AUTOMATED SYSTEMS FOR

CHILD SUPPORT ENFORCEMENT:

A GUIDE FOR STATES

REVISED APRIL 1999

UPDATED DECEMBER 1999

UPDATED AUGUST 2000

UPDATED MAY 2007

INCORPORATES FUNCTIONAL REQUIREMENTS

OF THE DEFICIT REDUCTION ACT OF 2005

U. S. DEPARTMENT OF HEALTH & HUMAN SERVICES

Administration for Children and Families

Office of Child Support Enforcement

Office for Automation and Program Operations

Division of State and Tribal Systems

Preface

The Administration for Children and Families (ACF) developed this Child Support Enforcement Systems Requirement Guide to support States in the development of comprehensive, statewide automated Child Support Enforcement systems. Comments were requested and received from States and Federal staff and were incorporated, wherever possible, in this guide.

ACF welcomes comments and suggestions from those using this guide. Comments may be sent to:

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Table of Contents

Chapter I: Introduction

A.   BACKGROUND AND OBJECTIVES

The Department of Health and Human Services' (DHHS) Administration for Children and Families (ACF) provides national leadership and direction in planning, managing, and coordinating the nationwide administration and financing of a broad range of comprehensive and supportive programs for children and families including Child Support Enforcement.

State and local agencies in large part carry out the Child Support Enforcement program. ACF retains the responsibility to monitor and evaluate programs to ensure that they are being operated as intended by law and regulation and that the expenditure of Federal funds is made in accordance with Federal regulation.

Beginning in 1981, ACF has supported the development of automated information systems for Child Support Enforcement programs by providing enhanced (up to 90%) Federal financial participation (EFFP). This support provides States with the financial resources to develop and acquire cost effective automated systems, which meet the requirements of law. *Despite the availability of EFFP, State development and implementation of compliant Child Support Enforcement systems had been slow.*

To stimulate development, Congress passed the "Family Support Act of 1988" ("FSA88;" Public Law (P.L.) 100-485, enacted October 13, 1988) mandating the implementation of automated Child Support Enforcement systems (CSES) in every State; requiring that such systems be fully operational not later than October 1, 1995; and rescinded EFFP for Child Support Enforcement systems development and equipment costs effective September 30, 1995. P.L. 104-35 (enacted October 12, 1995) extended to October 1, 1997 the deadline for implementing the automation requirements of FSA88. This statute did not extend the availability of EFFP.

The "Personal Responsibility and Work Opportunity Reconciliation Act of 1996" ("PRWORA;" P.L. 104-193), enacted August 22, 1996, reinstated Federal financial participation (FFP) at the 90 percent rate, whtih limits, retrocive to October 1, 1995, and through September 30, 1997 to enable States to complete the development and implementation of a CSES that meets the requirements of FSA 88. PRWORA also provided FFP at an enhanced rate of 80 percent (capped at $400 milion Federal share) for system development and implementation costs related to Automated Data Processing (ADP) requirements of FSA88 as well as the system requirements specified in PRWORA.

This Guide addresses the requirements associated with Federal certification of comprehensive, automated, statewide Child Support Enforcement systems. It has been prepared to:

   - Support the States in implementing compliant, operational systems;
   - Apply the same criteria equally to all States;

- Set forth all functional requirements which the Child Support Enforcement systems must execute in statewide processing;
- Ensure that these functions are being performed effectively and efficiently to assure accurate and uniform application of policy; and
- Ensure that Federal reviews are conducted in a consistent manner and are well documented and substantiated.

B.   AUTHORITY

The origin of the programs overseen and financed by DHHS/ACF is the Social Security Act. Included under ACF's scope of review authority is Title IV-D, Child Support Enforcement.

Public Law (P.L.) 96-265 provided for EFFP in the establishment and implementation of comprehensive, automated, statewide management information systems supporting the Child Support Enforcement (CSE) program. The Child Support Enforcement Amendments of 1984 (P.L. 98-378) extended to States enhanced Federal funding for wage withholding activities and hardware.

P.L. 100-485 mandated the automation of all program requirements under Title IV-D and provided *that enhanced funding for automated systems -- both systems development and equipment -- end on September 30, 1995.* P.L. 104-35 (enacted October 12, 1995) extended to October 1, 1997 the deadline for implementing the automation requirements of FSA88. This statute did not extend the availability of EFFP.

P.L. 104-193, The "Personal Responsibility and Work Opportunity Reconciliation Act of 1996" (PRWORA), enacted August 22, 1996, reinstated FFP at the 90 percent rate, with limits, retroactive to October 1, 1995 and through September 30, 1997 to enable States to complete the development and implementation of a CSES that meets the requirements of FSA88. PRWORA also provided funding at an enhanced rate of 80 percent (capped at $400 million Federal share) for system development and implementation costs related to ADP requirements of FSA88 as well as the system requirements specified in PRWORA.

Authority for the requirements described in this document is codified in the United States Code as: 42 USC 651 through 669B.

In addition, specific parts of the Code of Federal Regulations (CFR) apply, in particular:

45 CFR Part 74, Subpart D: Establishes retention requirements and access rights for programmatic, financial, statistical, and other types of records pertinent to grants.

45 CFR Part 74, Appendix G: Sets requirements for contracting which ensure fair and equitable practices and procedures with contractors and consultants.

45 CFR Part 95, Subpart A: Sets a two-year limit for States to claim FFP in expenditures under State Plans approved for certain titles of the Social Security Act.

45 CFR Part 95, Subpart E: Establishes requirements for preparation, submission, approval of -- and adherence to -- State cost allocation plans for public assistance programs.

45 CFR Part 95, Subpart F: Specifies the conditions for FFP in the cost of acquiring (as previously approved by ACF) data processing equipment and services under an approved State Plan; sets forth the approval and reporting processes of the Advance Planning Document (APD) and Advance Planning Document Updates (APDU); provides an exemption to the capitalization and depreciation provisions of Subpart G for automated data processing (ADP) equipment; requires access by ACF to all aspects of State systems; and sets States' responsibilities for ADP security. Authorizes the Department to conduct "periodic on-site surveys and reviews of State and local agency ADP methods and practices (§95.621)."

45 CFR Part 95, Subpart G: Prescribes requirements concerning the computation of claims for FFP in the cost of equipment under public assistance programs and identifies requirements for the management and disposition of equipment. Applies to equipment purchased by State agencies and equipment purchased under service agreements with other State agencies and under cost-type contracts.

45 CFR Part 205: Provides guidance (§205.35 - §205.38) for the development of Family Assistance Management Information Systems (FAMIS) for Aid to Families with Dependent Children.

45 CFR Parts 300 to 305: Sets forth operational procedures, reporting requirements, and standards for audit for the Title IV-D program.

45 CFR Part 307: Sets forth the requirements for the acquisition and operation of comprehensive, statewide CSE systems. Includes the programmatic conditions and functional requirements required for States to qualify for funding of systems acquisitions. Sets forth ACF's oversight responsibilities.

In addition to the statute, regulations, and this document, the following guidelines apply:

- Action Transmittals issued by ACF which apply to the Title IV-D program;
- DHHS's State Systems APD Guide; and
- ACF's Feasiblity, Alternatives and Cost-Benefit Analysis Guide

C.　AUDIENCE

This Guide is fro use by State and Federal Staff to ensure that CSE information systems are designed, developed and operated in a manner that meets all Title IV-D requirements in accordance with Family Support Act of 1998, the Personal Responsibility and Work Opportunities Act of 1996 and the Deficit Reduction Act of 2006.

D.　USING THIS GUIDE

State personnel and their consultants and contractors working on systems subject to certification should use this guide throught the life cycle of the system development effort. It should be reviewed and incorporated where appropriate in the State's functional system requirements and system design documents.

In addition to an introductory chapter, the Guide is organized in two chapters, which encompass general requirements and nine functional areas with their related system requirements. The functional areas are:

Objective A – Case Initiation

Objective B – Locate

Objective C – Establishment

Objective D – Enforcement

Objective E- Case Management

Objective F – Financial Management

 Objective G – Reporting

Objective H – Security and Privacy

Objective I – Customer Service

Related program and systems regulations, system requirements, and recommended data elements are included for each functional area.

Chapter II: General Requirements

A. DEFINITIONS

In order to be certified, a State's automated CSE system must be comprehensive, operate statewide, and meet the standards of efficiency and effectiveness and the principles of any integrated system as set forth below.

A *comprehensive* system performs all functional requirements within legislative timeframes specified in Federal CSE regulations and guidelines. Additionally, a comprehensive system electronically interfaces with other agencies' and organizations' systems – Federal, State and private to improve program management and operations.

A *statewide* system effectively and efficiently encompasses all political subdivisions and other organizations which provide child support enforcement-related services.

To be considered an *operational* system by ACF:

- The system must contain, with respect to each open case in the Title IV-D program, all data necessary to manage the case and must be able to meet Federal reporting requirements. Data necessary to manage the case means data the State has defined in its regulations, policies and procedures as necessary for the particular function within the processing cycle [e.g., case initiation, locate, distribution, etc].

- The system must contain, with respect to certification requirements, the data necessary to meet all processing requirements. The State may exercise discretion regarding individual data elements as long as all processing requirements are met.

- The system must contain all data, for the period prior to conversion of a case, necessary to manage the case, currently and prospectively, including data necessary to process or take action on a case and the date of the most recent action that triggered the next appropriate program standards timeframe. Such historical data, including data necessary to meet Federal reporting requirments may be converted to the system or otherwise maintained. However, readily available data should be converted in order to avoid duplicative efforts in maintaining multiple recordkeeping systems. Title IV-D cases closed prior to or during conversation should be retained in a form [e.g., magnetic tape, microfiche, paper files etc.] that is easily accessible.

- The system must contain, for the period subsequent to conversion of a case, data necessary to manage the case, as defined earlier, and all data necessary to meet Federal reporting requirements.

To be considered an *efficient* and *effective* system by ACF:

- The system must improve program management and administration;

- The system's design must be integrated and appropriately apply computer technology;
- The system's design must not require duplicative application software development or application software maintenance;
- Costs must be reasonable, appropriate, and beneficial.

To be considered an i*ntegrated* systems by ACF, certain principles apply:

- The IV-D agency, through the statewide, comprehensive system, has the ability to control, account for, and monitor all factors in support collection and paternity determination processes.
- The system represents the sole system effort for administration of the IV-D program within the State.
- There is no duplicative application software; that is, the same functions are not performed by different software modules.
- There is one single application software development and maintenance effort and organization.
- There is no duplicative data entry. Common data elements contained in more than one component are only entered once and updates to common data elements are automatically made in all components; that is, the data in all components are electronically synchronized.
- All system components are electronically linked and the linkage is transparent to users.

B. TERMINOLOGY

Throughout the certification criteria, certain terms are used to describe the degree of automation expected from the system. To ensure that all parties consistently interpret these terms, the following expanded definitions are provided:

1. Automated Generation of Documents The system must be programmed to recognize situations requiring certain documents or notices and then generate the document without caseworker intervention.

2. Case History A recorded history, in chronological order, of all activities pertaining to a case. All transactions entered into the system are automatically record in the case history file.

3. Systems Initiated Actions To the extent possible, the systems must take the next appropriate case action without caseworker intervention. If a caseworker decision is needed, options are automatically presented to the caseworker and a timeline for taking action is established.

4. <u>Caseworker Edits</u> The sytem must not accept caseworker edits to system initiated actions and the State must establish time limits for editing records of manually initiated actions.

5. <u>Electronic Data Interchange</u> Data is exchanged through an electronic forum, either on-line or by batch processing, and the resultant data is available on-line to all appropriate parties.

6. <u>System Modification</u> The system must be programmed in a manner with provides for modification with a minimal amount of effort.

7. <u>Recommended Data Elements</u> Recommended data elements identify needed information and should not be considered naming conventions or required. States may opt for differing approaches to data collection as long as the underlying processing requirements and program standards are met. The OCSE Data Standards Registry is available for researching recommended data element definitions and transaction formats.

Chapter III: CSE Systems Requirements

A.   CASE INITIATION

A-1   OBJECTIVE: The system must accept, maintain, and process information for non-IV-A services.

Federal Statutory and Regulatory Authority:

42 USC 654 (6)(B)

42 USC 654A (e)

45 CFR 302.33(a)(1)(i)

45 CFR 303.2(a)(2)&(3),(b)

45 CFR 307.10(b)(14)

State System Requirements:

a.   Upon receipt

  1.   The date the application was requested,

  2.   The date the application and program information describing services and fees, rights and responsibilities, and cost recovery and distribution policies was sent to the applicant, and

  3.   The date the signed application and fee were received.

Note: The date a IV-D application is requested and the date the application and program information is provided must be maintained in an auditable manner, e.g., a manual log. This information need not be maintained on the system prior to receipt of the application.

b.   Within 20 calendar days of receipt of a signed application for non-IV-A services, the system must:

  1.   Establish a case record,

  2.   Refer the case to the appropriate processing unit (e.g., locate or paternity establishment), and

  3.   Notify the caseworker of the case.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

A-2 **OBJECTIVE:** The system must automatically accept and process referrals from the State's Title IV-A (TANF) agency.

Federal Statutory and Regulatory Authority:

42 USC 654A (e)

45 CFR 235.70

45 CFR 303.2(a)(2)&(b)

45 CFR 307.10(b)(9) & (14)

45 CFR 307.11(f)(3)

State System Requirements:

a.   The system must automatically accept automated referrals from the IV-A agency.

Note: If an automated interface is not available, procedures must be established and used to ensure the transmittal of case information from IV-A to IV-D within two working days of furnishing aid or determining eligibility, however, if the IV-A system is FAMIS certified, an automated interface with the IV-D system must be established.

b.   The system must automatically record, in the automated case record, the date the referral was received.

c.   Program information describing services and fees, rights and responsibilities, and cost recovery and distribution policies must be provided to IV-A recipients, and the date the information was provided recorded in the comprehensive, chronological case history.

d.   The system must accept and process the following referral information:

Custodial Parent:

1.   Name,

2.   Address,

3.   Social Security Number,

4.   IV-A case identification number,

5.   IV-A case status (open, closed, suspended),

6.   IV-A grant amount and approval date,

7.   If the IV-A agency is responsible for good cause, information on good cause (include whether a claim or final determination of good cause for non-cooperation was made),

8.   Information on assignment of rights, and

9.   Employer name and address.

Note: Effective October 1, 2009, Section 408(a)(3) of the Act is amended to limit the assignment of support rights set as a condition of eligibility for Temporary Assistance to Needy Families (TANF) to the support which accrues during the period that a family receives TANF.

Non-Custodial Parent:

1. Name,
2. Social Security Number,
3. Date of birth,
4. Last known address, and
5. Last known employer name and address.

Child(ren):

1. Name,
2. Date of birth,
3. Social Security Number,
4. Paternity established (Yes/No), and
5. If the child is covered by the non-custodial parents health/medical insurance, the name of the carrier and the policy number.

Support Order:

1. Court/Administrative order number,
2. Date support amount established,
3. Amount of support ordered,
4. Payment frequency (monthly, weekly),
5. How payments are made: through court/SDU/IV-D agency, directly to recipient (if directly to recipient, whether money is retained by recipient or turned over to court/SDU/IV-D agency),
6. Date and amount of last payment/collection,
7. Amount of arrearage, and
8. Payment due date.

e. Within 20 calendar days of receipt of a referral, the system must:

1. Establish a case record,
2. Refer the case to the appropriate processing unit (e.g., locate or paternity establishment), and
3. Notify the caseworker of the case.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

Address Guidance:

For information concerning the proper way to enter addresses according to the U.S. Post Office standards: http://pe.usps.gov/text/dmm300/602.htm#wp1078946

And http://www.sups.com/ncsc/lookups/usps_abbreviations.html

For general information about the US Postal Service Address Change Services (ACS) : http://www.usps.com/ncsc/addresseservices/moveupdate/acs.htm Technical guidance related to the USPS ACS is at**:** http://www.usps.com/cpim/ftp/pubs/pub8.pdf

The State of Florida received a 2004 1115 grant for "Improving Case Referrals from the Florida Department of Children and Families to the Florida Department of Revenue, Child Support Enforcement Program." This is the link to an abstract of that grant:

http://www.acf.hhs.gov/programs/cse/grants/abstracts/fy2004_1115_abstracts.html

A-3 **OBJECTIVE:** The system must automatically accept and process referrals from the State's Title IV-E (Foster Care) agency.

Federal Statutory and Regulatory Authority:

42 USC 654A (e)

45 CFR 303.2(a)(2)&(b)

45 CFR 307.10(b)(14)

State System Requirements:

a.   The system must automatically accept and process automated referrals from the IV-E agency if the State IV-E system is automated.

Note: If the Title IV-E agency is not automated, procedures must be established to ensure timely transmittal of information from the IV-E agency to the IV-D agency.

b.   The system must automatically record, in the automated case record, the date the referral is received.

c.   The system must be able to link two non-custodial parents to a child(ren) in the custody of the IV-E agency.

d.   The system must accept and process the following information:

Foster Care Agency/Child Custodial:

1.   IV-E case identification number,

2.   IV-E case status (open, closed, suspended),

3.   IV-E approval date,

4.   IV-E payment amount,

5.   If the IV-E agency is responsible for good cause, information on good cause (including whether a claim or final determination of good cause for non-cooperation has been made), and

6.   Information on assignment of rights.

Non-Custodial Parent(s):
1. Names,
2. Social Security Numbers,
3. Dates of birth,
4. Last known addresses, and
5. Last known employer names and addresses.

