
CASELOAD MANAGEMENT

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INTRODUCTION

Caseload management involves identifying the target population and special populations within it, implementing strategies to enroll the potential population, and utilizing caseload effectively to reach the desired populations. Describe the procedures in place to implement these strategies. The following sections provide a brief overview of the information that is required by federal regulations to be included in State Plans. The questions that follow are designed to assist the State agencies in submitting compliant State Plans for FNS approval. State agencies are encouraged to review each federal regulation in its entirety.

A. No-Show Rate 7 CFR 246. 4(a)(11)(i): describe the procedures used by the State agency to monitor potential and current participants utilization of program services.

B. Allocation of Caseload 7 CFR 246. 4(a)(5)(i) and (13): describe how the State agency assigns and manages local agency caseload allocations.

C. Caseload Monitoring 7 CFR 246. 4(a)(5)(i): describe the information and procedures used by the State agency to monitor caseload.

D. Benefit Targeting 7 CFR 246. 4(a)(5)(i); (6), (7), (19), (20), (21), and (22): describe the plans and procedures for ensuring that WIC benefits reach the highest risk participants and persons in special need such as migrants, homeless, and institutionalized persons; pregnant women in their early months of pregnancy; and applicants who are employed or who reside in rural areas.

E. Outreach Policies and Procedures 7 CFR 246. 4(a)(5)(i),(ii); (6), (7), (19), and (20): describe the types of outreach materials used, where these materials are directed, special agreements with other service organizations and how special populations are addressed. Please provide data describing the types of outreach efforts conducted.

F. Caseload Management Strategies 7 CFR 246. 16(c)(2)(ii), 7 CFR 246. 4(a)(11)(i); 246. 7(f)(1),(2); 246. 7(h)(3)(i): describe the policies and procedures used to manage caseload during a funding shortage, lapse in appropriations, or other WIC funding circumstances.

A. No-Show Rate

1. Policies and Procedures for Missed Certification Appointments and Food Instrument/Cash Value Voucher Pick-Up (No-Shows)

a. The State agency has specific policies and procedures to ensure follow-up of no-shows for (check all that apply):

- ☒ Initial certification for any potential participant
- ☐ Subsequent certifications for high-risk participants
- ☒ Subsequent certifications for any current participant
- ☒ Food instruments/cash value voucher pick-up
- ☐ Food instruments/cash value voucher benefit non-redemption
- ☐ State agency has no specific policies and procedures for no-show follow-up

b. The local agency or State agency, when the State agency has no separate local agencies, attempts to contact each pregnant woman who misses her first appointment to apply for participation in the Program to reschedule the appointment. Such procedures include (check all that apply):

- ☒ At the time of initial contact, the local agency obtains the pregnant woman's mailing and/or email address and telephone number
- ☒ If the applicant misses her first certification appointment, an attempt is made to contact her by:
- ☒ If contact is established, she is offered one additional certification appointment.
- ☒ If she cannot be reached, the local agency follows-up with a request for the applicant to contact the local agency for a second appointment by sending her a:
- ☒ A second appointment is provided upon request from the applicant.

☒ If the applicant misses her first certification appointment, an attempt is made to contact her by:

- ☒ Telephone
- ☒ Mail
- ☒ Email
- ☒ Text
- ☐ Mobile App

☒ If contact is established, she is offered one additional certification appointment.

☒ If she cannot be reached, the local agency follows-up with a request for the applicant to contact the local agency for a second appointment by sending her a:

- ☐ Postcard
- ☒ Letter
- ☒ Email
- ☒ Text

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

2. Monitoring No-Show Rates

a. The State agency has (check all that apply):

☐ Standards defining acceptable no-show rates

☒ Policies and procedures designed to assist local agencies to improve no-show rates. Please attach.

☐ Sanctions that may be applied to local agencies that have chronically unacceptable no-show rates. Please attach.

☒ Provides regular feedback to local agencies concerning no-show rates

☐ Reports to address appropriate follow-up of no-shows

☐ No specific policies or procedures concerning local agency no-show rates

b. As a matter of standard procedure, the State agency monitors no-show rates through (check all that apply):

☐ State agency does not monitor local agency no-show rates

☒ Local agency reviews

☐ Automated reports

☒ Local agency reports on no-show rates

☐ Other

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

NC WIC Program Manual Chapter 10: Caseload Management and
Chapter 15:
Monitoring/Auditing

B. Allocation of Caseload

☐ DOES NOT APPLY

EXPLAIN WHY AND PROCEED TO NEXT SECTION on This is not applicable for my state agency

1. The State agency considers the following factors in its initial allocation of caseload to local agencies in a program year (check all that apply):

☐ Percent of target population served by local agency's service area

☐ Analysis of no-show, void, non-redemption rates by local agencies

☒ Participation by priority and category

☐ Special population pockets

☐ Waiting lists

☐ Staffing/ability of local agencies to serve caseload

☒ Prior year caseload

☐ Food package costs per person

☐ Special projects

☒ Other

☒ Other

Please explain: Refer to Appendix 1, VII Case

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation): Refer to Appendix 1.

