# AUTOMATED SYSTEMS FOR

# CHILD SUPPORT ENFORCEMENT:

# A GUIDE FOR STATES

**UPDATED 2017**



**U. S. DEPARTMENT OF HEALTH & HUMAN SERVICES**

Administration for Children and Families

Office of Child Support Enforcement

Division of State and Tribal Systems

# *Preface*

The federal Office of Child Support Enforcement (OCSE) developed this Child Support Enforcement Systems Guide to support states in the development of comprehensive, statewide automated child support systems.  OCSE has updated this Guide to reflect changes in federal law, regulations, and policy since the last update to the Guide in 2009.

OCSE welcomes comments and suggestions from those using this Guide.  Comments may be sent to:

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# Chapter I:  Introduction

## A.  BACKGROUND AND OBJECTIVES

The Department of Health and Human Services (HHS), 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.

State and local agencies in large part carry out the child support program.  The federal Office of Child Support Enforcement (OCSE) 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.

Since 1981, OCSE has supported the development of automated information systems for child support programs by providing enhanced federal financial participation (FFP) (up to 90 percent). This support provides states with the financial resources to develop and acquire cost effective automated systems that meet the requirements of law.  Despite the availability of FFP, state development and implementation of compliant child support systems was slow.

To stimulate development, Congress passed the Family Support Act of 1988 (FSA 88 Public Law (P.L.) 100-485), enacted October 13, 1988, mandating the implementation of automated child support systems in every state; requiring that such systems be fully operational not later than October 1, 1995; and rescinding enhanced FFP for child support system development and equipment costs effective September 30, 1995.  P.L. 104-35 (enacted October 12, 1995) extended the deadline for implementing the automation requirements of FSA 88 to October 1, 1997.  This statute did not extend the availability of FFP.

The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA P.L. 104-193), 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 child support system that meets FSA 88 requirements. PRWORA also provided FFP at an enhanced rate of 80 percent (capped at $400 million federal share) for system development and implementation costs related to the Automated Data Processing (ADP) requirements of FSA 88 as well as the system requirements specified in PRWORA.

This Guide addresses the requirements associated with federal certification of comprehensive, automated, statewide child support 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 the child support systems must execute in statewide processing;

- Ensure these functions are being performed effectively and efficiently to assure accurate and uniform application of policy; and

- Ensure 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 HHS/OCSE is the Social Security Act. Included under OCSE's scope of review authority is Title IV-D, Child Support Enforcement.

Public Law 96-265 provided for enhanced FFP in the establishment and implementation of comprehensive, automated, statewide management information systems supporting the child support program.  The Child Support Enforcement Amendments of 1984 (P.L. 98-378) extended enhanced federal funding for income withholding activities and hardware to states.

Authority for the requirements described in this document is codified in the Social Security Act, Sections 451-469B.  In addition, specific parts of the Code of Federal Regulations (CFR) apply, in particular:

45 CFR Part 75, Subpart D:  Establishes retention requirements and access rights for programmatic, financial, statistical, and other types of records pertinent to grants.  This subpart also sets requirements for contracting that 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, including the child support program under Title IV-D.

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 OCSE) data processing equipment and services under an approved state plan; sets forth the approval and reporting processes of the Advanced Planning Document (APD) and updates; provides an exemption to the capitalization and depreciation provisions of Subpart G for ADP equipment; requires access by OCSE 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 Parts 300 to 305:  Sets forth operational procedures, reporting requirements, incentive payments process and 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 child support systems.  This includes the programmatic conditions and functional requirements required for states to qualify for funding of systems acquisitions.  This part also sets forth OCSE's oversight responsibilities.

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

- Action Transmittals (AT), Policy Interpretation Questions (PIQ), and Dear Colleague Letters (DCL) issued by OCSE that apply to the child support program;
- HHS's State Systems APD Guide; and
- OCSE's Feasibility, Alternatives and Cost-Benefit Analysis Guide

# C.  USING THIS GUIDE

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

The Guide is organized into two parts, which encompass general requirements and ten functional areas with their related system requirements.  The functional objectives are:

Objective A – Case Initiation
Objective B – Locate
Objective C – Establishment
Objective D – Case Management
Objective E – Enforcement
Objective F – Financial Management
Objective G – Reporting
Objective H – Security and Privacy
Objective I – Customer Service
Objective J – New Technologies

# Chapter II:   General Requirements

## A.   DEFINITIONS

In order to be certified, a state's automated child support 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 child support regulations and guidelines.  Additionally, a comprehensive system electronically interfaces with other agencies' and organizations' systems - federal, state, tribal, international, and private - to improve program management and operations.

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

To be considered an *operational* system by OCSE:

- The system must contain, with respect to each open case in the child support 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).

- 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 requirements, 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.  The child support cases closed prior to or during conversion should be retained in a form 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 OCSE:

- 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 *integrated* system by OCSE, certain principles apply:

- The system represents the sole system effort for administration of the child support program within the state.

- The child support agency, through the statewide, comprehensive system, has the ability to control, account for, and monitor all factors in support collection, paternity/parentage determination, enforcement, and case management processes.

- The child support agency will control, account for, and monitor all software development and maintenance efforts for the system, even if the system is developed or maintained by the state's IT organization or other agency.

- There is no duplicative application software; that is, the same functions are not performed by different software modules or components.

- There is no duplicative data entry. Common data elements contained in more than one module or component are only entered once and updates to common data elements are automatically made in all components. For example, an address change made in the locate module must automatically update all common addresses maintained throughout the system.

- Any information derived from the base data should be consistent between application modules, components, and functions. For example, if age is derived from birthdate, this derivation should be consistent throughout the system.

- There is a common data model. A single data model and database support management system is used by all components of the system.

- Every data element has a common definition throughout the system. For example, address information should have common, consistent definitions throughout. Additional information on tools and options for standardization of data elements can be found in Section J of Chapter III of this document.

- The system must allow definition of shared business rules that are applied consistently throughout the system.

- The system should employ consistent, easily understandable headings, labels, and mnemonics on screens and reports.

- All components should use consistent navigation features to increase operator efficiency.  For example, if one component uses menu bars and shortcut icons, all components should use similar menu bars and shortcut icons.

- There must be a single authentication.  Components cannot employ multiple requests for a user id and password combination.  Once a session has been authorized, this authorization should remain in effect regardless of the component used.

- User IDs and security profiles should be administered from a single point and apply across the entire application.  For example, adding a new user should be performed only once, not once per component.

# 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 – This must be a recorded history, in chronological order, of all activities pertaining to a case.  All transactions entered into the system are automatically recorded in the case history file with date and time and an identifier of the caseworker making the change.

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. Caseworker Edits - The system must not accept caseworker edits to system initiated actions and the state must establish time limits for editing records of manually initiated actions.

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

6. System Modification - The system must be programmed in a manner that provides for modification with a minimal amount of effort.

7. Minimum Data Elements - Minimum 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.

8. The OCSE Data Standards Registry (DSR) – A database file is available for researching recommended data element definitions and transaction formats.  The DSR is operational and includes over 3,000 principle data elements.  The DSR

contains data elements that are exchanged among child support partners, and includes their definition, name, and other defining attributes.  A copy of the DSR is available from OCSE upon request.

9. Intergovernmental Case – This is a IV-D case in which the noncustodial parent lives or works in a different jurisdiction than the custodial parent and child(ren) that has been referred by an initiating agency to a responding agency for services.  An intergovernmental IV-D case may include any combination of referrals between states, tribes, and foreign countries and may include cases in which a state agency is seeking only to collect support arrearages, whether owed to the family or assigned to the state.  All system requirements related to intergovernmental cases are included within each functional area of this Guide and in Section D-7.

10. Hague Child Support Convention – This is the 2007 Convention on the International Recovery of Child Support and other Forms of Family Maintenance.

# Chapter III:   Child Support Enforcement 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:**
Section 454(6)(B) of the Social Security Act (Act)
Section 454A(e) of the Act
45 CFR 302.33(a)(1)(i)
45 CFR 303.2
45 CFR 307.10(b)(14)

**State System Requirements:**
a.     Upon receipt of an application for child support services, the system must maintain:
  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 were sent to the applicant, and
  3.   The date the signed application and fee were received.

*Note:   The date a child support application is requested and the date the application and program information are 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.*

*Note:   If state law permits, electronic signatures may be used for application for child support services.  The state needs to determine if electronic signatures are appropriate and assess the possibility of false applications, the risk of data breaches, and the capacity of the system to handle large volumes of electronic applications.  If permitted, the state should publish procedural guidelines for the use of electronic signatures.*

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/parentage establishment),
  3.   Notify the caseworker of the case and
  4.   Submit the case to the Federal Case Registry (FCR).

**Guidance Document:**

PIQ-09-02, Use of Electronic Signatures on Applications for IV-D Services

This PIQ responds to a question regarding the use of electronic signature on applications for IV-D services.

**http://www.acf.hhs.gov/programs/css/resource/use-of-electronic-signatures-on-applications-for-iv-d-services**

**A-2** **OBJECTIVE:** The system must automatically accept and process referrals from the state's Title IV-A Temporary Assistance for Needy Families (TANF) agency.

**Federal Statutory and Regulatory Authority:**

Section 454A(e) of the Act

45 CFR 235.70

45 CFR 303.2

45 CFR 307.10(b)(9) and (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 Financial Accounting Management Information System certified, an automated interface with the child support 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.    Minimum Data Elements:  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, or as early as October 1, 2008 at state option, Section 408(a)(3) of the Act is amended to limit the assignment of support rights set as a condition of eligibility for TANF to the support which accrues during the period that a family receives TANF.*

**Noncustodial 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.   Address, unless the same as the custodial parent,

3.   Date of birth,

4.   Social Security Number,

5.   Paternity/parentage established (Yes/No), and

6.   If the child is covered by either/both parent(s)' 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 and type of support ordered,

4.   Payment frequency (monthly, weekly),

5.   How payments are made: through court/State Disbursement Unit (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/parentage establishment),

3.   Notify the caseworker of the case, and

4.   Submit the case to the FCR.

**Guidance Document:**

This link provides guidance on the Federal Parent Locator Service (FPLS):
**http://www.acf.hhs.gov/programs/css/fpls**

**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:**
 Section 454A(e) of the Act
45 CFR 303.2
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 noncustodial parents to a child(ren) in the custody of the IV-E agency.

d.    Minimum Data Elements:  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.

   **Noncustodial Parent(s):**
   1.    Names,
   2.    Address,
   3.    Social Security Numbers,
   4.    Dates of birth,
   5.    Last known addresses, and
   6.    Last known employer names and addresses.

**Child(ren):**
1. Name,
2. Address,
3. Date of birth,
4. Social Security Number,
5. Paternity/parentage established (Yes/No), and
6. If the child is covered by either/both parent(s)' 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 and type 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,
3. Notify the caseworker of the case, and
4. Submit the case to the FCR.

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

**Federal Statutory and Regulatory Authority:**

Section 454A(e) of the Act

45 CFR 303.2

45 CFR 307.10(b)(13) and (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:* *If appropriate information is available from the Title XIX agency regarding the noncustodial parent, 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 appropriate 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.    Minimum Data Elements:  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.

**Noncustodial 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/parentage established (Yes/No), and
6.    If the child is covered by either/both parent(s)' 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 (e.g., locate or paternity/parentage establishment),

3.　　Notify the caseworker of the case, and

4.　　Submit the case to the FCR.

**Guidance Documents:**

IM-14-01, Medicaid Referrals to the IV-D Agency -- Policy on Medicaid referrals resulting from an application for medical insurance via the Healthcare Marketplace
**http://www.acf.hhs.gov/css/resource/medicaid-referrals-to-the-iv-d-agency**

This link is to the Child Support Enforcement Network (CSENet) Interface Guidance Document, which provides data elements and recommended data transmission formats via CSENet.
**http://www.acf.hhs.gov/programs/css/resource/csenet-interface-guidance-document**

**A-5　OBJECTIVE:** If the state elects to provide for paternity only limited services for non-IV-A cases in an intrastate case, the system must accept, maintain, and process information.

**Federal Statutory and Regulatory Authority:**

Section 454(13) of the Act

Section 454(6)(B) of the Act

Section 454A(e) of the Act

45 CFR 302.33(a)(1)(i) and (6)

45 CFR 303.2(a)(2), (3) and 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 paternity services, fees, rights and responsibilities was sent to the applicant, and

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

*Note:*  *The date a child support application is requested and the date the application and program information are 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.*

*Note:*  *If state law permits, electronic signatures may be used for application for paternity only limited IV-D services. The state needs to determine if electronic signatures are appropriate and assess the possibility of false applications, the risk of data breaches, and the capacity of the system to handle large volumes of electronic applications. If permitted, the state should publish procedural guidelines for the use of electronic signatures.*

b.     Within 20 calendar days of receipt of a signed application for paternity only limited 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/parentage),

      3.     Notify the caseworker of the case, and

      4.     Submit the case to the FCR.

**A-6**  **OBJECTIVE:**  The system must use case identifiers and uniquely identify and edit various case types.

**Federal Statutory and Regulatory Authority:**

Section 454A(f)(1) of the Act

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 noncustodial parents and obligations.

b.     At a minimum, the system must use and include, or accept the IV-D case identifier when:

      1.     Sending case or person transactions to the FCR,

      2.     Sending a transaction to another jurisdiction through CSENet,

      3.     Sending an Electronic Funds Transfer/Electronic Data Interchange (EFT/EDI) transaction to another jurisdiction,

4.    Generating documents to other state or tribal IV-D agencies, or to foreign countries,

5.    Receiving information from the FCR,

6.    Receiving a transaction through CSENet,

7.    Receiving an EFT/EDI transaction from another jurisdiction, and

8.    Receiving an EFT/EDI transaction from an employer.

*Note:*   *The impact of state IV-D program cooperation with tribal IV-D programs and distribution by states of collections sent to or received from tribal IV-D programs will depend on each state's automated system. Federal funding is available for 66 percent of all appropriate and allowable costs associated with any needed programming changes to state automated systems.*

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 a referral made for IV-D services,

2.    Foster Care IV-D case: Child(ren) are entitled to IV-E foster care and referral was 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, including Medicaid Only cases,

5.    Medicaid Only IV-D case: Case involving Title XIX recipients who are not IV-A or IV-E 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 in which the Hague Child Support Convention is in force with respect to the U.S. (a Foreign Treaty Country or FTC) that has entered into an agreement under section 459A of the Social Security Act with the U.S. (a Foreign Reciprocating Country or FRC), a foreign country with which the state has entered a reciprocal arrangement. 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 cases on the statewide child support system, but obtains this information through a linkage of local registries of support orders which interfaces with the state child support systems.*

    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).

**A-7  OBJECTIVE:** The system must establish an automated case record for each application/referral.

**Federal Statutory and Regulatory Authority:**

45 CFR 302.15(a)

45 CFR 303.2(c)

45 CFR 307.10(b)(1), (4) and (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-8  OBJECTIVE:** The system must accept and maintain identifying information on all case participants.

