review.***

### **Data Security**

Protecting the data we receive from you is our highest priority. Abt Associates complies with the Privacy Act of 1974, **Health Insurance Portability and Accountability Act of 1996 (**HIPAA), and the E-Government Act of 2002, including Title III: Federal Information Security Management Act (FISMA), which covers site security, security control documentation, access control, change management, incident response, and risk management.

Abt has a dedicated Analytic Computing Environment (ACE3) for the purpose of only storing and analyzing sensitive information such as Personally Identifiable Information (PII) and Protected Health Information (PHI). This environment allows our team to access and work with data using tools such as SAS and STATA without the data leaving the environment. ACE3 is FISMA Moderate (SP800-53 rev.4) and FIPS 140-2 compliant and built with a combination of FedRAMP and Abt-developed systems. PII will be stored and accessed only in this secure environment. Approval must be granted for access to this environment and its project folders. Authentication to ACE3 is via Active Directory and requires the use of DUO multi-factor authentication. Users connect to the system via remote desktop sessions (RDS) directly to the environment.

### **Transferring Data to Abt**

We are asking for this information to be transferred to us via our secure data transfer application, Huddle. We will be able to read your data files, provided they are in one of the following formats: Microsoft excel (unlocked), delimited text files, and/or common database files such as .dbf, .MDD, and .ACCDB.

### **Evaluation Team Contacts**

If you have any questions, please contact:

Robin Koralek (Project Director) at [robin\_koralek@abtassoc.com](mailto:robin_koralek@abtassoc.com) or (301) 347-5613

Chris Logan (Principal Investigator) at [chris\_logan@abtassoc.com](mailto:chris_logan@abtassoc.com) or (617) 349-2821

Eric Williams (FNS Contracting Officer’s Representative) at [eric.williams@usda.gov](mailto:eric.williams@usda.gov) or (703) 305-2640

### **Next Steps**

After you review this letter we would like to meet to discuss the data requests and the DUA, and to answer any questions you may have. In particular, we want to know if there are any data elements you will not be able to provide or have concerns about.

We expect it will take you 12 hours (one hour per month) to prepare and submit this data.

Public reporting burden for this collection of information is estimated take one hour 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 Policy Support, 3101 Park Center Drive, Room 1014, Alexandria, VA 22302, ATTN: PRA (0584-xxxx\*). Do not return the completed form to this address.

