

## Confidentiality of Participant Information

### Policy

**USDA Federal Regulations:** (a) Requirements. By August 15 of each year, each State agency shall submit to FNS for approval a State Plan for the following fiscal year as a prerequisite to receiving funds under this section. (26) A list of all organizations with which the State agency or its local agencies has executed or intends to execute a written agreement pursuant to §246.26(h) authorizing the use and disclosure of confidential applicant and participant information for non-WIC purposes.

(i) Certification forms. All certification data for each person certified shall be recorded on a form (or forms) which are provided by the State agency. The information on the forms shall include (11) If the State agency exercises the authority to use and disclose confidential applicant and participant information for non-WIC purposes pursuant to §246.26(d)(2), a statement that:

(i) Notifies applicants that the chief State health officer (or the governing authority, in the case of an Indian State agency) may authorize the use and disclosure of information about their participation in the WIC Program for non-WIC purposes;

(ii) Must indicate that such information will be used by State and local WIC agencies and public organizations only in the administration of their programs that serve persons eligible for the WIC Program; and,

(iii) Will be added to the statement required under paragraph (i)(10) of this section. This statement must also indicate that such information can be used by the recipient organizations only for the following:

(A) To determine the eligibility of WIC applicants and participants for programs administered by such organizations;

(B) To conduct outreach for such programs;

(C) To enhance the health, education, or well-being of WIC applicants and participants currently enrolled in those programs;

(D) To streamline administrative procedures in order to minimize burdens on participants and staff; and,

(E) To assess and evaluate a State's health system in terms of responsiveness to participants' health care needs and health care outcomes.

(k) Fair hearing decisions (4) The State and local agency shall make all hearing records and decisions available for public inspection and copying; however, the names and addresses of participants and other members of the public shall be kept confidential.

(b) Confidentiality. No State or local agency, participant, or other person shall intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege under this part because that person has made a complaint or formal allegation, or has testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under this part. The identity of every complainant shall be kept confidential except to the extent

necessary to carry out the purposes of this part, including the conducting of any investigation, hearing, or judicial proceeding.

(a) Recordkeeping requirements. (4) All records shall be available during normal business hours for representatives of the Department and the Comptroller General of the United States to inspect, audit, and copy. Any reports or other documents resulting from the examination of such records that are publicly released may not include confidential applicant or participant information.

d) Confidentiality of applicant and participant information—(1) WIC purposes. (i) Confidential applicant and participant information is any information about an applicant or participant, whether it is obtained from the applicant or participant, another source, or generated as a result of WIC application, certification, or participation, that individually identifies an applicant or participant and/or family member(s). Applicant or participant information is confidential, regardless of the original source and exclusive of previously applicable confidentiality provided in accordance with other Federal, State or local law.

(ii) Except as otherwise permitted by this section, the State agency must restrict the use and disclosure of confidential applicant and participant information to persons directly connected with the administration or enforcement of the WIC Program whom the State agency determines have a need to know the information for WIC Program purposes. These persons may include, but are not limited to: personnel from its local agencies and other WIC State or local agencies; persons under contract with the State agency to perform research regarding the WIC Program, and persons investigating or prosecuting WIC Program violations under Federal, State or local law.

(2) Non-WIC purposes. (i) Use by WIC State and local agencies. Any WIC State or local agency may use confidential applicant and participant information in the administration of its other programs that serve persons eligible for the WIC Program in accordance with paragraph (h) of this section.

(ii) Disclosure to public organizations. The State agency and its local agencies may disclose confidential applicant and participant information to public organizations for use in the administration of their programs that serve persons eligible for the WIC Program in accordance with paragraph (h) of this section.

(3) Child abuse and neglect reporting. Staff of the State agency and its local agencies who are required by State law to report known or suspected child abuse or neglect may disclose confidential applicant and participant information without the consent of the participant or applicant to the extent necessary to comply with such law.

(4) Release forms. Except in the case of subpoenas or search warrants (see paragraph (i) of this section), the State agency and its local agencies may disclose confidential applicant and participant information to individuals or entities not listed in this section only if the affected applicant or participant signs a release form authorizing the disclosure and specifying the parties to which the information may be disclosed. The State or local agency must permit applicants and participants to refuse to sign the release form and must notify the applicants and participants that signing the form is not a condition of eligibility and refusing to sign the form will not affect the applicant's or participant's application or participation in the WIC Program. Release forms

authorizing disclosure to private physicians or other health care providers may be included as part of the WIC application or certification process. All other requests for applicants or participants to sign voluntary release forms must occur after the application and certification process is completed.