Child(ren):
1. Name,
2. Date of birth
3. Social Security Numbers,
4. Paternity established (Yes/No), and
5. If the child is covered by the non-custodial parents' health/medical insurance, the name of the carriers and the policy numbers.

Support Order:
1. Court/Administrative order number,
2. Date support amount was established,
3. Amount of support ordered,
4. Payment frequency (monthly, weekly),
5. How payments are made: through court/SDU/IV-D agency or directly to the Foster Care agency,
6. Date and amount of last payment/collection,
7. Amount of arrearage, and
8. Payment due date.

e. Within 20 calendar days of receipt of the referral, the system must:
1. Establish a case record,
2. Refer the case to the appropriate processing unit, and
3. Notify the caseworker of the case.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

Child Welfare Agencies' Effort to Identify, Locate and Involve Non-Resident Fathers. 2006. http://aspe.hhs.gov

OCSE Grants – 2005 Grant to The Center for Policy Research in Denver to enhance collaboration between child support enforcement and child welfare agencies. This is a

collaborative effort with the child support and foster care agencies in California, Minnesota, New Jersey and Wisconsin. One of the deliverables was Child Support and Child Welfare: Enhancing Agency Collaboration and Case Processing July 2006.

A-4 **OBJECTIVE:** The system must automatically accept appropriate referrals from the State's Title XIX (Medicaid) agency.

Federal Statutory and Regulatory Authority:

42 USC 654A (e)

45 CFR 303.2(a)(2)& (b)

45 CFR 307.10(b)(13) & (14)

45 CFR 307.11(f)(3)

State System Requirements:

a. The system must automatically accept and process automated case referrals from the State Title XIX agency for non-IV-A Title XIX cases if the State Title XIX system is automated.

Note: If the State Title XIX agency is not automated, procedures must be established to ensure timely transmittal of information from the Title XIX agency to the IV-D agency.

Note: The system must ensure that all electronic referrals meet the definition of a Title IV-D case.

b. The system must automatically record, in the automated case record, the date the referral is received.

c. Program information describing services and fees, rights and responsibilities, and cost recovery distribution policies must be provided to Title XIX recipients and the date the information was provided recorded in the comprehensive, chronological case history.

d. The system must accept and process the following referral information:

Custodial Parent:

1. Name,
2. Address,
3. Social Security Number,
4. XIX case identification number,
5. XIX case status (open, closed, suspended),
6. XIX approval date,
7. If the XIX agency is responsible for good cause, information on good cause (including whether a claim or final determination of good cause for non-cooperation has been made),
8. Information on assignment of rights, and
9. Employer name and address.

Non-Custodial Parent:
1. Name,
2. Social Security Number,
3. Date of birth,
4. Last known address, and
5. Last known employer name and address.

Child(ren):
1. Name,
2. Date of birth,
3. Social Security Number,
4. Address, unless the same as the custodial parent,
5. Paternity established (Yes/No), and
6. If the child is covered by the non-custodial parents health/medical insurance, the name of the carrier and the policy number.

Support Order:
1. Court/Administrative order number,
2. Date medical support established,
3. Amount and type of support ordered (insurance or dollar amount),
4. Amount of arrearage (i.e., past due specified dollar amount Medical support owed on behalf of the child),
5. Payment frequency (monthly, weekly),
6. Date and amount of last payment/collection, and
7. How payments are made.

e. Within 20 calendar days of the receipt of a referral, the system must:
1. Establish a case record,
2. Refer the case to the appropriate processing unit (i.e., locate or paternity establishment), and
3. Notify the caseworker of the case.

OCSE grants – FY 2005: The Michigan Department of Community Health to use data matching of vital records, the child support order, private insurance available to either parent and Medicaid to ensure that all children involved in court ordered cases that require healthcare coverage have the best options available.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

This link is to the CSENet Interface Guidance Document which provides data elements and recommended data transmission formats via CSENet. See also the release specifications and the Functional Transaction Matrices for MSC and ENF.
http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/csenet2000/csenet2000.htm

A-5 OBJECTIVE: The system must use case identifiers and uniquely identify and edit various case types.

Federal Statutory and Regulatory Authority:

42 USC 654A(f)(1)

45 CFR 302.15(a)

45 CFR 307.10(b)(1)

45 CFR 307.11(f)(1)(ii)

State System Requirements:

a.   The system must automatically establish unique numbers (i.e., IV-D case identification numbers and participant identification numbers) that allow for case identification and the linking of cases to multiple non-custodial parents and obligations.

b.   At a minimum, the system must use and include, or accept the IV-D case identifier when:
   1.   Sending case registration, update information, or a FPLS request to the Federal Case Registry,
   2.   Sending a transaction to another State/jurisdiction through CSENet,
   3.   Sending an Electronic Funds Transfer\Electronic Data Interchange (EFT\EDI) transaction to another State,
   4.   Generating documents to other States,
   5.   Receiving information from the FCR,
   6.   Receiving a transaction through CSENet, and
   7.   Receiving an EFT\EDI transaction from another State or employer.

c.   At a minimum, the system must be able to identify the following case types:
   1.   TANF IV-D case : Child(ren) are eligible for TANF and referral made for IV-D services,
   2.   Foster Care IV-D case: Child(ren) entitled to IV-E foster care and referral made for IV-D services,
   3.   Former Assistance IV-D Case: Recipients of IV-D services who formerly received IV-A, or IV-E Foster Care services,
   4.   Never Assistance IV-D Case: Recipients of IV-D services who have never received IV-A or IV-E services includes Medicaid Only cases.
   5.   Medicaid Only IV-D Case: Case involving Title XIX recipients who are not IV-A or Foster Care recipients,

6. Arrears-Only IV-D Case: Case remains open only to collect child or medical support arrears for the State or family.

7. State-Tribal IV-D Case: A case under the State's IV-D program received from or sent to a Tribal IV-D program for case processing,

8. International IV-D Case: An international case under the State's IV-D program received from, or referred to, a foreign country which has entered into an agreement under section 459A of the Social Security Act with the United States (a Foreign Reciprocating Country or FRC), or a foreign country with which the State has entered a reciprocal agreement. International cases also include IV-D cases in which there is an application for services from a resident of a foreign country.

9. Non-IV-D Case: Cases maintained on the system, which are not recipients of IV-D services.

Note: The non-IV-D case type is not needed if the State does not have non-IV-D child support enforcement cases on the Statewide child support enforcement system, but obtains this information through a linkage of local registries of support orders which interfaces with the State CSE system. However, to date, OCSE has not been informed of any State that has opted for the linkage of local registries for non-IV-D court orders.

d. The system must identify interstate cases and must also identify non-IV-D cases requesting 'FPLS-only' services (such as parental kidnapping cases) if such cases are maintained on the system.

e. For Medicaid-Only IV-D cases, a code must indicate if the individual only wants services related to securing medical support. (In cases where the code is present, the system must only initiate medical support services. In cases where the code is not present, the system must initiate all appropriate IV-D services.)

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

A-6 OBJECTIVE: The system must establish an automated case record for each application/referral.

Federal Statutory and/or Regulatory Authority:
45 CFR 302.15(a)
45 CFR 303.2(c)
45 CFR 307.10(b)(1), (4) & (14)

45 CFR 307.11(e)

State System Requirements:

a.   The automated case record must provide a comprehensive and chronological case history of all actions taken, whether manual or automated.

b.   At a minimum, the system must maintain one year's case history online. Previous history may be stored off-line, as long as it is maintained in an easily accessible, automated manner for program and audit purposes.

c.   The automated case record must include data to allow the system to effectively monitor program time standards.

A-7   OBJECTIVE: The system must accept and maintain identifying information on all case participants.

Federal Statutory and/or Regulatory Authority:

45 CFR 303.2(c)

45 CFR 307.10(b)(1)

45 CFR 307.11(e)

State System Requirements:

a.   The system must maintain identifying information about the non-custodial parent, including at a minimum.

     1.   Name (including aliases and maiden name),

     2.   Sex,

     3.   Gender,

     4.   Social security number,

     5.   Home address,

     6.   Mailing address,

     7.   Date of birth,

     8.   Place of birth (City and State),

     9.   Employer information (name, address, Federal employer identification number (FEIN),

     10.   Third party medical insurance information,

     11.   Father's name,

     12.   Mother's name,

     13.   IV-D participant number,

     14.   Military service information, and

     15.   Information on receipt of Federal benefits.

b.   The system must maintain identifying information about the custodial parent, including at a minimum:

     1.   Name (including aliases and/or maiden name),

2. Home address,

3. Mailing address,

4. Alternative payment address

5. Social security number,

6. Date of birth,

7. IV-D participant number,

8. Employer information (name, address, employer identification number (EIN), and

9. Third party medical insurance information.

c. The system must maintain identifying information about the child(ren), including at a minimum:

1. Name,

2. Home address (unless the same as the custodial parent),

3. Mailing address (unless the same as the custodial parent),

4. Social security number,

5. Date of birth,

6. Location of birth,

7. IV-D participant number,

8. Paternity information, and

9. Third party medical insurance information.

d. The system must maintain information that indicates whether a participant is subject to family violence as determined by State policy.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

A-8 OBJECTIVE: The system must accept information for non-IV-D orders.

Federal Statutory and Regulatory Authority:

42 USC 654A (e)

45 CFR 307.11(e) and (f)

State System Requirements:

a. The system must accept and maintain the following information on non-IV-D orders established or modified in the State on or after October 1, 1998, for inclusion with IV-D cases in the State Case Registry for transmission to the Federal Case Registry:

1. Information on the CP, NCP and child participant including (Name, SSN, DOB, Gender (optional), participant ID),

2. Family violence indicator for non-IV-D court orders, and

3. Additional data elements include State FIPS code, State case identification number, other uniform identification number, issuing State of order, Case Type (i.e., non-IV-D), and participant type (CP, NCP, Child) and any other information that the Secretary may require as specified in an Action Transmittal.

b. The system must accept updates to the mandatory data elements for non-IV-D cases and requests for deletion of non-IV-D orders on the State Case Registry.

Note: The State Case Registry may be comprised of IV-D cases in the Statewide automated CSE system and an automated information linkage to the non-IV-D orders in the State Disbursement Unit, local courts or other entities.

A-9 OBJECTIVE: The system must automatically interface with the Federal Case Registry (FCR).

Federal Statutory and Regulatory Authority:

42 USC 654A(f)

45 CFR 307.11(e) and (f)

State System Requirements:

a. The system must transmit and register to the FCR all new cases (IV-D) and orders (non-IV-D) and all participants associated with those cases and orders.

b. The system must notify the FCR of changes or deletions to the information provided to the FCR within five business days of receipt by the IV-D agency of new or changed information.

c. The system must accept and process all administrative information received from the FCR (e.g., rejections, warnings, SSN verification or identification results). Processing FCR administrative information includes:

1. Providing system related warnings and rejections to a System Administrator or other technical staff so that they can be evaluated and any appropriate action taken, and

2. Providing warnings and rejections related to corrective case actions to a caseworker.

d. The system must communicate with the FCR via the network provided by the FPLS for this purpose. File transfer protocols are required on the network provided by the FPLS.

e. The system must send the following referral information to the FCR to register cases and participants.

Case:

1. State case identification number,

2. Case type (IV-D, non-IV-D),

3. Order indicator, and

4. FIPS (State Code).

Participant:

1. Participant type,

2. Family violence indicator,

3. Name,

4. Gender (Optional),

5. SSN, and

6. Date of birth.

f. At a minimum, the system must make data received from the FCR available online to the caseworker along with the capability to electronically record in the case record any data received from the FCR.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

See Appendix E of the Interface Guidance Document
http://www.acf.hhs.gov/programs/cse/newhire/library/fcr/igd/fcr_igd.htm

Action Transmittals and Dear Colleague Letters – Policy questions and answers related to FCR are in AT 98-09 and AT 98-29
http://www.acf.hhs.gov/programs/cse/newhire/fcr/fcr.htm

Guidance Documents
This hyperlink takes you to OCSE website information on FCR Technical Assistance Guide, Interface Guidance Document, FCR Release Specifications, and Conference call notes.

http://www.acf.hhs.gov/programs/cse/newhire/library/fcr/fcr.htm

Best Practices in Automation – Iowa FCR to FCR screen – In 2000 Best Practices
http://www.acf.hhs.gov/programs/cse/pol/DCL/dcl-00-27.htm

Information on Federal technical assistance contacts, connectivity and other information.

FCR tips -http://www.acf.hhs.gov/programs/cse/newhire/fcr/fcr.htm

B.   LOCATE

B-1   OBJECTIVE: The system must electronically interface with all appropriate sources to obtain and verify locate, asset and other information on the non-custodial/putative parent or custodial parent.

Federal Statutory and Regulatory Authority:

42 USC 654 (8) & (9)(B)

42 USC 654A (e) & (f)

45 CFR 303.2(b)(1) &(2) and (c)

45 CFR 303.3(b)(1) & (2)

45 CFR 307.10(b)(2), (4)(ii), (9), (13), and (14)

State System Requirements:

a.   The system must have automated interfaces with Federal, State, interstate, and intrastate sources, when appropriate, feasible and cost-effective to facilitate obtaining and verifying case information. Interfaces should include, but not be limited to, the following sources:

1.   Federal Parent Locator System (FPLS),
2.   National Directory of New Hires (NDNH),
3.   Federal Case Registry (FCR),
4.   Department of Motor Vehicles (driver's licenses and vehicle registration),
5.   State Workforce Agency,
6.   Department of Natural Resources (fishing and hunting licenses),
7.   Department of Vital Statistics,
8.   Department of Corrections,
9.   Credit Bureaus,
10.   Postal Service,
11.   Local/State Tax Administration,
12.   State IV-A Agency,
13.   State IV-E Agency,
14.   State Title XIX Agency,
15.   State Directory of New Hires,
16.   State Disbursement Unit (SDU),
17.   Public Utilities,
18.   Financial Institutions,
19.   State Licensing Agencies, and
20.   State agencies with jurisdiction over real and personal property.

http://www.acf.hhs.gov/programs/cse/pubs/2002/csr/csr0204.html#a

Note: Data required to be furnished to the NDNH by the State under the three components of NDNH (i.e., new hire information, Quarterly Wage and Unemployment Insurance claimant information) need not be submitted by the Statewide automated system. The decision as to which State entity will report this information to the NDNH is determined by the State. However, if data is not reported as required, the Title IV-D agency will be held accountable.

b.   If an automated interface cannot be established for a specific source:

1.   The system must automatically prepare the documents required to submit the case to the information source, and

2.   The system must provide an easily accessible means to enter into the automated case record all manual attempts to obtain information and the results.

c.   The system must automatically follow up when information is solicited and no response is received within a reasonable amount of time, based on State experience. The system must:

1.   Re-access the source using an automated interface, if available, or

2.   If an automated interface is not available, notify the caseworker and automatically generate the documents necessary to encourage a response.

d.   The system must accept unsolicited locate information from the FPLS as proactive matches occur between State participants registered through the FCR and as State FCR participants are matched to New Hire, Quarterly Wage and Unemployment Insurance claim records on the National Directory of New Hire.

e.   At a minimum, the system must make data received electronically through any of the interfaces listed under paragraph (a) above available online to the caseworker along with the capability to electronically record in the case record any data received through an interface.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

For New Hire – This link provides information on the Guide for Data Submission from State New Hire Directories to National Directory of New Hire: http://www.acf.hhs.gov/programs/cse/newhire/ndnh/ndnh.htm

Best Practices

For FPLS **-** This link is to Tips, Techniques and Technology for using FPLS data and a web-based training course is organized into modules with lessons that include: 'ABC's of the Locate Function,' 'State and Parent Locator Services', and 'Putting It All Together': http://www.acf.hhs.gov/programs/cse/newhire/library/training/training.htm

For Vital Records – FY 2005 grant to Utah for $120,000 to the State of Utah to automate record exchanges between its vital records and child support agencies.

This link provides information on the National Directory of New Hires: http://www.acf.hhs.gov/programs/cse/newhire/ndnh/ndnh.htm

Pennsylvania has an Address Compare process that filters out 80% of incoming FPLS addresses as either already known to system or older than 1 year.

Virginia initially used Administrative subpoenas on individual basis for cell phone address records. 40-50% hit rate. They currently have voluntary matches with Verizon and Cingular. http://www.acf.hhs.gov/programs/cse/pubs/2005/csr/csr0511.html#d or http://www.acf.hhs.gov/programs/cse/pubs/2006/conference/locate/

This link is to a presentation by the Commonwealth of Pennsylvania on its filter to reduce duplicate and older addresses from FPLS locate requests: http://www.acf.hhs.gov/programs/cse/pubs/2006/conference/locate/

USPS Change of Address service – Several States including Illinois and West Virginia utilize the USPS change of address service. This link is to West Virginia's presentation: http://www.acf.hhs.gov/programs/cse/pubs/2006/conference/locate/

B-2 **OBJECTIVE:** The system must record, maintain, and track locate activities to ensure compliance with program standards.