2. The State agency has a written procedure for allocation of caseload to local agencies

☒ Yes

Specify:

2. The State agency has a written procedure for allocation of caseload to local agencies

☐ No

☒ Yes

Attach written procedure in the Caseload Management Appendix or specify location in the Procedure Manual below.

VII Caseload Management Appendix 1 Caseload and Local Agency Fun

☐ No

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

VII Caseload Management Appendix 1 Caseload Allocation
Procedure FY 2027

3. The State agency has a procedure in place to ensure that current/prior year caseload levels are maintained.

☒ Yes

☐ No

If yes, attach procedure in the Caseload Management Appendix

VII Caseload Management Appendix 1 Caseload
Allocation Procedure FY 2027

4. If it appears that during the program year all funds will be spent, the State agency may reallocate caseload based on the following factors (check all that apply):

☐ The State agency does not reallocate caseload mid-year

☐ Same basis as for initial allocation of caseload

☒ Local agency participation levels

☐ Local agency high priority participation

☒ Waiting lists

☐ Other

5. If it appears that during the course of the program year all funds will not be spent, the State agency may reallocate caseload on the basis of the following factors (check all that apply):

☐ The State agency does not reallocate caseload mid-year

☐ Same basis as for initial allocation of caseload

☒ Local agency participation levels

☐ Local agency high priority participation

☐ Waiting lists

☐ Successful special projects

☐ Other

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

6. The State agency has written procedures for local agencies to follow in situations of overspending:

☐ Yes

☒ No

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

The Aid to County System does not allow reimbursement of an amount greater than the budgeted amount by program area, and the State accounting system does not permit payments in excess of the remaining available balance by program area for the three non-governmental agencies.

C. Caseload Monitoring

1. The State agency's caseload monitoring process includes the review of the following data (check all that apply):

- ☒ Participation levels/rates
- ☐ High-risk participant levels/rates
- ☐ No-show rates
- ☐ Food costs per participant
- ☐ Food costs by area
- ☐ Other

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

2. The State agency uses the following methods to monitor the below task (check all that apply):

- ☐ Manual reports submitted by local agencies
- ☒ MIS-generated reports (If utilized please attach a description of each report and how they are used)
- ☐ On-site reviews
- ☐ Other

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

VII Caseload Management Appendix 2 MIS System Crossroads
FY 2027

3. Local agency caseload utilization, by any method, is reviewed by the State agency at least:

- ☒ Monthly
- ☐ Quarterly
- ☐ Other
- ☐ Not applicable

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

VII Caseload Management Appendix 3 SFY2026 Monthly
WIC Participation YTD

D. Benefit Targeting

1. Development and Monitoring of State Agency Targeting Plans

a. The State agency has a plan to inform the following classes of individuals of the availability of Program benefits (check all that apply):

☒ Pregnant women, with special emphasis on pregnant women in the early months of pregnancy

☐ High-risk postpartum women (e.g., teenagers)

☒ Parents/Caregivers of Priority I & II infants

☒ Migrants

☒ Homeless persons/families

☐ Incarcerated pregnant women

☐ Institutionalized persons

☐ Other

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

North Carolina WIC Program Manual Chapter 10: Caseload Management

b. The local agency or State agency, when the SA has no separate local agencies, contacts the following organizations to provide WIC Program information to eligible infants and children:

☒ Foster care agencies

☐ Protective service agencies

☒ Child welfare authorities

☒ Other

Specify: Head Start, Medicaid and Food Stamps/FNS, Local Food Banks, Religious organizations, CACFP, MIECHV, Hospitals, local health care providers

c. The State agency ensures that benefits are targeted to those at greatest risk by limiting the use of regression as a nutrition risk criterion to only once after a certification period.

☐ Yes

☒ No

d. In addition to, or in lieu of, State-developed plans, the State agency encourages/permits local agencies to develop their own targeting plans.