**Federal Statutory and 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 including at a minimum:

**Noncustodial Parent:**

1.    Name (including aliases and maiden name),

2.    Gender,

3.    Social Security Number,

4.    Home address,

5.    Mailing address,

6.    Date of birth,

7.    Place of birth (city, state/country, and/or reservation address indicator),

8.    Employer information [(name, address, federal employer identification number (FEIN)],

9.    Third party medical insurance information,

10.   Father's name,

11.   Mother's name,

12.   IV-D participant number,

13.   Military service information, and

14.   Information on receipt of federal benefits.

**Custodial Parent**

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, FEIN), and

9.    Third party medical insurance information.

**Children**

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/parentage information, and

9.    Third party medical insurance information.


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

*Note:  If state law recognizes multiple (more than two) parents for a child, the system must maintain data for all parties involved with the case.*

It is recommended that state systems maintain more than one Social Security Number (SSN) data field including the Social Security Administration's verification codes.

**Guidance Documents:**

DCL-11-04, Standard Verification of Employment Response Form -- The information contained in this document includes the latest version of the voluntary Standard Verification of Employment response form and a list of states agreeing to accept it.
**http://www.acf.hhs.gov/programs/css/resource/standard-verification-of-employment-response-form**

DCL-14-19, Discontinuing Manual Review of SSNs -- Announces discontinuation of the Requires Manual Review (RMR) process
**http://www.acf.hhs.gov/css/resource/discontinuing-manual-review-of-ssns**

**A-9**   **OBJECTIVE:**  The system must accept information for non-IV-D orders.

**Federal Statutory and Regulatory Authority:**
Section 454A(e) of the Act
45 CFR 303.21
45 CFR 307.11(e) and (f)
45 CFR 307.13

**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 (SCR) for transmission to the FCR:

1.    Information on the custodial parent, noncustodial parent and child participant including (name, Social Security Number, date of birth, gender (optional), participant ID),

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

3.    Additional data elements include state locator codes, state case identification number, other uniform identification number, issuing state of order, Case Type (i.e., non-IV-D), and Participant Type (custodial parent, noncustodial parent, 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 SCR.

*Note:    The SCR may be comprised of IV-D cases in the statewide automated child support system and an automated information linkage to the non-IV-D orders in the SDU, local courts, or other entities.*

**Guidance Documents:**

PIQ-10-01, Federal Financial Participation and Non-IV-D Activities -- Responds to questions regarding non-IV-D activities that qualify or do not qualify for FFP.
**http://www.acf.hhs.gov/css/resource/federal-financial-participation-and-non-iv-d-activities**

Information and guidance on family violence can be found on the OCSE web site at:
**http://www.acf.hhs.gov/programs/css/family-violence**

**A-10 OBJECTIVE:**  The system must automatically interface with the FCR.

**Federal Statutory and Regulatory Authority:**
Section 454A(f) of the Act
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), including 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., acknowledgments, rejections, SSN verification, errors, and warnings). Processing FCR administrative information includes:
  1.    Providing system related warnings and rejections to a system administrator or other technical staff so they can be evaluated and any appropriate action taken, and
  2.    Providing errors, 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 add cases and participants.
  **Case:**
  1.    State case identification number,
  2.    Case type (IV-D, non-IV-D),
  3.    Order indicator, and
  4.    Locator Code (formerly "FIPS").

**Participant:**

1.  Participant type,
2.  Member identification number,
3.  Family violence indicator,
4.  Name,
5.  Gender (optional),
6.  Social Security Number, and
7.  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 sent to or received from the FCR.

**Guidance Documents:**

AT-98-29, Policy Questions and Answers regarding the Multistate Provisions of the Financial Institution Data Match under Title IV-D of the Social Security Act

**http://www.acf.hhs.gov/programs/css/resource/multistate-provisions-of-the-financial-institution-data-match**

AT-99-09, Policy Questions and Responses Regarding Requests for Information from the Federal Parent Locator Service under Title IV-D of the Social Security Act

**http://www.acf.hhs.gov/programs/css/resource/policy-questions-and-responses-information-fpls**

DCL-00-27, State Best Practices -- The Guide describes the innovations and procedures that states have developed to take advantage of tools in child support, especially those provided by the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA).

**http://www.acf.hhs.gov/programs/css/resource/state-best-practices-fpls-tips-2000**

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

**http://www.acf.hhs.gov/programs/css/resource/federal-case-registry-interface-guidance-document**

## 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 noncustodial/putative parent or custodial parent.

**Federal Statutory and Regulatory Authority:**

Section 454(8) and (9)(B) of the Act

Section 454A(e) and (f) of the Act

45 CFR 303.2

45 CFR 303.3(b)(1) and (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, interstate, and intrastate sources, when appropriate; e.g., feasible and cost-effective for obtaining and verifying case information.  Interfaces should include, but not be limited to, the following sources:

1.  Federal Parent Locator Service (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.  Supplemental Nutrition Assistance Program
16.  State Directory of New Hires,
17.  State Disbursement Unit,
18.  Public Utilities,
19.  Financial Institutions,
20.  State Licensing Agencies,
21.  State agencies with jurisdiction over real and personal property, and
22.  Electronic communications and internet service providers.

*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 NDNH.

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.

f.     Optional: Even if the state has an automated interface, there is benefit to being able to also submit a manual locate request to several sources.

g.     Optional: The state may choose to use the services of a verification of employment company or consumer credit reporting agency to verify locate, asset and other information on the noncustodial or custodial parent.

**Guidance Documents:**

DCL-16-01, Guidance about Third Party Verification of Employment Providers.
**http://www.acf.hhs.gov/css/resource/guidance-about-third-party-verification-of-employment-providers**

For New Hire – This link provides information on the Guide for Data Submission from State New Hire Directories to the National Directory of New Hires.
**http://www.acf.hhs.gov/programs/css/resource/a-guide-to-the-national-directory-of-new-hires**

h.    Optional:  It is recommended that the system interface with the OCSE Child Support Portal (Portal).  The Portal provides various functionality, including:

1.    QUICK - web-based access for authorized state users to the Query Interstate Cases of Kids (QUICK) application

2.    Locates – information on IV-D and other participants from the National Directory of New Hires and the FPLS external locate sources to include SSA, VA, IRS, FBI, and DOD.

3.    Department of Defense Entitlements – military information to include base salary, allotments, and bonuses.

4.    Debt Inquiry – information on noncustodial parent's eligibility for payout of bonuses or lump sums from employers or insurers.

5.    Federal Collection and Enforcement – information used by federal offset and passport denial programs.

6.    Employer Search – name or FEIN search of employers participating in e-IWO.

For additional information on the Child Support Portal, visit the following links:**http://www.acf.hhs.gov/programs/css/fpls/child-support-portal**

Portal at a Glance:
**http://www.acf.hhs.gov/programs/css/resource/state-services-portal-at-a-glance**

**Guidance Documents:**

PIQ-10-01, Federal Financial Participation and Non-IV-D Activities -- Responds to questions regarding non-IV-D activities that qualify or do not qualify for FFP.
**http://www.acf.hhs.gov/programs/css/resource/federal-financial-participation-and-non-iv-d-activities**

IM-12-02, Requests for Locate Services, Referrals, and Electronic Interface -- Provides information regarding the child support agency's authority to share case information with child welfare.
**http://www.acf.hhs.gov/programs/css/resource/requests-for-locate-services-referrals-and-electronic-interface**

DCL-12-07, FPLS State Services Portal -- Announces the addition of applications to the FPLS Child Support Portal to provide web-based access to QUICK.
**http://www.acf.hhs.gov/programs/css/resource/fpls-state-services-portal**

DCL-13-27, Annual Wage Record (AWR) Sweep Process Discontinued -- Announces decision to terminate the annual AWR Sweep process.
**http://www.acf.hhs.gov/programs/css/resource/annual-wage-record-awr-sweep-process-discontinued**

DCL-16-01, Guidance about Third-Party Verification of Employment Providers -- A key provision of the new law eliminates a requirement that child support agencies notify the noncustodial parent at least 10 days prior to requesting information from a consumer reporting agency in determining the appropriate level of payments or enforcing a child support order, award, agreement, or judgment.
**http://www.acf.hhs.gov/css/resource/guidance-about-third-party-verification-of-employment-providers**

Query Interstate Cases for Kids (QUICK) including Locates, Department of Defense Entitlements, Debt Inquiry, Federal Collection and Enforcement, and Employer Search.
**http://www.acf.hhs.gov/programs/css/resource/fpls-state-services-portal**

This link provides information on the National Directory of New Hires:
**http://www.acf.hhs.gov/programs/css/fpls/location-systems**

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

**Federal Statutory and Regulatory Authority:**

Section 454(8) of the Act

45 CFR 303.3(b)(1) and (3)

45 CFR 307.10(b)(2), (4)(ii) and (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.

**Locate Tips**:

FPLS offers an option to filter locate addresses to avoid duplication.  Several states have instituted similar filters on their statewide child support system to limit caseworker alerts of duplicate address data or address data over a certain date.

Several states have found the information derived from matches with cell phone companies to be useful.

The Child Support Portal can be used to acquire important locate information.  NDNH data is available in real time.  DoD Entitlement information is only available through the portal.

This link provides a brief synopsis of applications available through the Child Support Portal:

**http://www.acf.hhs.gov/programs/css/resource/state-services-portal-at-a-glance**

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

**Federal Statutory and Regulatory Authority:**

Section 454(8) of the Act

45 CFR 303.3(b)(3-5)

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 Workforce 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.

**Guidance Document:**

PIQ-10-01, Federal Financial Participation and Non-IV-D Activities -- Responds to questions regarding non-IV-D activities that qualify or do not qualify for FFP.

**http://www.acf.hhs.gov/css/resource/federal-financial-participation-and-non-iv-d-activities**

**B-4  OBJECTIVE:** The system must automatically submit requests for locate to the FPLS.

**Federal Statutory and Regulatory Authority:**

Section 454(8)(B) of the Act

45 CFR 302.35(a)(2)

45 CFR 303.3(b)(3-5)

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

*Note:   In intergovernmental cases, the initiating state is responsible for the referral of cases for locate to the FPLS.*

**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 the FPLS in accordance with state procedures.*

b.    Submissions to the FPLS for locate must include:

1.    Name of person to be located,

2.    Person's Social Security Number (SSN), if known, and

3.    Any other information prescribed by OCSE in instructions that are issued periodically in the form of an Action Transmittal.

*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.  Demographic information, such as the individual's mother's maiden name, noncustodial parent city and state of birth, and father's first and last name, aid in the ability to identify an SSN .*

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

**Guidance Documents:**

PIQ-10-01, Federal Financial Participation and Non-IV-D Activities -- Responds to questions regarding non-IV-D activities that qualify or do not qualify for FFP. **http://www.acf.hhs.gov/css/resource/federal-financial-participation-and-non-iv-d-activities**

The FCR Technical Assistance Guide is a two-part document:
- Part One - General Processing is intended primarily for technical staff. It provides guidance on how to extract and send data from the state system to the FCR and how to receive and integrate data from the FCR into the state system.
- Part Two - Automated Solutions for FPLS Response Data is intended for child support program and business staff. It provides detailed information for making the most of data provided by the FCR and stresses the use of automated solutions to alleviate the amount of work placed on caseworkers.

Link to the FCR Technical Assistance Guide:
**http://www.acf.hhs.gov/programs/css/resource/federal-case-registry-technical-assistance-guide**

This link provides Tips, Techniques, and Technology for using FPLS data:
**http://www.acf.hhs.gov/programs/css/resource/tips-techniques-and-technology-for-using-the-fpls-data.**


# C.  ESTABLISHMENT

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

**Federal Statutory and Regulatory Authority:**
Section 454(4)(A) of the Act
Section 466(a)(5) of the Act
45 CFR 302.15(a)
45 CFR 302.31
45 CFR 302.70(a) and (5)
45 CFR 307.10(b) and (14)

**State System Requirements:**
a.   The system must initiate actions for the establishment of paternity/parentage, including administrative establishment of paternity/parentage, for all cases in which paternity/parentage has not yet been established.

*Note:*   *The IV-D agency need not attempt to establish paternity/parentage 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 interest of the child to establish paternity/parentage.*

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

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

d.   The system must initiate actions to establish paternity/parentage (i.e., initiating service-of-process), when the child is under age 18, including cases where prior actions for paternity/parentage 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/parentage cases (unless otherwise barred by state law), and

2.   At state option, in contested paternity/parentage cases, obtain a judgment for genetic testing costs from the party who denied paternity/parentage, when such paternity/parentage is later established.

g.   If the state has long-arm paternity/parentage establishment authority, 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/parentage establishment is handled outside of the IV-D agency.

i.   When a state refers a case to another state, the system must generate the intergovernmental form that includes information regarding whether a child was born to unmarried parents and whether paternity was established in the initiating state.  This information is 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 paternity/parentage status at birth, and whether paternity/parentage has been established for a child born to unmarried parents.

**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:**

Section 454(4)(A) and (12) of the Act

Section 466(f) of the Act

45 CFR 302.15

45 CFR 302.31

45 CFR 303.4

45 CFR 303.101

45 CFR 307.10(b) and (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 noncustodial parent regardless of whether paternity/parentage has been established.

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

   2.  Establish an order for support which may be based on a voluntary acknowledgment of paternity/parentage, 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/parentage 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 state compliance with the timeframes for at least a year.

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.

h.      If the court/administrative authority does not recognize a Hague Child Support Convention order, the system must trigger caseworker review to determine if establishment of a new Convention child support order is appropriate.

**Guidance Documents:**

AT-08-08, Final Rule: Child Support Enforcement Program Medical Support
**http://www.acf.hhs.gov/programs/css/resource/final-rule-child-support-enforcement-program-medical-support**

AT-10-10, State CSE Program Flexibility to Improve Interoperability with Medicaid and CHIP
**http://www.acf.hhs.gov/programs/css/resource/cse-flexibility-to-improve-interoperability-with-medicaid-chip**

AT-11-10, Notice of Changes to the OCSE-157 Form regarding Medical Support -- Revises the definition of medical support to include private health insurance as well as other publicly funded coverage.
**http://www.acf.hhs.gov/programs/css/resource/notice-of-changes-to-the-ocse-157-form-regarding-medical-support**

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

**Federal Statutory and Regulatory Authority:**
Section 454(4)(A) and (12)(A) of the Act
Section 456(a)(2) of the Act
Section 467(a) and (b) of the Act
45 CFR 302.15(a)
45 CFR 302.56
45 CFR 303.2(c)
45 CFR 303.4(b)
45 CFR 307.10(b)(4)(iv) and (14)
45 CFR 307.11(e)

**State System Requirements:**
a.      The system must maintain data documenting the factual basis for the support obligation or recommended support obligation in the case record.
b.      In establishing the order, the system must use the state's approved child support guidelines to automatically calculate the support obligation amount.

    c.    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.

*Note:  If state law recognizes multiple (more than two) parents for a child, the state must have a process to calculate guideline calculations for all parties involved in the case.*

    d.    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.    Age of emancipation,

        4.    Date adjusted (if adjusted),

        5.    Amount of order,

        6.    Payment frequency,

        7.    Arrearage (if any),

        8.    Method of payment,

        9.    Payment due date,

        10.    Issuing state, tribe, or foreign country of the order, and

        11.    Whether the support order was based on default imputed income or low-income adjustment.

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

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

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

    h.    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.

    i.    The system must generate a notice to the custodial parent and noncustodial parent of all proceedings in which support obligations might be established or modified.