(5) Access to information by applicants and participants. The State or local agency must provide applicants and participants access to all information they have provided to the WIC Program. In the case of an applicant or participant who is an infant or child, the access may be provided to the parent or guardian of the infant or child, assuming that any issues regarding custody or guardianship have been settled. However, the State or local agency need not provide the applicant or participant (or the parent or guardian of an infant or child) access to any other information in the file or record such as documentation of income provided by third parties and staff assessments of the participant's condition or behavior, unless required by Federal, State, or local law or policy or unless the information supports a State or local agency decision being appealed pursuant to §246.9.

(g) USDA and the Comptroller General. The State agency must provide the Department and the Comptroller General of the United States access to all WIC Program records, including confidential vendor, applicant and participant information, pursuant to §246.25(a)(4).

(h) Requirements for use and disclosure of confidential applicant and participant information for non-WIC purposes. The State or local agency must take the following steps before using or disclosing confidential applicant or participant information for non-WIC purposes pursuant to paragraph (d)(2) of this section.

(1) Designation by chief State health officer. The chief State health officer (or, in the case of an Indian State agency, the governing authority) must designate in writing the permitted non-WIC uses of the information and the names of the organizations to which such information may be disclosed.

(2) Notice to applicants and participants. The applicant or participant must be notified either at the time of application (in accordance with §246.7(i)(11)) or through a subsequent notice that the chief State health officer (or, in the case of an Indian State agency, the governing authority) may authorize the use and disclosure of information about their participation in the WIC Program for non-WIC purposes. This statement must also indicate that such information will be used by State and local WIC agencies and public organizations only in the administration of their programs that serve persons eligible for the WIC Program.

(3) Written agreement and State plan. The State or local agency disclosing the information must enter into a written agreement with the other public organization or, in the case of a non-WIC use by a State or local WIC agency, the unit of the State or local agency that will be using the information. The State agency must also include in its State plan, as specified in §246.4(a)(24), a list of all organizations (including units of the State agency or local agencies) with which the State agency or its local agencies has executed or intends to execute a written agreement. The written agreement must:

(i) Specify that the receiving organization may use the confidential applicant and participant information only for:

(A) Establishing the eligibility of WIC applicants or participants for the programs that the organization administers;

(B) Conducting outreach to WIC applicants and participants for such programs;

(C) Enhancing the health, education, or well-being of WIC applicants or participants who are currently enrolled in such programs, including the reporting of known or suspected child abuse or neglect that is not otherwise required by State law;

(D) Streamlining administrative procedures in order to minimize burdens on staff, applicants, or participants in either the receiving program or the WIC Program; and/or

(E) Assessing and evaluating the responsiveness of a State's health system to participants' health care needs and health care outcomes; and

(ii) Contain the receiving organization's assurance that it will not use the information for any other purpose or disclose the information to a third party.

(i) Subpoenas and search warrants. The State agency may disclose confidential applicant, participant, or vendor information pursuant to a valid subpoena or search warrant in accordance with the following procedures:

(1) Subpoena procedures. In determining how to respond to a subpoena duces tecum (i.e., a subpoena for documents) or other subpoena for confidential information, the State or local agency must use the following procedures:

(i) Upon receiving the subpoena, immediately notify its State agency;

(ii) Consult with legal counsel for the State or local agency and determine whether the information requested is in fact confidential and prohibited by this section from being used or disclosed as stated in the subpoena;

(iii) If the State or local agency determines that the information is confidential and prohibited from being used or disclosed as stated in the subpoena, attempt to quash the subpoena unless the State or local agency determines that disclosing the confidential information is in the best interest of the Program. The determination to disclose confidential information without attempting to quash the subpoena should be made only infrequently; and,

(iv) If the State or local agency seeks to quash the subpoena or decides that disclosing the confidential information is in the best interest of the Program, inform the court or the receiving party that this information is confidential and seek to limit the disclosure by:

(A) Providing only the specific information requested in the subpoena and no other information; and,

(B) Limiting to the greatest extent possible the public access to the confidential information disclosed.

(2) Search warrant procedures. In responding to a search warrant for confidential information, the State or local agency must use the following procedures:

(i) Upon receiving the search warrant, immediately notify its State agency;

(ii) Immediately notify legal counsel for the State or local agency;

(iii) Comply with the search warrant; and,

(iv) Inform the individual(s) serving the search warrant that the information being sought is confidential and seek to limit the disclosure by:

(A) Providing only the specific information requested in the search warrant and no other information; and

(B) Limiting to the greatest extent possible the public access to the confidential information disclosed.