Federal Statutory and Regulatory Authority:
42 USC 654 (8)
45 CFR 303.3(b)(1), (3) & (4)
45 CFR 307.10(b)(2), (4)(ii), & (14)

State System Requirements:
a.   The system must, when locate action is required, be able to:
   1.   Automatically submit the case to all appropriate locate sources (whether automated or not), including the transfer of appropriate cases to the FPLS, within 75 calendar days of determining that locate action is required,
   2.   Track responses from each automated locate source, including verified address information,
   3.   Support the tracking of information from manual locate sources,
   4.   Record and maintain information on positive responses received from locate sources. A minimum of three verified addresses, in addition to the home and mailing addresses, must be maintained online, if they are available,
   5.   Record, on a monthly basis, information on all locate sources accessed during the previous month,

      6.   When necessary, alert the caseworker to verify responses received to ensure that sufficient information is available to allow the next appropriate action to be taken, and

      7.   Forward cases to the next appropriate function when sufficient information is available.

b.   If caseworker action is required, the system must alert the caseworker of the needed action in sufficient time to allow the 75-day timeframe to be met.

c.   The system must automatically follow up when information is solicited and no response is received after a reasonable amount of time. The system must :

      1.   Reaccess the source using an automated interface, if available, or

      2.   If an automated interface is not available, notify the caseworker and automatically generate the documents necessary to encourage a response.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

B-3   OBJECTIVE: The system must automatically resubmit cases to locate sources.

Federal Statutory and Regulatory Authority:

42 USC 654 (8)

45 CFR 303.3(b)(5)

45 CFR 307.10(b)(14)

State System Requirements:

a.   Whenever key locate data elements are added or changed due to the receipt of new information, the system must immediately resubmit the case to all appropriate automated and manual locate sources, with the exception of FPLS.

b.   At least quarterly, the system must automatically resubmit all cases in locate to the State Employment Security Agency and to all other automated locate sources, with the exception of FPLS.

c.   The system must follow-up with a locate source, when based on State experience, a response is significantly late.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will

also return data elements that are identical or similar and will list the data exchanges where they are used.

B-4 OBJECTIVE: The system must automatically submit requests for locate to the Federal Parent Locator System (FPLS).

Note: In interstate cases, the initiating State is responsible for the referral of cases for locate to the FPLS.

Federal Statutory and Regulatory Authority:

42 USC 654 (8)(B)

45 CFR 302.35(a)(2)

45 CFR 303.3(b)(5)

45 CFR 307.10(b)(2) & (14)

State System Requirements:

a. For any persons requiring an FPLS locate, the system must automatically:

  1. Prepare an FCR locate person transaction containing the necessary identifying information for referral, or if the person is only involved in a case not registered in the FCR, include in the transaction case and order information necessary to register the case in the FCR,

  2. Annotate the automated case record with the referral,

  3. Receive automated information back from the FPLS:

    (a) Record the results of the match in the automated case record and notify the caseworker of the results, or

    (b) Provide the data electronically online to the caseworker along with the capability to electronically record in the case record any data received from the FPLS.

Note: The system must have the capability to submit any locate request to FPLS in accordance with State procedures.

b. Submissions to FPLS for locate must include:

  1. Name of person to be located,

  2. Person's SSN, if known, and

  Note: If the SSN is unknown, the system should attempt to ascertain the number, using automated interfaces. If the SSN is unknown, the FPLS will attempt to identify an SSN for the State if, at a minimum, a date of birth is submitted with the person's information.

  3. Any other information will be prescribed by ACF in instructions which are issued periodically in the form of an Action Transmittal.

c. If the State chooses to participate in the 1099 Project, the system must:

  1. Generate a locate person transaction for 1099 to the FCR which includes required data as specified by OCSE Action Transmittals,

2. Store all 1099 data received on the system in accordance with IRS procedures, and

3. Conform to any other instructions established by OCSE.

d. For any Foster Care locate only requests (i.e. title IV-B), the request to FPLS must be coded with an AD and/or conform to any other instructions established by OCSE.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

The Federal Case Registry -**Technical Assistance Guide** – Contains a number of hot tips and questions to consider when automating data related to FPLS, FCR and locate. Part 7 of the TAG provides summaries of locate data obtained from different Federal data sources such as FPLS, QW, VA, IRS, FBI, DoD, and SSA.
http://www.acf.hhs.gov/programs/cse/newhire/library/fcr/tag/tag_toc.htm

Hyperlink to the FPLS webcast: Making the most of the FPLS:
http://www.acf.hhs.gov/programs/cse/newhire/index.html

Hyperlink to Tips Techniques and Technology for using FPLS data and Mining for Gold in the Expanded FPLS:
http://www.acf.hhs.gov/programs/cse/newhire/library/training/training.htm

C. ESTABLISHMENT

C-1 **OBJECTIVE:** The system must automatically track, monitor, and report on the status of paternity establishment and support Federal regulations and State laws and procedures for establishing paternity.

Federal Statutory and Regulatory Authority:
42 USC 654 (4)(A)
42 USC 666(a)(5)
45 CFR 302.15(a)
45 CFR 302.31
45 CFR 302.70(a)(5)
45 CFR 307.10(b)(14)
State System Requirements:

a. The system must initiate actions for the establishment of paternity, including administrative establishment of paternity, for all cases in which paternity has not yet been established.

Note: The IV-D agency need not attempt to establish paternity in any case involving incest or forcible rape, or in any case in which legal proceedings for adoption are pending, if, in the opinion of the IV-D agency, it would not be in the best interests of the child to establish paternity.

b. The system must accept identifying information on voluntary acknowledgments of paternity.

c. The system must automatically generate completed administrative or judicial documents which are required to establish paternity. The date and type of documents generated must be automatically entered in the case record.

d. The system must initiate actions to establish paternity, i.e. initiating service-of-process, where the child is under age 18, including cases where prior actions for paternity establishment were dismissed because of a former statute of limitations.

e. The system must periodically reinitiate service-of-process for those cases where previous attempts have failed, but adequate information exists to attempt service-of-process.

f. The system must automatically generate the required documents to:
   1. Notify case participants to submit to genetic testing in contested paternity cases,
   2. If above is barred by State law, petition the court or administrative authority to require case participants to submit to genetic testing, and
   3. At State option, in contested paternity cases, obtain a judgment for genetic testing costs from the party who denied paternity, when such paternity is later established.

g. If the State has long-arm paternity establishment, the system must generate all documents needed to initiate such action if it is determined to be appropriate for a particular case. The system must maintain an automated case record for all cases worked using the long-arm statute, including actions taken and information received from the other State.

h. The system must maintain data and status on IV-D cases where paternity establishment is handled outside of the IV-D agency.

i. Optional – When a State refers a case to another State, the system should also generate and transmit information regarding whether a child was born out of wedlock and the whether paternity was established in that initiating State. This information needed for determining a State's performance indicator scores for the Paternity Establishment Percentage (PEP) indicator. It is also used in the data reliability audits to support the accuracy of the child's paternatiy status at birth, and whether paternity has been established for a child born out of wedlock.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes.

A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

In June 21-22, 2005, OCSE sponsored a Paternity Establishment Performance Peer-to-Peer Training Conference in Dallas, TX. The summary notes from that meeting include State recommendations for improvements in data interfaces and system enhancements. (DCL – 05-32 dated November 2, 2005)
http://www.acf.hhs.gov/programs/cse/pol/DCL/2005/dcl-05-32.htm

This is a hyperlink to West Virginia – Interstate Paternity Acknowledgement Certification IPAC program. In addition to being a best practice for an interface to Vital Records, it also has a feature which permits caseworkers from other States to access the WR Vital Records information.
http://www.acf.hhs.gov/programs/cse/pubs/2002/csr/csr0204.html#**a**

Grants – Delaware received a 2004 1115 grant for 'Stabilizing the Paternity Establishment Participation Rate and Improving Paternity Related Data Reliability.' This is a link to an abstract of that grant award:
http://www.acf.hhs.gov/programs/cse/grants/abstracts/fy2004_1115_abstracts.html

Utah received a 2005 1115 grant for 'Improving Utah's Paternity Establishment Process, Enhancing Our Future by Collaboration between Utah State Agencies.' The grantee will develop and implement a document management system for imaging, storing and retrieving paternity establishment documents. This is the link to an abstract about that grant:
http://www.acf.hhs.gov/programs/cse/grants/abstracts/1115_abstracts.html

C-2 **OBJECTIVE:** The system must automatically record, track, and monitor information on obligations, and generate documents to establish support including medical support.

Federal Statutory and Regulatory Authority:
42 USC 654 (4)(A) & (12)
45 CFR 302.15(a)(2)
45 CFR 302.31
45 CFR 303.4((b), (c), (d) (e), and (f)
45 CFR 303.101
45 CFR 307.10(b) (14)
State System Requirements:
a.   The system must monitor case activities to ensure that the following activities are completed within 90 calendar days of the location of the alleged father or non-custodial parent regardless of whether paternity has been established.

1. Complete service-of-process necessary to commence proceedings to establish a support order, and if necessary, paternity,

2. Establish an order for support which may be based on a voluntary acknowledgment of paternity, or

3. Document, in accordance with State procedures, unsuccessful attempts to serve process in accordance with the State's diligent effort guidelines.

b. The system must monitor and identify cases to support the State's review and modification procedures.

c. The system must automatically generate the required documents to establish an order of support or to serve process. The date and type of documents generated must be automatically recorded in the case record.

d. The system must initiate necessary actions to meet the State's guidelines for diligent efforts to serve process. In particular, the system must periodically reinitiate service-of-process in cases where previous attempts have failed but adequate identifying information exists.

e. The system must initiate actions and record and track the time from successful service-of-process to obligation establishment or other case disposition, regardless of whether paternity needs to be established, to ensure that the following expedited process timeframes are met:

1. 75 percent in 6 months, and

2. 90 percent in 12 months.

f. The system must generate a report showing for at least a year State compliance with the timeframes.

g. If the court/administrative authority dismisses a support order petition without prejudice, a code in the automated case record must indicate the reason for dismissal. In such cases, the IV-D agency must determine a date when it would be appropriate to reseek an order and enter this date into the case record. The system must automatically reinitiate action to obtain a support order at that time.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

The Notice of Proposed Rulemaking (NPRM) for medical support was published September 20, 2006 and transmittal to States in Action Transmittal 06-04. This is the link to the DCL and Federal Register notice:
http://www.acf.hhs.gov/programs/cse/pol/AT/2006/at-06-04.htm

Pennsylvania has a 2004 SIP grant for: Improving Judicial Case Processing Through the Use of Technology. The project will test the effectiveness of allowing nonresident parents

to "appear" at court hearings through teleconferencing and videoconferencing, and to provide documents for evidence through faxing. The project will reduce the number of two State cases, which will expedite the establishment of child support orders. This is the link to the grant abstract:
http://www.acf.hhs.gov/programs/cse/grants/abstracts/fy2004_sip_abstracts.html

Vermont had a 2004 SIP grant, "Project Web-Med Support", that permitted employers to enter health insurance information via a web-based National Medical Support Notice. This link is to the grant abstract.
http://www.acf.hhs.gov/programs/cse/grants/abstracts/fy2004_sip_abstracts.html

C-3 **OBJECTIVE:** The system must accept, maintain, and process information concerning established support orders.

Federal Statutory and Regulatory Authority:

42 USC 654 (4)(A) & (12)(A)

42 USC 656(a)(2)

42 USC 667(a)&(b)

45 CFR 302.15(a)

45 CFR 303.2(c)

45 CFR 302.56

45 CFR 303.4(b)

45 CFR 307.10(b)(4)(iv) & (14)

45 CFR 307.11(e)

State System Requirements:

a. In establishing the order, the system must use the State's approved child support guidelines to automatically calculate the support obligation amount.

b. The system must maintain case data on the application of the guidelines and deviations from the guidelines for the required four-year guideline review. At a minimum, this data must include:

   1. The guidelines calculated amount,
   2. The amount of any deviation, and
   3. The reason for the deviation.

c. When an order is established, the following information must be recorded in the case record:

   1. Type of obligations (child, spousal, medical, arrearage-only),
   2. Date of order,
   3. Date adjusted (if adjusted),
   4. Amount of order,
   5. Payment frequency,

6. Arrearage (if any),
7. Method of payment,
8. Payment due date,
9. Issuing State of Order, and

d. The system must maintain a history of all previously established orders.

e. The system must individually identify and link multiple obligations (support orders).

f. The system must identify obligations as voluntary, administrative, or court ordered.

g. If State law provides authority for the administrative establishment of support, the system must support the administrative establishment of support orders, including the generation of appropriate documents.

h. The system must generate a notice to the CP and NCP of all proceedings in which support obligations might be established or modified.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

C-4 OBJECTIVE: The system must accept, maintain, and process information concerning medical support services.

Federal Statutory and/or Regulatory Authority:
45 CFR 302.15(a)(2)
45 CFR 303.31
45 CFR 307.10(b)(4) & (13)

State System Requirements:
a. The system must automatically identify IV-A, Foster Care and Non-IV-A Title XIX-only cases requiring medical support services to determine those cases in which:
1. The custodial parent, in cases other than Title IV-E Foster Care, and child(ren) do not have satisfactory health insurance other than Title XIX, and
2. Health insurance is available to the non-custodial parent at reasonable cost.

b. The system must automatically identify additional cases based on State criteria where there is a high potential for obtaining medical support based on:
1. Evidence that health insurance may be available to the non-custodial parent at reasonable cost, and
2. Facts, as defined by the State, are sufficient to warrant modification of the support order to include health insurance.

c.   The system must automatically generate the documents required to petition for the inclusion of medical support provisions in new or modified support orders.

Note: The medical support petition language is usually contained in the same documents necessary to petition for the establishment or modification of support obligations.

d.   The system must automatically generate notices to custodial parents providing information about health insurance policies secured for dependent children.

e.   The system must interface electronically with the State's Title XIX system for the transfer of medical support information, including notifying the Title XIX agency whenever a medical support provision is included in a support order.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

Michigan received a two-year SIP grant in 2005 for "Improving Health Care Coverage for Michigan Children in Child Support Cases." This project is designed to reduce the number of uninsured children in Michigan. This will be done by automating the process of identifying child support orders that include healthcare coverage of the child and collecting data to enable State workers to assess the options available. Pertinent information (vital records, Medicaid eligibility, child support enforcement) that resides as unconnected data in the data warehouse will be cleansed and integrated. This is the link to the abstract about this grant:
http://www.acf.hhs.gov/programs/cse/grants/abstracts/sip_abstracts.html

Policy – This link is to a PIQ regarding the applicability of HIPAA to the NMSN:
http://www.acf.hhs.gov/programs/cse/pol/2005-piq.html

The Notice of Proposed Rulemaking (NPRM) for medical support was published on September 20, 2006 and transmittal to States in Action Transmittal 06-04. This is the link to the DCL and Federal Register notice:
http://www.acf.hhs.gov/programs/cse/pol/AT/2006/at-06-04.htm

D.   CASE MANAGEMENT

D-1   OBJECTIVE: The system must automatically direct cases to the appropriate case activity.

Federal Statutory and/or Regulatory Authority:

45 CFR 303.2(b)

45 CFR 303.7(a)(2)

45 CFR 307.10(b)(14)

State System Requirements:

a. Upon case initiation, the system must automatically direct the case to the appropriate function, e.g. locate, paternity establishment, and initiate the appropriate case action.

b. After each function is completed, the system must automatically direct the case to the next appropriate function and initiate the appropriate case action.

c. To allow the tracking of compliance with program performance standards, the system must record in the automated case record:

   1. The date a case is moved into a specific function,

   2. The dates and actions taken within the function,

   3. The results of such actions including appropriate dates, and

   4. The date of referral to the next appropriate function.

d. The system must track actions and dates to ensure that:

   1. All new cases requiring locate services are referred to the locate function (unit) within 20 calendar days of receipt of the referral or filing of an application for services, and

   2. Incoming interstate cases are automatically referred to the State Parent Locator System (SPLS) or the appropriate processing function within 10 working days of receipt.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are use.

D-2 OBJECTIVE: The system must automatically accept and process case updates and provide information to other programs on a timely basis.

Federal Statutory and Regulatory Authority:

42 USC 654A (e)(5) & (f)

45 CFR 303.30

45 CFR 307.11(e)(5) & (f)

45 CFR 307.10 (10), (13) & (14)

State System Requirements:

a. The system must accept and update automated case information received from various sources, e.g., county attorney, caseworker, locate staff, IV-A, IV-E, Title

XIX, etc. With the exception of NDNH and FCR information to Title IV-A agencies, the disclosure of information derived from NDNH, FCR, IRS or financial institution data match information must be independently verified before it can be shared with IV-A, IV-E and Title XIX agencies.

b. The system must perform initial edit/validation checks, including numeric and character checks and cross references, to ensure the accuracy and completeness of fields.

c. The system must update common data elements in all linked case records.

d. The system must have data elements that identify the source of information (or when the source of sensitive information is derived from NDNH, FCR, IRS or FIDM), and the system must have an indicator of if the information has been independently verified.

e. At the time of a change, the system must electronically transmit the following to provide the IV-A agency with updates to IV-A case-related information:

Custodial Parent:

1. Name,
2. IV-A case identification number,
3. Information on good cause for noncooperation when the IV-D agency makes that determination, information on noncooperation decisions made by the IV-D agency, and
4. Change of address.