**Guidance Documents:**

DCL-08-18, Unreported and Underground Income (UUI) Workgroup Update -- Includes meeting summary of suggestions from the Unreported and Underground Income workgroup.
**http://www.acf.hhs.gov/programs/css/resource/unreported-and-underground-income-uui-workgroup-meeting-summary**

DCL-09-15, Setting Appropriate Child Support Orders, a Report from the National Judicial-Child Support Task Force -- A judicial collaboration report on practical techniques for setting appropriate orders used in child support agencies and judicial systems in 14 states.
**http://www.acf.hhs.gov/programs/css/resource/setting-appropriate-child-support-orders-a-task-force-report**

AT-12-01, Turner v. Rogers Guidance -- Identifies minimum procedures that IV-D programs should consider in bringing child support civil contempt actions.
**http://www.acf.hhs.gov/programs/css/resource/turner-v-rogers-guidance**

Project to Avoid Increasing Delinquencies (PAID) -- Activities that increase the regular payments of current child support and prevent and reduce arrears.
**http://www.acf.hhs.gov/programs/css/resource-library/search?topic%5b3414%5d=3414&tag=5432&sort=recent**

**Order Establishment Tips:**

DCL-08-19, Child Support and Court/Judicial Message Exchange Data Model --
This contains the data elements that reside in the National Information Exchange Model (NIEM).
**http://www.acf.hhs.gov/programs/css/resource/creating-a-case-and-court-judicial-data-exchange**

DCL-08-01, Technical Information Tool for Judicial/Child Support Business Case Development -- Several states have developed automated interfaces to exchange data between their child support programs and their court systems.  Business case templates are included in this DCL.  These templates contain all the details that a project requires and suggests all the factors that need to be addressed before building a solution.
**http://www.acf.hhs.gov/programs/css/resource/technical-information-tool-for-judicial-child-support-business-case**

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

**Federal Statutory and Regulatory Authority:**
Section 452(f) of the Act
45 CFR 302.15(a)(2)
45 CFR 303.31
45 CFR 307.10(b)(4) and (13)

**State System Requirements:**

a.   The system must automatically identify IV-A, IV-E Foster Care, and non-IV-A Title XIX-only cases requiring medical support services to determine those cases in which the state must:

1.   Petition the court or administrative authority to include, in new or modified court or administrative orders, health care coverage that is accessible to the children, as defined by the state, and is available to the parent responsible for providing medical support and can be obtained for the children at reasonable costs,

2.   Allocate the cost of coverage between the parents,

3.   If health care coverage is not available at the time the order is entered or modified, petition the court or administrative authority to include cash medical support in new or modified support orders until such time as health care coverage that is accessible and reasonable in cost becomes available, and

4.   In appropriate cases, as defined by the state, petition the court or administrative authority to include cash medical support in addition to health care coverage.

b.   The system must automatically identify support orders, using state criteria, that do not address the health care needs of children based on:

1.   Evidence that health care coverage may be available to either parent at reasonable cost, and

2.   Facts, as defined by the state, which are sufficient to warrant modification of the support order to address the health care needs of children.

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.*

*Note:   It is recommended that the system should be able to suppress sending the National Medical Support Notice (NMSN) on military members if the state opts to use the Defense Manpower Data Center (DMDC) match instead.  Using the DMDC match, the results from the DMDC match should be coded to update medical coverage indicator, send notice to the custodial parent of eligibility, or indicate that coverage is no longer available and trigger a caseworker to investigate alternate sources for medical coverage. An NMSN should only be sent if states receive a match from DMDC indicating the child is eligible for TRICARE benefits.*

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.

**Guidance Documents:**

PIQ-04-03, Guidance Regarding Medical Support Enforcement under the IV-D Program
and Privacy Protections under the Health Insurance Portability and Accountability Act
**http://www.acf.hhs.gov/programs/css/resource/medical-support-enforcement-under-
iv-d-program-phi-hipaa**

AT-08-08, Final Rule: Child Support Enforcement Program Medical Support
**http://www.acf.hhs.gov/programs/css/resource/final-rule-child-support-enforcement-
program-medical-support**

AT-11-10, Notice of Changes to the OCSE-157 Form regarding Medical Support --
Revises the definition of medical support to include private health insurance as well as
other publicly funded coverage.
**http://www.acf.hhs.gov/programs/css/resource/notice-of-changes-to-the-ocse-157-
form-regarding-medical-support**


# D.   CASE MANAGEMENT

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

**Federal Statutory and Regulatory Authority:**
45 CFR 303.2(b) and (c)
45 CFR 303.7(a) and (12)
45 CFR 307.10(b) and (14)

**State System Requirements:**
a.   Upon case initiation, the system must automatically direct the case to the appropriate
     function (e.g., locate, paternity/parentage 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 intergovernmental cases are automatically referred to the State Parent Locator Service or the appropriate processing function within 10 working days of receipt.

**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:**

Section 454A(e) and (5)(f) of the Act

45 CFR 303.30

45 CFR 307.11€and (f)

45 CFR 307.10(b), (10), (13) and (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.  With the exception of National Directory of New Hires (NDNH) and Federal Case Registry (FCR) information to Title IV-A agencies, the disclosure of information derived from NDNH, FCR, Internal Revenue Service (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, Financial Institution Data Match (FIDM), or IRS], and the system must have an indicator showing 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,

   4.    Information on noncooperation decisions made by the IV-D agency, and

     5.     Change of address.

**Noncustodial Parent:**

     1.     Name, and

     2.     Living with recipient (Yes/No).

**Child(ren):**

     1.     Child's name,

     2.     Paternity/parentage established (Yes/No), and

     3.     Child no longer resides with the recipient (Yes/No).

**Support Order:**

     1.     Amount and type 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 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.     Noncustodial parents' names and addresses,

     5.     Paternity/parentage established (Yes/No),

     6.     Amount of monthly support ordered, and

     7.     Amount of last payment/collection.

*Note: 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 or FCR, 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.     Noncustodial parent's name,

5.   Noncustodial parent's Social Security Number

6.   Noncustodial parent's home address,

7.   Noncustodial parent's 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.  Address of child(ren), unless the same as the custodial parent,

14.  If a health insurance policy exists, the policy name, number, and names of the persons covered,

15.  Upon discovery that medical support payments are being, or have been, retained by a non-IV-A Title XIX recipient, and

16.  If the IV-D agency makes a noncooperation determination because a Title XIX recipient fails to cooperate in establishing paternity/parentage or securing support.

**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:**
Section 454A(c)(5) of the Act
45 CFR 303.2(c)
45 CFR 307.10(b)(1), (3), (4), (7), (8) and (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:**

Section 454(13) of the Act
45 CFR 307.10(b)(2), (5) and (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/parentage establishment, support order establishment, review and adjustment, enforcement (including income withholding), and intergovernmental case processing 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 Federal Parent Locator Service and State Parent Locator Service submittal,

5.    Flag cases for enforcement action (e.g., tax refund offset, income withholding, unemployment compensation intercept, 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 child support agency, case actions automatically taken by the system that require caseworker review and/or approval, and

(d)  Significant, as defined by the child support agency, case actions taken by supporting units that require caseworker review 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 child support 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/parentage,

      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 child support agency is expecting a response from another party (e.g., a locate source or a responding agency in an intergovernmental 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.

**Guidance Document:**

AT-10-11, Alternative Methods to Meet the Monthly Notification Requirement -- Establishes state flexibility to use alternative methods to provide monthly notice of assigned collections.

**http://www.acf.hhs.gov/css/resource/alternative-methods-to-meet-monthly-notification-requirement**

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

**Federal Statutory and Regulatory Authority:**

Section 454(12) of the Act

Section 466(a)(10) of the Act

45 CFR 303.8

45 CFR 303.31(b)

45 CFR 307.10(b)(2-3) and (12-14)

**State System Requirements:**

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

    1.  Upon the request of either parent,

    2.  The case is active TANF 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.

*Note:  Neither the notice nor the review is required under paragraph a. 4. below, if the state modifies a child support obligation upon incarceration by operation of state law.*

    3.  The state has elected in its state plan to initiate review of an order after learning that the noncustodial parent will be incarcerated for more than 180 calendar days without a specific request, and the system has generated a notice regarding review and adjustment to each parent, or

    4.  If the state does not elect the above option, within 15 business days of the child support agency learning that the noncustodial parent will be incarcerated for more than 180 calendar days, the system must generate a notice to each parent informing them of the right to request a review and if appropriate, adjust the order.  The notice must specify, at a minimum, the place and manner in which the request should be made.

b.  The system must track the review and 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 within 14 days, or

(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.

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. Based on state policy, the system must generate either the notice in paragraph a.3., or a.4.

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

f. 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.

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

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

i. 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.

j. 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.
  7. If state law recognizes multiple (more than two) parents for a child, the system must calculate guideline calculations for all parties involved in the case.

k. 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.

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

m.     For each case identified by the system as eligible for review and adjustment, the caseworker may prompt the system to obtain current address information for each party in a case, and the system must send an alert to the caseworker to review the order and system locate information to determine the appropriate state to conduct the review.

**Guidance Documents:**

AT-06-02, Final Rule on Reasonable Quantitative Standards for Review and Adjustment of Child Support Orders
**http://www.acf.hhs.gov/programs/css/resource/final-rule-on-reasonable-quantitative-standards-for-review-and-adjustment**

DCL-06-22, Release of Automated Systems for Child Support Enforcement: A Guide for Enhancing Review and Adjustment Automation
This document includes case studies of Alaska, Maine, Minnesota, and Vermont.
**http://www.acf.hhs.gov/programs/css/resource/a-guide-for-enhancing-review-and-adjustment-automation**

IM-16-02, 2008 Revisions to the Uniform Interstate Family Support Act
**https://www.acf.hhs.gov/css/resource/2008-revisions-to-the-uniform-interstate-family-support-act**

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

**Federal Statutory and Regulatory Authority:**
45 CFR 75.361
45 CFR 303.7
45 CFR 303.11
45 CFR 307.11(b)(1), (4) and (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) and  (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)(1-6) and (10 - 12), the system must generate a notice to the service recipient regarding the intent to close the case, except that for paragraph (b)(12), the notice must be sent to the initiating agency 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.

    f.    Once an initiating IV-D agency has closed its case pursuant to 45 CFR 303.11, the system must generate a case closure notice, which includes the basis for closure, to the responding agency within 10 working days.

    g.    Once a responding IV-D agency has closed its case pursuant to 303.11(b)(12), (13) and (14) and 303.7(d)(9), the responding IV-D agency's system must generate a case closure notice to the initiating agency.

**Guidance Documents:**

This hyperlink takes you to a guidance document for Automating Case Closure and a related OIG report:

**http://www.acf.hhs.gov/programs/css/resource/a-guide-for-automating-case-closure**

This hyperlink takes you to CSENet case closure release – EFlash #03-05: Case Closure Transactions, November 19, 2003:

**http://www.acf.hhs.gov/programs/css/resource/csenet-release-03-01-minor-specifications**

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

**Federal Statutory and Regulatory Authority:**
Section 454(6)(A) of the Act
Section 459A of the Act
Section 466(f) of the Act
45 CFR 303.7
45 CFR 303.8(f)
45 CFR 307.10(b)(1-5), (8), (12) and (14)

**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 intergovernmental referrals.  If available, the system should use the Child Support Enforcement Network (CSENet) using the current file transfer protocol as directed by OCSE 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 requests, and

       3.    Provide the caseworker with online access to information received in response to LO1 and CSI requests, and allow the caseworker to electronically move selected information to the case record.

c.    The system must ensure that intergovernmental cases receive the same services as intrastate cases, but with special provisions to meet intergovernmental requirements.

d.    The system must contain data elements necessary to identify a case as interstate and identify the other state and its Locator Code.

e.    The system must contain data elements necessary to identify a case as a tribal case and identify the tribe and its Locator Code.

f.    The system must contain data elements necessary to identify a case as an international case and identify the foreign country and its Locator Code.

g.    The system must identify which international cases come from a Foreign Treaty Country.

h.    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.

i.    The system must generate the OMB-approved intergovernmental forms as follows:

       1.    Extract data from the automated system, populate and automatically generate the forms for states, tribes, or countries unable to accept these forms electronically through CSENet, and

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

       3.    Optional:  The state may consider automating the Hague Convention forms.

**Guidance Documents:**

DCL-14-04, Updated Locator Codes Data Standards -- provides information and links to locater codes for states, tribes, and foreign reciprocating countries/foreign treaty countries (FRC/FTC).
**http://www.acf.hhs.gov/programs/css/resource/updated-locator-codes-data-standards**

DCL-15-18, Intergovernmental Reference Guide (IRG) International Requirements -- 17 new questions were added to the IRG to address additional information needed for the Country Profile and a new Hague Profile Query linking the U.S. states' answers to specific Country Profile questions (to help other countries access the information).  A link was added to the  Hague Conference website on the Resources page.  Also, in addition to adding addresses for reciprocating countries, contact information was incorporated for the 2007 Child Support Convention countries.
**http://www.acf.hhs.gov/css/resource/irg-international-requirements**

AT-17-01 provides changes to federally approved standard intergovernmental forms.
**https://www.acf.hhs.gov/css/resource/omb-approved-standard-intergovernmental-cse-forms-december-2016**

The Intergovernmental Reference Guide (IRG) including state, tribal, and FRC/FTC entity identifier Locator Codes (formerly "FIPS") and associated addresses for local child support offices is accessible at this link:
**https://ocsp.acf.hhs.gov/irg/resources.html**

This link is to the CSENet Interface Guidance Document (IGD), a comprehensive resource guide that states may refer to as they develop or refine their functionality to use the CSENet application to conduct interstate child support business activities:
**http://www.acf.hhs.gov/programs/css/resource/csenet-interface-guidance-document**

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

**Federal Statutory and Regulatory Authority:**
Section 454(9) of the Act
 Section 454A(f)(4) of the Act
45 CFR 303.7
45 CFR 307.10(a) and (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 by the central registry of an incoming intergovernmental 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)  Forward the case for necessary action either to the State Parent Locator Service or to the appropriate agency for processing,
    (c)  Generate a response to the initiating agency acknowledging receipt of the case [using CSENet or Electronic Document Exchange (EDE) if available],

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

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

2.  Within 10 working days of locating the noncustodial parent in a different state, political subdivision within the state, tribe, or foreign country, the system must (using CSENet if available) notify the initiating agency, the responding state's own central registry, and the political subdivision, as appropriate, where the noncustodial parent has been located and notify the caseworker.