## Authority

7 CFR Part 246.4(a)(26)  
7 CFR Part 246.7(i)(11)(i-iii)(A-E)  
7 CFR Part 246.9(k)(4)  
7 CFR Part 246.21(b)  
7 CFR Part 246.25(a)(4)  
7 CFR Part 246.26(d)(1-5)  
7 CFR Part 246.26(g)  
7 CFR Part 246.26(h)(1-3)(i-ii)  
7 CFR Part 246.26(i)(1-2)(i-iv)(A-B)  
FNS Instruction WIC 800-1  
WIC Policy Memo 2015-2

## Procedures

Access to the electronic WIC data system:

Only WIC personnel (defined as funded by WIC grant funds) are allowed access to the electronic WIC data system, including the rights to “read” and edit records. Allowing a non-WIC employee to “read” electronic records constitutes a breach of confidentiality by the WIC personnel who allowed it to happen. If agencies would like a non-WIC funded employee to have access to the WIC data system, this may be allowed at the discretion of the state office through a justification process. Contact the WIC state office for more information on this process if needed.

Disclosure of limited WIC participant data:

The director of the Iowa Department of Public Health authorized the use and disclosure of limited WIC participant data to the certain programs for the purposes of coordinating care, reducing duplication of services, and outreach. There is a written agreement on file at the Iowa Department of Public Health listing these programs.

- Maternal and Child Health Title V Program
- Early Hearing Detection & Intervention (EHDI)
- Prenatal Risk Assessment Monitoring System (PRAMS)
- Immunization Program
- Lead Poisoning Prevention Program
- Oral Health Center
- Center for Congenital and Inherited Diseases
- Local Public Health Services Agencies
- Family Planning Program

The limited WIC participant data that can be disclosed to non-WIC programs in the Iowa

Department of Public Health includes the following:

- Participant name
- Address
- Phone number
- Date of birth
- WIC participant category (i.e., infant, child, pregnant, breastfeeding, not breastfeeding)

Additional data may be shared as described below:

- Nutrition Health History cards listing blood work results and anthropometric data are provided to WIC participants and can be shared by that participant with other providers and program personnel.
- WIC data system outputs (e.g., pediatric growth charts, prenatal weight gain charts, nutrition interviews, and nutrition care plans) may also be shared as outlined below.
  - When the WIC contractor also holds the department contract for Title V, WIC personnel can provide the relevant output upon verbal request of the Title V agency personnel.
  - When different community organizations hold the department contracts for WIC and Title V, WIC personnel can provide the relevant output upon written request from the Title V agency. This request must include a signed participant release.
  - Upon a written request from the Head Start program including Head Start programs in the same agency as the local WIC program. This request must include a signed participant release.

The WIC agency may share limited participant **data** in the following ways:

- Verbally or in writing upon verbal request from the MCH agency.
- A report or an electronic file generated by the WIC state agency upon written request from the state MCH, **or** any of their contractors. This request must describe the intended use of the data.

These programs may use this confidential information only for:

- Establishing the eligibility of WIC applicants or participants for the programs the organization administers;
- Conducting outreach to WIC applicants and participants for such programs; and
- Enhancing the health, education or well-being of WIC applicants or participants who are currently enrolled in such programs, including the reporting of known or suspected child abuse or neglect that is not otherwise required by state law;
- Streamlining administrative procedures in order to minimize burdens on staff, applicants, or participants in either the receiving program or the WIC Program; and/or
- Assessing and evaluating the responsiveness of a state's health system to participants' health care needs and health care outcomes.

The following Data Sharing Agreement(s) are in place with the Iowa Department of Public Health for non-WIC purposes:

- University of Iowa (Iowa Registry for Congenital and Inherited Disorders) on behalf of Dr. P. R.

Investigations by DHS child protection workers:

If a Child Protection Worker from DHS requests copies of materials in a WIC record, ask for a written request and scan it into the participant's file. This documentation will protect your agency from liability for releasing the information. It is not necessary to inform the participant.

Note: A DHS Child Protection Worker may also show in their email signature line that they are a Social Worker 3. WIC agency staff can always call the DHS office in their county to verify the DHS individual who is contacting them.