Non-Custodial Parent:

1. Name, and
2. Living with recipient.

Child(ren):

1. Child's name,
2. Paternity established (Yes/No), and
3. Child no longer resides with the recipient (Yes/No).

Support Order:

1. Amount of support ordered,
2. Payment frequency (monthly, weekly),
3. Information on how payments are made through court/SDU/IV-D agency or directly to recipient (if directly to recipient, whether money is retained by recipient or turned over to court/SDU/IV-D agency),
4. Amount of last payment/collection,
5. Date of last payment/collection,
6. Excess amount distributed to recipient, and
7. Date excess amount distributed to recipient.

f. At the time of a change, the system must electronically transmit the following to provide the IV-E agency with updates to Foster Care related information:

Information whose source is NDNH or FCR, IRS or FIDM match must be independently verified before being shared with the IV-E agency

1. Child's name,
2. Child's Social Security Number,
3. Child's IV-E Foster Care case number,
4. Non-custodial parents' names and addresses,
5. Paternity established (Yes/No),
6. Amount of monthly support ordered, and
7. Amount of last payment/collection.

If the IV-E agency cannot accept the electronic transfer of information, the system must automatically generate hard copy reports to transmit the information.

g. When an order that requires medical support is established, or at the time of a subsequent change, the system must electronically transmit the following to provide the Title XIX agency with updates to Title XIX related information: Please note, if the source of the following information is derived from NDNH, FCR, FIDM or IRS, then the data must be independently verified before it can be released to the Title XIX agency.

1. IV-A case number,
2. IV-E case number,
3. Title XIX case number,
4. Non-custodial parent's name,
5. Non-custodial parent's Social Security Number,
6. Non-custodial parent's home address,
7. Non-custodial parent employer's name and address,
8. Custodial parent's name,
9. Custodial parent's Social Security Number,
10. Custodial parent's home address,
11. Custodial parent's employer's name and address,
12. Name and Social Security Number of child(ren),
13. If a health insurance policy exists, the policy name, number, and names of the persons covered,
14. Upon discovery that medical support payments are being, or have been, retained by a non-IV-A Title XIX recipient, and
15. If the IV-D agency makes a noncooperation determination because a Title XIX recipient fails to cooperate in establishing paternity or securing support.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition

(with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

OCSE Grants – Vermont - FY 2005 grant to the State of Vermont to create a fully integrated medical support initiative among its child support, welfare and Medicaid agencies. This is a link to the grant abstract: http://www.acf.hhs.gov/programs/cse/grants/abstracts/fy2005_1115_abstracts.html

D-3 OBJECTIVE: The system must update and maintain in the automated case record all information, facts, events, and transactions necessary to describe a case and all actions taken in a case.

Federal Statutory and Regulatory Authority:

42 USC 654 (A)(e)(5)

45 CFR 303.2(c)

45 CFR 307.10(b)(1), (3), (4), (7), (8) & (14)

45 CFR 307.11(e)(5)

State System Requirements:

a. Documents generated, critical data element changes, all positive locate and asset interface actions, and a monthly summary of all interface activities must be maintained in the automated case record.

b. The system must accept entry of information on actions taken outside of the system by the caseworker. Many work list items, when accomplished, should be annotated in the automated case record to provide a complete historical record of activities related to a case. Event codes, preformatted narrative entries, or other means should be provided in the automated case record to identify telephone calls, visits, and other manual actions.

c. The system must not accept edits to system initiated actions and the State must establish time limits for editing records on manually initiated actions not to exceed the end of the business day during which the data was entered in the system.

D-4 OBJECTIVE: The system must perform routine case functions, keep the caseworker informed of significant case events, monitor case activity, provide case status information, and ensure timely case action**.**

Federal Statutory and Regulatory Authority:

42 USC 654 (13)

45 CFR 307.10(b)(2), (12)-(14)

State System Requirements:

a. The system must perform case monitoring to ensure that case actions are accomplished within required timeframes. The system must track dates to ensure that

the timeframes for expedited process, locate, paternity establishment, support order establishment, review and adjustment, and enforcement (including wage withholding) are met.

b. Whenever possible, the system must automatically initiate the next step in case processing without being prompted by the caseworker. The system must automatically:

1. Generate documents and notices,

2. Accept, edit, and verify information and data from various sources,

3. Refer cases to automated interfaces with location sources,

4. Identify and refer cases for FPLS and SPLS submittal,

5. Flag cases for enforcement action, e.g., including tax refund offset, income withholding, unemployment compensation intercept (UCI), and license suspension, and initiate these actions,

6. Refer arrearage amounts to credit bureaus,

7. Produce delinquency reports to monitor obligor and employer compliance with income withholding orders,

8. Flag cases for potential review and adjustment of support obligations,

9. Process and distribute collections,

10. Direct cases to the next appropriate processing unit once action is completed in a unit, and

11. Take any other actions that the system can initiate automatically.

c. The system must provide a daily, automated online work list to each worker.

1. The work list must contain at a minimum:

    (a) Those newly assigned cases requiring some caseworker review or action,

    (b) Case actions that the caseworker must take,

    (c) Significant, as defined by the IV-D agency, case actions automatically taken by the system that require caseworker review and/or approval, and

    (d) Significant, as defined by the IV-D agency, case actions taken by supporting units that require caseworker review and/or approval.

2. The work list must permit the caseworker to easily select a work list item. The selection must prompt the system to automatically navigate the caseworker to the appropriate system function or screen to allow for the respective action or review to take place.

d. If determined necessary by the IV-D agency, the system must notify the caseworker of any actions automatically initiated that involve:

1. Locate, including the recycling of unlocated cases immediately when new information is received or on a quarterly basis,

2. Establishment of paternity,

3. Establishment of support obligations,

4. Review and adjustment of support obligations,

5. Enforcement, including income withholding, and

6. Case closure.

e. If the caseworker has multiple options for case action, the system must:

    1. Notify the caseworker of the action that is needed, and

    2. Identify any default action that will be taken by the system in the absence of caseworker action.

f. In instances where caseworker action is necessary, the system must include a tickler for every timeframe to remind the caseworker that action must be taken within the prescribed timeframe. The tickler must alert the caseworker sufficiently in advance so that action can be taken before the time limit expires.

g. Whenever the IV-D agency is expecting a response from another party, e.g., a locate source or a responding State in an interstate case, and the response is significantly late, based on State experience, the system must initiate follow-up action, (such as automatic document generation or, if necessary, caseworker intervention), in order to encourage a response from the other party.

D-5 OBJECTIVE: The system must automatically support the review and adjustment of support obligations.

Federal Statutory and Regulatory Authority:

42 USC 654 (12)

42 USC 666 (a) (10)

45 CFR 303.8

45 CFR 303.31 (b)(1)(2)(3)&(4)

45 CFR 307.10(b)(2), (3), (12), & (14)

State System Requirements:

a. The system must identify and submit for review and adjustment cases that meet any of the following criteria:

    1. upon the request of either parent, or

    2. the case is active TANF, Foster Care or Medicaid and has support rights assigned to the State, and 36 months (or less, based on State option) have elapsed since either the order was established or the most recent review.

b. The system must track the review an adjustment process to ensure that the following timeframes are met:

    1. Within 180 calendar days of determining that a review should be conducted or locating the nonrequesting parent, whichever occurs later, complete the review and adjustment process, and

    2. Within 14 days after issuance of any order modifying a child support obligation or a determination of no change in the amount of child support, the system must:

        (a) alert the caseworker to provide each party with a copy of the order, or

<blockquote>

(b) in the case of a petition for modification, the system must generate a notice of determination that there should be no change in the amount of the child support award.

</blockquote>

c. The system must generate at least once every three years a notice to each parent of the right to request a review, and the place and manner in which the request should be made. The initial notice may be included in the order.

d. The system must identify cases in which the order does not include health insurance or medical coverage.

e. For cases in which either parent requests a review, the system must determine if a review is appropriate based on the age of the order or other criteria selected by the State.

f. The system must refer cases to the locate function, as needed, to locate the parents or the parents' assets.

g. The system must generate all legal documents, forms, and letters necessary to complete the review and adjustment process.

h. The system must record the type of document generated, the addressee, and the date sent in the automated case record. After sending any document requiring a response, the system must notify the caseworker if such response is significantly delayed, based on State experience, and generate a follow up information request.

i. The system must:

1. Collect income, asset, employment, and health insurance information through automated interfaces,

2. Provide a means for entry and edit of data received (including the input of manually obtained financial information), both from interfaces and financial affidavits received from other sources,

3. Perform all necessary guideline calculations,

4. Compare guideline calculation against quantitative standard developed by the State, if any,

5. Provide all information and calculations to the caseworker for determination of whether an adjustment should be pursued, and

6. Generate notices to inform parents of proposed actions and their right to challenge such actions, and generate any documents necessary to seek an adjustment or handle an appeal of such action.

j. All information received and actions taken must be recorded in the automated case record. Data elements must indicate the amount of any adjustments, including the addition of health insurance to the order or the reason for no adjustment being pursued.

k. The system must generate a notice to each parent of all proceedings in which support obligations might be modified.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that

are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used**.**

Automated Systems for Child Support Enforcement: A Guide for Enhancing Review and Adjustment Automation – DCL 06-22 dated July 17, 2006. This document includes case studies of Alaska, Maine, Minnesota and Vermont**:** http://www.acf.hhs.gov/programs/cse/pol/DCL/2006/dcl-06-22.htm

D-6 **OBJECTIVE:** The system must allow for case closure.

Federal Statutory and/or Regulatory Authority:
45 CFR 92.42
45 CFR 303.11
45 CFR 307.10(b)(1), (4) & (14)

State System Requirements:

a.   If the State closes cases, the system must identify cases eligible for case closure under criteria at 45 CFR 303.11(b)(1), (3), (4), (8), (9), & (10). For cases eligible for case closure, the system must initiate the case closure process, or alert the caseworker to review the case, and, if appropriate, initiate case closure.

b.   For cases closed under criteria in 45 CFR §303.11 (b)(1) through (6) and (10) through (12), the system must generate a notice to the service recipient, except that for paragraph (b)(12), the notice must be sent to the initiating State, regarding the intent to close the case, at least 60 days prior to closure.

c.   The system must provide for supervisory review of cases either prior to, or following closure, and must notify the caseworker of a decision not to close a case, or a determination that the case was improperly closed.

d.   Identifying information on closed cases, such as parent and child names, Social Security Numbers, and dates of birth, must be maintained on the system in an online index, with all case data maintained in an automated format that can be easily retrieved in an automated manner from the archived history file.

e.   The entire history file of a closed case must be retained in an easily accessible automated manner for at least three years after case closure or until resolved under any auditable action. If any litigation, claim, negotiation, or other action has started prior to the expiration of the three-year period, the records must be maintained until final disposition or the end of the three-year period, whichever is later.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition

(with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

This hyperlink takes you to a guidance document for Automating Case Closure and related OIG report:
http://www.acf.hhs.gov/programs/cse/stsys/dsts_auto.html

Hyperlink to CSENet case closure release- EFlash 03-05 11/19/03 :
http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/csenet2000/csenet2000.htm

D-7 OBJECTIVE: The system must provide for management of all interstate cases.

Federal Statutory and Regulatory Authority:
42 USC 654 (6)(A)
45 CFR 303.7(a)(1)&(c)(1)
45 CFR 307.10(b)(1)-(5), (8), (12) & (14)
45 CFR 303.8 (f)

State System Requirements:
a.   All functions assigned to the Central Registry and related activities must be integrated into the automated system.
b.   The system must automatically meet the following requirements:
    1.   Transmit and receive information related to interstate referrals through the Child Support Enforcement Network (CSENet) using Direct File Transfer (Frame Relay communications) and all CSENet Standard Transactions (i.e., CSI, LO1, PAT, EST, ENF, MSC, and COL),
    2.   Receive, process, access locate sources, and respond to LO1 request, and
    3.   Provide the caseworker with online access to information received in response to LO1 and CSI request, and allow the caseworker to electronically move selected information to the case record.
c.   The system must ensure that interstate cases receive the same services as intrastate cases, but with special provisions to meet interstate requirements.
d.   The system must contain data elements necessary to identify a case as interstate and identify the other State and its FIPS.
e.   The system must use the IV-D case identifier to identify the case in all CSENet transactions, and on all documents generated by the system, including documents that require a raised seal or notarization.
f.   The system must generate interstate forms as follows:
    1.   Extract data from the automated system, populate and automatically generate the forms for States unable to accept these forms electronically through CSENet, and

2. In the case of interstate forms requiring notarized signatures or raised seal, extract data from the automated system, to the extent possible, populate the form, and generate the interstate form.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

This link is to the OCSE Network and OCSE 2000 web page. The CSENet 2000 application includes data elements and format specifications: http://www.acf.hhs.gov/programs/cse/newhire/csenet/home.htm

This link is to the CSENet library which includes the CSENet Interface Guidance Document, CSENet EFlashes and release specifications: http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/csenet2000/csenet2000.htm

Best Practices – This link is to CSENet Best Practices: http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/csenet2000/csenet2000.htm#best_pracs

Information about the Interstate Case Reconciliation (ICR) project, record specifications and additional guidance is at this link: http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/library.htm

http://www.acf.hhs.gov/programs/cse/newhire/csenet/icr/icr.htm

The Interstate Referral Guide including State entity identifier and associated addresses for local child support offices (aka FIPS codes) are accessible at this link: http://ocse.acf.hhs.gov/ext/irg/sps/selectaState.cfm

The proposed coding for international and Tribal entity identifiers is in DCL 06-19

Addresses for Tribal grantees– provided by Tribes to IRG staff.

List of current Tribal grantees: http://www.acf.hhs.gov/programs/cse/fct/tribal/tribal_ivd_and_non_ivd_program_info.doc

Link to Tribal government addresses Website: http://www.doi.gov/leaders.pdf

Addresses for international jurisdictions with reciprocity are maintained on IRG.

IRG reference: http://www.acf.dhhs.gov/programs/cse/international/index.html

Link to NCSEA website for international child support directory:

NCSEA reference: http://www.ncsea.org/pdf/2004Intl_Directory.pdf

The proposed local entity codes for tribal and international child support offices are in DCL 06-19 dated June 7, 2006: http://www.acf.hhs.gov/programs/cse/pol/DCL/2006/dcl-06-19.htm

D-8 OBJECTIVE: The system must manage responding-State case actions.

Federal Statutory and Regulatory Authority:

42 USC 654A (f)(4)

42 USC 654(9)

45 CFR 303.7(a)(2), (3) & (c)(4), (6), (8), and (9)

45 CFR 307.10(b) (14)

State System Requirements:

a.   The system must track and record dates to ensure that the following timeframes are met:

1.   Within 10 working days of the receipt of an incoming interstate case with a request for service, the system must:

(a) Notify the caseworker to take required action to verify the completeness of the received documentation,

(b) Generate a response to the initiating IV-D agency through CSENet acknowledging receipt of the case,

(c) Notify the agency of the need for additional information and/or corrections if unable to proceed with the case because of inadequate documentation, and

(d) Notify the agency of where the case was referred for action.

2.   Within 10 working days of locating the non-custodial parent in a different State/jurisdiction, the system must use CSENet to notify the initiating State or the State/jurisdiction where the non-custodial parent has been located,

3.   Within 10 working days of the receipt of new information, the system must use CSENet to notify the initiating State of the new information, and

4.   Within 75 calendar days of receipt of an interstate referral through CSENET, the responding IV-D agency's system must automatically:

Provide locate services if necessary, and

Provide other IV-D services on the case to the extent possible, pending receipt of additional or corrected information.

b.   The system must automatically forward the interstate case to the appropriate processing unit within the State. However, if an incoming interstate case is received with inadequate documentation, the system must automatically, or if necessary, through caseworker intervention, forward the case to the appropriate function for any action that can be taken.

c.   The date additional information was requested from the initiating State and the type of information requested must be entered in the automated case record. The system must notify the caseworker if the requested information is not received within a time period that allows for follow up action and compliance with applicable program standards.

d.   The system must provide the initiating State, through CSENet, advance notice of hearings that may result in either paternity establishment or establishment/adjustment of a support order. Data elements must indicate the dates of upcoming hearings.

e.   The system must periodically provide case status updates to initiating States through CSENet.

f.   All actions, including the transfer of the case to another State/jurisdiction if the non-custodial parent is located there, must be automatically noted in the automated case record.

g.   When a case is closed by the responding State, the reason and date of closure and the date must be entered in the automated case record.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

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Best Practices – this link is to CSENet Best Practices: http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/library.htm

Information about the Interstate Case Reconciliation (ICR) project, record specifications and additional guidance is at this link: http://www.acf.hhs.gov/programs/cse/newhire/csenet/icr/icr.htm

The Interstate Referral Guide including FIPS codes are accessible at this link: http://ocse.acf.hhs.gov/ext/irg/sps/selectaState.cfm

D-9   OBJECTIVE: The system must manage initiating-State case actions.

Federal Statutory and Regulatory Authority:

42 USC 654 (6)(A)(f)(4)

45 CFR 303.7(b)

45 CFR 307.10(b)((14)

State System Requirements:

a. The system must track and control dates to ensure that the following timeframes are met:

   1. Within 20 calendar days of determining the non-custodial parent is in another State/jurisdiction, and, if appropriate, the receipt of any information needed to process the case, the system must refer the case to that State using CSENet, and

   2. Within 30 days of receipt of a request for additional information, the system either must provide the requested information or the date the information will be provided, using CSENet.

b. Within 10 working days of receiving new case information, the system must use CSENet to automatically transmit such information to the responding State and notify the responsible caseworker of the action.

c. When a notice concerning review and adjustment of an order is received from a responding State, the system must generate a notice or cover letter to transmit the notice to the parent in the initiating State.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

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Best Practices – this link is to CSENet Best Practices:
http://www.acf.hhs.gov/programs/cse/newhire/csenet/icr/icr.htm

Information about the Interstate Case Reconciliation (ICR) project, record specifications and additional guidance is at this link:
http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/library.htm

E. ENFORCEMENT

E-1 OBJECTIVE: The system must automatically monitor compliance with support orders and initiate enforcement actions.