3.  Within 10 working days of the receipt of new information, the system must (using CSENet if available) notify the initiating agency of the new information, and

4.  Within 75 calendar days of receipt of an intergovernmental referral from the central registry (through CSENet if available), the responding child support agency's system must automatically:

(a)  Provide locate services if necessary, and

(b)  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 intergovernmental case to the appropriate processing unit within the state.  However, if an incoming intergovernmental case is received with incomplete 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 agency 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 agency (through CSENet if available) advance notice of hearings that may result in either paternity/parentage 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 agencies (through CSENet if available).

f.  All actions, including the transfer of the case to another state, political subdivision within the state, tribe, or foreign country if the noncustodial parent is located there, must be automatically noted in the automated case record.

g.  When a case is closed by the responding agency according to 303.7(d)(10), the reason and the date of closure must be entered in the automated case record.


**Guidance Document:**


DCL-10-26, Responding States' Option to Recover the Cost of Paternity Testing -- Provides guidance on how to handle the cost of genetic tests in intergovernmental child support cases.

**http://www.acf.hhs.gov/programs/css/resource/responding-states-option-to-recover-the-cost-of-paternity-testing**

**D-9  OBJECTIVE:** For intergovernmental cases, the system must manage initiating state case actions.

**Federal Statutory and Regulatory Authority:**

Section 454(6)(A) of the Act

45 CFR 303.7
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 whether a support order is in effect or whether the noncustodial parent is in another state, political subdivision within the state, tribe, or foreign country and, if appropriate, the receipt of any information needed to process the case the system must refer the case to the responding agency (using CSENet if available) if one-state remedies are not appropriate.

2.   Within 30 calendar days of receipt of a request for additional information from the responding agency, the system must either provide the requested information or the date the information will be provided, as appropriate (using CSENet if available).

3.   Within 10 working days of receiving new case information, the system must (using CSENet if available) automatically transmit such information to the responding agency and notify the responsible caseworker of the action.

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

**D-10 OBJECTIVE:** The system must provide for management of all tribal IV-D cases.

**Federal Statutory and Regulatory Authority:**
45 CFR 309.85
45 CFR 309.95
45 CFR 309.105
45 CFR 309.110
45 CFR 309.115
45 CFR 309.120
45 CFR 309.130
45 CFR 309.160
45 CFR 309.170

**State System Requirements:**

a.      The system must automatically accept and process automated case referrals from the tribal IV-D system if the tribal IV-D agency is automated.

*Note:   If the tribal agency is not automated, procedures must be established to ensure timely transmittal of information to and from the tribal child support agency to the state child support 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 tribal recipients, and the date the information was provided must be 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.      Place of birth (city, state/country, and reservation address indicator),
   4.      Race (optional) including a choice of undisclosed,
   5.      Social Security Number,
   6.      Tribal affiliation (optional) including a choice of none,
   7.      IV-D Tribal case identification number,
   8.      Tribal case status (open, closed, suspended),
   9.      Tribal approval date,

10.  If the tribal 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),

11.  Information on assignment of rights, and

12.  Employer name and address.

**Noncustodial Parent:**

1.  Name,

2.  Social Security Number,

3.  Race (optional) including a choice of undisclosed,

4.  Affiliation (optional) including a choice of none,

5.  Place of birth (city, state/country, and reservation address indicator),

6.  Date of birth,

7.  Last known address, and

8.  Last known employer name and address.

**Child(ren):**

1.  Name,

2.  Date of birth,

3.  Race (optional) including a choice of undisclosed,

4.  Affiliation (optional) including a choice of none,

5.  Place of Birth (city, state/country, and reservation address indicator),

6.  Social Security Number,

7.  Address, unless the same as the custodial parent,

8.  Paternity/parentage established (Yes/No), and

9.  If the child is covered by either/both parent(s)' health/medical insurance, the name of the carrier and the policy number.

10.  If the child is covered under Indian Health Insurance, the identifying information.

**Support Order:**

1.  Court/Administrative order number,

2.  Date medical support established,

3.  Amount and type of support ordered,

4.  Amount of arrearage,

5.  Payment frequency (monthly, weekly),

6.  Date and amount of last payment/collection, and

7.  How payments are made.

8.  Tribal locator code.

a.  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/parentage establishment), and

3.     Notify the caseworker of the case.

4.     Submit the case to the FCR.

**D-11 OBJECTIVE:** The system must manage responding tribal case actions.

**Federal Statutory and Regulatory Authority:**
45 CFR 309.85
45 CFR 309.95
45 CFR 309.105
45 CFR 309.110
45 CFR 309.115
45 CFR 309.120
45 CFR 309.130
45 CFR 309.160
45 CFR 309.170

**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 IV-D tribal 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 tribal IV-D agency acknowledging receipt of the case,

    (c)  Notify the agency of the need for additional information 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 noncustodial parent in a different state, political subdivision within the state, tribe, or foreign country, notify the initiating agency of the noncustodial parents' location, and

3.     Within 75 calendar days of receipt of an intergovernmental referral, the responding state IV-D agency's system must automatically:

    (a)  Provide locate services if necessary, and

    (b)  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 intergovernmental case to the appropriate processing unit within the state.  However, if an incoming intergovernmental 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 tribe 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 tribe advance notice of hearings that may result in either paternity/parentage 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 tribes.

f.    All actions, including the transfer of the case to another state, political subdivision within the state, tribe, or foreign country if the noncustodial parent is located there, must be automatically noted in the automated case record.

**Guidance Document**:

DCL-10-26, Responding States' Option to Recover the Cost of Paternity Testing – Provides guidance on how to handle the cost of genetic tests in intergovernmental child support cases.
**http://www.acf.hhs.gov/programs/css/resource/responding-states-option-to-recover-the-cost-of-paternity-testing**

**D-12 OBJECTIVE**: The system must manage initiating tribal case actions.

**Federal Statutory and Regulatory Authority:**
45 CFR 309.85
45 CFR 309.95
45 CFR 309.105
45 CFR 309.110
45 CFR 309.115
45 CFR 309.120
45 CFR 309.130
45 CFR 309.160
45 CFR 309.170

**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 noncustodial parent is in another jurisdiction, and, if appropriate, the receipt of any information needed to process the case, the system must refer the case to that jurisdiction, and

2. Within 30 calendar 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.

b. Within 10 working days of receiving new case information, the system must automatically transmit such information to the responding IV-D tribe and notify the responsible caseworker of the action.

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

**D-13 OBJECTIVE:** The system must automatically identify IV-D cases where the noncustodial parent receives Supplemental Security Income (SSI), or SSI and Social Security Disability Income (SSDI) and prevent garnishment.

**Federal Statutory and Regulatory Authority:**
45 CFR 307.11(c)(3)(i) and (ii)

**State System Requirements:**

a. The system must automatically Identify IV-D cases that have been previously identified as involving a noncustodial parent who is a recipient of SSI payments, or concurrent SSI payments and SSDI benefits under Title II of the Act, and prevent the release of information/documents to garnish the noncustodial parent's financial account(s);

b. The system must maintain information regarding the amount of any SSI payment or concurrent SSI payment and SSDI benefits under title II of the Act, incorrectly garnished from the financial account of a noncustodial parent, and automatically provide this information to the appropriate state agency or office for use in refunding such amount to the noncustodial parent within 5 business days of the IV-D agency determining that the above garnishment took place; and .

c. The system must maintain information regarding the return of funds incorrectly garnished from the noncustodial parent's financial account.

**D-14 OBJECTIVE:**  The system must generate notices to Former Assistance families.

**Federal Statutory and Regulatory Authority:**
Section 454(13) of the Act
45 CFR 302.33(a)(4)

**State Systems Requirements:**

a.    Whenever a family receiving IV-A and Medicaid assistance is notified of ineligibility for assistance, the system must, within 5 working days, generate a notice to the family.  The notice must:
1.    Indicate that IV-D services will be continued unless the family indicates it no longer wants services, and wants the IV-D case closed, and
2.    Indicate the benefits and consequences of continuing to receive IV-D services, including the available services and the state's fees, cost recovery, and distribution policies.
*b.*    Whenever a child is no longer eligible for IV-E Foster Care, the notice requirement in paragraph a. above applies, but only in those cases in which the IV-D agency determines that such services and notice would be appropriate.

## E.   ENFORCEMENT

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

**Federal Statutory and Regulatory Authority:**

Section 454(4)(B)

45 CFR 303.6

45 CFR 307.10(b)(7) and (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 noncustodial 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 noncustodial 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.

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

**Federal Statutory and Regulatory Authority:**

Section 453A(g)(1) of the Act

Section 454A(g)(1) of the Act

45 CFR 303.100

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

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

**State 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 noncustodial parent fails to make payments in an amount equal to the support payable for one month,

　　2.    The date on which the noncustodial 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, an intergovernmental source, an 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 noncustodial 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 SDU within seven business days of the date the noncustodial parent is paid, and must report to the SDU the date on which the amount was withheld from the noncustodial parent'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 noncustodial parent from employment, refusing to employ, or taking disciplinary action against the noncustodial parent 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 noncustodial parent'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 noncustodial parent's income in a single payment to each SDU requesting withholding and separately identify the portion of the single payment that is attributable to each individual noncustodial parent,

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 noncustodial parent, and

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

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

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 noncustodial parent contests withholding, the system must automatically generate the documents required to inform a noncustodial 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 a copy of the standardized Incoming Withholding for Support Form, OMB-0974-0154, to send to the noncustodial 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 that is electronically transmitted by the employer to the state's bank.

        1.      The state must offer all employers the option of using 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 45 CFR Part 302 is the date of receipt by the SDU, except that if current support is withheld by an employer in the month when due and is received by the SDU 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 noncustodial parent, among obligations subject to withholding with priority given to current support.

m.  The system must provide child support caseworkers with online access to automated sources of noncustodial 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 jurisdiction where the noncustodial parent is employed to implement intergovernmental 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 agency, the system in the jurisdiction where the support order is entered must generate a notice to provide the information necessary to carry out the withholding.

p.  When the noncustodial parent is no longer employed in the state, the system must generate a notice to the state, political subdivision within the state, or tribe where the custodial parent is receiving child support services.  This notice must include the name and address of the noncustodial parent and employer, if known.

q.  The system must be able to send and receive electronic versions of the income withholding order (eIWO).

1.  The system must use a state-established Internet Protocol Security (IPSEC) Site to Site Virtual Private Network (VPN) to the OCSE Network and one of the following for file transmission to the eIWO System on the OCSE Network:

a.  Secure Shell File Transfer Protocol (SFTP),

b.  File Transfer Protocol-Secure Sockets Layer (FTP-SSL) (FTPS), or

c.  File Transfer Protocol (FTP)

2.  The system must use the eIWO record layouts provided by OCSE.

r.  Optional:  Under section 319(b) of the Uniform Interstate Family Support Act, upon request of the IV-D agency of another state, the system must support the change of payee and redirection of support payments by generating to the employer:

1.  A conforming income withholding order, when appropriate,

2.  An administrative notice of change of payee, reflecting the redirected payments when appropriate.

s.  Optional: The system should maintain a database of employer information.  Use of an employer portal may also be developed to provide a convenient, secure, and easy-to-use method for employers and their third-party companies to manage child support obligations.

t.    Optional:  The system should be able to send an income withholding notice to DFAS in the case of military members (active, reserve, National Guard, retired) and civilian personnel working for DoD or other federal agencies serviced by DFAS.

u.    Optional:  The system should be able to send an income withholding notice to the U.S. Coast Guard Pay and Personnel Center if the obligor is Coast Guard (active, retired military, or civilian personnel).

v.    Optional:  The system should be able to suppress sending an income withholding directly to an employer in another state if the state already has an intergovernmental case open.


**Guidance Documents:**

PIQ-03-10, Electronic Payment Withdrawal as an Alternative to Income Withholding
**http://www.acf.hhs.gov/programs/css/resource/electronic-payment-withdrawal-as-an-alternative-to-income-withholding**

The 2014 update to the IWO form can be found in OCSE-AT-14-05, 2014 Revisions to the Income Withholding for Support (IWO) Form and Instructions
**http://www.acf.hhs.gov/programs/css/resource/2014-revised-income-withholding-for-support-form-and-instructions**

AT-14-12, E-IWO Implementation and Amendment of Title IV-D State Plan Preprint Page 3.8-3 -- Provides information on prescribed electronic method for e-IWO and requiring amended state plan preprint page 3.8-3
**http://www.acf.hhs.gov/programs/css/resource/e-iwo-implementation-and-amendment-of-title-iv-d-state-plan-preprint-page-38-3**

AT-16-04, Correctly Withholding Child Support from Weekly and Biweekly Pay Cycles -- Provides guidance regarding allowable withholding when the noncustodial parent is paid weekly or biweekly.
**http://www.acf.hhs.gov/css/resource/correctly-withholding-child-support-from-weekly-and-biweekly-pay-cycles**

AT-17-01, Interstate Child Support Payment Processing – Addresses interstate responsibilities and payment processing principles.
**https://www.acf.hhs.gov/css/resource/interstate-child-support-payment-processing**

These are the links to the employer web site and the eIWO web site:
**http://www.acf.hhs.gov/programs/css/employers**
**http://www.acf.hhs.gov/programs/css/employers/e-IWO**

This is the hyperlink to the NACHA data elements and specifications for EFT/EDI:
**http://www.acf.hhs.gov/programs/css/resource/instructions-for-employers-to-send-electronic-payments**

This is the hyperlink to NACHA: **https://www.nacha.org/**

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

**Federal Statutory and Regulatory Authority:**

Section 464 of the Act

45 CFR 303.6(c)(3)

45 CFR 303.72

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

**State System Requirements:**

a. The system must automatically identify IV-A and IV-E 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 more than $500.  The state may combine support amounts from the same obligor in multiple cases where the child support 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,

   5. At state option, the amount has accrued since the child support 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 with Social Security Administration's communication network (currently Cyberfusion) 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 Locator Code (formerly "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 noncustodial parent at least 30 days before his or her case is submitted for offset.  The notice must indicate 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,

*Note:  In accordance with AT-10-04, the notice must include the following information:*

- *the nature and amount of the debt;*
- *the right to contest the state's determination that past-due support is owed or the amount of past-due support submitted for offset;*
- *the right to an administrative review by the submitting state or, at the noncustodial parent's request, the state with the order upon which the referral for offset is based; and*
- *the procedures and timeframes for contacting the child support agency in the submitting state to request administrative review.*

*Additionally, the IRS recommends that states include in their notices the following language:*

*"If you are married, filing a joint income tax return and you incurred this debt separately from your spouse, who has no legal responsibility for the debt and who has income and withholding and/or estimated tax payments, your spouse may be entitled to receive his or her portion of any joint federal tax refund.  If your spouse meets these criteria, he or she may receive his or her portion of the joint refund by filing a Form 8379 - Injured Spouse Claim and Allocation.  Form 8379 should be attached to the top of the Form 1040 or 1040A when you file, or filed according to other instructions as indicated on the Form 8379."*

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

3. A notice to the noncustodial 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 noncustodial 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 agency of a request for an administrative review,

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

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

f. Prior to submittal, the system must have automatically verified the noncustodial 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 noncustodial 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 noncustodial 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.

i.      Optional - The state may choose to submit federal tax offset through the OCSE Child Support Portal.

