

Appendix I

Data Request: State SNAP Case
Record Files

memorandum

Date **Month day, 2019**

To **Recipient**

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 2014¹ (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 Agricultural Act of 2014, Conference Report to Accompany H.R. 2642. P. 144-147

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 or (301) 347-5613

Chris Logan (Principal Investigator) at chris_logan@abtassoc.com or (617) 349-2821

Eric Williams (FNS Contracting Officer's Representative) at 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

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
CERTHSZ	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-	Range = (0, 1)	constructed	unit

SNAP Online Purchasing Evaluation: State SNAP Agency Data Request

Variable	Label	Description	Type	Level
	elderly individuals with disabilities in unit (60 and older	0 = No 1 = Yes A SNAP unit with one or more individuals that are defined as disabled (DISi = 1).		
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

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Variable	Label	Description	Type	Level
FSNKOT4	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	constructed	unit

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Variable	Label	Description	Type	Level
		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.		
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	constructed	person

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Variable	Label	Description	Type	Level
		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.		
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		

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Variable	Label	Description	Type	Level
		earnings ($WAGES_i + OTHERN_i + SLFEMP_i > 0$), 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	raw	person

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Variable	Label	Description	Type	Level
		<p>participate in at least 20 hours per week in qualifying educational training activities, or to participate in workfare</p> <p>11 = Fleeing felon or parole and probation violator</p> <p>13 = Convicted drug felon</p> <p>14 = Social Security Number disqualified</p> <p>15 = SSI recipient in California</p> <p>16 = Prisoner in detention center</p> <p>17 = Foster care</p> <p>18 = Member is ineligible noncitizen and participating in State-funded SNAP</p> <p>19 = Individual in the home but not part of SNAP household</p> <p>99 = Unknown</p>		
FSUNi	Position of head of SNAP unit	<p>Range = (0, 8)</p> <p>Person 1 through Person 16</p> <p>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.</p>	constructed	person
RACETHi	Race/ethnicity	<p>Range = (1, 22)</p> <p>Person 1 through Person 16</p> <p>1 = Racial/ethnic data not available because</p>	raw	person

SNAP Online Purchasing Evaluation: State SNAP Agency Data Request

Variable	Label	Description	Type	Level
		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)		

SNAP Online Purchasing Evaluation: State SNAP Agency Data Request

Variable	Label	Description	Type	Level
		22 = (Hispanic or Latino) and respondent reported more than one race and does not fit into above categories (codes 18 through 21)		
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	raw	person

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Variable	Label	Description	Type	Level
		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		