Federal Statutory and Regulatory Authority:

42 USC 654 (4)(B)

42 USC 654B (g)(1)

45 CFR 303.6

45 CFR 307.10(b) (7) & (14)

State System Requirements:

a. The system must automatically take the following actions to monitor and enforce support obligations:

    1. Record and maintain the date the non-custodial parent fails to make payments in an amount equal to the support payable for one month or an earlier date in accordance with State law, and

    2. By the beginning of the month following the month in which the non-custodial parent failed to make a payment equal to the support payable for one month, the system must automatically initiate income withholding and other appropriate enforcement actions.

b. The system must continue to automatically monitor compliance with the support order provisions after enforcement action has been initiated. If monitoring reveals that the enforcement action is not effective, the system must initiate additional action when appropriate, e.g., liens and bonds.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

E-2 OBJECTIVE: The system must support income withholding activities.

Federal Statutory and Regulatory Authority:

42 USC 653A(g)(1)

42 USC 654A (g)(1)(A)

45 CFR 303.100

45 CFR 307.10(b)(4) & (14)(i)

AT – 04-05 (Standardized Income Withholding Form- through May 31, 2007)

Note: Income withholding activities are not required until such time as an income source is known.

System Requirements:

a. The system must automatically initiate income withholding in accordance with paragraph d below, for all support orders established or modified on or after November 1, 1990 (immediate withholding cases) unless the administrative/judicial order indicates that:

1. There is a demonstration of good cause for not withholding which is acceptable to the court or administrative authority, or

2. The parties have signed an agreement for an alternative arrangement.

b. For cases not subject to immediate withholding, the system must automatically, in accordance with paragraph d below, initiate withholding on the earliest of:

1. The date on which the non-custodial parent fails to make payments in an amount equal to the support payable for one month,

2. The date on which the non-custodial parent requests withholding begin,

3. The date on which the custodial parent requests withholding begin, if the State approves the request, or

4. Such earlier date in accordance with State law.

c. The system must automatically, in accordance with paragraph d below, initiate income withholding for support obligations if arrearages occur, without the need for a judicial or administrative hearing.

d. For immediate and initiated withholding cases, the system must, within two business days of the date the system receives notice of income and income source from a court, another State, employer, the Federal Parent Locator Service, or another source recognized by the State, or the date information regarding a newly hired employee is entered into the State Directory of New Hires, automatically generate a notice to the employer, which informs the employer:

1. Of the amount to be withheld from the non-custodial parent's wages and a Statement that the amount actually withheld for support purposes, including a fee, may not be in excess of the maximum amounts permitted under the Consumer Credit Protection Act,

2. That the employer must send the amount to the State Disbursement Unit (SDU) within seven business days of the date the non-custodial parent (NCP) is paid, and must report to the SDU the date on which the amount was withheld from the NCP's wages except when the State meets all Federal requirements for an SDU and elects to use the date of receipt by the SDU as the date of collection,

3. That the employer may deduct a fee established by the State for administrative costs incurred for each withholding, if the State permits a fee to be deducted,

4. That the withholding is binding on the employer until further notice by the State,

5. That the employer is subject to a fine for discharging a NCP from employment, refusing to employ, or taking disciplinary action against the NCP because of the withholding,

6. That, if the employer fails to withhold income in accordance with the provisions of the notice, the employer is liable for the accumulated amount the employer should have withheld from the NCP's income,

7. That the withholding shall have priority over any other legal process under State law against the same income,

8. That the employer may combine withheld amounts from NCPs income in a single payment to each State Disbursement Unit requesting withholding and separately identify the portion of the single payment which is attributable to each individual NCP,

9. That the employer must withhold from the noncustodial parent's income the amount specified in the notice and pay such amount to the SDU within seven business days after the date the income would have been paid to the NCP, and

10. That the employer must notify the State promptly when the NCP terminates employment and provide the NCP's last known address and the name and address of the NCP's new employer, if known.

e. For initiated withholding, the system must send a notice to the NCP which informs the NCP :

1. That the withholding has commenced,

2. Of the amount of overdue support that is owed and the amount to be withheld,

3. That the provisions of withholding apply to any current or subsequent employer or period of employment,

4. Of the procedures available for contesting the withholding and that the only basis for contesting is a mistake of fact, and

5. Of the information contained in the employer's notice.

f. If a non-custodial parent contests withholding, the system must automatically generate the documents required to inform a non-custodial parent of:

1. The State's decision, and

2. If withholding is modified, the amount to be withheld and the effective date of the change.

g. The system must automatically generate the data to populate the data elements and print a copy of the Standardized Income Withholding form to the non-custodial parent's employer to initiate withholding within two business days after the case becomes subject to withholding in accordance with paragraph d above.

h. The system must automatically generate all notices and letters needed to support income withholding activities, including enforcement forms and letters when employers are not in compliance.

i. The system must maintain information in the automated case record on the documents generated in support of income withholding, including:

1. The type of document,
2. The recipient of the document, and
3. The date the document was sent.

j. The system must receive information regarding income withholding which is electronically transmitted by the employer to the State's bank.

    1. The State must offer all employers the option of using Electronic Funds Transfer/ Electronic Data Interchange (EFT/EDI) for the transmittal of income withholdings to the SDU, and

    2. Notices to employers must contain information regarding the procedures and format to be used in submitting withholdings using EFT/EDI.

    3. EFT/EDI procedures and formats must conform to the requirements defined by the National Automated Clearinghouse Association (NACHA).

        (a) The system must process income withholdings transmitted in both the Cash Concentration and Disbursement Plus (CCD+) and Corporate Trade Exchange (CTX) NACHA payment formats,

        (b) The system must process income withholdings and corresponding remittance data transmitted using the NACHA endorsed EFT/EDI standard format for child support collections (the Child Support Application Banking Convention).

k. In order to record the date of collection for income withholding cases when the State has not opted to use the date of receipt by the State as the date of collection, the State system and any SDU front-end system must accept from the employer the date of withholding (i.e., date of collection).

    Note: The date of collection for amounts collected and distributed under this part is the date of receipt by the State Disbursement Unit, except that if current support is withheld by an employer in the month when due and is received by the State Disbursement Unit in a later month, the date of withholding may be deemed to be the date of collection.

l. The system must automatically allocate amounts received by withholding, when there is more than one notice for withholding against the non-custodial parent, among obligations subject to withholding with priority given to current support.

m. The system must provide IV-D caseworkers with online access to automated sources of non-custodial parent employer and wage information maintained by the State, by either establishing an electronic link or by obtaining an extract of the database and placing it online.

n. The system must automatically generate delinquency aging reports to monitor employer compliance with withholding orders.

o. The system must track and control dates to ensure that the following timeframes are met:

    1. Within 20 calendar days of determining that withholding is required in a particular case, and, if appropriate, receipt of any information required to carry out withholding, the system must generate a notice to the IV-D agency of the State where the non-custodial parent is employed to implement interstate

withholding. The notice must include all information necessary to carry out withholding, including the amount to be withheld, a copy of the order, and a Statement of amount of arrears, if appropriate, and

2. Within 30 calendar days of receipt of request for information from the initiating State, the system in the State where the support order is entered must generate a notice to provide the information necessary to carry out the withholding.

p. When the non-custodial parent is no longer employed in the State, the system must generate a notice to the State where the custodial parent is receiving IV-D services which includes the name and address of the non-custodial parent and employer, if known.

q. Optional Functional Objective: the system should be able to send and receive electronic versions of the income withholding order (eIWO).

Policy – This is the link to the standardized income withholding form:
http://www.acf.hhs.gov/programs/cse/pol/AT/2004/at-04-05.htm

This link is to the Policy Interpretation Question on using debt authorization in lieu of wage withholding PIQ 03-10 :
http://www.acf.hhs.gov/programs/cse/pol/2003-piq.htm

Guidance – This is the link to the Employer website which includes the eIWO User's Guide:
http://www.acf.hhs.gov/programs/cse/newhire/employer/home.htm

Best Practice – South Dakota best practice on debit authorization as substitute for wage withholding. PIQ-03-10: http://www.acf.hhs.gov/programs/cse/pol/PIQ/2003/piq-03-10.htm

North Carolina Best practice on using outbound IVR for capturing child support owed in the gap between order entry and employer withholding child support from wages. Child Support Report, June 2004, "Automated Procedures Provide Earlier Customer Service and More Reliable Payments."
http://www.acf.hhs.gov/programs/cse/pubs/2004/csr/csr0406.html#f

Data Elements – This is the link to the data elements utilized in the Electronic Income Withholding Order (eIWO):
http://www.acf.hhs.gov/programs/cse/newhire/employer/eiwo/eiwo.htm

This is the link to the Department of Defense Accounting Service (DFAS), electronic KIDS 1st income withholding and data specifications chart:
http://www.acf.hhs.gov/programs/cse/newhire/csenet/dfas/dfas.htm

This is the hyperlink to the NACHA data elements and specifications for EFT/EDI:
http://www.acf.hhs.gov/programs/cse/newhire/employer/States/tips_epayment.htm

This is the hyperlink to NACHA: http://ecsp.nacha.org/

OCSE Grant - Texas has a 2004 SIP grant "Pension Plan Project" to study funds from pension and retirement plans as sources of collections for child support arrears. This is the link to that abstract:
http://www.acf.hhs.gov/programs/cse/grants/abstracts/fy2004_sip_abstracts.html

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

DFAS - Using the Federal Office of Child Support Enforcement (OCSE) Network, State Child Support Enforcement (CSE) agencies across the nation can submit wage-withholding orders electronically to Defense Finance and Accounting Services (DFAS).

Listed below are materials that have been issued. The link below is to technical documents, best practices and release specifications:
http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/dfas/dfas.htm

E-3 **OBJECTIVE:** The system automatically must support Federal tax refund offset.

Federal Statutory and Regulatory Authority:
42 USC 664
45 CFR 303.6(c)(3)
45 CFR 303.72(a), (b), (d)(1-2) & (e-g)
45 CFR 307.10(b)(2), (4)(i) & (7)
OCSE Action Transmittal 99-14

State System Requirements:
a.   The system must automatically identify IV-A and Foster Care cases where the amount of past-due support owed is not less than $150. The State may combine assigned support amounts from the same obligor in multiple cases to reach $150.
b.   The system must automatically identify any other cases where:
   1.   The support is owed to or is on behalf of a child,
   2.   The amount of support owed is not less than $500. The State may combine support amounts from the same obligor in multiple cases where the IV-D agency is providing IV-D services under 45 CFR 302.33 to reach $500,
   3.   The support is owed on behalf of a spouse, when the custodial parent is living with the child and child and spousal support are included in the same order,

4.	The support is owed on behalf of a disabled adult with a current support order, who is deemed disabled, as a minor, under Title II or XVI of the Social Security Act (SSA),

5.	At State option, the amount has accrued since the IV-D agency began to enforce the support order, and

6.	The State has checked to determine if a IV-A or Foster Care maintenance assigned arrearage exists with respect to the non-IV-A individual or family.

c.	The system must provide for an automated interface (Connect:Direct) to electronically transmit the following case information to the extent specified by OCSE in instructions:

1.	The name and Social Security Number of the taxpayer who owes the past-due support,

2.	The amount of past-due support certified as owed,

3.	The State's FIPS and local code (used to provide State/local contact information to obligors on pre-offset notices), and

4.	Case type indicator.

d.	The system must generate automated files to notify OCSE of deletions to amounts previously referred for offset or significant changes, as defined by State guidelines.

e.	The system must automatically generate required notices and documents including:

1.	An advance notice to the non-custodial parent that his/her past-due support will be referred to the IRS for collection that includes the information contained in 45 CFR 303.72(e)(1). If the State chooses, it can request that the notice be sent by OCSE,

2.	An advance notice to non-IV-A custodial parents regarding the distribution of offset amounts,

3.	A notice to the non-custodial parent and in non-IV-A cases, the custodial parent, of the time and place of an administrative review of a complaint regarding the offset,

4.	Documents needed to refund excess amounts to parents,

5.	A notice referring the non-custodial parent to the IRS in cases where a complaint has been received concerning a joint refund which has been offset,

6.	Documents and notices for the post-offset appeal process, if required by State law,

7.	A CSENet notice to the initiating State of a request for an administrative review,

8.	A CSENet notice to the responding State of the results of an administrative review in cases where an offset has already been made, and

9.	A CSENet notice to the responding State when the offset is received.

f.	Prior to submittal, the system must have automatically verified the non-custodial parent's name, Social Security Number, and amount referred for offset, using automated interfaces (where applicable) with State agencies and other sources.

g. All offset submittal information, actions, and results must be entered in the automated case history, including:

1. That an offset has been initiated,
2. The date submitted,
3. The year the tax refund offset is processed,
4. The administrative review State, and
5. Whether the offset is a joint tax return.

h. The system must track actions to ensure that the following timeframes are met:

1. Within 10 days of the non-custodial parent's request for an administrative review in the State with the order, the submitting State must provide the State with the order all necessary information, and
2. Within 45 days of receipt of the information from the submitting State, the system of the State with the order must:

    (a) Generate a notice to the non-custodial parent and, in non-IV-A cases, to the custodial parent indicating the time and place of the administrative review, and
    (b) Track the date of the review and decision.

Recommended Data Elements: This is the link to the Federal Offset Program User's Guide which includes record specifications and FOP release specifications: http://www.acf.hhs.gov/programs/cse/newhire/library/fop/fop.htm

This is the link to AT 99-14**:** http://www.acf.hhs.gov/programs/cse/pol/AT/1999/at-9914.htm

This is the link to the PY 2005 Federal Offset Collections Schedule. This schedule provides important dates for collections processing for the 2005 processing year (PY). Also links to Treasury Offset Program Center, and Financial Management Services program information:
http://www.acf.hhs.gov/programs/cse/newhire/fop/fop.htm

E-4 OBJECTIVE: The system must automatically support State tax refund offset.

Federal Statutory and Regulatory Authority:

42 USC 666 (a)(3)

45 CFR 303.6(c)(3)

45 CFR 303.102(a-e) & (h)

45 CFR 307.10(b)(2), (4)(i) & (7)

State System Requirements:

a. The system must automatically identify cases that the State has determined are appropriate for State tax refund offset.

b. Prior to submittal, the system must automatically verify the non-custodial parent's name, Social Security Number, amount of past-due support, and amount referred for offset using automated interfaces (where applicable).

c. The system must notify the appropriate State agency or office of deletions or significant decreases to amounts previously referred for offset.

d. The system must automatically generate all required documents, including:

1. An advance notice to the custodial parent receiving service under 45 CFR §302.33 informing her/him that, for cases in which an assignment of support rights is made, amounts collected which represent specific dollar amounts designated in the support order for medical purposes will be distributed under 45 CFR §302.51(c),

2. An advance notice informing the non-custodial parent that his/her past-due support will be referred for offset and of the opportunity to contest the referral,

3. A notice to the non-custodial parent and, in non-IV-A cases, the custodial parent of the time and place of an administrative review of a complaint regarding the offset,

4. Documents needed to refund excess amounts, and

5. Documents required to notify the initiating State of the results of an administrative review in cases where an offset has been made.

e. If the agency that processes State tax refund offsets is automated, the CSE system must automatically:

1. Submit identified cases annually, and

2. Receive from the responsible State office information pertaining to the non-custodial parents' home address and Social Security Number(s).

Note: If the State agency tax system is not automated, the CSE system must automatically generate all documents required by the State's tax refund offset procedures.

f. All offset submittal information, actions, and results must be entered in the automated client record including:

1. The date submitted,

2. The year the tax return to be offset was filed,

3. The year the tax refund offset is processed,

4. The tax year the offset is processed against,

5. The administrative review State, and

6. Whether the offset is against a joint tax return.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will

also return data elements that are identical or similar and will list the data exchanges where they are used.

E-5   OBJECTIVE: The system must automatically identify, initiate, and monitor enforcement actions using liens and bonds.

Federal Statutory and Regulatory Authority:

42 USC 666 (a)(4)&(6)

45 CFR 307.10(b)(2), (4)(i), (7) & (14)

State System Requirements:

a.   The system must automatically identify and maintain information on cases for which it would be appropriate, under State guidelines, to use a lien or secure a bond.

b.   The system must automatically generate documents required to impose a lien or secure a bond. When the IV-D agency is attempting to secure a bond, the system must produce an advance notice that informs the non-custodial parent of:

1.   The delinquency of the support payment and the requirement of posting security, bond, or guarantee, and

2.   His/her rights and the methods available for contesting the impending action.

c.   The system must have an automated interface with the agencies responsible for real and personal property titles in order to record liens. If an automated interface is not possible, the system must generate the documents required to record liens with these agencies.

d.   The system must generate the documents required to record or serve a lien in another State.

e.   The system must automatically generate the required documentation and notify the caseworker to offset the bond when the current support payment is not received.

f.   The system must automatically generate the required documentation and notify the caseworker to remove the lien and/or restore the bond when the past-due support is received.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

E-6   OBJECTIVE: Where action is appropriate under State guidelines, the system must support Unemployment Compensation Intercept (UCI).