**Guidance Documents:**

AT-10-04, Collection and Enforcement of Past-Due Child Support Obligations
**http://www.acf.hhs.gov/programs/css/resource/collection-and-enforcement-of-past-due-child-support-obligations**

PIQT-10-01, Tribal Access to the Federal Parent Locator Service and Federal Tax Refund Offset -- Clarifies issues regarding Tribal access to the FPLS and federal tax refund offset.
**http://www.acf.hhs.gov/programs/css/resource/questions-regarding-tribal-access-to-the-fpls-and-federal-tax-refund-offset**

DCL-11-08, Federal Offset and Passport Denial State Services Portal Applications describes submittal of Federal Offset (FO) and Passport Denial (PPD) web applications through the OCSE Child Support Portal, the web-based access to child support services via a secure, single sign-on interface.  These applications provide users with a much improved platform to help manage their state's FO and PPD caseloads certified at OCSE.
**http://www.acf.hhs.gov/programs/css/resource/federal-offset-and-passport-denial-state-services-portal-applications**

This is the link to the Federal Offset Program Technical Guide, which includes record specifications and FOP release specifications:
**http://www.acf.hhs.gov/programs/css/resource/federal-offset-program-user-guide**

TDCL-16-01, Tribal Access to the FPLS -- Section 302 of the Act provides the authority and this TDCL describes the process for tribal IV-D programs to access the Federal Parent Locator Service (FPLS).
**http://www.acf.hhs.gov/css/resource/tribal-access-to-the-fpls**

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

**Federal Statutory and Regulatory Authority:**
Section 466(a)(3) of the Act

45 CFR 303.6(c)(3)

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

45 CFR 307.10(b)(2), (4)(i) and (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 noncustodial 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 that 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 noncustodial 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 noncustodial 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 child support system must automatically:
1.   Submit identified cases annually, and
2.   Receive from the responsible state office information pertaining to the noncustodial parent's home address and Social Security Number(s).

*Note:   If the state agency tax system is not automated, the 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.

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

**Federal Statutory and Regulatory Authority:**

Section 466(a)(4) and (6) of the Act

45 CFR 307.10(b)(2), (4)(i), (7) and (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 noncustodial 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 restore the bond when the past-due support is received.

**Guidance Document:**

AT-17-04, Administrative Subpoena and Notice of Lien Forms – This is the Interstate Administrative Subpoena and Notice of Lien forms with OMB approval expiring June 30, 2018.

**https://www.acf.hhs.gov/css/resource/administrative-subpoena-and-notice-of-lien-forms-expires-june-30-2018**

**E-6   OBJECTIVE:** Where action is appropriate under state guidelines, the system must support Unemployment Compensation Intercept.

**Federal Statutory and Regulatory Authority:**

Section 454(19) of the Act

Section 466(c)(1)(G)(i)(I) of the Act

45 CFR 302.65(c)

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

**State System Requirements:**
a.   The system must automatically receive unemployment compensation information from the State Workforce Agency (SWA).  If the SWA 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 SWA 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 unemployment compensation information.
c.   The system must automatically generate all documents required to enforce unemployment compensation information either through income withholding, 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 unemployment compensation information and must transfer this file to the SWA using an electronic interface.  If the SWA is not automated, this file must be transmitted to the SWA 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 unemployment compensation information.

**Guidance Document:**

The Federal Case Registry Technical Assistance Guide -- Contains a number of tips and questions to consider when automating data related to FPLS, FCR and locate.
**http://www.acf.hhs.gov/programs/css/resource/overview-of-federal-case-registry**

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


**Federal Statutory and Regulatory Authority:**

Section 466(a)(7) of the Act
45 CFR 307.10(b)(4)(i), (7) and (14)


**State System Requirements:**

a.    The system must periodically automatically identify all IV-D cases with support arrearage.

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

   1.    The name of the noncustodial 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 noncustodial 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 noncustodial parent responds to the advance notice, record the date the response is received, and automatically generate any further documentation required due to the response.


**Guidance Document:**

DCL-08-22, Release of Arrears Management: Practical Resource Guide

**http://www.acf.hhs.gov/programs/css/resource/release-of-arrears-management-practical-resource-guide**


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


**Federal Statutory and Regulatory Authority:**

Section 452(b) of the Act
45 CFR 303.71
45 CFR 307.10(b) (4)(i), (7) and (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 noncustodial 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 noncustodial 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 OCSE Regional Office of changes to the amount of support due, the nature or location of assets, or address of the debtor.


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

**Federal Statutory and Regulatory Authority:**
45 CFR 303.6(c)(5)
45 CFR 307.10(b)(1), (2), (4)(i) and (14)


**State System Requirements:**
a.     The system must automatically track dates and time periods and take required actions to reinitiate enforcement actions where previously actions were unsuccessful.

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

**Federal Statutory and Regulatory Authority:**

Section 454(4)(B)(ii) of the Act

45 CFR 302.31(a) and (2)

45 CFR 307.10(b)(4), (7) and (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.

c.      The system must support the state's option to continue to support spousal support-only cases when the child support obligation has ended.

**Guidance Document:**

PIQ-11-01 provides OCSE guidance on frequently asked questions from states on the subject of spousal support.  This includes guidance on the continuation of IV-D services when the child support portion of an order that includes spousal support ends.

**http://www.acf.hhs.gov/programs/css/resource/spousal-support-only-cases**

**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:

Section 452(f) of the Act

Section 454(4)(A)(i) of the Act

Section 466(a)(19)(B) and (c) of the Act

45 CFR 303.31(b)(5)

45 CFR 303.32(b), (c)(1), (2), (5) and (7)

45 CFR 307.10(b)(1), (4)(i), (7), and (13-14)

### State System Requirements:

a.  If appropriate information is available from the Title XIX agency, 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 (NMSN) 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 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 or lapses in health insurance coverage.

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

*Note:    It is recommended that the system be able to suppress sending the National Medical Support Notice (NMSN) on military members if the state opts to use the Defense Manpower Data Center (DMDC) match instead.  Using the DMDC match, the results from the DMDC match should be coded to update medical coverage indicator, send notice to the custodial parent of eligibility, or indicate that coverage is no longer available and trigger a caseworker to investigate alternate sources for medical coverage.*

**Guidance Documents:**

AT-16-05, NMSN Forms Part A and Part B, transmits the federally approved NMSN that expires on August 31, 2019.

**http://www.acf.hhs.gov/css/resource/distribution-of-federally-approved-nmsn-part-a-and-part-b**

PIQ-06-02, Guidance for Sending the National Medical Support Notice to the Defense Manpower Data Center -- Updates PIQ-05-05 to clarify procedures for sending the NMSN to DMDC for dependents of active and retired military personnel.

**http://www.acf.hhs.gov/programs/css/resource/guidance-for-sending-the-nmsn-to-the-dmdc**

This link provides Federal Agency addresses for the NMSN:
**http://www.acf.hhs.gov/programs/css/fpls/location-systems**

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

**Federal Statutory and Regulatory Authority:**
Section 466(a)(14) of the Act

**State System Requirements:**
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., IDEC or MI FIDM Alliance):

1.  Amount of support under an order that 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 child support 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) to the other state's SDU or, at state option, direct the financial institution to send the funds seized directly to the requesting state's SDU.

1.  States strongly encouraged to program the EFT/EDI National Automated Clearinghouse Association (NACHA) endorsed Financial Institution Data Match (FIDM) codes.

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

*Note:*  *For states that use consortiums or other stand-alone systems for AEI activities, the system should permit manual entry of the data needed for reporting on Form OCSE-34.*

*Note:*  *Several states also accept AEI requests for matches with entities other than financial institutions, for example, Unemployment Insurance intercepts.*

**Guidance Documents:**

AT-14-14, Revised Quarterly Financial Reporting Forms – this is a joint action transmittal with OGM to distribute revised 2014 Quarterly Financial Reporting Forms - Form OCSE-396 and Form OCSE-34
**http://www.acf.hhs.gov/programs/css/resource/revised-quarterly-financial-reporting-forms-2014**

AT-08-06, Implementing Section 466(a)(14) of the Social Security Act -- provides guidance for dealing with administrative enforcement in AEI cases.
**http://www.acf.hhs.gov/programs/css/resource/implementing-section-466a14-of-the-social-security-act**

Interstate Data Exchange Consortium - **www.IDEC-fidm.com**

Michigan Alliance Consortium – Several states have a contract with the Alliance NACHA FIDM codes.  This is the link to the NACHA website:  **https://www.nacha.org/**.  This site 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.

**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/parentage or child support proceedings.

**Federal Statutory and Regulatory Authority:**
Section 466(a)(16) of the Act

**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 noncustodial parent arrears exceed a certain dollar threshold).
b. The system must automatically generate a notice of potential license suspension to each noncustodial 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 noncustodial 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.

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

**Federal Statutory and Regulatory Authority:**
Section 452(k) of the Act
Section 454(31) of the Act

**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.
c. Optional – The state may choose to submit passport denial through the OCSE Child Support Portal.

**Guidance Documents:**

AT-10-04, Collection and Enforcement of Past-Due Child Support Obligations
**http://www.acf.hhs.gov/programs/css/resource/collection-and-enforcement-of-past-due-child-support-obligations**

DCL-11-08, Federal Offset and Passport Denial State Services Portal Applications
describes submittal of Federal Offset (FO) and Passport Denial (PPD) web applications
through the OCSE Child Support Portal, the web-based access to child support services via
a secure, single sign-on interface.  These applications provide users with a much improved
platform to help manage their state's FO and PPD caseloads certified at OCSE.
**http://www.acf.hhs.gov/programs/css/resource/federal-offset-and-passport-denial-state-services-portal-applications**

This is the link to the OCSE Federal Offset Program Technical Guide, which includes
passport denial and provides data specification formats:
**http://www.acf.hhs.gov/programs/css/resource/federal-offset-program-user-guide**

This is the link to the OCSE webpage on passport denial, which 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/css/fpls/federal-collections-passport-denial**

**E-15  OBJECTIVE:** The child support system or an alternative system must support procedures
under which the state conducts data matches with FIDM using automated data exchanges
to the maximum extent feasible.

**Federal Statutory and Regulatory Authority:**

Section 466(a)(17) of the Act

*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 child support system 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 (as specified in the Financial Data Match Specifications Handbook)
to be transmitted to financial institutions (FI) electing Method Two (Matched
Accounts Method),

*Note:   If the FIDM processing will be done on an alternative system, then the child
support system must be capable of transmitting an electronic file of delinquent
obligors to that alternative system.*

   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 Multistate
        FIDM (MSFIDM), and

   5.   Identify (flag) delinquent obligors for the MSFIDM process on the Federal
        Income Tax Refund Offset file.

b.   The child support system or the alternative system must automatically update the
     case record when a match occurs to include, at a minimum, the name of the FI and
     the record address of the noncustodial parent.

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

d.   The child support system or the alternative system must automatically produce all
     documents necessary to attach an asset held by an FI 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.

e.   Optional: The system should use an automated interface for the electronic
     transmission of levies.  Using the Federally Assisted State Transmitted (FAST) Levy
     Request Withhold standard record layout, states can send MSFIDM matches to the
     FAST Levy Portal for processing and forwarding to participating financial
     institutions.

*Note:  To use FAST Levy, you must use the standard record developed by OCSE that
requests an MSFI to freeze and seize an account. You must also develop a
procedure for processing the financial acknowledgment to the request sent for
freeze and seize action.  The standard record layout can be found at:*
**[http://www.acf.hhs.gov/sites/default/files/programs/css/fastspec13_02.pdf](http://www.acf.hhs.gov/sites/default/files/programs/css/fastspec13_02.pdf)**

**Guidance Documents:**

AT-98-07, Policy Questions and Answers regarding the Financial Institution Data Match
Requirements under the Provisions of the Personal Responsibility and Work Opportunity
Reconciliation Act of 1996
**[http://www.acf.hhs.gov/programs/css/resource/financial-institution-data-match-requirements-prwora](http://www.acf.hhs.gov/programs/css/resource/financial-institution-data-match-requirements-prwora)**

AT-98-29, Policy Questions and Answers regarding the Multistate Provisions of the Financial Institution Data Match under Title IV-D of the Social Security Act
**http://www.acf.hhs.gov/programs/css/resource/multistate-provisions-of-the-financial-institution-data-match**

AT-01-11, Clarification of "Time Deposit Accounts" as Related to Financial Institution Data Matches
**http://www.acf.hhs.gov/programs/css/resource/clarification-of-time-deposit-accounts-fidm**

AT-10-04, Collection and Enforcement of Past-Due Child Support Obligations
**http://www.acf.hhs.gov/programs/css/resource/collection-and-enforcement-of-past-due-child-support-obligations**

DCL-08-44, Release of Automated Systems for Child Support Enforcement: A Guide for Enhancing Financial Institution Data Match Automation.  You will find practical tools for enhancing FIDM automation in compliance with federal statute 42 USC 666 (a)(17).
**http://www.acf.hhs.gov/programs/css/resource/a-guide-for-enhancing-financial-institution-data-match-automation**

DCL-00-101, Financial Data Match Specifications Handbook
The handbook covers program requirements, compares the multistate and single-state processes, describes approaches to implementation, and options for operations.
**https://www.acf.hhs.gov/css/resource/msfidm-specifications-handbook**

This link is to the Federal Offset Program User's Guide which includes MS-FIDM data specifications:
**http://www.acf.hhs.gov/programs/css/resource/federal-offset-program-user-guide**

This link is to the MSFIDM website that provides additional information for parents, employers and states:
**http://www.acf.hhs.gov/programs/css/resource/multistate-financial-institution-data-match-msfidm**

This link is to the Federal Offset Program Technical Guide, release specifications and conference call summaries:
**http://www.acf.hhs.gov/programs/css/resource/federal-offset-program-user-guide**

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

**Federal Statutory and Regulatory Authority:**
Section 452(b) of the Act
45 CFR 303.72(e)(1)

**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 at least $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 noncustodial 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 CyberFusion with the
          federal tax refund offset requests. The required data elements include: the name,
          Social Security Number of the individual who owes the past-due support, the
          amount of past-due support certified as owed, the state's Locator Code, and the
          case indicator type,
      4.  Support the identification of administrative offset of  attorney's fees to satisfy
          past-due child support, in accordance with the Equal Access to Justice Act, 5
          U.S.C. § 504; 28 U.S.C. § 2412, (EAJA), and
      5.  Electronically transmit any other information prescribed by the OCSE in
          instructions that are issued periodically in the form of an Action Transmittal (i.e.
          OCSE-AT-10-04).

**Guidance Documents:**

This link provides an overview of the Federal Offset Program.
**http://www.acf.hhs.gov/programs/css/resource/overview-of-the-federal-offset-program**

This link is to the Federal Offset Program Technical Guide, which includes administrative
offset.
**http://www.acf.hhs.gov/programs/css/resource/federal-offset-program-user-guide**

AT-10-04, Collection and Enforcement of Past-Due Child Support Obligations
**http://www.acf.hhs.gov/programs/css/resource/collection-and-enforcement-of-past-due-child-support-obligations**

PIQ-12-01, Adminstrative Offset of Attorney Fees under the Equal Access to Justice Act
This PIQ informs states that attorney fees paid to the prevailing party, in this case the NCP, can be administratively offset to satisfy past-due child support.
**http://www.acf.hhs.gov/programs/css/resource/administrative-offset-of-attorney-fees-under-the-equal-access-to-justice**

**E-17 OBJECTIVE –** If the state participates in the OCSE Insurance Match program, the system must be able to submit and receive information electronically about insurance matches.