| **SNAP Online Purchasing Evaluation: State SNAP Agency Data Request** | | | | |
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| **Variable** | **Label** | **Description** | **Type** | **Level** |
| CAT\_ELIG | Indicator of categorical eligibility status | Range = (0, 2) 0 = Unit not categorically eligible for benefits 1 = Unit reported as categorically eligible for benefits and therefore not subject to SNAP income or asset tests (unit subject to State-determined income and/or asset limit on cash Public Assistance [PA] or noncash TANF-funded benefit used to confer categorical eligibility) 2 = Unit recoded as categorically eligible after being identified as pure cash PA or as meeting State-specified criteria for BBCE and therefore not subject to SNAP income or asset tests | constructed | unit |
| CERTHHSZ | Certified unit size | Range = (1, 14) | raw | unit |
| COMPOSITION | Unit composition | Range = (0, 5) 0 = No children 1 = Child(ren) only 2 = Child(ren) and one male adult 3 = Child(ren) and one female adult 4 = Child(ren) and married unit head (spouse may be nonparticipating; includes married teens) 5 = Child(ren) with other multiple adults | constructed | unit |
| CTPRHH | Number of people in household | Range = (1, 14) Number of people in household with nonmissing person-level information. | constructed | unit |
| FSDIS | Indicator of non-elderly individuals with disabilities in unit (60 and older | Range = (0, 1) 0 = No 1 = Yes A SNAP unit with one or more individuals that are defined as disabled (DISi = 1). | constructed | unit |
| FSELDER | Indicator of elderly individuals in unit (60 and older) | Range = (0, 1) 0 = No 1 = Yes A SNAP unit with one or more elderly individuals (60 and older). | constructed | unit |
| FSKID | Indicator of children in unit | Range = (0, 1) 0 = No 1 = Yes A SNAP unit with one or more children under age 18. | constructed | unit |
| FSNDIS | Number of non-elderly individuals with disabilities in unit | Range = (0, 4) Number of individuals in the unit that are defined as disabled (DISi = 1). | constructed | unit |
| FSNDISCA | Number of adults age 18 to 49 without disabilities in childless units | Range = (0, 6) Number of adults age 18 to 49 without disabilities in childless SNAP units. | constructed | unit |
| FSNELDER | Number of elderly individuals in unit | Range = (0, 3) Number of adults age 60 or older in SNAP unit. | constructed | unit |
| FSNGMOM | Indicator of single-female-headed unit | Range = (0, 1) 0 = No 1 = Yes A SNAP unit with one adult and one or more children; the adult is female. | constructed | unit |
| FSNK0T4 | Number of preschool-age children in unit | Range = (0, 5) Number of children under age 5 in SNAP unit. | constructed | unit |
| FSNK5T17 | Number of school-age children in unit | Range = (0, 10) Number of children age 5 to 17 in SNAP unit. | constructed | unit |
| FSNKID | Number of children in unit | Range = (0, 12) Number of children under age 18 in SNAP unit. | constructed | unit |
| RAWHSIZE | Reported number of people in household | Range = (1, 14) | raw | unit |
| TANF\_IND | Indicator of TANF receipt for unit | Range = (0, 1) 0 = No 1 = Yes | constructed | unit |
| TPOV | Gross income/poverty level ratio | Range = (0, 1169) | constructed | unit |
| WRK\_POOR | Indicator of working poor unit | Range = (0, 1) 0 = No 1 = Yes | constructed | unit |
| FSGRINC | Final gross countable unit income | Range = (0, 11578) Total monthly gross income of unit | constructed | unit |
| FSASSET | Total countable assets under State rules | Range = (0, 4908) | constructed | unit |
| HOMEDED | Indicator of homelessness | Range = (1, 3) 1 = Not homeless 2 = Homeless, not receiving homeless shelter allowance 3 = Homeless, receiving homeless shelter allowance | raw | unit |
| FSBEN | Final calculated benefit | Range = (1, 2761) Calculated as FSBEN = MAX(minimum benefit, BENMAX-ROUND (.3\*FSNETINC)) if FSUSIZE is 2 or Less. Otherwise, FSBEN = MAX (0, BENMAX-ROUND (.3\*FSNETINC)) for all units, except for MFIP units and for units participating in an SSI-CAP program in States that use standard SSI-CAP benefits where the benefit is calculated by using a State-specific formula. | constructed | unit |
| ABWDSTi | ABAWD status | Range = (1, 6) Person 1 through Person 16 1 = Not an able-bodied adult without dependents (ABAWD) 2 = ABAWD in a waived area 3 = Exempt based on 15 percent option 4 = ABAWD meeting work requirements 5 = ABAWD in 1st 3 months 6 = ABAWD in 2nd 3 months 7 = ABAWD who has exhausted time-limited benefits | raw | person |
| AGEi | Age | Range = (0, 98) Person 1 through Person 16 0 = Age less than 1 year 1 to 97 = Age in years 98 = Age 98 years or older | raw | person |
| DISi | Person-level disability indicator | Range = (0, 1) Person 1 through Person 16 0 = Not disabled 1 = Disabled Non-elderly individuals identified as disabled using receipt of SSI or a combination of hours worked, work registration status, receipt of Social Security, veterans’ benefits, or workers’ compensation, and/or unit medical expense deduction. | constructed | person |