Federal Statutory and Regulatory Authority:

42 USC 654(19)

42 USC 666 (c)(1)(G)(i)(I)

45 CFR 302.65(c)

45 CFR 307.10(b) (2), (4)(i), (7) & (14)

State System Requirements:

a.   The system must automatically receive UC information from the State Employment Security Agency (SESA). If the SESA system is not automated, the IV-D agency must arrange for the exchange of information by manual methods.

b.   The system must automatically screen information provided by the SESA to determine:

    1.   Which individuals applying for or receiving unemployment compensation owe support obligations being enforced by the IV-D agency, and

    2.   Which cases meet the State's criteria for pursuing UCI?

c.   The system must automatically generate all documents required to enforce UCI either through a voluntary agreement or, in cases that meet selection criteria, through legal processes pursuant to State or local law.

d.   The system must generate an automated file containing all cases eligible for UCI and must transfer this file to the SESA using an electronic interface. If the SESA is not automated, this file must be transmitted to the SESA manually.

e.   If requested and not provided through other means, the system must automatically generate receipts (at least annually) for individuals who request a receipt for the support paid through UCI.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

The Federal Case Registry -Technical Assistance Guide – Contains a number of Hot Tips and questions to consider when automating data related to FPLS, FCR and locate. http://www.acf.hhs.gov/programs/cse/newhire/library/fcr/tag/tag_toc.htm

E-7   OBJECTIVE: The system must forward arrearage information to credit reporting agencies.

Federal Statutory and Regulatory Authority:

42 USC 666 (a)(7)

45 CFR 307.10(b)(4)(i), (7) & (14)

State System Requirements:

a. The system must be capable of automatically identifying cases that meet the State's criteria for providing arrearage information to the credit reporting agencies.

b. The system must automatically generate a file (extract) of arrearage information for submission to credit reporting agencies. At a minimum, this information must include:

   1. The name of the non-custodial parent who owes the delinquency/arrearage, and

   2. The amount of the delinquency/arrearage.

c. Prior to releasing the information, the system must automatically generate an advance notice to the non-custodial parent to inform him/her of:

   1. The proposed release of the information, and

   2. The methods available for contesting the accuracy of the information.

d. The system must monitor whether the non-custodial parent responds to the advance notice, record the date the response is received, and automatically generate any further documentation required due to the response.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

E-8   OBJECTIVE: The system must support enforcement through IRS full collection services when previous enforcement attempts have failed.

Federal Statutory and Regulatory Authority:

42 USC 652 (b)

45 CFR 303.71

45 CFR 307.10(b)(4)(i), (7) & (14)

State System Requirements:

a. If the State elects to use the IRS full collection process, the system must automatically identify those cases in which:

   1. A court or administrative order for support has been issued,

   2. The amount to be collected under the support order is at least $750 in arrears,

   3. At least six months has elapsed since the last request for referral to the Secretary of the Treasury,

   4. The State requesting the referral has an assignment of support rights under 45 CFR §301.1, or an application or referral under 45 CFR §302.33, and

5. Reasonable efforts to collect support through the State's own collection mechanisms have been made by the IV-D agency, client, or client's representative.

b. The system must maintain information necessary to submit a request for IRS full collection services, including:

1. The non-custodial parent's name, Social Security Number, address, and place of employment,

2. Amount owed under support orders,

3. Amounts previously referred to IRS for collection,

4. Dates of previous referrals to IRS for collection,

5. Previous enforcement actions taken in the case and the reasons for failure,

6. Information about the non-custodial parent's income and assets, including their nature and location if known,

7. Source of information, and

8. Date information was verified.

c. The system must support the notification of the appropriate ACF Regional Office of changes to the amount of support due, the nature or location of assets, or address of the debtor.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

E-9 OBJECTIVE: In cases where previous enforcement attempts have failed, the system must periodically reinitiate enforcement actions.

Federal Statutory and/or Regulatory Authority:

45 CFR 303.6(c)(4)

45 CFR 307.10(b)(1), (2), (4)(i), & (14)

State System Requirements:

a. The system must automatically track dates/time periods and take required actions to reinitiate enforcement actions where previously actions were unsuccessful.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition

(with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

E-10 OBJECTIVE: The system must support the enforcement of spousal support.

Federal Statutory and Regulatory Authority:
42 USC 654 (4)(B)(ii)
45 CFR 302.31(a)(2)
45 CFR 307.10(b)(4), (7), & (14)

State System Requirements:
a.   The system must record and monitor spousal support obligations when:
    1.   A spousal support order has been established,
    2.   The spouse or former spouse is living with the child(ren), and
    3.   The support order established for the child(ren) is being enforced under the IV-D State plan.
b.   The system must initiate necessary enforcement actions when a delinquency is identified.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

E-11 OBJECTIVE: The system must automatically monitor compliance with and support the enforcement of medical support provisions contained within support orders.

Federal Statutory and Regulatory Authority:
42 USC 652(f)
42 USC 654 (4)(A)(i)(III)
42 USC 666(a)(19)(B)
45 CFR 303.31(b) (7), (8) & (9)
45 CFR 303.32(b) & (c)(1), (2), (5) and (7)
45 CFR 307.10(b) (1), (4)(i), (7), (13) & (14)

State System Requirements:

a. The system must electronically interface with the State Title XIX system to automatically exchange information required to enforce medical support provisions of the order.

b. The system must automatically generate the National Medical Support Notice in accordance with paragraph (c) below for all support orders with a provision for health insurance coverage unless a court or administrative order indicates alternative health care coverage rather than employer-based coverage.

c. The system must, within two business days after entry of employment information in the State Directory of New Hire regarding an employee who is ordered to provide health care coverage in a IV-D case, automatically transfer the National Medical Support Notice to the employer.

d. If a parent contests withholding, the system must automatically generate the documents required to inform the parent ordered to provide health coverage of :
    1. The State's decision, and
    2. If withholding is to be modified, the nature and effective date of the change.

e. The system must promptly generate a notice to the employer when there is no longer a current order for health insurance coverage enforceable by the IV-D agency.

f. The system must automatically generate all notices and letters needed to support medical support activities, including enforcement forms and letters when employers/health insurance plan administrators are not in compliance.

g. The system must alert the caseworker when information required to fulfill a medical support order has not been received, and must automatically generate required documents to secure the information.

h. The system must automatically monitor employer and non-custodial parent compliance with ordered medical support provisions and prompt needed caseworker action when there is a failure to comply with such orders.

i. The system must periodically exchange data electronically with the State Title XIX agency to determine if there have been lapses in health insurance coverage.

j. The system must, at least once, request employers and other groups offering health insurance coverage to notify the IV-D agency of changes and/or lapses in health insurance coverage.

k. Optional functionality, the system should be able to accept information on children eligible for DEERS coverage from the FCR match with Department of Defense.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

Hyperlink to Federal Agency addresses for NMSN:
http://www.acf.hhs.gov/programs/cse/newhire/ndnh/ndnh.htm

E-12 OBJECTIVE- Optional: Administrative Enforcement Interstate: (AEI)

a. The system must be capable of automatically identifying cases that meet the State's criteria for matching of other State's financial institutions or other entities where assets may be found.

b. The system must, by electronic or other means, transmit to the assisting State or at the State's option, the requesting State may use a service provider (e.g., Electronic Parent Locator Network-EPLN).

    1. Amount of support under an order the payment of which is in arrears,

    2. Certification that the requesting State has complied with all procedural due process requirements applicable to each case.

c. The AEI request may be entered into the assisting State's CSE system as if the case were intrastate, to be matched with financial institution account information. This AEI request should not be considered transferred to the caseload of the assisting State.

d. The system must send AEI collections via electronic funds transfer/electronic data interchange (EFT/EDI) or, at State option, direct the financial institution to send the funds seized directly to the requesting State.

    1. States are strongly encouraged to program the EFT/EDI NACHA endorsed FIDM codes.

e. The system must track AEI information. This information includes: Number of such requests for assistance received, number of case for which the State collected support in response to request and the amount of such collected support. The amount of collections from AEI is reported on lines 2d and 2f on OCSE Form 34A.

Hyperlinks to:
EPLN- http://www.epln-fidm.com/

Michigan Alliance Consortium – Several States have a contract with the Alliance NACHA FIDM codes. This is the link to the NACHA website:
http://ecsp.nacha.org/

It contains a User's Guide for Electronic Child support payments. DED01 has three codes for FIDM payments from financial institutions, from a cost recovery State to another State and from a non-cost recovery State to another State.

OCSE 34-A - This is the link to AT 03-04, the latest version of the OCSE Form 34A:
http://www.acf.hhs.gov/programs/cse/pol/AT/at-03-04.htm

E-13 OBJECTIVE: The system must support procedures under which the State has (and uses in appropriate cases) authority to withhold or suspend, or to restrict the use of driver's licenses, professional and occupational licenses, and recreational and sporting licenses of individuals owing overdue support or failing, after receiving appropriate notice, to comply with subpoenas or warrants relating to paternity or child support proceedings.

Federal Statutory and/or Regulatory Authority:

42 USC 666 (a)(16)

State System Requirements:

a.   The system must automatically, on a periodic basis, identify cases that meet the State's arrears based license suspension criteria (e.g., licensed NCP arrears exceed a certain dollar threshold).

b.   The system must automatically generate a notice of potential license suspension to each non-custodial parent with a IV-D case that meets the State's license suspension criteria.

c.   The system must automatically alert the caseworker to take appropriate action if the non-custodial parent does not respond to the notice of potential license suspension within a timeframe specified by the State.

d.   The system must automatically generate all other documents needed to support the license suspension process, or at a minimum, prompt the caseworker to take action through the system to generate documents in support of such process.

e.   When appropriate, feasible, and cost effective, the system must support the State's license suspension process through electronic interface(s) and communication with other State agencies.

This link is to a presentation by Virginia on their utilization of administrative subpeona's for cell phone addresses:

http://www.acf.hhs.gov/programs/cse/pubs/2006/conference/locate/

E-14 OBJECTIVE: The system must support the State's procedures for passport denial.

Federal Statutory and/or Regulatory Authority:

42 USC 652 (k)

42 USC 654(31)

State System Requirements:

a.   The system must identify individuals who owe in excess of $2,500 in arrearage.

b.   The system must generate notices to such individuals of the determination and consequences, and provide opportunity to contest the determination.

Data Elements – The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged

between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

This is the link to the OCSE Federal Offset Program User's Guide which includes passport denial and provides data specification formats:
http://www.acf.hhs.gov/programs/cse/newhire/library/fop/fop.htm
AT/DC – OCSE AT 99-14 contains policy information and citations to the law.

Guidance Documents - This is the link to the OCSE Federal Offset Program User Guide which includes passport denial**:**
http://www.acf.hhs.gov/programs/cse/newhire/library/fop/fop.htm

This is the link to the OCSE webpage on passport denial, contains information on Department of State Passport Services, contact information and denial of passports to children involved in custody disputes:
http://www.acf.hhs.gov/programs/cse/newhire/fop/passport.htm

E-15 OBJECTIVE: The CSES or an alternative system must support procedures under which the State conducts data matches with financial institutions (FIDM), using automated data exchanges to the maximum extent feasible.

Federal Statutory and/pr Regulatory Authority:

42 USC 666 (a)(17)

OCSE-AT-98-07

Financial Data Match Specifications Handbook (OCSE DC-98-69)

Note: The State has the option of using an alternative system to conduct FIDM. If the State uses an alternative system, the State, vendor, or other governmental entity may operate it.

State System Requirements:

a.   The CSES or alternative system must, using standard FIDM formats, have the capability to:

　　1.   Produce an electronic file of delinquent obligors (in the standard FIDM Inquiry File format[1]) to be transmitted to financial institutions (FI) electing Method Two (Matched Accounts Method),

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[1] As specified in the Financial Data Match Specifications Handbook (DC-98-69).

2. Accept files (in the standard FIDM Account File format) from FIs electing Method One (All Accounts Method),
3. Perform matches for FIs electing Method One (All Accounts Method),
4. Accept matched files (in the standard FIDM Match File format) received from FIs electing Method Two (Matched Accounts Method) and from Multi-State FIDM (MS-FIDM), and
5. Identify (flag) delinquent obligors for the MS-FIDM process on the Federal Income Tax Refund Offset file.

b. The CSES or the alternative system must automatically update the case record when a match occurs to include, at a minimum, the name of the financial institution and the record address of the non-custodial parent.

c. The CSES or the alternative system must have the capability to produce a hard copy report (or form such as a subpoena) for use with those financial institutions not participating in an automated match.

d. The CSES or the alternative system must automatically produce all documents necessary to attach an asset held by a financial institution or, at a minimum, prompt the caseworker to take action through the system to generate documents in support of the attachment of such an asset.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

This link is to the Federal Offset Program User's Guide which includes MS-FIDM data specifications**:** http://www.acf.hhs.gov/programs/cse/newhire/library/fop/fop.htm

AT - http://www.acf.hhs.gov/programs/cse/pol/AT/2001/at-01-11.htm

Provides clarification of "Time Deposit Accounts" as related to Financial Institution Data Matches.

http://www.acf.hhs.gov/programs/cse/pol/AT/1999/at-9914.htm

Action Transmittal AT-01-11 Provides information and citations to the law related to Offset.

http://www.acf.hhs.gov/programs/cse/pol/AT/1998/at-9807.htm

Action Transmittal 98-07 Provides Policy Questions and Answers regarding MSFIDM Requirements under the provisions of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996.

http://www.acf.hhs.gov/programs/cse/pol/AT/1998/at-9829.htm

Action Transmittal 98-29 Provides Policy Questions and Answers regarding the MultiState Provisions of the Financial Institution Data Match under Title IV-D of the Social Security Act.

This link is to the MS-FIDM website which provides additional information for parents, employers and States:
http://www.acf.hhs.gov/programs/cse/fct/fidm/index.htm

This link is to the Federal Offset Program User's Guide, release specifications and conference call summaries:
http://www.acf.hhs.gov/programs/cse/newhire/library/fop/fop.htm

E-16 OBJECTIVE: The system must support administrative offset.

Federal Statutory and Regulatory Authority:

42 USC 652 (b)

45 CFR 303.72(e)(1)

P.L. 104-134 Debt Collection and Improvement Act of 1996

Executive Order 13019

OCSE -AT-98-17

State System Requirements:

a.   If the State chooses to participate in the administrative offset program, the system must:

1.   Automatically identify cases where the amount of support owed is not less than $25, and the support has been delinquent for 30 days or longer,

2.   Automatically generate required notices and documents including an advance notice to the non-custodial parent that his/her past-due support will be referred to the IRS for collection that includes the information contained in 45 CFR 303.72(e)(1). If the State chooses, it can request that the notice be sent by OCSE,

3.   Electronically transmit administrative offset requests via Connect:Direct with the Federal Tax offset requests. The required data elements include: the name, SSN of the individual who owes the past-due support, the amount of past-due support certified as owed, the State's FIPS, and the case indicator type, and

4.   Electronically transmit any other information prescribed by ACF in instructions that are issued periodically in the form of an Action Transmittal (i.e. OCSE AT-98-17).

Recommended Data Element Definitions: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used**.**

This link is to the Federal Offset Program User's Guide which includes administrative offset.
http://www.acf.hhs.gov/programs/cse/newhire/library/fop/fop.htm

AT/DCL - Executive Order 13019 "Supporting Families: Collecting Delinquent Child Support Obligations," September 28, 1996.

E-17 OBJECTIVE- Optional: The system should be able to submit and receive information about insurance matches.

The system must be capable of automatically identifying cases that meet the State's criteria for submitting for insurance match.

a. The system should automatically generate a file (extract) of data for submitting for insurance data match. At a minimum this information must include:
  1. Obligor Name,
  2. Obligor SSN,
  3. Obligor Date of Birth,
  4. Obligor Address,
  5. Case ID,
  6. Member ID,
  7. Local Code,
  8. Arrears Balance.
b. The system should automatically generate documents required to impose a lien, or notify a service provider to generate the notice.
c. The system should automatically generate a notice to the NCP if required by State law.
d. The system should automatically record in the case chron file key events associated with the insurance match.

F.   FINANCIAL MANAGEMENT

F-1 **OBJECTIVE:** With the exception of those cases with income withholding in force, the system must automatically bill cases with obligations.

Federal Statutory and/or Regulatory Authority:

45 CFR 307.10(b)(14)

State System Requirements:

a.   The system must automatically generate billing notices to non-custodial parents, including a Statement of account containing the correct amount of current and past due support.

b.   The system-generated bill must support varied payment/collection cycles, e.g., weekly, monthly, etc.

c.   The system must provide for supervisory-authorized review either prior to or following billing suppression or adjustments, and must notify the worker of decision not to suppress or adjust billing, or determination that billing suppression or adjustment was inappropriate.

d.   The system-generated bill must provide for payment identification, e.g., return stubs or coupons supporting various payment frequencies.

Note: States may include other non-custodial parent notices with the bills. In addition, billing Statements may include system-generated or caseworker-defined narrative notices/comments to non-custodial parents regarding upcoming or recently completed case actions and events, or other useful program information of benefit to the non-custodial parent.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

F-2 **OBJECTIVE:** The system must automatically process all payments received.