The system must be capable of automatically identifying cases that meet the state's criteria for submitting for insurance match.  In addition, the obligor must be associated with an active case, must not be excluded from the insurance match, and must have an arrearage of at least $25.

a.  The system should automatically submit the following information as required for electronic transmission of the federal tax refund offset file to OCSE.  At a minimum, insurance match eligible obligor information must include:

   1.  Obligor name,
   2.  Obligor Social Security Number,
   3.  Obligor date of birth,
   4.  Obligor address,
   5.  Obligor state,
   6.  Case ID,
   7.  Case type,
   8.  Arrears balance.

b.  The system should be able to process data returned from OCSE as outlined in the Federal Parent Locator Service, Federal Case Registry, Release 07-01 – Minor, Release Specifications, which includes Insurance Match Specifications.

c.  The system should automatically generate documents required to impose a lien or notify a service provider to generate the notice.

d.  The system should automatically generate a notice to the noncustodial parent if required by state law.

e.  The system should automatically record in the case chronical file key events associated with the insurance match.

**Guidance Documents:**

This link is to the Federal Offset Program Technical Guide, which includes Insurance Match data specifications:
**http://www.acf.hhs.gov/programs/css/resource/federal-offset-program-user-guide**

This link is to the Federal Parent Locator Service, Federal Case Registry, Release 07-01 – Minor, Release Specifications, which includes Insurance Match Specifications:
**http://www.acf.hhs.gov/programs/css/resource/fcr-release-07-01-minor-specifications**

For information on how to participate in the OCSE Insurance Match program, go to:
**http://www.acf.hhs.gov/programs/css/resource/how-to-participate-in-the-insurance-match-program**

AT-10-04, Collection and Enforcement of Past-Due Child Support Obligations, provides information on the federal insurance match programs.
**http://www.acf.hhs.gov/programs/css/resource/collection-and-enforcement-of-past-due-child-support-obligations**


# 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 Regulatory Authority:**
45 CFR 307.10(b)(14)

**State System Requirements:**
a.   The system must automatically generate billing notices to noncustodial 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 supervisor-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 noncustodial parent notices with the bills.  In addition, billing statements may include system-generated or caseworker-defined narrative notices/comments to noncustodial parents regarding upcoming or recently completed case actions and events, or other beneficial program information.*


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

**Federal Statutory and Regulatory Authority:**
Section 454A(e) of the Act
Section 454B(b) and (c) of the Act
Section 466(a)(6) of the Act
45 CFR 302.32

45 CFR 302.33(c) and (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) and (14)

45 CFR 307.11(e)


**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 an 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 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 of 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 and 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 the FPLS.

j.   The system must separately record charges and payments associated with the payment of fees for the cost 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 an 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 when support collections exceed $500 in a year.  The fee may be imposed against the custodial parent, the noncustodial parent, or the state. The payment must be automatically recorded in the automated case record and in the state's accounting subsystem. (When fees are waived and 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.)

    m.    The system must support the direct deposit of child support payments to the custodial parent or other caretaker account in a financial institution.

    n.    The system must support the use of debit cards by custodial parents and caretakers receiving support payments.

**Guidance Documents:**

DCL-06-28, Clarification of DCL-06-16: Implementation of the $25 Annual Fee in the Deficit Reduction Act of 2005 (DRA of 2005)

This DCL includes guidance regarding the effective date of the DRA provision regarding the $25 fee.

**http://www.acf.hhs.gov/programs/css/resource/clarification-of-dcl-06-16-implementation-of-the-25-annual-fee**

**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:**
Section 454B(b) of the Act
45 CFR 307.10(b) and (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 NACHA and the ASC X12 Financial Committee.  The system must:

        1.    Accept income withholdings and interstate child support collections transmitted in both the CCD+ and CTX 820 in 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 and ASC X12 Financial Committee-endorsed EDI standard format for child support collections (the Child Support Application Banking Convention),

3. The system must transmit child support collections to other states in the CCD+ NACHA payment format and the CTX 820 NACHA payment format,

4. The system must transmit interstate child support collections and corresponding remittance data using the NACHA-endorsed EFT and ASC X12 Financial Committee-endorsed EDI standard format for child support collections (the Child Support Application Banking Convention),

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 the FIDM interstate collection application indicators of: RI - Interstate Cost Recovery Income Withholding, RT - Interstate Cost Recovery State Tax Refund 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 Payer the NCP or agent sends support payment electronically to the SDU; FD - FIDM funds from a financial institution.

8. Optional: The system should accept and transmit in CCD+ transactions, the FIDM indicators of:  FD - FIDM from a financial institution, RF - FIDM funds from cost recovery state to another state, and IF - FIDM funds from a non-cost recovery state to another state.

*Note:* *The state may also access the document on NACHA's website at:* ***https://www.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.*

**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:**

Section 454A(b)(1) and (c)(1)(A) of the Act

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)(3-8) and (14)

**State System Requirements:**

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

b. The system must distribute all support collections in accordance with federal requirements.

c. When appropriate, the system must calculate federal, state, and local collection shares.

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

    1. Maintaining data on paternity/parentage establishment, support order establishment, current collections, arrears collections, and cost effectiveness necessary to measure performance based on the five performance indicators 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 or record fees in the case record 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.   Internal Revenue Service Full Collection,
10.  Never assistance $25 fee, and
11.  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.

j.   For intergovernmental cases, the responding jurisdiction is responsible to pay for the cost of genetic testing in actions to establish paternity/parentage.  The responding jurisdiction's child support agency has the option to recover the cost of genetic tests.

**Guidance Documents:**

DCL-10-26 Responding States' Option to Recover the Cost of Paternity Testing -- Guidance on how to handle the cost of genetic tests in intergovernmental child support cases
**http://www.acf.hhs.gov/programs/css/resource/responding-states-option-to-recover-the-cost-of-paternity-testing**

*Note:  Per 45 CFR 303.7(e) Payment and recovery of costs in intergovernmental IV-D cases:*
*(1) The responding IV-D agency must pay the costs it incurs in processing intergovernmental IV-D cases, including the costs of genetic testing. If paternity/parentage is established, the responding agency, at its election, may seek a judgment for the costs of testing from the alleged father who denied paternity/parentage.*

*(2) Each State IV-D agency may recover its costs of providing services in intergovernmental non-IV-A cases in accordance with § 302.33(d) of this chapter, except that a IV-D agency may not recover costs from a foreign reciprocating*

*country (FRC) or from a foreign obligee in that FRC, when providing services under sections under sections 454(32) and 459A of the Act.*

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

**Federal Statutory and Regulatory Authority:**

Section 454B of the Act

Section 457 of the Act

45 CFR 302.32

45 CFR 302.51

45 CFR 302.52

45 CFR 303.72(h)

45 CFR 303.102(g)

45 CFR 307.10(b)(5)

**State System Requirements:**

a.  The system must distribute and disburse support collections in accordance with 45 CFR 302.32, 302.51, 302.52, AT-97-13, AT-97-17, AT-98-24, AT-07-05, AT-08-09, AT-17-07, and any other relevant regulations and instructions issued by OCSE.

b.  If costs/fees are imposed on the noncustodial parent, the system must ensure that the monthly support obligation and any arrearage are 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 noncustodial 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 jurisdiction).

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 EFT/EDI. All transfers must be recorded in or linked to the automated client record. Data to the initiating state must include: identifying IV-D and other case numbers, payment amount, date of collection or receipt, noncustodial parent's name and Social Security Number, medical support indicator, and the responding state's Locator 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 SDU, or information is received on unidentified payments in a later month. If, however, the state has an SDU that 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 be able to set up and run, in the system test environment, any test deck of distribution scenarios issued by OCSE to evaluate distribution.

g.　　Optional: The state may delay distribution of a suspicious tax refund offset referred to the IRS for a period not to exceed 6 months from its receipt of the offset. The system must document the reason for the delay and create an alert to the worker or create another automated reminder for periodic update of the status or to resolve the distribution of the Federal Tax Offset.


**Guidance Documents:**

AT-97-13, Collection and Disbursement of Support Payments, provides statutory requirements governing SDU procedures and timing of disbursements and answers questions received regarding these requirements.
**https://www.acf.hhs.gov/programs/css/resource/collection-and-disbursement-of-support-payments**

AT-97-17, Instructions for the distribution of child support under section 457 of the Social Security Act.
**http://www.acf.hhs.gov/programs/css/resource/instructions-distribution-child-support-section-457-of-the-ssa**

AT-98-24, Instructions for the Distribution of Child Support Under Section 457(a)(6) of the Social Security Act, Definition of Assistance Paid to the Family for Child Support Purposes, and Additional Questions and Answers.
**http://www.acf.hhs.gov/programs/css/resource/distribution-of-child-support-definition-of-assistance-paid-to-the-family**

AT-07-05, Instructions for the Assignment and Distribution of Child Support Under Sections 408(a)(3) and 457 of the Social Security Act.
**http://www.acf.hhs.gov/programs/css/resource/assignment-and-distribution-of-child-support-under-sections-408a3-and-457**

AT-08-09, Notice of State Plan Package Renewal and Revision of the Title IV-D State Plan Preprint: Submission of revised State Plan Page 2.4, Collection and Distribution of Support Payments, reflecting changes made to the state plan provisions of Title IV-D of the Social Security Act by P.L. 109-171, the Deficit Reduction Act of 2005.
**http://www.acf.hhs.gov/programs/css/resource/notice-of-state-plan-package-renewal-and-revision-of-the-state-plan-preprint**

AT-09-03, Questions and Answers Relating to the Assignment of Support Rights and Distribution of Child Support Collections under the Deficit Reduction Act of 2005.
**https://www.acf.hhs.gov/programs/css/resource/assignment-of-support-rights-distribution-deficit-reduction-act-of-2005**

DCL-09-03, Clarification of OCSE-157 Line 29 (Cases Paying Toward Arrears during the Fiscal Year) - This DCL clarifies the new assignment provisions under the Deficit Reduction Act of 2005.
**http://www.acf.hhs.gov/programs/css/resource/clarification-of-ocse-157-line-29-cases-paying-toward-arrears**

AT-16-03, Timeframe to Distribute Tax Offsets Referred for Fraud – for state agencies administering the federal income tax refund offset program under Title IV-D of the Social Security Act.
**http://www.acf.hhs.gov/css/resource/timeframe-to-distribute-tax-offsets-referred-for-fraud**

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

**Federal Statutory and Regulatory Authority:**
Section 454(5) of the Act
45 CFR 302.54
45 CFR 307.10(b), (7) and (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 child support services and have outstanding arrearages that have been assigned to the state.  The monthly notice must separately list payments collected from each noncustodial parent, if appropriate, and must indicate the amount of current support, the amount of arrearage collected, and the amount of support collected that 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.  In addition, states may elect to send monthly notices electronically in accordance with AT-10-11 – Alternative Methods to Meet the Monthly Notification Requirement.  AT-10-11 may be found at:*
   *http://www.acf.hhs.gov/programs/css/resource/alternative-methods-to-meet-monthly-notification-requirement*

b.   Using the IV-A/IV-D automated interface, the child support agency must provide the TANF 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.

**F-7   OBJECTIVE:** SDU Physical Security and Internal Control Requirements

**Federal Statutory and Regulatory Authority:**
Section 454(B) of the Act
45 CFR 307.10(b) and (14)

**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 appropriate depository. Checks, money orders, and cash not processed during the day received must be stored in the safe overnight.

b.   If the cashier's 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 (i.e., 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 (i.e., 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 state system in a timely manner so that the state meets the two day timeframe for distribution and disbursement of payments. The state must document the process for unidentified payments that take longer than two days to resolve. This process should include a finite period of time for the SDU to resolve the unidentified payment before it is sent to the child support staff at the state or local level for resolution.

f.      All receipts, including checks, money orders, and cash maintained in the SDU safe for deposit must, within 24 hours of completion of the payment process, be transported by bonded security personnel and deposited in the appropriate depository.

**Guidance Document:**

DCL-03-17, State Disbursement Unit (SDU) Payment Processing and Physical Security -- This document sets forth the requirements that a state system must meet to receive PRWORA certification.
**http://www.acf.hhs.gov/programs/css/resource/state-disbursement-unit-payment-processing-and-physical-security**

# G.   REPORTING

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

**Federal Statutory and Regulatory Authority**
Section 452(a)(5) and (10) of the Act
Section 454(15) and (30) of the Act
Section 454A(c)(1) of the Act
Section 469 of the Act
45 CFR 301.15(a)
45 CFR 302.15(a)
45 CFR 307.10(b)(3) and (7- 8)

**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-34 collections report.
c.      The system or the state's accounts management system must maintain and generate all information required to complete the OCSE-396 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 Transmittals AT-17-10 and AT-14-14 for detailed information.*

**Guidance Documents:**

AT-04-07, Introduction of Schedule UDC, a financial reporting form for Itemized
Undistributed Collections.
**http://www.acf.hhs.gov/programs/css/resource/schedule-udc-financial-reporting-
form-for-itemized-udc**

Form OCSE-157 Annual Data Report:
**http://www.acf.hhs.gov/programs/css/resource/form-ocse-157**

Form OCSE-34 Quarterly Collection Report
**http://www.acf.hhs.gov/programs/css/resource/form-ocse-34-quarterly-collections-
report**

Form OCSE-396 Quarterly Financial Report
**http://www.acf.hhs.gov/css/resource/form-ocse-396-quarterly-financial-report**

AT-11-10, Notice of Changes to the OCSE-157 Form regarding Medical Support --
This AT revises the definition of medical support to include private health insurance as
well as other publicly funded coverage.
**http://www.acf.hhs.gov/programs/css/resource/notice-of-changes-to-the-ocse-157-
form-regarding-medical-support**

DCL-09-03, Clarification of OCSE-157 Line 29 (Cases Paying Toward Arrears during the
Fiscal Year) -- This DCL clarifies the new assignment provisions under the Deficit
Reduction Act of 2005.
**http://www.acf.hhs.gov/programs/css/resource/clarification-of-ocse-157-line-29-cases-
paying-toward-arrears**

DCL-09-07, Calculating the Cost-Effectiveness Ratio and Incentive Collection Base for
Incentive Purposes -- This DCL revises the formula to calculate the cost-effectiveness ratio
and incentive collection base for incentive purposes.
**http://www.acf.hhs.gov/programs/css/resource/revised-lines-and-columns-used-to-
calculate-the-cost-effectiveness-ratio**

PIQ-10-01, Federal Financial Participation and Non-IV-D Activities -- This PIQ responds
to questions regarding the non-IV-D activities that qualify or do not qualify for Federal
Financial Participation.
**http://www.acf.hhs.gov/programs/css/resource/federal-financial-participation-and-
non-iv-d-activities**

AT-17-10, Extension of the OCSE-157 Child Support Enforcement Annual Data Report --
This AT provides notice of extension of the OCSE-157 Annual Data Report form and
instructions to July 31, 2020.
**https://www.acf.hhs.gov/css/resource/extension-of-ocse-157-annual-data-report-to-july-2020**

AT-14-14, Revised Quarterly Financial Reporting Forms –This joint AT with OGM
distributes revised 2014 Quarterly Financial Reporting Forms - Form OCSE-396 and Form
OCSE-34.
**http://www.acf.hhs.gov/programs/css/resource/revised-quarterly-financial-reporting-forms-2014**

PIQ-12-02, Partnering with other programs, including outreach, referral, and case
management activities – This PIQ clarifies allowable child support expenditures related to
outreach, referral, and case management activities.
**http://www.acf.hhs.gov/programs/css/resource/partnering-with-other-programs-and-activities**

AT-11-12, Reporting Adoptions on the OCSE-157 Child Support Enforcement Annual
Data Report -- This AT clarifies OCSE-157 instructions for reporting paternity/parentage
establishment and allows states to report adoptions in the PEP.
**http://www.acf.hhs.gov/programs/css/resource/reporting-adoptions-on-the-ocse-157-child-support-enforcement-annual-data**

**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 Regulatory Authority:**
45 CFR 307.10(b)(12) and (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 or action triggered by the caseworker per case aging
        criteria, (e.g., federal and state program standards and timeframes),
    2.  Any required follow-up case reviews 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 refund offset), and
    4.  Cases newly assigned that require caseworker review 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:**

Section 454A(c)(2) of the Act

45 CFR 307.10(b)(2-4) and (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/parentage 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 used in the child support incentive system: paternity establishment, support order establishment, current collections, arrears collections, and cost effectiveness.