☒ Yes

☐ No

☐ NA

e. The State agency assures the appropriateness/quality of local agency targeting plans by:

☐ N/A

☒ Requiring local agencies to submit plans for State agency approval

☒ Review plans during local agency reviews

☐ Other

f. The State agency monitors benefit targeting through (check all that apply): on This is not applicable for my state agency

☐ Automated reports developed by State agency

☐ Manual reports submitted by local agencies

☒ Local agency reviews

☐ Other

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

E. Outreach Policies and Procedures

1. Outreach Policies, Procedures and Materials

a. To administer outreach activities, the State agency (check all that apply):

- ☒ Issues a standard set of outreach materials for use by all local agencies
- ☒ Requires local agencies to develop outreach plans
- ☒ Reviews outreach plans developed by local agencies
- ☐ Reviews and approves any outreach materials developed by local agencies
- ☒ Utilizes broadcast media for outreach activities
- ☐ Other

b. Availability of Program benefits is publicly announced at least annually via:

State Agency	Local Agency	
	X	Newspapers
	X	Radio
X	X	Posters
		Letters
X	X	Brochures/pamphlets
	X	Television
	X	Social Media (Twitter, Facebook, etc.)

c. Outreach materials are available in the following languages (check all that apply):

- ☒ English
- ☒ Spanish
- ☐ Vietnamese
- ☐ Tribal Language(s)
- ☐ Other

d. Outreach materials are distributed to (check all that apply):

- ☒ Health and medical organizations
- ☒ Hospitals and clinics
- ☒ Welfare and unemployment offices or social service agencies
- ☒ Migrant farmworker organizations
- ☒ Indian and tribal organizations
- ☒ Homeless organizations
- ☒ Faith-based and community organizations in low-income areas
- ☒ Shelters for victims of domestic violence
- ☒ Food Banks
- ☒ Head Start Centers
- ☒ Other

Specify: The State Agency provides materials (digital and print) to the Local Agencies and they distribute within their communities. Material print files are available for CACFP institutions to print at no charge.

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

North Carolina WIC Program Manual Chapter 10: Caseload Management

2. Accessibility to Special Populations

a. When an ITO State agency operates as both the State and local agency "All" should be checked. The State agency requires all, some, none local agencies to implement the following to meet the special needs of employed applicants/participants.

All	Some	None	
		X	Early morning/evening clinic hours by appointment
		X	Early morning/evening clinic hours
		X	walk-in basis
		X	Weekend hours
		X	by appointment
		X	Weekend hours
		X	walk-in basis

X			Priority appointment scheduling during regular clinic operations
		X	Food instrument mailing procedures specifically designed for working participants
		X	Expedited clinic procedures for working participants
		X	Evening/wee kend nutrition education classes

		X	On demand nutrition education opportunities
		x	Virtual appointments by appointment
		x	Virtual appointments on-demand basis

x	3-month issuance and remote food benefits issuance available for all participants; guidance in the NC WIC Program Manual, Chapter 8: Food Benefit Issuance. Remote and alternative service options for services; NC WIC Program Manual, Chapter 6		
			Other 2 -
			Other 3 -

b. The State agency requires/authorizes all, some, none local agencies to implement the following to meet the special needs of rural participants (check all that apply):

All	Some	None	
X			Special clinic hours to accommodate travel time to clinic sites
	X		Use of mobile clinics to rural areas
X			Food instrument/cash value voucher mailing procedures specifically designed for rural participants

Page 18

X			On demand nutrition education opportunities
X			Virtual appointments by appointment
X			Virtual appointments on-demand basis
X	3-month issuance and remote food benefits issuance available for all participants; guidance in the NC WIC Program Manual, Chapter 8: Food Benefit Issuance. Remote and alternative service options for services; NC WIC Program Manual, Chapter 6		
			Other 2 -
			Other 3 -

c. The State agency requires/authorizes all, some, none local agencies to implement the following to meet the special needs of migrant families (check all that apply):

All	Some	None	
	X		Formal coordination with rural/migrant health centers
X			Special outreach activities aimed at migrants
X			Special clinic hours/locations to service migrant populations
X			Expedited appointment procedures to accommodate migrant families

Page 21

X	3-month issuance and remote food benefits issuance available for all participants; guidance in the NC WIC Program Manual, Chapter 8: Food Benefit Issuance. Remote and alternative service options for services; NC WIC Program Manual, Chapter 6		
			Other 2 -
			Other 3 -

d. The State agency has in place formal agreements with one or more contiguous States to facilitate service continuity to migrants (exclusive of normal verification of certification procedures):

☐ Yes

☒ No

e. The State agency requires all, some, none local agencies to implement the following proceedings to facilitate service to homeless families/individuals (check all that apply):