Federal Statutory and Regulatory Authority:

42 USC 654A(e)

42 USC 654B (b) & (c)

42 USC 666(a)(6)

45 CFR 302.32

45 CFR 302.33(c) & (d)

45 CFR 303.5(e)
45 CFR 303.70(e)(2)(i)
45 CFR 303.72 (i)(2)
45 CFR 303.102(f)
45 CFR 307.10(b) (7), (8), & (14)
45 CFR 307.11(e)
DCL 06-28

State System Requirements:

a. The system and any SDU system must accept and uniquely identify all payments.

b. The system or the SDU system must provide financial controls for posting and balancing all payment transactions.

c. The system or the SDU system must generate documents required to support the deposit of payments/collections to financial institutions in accordance with written procedures.

d. The system and any SDU system must be capable of adjusting, with supervisory approval, either prior to or following the adjustment, previously processed payments, and must notify the worker of decision regarding the requested adjustment, or determination that the adjustment was inappropriate.

e. The system and any SDU system must accept and process unidentified and/or suspended payments in accordance with State written procedures and must support the identification of such payments.

f. For each case, the system must maintain a payment history containing the following information on each payment: amount of the payment, date of collection, if necessary, method of payment, date of receipt in the SDU, and date of disbursement.

g. The system must automatically record the receipt of payments on fees including interest or late payment penalties and fees and the recovery of costs in the automated case record and in the State's accounting subsystem, whether or not the State practices cost recovery or imposes fees. (When fees are waived/paid by the State, a notation must be made in the automated case record reflecting the payment of the fee by the State.)

h. The system must record and track collections associated with a posted bond.

i. The system must separately record and maintain charges and payments associated with the payment of fees for FPLS.

j. The system must separately record charges and payments associated with the payment of fees for the costs of genetic tests. A notation in the financial portion of the automated case record must indicate that a judgment has been obtained. Once the judgment is paid in full, another notation must indicate that payment has been made.

k. The system must within two business days after receipt from employer or other source of periodic income, in other than current IV-A and IV-E cases, distribute and disburse all payments if sufficient information identifying the payee is provided.

l.   The system must record and maintain charges associated with interest or late payment penalties and fees:

    1.   The system must automatically impose a $25 fee for never assistance cases where the collection exceeds $500 in a year. The fee may be imposed against the custodial parent, the non-custodial parent, or the State may pay the fee. The payment must be automatically recorded in the automated case record and in the State's accounting subsystem. (When fees are waived/paid by the State, a notation must be made in the automated case record reflecting the payment of the fee by the State and considered program income.) Comment: This section will be updated when Deficit Reduction Act regulations regarding the $25 fee are issued.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used**.**

Guidance regarding the effective date of the DRA provision regarding the $25 fee is at: http://www.acf.hhs.gov/programs/cse/pol/DCL/2006/dcl-06-28.htm

Several States have implemented additional options to permit non-custodial parents to pay their child support. States are encouraged to consider these additional options:

Payment via credit cards:

Florida http://www.myfloridacounty.com/services/child_support/

Payment via money orders – This link is to a Child Support Report article about a Rhode Island project for the unbanked community with Western Union: http://www.acf.hhs.gov/programs/cse/pubs/2003/csr/csr0304.html#e

Payment via debit authorization: Several States have implemented an option of debit authorization. Some of these programs are proprietary services provided by the SDU or other vender. Some of the debit authorization programs were developed with FFP and are available to other States for transfer. They include:

Washington State has developed a web-based program that permits small business and individuals to authorize a periodic debit of their banking account. The hyperlink to this code is:
www.acf.hhs.gov/programs/cse/stsys/dsts_auto_wbcs.html,
then tab down to Washington State programming code.

F-3 OBJECTIVE: The system must support the acceptance and disbursement of payments using Electronic Funds Transfer/Electronic Data Interchange (EFT/EDI)

Federal Statutory and Regulatory Authority:

42 USC 654B (b)

45 CFR 307.10(b) (14)(v)

State System Requirements:

a. The system must process EFT/EDI transactions received from employers who choose to submit income withholdings electronically.

b. The system must process EFT/EDI transactions received from other States.

c. The system must transmit interstate collections to other States using EFT/EDI technology.

d. EFT/EDI procedures and formats must conform to the requirements defined by the National Automated Clearinghouse Association (NACHA). The system must:

1. Accept income withholdings and interstate child support collections transmitted in both the CCD+ and CTX NACHA payment formats,

2. The system must process income withholdings and interstate child support collections and corresponding remittance data transmitted using the NACHA-endorsed EFT/EDI standard format for child support collections (the Child Support Application Banking Convention),

3. The system must transmit interstate child support collections to other States in the CCD+ NACHA payment format, and the CTX NACHA payment format,

4. The system must transmit interstate child support collections and corresponding remittance data using the NACHA-endorsed EFT/EDI standard format for child support collections (the Child Support Application),

5. The system must accept and transmit the interstate collection application indicators of : II - Interstate Income Withholding, IT - Interstate State Tax Offset, IO - Interstate All Others,

6. The system must accept and transmit, in CCD+ transactions, cost recovery and FIDM interstate collection application indicators of: RI - Interstate Cost Recovery Income Withholding, RT - Interstate Cost Recovery State Tax Offset, RO - Interstate Cost Recovery All Others, IF - FIDM funds from a non-cost recovery State to another State, and RF - FIDM funds from a cost recovery State to another State, and

7. The system must accept the collection application indicators of: CS - Income Withholding from employers, DP - Direct Payor the non-custodial parent or agent sends support payment electronically to the SDU, FD - FIDM funds from financial institution.

8. Optional : The system should accept and transmit in CCD+ transactions, the FIDM indicator for FIDM of FD - FIDM from financial institution, RF - FIDM

from cost recovery State to another State and IF - FIDM from non-cost recovery State to another State.

NOTE: The NACHA-endorsed EFT/EDI standard for child support (Child Support Application Banking Convention), including the specifications and format for CCD+ and CTX transactions, may be found in the publication entitled "User Guide for Electronic Child Support Payments: Using the Child Support Application Banking Convention, version 4.1" (revised January 3, 2005). This publication may be found on the OCSE website, Employer section at:

http://www.acf.hhs.gov/programs/cse/newhire/employer/States/tips_epayment.htm

where there is a link to NACHA's publication. The State may also access the document on NACHA's website at: http://ecsp.nacha.org/.
Additionally, the State may also find information and specifications regarding the collection and cost recovery application indicators addressed in this objective in the NACHA publication mentioned above.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

F-4 OBJECTIVE: The system's accounting process must be uniform Statewide, accept and maintain all financial information, and perform all calculations relevant to the IV-D program.

Federal Statutory and Regulatory Authority:

42 USC 654A (b)(1)&(c)(1)(A)

45 CFR 302.15(a)

45 CFR 302.33(d)

45 CFR 303.5(e)

45 CFR 303.52(a)

45 CFR 305.2(a)

45 CFR 307.10(b)(3), (4), (6)-(8) & (14)

State System Requirements:

a.   The system must maintain an audit trail for all transactions.

b.   The system must distribute all support collections.

c.   When appropriate, the system must calculate Federal, State, and local collection shares.

d. The system, or an auxiliary financial system, must provide documentation needed to obtain and verify claims for Federal financial participation (FFP) and to facilitate the payment, receipt, and distribution of incentive payments by:

    1. Maintaining data on paternity establishment, support order establishment, current collections, arrears collections, and cost effectiveness necessary to measure performance based on the five performance areas in the child support incentive system,

    2. Maintaining information on the receipt of incentive payments,

    3. Maintaining data on the efficiency and effectiveness of political subdivisions' operations,

    4. Performing calculations needed to determine Title IV-D's share of administrative costs,

    5. Performing incentive calculations using the State's methodology for passing through incentives to political subdivisions, and

    6. Distributing and maintaining information on incentive payments paid to political subdivisions.

e. The system, or an auxiliary financial management system, must maintain data on the costs of genetic testing and information on attempts to obtain reimbursement of such costs.

f. The system must calculate and maintain arrearage information.

g. The system must calculate and maintain information on unreimbursed public assistance.

h. The system must calculate and/or record in the case record fees for:

    1. Genetic testing,

    2. Court costs,

    3. Applications,

    4. Locate work,

    5. Non-IV-A Federal and State tax refund intercept,

    6. Income withholding,

    7. FPLS,

    8. Non-IV-A FPLS locate only,

    9. IRS Full Collection, and

    10. Other fees.

i. If the State chooses to recover costs, the system or an auxiliary financial management system, must support cost recovery by:

    1. Calculating the amount of costs to be recovered based on the amount of actual costs or the State's standard costs,

    2. Producing notices to the affected individual unless the necessary information is provided in some other way (i.e., as part of the application for IV-D services, or information provided to IV-A recipients regarding IV-D services), and

    3. Receiving, identifying, and totaling recovered costs.

Recommended Data Elements:

OCSE Grants – FY 2005 grant to Arizona's Division of Child Support to participate in a new collaboration with the court, attorney general and Administration of Courts to develop and implement a web-based automated arrears calculation tool. This project will allow the State agency, the courts and customers to better manage child support arrears.

This is the link to an Arizona Statewide Arrears Calculation Tool: http://www.acf.hhs.gov/programs/cse/grants/abstracts/1115_abstracts.html

F-5 OBJECTIVE: The system must support the distribution of child support collections.

Federal Statutory and Regulatory Authority:
42 USC 654B
42 USC 657
45 CFR 302.32
45 CFR 302.51
45 CFR 302.52
45 CFR 303.7(c)(7)(iv)
45 CFR 303.72(h)
45 CFR 303.102(g)
45 CFR 307.10(b)(5)
OCSE-AT-97-17 dated October 21, 1997
OCSE AT-98-24 dated August 19, 1998

State System Requirements:

a. The system must distribute and disburse support collections in accordance with 45 CFR 302.32, 302.51, 302.52, OCSE-AT-97-17, OCSE-98-24, and any other relevant regulations and instructions issued by OCSE.

b. If costs/fees are imposed on the non-custodial parent, the system must ensure that the monthly support obligation and any arrearage is satisfied prior to retaining the cost/fee. If costs/fees are being imposed on the custodial parent, the system must deduct the costs/fees from support collected on behalf of the family. In either case, the non-custodial parent's account must be credited for the full amount of the support collection. In an interstate case, both the initiating and responding State must meet this requirement.

c. Each time distribution and disbursement takes place, the system must record the amount, date of distribution, date of disbursement, and the recipient (family, IV-E agency, IV-A agency, Title XIX agency, taxpayer whose refund was offset, another State).

d. In interstate cases, the responding State's financial subsystem must provide for disbursement to the initiating State within two business days of receipt. Both the responding and initiating States' systems must be capable of handling such disbursement using electronic funds transfer/electronic data interchange (EFT/EDI).

All transfers must be recorded in or linked to the automated client record. Data to the initiating State must include: identifying case numbers, payment amount, date of collection or receipt, non-custodial parent's name and Social Security Number, medical support indicator, and the responding State's FIPS code or Worldwide Geographic Location Code.

e.   The system must recompute the distribution of all collections, when payments are made in the month when due but are received in a later month by the State Disbursement Unit (SDU), or information is received on unidentified payments in a later month. If, however, the State has a SDU which meets all Federal requirements for both IV-D and non-IV-D cases, the State may use the date of receipt as the date of collection for collections made through income withholding. If the State uses the date of receipt for all collections, the system is only required to recompute distribution with respect to unidentified payments when identifying information is received in a later month.

f.   The State must set up and run in the system test environment any test deck of distribution scenarios issued by OCSE to evaluate distribution.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

Note: Distribution workgroup will recommend optional functional objectives for the options permitted under DRA.

F-6   OBJECTIVE: The system must generate notices to IV-A and former IV-A recipients (continuing to receive IV-D services) about the amount of support collections and must notify the IV-A agency about collections for IV-A recipients**.**

Federal Statutory and Regulatory Authority:

42 USC 654(5)

45 CFR 302.54

45 CFR 307.10(b)(7) & (14)

State System Requirements:

a.   When a collection is received, the financial subsystem must automatically produce a monthly notice of assigned support collections for IV-A and former IV-A custodial parents who continue to receive IV-D services and have outstanding arrearages that have been assigned to the State. The monthly notice must separately list payments collected from each non-custodial parent, if appropriate, and must indicate the

amount of current support, the amount of arrearage collected, and the amount of support collected which was disbursed to the family.

Note: *If the State has been granted a waiver under the provisions of 45 CFR §302.54(b), the notice must be generated on a quarterly basis.*

b.   Using the IV-A/IV-D automated interface, the IV-D agency must provide the IV-A agency information on the amount of monthly support collections received for each IV-A case. The information must include the amount, case number, and date of receipt/collection for each payment.

Recommended Data Elements: The CSE Data Standards Registry is scheduled to be operational around June 2007. This data standards registry will contain data elements that are exchanged between CSE partners, their definition, name and other defining attributes. A hyperlink will take you to a website that contains a User's Guide on how to access and use the CSE Data Standards Registry. A user can search for data elements by definition (with references), name, and format, and relevant business rules. The search facility will also return data elements that are identical or similar and will list the data exchanges where they are used.

F-7   OBJECTIVE: State Disbursement Unit (SDU) Physical Security and Internal Control Requirements

Federal Statutory and Regulatory Authority:

42 USC 654(B)

45 CFR 307.10(b)(14)

DCL 02-06 SDU Payment Processing and Physical Security

State System Requirements:

a.   The SDU must meet the following physical security requirements:

1.   Be located in a self-contained area with floor to ceiling solid walls where only SDU functions are performed,

2.   Have security-type doors and a locking system for each door such as card key locks or push-button code locks,

3.   Access to the SDU must be limited to SDU staff and other appropriate accounting and management personnel,

4.   All payment processing activities that involve checks, money orders etc., including the opening of the mail, must take place within the SDU, and

5.   The SDU must have an unmovable safe for keeping processed checks, money orders, and cash until taken to the bank. Checks, money orders, and cash not processed during the day received must be stored in the safe overnight.

b.   If the cashiers window is outside of the SDU, the cashier must have a fireproof unmovable safe preferably with a slot in the top for keeping payments until taken to the SDU for processing. The cashier's window must be in a secured area with limited access.

c.   A person who receives a support payment (e.g., check, money order, or cash) at a cashier's office cannot post that payment to a batch in a front-end system or the State system due to segregation of duties.

d.   If the SDU has 10 or more staff, a worker or supervisor cannot perform more than one function for payments in a particular batch. Payment processing functions generally include but are not limited to: opening the mail, running an adding machine or creating an electronic spreadsheet and setting up a batch on a front-end system or the State system, posting the batch including unidentified payments to the front-end system or State system, performing payment/batch reconciliation, depositing the collections, and working unidentified collections. If the SDU has limited staff (e.g., less than 10 staff), a worker or supervisor may perform more than one function for a particular batch of payments so long as the functions performed are not consecutive in the payment process.

e.   All payments, including unidentified payments, must be processed, and posted to the front-end system or State system in a timely manner so that the State meets the two day timeframe for distribution and disbursement of payments.

f.   All receipts, including checks, money orders, and cash must, within 24 hours of completion of the payment process, be deposited in the appropriate depository.

F-8   OBJECTIVE- Optional: Electronic Disbursement

State Systems Requirements

a.   States are encouraged to disburse child support payments through electronic disbursement such as Direct Deposit and/or Debit Cards (i.e., Stored Value Cards, EBT).

G.   REPORTING

G-1   OBJECTIVE: The system must maintain information required to prepare Federal reports.

Federal Statutory and Regulatory Authority
42 USC 652 (a)(5) & (10) and (g)
42 USC 654 (15), & (30)
42 USC 654A (c)(1)
42 USC 669
45 CFR 301.15(a)
45 CFR 302.15(a)
45 CFR 307.10(b)(3), (7) & (8)
OCSE Action Transmittal 03-04 (September 26 , 2003)
OCSE Action Transmittal 01-09 (June 21, 2001)

OCSE Action Transmittal 04-07 (September 30. 2004)

State System Requirements:

a. The system or the State's accounts management system must maintain and generate all information required to complete the OCSE-157 annual data report.

b. The system must maintain and generate all information required to complete the OCSE-34A collections report.

c. The system or the State's accounts management system must maintain and generate all information required to complete the OCSE-396A expenditures report.

d. The system or the State's accounts management system must maintain and generate all information necessary to complete any other reporting requirement(s) defined as necessary by OCSE in issued written instructions.

Note: The system must use revised federal data definitions and may include additional data elements. Refer to OCSE Action Transmittal 01-09 for detailed information.

This is the link to the newest information on the OCSE - 157 report:

http://www.acf.hhs.gov/programs/cse/pol/AT/2005/at-05-09.htm

G-2 OBJECTIVE: The system must provide an automated daily online report/worklist to each caseworker to assist in case management and processing**.**

Federal Statutory and/or Regulatory Authority:

45 CFR 307.10 (b)(12) & (14)

State System Requirements:

a. The system must provide online electronic operational reports at the caseworker and unit level to facilitate the day-to-day work. The system must also provide an online report/worklist to the caseworker that includes the following types of information:

1. Cases requiring review and/or action triggered by the caseworker per case aging (e.g., Federal and State program standards and timeframes) criteria,

2. Any required follow-up case reviews and/or actions triggered manually by the caseworker, or agency, or automatically by the system,

3. Case actions to be automatically acted on by the system, e.g., income withholding, Federal and State tax offset, and

4. Cases newly assigned that require caseworker review and/or action.

G-3 OBJECTIVE: The system must generate reports required to ensure and maintain the accuracy of data and to summarize accounting activities.

Federal Statutory and Regulatory Authority:

42 USC 654A (c)(2)

42 USC 658

45 CFR 307.10 (b)(2 - 4), (7) & (8)

State System Requirements:

a. The system must ensure the validity of data entered into the system and generate error/edit reports.

b. The system must:

   1. Maintain the requisite data on State performance with respect to paternity establishment, support order establishment, collections, and administrative costs necessary to calculate, for each fiscal year, the State performance level for each of the five performance measures of paternity establishment, support order establishment, current collections, arrears collections, and cost effectiveness used in the child support incentive system, and for medical support.