    2. Have system controls in place 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. Intergovernmental 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 an 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 (i.e., age of cases, breakdown by category including intergovernmental, and status),
   2.   Collections,
   3.   Paternity/parentage establishment,
   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 a secure "read-only" remote 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.

**Federal Statutory and 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.    The state must establish a specific timetable for conducting a risk analysis.  The plan must ensure that periodic evaluations are performed at least every three years and special evaluations are performed whenever a significant change to the system's physical security, hardware, or operating system software occurs.

   d.    Results of the risk analysis must be documented in a report that is disseminated to designated agency officials as defined in the risk analysis procedures.

   e.    Review and update of the project's risk assessment policy must be conducted at least annually.  Review and update of risk assessment procedures must be conducted at least every three years.

**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:**

Section 454(26) of the Act

Section 454A(d) of the Act

45 CFR 307.10(b)(11)

45 CFR 307.13(a-b)

**State System Requirements:**

a.  The state must have written procedures regarding the safeguarding of data that address integrity, completeness, accuracy, and 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, and 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.  The procedures must 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 Hires (NDNH) or Federal Case Registry (FCR) information to Title IV-A, the system must limit disclosure of NDNH, FCR, IRS 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 and 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 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 use 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.  The system must be capable of maintaining information on all changes to critical records or data fields (e.g., arrearage balance, monthly administrative or court-ordered support amounts, Social Security Number, name, family violence indicator), including identification of the responsible system user or caseworker and date and time of the change.

k.  The system must be capable of routinely monitoring access to use 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.

**Guidance Document:**

Information on the IRS Safeguards can be found in IRS Publication 1075, "Tax Information Security Guidelines For Federal, State and Local Agencies." **http://www.acf.hhs.gov/programs/css/resource/irs-safeguards-and-publication-1075-update**

National Institute of Standards and Technology (NIST) Publication 800-53, "Security and Privacy Controls for Federal Information Systems and Organizations," provides a catalog of security and privacy controls for federal information systems and organizations and a process for selecting controls to protect organizational operations.  The NIST web page is at **http://www.nist.gov/**

**H-3**  **OBJECTIVE:** The state must have procedures in place for the retrieval, maintenance, and control of the application software.

**Federal Statutory and 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, 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 hardware or 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 as long as all personally identifiable information has been removed.

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, i.e., 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:**

Section 454A(d) of the Act

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:**

Section 454A(d) of the Act

45 CFR 307.10(b)(11)

45 CFR 95.621(f)

**State System Requirements:**

a.  The state must have an approved disaster recovery plan that provides detailed actions
to be taken in the event of a natural disaster (fire, water damage, etc.) or a disaster

resulting from negligence, sabotage, terrorist activity, 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 and 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.

*Note:  This item requires backup of case data that will allow for reconstruction of a complete case history, including financials, case management, case log entries, caseworker notes, etc. for at least a 3-year period.  Multiple generations of backups need to be accomplished (OCSE recommends a minimum of three generations), including maintaining one on-site.  At least one backup copy of the database must be maintained off-site in secure facilities that include fire, water, smoke, and intrusion prevention.  The retrieval and restoration of these backups must be tested at least annually as part of a comprehensive disaster recovery exercise.*

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, and documentation off-site in secure waterproof and fireproof facilities.


**H-6  OBJECTIVE:** The system must safeguard personal information when requesting Federal Parent Locator Service (FPLS) data or sharing FPLS data with outside agencies or entities.

**Federal Statutory and Regulatory Authority:**

Section 453(a)(c)(i) of the Act

Section 454(7) and (8) of the Act

Section 463 of the Act


**State System Requirements:**

a.  Every FPLS request must be made solely to locate a parent for the purpose of establishing paternity/parentage or support, securing child support, or where applicable, to locate a parent in a parental kidnapping case, establish or enforce a child custody or visitation order, or for other purposes specified in federal law and regulations.

b.    The system must have protective measures in effect to safeguard the personal information being submitted to and received from the FPLS.

c.    Information received from the FPLS must be treated as confidential and its use or disclosure must be limited to purposes prescribed by federal statute and federal regulations.

d.    The system must safeguard against unauthorized use or disclosure of federal tax information obtained through the FPLS.

e.    The system must safeguard against unauthorized use or disclosure of State Workforce Agency information obtained through the FPLS.

f.    All of the above and any other FPLS data sharing with outside agencies or entities must adhere to the safeguarding guidelines as defined in Sections 453, 454, 463, and 1137 of the Social Security Act.  A detailed definition of these guidelines is provided in Appendix A to the Final Rule on Safeguarding of Child Support Information in AT-10-12.

**Guidance Documents:**

IM-12-02, Requests for Locate Services, Referrals, and Electronic Interface, provides information to state child support agencies authorized under Title IV-D and state child welfare agencies authorized under Title IV-B and IV-E regarding the child support agency's authority to share FPLS and State Parent Locator and other case information with the state child welfare agency.
**http://www.acf.hhs.gov/programs/css/resource/requests-for-locate-services-referrals-and-electronic-interface**

AT-10-12, Final Rule: Safeguarding Child Support Information, prohibits disclosure of confidential and personally identifiable information to private child support collection agencies and addresses release of information to IV-B, IV-E, and Supplemental Nutrition Assistance Program (SNAP) agencies.
**http://www.acf.hhs.gov/programs/css/resource/final-rule-safeguarding-child-support-information**

DCL-12-10, FPLS Safeguarding, Collections and Enforcement Certification Letters -- This DCL distributes 2012 FPLS safeguarding certifications and federal collection and enforcement programs annual certification letters.
**http://www.acf.hhs.gov/css/resource/fpls-safeguarding-and-fce-programs-2012**

DCL-15-06, Security Agreement FAQs, provides answers to various questions about the OCSE/state child support agency security agreement.
**http://www.acf.hhs.gov/programs/css/resource/security-agreement-faqs**

DCL-14-12, Child Support/Child Welfare Pilot Project Evaluation -- provides the evaluation on a pilot project that gave child welfare agencies access to FPLS data.
**http://www.acf.hhs.gov/programs/css/resource/child-support-child-welfare-pilot-project-evaluation**

DCL-15-07, Security and Privacy Program for State Child Support Agencies -- The security and privacy program requires state child support agencies, on an annual basis, to sign the Certification Statement and affirm continued compliance with the Security Agreement and the Automated Systems for Child Support Enforcement certification guide. **http://www.acf.hhs.gov/css/resource/security-and-privacy-program-for-state-child-support-agencies**

DCL-16-03, State Child Support Annual Certification Statement -- OCSE's security and privacy program requires state child support agencies to annually affirm continued compliance with the Security Agreement and the Automated Systems for Child Support Enforcement certification guide by executing the Certification Statement. **http://www.acf.hhs.gov/css/resource/state-child-support-annual-certification-statement-2016**

DCL-16-10, Federal Collection & Enforcement Annual Certification Letter – 2016 -- States are required to submit the Annual Certification Letter to OCSE to verify that information meets the legal requirements for federal offset, passport denial, multistate financial institution data match, and federal insurance match, and indicate state preferences regarding mailing pre-offset notices, holding periods, and contact information. **http://www.acf.hhs.gov/css/resource/federal-collection-enforcement-annual-certification-letter-2016**

**H-7   OBJECTIVE:**  The system must be capable of processing date and time data.

**Federal Statutory and Regulatory Authority:**
45 CFR 307.15(b)(10)

**State System Requirements:**
a.    All information technology hardware, software, and firmware product used by the statewide automated child support system shall be able to accurately process date and 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 and time data with it.

# I.   CUSTOMER SERVICE

**I-1.   OBJECTIVE - Optional:** The states are encouraged, but not required, to use the statewide child support systems to provide services and information to customers. The state must use the child support systems directly or indirectly, by using a customer service system or website that interfaces with the child support systems, in order to provide information and services to customers.

a.    The system should support telephone voice response units (VRU) -- For security purposes, most states extract the necessary data elements from their child support

system on a nightly basis and the VRU accesses that extract rather than provide direct access to the child support system.

**State System Requirements for a VRU:**

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 three general categories of system content, accessibility, and usability.

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 a VRU 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.

**Guidance Documents:**

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/**

DCL-09-11, Web-based Child Support Services for Parents, Promising Practices Guide -- Provides practical ideas for enhancing your web-based child support  customer services.
**http://www.acf.hhs.gov/programs/css/resource/web-based-child-support-customer-services-for-parents-promising-practices**

**I-2.** **OBJECTIVE - Optional:** The system should support intergovernmental caseworker web services.

Query Interstate Cases for Kids (QUICK) is a web-based child support application that OCSE and state partners developed to help states share intergovernmental 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.  There are two aspects to QUICK, the first involves payment information on intergovernmental cases, the second separate aspect of QUICK involves data elements and definitions related to case activities that convey actions taken on a case.

**State System Requirements for QUICK:**

In order to participate in QUICK, states must access the application through the Child Support Portal and must agree to the requirements listed below.

a.   During project startup and implementation, all states are responsible for meeting the following requirements:
1.   Providing and configuring the equipment necessary to support the state's design and meet OCSE's technical requirements,

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 display in real-time mode,
2.   Enabling communications with the OCSE web server that receives and routes requests for data from other states' cases,
3.   Providing adequate security.  At a minimum apply the same standards, procedures, and protocols used for other types of information requests to all QUICK requests, to prevent fraudulent or other unauthorized access.  Thoroughly and promptly investigate suspected abuse or misuse of requests or data received, and
4.   Assigning and maintaining QUICK roles for state workers.

c.   When the participating state is a requesting state, i.e., asking to view data from another child support system, it is responsible for:
1.   Authorizing and authenticating any user requesting to view data from another child support system.
2.   Ensuring that all requests for access to data from another child support system includes your case ID as well as the other state's case ID.
3.   Treating any data from another state as confidential and safeguarding that 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 and

      4.     Maintaining audit data for all requests and responses, and providing audit data to states upon request.

**Guidance Documents:**

DCL-12-07, FPLS State Services Portal --  This DCL identifies additional applications implemented for Federal Parent Locator Service and QUICK including Locates, Department of Defense Entitlements, Debt Inquiry, Federal Collection and Enforcement, and Employer Search.
**http://www.acf.hhs.gov/programs/css/resource/fpls-state-services-portal**

For general information on QUICK, visit the OCSE website at:
**http://www.acf.hhs.gov/programs/css/fpls/electronic-communication**

If you have any questions, please contact 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/css/resource/ocse-csenet-quick-ssp-and-e-iwo-contacts**

**I-3.**  **OBJECTIVE - Optional:**  The system should be developed to make full use of the Child Support Portal applications.

All applications on the OCSE Child Support Portal are web applications. They include the intergovernmental applications - QUICK, Electronic Document Exchange, IRG and InterAct – as well as other applications that support in-state case processing services.  The list of applications available through the Portal may be accessed at the following site:
**http://www.acf.hhs.gov/programs/css/resource/state-services-portal-at-a-glance**

Once the state has established connectivity with the Portal, no additional equipment or configuration is necessary to make use of the other applications. Proxy server maintenance and management of state child support worker roles are part of ongoing state operations regardless of the number of applications in use.  Since OCSE maintains the application web pages, no state coding is needed when applications are enhanced.

**I-4.** **OBJECTIVE - Optional:** The system should 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 debit of their bank accounts for child support income 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.
g. The state system website should include an electronic means for employers to notify the state child support agency of termination of employment for former employees that had been subject to income withholding.

# J.  NEW TECHNOLOGIES

**J-1.** **OBJECTIVE - Optional:**  The state uses concepts and tools for data standardization and interoperability between the state child support system and other state and federal agencies.

*Note:  OCSE has made it a high priority to create and encourage greater collaboration and service integration among its programs and agencies.  Service integration or 'interoperability' as it is known today, is gaining tremendous momentum and is transforming the way the public and private sectors plan for change and conduct business.  Over the course of the next few years, health and human service systems will change dramatically, offering enormous opportunities for improving how we do business.*

a. The system shares data with other state agency programs as allowed by federal, state, and local confidentiality provisions.

**Guidance Documents:**

Public Law 113-183, SEC. 304. Data Exchange Standardization for Improved Interoperability, defines the goals of developing data exchanges that are standardized between federal and state agencies.
**https://www.congress.gov/113/plaws/publ183/PLAW-113publ183.pdf**

The Administration for Children and Families Confidentiality Toolkit is a compendium of the security and data safeguarding rules and regulations among various federal health and human services agencies **http://www.acf.hhs.gov/about/interoperability#chapter-2**

The Administration of Children and Families Interoperability initiative website can be found at **http://www.acf.hhs.gov/about/interoperability**

b.  The system uses the concepts for data exchange structure provided by the National Information Exchange Model (NIEM).  NIEM is a community-driven, government-wide, standards-based approach to exchanging information.

**Guidance Documents:**

OCSE manages the development and growth of the Human Services Community on the NIEM website at **https://www.niem.gov**.  This site also contains tools for searching the content of NIEM to aid in creating your own data exchanges using a set of data elements that have been standardized across all levels of government and private practice.

States wishing to obtain more information about the tools available to implement NIEM in your project may contact the OCSE NIEM workgroup at **interoperability@acf.hhs.gov**.

The NIEM data model and its associated products are available for download and use at **https://www.niem.gov/techhub/niem-model/current-release**.  Products include NIEM Extensible Markup Language schemas (XSD), a spreadsheet (MS Excel) of all data components in the model, and alternate database formats (MS Excel, MS MDB, and CSV).  This data model is the latest version of the NIEM common vocabulary that enables efficient information exchange across diverse public and private organizations.