- If a DHS Child Protection Worker simply requests confirmation of WIC participation, no documentation is required.
- Clarify the specific information being requested before printing documents from the WIC data system (e.g., growth charts, nutrition interviews, nutrition care plans).
- Some requested information may not be in these printed documents (e.g., follow-up on referrals, redemption data). In those cases, it may be necessary to generate a nutrition care plan containing the information that was requested. It is also acceptable to provide the requested information in a letter with other supporting documents as appropriate.

Subpoenas:

A subpoena is a request for information issued by a court in response to a request by an attorney representing a party, it is not a court order to produce it, however it cannot be ignored. Failure to respond to a subpoena could result in the state or local agency being found in contempt of court, and WIC employees could be fined or incarcerated. There are two responses to a subpoena:

- Produce the requested information, or
- File a motion to quash the subpoena (make it void).

A subpoena may be directed to an individual or an entity, and a subpoena duces tecum is a request for the production of designated tangible items (e.g., records).

- The subpoena will designate a deadline by which the state or local WIC agency must respond to the subpoena. The subpoena will also identify the individual or organization seeking the WIC information and who had the subpoena issued.

If your agency is served with a subpoena, follow this procedure. The state agency will follow the same procedure if served with a subpoena.

1. Immediately notify the state WIC office.
2. Consult with legal counsel to determine whether the information requested is in fact confidential.
3. If the information is confidential, attempt to quash the subpoena unless the local or state agency determines that disclosing the information is in the best interest of the program.
4. Regardless of the decision reached in step 3, inform the court or the receiving party that the information is confidential and seek to limit the disclosure by:
  - a. Providing only the specific information requested, and
  - b. Limiting to the greatest extent possible the public access to the information disclosed.
5. Copies of subpoenas are considered records pertaining to WIC operations and must be retained on file by local agencies.

If no appeal is brought, or if the appeal is denied, limit the extent to which WIC participant

information is made public:

- Request that the parties agree in writing to the terms of the release of the subpoenaed information.
- Produce the minimum information required by the subpoena (e.g., provide edited documents reflecting only the requested WIC information).
- Attempt to limit the extent to which the WIC information actually produced becomes public information (e.g., have the information reviewed in the judge's chambers, or request limited entry into the public record).
- If the court denies the motion to quash, legal counsel should seek a warrant of attachment or similar court order.
  - A warrant of attachment is a written court order requiring a law enforcement officer to seize specific documents and deliver them to the court, which essentially forces the subpoenaed agency to comply. In this way, there is a record that WIC employees disregarded federal law protecting the confidentiality of WIC records only when compelled to do so by a court.

Search warrants:

State and local agencies must comply with search warrants. A search warrant differs from a subpoena, in which a time frame is established to either comply with the subpoena or attempt to quash the request. Failure to fully comply with a search warrant at the time it is served could result in the immediate incarceration of state or local WIC agency staff. Search warrants usually specify exactly what information is being sought. Agency staff should carefully review the search warrant and provide only the specific information requested in the search warrant and no other information.

If your agency is served with a search warrant, follow this procedure. The state agency will follow the same procedure if served with a search warrant.

1. Immediately notify the state WIC office.
2. Immediately notify legal counsel.
3. Comply with the search warrant.
4. Inform the individual(s) serving the search warrant that the information being sought is confidential and seek to limit the disclosure by:
  - a. Providing only the specific information requested, and
  - b. Limiting to the greatest extent possible the public access to the information disclosed.
5. Copies of search warrants are considered records pertaining to WIC operations and must be retained on file by local agencies.

If your agency is required to release confidential information in response to a subpoena or search warrant and the release is made in accordance with WIC regulations, instructions and policy, Food and Nutrition Services will not take adverse action against your agency. Consult with legal counsel if a program applicant or participant files a formal complaint or begins litigation because the state or local agency released WIC information in response to a subpoena or search warrant.

eWIC customer service line:

The eWIC customer service line must keep WIC participant information confidential.

- If an individual calls the eWIC customer service line who is not the cardholder (additional parent/guardian or proxy) and has all the required information (date of birth, zip code, and name of card holder), the eWIC customer service line cannot give out any information since they would not be able to verify if the individual is actually authorized to use the card.
  - The eWIC customer service staff will direct the individual to contact the local agency. The local agency staff will be able to confirm if the individual is an additional parent/guardian or proxy.
  - If the individual is authorized to use the eWIC card and is needing information that can only be obtained through the eWIC database, contact the State office for assistance.