   2. Have in place system controls to ensure the completeness and reliability of, and ready access to the data used to compute the performance levels for the five measures in accordance with 45 CFR 305.2 and 305.32.

c. The system must, at a minimum, automatically generate reports pertaining to the following financial activities:

   1. Collections, including undistributed collections,

   2. Escrowed collectibles,

   3. Adjustments,

   4. Fees collected,

   5. Future and arrearage payments,

   6. Interstate collections,

   7. Checks and check registers,

   8. Summary of distribution of child support,

   9. Summary of receipts by collecting agency, and

   10. Interest collected.

G-4 OBJECTIVE: The system must provide management reports for monitoring and evaluating both employee, office/unit and program performance.

Federal Statutory and/or Regulatory Authority:

45 CFR 307.10 (b)(12)

State System Requirements:

a. The system must have online electronic workload management reports that provide information to an employee, office/unit manager, and at the program level on:

   1. Backlog identification,

   2. Workload allocation, and

   3. Caseload tracking and aging.

b. The system must have online electronic employee and office/unit performance reports that provide information on:
   1. Caseload statistics (e.g., age of cases, breakdown by category including interstate, and status),
   2. Collections,
   3. Paternity,
   4. Support obligations,
   5. Cases for which orders could not be established or enforced (indicating the numbers and reasons for failures),
   6. Medical support/health insurance, and
   7. Employee activity and accomplishments.
c. The system must have a reporting capability to provide management the flexibility to obtain information on an as-needed basis and to satisfy new information needs.

G-5 OBJECTIVE: The system must support the expeditious review and analysis of all data that is maintained, generated, and reported by the system.

Federal Statutory and/or Regulatory Authority:
45 CFR 307.10(b)(15)

State System Requirements:
a. To minimize the amount of time Federal auditors must spend on-site at State offices conducting Federal audits, the State must provide Federal auditors with dial-up "read-only" access to program, financial, statistical and other data in the State system.
b. The system must maintain an automated case history of all case processing activities to enable the IV-D agency to monitor State operations and enable Federal auditors to assess program performance, including a State's ability to meet program standards. This capability must allow for the retention and review of all case actions and activities that occur in or are processed by the system.
c. The system must generate an automated case history for each case that includes all actions taken, the dates of actions, and, if appropriate, the results of these actions.
d. The system must maintain a complete and accurate case history file online. However, after one year, the State may move historical information offline, as long as it is maintained in an easily accessible, automated manner for program and audit purposes.

H.   SECURITY AND PRIVACY

H-1 OBJECTIVE: The State must have policies and procedures to evaluate the system for risk on a periodic basis.

Federal Statutory and/or Regulatory Authority:

45 CFR 95.621 (f)(2)(iii)

State System Requirements:

a.   Responsibility for conducting periodic risk analysis must be formally assigned.

b.   The risk analysis must measure the system's vulnerability to fraud or theft, loss of data, physical destruction, unauthorized access, intrusion, and harm to agency activities.

c.   A specific timetable for conducting a risk analysis must be established. The plan must ensure that special evaluations are performed whenever a significant change to the system's physical security, hardware, or operating system software occurs.

H-2   OBJECTIVE: The system must be protected against unauthorized access to computer resources and data in order to reduce erroneous or fraudulent activities and protect the privacy rights of individuals against unauthorized disclosure of confidential information.

Federal Statutory and Regulatory Authority:

42 USC 654 (26)

42 USC 654A (d)

45 CFR 307.11(b)(11)

45 CFR 307.13(a)&(b)

State System Requirements:

a.   The State must have written procedures regarding the safeguarding of data which addresses integrity, completeness, accuracy, use of and access to data in the system. The procedures must include policies regarding agency personnel access to data in the system, sharing of data with other persons, limiting the use of and access to data to the extent necessary to administer the IV-D program and programs under Title IV-A and XIX of the Act, and specify the data that may be used for specific program purposes and other authorized purposes and the personnel and other authorized persons who may have access to such data. With the exception of disclosing National Directory to New Hire or Federal Case Registry information to Title IV-A, the system must limit disclosure of NDNH, FRC, IRS information or financial institution data match information, outside the IV-D program to information that has been independently verified.

b.   System, terminal, and password identifications must be controlled, randomly selected, and must uniquely identify the system user.

c.   Password security must extend to the functional screen level and limit the user's capability to view and/or update those screens.

d.   The system must automatically require the system user to change passwords periodically.

e.   The system must provide security levels for access to records and files and utilize automatic sign-off techniques.

f. Procedures for system and terminal user identification assignment, maintenance, and cancellation must be in place and include:

    1. Delegation and maintenance of the password system limited to a select number of people, and

    2. A mechanism to quickly notify those responsible when there are personnel changes.

g. The system must detect, record, and lock out unauthorized attempts to gain access to system software and data.

h. Access to sensitive documents or forms generated by the system must be restricted.

i. IRS data acquired by the system must be protected from unauthorized inquiries and must be kept in a separate data file if necessary to ensure its security.

j. For security purposes, the system must be capable of maintaining information on all changes to critical records and/or data fields (e.g., Arrearage Balance, Monthly Court-Ordered Support Amounts, SSN, Name, Family Violence Indicator, etc.), including identification of the responsible system user/caseworker and date/time of the change.

k. The system must be capable of routinely monitoring the access to use of the automated system.

l. The system document generation function must automatically prevent disclosure of personally identifiable information on persons designated as subject to family violence.

Other: Training materials on the Family Violence Indicator is available at this link**:** http://www.acf.hhs.gov/programs/cse/newhire/library/training/training.htm

H-3 OBJECTIVE: The State must have procedures in place for the retrieval, maintenance, and control of the application software.

Federal Statutory and/or Regulatory Authority:

45 CFR 95.621 (f)

45 CFR 307.10(b)(11)

State System Requirements:

a. Change control procedures must be established to verify and validate changes to master files and application software.

b. Change control procedures must ensure that only authorized changes are made to the application software and that these changes are fully tested, approved, and migrated into production in a controlled manner, and documented to provide an audit trail of all system maintenance.

c. Application software development must also include recovery and restart capabilities for events such as operator errors, data errors and/or hardware/software failures.

d. All testing of programs must be accomplished using test data as opposed to "live (production) data."

Note: *The use of "live (production) data" in a test environment is acceptable, and encouraged.*

e. An audit trail of all operating system actions must be maintained either on the automatic console log or on the computer system's job accounting file.

f. The system must provide complete and accurate internal audit trails of all financial management activities, e.g., billing, receipting and distribution, and support order changes.

g. Access to system utility programs must be limited to necessary individuals with specific designation.

H-4 OBJECTIVE: The State must have procedures in place for the retrieval, maintenance, and control of program data.

Federal Statutory and Regulatory Authority:

42 USC 654A (d)

45 CFR 307.10 (b)(11)

State System Requirements:

a. All changes to master files must be authorized and initiated by persons independent of the data processing function.

b. Override capability or bypassing of data validation on editing problems must be restricted to supervisory personnel.

c. All system-generated overrides must be automatically logged by the application so that actions can be analyzed for appropriateness and correctness.

d. The system must generate record counts to validate the completeness of data processed.

e. All rejected data must be automatically written to a suspense file and a record count made.

H-5 OBJECTIVE: The system hardware, software, documentation, and communications must be protected and backups must be available.

Federal Statutory and Regulatory Authority:

42 USC 654A (d)

45 CFR 307.10(b)(11)

State System Requirements:

a. The State must have an approved disaster recovery plan which provides detailed actions to be taken in the event of a natural disaster (fire, water damage, etc.) or a disaster resulting from negligence, sabotage, mob action, etc. The disaster recovery plan should at a minimum include:

1. Documentation of approved backup arrangements,

2. Formal agreement of all parties,

3. An established processing priority system,

4. Arrangements for use of a backup facility, and

5. Periodic testing of the backup procedures/facility.

b. The State must maintain a listing of retention periods for all application and operating system files and program versions.

c. At a minimum the State must retain, in a form retrievable through automated system recovery and restore procedures, a 3-year automated history of the database off-site.

d. The system must have, or be supported by, an automated recovery and restore capability in case of system malfunction or failure.

e. The State must conduct routine, periodic backups of all child support system data files, application programs, and documentation.

f. The State must store duplicate sets of files, programs, documentation, etc., off-site in secure waterproof and fireproof facilities.

H-6 OBJECTIVE: The system must be capable of processing date/time data.

Federal Statutory and/or Regulatory Authority:

45 CFR 307.15 (b)(10)

State System Requirements:

a. All information technology hardware, software, and firmware product utilized by the Statewide automated child support enforcement system shall be able to accurately process date/time data, including, but not limited to, leap year calculations to the extent that other information technology, used in combination with the information technology being acquired, properly exchanges date/time data with it.

I. CUSTOMER SERVICE

STATE SYSTEMS REQUIREMENTS

I-1. OBJECTIVE- Optional: The States are encouraged, but not required, to utilize the Statewide CSE system to provide services and information to customers.

A report on effective customer service for Child Support was prepared for the Office of Child Support Enforcement, Administration for Children and Families, and the Office of the Assistant Secretary for Planning and Evaluation of the U.S. Department of Health and Human Services, Washington, DC, under Contract No. 105-00-8301, Task Order No.11, with the American Bar Association Center on Children and the Law and Circle Solutions, Inc. The document highlights the importance of utilizing technology to provide customer service. This is the hyperlink:
http://www.acf.hhs.gov/programs/cse/pubs/reports/customer_service_report.html

a. The system should support **Telephone Voice Response Units (VRU)** – For security purposes, most States extract the necessary data elements from their Statewide system on a nightly basis and the VRU accesses that extract rather than provide direct access to the Statewide CSE system.

The HHS Office of Inspector General in its report, "Statewide Child Support Enforcement Automated Telephone Systems," (OEI-06-00-00460) September 2002, developed a list of 11 model system traits in 3 general categories of system content, accessibility and usability. They are:

a. Content
1. Provides payment information,
2. Provides comprehensive program information,
b. Accessibility
1. Accessible on first attempt,
2. Operates 24 hours, 7 days a week,
3. Provides toll-free access,
c. Usability
1. Overall usefulness,
2. Directly transfers to a live representative,
3. Allows repeat callers to skip ahead,
4. Allows system to repeat menus,
5. Avoids problematic jargon,
6. Instructs callers on system use,
d. States operating VRU's have recommended the following additional features:

1. Developing a secure methodology to issuing Personal Identification Numbers to clients to protect access to the client information,
2. Collect statistical data to determine utilization of VRU and provide an opportunity for clients to comment on how it could be enhanced or improved.

This is the hyperlink to the website for the HHS Office of Inspector General. To access the PDF file on the OIG report on Statewide CSE Automated Telephone Service September 2002, enter this number -OEI 06-00-00460 in the Search field.
http://oig.hhs.gov/

I-2. **OBJECTIVE- Optional:** The system should support State Child Support Customer Service websites   In 2002, OCSE developed a training curriculum for developing a customer service website. Over 60 State staff from 43 States and territories were trained in three training sessions in 2002. The training included best practices for customer service websites from CO, IA, MA, NC, NM, PA, TX and WA. The PowerPoint slides used in this presentation are available upon request.

http://www.acf.hhs.gov/programs/cse/stsys/dsts_auto_wbcs.html

This link provides information related to web-based customer service including State website security, contact information for State and federal personnel working on customer service on the web. The resource material icludes information from Colorado who conducted an assessment of client needs (CP, NCP, employers, out-of-State caseworkers and the general public), before designing and developing its website. The results of this needs assessment may be useful to other States who are developing web-based customer service sites. The Colorado needs assessment is at:

http://www.acf.hhs.gov/programs/cse/stsys/dsts_auto_wbcs.html

I-3. **OBJECTIVE- Optional: The system should support interstate caseworker web services**

Query Interstate Cases for Kids (QUICK), a web-based child support enforcement application, was developed by OCSE and State partners to help States share their interstate child support case data quickly. QUICK allows caseworkers to access and view each other's case information in real-time through a standard and secure user interface. The QUICK workgroup recommended data elements and definitions for data made available during the initial pilot phase, which consisted of financial and basic case information. After the pilot, OCSE and States began expanding QUICK data elements and definitions to include case activities that convey actions taken on a case.

State System Requirements for QUICK

In order to participate in QUICK, States must agree to the requirements listed below.

a. During project startup and implementation, all States are responsible for meeting the following requirements:
  1. Providing the equipment necessary to support the State's design,
  2. Providing the technical resources necessary to plan, develop and implement QUICK,
  3. Providing ongoing technical support and maintenance of the State's hardware and software,
  4. Maintaining a secure interface with the OCSE web server,
  5. Providing as much data as possible upon request, a minimum of one year's data is preferable,
  6. Maintaining an audit trail of user IDs and case IDs,

b. During ongoing operations, all States are responsible for meeting the following requirements:
  1. Assigning a technical point of contact to resolve any transmission or other condition that would cause data not to be displayed in real-time mode,
  2. Enabling communications with the OCSE web server that receives and routes requests for data/information from other States' cases,
  3. Providing adequate security. At a minimum apply the same standards, procedures, and protocols used for other types of requests for information to all QUICK requests, so as to prevent fraudulent or other unauthorized access. Thoroughly and promptly investigate suspected abuse or misuse of requests and/or data received,

c. When the participating State is a requesting State, i.e., asking to view data from another CSE system, it is responsible for:
  1. Authorizing and authenticating any user requesting to view data from another CSE system.
  2. Ensuring that all requests for access to data from another CSE system should include your case ID as well as the other State's case ID
  3. Treating any data/information from another State as confidential and safeguarding those data as it would data in its own system.

d. When the participating State is a responding State, i.e., providing real-time data to another State, it is responsible for:
  1. Making as many of the data elements as possible available for viewing by participating States.
  2. Authorizing and authenticating the users allowed to view data from another State.

e. OCSE is responsible for:
    1. Accepting and processing a request for information from a participating State and forwarding the request to the other participating State.
    2. Accepting and processing information received from a participating State and forwarding it to the participating State that initiated the request,
    3. Maintaining and publishing a current list of States participating in QUICK, so that States will be aware of all potential sources of data/information, and
    4. Maintaining audit data for all requests and responses.

For general information on QUICK, visit the OCSE website at:
http://www.acf.hhs.gov/programs/cse/newhire/quick/quick.htm

If you have any questions, please contact the QUICK End User Support team or the Service Desk at 1-800-258-2736. A listing of the technical representatives on the support team may be found on the OCSE website at:
http://www.acf.hhs.gov/programs/cse/newhire/csenet/contacts/csenet_contacts.htm

Several States have designed their web-based customer service sites to permit caseworkers from other States to access child support payment and recent case event information about interstate cases. The following are hyperlinks to information about these State programs:

Colorado: Information/instructions for obtaining a password is
http://www.acf.hhs.gov/programs/cse/pubs/state/co/colorado_website_instructions.doc

This is link to the Colorado website:
http://www.childsupport.State.co.us

Oregon: Information/instructions is:

http://www.acf.hhs.gov/programs/cse/pubs/state/or/oregon_website.doc

You may use this website without password or prior approval by the State of Oregon. You must, however, know the Social Security Number and date of birth of the case participant you are inquiring on. This is link to Oregon website:
www.dcs.State.or.us.

Texas: The link to the Texas website, once you have received a password, is:
http://childsupport.oag.State.tx.us/

The Employer Symposium held in August 2005 contained a number of recommendations to States related to improving their services to employers as a major CSE customer:
http://www.acf.hhs.gov/programs/cse/pol/DCL/2006/dcl-06-02.htm

Several States have dedicated portions of their CSE websites to the specific needs of employers.

The OCSE website maintains a listing of the State Child Support websites and a summary of the interactive features:

Please help us keep this matrix up to date by following the instructions for updating your State's profile.

I-4. OBJECTIVE- Optional: The system shouldl support Child Support websites with the Employer community as the customer.

a. The system shall permit employers to submit information on New Hire Reporting via the web.
b. The system shall permit employers to submit information on National Medical support notice via an interactive web application.
c. The State system shall provide information to employers related to EFT/EDI to assist them in submitting wage withholdings through EFT/EDI (Certification objective F-3 (a)).
d. The State system shall provide a means for small employers and independent contractors to authorize debt of their bank accounts for child support wage withholding.
e. The State system shall provide a means for employers to update their demographic information via the website.
f. The State systems website should include an electronic version of an Employer Desk Guide for child support enforcement.
g. The State system website should include an electronic means for employers to notify the State CSE agency of termination of employment for former employers that had been subject to wage withholding.

The OCSE website has employer-friendly tips for State websites. The link is at:
http://www.acf.hhs.gov/programs/cse/newhire/employer/States/esonline.htm

Iowa – Epics:
http://epics.dhs.State.ia.us

New Mexico:
https://elink.hsd.State.nm.us/elink/

I-5. OBJECTIVE- Optional: The system should support the State Customer Service call center. Staff should have appropriate secure access to key data on the system to respond to frequently asked questions from CP, NCP, employers, public and other State agencies. Some States provide an extract of key data from either their Statewide CSE system or their State data warehouse.

It is recommended that States track the number and type of questions to their call center and develop hot keys to quickly access information on the most frequently asked questions.