In addition to the NIEM content, the OCSE Data Standards Registry (DSR) is available for researching recommended data element definitions and transaction formats.  The DSR includes over 3,000 principle data elements that are exchanged between child support partners.  This includes element names, definitions, and other defining attributes.  A copy of the DSR in a Microsoft Access format is available upon request.  Contact your OCSE Division of State and Tribal Systems analyst or submit a request via email at **interoperability@acf.hhs.gov**.

c.  The system uses the concepts of the National Human Services Interoperability Architecture (NHSIA).  NHSIA proposes a framework to facilitate information sharing, improve service delivery, prevent fraud, and provide better outcomes for children and families. http://www.acf.hhs.gov/nhsia-definition

**J-2.   OBJECTIVE - Optional:**  Under 45 CFR 95.617, state agencies are unable to claim FFP for proprietary Commercial Off-The-Shelf (COTS) products or services designed to support the covered human service programs.  This has limited the technology options available for automated data processing projects.  As part of HHS and OCSE's continuing commitment to promote flexibility for states and tribes operating human service programs, a program instruction, ACF-PI-13-01 was developed to provide guidance on the use of a waiver authorized at 45 CFR 95.627. A waiver would allow the use of COTS software in the development, upgrade, or enhancement of their child support system.

**https://www.acf.hhs.gov/sites/default/files/assets/acf_oa_13_01.pdf**

**J-3.   OBJECTIVE - Optional:**  The state may choose to use cloud computing to distribute services over broader architectures.  The cloud service provider must be FedRAMP certified in order to meet federal security requirements for cloud-based computing or data storage solutions.  Data security requirements as defined in Section H still must be met regardless of the type of cloud implementation.  Cloud implementations are defined by the service model and deployment model used.  Software as a Service (SaaS), Platform as a Service (PaaS) and Infrastructure as a Service (IaaS) are examples of cloud service models for cloud implementation.  The deployment models may include private cloud, community cloud, public cloud, and hybrid cloud.

   a.   The cloud-based solution must reside on a Federal Risk and Authorization Management Program (FedRAMP) compliant system.  FedRAMP is a government-wide program that provides a standardized approach to security assessment, authorization, and continuous monitoring for cloud products and services.

   b.   Use of a cloud solution must be approved in advance in the project's Advance Planning Document.

   c.   The state and cloud service provider must follow the data retention policies agreed upon to ensure that all required statutory requirements are met.

   d.   The data stored by the cloud service provider should ONLY be used for the purposes it was intended for.

**Guidance Documents:**

Information on FedRAMP compliant cloud systems can be found at:
**http://www.fedramp.gov/**

Protecting Federal Tax Information (FTI) in a cloud computing environment is addressed in the Internal Revenue Service Publication 1075, Tax Information Security Guidelines for Federal, State and Local Agencies and Entities.
**http://www.irs.gov/file_source/pub/irs-pdf/p1075.pdf**

Additional information on cloud computing can be found in NIST SP 800-145.  The NIST web site is at **http://www.nist.gov/**

**J-4.**   The state may choose to use web-based technologies to provide services.  This may include customer service sites, employer portals, and shared enrollment and eligibility sites with other health and human services programs.  Data security requirements as defined in Section H must be met for any web-based services.

## *APPENDIX A: GUIDANCE IN PREPARING FOR CERTIFICATION REVIEWS*

**Introduction**

The purpose of Appendix A is to provide information on how to prepare for a certification review of the system requirements needed to obtain federal certification of a state child support system.  In this document you will find suggestions on how to prepare documentation, select cases for demonstration purposes and what the Federal review team will need to see demonstrated for certification purposes.

While you will find guidance on how to prepare documentation for many of the certification requirements in this document, you will not find all that is required.  We suggest that you work closely with the OCSE Division of State and Tribal Systems (DSTS), analyst assigned to your state.  They can give specific guidance, answer questions related to the requirements in the certification guide, and provide samples where applicable and available.

We strongly suggest you submit the documentation at least six to eight weeks in advance of the scheduled review in order for the review team to thoroughly analyze the material.  This will also allow enough time for revisions or corrections to the documentation, your state's written record, should they be needed.

This appendix is arranged in sequential order to provide a step-by-step of the certification process.  Keep in mind this is not a "one size fits all" list.  The process may vary based upon the size of the state, the cost/risk associated with the system development project, the technology used for the new system, and other factors, as determined by the federal certification team.

**A.  At least six months prior to the start of certification:**

1.  Begin work on the certification questionnaire.  To prepare the questionnaire, the project must duplicate Section III of the Guide and provide a written response to each certification requirement describing how the new statewide system meets that requirement.  Inclusion of screen shots showing where data is displayed is highly recommended.  Keep in mind this document should not contain any personally identifiable information (client name and address, SSNs).  (Hint: Copy and paste the requirements from the certification guide into a response document and provide your response below each requirement.)

2.  Begin running the Distribution Test Deck – The test deck consists of several scenarios that test that the child support system correctly performs Personal Responsibility and Work Opportunity Act distribution requirements and the Deficit Reduction Act of 2005 mandatory assignment rules.  A copy of the test deck scenarios is available to states and territories upon request to your federal DSTS analyst, or via email at interoperability@acf.hhs.gov.

3. If you have been using a vendor for development of your child support system, make sure you have state staff that is familiar with operation of the system. When OCSE conducts the on-site review, the demonstration of the system must be conducted by state staff.

4. At this point you should also be training local office end-users on the system. Part of the OCSE certification review is to observe the system in use at the local offices.

**B. Two months prior to the start of certification:**

1. Submit all documentation to OCSE. This includes a cover letter to the OCSE Commissioner stating the system is implemented statewide and ready for federal review. This documentation also includes submittal of test deck and certification questionnaire documentation. The test deck and questionnaire may be submitted separately and, preferably, in advance of the cover letter. They may be submitted electronically. Work with your OCSE/DSTS analyst to determine the best way to submit these documents.

2. Begin preparing for the federal review by identifying cases in your system that best demonstrate compliance with the each of the certification guide objectives.

3. Identify state staff who will demonstrate the system to the federal certification team during their on-site review of the system. Most states have broken up this responsibility functionally (case initiation, locate, establishment, etc.).

4. Many states have found it useful to have walk-throughs prior to the federal review.

5. Your OCSE/DSTS analyst will work with you to set up dates for the on-site portion of the certification review. OCSE will also prepare an agenda for the review.

6. Make sure you have reserved a conference room for the on-site review large enough for three to five federal staff and your state staff. There should be accommodations to project the demonstration of the system on a screen that is viewable by everyone.

7. In most cases the on-site portion of the review is conducted in two phases. Depending on the level of review required and the size of your state, a decision will be made by the federal review team whether to combine these into a single on-site visit, or to conduct two separate visits (two separate on-site visits is most likely).

   - Phase I is a functional review conducted at your state development site. Each requirement in the certification guide is demonstrated by state staff on your system.
   - Phase 2 consists of site visits to various local child support offices, courts, the State Disbursement Unit, the data center, the disaster recovery site, and other site visits as determined by the OCSE review team.

**C. During the Phase I On-site review:**

1. The federal review team will walk through the objectives in this certification guide. Your designated state staff will use a production version of the system to demonstrate how the system meets each objective using actual cases. Test environment and test case data are allowed only when a real case is not available to demonstrate the functionality, and as agreed upon with the federal review team.

2. During the review, the review team may also collect process documents, copies of forms, notices, or other documentation as necessary to meet the requirements of their review.

3. The Phase I review is typically 3-5 days.  The review will follow the order of the agenda provided to the state in advance of the on-site review.  Due to the nature of the review, adjustments to the agenda will be made as necessary at the end of each day.
4. At the end of the review, the federal team will conduct an exit conference to review action items and to provide preliminary findings.  This exit conference is typically on the last day of the on-site, but may be conducted via conference call the following week at the discretion of the federal lead.

**D.  Between the Phase I and Phase II reviews:**

1. OCSE will provide a draft report containing any findings from the on-site review.  This report will be exception-based, reporting only findings and OCSE's recommendations for mitigation.  This report will include two categories of findings:
   - *"Certification Findings"* report those functions that did not meet the requirements for certification.  These findings must be corrected based upon the recommendations in the report before federal certification can be granted.
   - *"Management Findings"* are not considered certification issues, but report those functions that only marginally met the requirements for certification, or areas where there is an opportunity for improved performance or automation.  However, the state should consider these findings and the OCSE recommendations as they affect the overall efficiency and/or effectiveness of the system and as such, the IV-D program overall. Mitigation of these findings is not required to be granted federal certification.
2. If the state believes any of the findings in the draft report are in error, immediately contact the federal review team lead.
3. The state should begin remediation of Certification Findings immediately.  Phase II of the federal review will include a demonstration of remediation of these findings.
4. Work with the OCSE/DSTS review team to plan for Phase II of the review.  OCSE will indicate which site visits they want to include in the review.  They will probably ask for assistance in identifying a mix of large, medium, and small local offices for on-site visits.  The final decision of which offices to visit will be made by the federal review team.  These local office visits will include local child support offices, courts, the State Disbursement Unit, the data center, the disaster recovery site, and other site visits as determined by the OCSE review team.
5. OCSE will develop a day-by-day agenda of local office visits.  Be prepared to provide the federal team with addresses, points of contact, and any special instructions (parking, security, etc.) associated with each office.
6. Designate state staff you wish to attend the site visits and provide that information to the federal review team.  At least one state systems representative should attend each local office visit.

**E.  During the Phase II review:**

1. The first part of the Phase II review will be conducted at the same location as the Phase I review.  Each open certification finding from Phase I will be re-visited, with state staff demonstrating the mitigation of the finding on the system.

2. Local office visits will fill the remainder of the week.  Phase II reviews typically last 2-5 days depending on the size of the state and the number of open findings from Phase I.  Each office visit is approximately 1-2 hours in duration, with 2-3 visits per day, depending upon the travel time between offices.
3. Each local child support office visit will begin with a short discussion with local office managers.  During that discussion, the federal review team will want to receive an overview of the organization of the office.  For example, do staff work a single case from initiation through closeout, or is the office organized functionally with an intake group, a locate group, etc.
4. Based upon that initial discussion, the federal team will provide a list of functions and/or caseworker tasks to observe at that office.  These functions will be taken from (but not limited to) the list in Table A below.  Not all items from the table will be observed at all locations; the goal of the federal team is to cover as many items from the list as possible over the week-long review period.  The objective here is to observe the system in use at the local level, not to re-verify functionality reviewed in Phase I.
5. During the walk-around in the local offices, the federal team will observe caseworkers using the new system, and ask questions on how they use the system in their day-to-day activities.  They will typically want to see the caseworker working an actual case or task from their task list using the system.  State and local managers will accompany federal staff during the walk-around.
6. Every office is different, and therefore every office review is different.
7. For some local offices, such as the SDU, data center, and disaster recovery site, the federal team will also want to observe security measures and speak with security staff on-site.
8. At the end of the week-long office visits, the federal team will conduct an exit conference to review action items and to provide any additional preliminary findings from the local office visits.  This exit conference is typically on the last day of the on-site, but may be conducted via conference call the following week at the discretion of the federal lead.

## F.  **After the Phase II review:**

1. The state should immediately begin mitigation of any remaining open certification findings and communicate status to the federal review team lead.
2. The federal review team will finalize the certification report, updating the status of findings from Phase I and adding any new findings from Phase II.  Each certification finding will be classified as "Open" or "Closed".  If there are open certification findings, OCSE will work with state staff to develop a timeline and a process for state mitigation and federal review of those open findings.
3. The federal review team lead will determine if a follow-up on-site visit is required for review and close-out of any open findings, or if this can be accomplished via webinar (or other means).
4. Once all open certification findings are reviewed and approved by the federal review team, the certification findings will be updated to reflect a "Closed" status and the report will be issued formally, with a cover letter indicating the state system is federally certified.

5. The state should continue to consider any open management findings from the report for future enhancement opportunities.

**Table A: Checklist for Local Office Visits**

| Requirements to be Demonstrated at Site Visit | | |
|---|---|---|
| **Requirements** | **Functionality** | **Comments** |
| Case Initiation | | |
| | Establishment of a non-TANF case | |
| | Processing of a TANF referral | |
| | Processing of a Foster Care referral | |
| | Processing of a Medicaid referral | |
| | Processing of an incoming intergovernmental referral | |
| | Generation of intergovernmental forms | |
| | Entry of non-IV-D orders | |
| | Generation of CSI transaction, when worker initiated | |
| Locate | | |
| | Review and acceptance / rejection of information received from the FPLS | |
| | Review and acceptance / rejection of information received from the FCR | |
| | Receipt and review of information from various Federal and state locate sources | |
| | Generation of postal and employer verification notices | |
| | Recording of verified information on the case record | |
| | Recording of locate referrals and positive locate hits on the case record | |

| Requirements to be Demonstrated at Site Visit | | |
|---|---|---|
| **Requirements** | **Functionality** | **Comments** |
| Case Management | | |
| | Creation of case history and case notes, and whether such entries can be deleted by a worker | |
| | Automatic movement of cases from one function to the next based on case actions/statuses | |
| | Receipt and submission of CSENet incoming and outgoing transactions | |
| Review and Adjustment | | |
| | Review and adjustment of support obligations process, including document generation and timeframes | |
| | When caseworker initiated, the generation of notice to each party once modified order is entered on the system. | |
| Case Closure | | |
| | Case closure process, including document generation | |
| Establishment | | |
| | Establishment of paternity, including document generation | |
| | Input identifying information regarding voluntary acknowledgement | |
| | Establishment of a support order, including child support guidelines calculation and document generation | |
| | Establishment of administrative support orders, including document generation | |

| Requirements to be Demonstrated at Site Visit | | |
|---|---|---|
| **Requirements** | **Functionality** | **Comments** |
|  | When caseworker initiated, the generation of notices to the CP and NCP related to proceedings that may involve the establishment or modification of support obligations. |  |
| Enforcement |  |  |
|  | Income withholding process, including document generation |  |
|  | Imposition of  real or personal property liens, including document generation |  |
|  | Unemployment compensation intercept process, including any document generation |  |
|  | Process for enforcing health insurance coverage, including document generation |  |
|  | Process for license suspension, including document generation |  |
| Financial Institution Data Match |  |  |
|  | Case record information (i.e., financial institution and record address) |  |
|  | Process once a match has been made |  |
|  | If caseworker initiated, the generation of hard copy report or form such as a subpoena, for use with financial institutions not participating in an automated match. |  |
|  | Process for generation of documents necessary to attach an asset held by a financial institution, including documents related to State due process requirements |  |

| Financial Management | | |
|---|---|---|
| | How misapplied payments are corrected, including document generation | |
| | How unidentified payments are researched and posted | |
| | How genetic testing costs are maintained and how the system recover such costs, including document generation | |
| | How bills and billing coupons are generated | |
| Reporting | | |
| | How caseworkers can access statistical and performance reports on their assigned cases and statewide | |
| | How the automated worklist supports the day-to-day case management activities of the caseworker | |