All	Some	None	
		X	Provide homeless applicants with a list of shelters/facilities that fulfill WIC Program requirements

		X	Undertake regular and ongoing outreach to homeless individuals
		X	Routinely monitors facilities serving homeless participants to ensure WIC foods are not subsumed into communal food service

		X	Implement formal agreement with other service providers to facilitate referrals of homeless families/individuals
X			Secure a written statement from the facility attesting to compliance with the requisite conditions for WIC services in a homeless facility

X			Establish, to the extent practicable, plans to ensure that the three conditions in 7 CFR 246 .7(m)(1)(i) regarding homeless facilities are met
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ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):
North Carolina WIC Program Manual Chapter 10: Caseload Management and Chapter 6E: Certification in Special Situations

3. Unserved Geographical Areas

a. How does the State agency prioritize areas defined as underserved geographic areas in descending order?

The State Agency defines an unserved geographic area as "a county without a WIC program."

b. Please list unserved geographic areas or attach a list to appendix: on No current unserved areas (check if applicable)

☒ **No current unserved areas (check if applicable)**

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):
on This is not applicable for my state agency

☒ **This is not applicable for my state agency**

4. Underserved Geographic Areas

a. The State agency has a list on file of served and/or underserved geographic areas including the number of newly potential applicants, the priority level currently being served, and participation.

☒ Yes

☐ No

b. The names and addresses of all local agencies found in the last FNS-648 Report, reflect all local agencies currently in operation.

☒ Yes

☐ No, an update list is provided in the Appendix

☐ N/A, State agency has no local agencies

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

VII Caseload Management Appendix 4 648 Report FY 2027

5. The State agency has a plan to: on This is not applicable for my state agency

5. The State agency has a plan to:

☒ This is not applicable for my state agency

☐ Inform potential local agencies of the Program and the availability of technical assistance in implementation.

☐ Describes how State agencies will take all reasonable actions to identify potential local agencies.

☐ Encourage potential and existing local agencies to implement or expand operations in the neediest one-third of all areas unserved or partially served.

☐ The State agency does not have local agencies and does not plan to have local agencies. Explanation of how underserved and/or partially served areas are addressed is below.

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation) AND/OR State agency/ITO explanation of how the State agency without local agencies addresses underserved or partially served areas:

F. Caseload Management Strategies. For FY 2025, Section F. 1 is required. Sections F. 2-5 are optional and allow State agencies to anticipate any potential impacts due to funding shortages or lapse in funding. State agencies should review the below strategies and consider any necessary policy changes, where appropriate.

1. Waiting List Management and Procedures

a. The State agency has specific policies/procedures for the establishment and maintenance of waiting lists, which are used by all local agencies

- ☒ Yes
- ☐ No

b. Waiting list procedures are uniform throughout the State agency.

- ☒ Yes
- ☐ No, but State agency approves all exceptions
- ☐ No, local variation allowed without State agency approval

c. The State agency routinely monitors waiting lists.

- ☐ Yes
- ☐ No
- ☒ No, for the current Fiscal Year, the State agency does not have a waiting list.

d. The State agency requires/allows sub prioritization of waiting lists by (check all that apply):

☐ No subprioritization permitted

☐ Income

☒ Nutrition risk

☐ Age

☐ Point system

☒ Special target populations ☒ Special target populations

☐ Other

Pregnant women

e. The State agency requires pre-screening for certification of individuals prior to placement on waiting lists.

☐ Yes

☒ No, only categorical eligibility established

☐ No, only categorical and income eligibility established

☐ No, local agency variation

☐ Other

f. Waiting lists are maintained:

☐ Manually

☒ Automated system linked to State agency's central system

☐ Automated system, stand alone at some/all local agencies

g. Telephone requests for placement on the waiting list are accepted.

☒ Yes

☐ No

h. The State agency requires all local agencies to maintain waiting lists (telephone and/or pre-certification) with the following information (check all that apply):

☒ Name

☒ Address

☒ Phone number(s)

☒ Date placed on waiting list

☒ Category

☐ Priority

☒ Nutritional risk

☐ Income eligibility status

☐ Method of application

☒ Date applicant notified of placement on the waiting list

☐ Other

i. The State agency requires local agencies to provide information on other food assistance programs to applicants who are placed on a waiting list. If the State agency has no local agencies, it provides the information.