| EMPSTAi | Employment status – type | Range = (1, 8) Person 1 through Person 16 1 = Not in labor force and not looking for work 2 = Unemployed and looking for work 3 = Active-duty military 4 = Migrant farm labor 5 = Nonmigrant farm labor 6 = Self-employed, farming 7 = Self-employed, nonfarming 8 = Employed by other | raw | person |
| EMPSTBi | Employment status – amount | Range = (1, 5) Person 1 through Person 16 1 = Not employed 2 = 1–19 hours/week 3 = 20–29 hours/week 4 = 30–39 hours/week 5 = Full-time (40 hours or more) | raw | person |
| WORKi | Person-level work indicator | Range = (0, 1) Person 1 through Person 16 0 = No 1 = Yes Identifies individuals who are coded as being employed (EMPSTAi > 2), having positive earnings (WAGESi + OTHERNi + SLFEMPi > 0), and working one or more hours per week (EMPSTBI > 1). |  |  |
| FSAFILi | SNAP case affiliation | Range = (1, 99) Person 1 through Person 16 1 = Eligible member of SNAP case under review and entitled to receive benefits 2 = Eligible SNAP participant in another unit, not currently under review (code added by Mathematica for use in certain SNAP-CAP units) 4 = Member is ineligible noncitizen and not participating in State-funded SNAP 5 = Member not paying/cooperating with child support agency 6 = Member is ineligible striker 7 = Member is ineligible student 8 = Member disqualified for program violation 9 = Member ineligible to participate due to disqualification or failure to meet work requirements (work registration, E&T, acceptance of employment, employment status/job availability, voluntary quit/reducing work effort, workfare/comparable workfare) 10 = ABAWD time limit exhausted and ABAWD ineligible to participate due to failure to meet ABAWD work requirements, to work at least 20 hours per week, to participate in at least 20 hours per week in qualifying educational training activities, or to participate in workfare 11 = Fleeing felon or parole and probation violator 13 = Convicted drug felon 14 = Social Security Number disqualified 15 = SSI recipient in California 16 = Prisoner in detention center 17 = Foster care 18 = Member is ineligible noncitizen and participating in State-funded SNAP 19 = Individual in the home but not part of SNAP household 99 = Unknown | raw | person |
| FSUNi | Position of head of SNAP unit | Range = (0, 8) Person 1 through Person 16 Identifies the index position of the head of the SNAP unit. The head is defined as the first person in unit with RELi = 1 or, if no one in unit has RELi = 1, as the first adult in unit. If there are no adults in unit, the oldest child is the head. FSUNi is the same for everyone in unit. For example, if unit head is the second person in the household, FSUNi = 2 for everyone in unit. FSUNi = 0 for any individuals in household who are not part of the SNAP unit. | constructed | person |
| RACETHi | Race/ethnicity | Range = (1, 22) Person 1 through Person 16 1 = Racial/ethnic data not available because application was not found 2 = Not recorded on application Not Hispanic or Latino 3 = American Indian or Alaska Native 4 = Asian 5 = Black or African American 6 = Native Hawaiian or other Pacific Islander 7 = White Multiple Races Reported 8 = (American Indian or Alaska Native) and White 9 = Asian and White 10 = (Black or African American) and White 11 = (American Indian or Alaska Native) and (Black or African American) 12 = Respondent reported more than one race and does not fit into above categories (codes 8 through 11) Hispanic or Latino 13 = (Hispanic or Latino) and (American Indian or Alaska Native) 14 = (Hispanic or Latino) and Asian 15 = (Hispanic or Latino) and (Black or African American) 16 = (Hispanic or Latino) and (Native Hawaiian or other Pacific Islander) 17 = (Hispanic or Latino) and White Multiple Races Reported 18 = (Hispanic or Latino) and (American Indian or Alaska Native) and White 19 = (Hispanic or Latino) and Asian and White 20 = (Hispanic or Latino) and (Black or African American) and White 21 = (Hispanic or Latino) and (American Indian or Alaska Native) and (Black or African American) 22 = (Hispanic or Latino) and respondent reported more than one race and does not fit into above categories (codes 18 through 21) | raw | person |
| RELi | Relationship to head of household | Range = (1, 7) Person 1 through Person 16 1 = Head of household 2 = Spouse 3 = Parent 4 = Daughter, stepdaughter, son, or stepson 5 = Other related person (brother, sister, niece, nephew, grandchild, great-grandchild, cousin) 6 = Foster child 7 = Unrelated person | raw | person |
| SEXi | Sex | Range = (1, 2) Person 1 through Person 16 1 = Male 2 = Female | raw | person |
| YRSEDi | Highest educational level completed | Range = (0, 14) Person 1 through Person 16 0 = None 1 = Grade 1 2 = Grade 2 3 = Grade 3 4 = Grade 4 5 = Grade 5 6 = Grade 6 7 = Grade 7 8 = Grade 8 9 = Grade 9 10 = Grade 10 11 = Grade 11 12 = High school graduate or GED 13 = Postsecondary education (for example, technical education or some college) 14 = College graduate or post-graduate degree | raw | person |

1. Agricultural Act of 2014, Conference Report to Accompany H.R. 2642. P. 144-147 [↑](#footnote-ref-1)