☒ Yes

☐ No

ADDITIONAL DETAIL: Caseload Management Appendix and/or Procedure Manual (citation):

NC WIC Program Manual Chapter 6E

2. Allowable Cost Saving Strategies (Optional)

a. Does the State agency have policies and procedures to control cost when funding is insufficient relative to projected costs? on This is not applicable for my state agency

☐ Yes

☒ No

b. Does the State agency use any of the following policies and procedures? (select all that apply): on This is not applicable for my state agency

- ☒ [X] Modified approved food list
- ☐ [] Least expensive brands (LEB)
- ☐ [] Economical container size and packaging
- ☐ [] Other

c. During funding shortfalls/to control costs, the State agency requires local agencies to certify participants for the minimum period specified in regulations. 7 CFR 246. 7(g)(1) on This is not applicable for my state agency

- ☐ Yes
- ☒ No
 - Specify: Consideration of other methods to control costs prior to considering certification period changes

d. During funding shortfalls/to control costs, the State agency requires local agencies to shorten certifications on a case-by-case basis. 7 CFR 246. 7(g)(2) on This is not applicable for my state agency

- ☐ Yes
- ☒ No
 - Specify: Consideration of other methods to control costs prior to considering certification period changes

e. The State agency uses targeted outreach to serve participants most in need to control cost. 7 CFR 246. 4(a)(7) and 7 CFR 246. 6(f). on This is not applicable for my state agency

- ☐ Yes
- ☒ No
 - Specify: Consideration of other methods to control costs prior to considering certification period changes

3. Mid-Certification Benefit Discontinuation During Funding Shortfalls (Optional)

a. The State agency has specific policies/procedures for establishing and implementing mid-certification benefit discontinuation due to funding shortfalls, which are used by all local agencies. on This is not applicable for my state agency

☐ Yes

☒ No

b. If a State agency experiences a funding shortfall where it is unable to maintain its current level of participation for the remainder of the fiscal year and has explored all other alternative actions, the State agency will instruct local agencies to begin mid-certification benefit discontinuation by: (Select all that apply) on This is not applicable for my state agency

☒ Mid-certification disqualification of program participants

☐ Withholding of benefits for program participants

c. The mid-certification benefit discontinuation action must affect the least possible number of participants and be directed first at those where their nutritional and health status is at least risk. When implementing mid-certification benefit discontinuation due to funding shortfalls, State agencies will select participants by: (Select all that apply) on This is not applicable for my state agency

☒ Selecting participants in reverse order from the nutritional risk priority system.

☐ Selecting participants who were certified due to possible regression in nutritional status, especially if original eligibility was based on a lower priority condition.

☐ Selecting participants who have only one month left in their certification periods.

☐ Selecting participants at higher income ranges.

☐ Other

d. Prior to implementing mid-certification benefit discontinuation due to funding shortfalls, the State agency will notify FNS. on This is not applicable for my state agency

☒ Yes

☐ No

e. Prior to implementing mid-certification benefit discontinuation due to funding shortfalls, the State agency will provide FNS the following information: on This is not applicable for my state agency

☒ [X] A summary description of the alternative policies and procedures explored or used prior to implementing any adverse action.

☒ [X] An explanation of how the planned action is intended to meet the criteria of affecting the least number of people and also the lowest priority persons to bring caseload in line with available resources.

☐ [] Other

4. During funding shortfalls, the State agency authorizes local agencies to disqualify participants in the middle of a certification period for failure to pick up food instruments. (Optional)

☐ Yes

☒ No

☐ N/A, the State agency already authorizes local agency to disqualify participants for failure to pick up food instruments/CVV during normal operations.

5. Competitive Vendor Selection Strategies. (Optional)

a. During funding shortfalls/to control costs, does the State agency have procedures to adjust their vendor cost containment policies, including their competitive price selection criteria and/or maximum allowable reimbursement levels? on This is not applicable for my state agency

☐ Yes

☒ No.

b. During funding shortfalls/to control costs, does the State agency have procedures to adjust their vendor authorization policies (outside of cost containment), including application periods, selection criteria, and limiting criteria? on This is not applicable for my state agency

☐ Yes

☒ No.

c. If the State agency answered yes to either a or b: During funding shortfalls/To control costs, does the State agency reassesses vendors using the updated vendor authorization policies and selection criteria, including cost containment? on This is not applicable for my state agency

☒ **This is not applicable for my state agency**

☐ Yes

☐ No.

d. During funding shortfalls/to control costs, does the State agency have procedures to assess the effectiveness of their above-50-percent vendor population to ensure continued oversight of cost neutrality assessment? X This is not applicable for my state agency

☒ **This is not applicable for my state agency**

Yes

No.